

Judicial Council of California
Administrative Office of the Courts

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Chief Justice of California
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RONALD G. OVERHOLT
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April 8, 2011

Ms. Elaine M. Howle
California State Auditor
Bureau of State Audits
555 Capitol Mall, Suite 300
Sacramento, California 95814

Re: Sixty-Day Status Report on Recommendation Implementation Efforts Regarding the
Audit Report of the California Court Case Management System, Audit 2010-102

Dear Ms. Howle:

The Judicial Council and its staff agency, the Administrative Office of the Courts (AOC), received the Bureau of State Audits (BSA) report on the California Court Case Management System (CCMS) and associated cover letter of February 8, 2011 (the Report). In addition to our initial responses included in the Report, your letter indicated that the AOC should respond to the BSA within 60 days, six months, and one year on our efforts to implement the recommendations. This is the CCMS Executive Committee and AOC's 60-day status report.

During the two months since issuance of the audit, the CCMS Executive Committee and AOC have taken many steps to address the 26 recommendations contained in the Report. We have accepted all recommendations, including agreement to implement an independent quality review of the development process. As of this date, we consider that 22 of the 26 recommendations either have been completely addressed or substantial progress has been made. In fact, at the time of the issuance of the BSA's draft report, we had already drafted an action plan to address all

recommendations in the Report provided by the BSA. Actions taken or planned include ongoing activities that will impact not only the CCMS project but other future information systems development efforts and processes as well.

Attached to this letter is our detailed action plan (Attachment A) that will be updated on a continuous basis. As your letter requested, our action plan includes an estimated or targeted completion date for specific activities and identifies the individual at the AOC management level who is responsible for addressing the recommendation. The dates in the plan are, of course, subject to change based on circumstances that arise. It remains our intention to address all issues as expeditiously as possible. All documentation, including that concerning key decisions, will be retained and is available to the BSA and to the public¹ requesting it to ensure accountability and transparency in all of our work.

The CCMS Program Management Office will use Innotas project management tracking software to provide detailed tracking of major activities. Additionally, we are attaching some of the more significant materials that document actions taken to address the recommendations in the Report. Of special note: the project has met all milestones in the last 12 months, and we are confident that we can continue to meet the established milestones through the pending completion of development. Some of the more significant actions that we have taken during the last 60 days have been:

CCMS Governance Committee Kickoff Meetings

The new CCMS governing committees are now actively involved in performing their roles and responsibilities. On January 31 and February 1, 2011, the initial meetings of the CCMS governance committees were held to discuss committee charters, organizational functions, as well as roles and responsibilities of the committees, members, and the CCMS Program Management Office. Each of the committees has held follow up additional planning meetings focused on establishing work plans and creating subcommittees where necessary to align responsibilities. Regular meeting schedules have been established, and we anticipate that this governance model will give structure and transparency to the process. We have attached to this report the minutes of the initial meetings of the CCMS governance committees.

Cost-Benefit Analysis Report

As previously reported, the Judicial Council at its regular business meeting on February 25, 2011, received the report prepared by Grant Thornton, LLP, entitled *California Court Case Management System: CCMS Cost-Benefit Analysis Report (CBA)*. Grant Thornton is an internationally recognized expert in the field and was recommended to the AOC by the

¹ Pursuant to California Rules of Court, rule 10.500, Public access to judicial administrative records.

California Technology Agency (CTA, formerly the Office of the State Chief Information Officer).

The BSA publicly released its comments concerning this study in a subsequent report issued by the BSA on or before March 3, 2011. Unfortunately, we did not have an opportunity meet with the BSA prior to the release of comments to answer questions that the BSA may have had regarding the CBA and the methodology used in preparing it. On March 4, 2011, we sent you a letter indicating that the AOC would be willing to meet with your staff to discuss the CBA. We appreciate that on March 24, 2011, the BSA met with AOC staff and the principal from Grant Thornton, LLP, responsible for the CBA. We believe the meeting was constructive and addressed questions that were raised in your public report of March 3rd, and that it helped to resolve some of the more significant questions which BSA raised:

- Though not mentioned in the report, the BSA acknowledged that the CBA was detailed and thorough.
- Costs that were identified by the BSA as excluded or understated in the CBA were now understood to be properly reported and addressed in the report.

Ongoing communication will assist the CCMS Executive Committee and CCMS Program Management Office in ensuring that BSA recommendations are fully implemented and that we will achieve a successful deployment of CCMS. As we have agreed in our response to the Report, as key developments occur and if there are changes in significant assumptions, the cost-benefit analysis will be updated.

Annual Report of Costs to the Legislature

The AOC continues to report to the Legislature on the statutorily required data on CCMS as well as reporting on details of other costs related to case management systems of the superior courts of California as well as a current estimate of aggregate costs through completion of CCMS deployment. Total CCMS program costs of \$1.9 billion were reported in detail in the three appropriate categories below in our fiscal year 2008–2009 annual report to the Legislature. Although not totaled in that report, that detailed information will be totaled in this year's report.

- Project costs: one-time costs for developing and deploying CCMS (\$1.322 billion);
- Ongoing costs: recurring costs for maintenance of CCMS (\$313.1 million); and
- Interim CMS costs: recurring costs for V2 and maintenance of V3 (\$244.3 million).

As the above amounts added together equal the CCMS program's \$1.9 billion cost, as calculated by the BSA, that amount has been disclosed to lawmakers in reports but is "the sum of totals displayed on three separate pages." The total cost will be made clearer in all

future reports. This should eliminate a concern expressed by the BSA regarding our reporting format.

In addition, the trial courts' statewide financial reporting system has been modified to track and report current and future CCMS costs incurred by the trial courts as accurately and completely as possible. We continue communicating directly with the courts regarding prior years' expenses to ensure costs are reported fully.

The CCMS General Administrative Advisory Committee has established a budget subcommittee with Judge Kim G. Dunning, Superior Court of Orange County, as the chair and Court Executive Officer Alex Calvo, Superior Court of Santa Cruz County, as the vice-chair. This subcommittee will be responsible for reviewing the CCMS budget and expenditures to ensure that CCMS budgets and costs are accurate and fully accountable.

Independent Quality Review of the CCMS Development Process

During March the AOC met with personnel from the state's California Technology Agency and the BSA, to discuss our statement of work for the above review, receive feedback concerning the review process and design of the work, to obtain recommendations on potential firms able to do the work, and understand the expectations of both agencies. Upon finalizing the statement of work, we will issue requests for proposals (RFPs) to several companies, including those recommended by the CTA and the BSA. We expect the responses to be received in early May and the contract to be signed shortly thereafter. It is our hope that the review can then begin in May and that it would be completed in early August.

AOC staff met with the BSA on March 25, 2011, to discuss our approach to the performance of this review and make sure that we had a clear understanding of BSA's expectations of the process and the scope of the statement of work. We feel that the meeting was productive. Specifically, BSA advised us that it believes that the review should encompass at least three major tasks:

1. A CMMI (Capability Maturity Model Integration) level 3 evaluation of the development vendor's process for developing CCMS;
2. A quality review/assessment, using sampling techniques, to test system artifacts and other identified areas, including the above CMMI evaluation; and
3. A focused testing by exploratory testers before acceptance of specific, high-fault-density areas and other such areas as necessary.

The AOC concurs with this approach.

Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) of Deployment

A statement of work was prepared and discussed with the CTA and the BSA in order to assure that our approach was consistent with their expectations. The request for proposals from independent companies will be placed online and sent to the identified potential vendors shortly with proposals due back by early May in order to allow us to evaluate and contract with the companies as soon as possible. While the AOC recognizes the importance of putting this work in place quickly, very limited deployment work has been performed. Additionally, the existing IPO/IV&V contract was extended through the end of development in its entirety, rather than development of solely the core product, and will allow for a good transition to the new IPO/IV&V vendors. Following the BSA's recommendation, separate companies will perform IPO and IV&V services on deployment.

We have discussed extensively the strategy and timing of the superior courts' deployment of CCMS, and no deployment contract for an external vendor has yet been executed. Nonetheless, efforts in the early adopter courts continue although on a somewhat slower and more limited basis as affected by other processes and evaluations. Until the IPO and IV&V contracts are signed and the companies begin their oversight efforts, the AOC will continue to operate under industry guidelines and standards of the Institute of Electrical and Electronics Engineers (IEEE) as included in its Project Management Body of Knowledge (PMBOK) materials, and the OTA's guidelines in its *Information Technology Project Oversight Framework* handbook.

Completion of Core Product Development and External Component Development Efforts

As exit criteria have been met by the development vendor on the core product, our product acceptance testing (PAT) began on February 14 and is expected to be successfully completed this month. Court subject-matter experts continue to be significantly involved in validation and integration testing and PAT as part of the more than 70 court and AOC staff who are working to complete this critical phase of the project.

We are nearing the completion of integration testing on the external CCMS components. Development of those components began in mid-2010 and we expect completion of the integration testing in May 2011. We expect that PAT for the external components to begin on schedule. The external component PAT is estimated to be completed by the end of July 2011.

Formal acceptance of CCMS will occur after the independent quality review is completed and plans are in place to address any issues identified by the review. The objective will be to resolve any issues during the warranty and before the early adopter courts go live with CCMS.

Deployment and Early Adopter Court Work

In order to ensure that costs are kept as low as possible, the CCMS team has begun focusing on the development of configurations for the early adopter courts. This effort includes:

- Standardization of operational processes and configurations to the largest extent reasonably possible; and
- Development of reusable tools for future deployment in additional courts in order to mitigate costs and reduce implementation time.

While it has become necessary to slow our progress somewhat, we are committed to ensuring that we have a quality product that meets the needs of Californians, the state justice system and its partners.

In conclusion, significant progress has been made to address not only the Report recommendations but also to institute processes that will provide for a more complete, accountable, and transparent program for completing not only the development, but also the deployment of CCMS. Thank you for the assistance provided through the audit process and your staff's continued communications concerning activities that will help address all of the remaining issues. Please feel free to contact Mr. Mark Moore, Executive Director of the CCMS Program Management Office, if you have any questions or concerns or if you would like clarification of the actions or additional documents supporting our efforts. We look forward to working with you to clarify and resolve the remaining issues.

Sincerely,



Justice Terence L. Bruiniers
Chair, CCMS Oversight Committee



William C. Vickrey
Administrative Director of the Courts

TLB/WCV/JAJ/BF

Attachments

cc: Hon. Tani Cantil-Sakauye, Chief Justice of California and Chair of the Judicial Council
Mr. Ronald G. Overholt, Chief Deputy Director, Administrative Office of the Courts
Mr. Mark Moore, Executive Director, CCMS Program Management Office, Administrative Office of the Courts

**Sixty-Day Status Report on Recommendation Implementation Efforts Regarding the
Audit Report of the California Court Case Management System, Audit 2010-102**

ATTACHMENT LISTING

A. Compliance Checklist and Action Plan

B. Grant Thornton: Cost Benefit Analysis

1. Cost Benefit Analysis Report
2. Memorandum from William C. Vickrey to Mark Moore Authorizing the Refreshing of the Cost-Benefit Analysis for CCMS

C. Executive and Planning Committee Meeting: Approval of Governance Model

1. Minutes from December 17, 2010 meeting

D. Judicial Council Meeting, February 25, 2011

1. Agenda
2. Report to the council
3. Minutes (to follow once approved by council)

E. CCMS Governance Model

F. CCMS Oversight and Advisory Committee Meeting Minutes

1. CCMS Governance Advisory Committee, Executive Committee, February 1, 2011
2. CCMS Governance Advisory Committee, CCMS Operational Advisory Committee, February 1, 2011
3. CCMS Governance Advisory Committee, Justice Partner Advisory Committee, February 1, 2011
4. CCMS Governance Advisory Committee, Administrative Advisory Committee, February 1, 2011

**Sixty-Day Status Report on Recommendation Implementation Efforts Regarding the
Audit Report of the California Court Case Management System, Audit 2010-102**

5. CCMS Governance Advisory Committee, Executive Committee,
March 9, 2011
6. Governance Committees - Meeting Log

G. Project Review Board (PRB) Charter

H. Independent Project Oversight (IPO) and Independent Verification and
Validation (IV&V)

1. December 2010
2. January 2011
3. February 2011

I. Draft Statements of Work

1. Independent Project Oversight (IPO) and Independent Verification
and Validation (IV&V) for Deployment
2. Independent Quality Review

ADMINISTRATIVE OFFICE OF THE COURTS
BUREAU OF STATE AUDITS - CCMS AUDIT

RESPONSE TO THE AUDIT --- COMPLIANCE CHECKLIST AND ACTION PLAN

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
						Primary	Support			
CHAPTER 1										
1	Agree	To understand whether CCMS is a cost-beneficial solution to the superior courts' case management needs, the Administrative Office of the Courts (AOC) should continue with its planned cost-benefit study and ensure it conducts the study before spending additional significant resources on the statewide case management project.	<p>In October 2010, the AOC engaged Grant Thornton to perform a cost-benefit analysis for developing CCMS and deploying it to all 58 superior courts in California. The cost-benefit analysis is expected to be completed in February 2011.</p> <p>The AOC will use the results of the analysis and the underlying cost-benefit model to develop recommendations regarding the CCMS deployment strategy for key decision makers.</p> <p>The AOC additionally concurs that the cost-benefit analysis should be updated at key junctures, and</p> <p>has already directed that the cost-benefit analysis be updated after deployment to the three early adopter courts before further deployment decisions are finalized.</p>	1	Contract with Grant Thornton to perform a CBA for developing CCMS and deploying it to all 58 courts in CA.	Nash	CCMS PMO	October 2010	October 2010	B
				2	Based on the CBA and underlying cost-benefit model discuss deployment strategy and alternatives with Judicial Council, Executive Office, and CCMS Executive Committee,	Moore	Butler	March 1, 2011	March 1, 2011	
				3	Document deployment strategies and alternatives based on discussions in step 2 above.	Moore		As appropriate	As appropriate	
				4	Update CBA analysis at key junctures of development and deployment.	Moore	Finance Division	As appropriate	As appropriate	B
				5	Update CBA analysis after deployment to 3 early adopter courts	Moore	Finance Division	March 2013		B
2	Agree	The AOC should ensure that the cost-benefit study includes a thorough analysis of the costs and benefits of the statewide case management project, including a consideration of costs and benefits it believes cannot be reasonably quantified.	The contract for the cost-benefit study directs that such a thorough analysis be completed, and the methodology being applied by the contractor is designed to deliver these results. The analysis will include all of the items identified in the report.	6	CBA should be reviewed prior to acceptance to ensure it includes a thorough analysis and appropriate methodology to deliver contracted requirements	Nash	Finance Division	Feb. 25, 2011	Feb. 25, 2011	
				7	Ensure CBA considers qualitative benefits with assumptions re their costs	Nash	Finance Division	Feb. 25, 2011	Feb. 25, 2011	
3	Agree	The AOC should carefully evaluate the results of the study and present a recommendation to the Judicial Council regarding the course of action that should be taken with CCMS.	<p>The Judicial Council is regularly updated on the status and the progress of the development of the case management system and makes decisions about the allocation of funding to support its further development and deployment.</p> <p>In December 2010, the Judicial Council, through the action of its Executive and Planning Committee, adopted a revised governance and management model for CCMS to support the completion of development and the deployment phase.</p> <p>The new governance model, as recommended by the Office of the State Chief Information Officer (OCIO), provides explicit direction for decision-making and reporting by and to the CCMS Executive Committee, its advisory committees, and the Judicial Council—the executive sponsor of CCMS—to secure the necessary guidance and direction for moving forward with the project.</p> <p>The results of the cost benefit analysis will be delivered to the appropriate CCMS governance committees and the Judicial Council for appropriate action.</p>	8	Update Judicial Council on status and progress of CCMS development.	Moore		At each JC meeting starting in Feb. 2011	On-going	D
				9	Present to Judicial Council for adoption the new governance and management model.	Moore		December 2010	December 2010	C
				10	Present the CBA to the CCMS Executive Committee for review and comments.	Nash		Feb. 1, 2011	Feb. 1, 2011	
				11	Present the CBA to the Judicial Council for appropriate action.	Nash		Feb. 25, 2011	Feb. 25, 2011	D
4	Agree	The AOC should fully share the results of the study as well as its recommendations to all interested parties, such as the superior courts, justice partners, the Legislature, and the Information Office.	<p>It is the intent of the AOC to be fully transparent with the cost benefit study and to share it with the superior courts, justice partners, the Legislature, the OCIO, and all other interested parties.</p> <p>Consistent with the California rules of court, this report will be publicly available.</p>	12	Share results with superior courts, justice partners, Legislature, OCIO, and all other interested parties. (Placed on web-site and issued press release on JC meeting.)	Nash	Finance Division	Feb. 24, 2011	Feb. 24, 2011	
				13	Make report publicly available by posting it on the California Courts website.	Nash	Finance Division	Feb. 24, 2011	Feb. 24, 2011	

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5	Agree	The AOC should update the cost-benefit analysis periodically and as significant assumptions change.	<p>As key developments occur (e.g., after the deployment to the three early adopter courts) and if there are changes in significant assumptions, the AOC will update the analysis.</p> <p>The new governance structure makes it clear that any changes to the CCMS program budget that increases the total cost of the program will require approval by the AOC Project Review Board (PRB, discussed later in this response) and the Judicial Council.</p>	14	Update the CBA analysis for key developments and changes in assumptions.	Moore	Finance Division	As necessary and required.	As necessary and required.	B
				15	As changes occur in the CCMS program budget approval will be obtained from the AOC Project Review Board and the Judicial Council.	Moore	Finance Division	As necessary and required.	As necessary and required.	G
6	Agree	<p>To ensure the statewide case management project is transparent, the AOC should make sure all key decisions for future activities on CCMS are documented and retained.</p> <p>All key decisions will be documented and all documentation provided to or produced by the CCMS governance committees and the CCMS PMO will be retained throughout the life of the CCMS project.</p> <p>All available documentation predating this new governance model will also be retained throughout the life of the CCMS project.</p> <p>Additionally, the CCMS PMO will report to the Judicial Council on a quarterly basis. The reports to the Judicial Council will include the health of the program from a scope, schedule, budgetary, and resource perspective as well as any specific recommendations that the council should consider.</p> <p>All reports to the council will be posted on the California Courts public website.</p> <p>Other documentation will be available to the public in a manner consistent with rule 10.500 of the California Rules of Court, which strives for transparency of judicial administrative records and to ensure the public's right of access to such records.</p>	<p>16 All documentation, including documentation concerning key decisions, will be placed in the CCMS documentation libraries and a retention period of 5 years after the project is completed will be established.</p> <p>17 Documentation predating this new governance model will be placed in the CCMS documentation libraries.</p> <p>18 CCMS Executive Committee meets quarterly or more frequently if needed and will report to the Judicial Council as response indicates.</p> <p>19 Post reports on the California Courts public website. All JC meeting agendas, reports, and minutes are on the web site.</p> <p>20 Policy and procedures concerning requests by the public are responded to appropriately and within the required timeframes.</p>	16		Moore	Butler	Immediately and ongoing	Immediately and ongoing	
				17		Moore	Butler	June 2011		
				18		Moore	Butler	May 2011 and quarterly thereafter		
				19		Moore	Butler	After each JC meeting starting in May 2011		
				20		Moore	Butler	As requests are submitted.	As requests are submitted.	
				21		Moore	Walker	June 2007	June 2007	
7	Agree in part	<p>To ensure its contract with the development vendor protects the financial interests of the State and the judicial branch, the AOC should consider restructuring its current contract to ensure the warranty for CCMS is adequate and covers a time period necessary to ensure that deployment of CCMS has occurred at the three early-adopter courts and they are able to operate the system in a live environment.</p> <p>The AOC agrees that the warranty needs to be of sufficient length to allow CCMS to be operating in a live environment before the expiration of the warranty.</p> <p>We have already negotiated a twelve month system warranty for CCMS that will begin no later than eight months after system acceptance, or upon productive use of the system in a court, whichever occurs first.</p> <p>The AOC is negotiating with the vendor to provide additional latitude as to the start and end of the warranty period but does not anticipate restructuring the current contract.</p>	<p>21 Ensure that the warranty is of sufficient length as indicated in response.</p> <p>22 Negotiate a 12 month system warranty for CCMS.</p> <p>23 Complete negotiations with vendor as indicated in response.</p>	21		Moore	Walker	June 2007	June 2007	
				22		Moore	Walker	June 2007	June 2007	
				23		Moore	Walker	August 2011		

ADMINISTRATIVE OFFICE OF THE COURTS
BUREAU OF STATE AUDITS - CCMS AUDIT

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				Step	Description	Responsibility		Targeted Completion Date		Date Completed
						Primary	Support			
8	Agree	If the Judicial Council determines that CCMS is in the best interest of the judicial branch and it directs the AOC to deploy the system statewide, assuming funding is available, the AOC should ensure that any contract it enters into with a deployment vendor includes the following: cost estimates that are based on courts' existing IT environments and available resources to assist with deployment activities; well-defined deliverables; and adequate responsibility is placed on the vendor for conducting key steps in the deployment of the system.	<p>Any deployment contract will take into account assessments of each court's existing IT environment and available resources. Information gathered through the deployments to the early adopter courts will enable the AOC to accurately estimate deployment costs.</p> <p>The AOC will take into account both the BSA and OCIO recommendations on this issue and will consider all options for deployment to best protect the financial interests of the branch, including consideration of not outsourcing deployment services for some smaller court deployments.</p> <p>However, in discussions with the OCIO after its 2010 review of CCMS, the OCIO raised concerns that the prior, unexecuted deployment contract placed too much responsibility on the deployment vendor and strongly recommended that the courts and the AOC assume greater responsibility.</p> <p>The AOC will also ensure that any deployment contract requires the vendor to provide all services necessary to complete the deliverables due under the contract and that all deliverables are well defined. The AOC will negotiate the most favorable terms possible when entering into a deployment contract, including placing appropriate responsibility on the vendor.</p>	24	Deployment strategies, including alternatives, discussed. Early adopter courts assessed.	Moore	Butler / Hatcher	TBD		F
						Moore	Butler / Hatcher			
				26	Discuss with other AOC mgmt., the governance committees, and the courts deployment strategies, plans, and responsibilities. Document decisions and plans..	Moore	Butler / Hatcher	On-going	On-going	
				27	All SOWs for deployment shall be reviewed by the CCMS Operations Advisory Committee and submitted to the CCMS Executive Committee for approval when it determines that the SOWs have a well defined, comprehensive set of deliverables and that negotiated terms are the most favorable possible.	Moore	Butler / Hatcher	As necessary and required.	As necessary and required.	
9	Agree	The Judicial Council should ensure that the governance model for CCMS ensures that approval of contracts and contract amendments that are significant in terms of cost, time extension, and/or change in scope occur at the highest and most appropriate levels, and that when contracts or contract amendments above these thresholds are approved, that the decision makers are fully informed regarding both the costs and benefits.	<p>The CCMS governance committees, the CCMS PMO, and the AOC Project Review Board (PRB), will have structured protocols in place to ensure that all significant contract amendments, changes in cost and scope, and extensions to time frames will be approved at the appropriate levels based on full and complete information, including costs and benefits associated with the contract or contract amendments.</p> <p>As described in response to recommendation 3, the governance committees are charged with providing oversight of the CCMS program, including the program scope, program budget, application functionality, implementation priorities, and deployment schedules.</p> <p>The CCMS governance model document includes summaries of responsibilities for each of the governance committees, as well as for the CCMS PMO, including responsibilities for key decision-making. The document also requires the elevation of other decisions, as appropriate within the governance model, to the Administrative Director of the Courts or the Judicial Council.</p>	28	Refer to approved model documents of CCMS governance committees, the CCMS PMO, and the AOC PRB.	Moore		December 2010	December 2010	E
						n/a		December 2010	December 2010	
				30	See recommendation 3	Moore		December 2010	December 2010	
10	Agree	To ensure any future IT projects are in the best interest of the judicial branch and the State, the AOC should do the following:	The AOC has been working diligently with the OCIO since its review of CCMS. The AOC has taken steps to integrate the OCIO's recommendations into its existing technology project management process. This includes working with the OCIO on project concept documents and project charters for future IT projects and using project planning documents more similar to those typically used for executive branch IT projects.	31	Evaluate the AOC's technology project management process to integrate the OCIO's recommendations, including the use of project concept, charter, and planning documents similar to those used on executive branch IT projects.	Dusman		2010	2010	

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
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		<ol style="list-style-type: none"> 1. complete a thorough analysis of the project's costs and benefits before investing any significant resources and time into its development; 2. update this analysis periodically and as significant assumptions change; 3. document and retain all key decisions that impact the project in general, including the goals of the project; and 4. better structure contracts with development and deployment vendors to protect the financial interests of the judicial branch and ensure the contracts provide for adequate warranty periods. 	<p>The AOC will continue to work with the best qualified legal counsel to ensure that its development and deployment contracts protect the financial interests of the judicial branch and the state. Moreover, the AOC will include appropriate warranty periods in its IT projects and will ensure that any future development and deployment contracts address the length and timing of a warranty period to ensure necessary protection.</p>	32	Development and deployment contracts for future IT projects will be completed to ensure they protect the financial interests of the judicial branch and the state. The items in the recommendation will be considered in each contract.	Dusman	Walker	On-going	On-going	

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CHAPTER 2										
11	Agree	To ensure that the financial implications of the statewide case management project are fully understood, the AOC should report to the Judicial Council, the Legislature, and stakeholders a complete accounting of the costs for the interim systems and CCMS.	<p>The AOC issues an annual report to the Legislature on case management project costs. Beginning with the report for FY 2008-2009, the AOC included the costs for the CCMS project, V2 and V3 one-time and ongoing costs, and ongoing operations and maintenance costs, projected through the full deployment of CCMS.</p> <p>In future reports the AOC will also include all identifiable costs related to CCMS incurred by the trial courts. It will work with the courts to identify and report, on an ongoing basis, the costs they are incurring for other local interim case management systems.</p> <p>This figure should be clear about the uncertainty surrounding some costs, such as those that the AOC and superior courts will incur for deployment of CCMS.</p> <p>Finally, the AOC will identify in this report costs that have a significant level of uncertainty.</p> <p>Consistent with the distribution of prior years' reports, these reports will be submitted to the Judicial Council and the Legislature and posted on the California Courts public website.</p>	1	Annual report to the Legislature includes costs outlined in the response.	Moore	Finance Division	FY 2008-2009 report	FY 2008-2009 report	
				2	Include all identifiable costs related to CCMS incurred by the trial courts.	Moore	Finance Division and Trial Court Administrative Services Div	April 2011 and annually thereafter on or before Dec. 1		
				3	Update costs incurred per step 2.	Moore	Finance Division and Trial Court Administrative Services Div	April 2011 and annually thereafter on or before Dec. 1		
				4	Identify in the annual report any costs that have a significant level of uncertainty.	Moore	Finance Division	April 2011 and annually thereafter on or before Dec. 1		
				5	Submit report to the Judicial Council	Moore	Finance Division	April 29, 2011 and annually thereafter		
				6	Post report on the California Courts public website.	Nash	Finance Division	May 1, 2011 and annually thereafter on or before Dec. 1		
12	Agree	The AOC should require superior courts to identify their past and future costs related to the project, particularly the likely significant costs courts will incur during CCMS deployment, and include these costs in the total cost.	<p>The AOC has already modified the trial courts' financial reporting system, Phoenix, to enable courts to track current and future case management system costs distinct from other technology expenditures.</p> <p>In addition, the AOC provided guidance to the trial courts to assist them to identify costs specific to development, deployment, and ongoing operations.</p> <p>The AOC will work with the trial courts to identify any additional expenditure information not already included in its reporting for prior fiscal years.</p> <p>Although a substantial portion of court costs for the deployment of CCMS has been identified and captured in the costs already projected and reported, the AOC will be better able to estimate and refine case management system costs likely to be incurred by the trial courts based on information gathered from early adopter and subsequent court deployments. It will include such costs in the total cost estimates where applicable.</p>	7	Modify trial courts' financial reporting system to track current and future CMS costs distinct from other technology expenditures.	Moore	Soderlund and Finance Division	2010	2010	
				8	Provide guidance to the trial courts to identify costs specific to development, deployment, and on-going operations.	Moore	Soderlund and Finance Division	2010	2010	
				9	Work with the trial courts to identify any additional expenditure information not already included in its reporting for prior fiscal years.	Moore	Finance Division	On-going	On-going	
				10	After early adopter court deployments, update cost estimates for deployment activities by court and total costs.	Moore	Finance Division	Dec. 2012		
				11	Periodically during deployment of courts, update cost estimates of deployment activities by court and total costs.	Moore	Finance Division	Annually or as required.	Annually or as required.	

ADMINISTRATIVE OFFICE OF THE COURTS
BUREAU OF STATE AUDITS - CCMS AUDIT

RESPONSE TO THE AUDIT --- COMPLIANCE CHECKLIST AND ACTION PLAN

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
						Primary	Support			
13	Agree	The AOC should be clear about the nature of the costs that other entities, such as justice partners, will incur that are not included in its total.	<p>The AOC currently identifies the nature of costs that justice partners will incur to integrate with CCMS and will continue to do so.</p> <p>As part of its strategy for the successful deployment of CCMS, the AOC has offered and provided assistance to justice partners and simplified interfaces with CCMS to the greatest extent possible.</p> <p>To ensure broader understanding of the types of costs justice partners may incur to integrate with CCMS, the AOC will begin including this information in the annual CCMS report to the Legislature.</p> <p>In addition, as discussed in response to recommendation 2, as part of the comprehensive cost benefit analysis of the CCMS project currently being performed, the AOC will evaluate integration costs likely to be incurred by the justice partners of two early adopter courts.</p> <p>Additionally, the CCMS Justice Partner Advisory Committee is charged with ensuring that the implementation of CCMS occurs in a manner that maximizes state and local justice partner participation.</p> <p>As part of its responsibilities, the committee will communicate with state and local justice partners to gain a more comprehensive understanding of the costs justice partners may incur and provide feedback to the CCMS PMO.</p> <p>The advisory committee will also be working with justice partners to help ascertain the administrative and financial benefits, in addition to costs, accruing as a result of CCMS deployment or enhancements.</p>	12	Prepare and update on an on-going basis a report/listing of types of costs that justice partners may incur.	Moore	Finance Division	On-going	On-going	Eand F
				13	Continue to offer and assist justice partners on deployment. Document all activities performed and place in project library.	Moore		On-going	On-going	
				14	See recommendation 11 action steps.	Moore	Finance Division	April 2011 and annually thereafter on or before Dec. 1		
				15	Evaluate integration costs estimates incurred by the justices partners of two early adopter courts. This is part of the CBA.	Moore	Finance Division	Feb. 2011	Feb. 2011	
				16	Committee responsibility of the CCMS JPAC specifies this charge.	Moore		Dec. 2010	Dec. 2010	
14	Agree	Finally, the AOC should update its cost estimate for CCMS on a regular basis as well as when significant assumptions change.	<p>The AOC currently updates its cost estimates on a regular basis or when significant assumptions change.</p> <p>As part of the AOC's Information Technology Investment Management Program, the estimated cost and allotted budget for CCMS are reviewed monthly and revised and updated when scope or other project changes with cost implications are identified or approved. (See also the response to recommendation 5.)</p>	17	Update cost estimates as of fiscal year end.	Moore	Finance Division	August 2011		
				18	Update cost estimates when significant assumptions change.	Moore	Finance Division	As necessary	As necessary	
				19	Review, revise, and update estimated cost and allotted budget for CCMS.	Moore	Finance Division	Monthly	Monthly	
15	Agree in part	Moreover, the AOC should ensure that its accounting system accurately reflects the costs for all staff working on the project, particularly those staff who charge only a portion of their time to the project.	<p>The AOC concurs that staff providing direct support for the project should be accounted for as CCMS project costs.</p> <p>The AOC currently reports staff costs in this manner and will review its reporting to ensure that there are no discrepancies.</p> <p>We believe, however, that senior executives, such as directors and assistant directors who have a broad span of administrative responsibilities over various programs, projects and initiatives, should not be included in CCMS project costs.</p>	20	Account for all direct staff costs of the CCMS project, including staff who charge only a portion of their time to the project.	Nash	Finance Division	2010	2010	
				21	Review reporting of costs to ensure staff costs are reported as indicated in step 23.	Moore	Finance Division	April 2011		
16	Agree	To address the funding uncertainty facing CCMS, the AOC should work with the Judicial Council, Legislature and Governor to develop an overall strategy that is realistic given the current fiscal crisis facing the State.	The AOC, as directed and authorized by the Judicial Council, has modified its strategy and will continue to do so in light of current and foreseeable future economic realities as well as the needs of courts whose current systems are at imminent risk of failing.	22	Modify funding strategy for CCMS as necessary.	Nash	Finance Division	On-going, as necessary.	On-going, as necessary.	

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
						Primary	Support			
			<p>The AOC will continue to work with the Legislature and the Governor to explore all potential approaches for securing sufficient funding to complete the statewide deployment of CCMS.</p> <p>Such options may include consideration of project financing, as well as state, federal, local, and private funding.</p> <p>The Judicial Council, in coordination with legislative and executive branch leadership, has demonstrated prudence and flexibility in its overall funding strategy in light of the fiscal crisis, redirecting more than \$200 million in the last two fiscal years from funding that would have been available for technology projects to cover reduced court funding, and scaling back initial CCMS deployment plans to three early adopter courts.</p> <p>By completing these early deployments, the AOC also reduces risk for later deployments, which will foster a more competitive bid process for CCMS deployment and protect the interests of the judicial branch and the state.</p>	23	Work with Legislature and Governor regarding potential approaches for securing sufficient funding for CCMS.	Nash	Office of Gov. Affairs	On-going, as necessary.	On-going, as necessary.	
						Nash	Office of Gov. Affairs	On-going, as necessary.	On-going, as necessary.	
						Nash	Office of Gov. Affairs	On-going, as necessary.	On-going, as necessary.	
						Nash	Office of Gov. Affairs	On-going, as necessary.	On-going, as necessary.	
17	Agree	To better manage costs of future IT projects, the AOC should take the following steps:	The AOC's ITIMP already incorporates many of the steps identified in the recommendation. As part of ITIMP, the estimated cost and allotted budget for all major projects are reviewed monthly and revised and updated as scope or other project changes with cost implications are identified or approved. The AOC will revise the ITIMP to incorporate the consideration of the fiscal impact on local courts and justice partners.	24	AOC to revise its ITIMP to incorporate the fiscal impact on local courts and justice partners.	Nash	Finance Div	May 2011		
		<ol style="list-style-type: none"> 1. estimate costs at the inception of projects; 2. employ appropriate budget and cost management tools to allow it to appropriately budget, track, manage, and estimate costs; 3. ensure that cost estimates are accurate and include all relevant costs, including costs that superior courts will incur; 4. disclose costs that other entities will likely incur to the extent it can reasonably do so; 5. update cost estimates on a regular basis and when significant assumptions change; 6. disclose full and accurate cost estimates to the Judicial Council, the Legislature, and stakeholders from the beginning of projects; and 7. ensure that it has a long-term funding strategy in place before investing significant resources in a project. 		25	AOC to ensure its ITIMP addresses recommendation items 1 through 7.	Dusman	Nash	May 2011		

ADMINISTRATIVE OFFICE OF THE COURTS
BUREAU OF STATE AUDITS - CCMS AUDIT

RESPONSE TO THE AUDIT --- COMPLIANCE CHECKLIST AND ACTION PLAN

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
						Primary	Support			
CHAPTER 3										
18	Agree	Although the Judicial Council has the legal authority to compel the courts to adopt CCMS, to better foster superior courts' receptiveness to deploying CCMS, the AOC should use the results from its consultant's survey to better understand the courts' input and concerns regarding CCMS, including the manner in which the project has been managed by the AOC.	<p>Participation and input from the courts are vital to the success of CCMS. Surveys are just one example of many tools the Judicial Council, its advisory committees, the CCMS governance committees, and the AOC rely on to gather information, seek input, learn about local court concerns, and identify trends in order to develop a cohesive deployment strategy. This is true for CCMS and all branchwide projects and initiatives.</p> <p>The results from the Grant Thornton survey issued as part of the cost benefit study will be used to refine a variety of deployment alternatives for consideration by the AOC, the CCMS governance committees, and the Judicial Council. Along with the experience gained and lessons learned from deployment of CCMS at the early adopter courts, further information on the impact of CCMS implementation on court business processes, courts' concerns regarding the timing for deployment of the system, status of existing legacy systems, anticipated cost savings, and needs of the court users will all be factors given great weight in assessing the several deployment alternatives.</p>	1	Deployment alternatives will utilize all input and will be discussed with the Judicial Council, Executive Office, and CCMS Executive Committee. Refer to Chapter 1 recommendation 1 action steps.	Moore	Dusman	On-going	On-going	
		To the extent that survey results indicate courts have significant concerns regarding CCMS or that they believe their case management systems will serve them for the foreseeable future, the AOC should take steps to address these concerns and overcome any negative perceptions and modify its deployment plan for CCMS appropriately.	The CCMS governance committees—composed of 3 appellate justices, 19 trial court judges, 20 trial court executive officers, and 2 appellate court clerk/administrators, as well as state and local justice partners, representing 27 superior courts and 4 Courts of Appeal from across the state—will play a critical role in ensuring that the perspectives and concerns of the superior courts are given complete attention in determining viable deployment strategies.	2	Refer to the duties of the committees in the CCMS Governance Model and the annual plans of the committees	Moore	Dusman	On-going	On-going	E and F
19	Agree	The AOC should continue to work with the superior courts that have deployed the civil system to ensure it is addressing their concerns in a timely and appropriate manner.	<p>Going forward, the CCMS Operational Advisory Committee is responsible for setting the priorities for defects and enhancements. In addition, in 2011 the AOC will transition application support for the civil system from Deloitte to the AOC Information Services Division. This transition will allow the AOC to provide ongoing support of the interim civil system at significantly lower cost to the branch.</p> <p>Transitioning support of the interim criminal and traffic system to the AOC Information Services Division, accomplished in September 2009, has proven cost effective, and the Superior Court of Fresno County has expressed satisfaction with the quality of the support provided. The CCMS PMO has dedicated staff assigned to work with courts using the interim civil system to address their needs and concerns.</p> <p>Since deployment of the interim civil system, there have been numerous releases to improve the functionality and enhance the system in response to suggestions raised by the V3 courts.</p> <p>In addition, where unique problems have been identified by particular users, the AOC has provided dedicated project teams to work with those courts to identify and resolve the issues.</p>	3	Refer to the duties and annual plan of the CCMS Operational Advisory Committee.	Moore	Dusman	On-going	On-going	E and F
				4	Transition application support for the civil system from Deloitte to the AOC ISD.	Dusman	Moore	Oct. 2011		
				5	The CCMS PMO has dedicated staff assigned to work with courts using the interim civil system to address their needs and concerns.	Moore	Dusman	On-going	On-going	
				6	Refer to CCMS Governance Model and duties of committees, especially the CCMS Operational Advisory Committee.	Moore	Dusman	On-going	On-going	E and F
				7	Continue to support courts where unique problems have been identified.	Moore	Dusman	On-going	On-going	

ADMINISTRATIVE OFFICE OF THE COURTS
BUREAU OF STATE AUDITS - CCMS AUDIT

RESPONSE TO THE AUDIT --- COMPLIANCE CHECKLIST AND ACTION PLAN

Rec. #	Response	Recommendation	Response	ACTION PLAN				Attachment		
				Step	Description	Responsibility			Targeted Completion Date	Date Completed
Primary	Support									
20	Agree	The AOC should work with superior courts to address concerns about hosting data at the Technology Center. Further, the AOC should take steps to ensure that superior courts do not lose productivity or efficiencies by hosting data at the Technology Center.	<p>The AOC is committed to ensuring that the performance of systems hosted at the CCTC is comparable to performance of a locally hosted system. It presently works closely with the courts, and will continue to do so, to address all of their concerns, including those directly related to the CCTC.</p> <p>The CCMS Operational Advisory Committee will work directly with the CCMS PMO and the courts to review, modify, and add service level metrics as needed to ensure that centrally delivered services are provided in a manner that is fully responsive to the courts' business needs.</p> <p>Hosting at the CCTC also provides dramatic benefits to the courts and the viability of the statewide system. Hosting at a remote location is a best practice to ensure data security and the integrity of the software.</p> <p>Through the CCTC, the data and application are maintained at two seismically stable locations, connected through multiple redundant data lines, in two distinct geographic regions so as to protect against localized incidents (such as fire, flood, or other natural disaster) that could affect the availability of the system and the security of the data.</p>	8	Refer to CCMS Governance Model and duties of committees, especially the CCMS Operational Advisory Committee.	Moore	Dusman	On-going	On-going	E and F
21	Agree	The AOC should continue working with local and state justice partners to assist them in their future efforts to integrate with CCMS and, in particular, provide local justice partners the information needed to estimate the costs involved.	<p>The AOC has a data integration team dedicated to working with state and local justice partners to prepare them to integrate with CCMS. This team participates in justice partners' association meetings, conferences, and other events to create awareness about CCMS and highlight the benefits of integration.</p> <p>The CCMS justice partner data integration team also disseminates information about tools, resources, and information to support their integration efforts. The outreach team routinely meets with state agencies, including the California Highway Patrol, Department of Motor Vehicles, Department of Justice, Department of Child Support Services, Department of Corrections and Rehabilitation, and local justice partners such as district attorneys, public defenders, probation departments, and sheriffs.</p> <p>In addition, the AOC has developed and maintains a justice partner integration website. The site provides information about the 121 CCMS data exchanges and offers instructions for their implementation. All justice partners have access to the site, which identifies resources they may need to integrate with CCMS. The information provided helps partners estimate their costs of integrating with CCMS.</p>	9	Refer to CCMS Governance Model and duties of committees, especially the CCMS Justice Partner Advisory Committee.	Moore	Dusman	On-going	On-going	E and F
				10	Refer to comments and actions in Chapter 1.	Moore	Dusman	On-going	On-going	

Rec. #	Response	Recommendation	Response	ACTION PLAN						
				Step	Description	Responsibility		Targeted Completion Date	Date Completed	Attachment
Primary	Support									
			To further assist justice partners, the AOC has negotiated an agreement with TIBCO, the vendor of the software tool used to build the data exchanges. If justice partners need similar tools to integrate their systems with CCMS, the AOC has arranged for them to contract with TIBCO at a deeply discounted rate. CCMS also supports less complex data integration solutions for those justice partners who cannot implement a web services infrastructure. This minimizes the potential impact on existing infrastructure and lessens the integration cost burden.							

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
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			<p>As described in response to recommendation 13, the CCMS Justice Partner Advisory Committee—which includes state and local justice partners representing law enforcement, social</p> <p>service agencies, and the criminal and civil bars—is charged with ensuring that the implementation of CCMS and its data exchanges maximizes state and local justice partner participation and minimizes disruptions to existing automated processes between courts and their justice partners.</p> <p>Committee members will work with a variety of state and local justice partners to identify challenges to integrating with CCMS so that solutions may be provided.</p>							
22	Agree	<p>Before embarking on future IT projects and to ensure it secures appropriate support from users of the systems being proposed, the AOC should do the following:</p> <p>1. determine the extent to which a need for the IT initiative exists, including the necessary information to clearly demonstrate the extent of the problem the IT initiative will address;</p> <p>2. take steps to ensure that superior courts support the solution the AOC is proposing to address the need, which could include conducting a survey of courts to determine their level of support; and</p>	<p>The AOC has both formal and informal processes and procedures in place to identify and assess the need for statewide technology improvements for the judicial branch in partnership with the courts. It is committed to these processes and will continue to leverage these opportunities.</p> <p>As technology project needs are identified through these many communication channels, project concept documents are drafted that include statements of the problem, anticipated costs and benefits of the IT solution, impacts on courts and court operations, and known risks.</p> <p>After review of the project concept, the PRB evaluates, prioritizes, and approves (or rejects) branchwide technology projects.</p> <p>Additionally, in response to a recommendation made by the OCIO, the AOC is revising its project tools, processes, and documents to better parallel how other state technology projects are managed and reported.</p> <p>Regional meetings provide a solid foundation for the AOC and the courts to share information to learn about, better understand, and evaluate statewide technology needs. Moreover, the Judicial Council's Court Technology Advisory Committee, Trial Court Presiding Judges Advisory Committee, and Court Executives Advisory Committee provide additional avenues of communication that enhance the exchange of information between and among the AOC and the courts to influence the direction and strategies for future statewide technology improvements.</p> <p>Frequent, informal communications with the regional offices and the courts, as well as statewide meetings of presiding judges and court executive officers, surveys, and other communication channels too numerous to list here, build on that foundation to ensure that vital feedback loops are in place.</p>	11	The AOC continues utilize all processes and procedures to ensure appropriate support of technology projects.	Dusman	Moore	As necessary	On-going	
				12	Continue to prepare project initiation documents and submit to the Project Review Board for approval prior to initiation	Dusman	Moore	As necessary	On-going	G
				13	Submit project concepts to PRB for review and approval.	Dusman		As necessary	On-going	G
				14	Revise IT project tools, processes, and documents to better parallel how other state technology projects are managed and reported.	Dusman	Moore	On-going	On-going	
				15	As information concerning issues, etc., are obtained from the meetings identified in the response, document and submit for review and resolution. Ensure documentation is filed and retained.	Dusman	Moore	As necessary	On-going	
				16	Determine if, or if determined necessary, surveys should be periodically sent to courts to determine issues, levels of support, service quality, etc.	Moore		As necessary	On-going	
				17	As information concerning issues, etc., are obtained from the meetings identified in the response, document and submit for review and resolution.	Moore		On-going	On-going	

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
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Primary	Support									
		3. if necessary, determine whether other stakeholders, including local and state justice partners, support the IT initiative.	<p>The PRB ensures that all branchwide technology projects follow a structured analysis protocol, producing the information required to adequately assess the need for and value of the project proposal. Court and stakeholder surveys are just one tool available in conducting the analysis.</p> <p>This analysis protocol provides the mechanisms to mitigate risks and to effectively deliver information about the benefits that an IT project will deliver.</p>	18	Refer to CCMS Governance Model and duties of committees, especially the CCMS Justice Partner Advisory Committee.	Dusman	Moore	On-going	On-going	E and F

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
				Step	Description	Responsibility		Targeted Completion Date		Date Completed
				Primary	Support					
CHAPTER 4										
23	Agree in part	To provide for an appropriate level of independent oversight on CCMS, the AOC should expand and clarify the scope of oversight services and require that oversight consultants perform oversight that is consistent with best practices and industry standards.	<p>The AOC strongly agrees that project oversight should be performed consistent with best practices and industry standards, although it does not agree that this can be done only by external contractors. The AOC maintains that the comprehensive, multifaceted approach used for the verification and validation process—which includes IPO and IV&V, as well as using AOC and court experts independent of the vendor—is entirely consistent with industry standards and guidelines and best practices for information technology projects of the size and complexity of CCMS.</p> <p>Additionally, the CCMS General Administrative Advisory Committee will review monthly IV&V reports to assess the effectiveness, performance, challenges, and risks to the CCMS program.</p> <p>This committee will report this information quarterly to the CCMS Executive Committee for review and action where appropriate.</p>	1	Request to submit to the IEEE for an interpretation of the IEEE 1012-2004 standards and guidelines to determine whether a V&V approach, utilized with an independent IV&V component, was acceptable in meeting the guidelines if no statement of compliance with IEEE 1012-2004 is made in reports or subsequently prepared SVVP.	Judnick		Feb. 2011	Feb. 8, 2011	
				2	Submit the IPO / IV&V reports on a monthly basis to the CCMS GAAC to review at their next meeting. The CCMS GAAC meets every other month.	Judnick	Butler	February GAAC Meeting	On-going	H
				3	CCMS GAAC to report quarterly to CCMS Executive Committee on IPO/IV&V reports.	Moore	Judnick	Quarterly starting May 2011		
24	Agree	To ensure that no gaps in oversight occur between CCMS development and deployment, the AOC should ensure that it has IV&V and IPO services in place for the deployment phase of CCMS. Further, to allow for independent oversight of the IV&V consultant, the AOC should use separate consultants to provide IV&V and IPO services.	The AOC will contract with separate entities to provide IV&V and IPO services for the deployment of CCMS.	4	Draft SOW's for IPO and IV&V deployment work.	Judnick	Moore	April 2011	April 2011	I
				5	Review, meet with, and elicit comments from OCIO and BSA on the draft SOW's.	Judnick	Moore	April 2011		
				6	Prepare RFP, evaluate responses, prepare and execute contract.	Judnick	Walker	May 2011		
25	Disagree	To ensure no significant quality issues or problems exist within CCMS, the AOC should retain an independent consultant to review the system before deploying it to the three early adopter courts.	Retaining another consultant is not necessary in light of the rigorous and extensive testing that is occurring, and would provide no additional value.		NOTE: The AOC has subsequently agreed with this recommendation see step 8 below.					
		This review should analyze a representative sample of the requirements, code, designs, test cases, system documentation, requirements traceability, and test results to determine the extent of any quality issues or variances from industry standard practices that would negatively affect the cost and/or effort required of the AOC to operate and maintain CCMS.	When the AOC and the courts discovered numerous quality issues with the application code during preliminary vendor testing, the AOC required that a rigorous and extensive effort be introduced to verify that the application code met the requirements of the final functional design (FFD). The vendor agreed, and is responsible for the costs associated with correcting the quality issues and any costs incurred by the branch as a result of the project's delay.			Moore		2010	2010	
			A four-to-six-week functional assessment and replanning effort was conducted in which the vendor assigned a senior management team to assess the problems with the code and the validation of the FFD and to determine how to remediate the defects and functional gaps (a "find-and-fix" phase). Having completed this find-and-fix phase for the core application, the vendor is currently completing the same process for the CCMS data exchanges, data warehouse, public portal, and data migration components of the application (the external components).			Moore		2010	2010	

Rec. #	Response	Recommendation	Response	ACTION PLAN				Targeted Completion Date	Date Completed	Attachment
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						Primary	Support			
			<p>The AOC also instituted weekly, or more often if needed, senior executive management meetings in addition to the regularly scheduled project management meetings. The purpose of these meetings is to monitor the progress being made by the vendor by reviewing project status, quality metrics, and defect resolution. Issues continue to be resolved quickly or escalated as appropriate. This has significantly improved the AOC's CCMS project oversight.</p> <p>If any quality issues and problems identified by this review can be adequately addressed and system development can be completed without significant investment beyond the funds currently committed, the AOC should deploy it at the early adopter courts using the vendor's warranty period.</p> <p>AOC and court subject-matter experts have participated in both vendor integration testing and product acceptance testing. A suite of approximately 19,000 test scripts was developed jointly by the vendor, the courts, and the AOC to validate the CCMS application through both integration testing and product acceptance testing. The system will not be accepted by the AOC until it meets very rigorous exit criteria, as determined by the AOC and the courts, in both the integration and product acceptance testing phases.</p> <p>The established criteria dictate that there be zero severity 1 defects (a defect that renders the entire application not usable); zero severity 2 defects (a defect that results in one or more components of the application not working, but that can be overcome with a work-around); and no more than 50 severity 3 defects (a minor defect to a noncritical component that results in no significant impact on the user). The courts are participating in product acceptance by executing the test scripts and identifying defects according to the established quality management criteria.</p> <p>As a result of this rigorous and extensive testing and retesting, additional independent oversight is not warranted. Further evaluation and analysis by another independent consultant will not provide additional value but will further delay deployment of the system.</p>	7	Continue to hold the weekly meeting to monitor vendor progress.	Moore		On-going	On-going	
						Moore		2010	2010	
						Moore		2010	2010	
				8	Prepare SOW, discuss with OCIO and BSA. Obtain recommendations from them on vendors and contract with vendor to perform the review.	Moore	Dusman	May 2011		1
				9	Resolve any issues during the warranty period and before the early adopter courts go live with CCMS.	Moore	Dusman	October 2011		
26	Agree	To ensure that future major information technology projects receive appropriate independent oversight over technical aspects and project management, the AOC should take the following steps:	<p>The AOC strongly agrees that it is critical that information technology projects receive the necessary and appropriate project oversight.</p> <p>Additionally, the AOC will continue to follow the parameters of the Information Technology Project Oversight Framework in the OCIO's State Information Management Manual and all appropriate industry guidance.</p> <p>The AOC will assess each project for its risk, sensitivity, and criticality and will give great deference to the OCIO's guidance to determine the manner and extent of project oversight that will be implemented.</p> <p>The AOC commits to timely obtaining and maintaining the appropriate independent project oversight services based on the size, scope, and complexity of the project and to ensuring that complete access is granted to all necessary materials.</p> <p>In accordance with Government Code section 68511.9, the AOC is working closely with the OCIO on CCMS, will continue to work closely with that office on all IT projects that are projected to cost in excess of \$5 million, and will carefully consider all OCIO recommendations for such projects, including recommendations relating to oversight and risk mitigation.</p> <p>In accordance with Government Code section 68511.9, the AOC is working closely with the OCIO on CCMS, will continue to work closely with that office on all IT projects that are projected to cost in excess of \$5 million, and will carefully consider all OCIO recommendations for such projects, including recommendations relating to oversight and risk mitigation.</p>							
		1. obtain IV&V and IPO services at the beginning of the projects and ensure this independent oversight is in place throughout and follows best practices and industry standards appropriate for the size and complexity of the project		10	Review parameters of the OCIO Project Management Methodology Reference Manual, including the "Framework", and all appropriate industry guidance to determine how to incorporate into project processes for CCMS and future IT projects.	Dusman	Moore	On-going	On-going	
		2. employ separate firms for IV&V and IPO to allow for the IPO consultant to provide independent oversight on the IV&V consultant as well as the project team's response to IV&V findings;		11	For future IT projects, including CCMS deployment, assess risk, sensitivity, and criticality, along with OCIO guidance for project oversight determinations.	Dusman	Moore	On-going	On-going	
		3. ensure that the staff performing IV&V and IPO services have experience and expertise that is commensurate with the size, scope, and complexity of the project they are to oversee;		12	See recommendation 24 action steps.	Dusman	Moore	On-going	On-going	
				13	AOC will work to appropriately set up an IPO and IV&V process for future technology projects with consideration of recommendations from the OCIO.	Dusman	Moore	On-going	On-going	
				14	Upon contracting with entities to perform IPO and IV&V, the AOC will ensure that experienced staff and management are assigned to the engagement and continuity is achieved throughout the project.	Dusman	Moore	On-going	On-going	1

Rec. #	Response	Recommendation	Response	ACTION PLAN					Attachment	
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		4. ensure that independent oversight is not restricted in any manner and that all parties—the IV&V and IPO consultants, senior management, the project management team, and the development vendor—understand that the IV&V and IPO consultants have complete access to all project materials; and	See responses above.	15	Establish protocols for IPO and IV&V concerning no restrictions and complete access to all project materials.	Dusman	Moore	On-going	On-going	
		5. promptly and appropriately address concerns that independent oversight consultants raise.	Additionally, the AOC concurs with the importance of the identification of concerns raised by the vendors and that concerns be reported and monitored to ensure they are appropriately addressed.	16	Distribute protocols to all appropriate project personnel.	Dusman	Moore	On-going	On-going	
				17	See recommendation 23 action steps.	Dusman	Moore	On-going	On-going	
			Consistent with the AOC's current practice, concerns will be taken off "watch status" only after careful consideration and discussion of all risks and mitigation efforts occur to ensure that system function is not affected.	18	Review 'watch status' concerns with PMO and document thoroughly justifications for removal from watch status. Documentation to be retained.	Judnick	Butler	On-going	On-going	



California
Court Case Management System
Cost Benefit Analysis

February 22, 2011

Executive Summary

In an effort to consolidate case management systems among and within the courts and to increase the ability to share data state-wide among the Administrative Office of the Courts (AOC), local superior courts, and state and local justice partners, the California Court Case Management System (CCMS) project was initiated in early 2002. CCMS V4 is currently in the integration testing phase. The AOC decided to conduct a Cost Benefit Analysis (CBA) of the CCMS to understand:

- The anticipated full lifecycle cost of ownership of the CCMS;
- The expected quantitative and qualitative benefits to be realized through the CCMS once fully deployed; and
- The Return on Investment (ROI) to be delivered by the CCMS.

The AOC engaged Grant Thornton LLP to conduct the CCMS CBA. This document presents the results of this analysis, which was performed from October 2010 to February 2011. In completing the CBA, Grant Thornton received electronic survey information from 48 courts, conducted telephone interviews with 28 courts to understand current IT costs, made in-person visits to seven courts, conducted telephone interviews with representatives of the Sustain Justice Edition (SJE) User Group and Small Court Consortium, and held numerous meetings with AOC management and staff. Of the courts surveyed, the Kern and Sacramento courts declined to participate in the electronic and telephone surveys, and the Sacramento court declined to host an in-person site visit.

The information collected was synthesized to develop an objective analysis of the likely costs and benefits of CCMS, and to provide a tool to support future Judicial Branch decision-making. Grant Thornton reviewed all data received for consistency and reasonableness, but did not conduct a detailed audit of cost estimate data provided by AOC or by the courts.

This analysis does not provide specific recommendations or present to the Judicial Branch a preferred alternative for CCMS. Instead, the analysis comprises an objective assessment of the following four alternative scenarios, so that Branch leaders may make informed decisions about the project's future:

- **Scenario 1: Cancel CCMS Deployment.** The CCMS V4 project would be cancelled at the end of FY 2010/11, and no further investment would be made in the CCMS project. CCMS V2 and V3 - interim versions of CCMS - would continue to exist as operational systems within the courts at which they have been implemented. With no further investment in a statewide case management solution, each of the state's 58 courts would individually maintain, upgrade or replace their current case management systems (CMS). This scenario is used as the "baseline" scenario against which all other scenarios are compared.
- **Scenario 2: 58 court deployment of CCMS.** CCMS V4 would be deployed state-wide to all 58 superior courts. All courts would operate on a standard CCMS platform that would be maintained at the California Court Technology Center (CCTC). The CCMS V4 implementation would include the

deployment and integration of a Document Management System (DMS) for those courts lacking such a solution, and would implement electronic interfaces with those State and local Justice Partners (JPs) that are prepared to electronically exchange case management data.

- Scenario 3: Southern Region plus V2/V3.** Within this scenario, after deployment of the three CCMS early adopter courts, the CCMS V4 deployment would be limited to courts in the Southern Region, not including Los Angeles, plus V2/V3 courts. In order to achieve cost savings through the retirement of the V3 interim system the CCMS V3 implementation at the LA Alhambra court would be included. The CCMS implementation would include the deployment and integration of a DMS for those courts lacking one, and would implement electronic interfaces with those State and local JPs that are prepared to electronically exchange case management data.
- Scenario 4: Interim CMS plus extra-small courts.** Within this scenario, after the deployment of the V4 solution to the three CCMS early adopter courts, CCMS deployment will be limited to all courts currently using CCMS V2, V3 or SJE, and to any other courts defined as “extra small”. This CCMS implementation scenario would also include the deployment and integration of a DMS for those courts lacking one, and will implement electronic interfaces with those State and local JPs that are prepared to electronically exchange case management data.

Grant Thornton presents the results of the CBA in the Economic Analysis Workbook (EAW) format prescribed by the State of California for use in State Feasibility Study Reports (FSRs). FSRs are the business case documents that are required by the State of California for all major Information Technology (IT) investments undertaken by the State Executive Branch. Figure 1 below presents the major cost and benefits components analyzed for each CBA scenario.

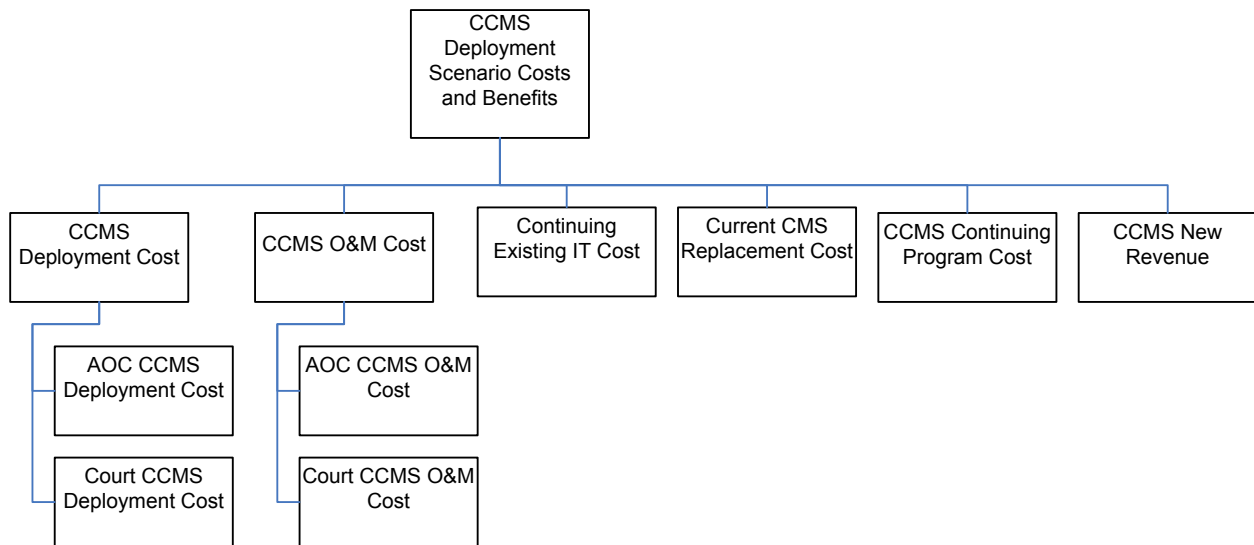


Figure 1: CCMS CBA components

The primary components of each scenario that contribute to the CBA are:

- CCMS deployment costs.** CCMS deployment costs to be paid through state-level funding are based on deployment budget estimates received directly from AOC CCMS project leadership. Court deployment costs are based on estimates received from V4 early adopter courts of the staffing expense that would be required for courts to effectively support the CCMS deployment at their court. In

addition, where a DMS implementation is assumed to occur at a court prior to CCMS deployment, those costs are included as court CCMS deployment costs.

- **CCMS operations and maintenance costs.** CCMS operations and maintenance costs are based on figures received directly from AOC CCMS project leadership. Court CCMS operations and maintenance costs primarily reflect assumed out-of-pocket expenses for courts during ongoing CCMS operations.
- **Continuing IT costs.** Courts are assumed to continue to expend resources on operating and maintaining their current CMS¹ at the current rate until CCMS is implemented at their court. Current CMS IT costs are based on our data collection and interviews with courts to understand their current IT expenditures.
- **Current CMS replacement costs.** For courts that are assumed not to implement CCMS, each court will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period (FY 2011/12 to FY 2020/21). We have assumed a minimalist replacement strategy – courts that could reasonably maintain their current systems indefinitely are assumed to do so; courts that could upgrade to a more modern version of their current system are assumed to do so; and courts that will require a full system replacement are assumed to replace their systems with the minimum functionality to support their current business practices. No significant business process reengineering, additional automation, or DMS implementation is assumed.
- **Continuing program costs.** The increased automation and more efficient business practices to be delivered by CCMS are assumed to impact each court's operations after that court has deployed CCMS. The business process efficiencies delivered by CCMS have the effect of reducing state-wide continuing program costs as courts deploy CCMS.
- **CCMS new revenue.** Three new system usage fees are assumed to be imposed after CCMS is deployed at each court. These fees help to offset CCMS deployment and operations costs.

Table 1 below¹ presents a summary of the total estimated ROI of the four alternative CCMS scenarios based on the total development and deployment costs of CCMS V4. Results are presented both for total project lifecycle costs (FY 2002/03 to FY 2020/21), and for future costs only (FY 2011/12 to FY 2020/21). Table 1 shows that:

- Since the Cancel CCMS Deployment scenario is the baseline scenario, by definition it produces an ROI of \$0. Grant Thornton chose the FY 2011/12 to FY 2020/21 time period as the baseline time period for which a \$0 ROI is returned. For the period FY 2002/03 to FY 2020/21 this scenario produces a negative ROI of (\$270,527,500) which reflects the sunk costs that have already been spent on CCMS V4 prior to FY 2011/12 and that cannot be recovered. This scenario includes an estimated cost of approximately \$342 Million for all 58 courts to maintain, upgrade or replace their existing CMS through FY 2020/21. This estimate is close to the “Low End Range Total” of \$363 Million that has been independently estimated by a recent analysis conducted for the California Trial Court Consortium (CTCC).
- When considering future costs only, deploying CCMS to all 58 courts produces a positive ROI of \$836,657,808 compared to the Cancel CCMS Deployment scenario. When all historical CCMS V4 costs are also considered the ROI is reduced to \$566,130,307. Once CCMS is fully operational in all 58 courts the system is estimated to produce a positive ROI of approximately \$300 Million each year.
- Deploying CCMS to only the early adopter, Southern Region and remaining V2/V3 courts (minus LA) produces an ROI of \$628,604,663 when considering future costs only, and an ROI of \$358,077,163

¹ Table 4-49 on page 77 of this document presents the ROI of the four alternative CCMS scenarios with V2 and V3 costs included in addition to V4 costs.

when total project lifecycle costs are taken into consideration. The CCMS deployment costs for this scenario are less, but business process efficiencies are also less and the current system replacement costs for those courts that do not deploy CCMS significantly reduce the ROI.

- Deploying CCMS to only the V2, V3, SJE and any remaining extra small courts results in an ROI of \$665,289,399 when only future costs are taken into consideration, and an ROI of \$394,761,898 when total project lifecycle costs are taken into consideration. As with the Southern Region scenario, CCMS deployment costs are less but business process savings as also less and current system replacement costs for non-CCMS courts reduce the ROI.

Return on Investment Value of Alternative Scenarios (V4 costs)		
	FY 2002/03 to FY 2020/21	FY 2011/12 to FY 2020/21
Cancel CCMS Deployment	(\$270,527,500)	\$0
58 Court Deployment of CCMS	\$566,130,307	\$836,657,808
Southern Region plus V2/V3	\$358,077,163	\$628,604,663
Interim CMS + extra small courts	\$394,761,898	\$665,289,399

Table 1: Summary of ROI based on V4 costs

Although Grant Thornton’s estimate of current system replacement costs for non-CCMS courts is similar to the result of an independent analysis conducted for the CTCC, there are significant uncertainties in estimating how much courts would expend in maintaining, upgrading or replacement their current CMS’ over the next ten years if CCMS were not deployed. Table 2 below therefore presents the ROI estimates for each scenario excluding any estimate of current CMS replacement costs (i.e. assuming courts spent zero dollars in CMS replacement outside normal maintenance and operations). Ignoring current CMS replacement costs, all three CCMS deployment scenarios still provide a positive ROI, although the ROI in each case is smaller.

Return on Investment Value of Alternative Scenarios (V4 costs)		
	FY 2002/03 to FY 2020/21	FY 2011/12 to FY 2020/21
Cancel CCMS Deployment	(\$270,527,500)	\$0
58 Court Deployment of CCMS	\$223,215,691	\$493,743,191
Southern Region plus V2/V3	\$269,497,105	\$540,024,606
Interim CMS + extra small courts	\$267,465,443	\$537,992,943

Table 2: Summary of ROI based on V4 costs and excluding current CMS replacement costs

For each alternative scenario within the CBA, in addition to the ‘baseline’ estimate of costs and benefits we also present ‘optimistic’ and ‘pessimistic’ versions of the scenario. The optimistic and pessimistic versions of the scenarios serve two purposes, in that they:

1. Illustrate the sensitivity of the ROI calculation to changes in major CBA assumptions; and
2. Identify the most critical aspects of the CCMS deployment that will most influence the success of the project.

The optimistic and pessimistic versions of the scenarios show that the following elements of the CBA are critical success factors for the CCMS deployment:

- **Deployment Wave duration.** The duration of each CCMS deployment Wave has a direct impact on the speed with which CCMS benefits will begin to be realized. Any delays in project schedule will have a significant negative impact on CCMS ROI.
- **Timeline to gain benefits after deployment.** The speed with which courts can begin to realize benefits from CCMS is a major contributing factor to CCMS ROI. Any issues or constraints that limit a court's ability to execute a smooth, seamless deployment and to begin operating with new more efficient business processes will have a direct negative impact on CCMS ROI.
- **State-level deployment costs.** Any budget overruns by the project will increase state-level deployment costs and directly reduce CCMS ROI.
- **Court deployment costs.** Any increases in court deployment costs will also directly reduce CCMS ROI.
- **Percentage of electronic case file delivery.** One of the major contributors to CCMS ROI is the elimination of manual data entry of case files with JPs that have electronic integration with CCMS. The higher the percentage of case files delivered electronically, the higher the ROI for CCMS.

If the AOC were to conduct an updated CBA in the future, the above factors would also be areas for further analysis as more accurate data becomes available. More accurate estimates for the above factors will produce a more accurate estimation of CCMS ROI.

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1. Introduction

This section presents a summary of the contents of this Court Case Management System (CCMS) Cost Benefit Analysis (CBA), including a summary of what will be discussed within each section of the analysis.

1.1. Background

In an effort to consolidate case management systems within and among the courts and to increase the ability to share data statewide among the Administrative Office of the Courts (AOC), local superior courts, and state and local partners (e.g., the Department of Justice [DOJ], the California Department of Social Services [CDSS], the civil bar, and local law enforcement agencies etc.) the CCMS project was initiated in early 2002. The CCMS is a custom software development project that has been developed in iterative phases (i.e., V2 and V3, then V4), with the intent that lessons learned from each phase would assist in the planning of the next phase. CCMS V4 is currently in the integration testing phase.

The AOC decided to conduct a CBA of the CCMS to understand:

- The anticipated full lifecycle cost of ownership of the CCMS;
- The expected quantitative and qualitative benefits to be realized through the CCMS once fully deployed; and
- The Return on Investment (ROI) to be delivered by the CCMS.

The AOC engaged Grant Thornton LLP to conduct the CCMS CBA. This document presents the results of this analysis, which was performed from October 2010 to February 2011. In completing the CBA, Grant Thornton received electronic survey information from 48 courts, conducted telephone interviews with 28 courts to understand current IT costs, made in-person visits to seven courts, conducted telephone interviews with representatives of the Sustain Justice Edition (SJE) User Group and Small Court Consortium, and held numerous meetings with AOC management and staff. Of the courts surveyed, the Kern and Sacramento courts declined to participate in the electronic and telephone surveys, and the Sacramento court declined to host an in-person site visit.

This information was synthesized to develop an objective analysis of the likely costs and benefits of the CCMS, and to provide a tool to support future Branch decision-making.

1.2. Purpose and Scope

This CBA provides information to Judicial Branch stakeholders on the qualitative and quantitative costs and benefits of the CCMS, and will assist the Judicial Branch in making strategic decisions on the course of the project. This analysis does not provide specific recommendations or present to the Judicial Branch a

preferred alternative for the CCMS. Instead, the analysis comprises an objective assessment of the following four alternative scenarios, so that Branch leaders may make informed decisions about the project's future:

- **Cancel CCMS Deployment.** Within this scenario, the CCMS V4 project would be cancelled at the end of FY 10/11, and no further investment would be made in the CCMS project. CCMS V2 and V3 - previous iterations of the CCMS - would continue to exist as operational systems within the courts in which they have been implemented. With no further investment in a statewide case management solution, each of the state's 58 courts, based upon their own resources and the state of their business systems, would individually analyze and determine the best way to maintain, upgrade or replace their current case management systems.
- **58 court deployment of CCMS.** Within the 58 court deployment scenario, CCMS V4 would be deployed state-wide to all 58 superior courts. All courts would operate on a standard CCMS platform that would be maintained at the California Court Technology Center (CCTC). The CCMS V4 implementation would include the deployment and integration of a Document Management System (DMS) for those courts lacking such a solution, and would implement electronic interfaces with those State and local Justice Partners (JPs) that are prepared to electronically exchange case management data.
- **Southern Region plus V2/V3.** Within this scenario, after deployment of the V4 solution to the three CCMS early adopter courts, the CCMS deployment would be limited to the Southern Region courts, not including Los Angeles (LA). In order to achieve cost savings through the retirement of the V3 interim system the CCMS V3 implementation at the LA Alhambra court would be included. The CCMS implementation would include the deployment and integration of a DMS for those courts lacking one, and would implement electronic interfaces with those State and local JPs that are prepared to electronically exchange case management data.
- **Interim CMS plus extra-small courts.** Within this scenario, after the deployment of the V4 solution to the three CCMS early adopter courts, CCMS deployment will be limited to all courts currently using V2, V3 or Sustain Justice Edition (SJE), and to any other courts defined as "extra small". This implementation approach would retire the use of V2, V3, and SJE systems throughout the state, and would migrate all extra small courts onto a single CCMS platform that would be managed at the CCTC. This CCMS implementation scenario would also include the deployment and integration of a DMS for those courts lacking one, and will implement electronic interfaces with those State and local JPs that are prepared to electronically exchange case management data.

For each scenario, Grant Thornton estimated the total one-time deployment and continuing operations costs that would be incurred by the State and by the courts. We have also estimated the quantitative and qualitative benefits that would result from each scenario. We then provide a ROI estimate for each scenario, which is calculated as the total net dollar cost or savings of that scenario when compared against the status quo environment.

Grant Thornton presents the results of the CBA in the Economic Analysis Workbook (EAW) format prescribed by the State of California for use in State Feasibility Study Reports (FSRs). FSRs are the business case documents that are required by the State of California for all major Information Technology (IT) investments undertaken by the State Executive Branch.

1.3. Assumptions and Constraints

This subsection presents the CBA-level assumptions that have been made in the development of our analysis, and identifies any constraints that have impacted our analysis efforts.

- The CBA results are presented using the State of California FSR format (amended as appropriate to reflect the nature of the CBA). Quantitative results are presented in EAW tables consistent with the State of California Statewide Information Management Manual (SIMM) guidelines.
- The scope of the CBA includes only a cost benefit analysis. The CBA presents no recommendations or preference for any of the identified scenarios.
- The scope of the CBA does not include an evaluation of current or prior CCMS work, nor does it include an assessment of the AOC's ability to successfully deliver the system.
- Grant Thornton reviewed all data received for consistency and reasonableness, but did not conduct a detailed audit of cost estimate data provided by AOC or by the courts.
- CCMS project costs are assumed to begin in Fiscal Year (FY) 2002/03. The timeline of the CBA extends through FY 2020/21.

1.4 Document Organization

The remainder of this document comprises the following sections:

- **Section 2: Business case.** This section presents the AOC's basis for conducting the CCMS project.
- **Section 3: Baseline analysis.** This section provides a summary of the courts' legacy technical environment, and highlights the challenges of this environment.
- **Section 4: Alternative analysis.** This section presents a cost benefit analysis for each of the four alternative CCMS deployment scenarios.
- **Section 5: Economic Analysis Worksheets.** This section presents the EAWs for each of the alternatives described in Section 4.
- **Appendix A: Acronyms and definitions.** This appendix defines the terms and acronyms used throughout the document.
- **Appendix B: References.** This appendix presents a summary of the documentation that Grant Thornton referenced during the development of the CBA.
- **Appendix C: Justice partner integration costs.** This appendix documents the results of a limited analysis of the likely costs to selected court justice partners of integrating with the CCMS.
- **Appendix D: Methodology.** This appendix presents a summary of the methodology used by Grant Thornton to construct the CCMS CBA.

2. Business case

This section presents the AOC's basis for conducting the CCMS project. The information presented below is derived from previously-published AOC documents.

2.1 Business program background

The AOC is the administrative entity of the Judicial Council, which has policymaking authority for the Judicial Branch. Under the direction of the Judicial Council, the AOC serves the courts for the benefit of all Californians by advancing excellence, leadership and service in the administration of justice. The AOC also serves as a major source of input for the Judicial Council's strategic planning efforts.

The California court system—the largest court system in the nation, with over 2,100 judicial officers, 21,000 court employees, and nine million filings per year—serves more than 36 million people. The State Constitution vests the judicial power of California in the Supreme Court, the Courts of Appeal, and the State's Superior Courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the State courts and other agencies.

Before June 1998, California's trial courts consisted of Superior and Municipal courts, each with its own jurisdiction and number of judges fixed by the Legislature. In June 1998, California voters approved Proposition 220, a constitutional amendment that permitted the judges in each court to merge their Superior and Municipal courts into a "unified," or single, Superior court. As of February 2001, all of California's 58 courts voted to unify their trial courts.

All cases in the California judicial system begin in one of the 58 trial courts, which reside in each of the State's 58 counties. With facilities in more than 450 locations, these courts hear both civil and criminal cases, as well as traffic, family, probate and juvenile cases. The equivalent of more than 2,100 judicial positions are employed to address the full range of cases heard each year by the superior courts, as reflected in the number of case filings and dispositions reported.

The Lockyer-Isenberg Trial Court Funding Act of 1997, and subsequent legislation, required uniformity and accountability among all the trial courts in the Judicial Branch. When the State assumed responsibility for the trial courts, the State's 58 counties were operating over 200 varieties of case management systems. Many trial courts were unable to fully address their case management business needs. Former Governor Pete Wilson, as well as his successors, indicated that they would not support the continued funding of 58 separate court case management systems and their associated infrastructures.

In 2001, a court-by-court assessment was performed by the AOC to understand the viability of the case management systems used by the courts. Through this assessment, the AOC identified that a number of courts were facing critical needs because of outdated systems, deficient technical support, an inability to meet legislative and reporting requirements, and significant maintenance costs. The analysis from this study also

concluded that most of the existing case management applications in use by the Courts were severely deficient, and many did not provide even the basic functionality that would be required to meet the business needs of the Courts going forward.

To address the immediate needs, the AOC embarked on a program to certify existing case management systems and subsequently selected viable interim case management systems that would be supported by the Branch until a longer term solution could be identified. During this same period, administrative leaders at the San Diego, Los Angeles, Ventura and Orange County Superior Courts indicated that they were considering the replacement of their existing case management systems, and confirmed that available vendor case management solutions did not meet their requirements. In early 2002, the Judicial Council decided to proceed with a common case management solution. It was at this time that the CCMS project was initiated.

The CCMS is a custom software development project that was developed in iterative phases, with the intent that lessons learned from each phase would assist in the planning of the next phase. The three CCMS phases were:

- **CCMS V2** - The first phase product was scoped to include case management activities for court traffic and criminal functions. The V2 product was ultimately only implemented in Fresno in July of 2006.
- **CCMS V3** - The second phase product was scoped to include case management activities for civil, probate, small claims, and mental health functions within the courts. The V3 product is currently deployed in six counties: Orange, Sacramento, San Diego, San Joaquin, Ventura, and the Alhambra court house in Los Angeles. These installations represent approximately 25 percent of the state's court caseload. Three of the installations (Los Angeles, Orange, and San Diego) host their own instances of both the application and the database. The rest of the counties use a shared system hosted at the CCTC, the AOC's data center.
- **CCMS V4** - The scope of the third phase product includes:
 - All of the functionality of V2 and V3;
 - Family law and juvenile justice case management;
 - A public/partner portal;
 - A set of standard justice partner data exchanges;
 - Integration with document management systems;
 - Court interpreter scheduling;
 - Court reporter scheduling, and;
 - Support for E-Filing

The AOC contracted with Deloitte Consulting for the development of V3 and most V3 deployment activities, as well as for the development of V4. The V4 product is currently in the integration testing phase, with software product acceptance for the core CCMS product planned for completion in April 2011.

2.2 Business problem or opportunity

CCMS will improve public safety and the administration of justice in a number of ways, with benefits to each of the major CCMS stakeholders:

- **Justice partners:** CCMS will improve public safety by connecting the courts with probation and parole departments, correctional institutions, and law enforcement agencies to provide officers in those entities with up-to-the-minute data about court orders, calendars, convictions, probation terms, and sentencing. The exchange of data will provide real-time updates of all court orders to the state DOJ's domestic violence and protective order registry. CCMS will provide law enforcement officers with current information in their jurisdiction regardless of where the court orders were imposed. Officers will be able to make direct inquiries of CCMS to receive up-to-the-minute information about an individual contacted during a routine traffic stop, thereby protecting officers and allowing them to detain wanted individuals. Specifically, CCMS will:
 - Provide real-time data to law enforcement officers on the street about dangerous criminals, including:
 - Outstanding warrants
 - Firearms violations
 - Domestic violence and restraining orders
 - Terms of probation
 - Make critical improvements to public safety by:
 - Providing justice partners with online access to criminal court case information
 - Providing police officers with up-to-date court calendar information to attend hearings as scheduled or remain on duty when cases are continued
 - Allowing electronic transfer of prison abstracts and rehabilitations orders to the California Department of Corrections and Rehabilitation (CDCR)
 - Providing information to facilitate justice partner background checks for those seeking jobs at schools and in law enforcement agencies
 - Providing timely updates to the Department of Justice (DOJ) criminal history records database
 - Greatly improve the exchange of criminal history information with the U.S. Department of Justice and the departments of justice in all 50 states by:
 - Expediting the transfer of criminal convictions between the California Criminal Justice Information System and the Federal Bureau of Investigation's (FBI) National Criminal Information Center
 - Enhancing information sharing with other state departments of justice about outstanding warrants and court convictions.
 - Provide real-time updates to domestic violence and restraining order databases
 - Share elder abuse and fraud information with law enforcement and social service agencies

- Provide necessary information about guardianships and conservatorships to public guardians and social service agencies, ensuring the protection of minors and disabled and elderly populations
- Provide courts with court orders from across the state, enabling courts to resolve conflicting court orders across court jurisdictions and make orders with more accurate information
- Transmit child protective orders to social services agencies and foster care placements
- **Courts and the public:** The implementation of CCMS will level the playing field and help promote equal access to justice. CCMS was designed to allow the viewing and exchange of trial court case information and associated documentation across local jurisdictional boundaries and the exchange of information at the court-to-county, court-to-state partner, state-to-state, and state-to-federal levels. The statewide data reporting warehouse will enable information to be reported in a consistent manner, allowing for analysis of court performance not currently possible and making the judiciary more accountable to the public. Use of the internet will allow the public and case participants remote access to case information, as permitted by law. Specifically, CCMS will:
 - Allow electronic filing of cases by all litigants, represented or not
 - Permit electronic transmission of traffic citations from law enforcement agencies to the courts, minimizing the opportunity for data entry error and maximizing the ability of the courts to process this information accurately and quickly
 - Provide public access to court records across the state and within each jurisdiction
 - Provide the ability to pay fines and fees online
 - Include uniform statewide statistical reporting
 - Create uniformity in the courts' collection of fines and fees
 - Give judicial officers critical information when they are hearing cases and making decisions about releasing criminal defendants, placing children in foster care or reunifying them with their parents, ordering custody or visitation of children, and issuing protective or restraining orders
 - Save time and money by allowing information to be viewed online, eliminating the need for copying and mailing
 - Provide information about cases in different jurisdictions; if there are cases pending in other counties, judicial officers currently have no access to that data when making orders affecting the life and safety of the public and the parties in a case

2.3 Business objectives

The following business objectives that will be realized upon the full implementation of CCMS:

1. Accelerate case disposition, reduce errors and cost by creating ability to receive 95% of initial case filings and amendments electronically (system-to-system), via the Internet or via self-service kiosks.

2. Improve service quality and reduce cost by implementing self-service payment capability that enables courts to receive 75% of payments via the self-service channels such as the internet or kiosks.
3. Reduce cost and improve quality of calendaring and scheduling process by implementing online calendars.
4. Reduce cost and improve quality of service counter/research window by making case information available online that enable the courts to service 70% of case inquiries via self-service channel.
5. Reduce cost and improve quality of background check process by providing self-service capability for DOJ and the Department of Homeland Security that enables courts to service 90% of these requests via the self-service channel.
6. Improve timeliness, reduce cost and improve justice coordination by establishing electronic interfaces to State agencies and justice partners.
7. Increase timeliness and reduce cost by implementing capability to send standard notices to frequent court users, which enables courts to transmit 30% of notices electronically.
8. Improve quality of court process by serving minute orders immediately.
9. Reduce number of hearings by unifying family cases.
10. Improve quality of court experience for family court users by coordinating trips to court.
11. Reduce average case duration for self-represented family cases by providing information on recent case activity.
12. Reduce case backlogs by improving the efficiency of assigned judges through the use of a common application across all jurisdictions and case types.
13. Reduce the cost of system development, integration, deployment and maintenance by deploying a single case management application for all courts.
14. Reduce disaster recovery risks by providing electronic case files and a single, verifiable recovery capability.
15. Reduce cost and improve service levels by providing enhanced information to support operational and policy decisions.
16. Improve funding for cities, counties and the State by decreasing the amount of collections outstanding.
17. Provide opportunity to implement shared services in the future by providing a single system capability that can be used at all courts.
18. Streamline case preparation and reduce the number of conflicting orders by providing a State-wide repository of case information.
19. Reduce cost and improve the quality of internal court processes by eliminating paper and automating the work process.
20. Reduce cost and improve service quality and improve public safety by deploying a streamlined warrant issuance and recall capability.
21. Achieve full compliance with criminal protective order reporting requirements.
22. Improve compliance with deadlines for out of home placement cases by automating communications between the courts and California Department of Social Services (CDSS).

23. Reduce cost and non-compliance risk by implementing federally mandated interfaces with the Department of Child Support Services (DCSS).
24. Improve financial controls for trust funds by implementing the capability to accurately track trust fund balances at the case level and to reconcile these balances to the financial statements.
25. Reduce cost by eliminating manual case files in lieu of electronic files.
26. Reduce storage space for exhibits by implementing the ability to track when exhibits can be dispositioned.
27. Improve accuracy of revenue distribution by implementing a flexible system that can be rapidly adapted to changing revenue distribution rules.
28. Improve ability to respond to external requests for statistical information by providing State-wide repository of case information.

3. Baseline analysis

This section provides a summary of the courts' legacy technical environment, particularly highlighting the challenges of this environment. The information presented below is derived from previously-published AOC documents.

3.1. Current method

At the beginning of the 1990s, the trial courts comprised over 250 municipal and superior courts located within each of the 58 counties. Each superior and municipal court was essentially autonomous. The funding for each of these courts was bifurcated with the bulk of funding provided by the 58 local counties and a small portion of state funding. The two-tier (autonomous municipal and superior branches) structure and the bifurcated funding structure left the trial courts with fragmented and highly variable levels of administrative and technological capabilities. A series of studies and judicial branch committees assessed and reported on the state of technology capabilities in the judicial branch. Recommendations were offered to begin to address the weaknesses in the branch's technology strategy.

The fragmented structure and funding of the California trial courts had over the years created several challenges for the judicial branch in the area of information technology capabilities and planning, including:

- Inconsistent capabilities, such as interfacing with local justice partners, from one trial court to another. Technical capabilities within a trial court were heavily dependent on the funding and technical abilities of each trial court.
- Fragmented technology solutions implemented throughout the trial court system. Each technology decision was subject to the discretion of the county management process. In most cases, municipal and superior courts within the same county implemented different technology solutions for a similar business need.
- Diverse systems with little or no interoperability made it difficult for the judicial branch to assemble, maintain, and disseminate the most basic information about court financial conditions, human resources, and court case statistics branch-wide.
- Disparate local technology strategies and solutions within the trial courts made it impossible for the branch to develop a cohesive statewide strategy for modernizing business processes to take advantage of the tremendous advances in technology.

Although severely hampered by the two-tier municipal and superior court structure and bifurcated court funding, the Judicial Council took several steps in the 1990s to assess the state of technology within the branch. By the time the Trial Court Funding Act of 1997 was passed, it was clear that the existing

hodgepodge case management infrastructure was inadequate. A statewide approach would be required to resolve the systemic issues and support the future needs of the branch.

The Trial Court Funding Act of 1997 eliminated the bifurcated state and county funding process for trial courts by transferring trial court funding responsibility to the state. In 1998, California voters approved Proposition 220, which enabled the consolidation of superior and municipal trial courts into a single superior court entity within each of the 58 counties. Trial court unification provided an opportunity to consolidate court administrative and information technology functions at the local, regional, and statewide level by reducing inefficiencies that existed as a result of autonomous administrative structures of the municipal and superior courts.

While these events removed many obstacles hindering a branch-wide strategic technology plan, they could not in themselves eradicate the culture and outcomes of years of decisions driven by local needs and priorities.

3.2. Technical environment

Today, the California courts are operating more than 70 different case management systems with approximately 130 variations. Many of these systems do not connect with one another and do not provide information across court jurisdictions. Many trial courts are operating outdated case management systems, and some are operating on platforms designed in the late 1970s and early 1980s. As a result, the trial courts experience technical issues including frequent and prolonged system outages. Operating costs for these outdated applications will only continue to escalate as hardware platforms continue to age. Other related challenges include finding qualified technicians to repair the systems, which are built on application code that is less reliable due to the compound effect of layered software patches over the years. Court-maintained systems continuously struggle to receive the upgrades and changes needed to continue functioning. Table 3-1 below presents a summary of the Case Management Systems (CMS) currently in use across the California trial courts.

CMS Used	Number of Courts
ACS	2
ACS and AGS	1
ACS and V2	1
AGS	4
HTE/Sungard	9
In-house	3
In-house and DOMAIN	1
In-house and ISDciv	1
In-house and JDTS	1
In-house and Sustain	1
ISD	3
ISD and JNET	1
Maximus	1
Mix (3 or more systems)	13
PSI	1
SJE	15
Total	58

Table 3-1: Current CMS' in use at California trial courts

4. Alternative analysis

Based upon our review of the current and projected costs and benefits of the CCMS project, this section presents an analysis of four alternative scenarios that the CCMS project could adopt. Subsections 4.1 – 4.4 present the four scenarios, identifying the assumptions, costs, benefits and ROI of each scenario. Finally, subsection 4.5 presents a summary of the various alternatives, along with considerations for the AOC to review.

4.1 Cancel CCMS Deployment/Baseline Scenario

This subsection presents our analysis of the costs and benefits of cancelling the CCMS project at the completion of CCMS V4 development but prior to deployment of CCMS at the three early adopter courts. The scenario constitutes the baseline scenario against which all other CCMS scenarios will be compared. Subsection 4.1.1 presents a summary of the alternative, subsection 4.1.2 presents the costs associated with this alternative, subsection 4.1.3 presents the benefits of this alternative, and subsection 4.1.4 presents the ROI associated with this alternative.

4.1.1 Summary of alternative

This scenario assumes that the CCMS project is cancelled at the end of FY 2010/11 and that no further investment is made in CCMS V4. CCMS V2 and V3 would continue to exist as operational systems within those courts where they have been implemented, and each court would make independent decisions on the best way to keep maintain, upgrade or replace their current CMS'.

Figure 4-1 below presents the components of the Cancel CCMS Deployment scenario that are presented in the following subsections.

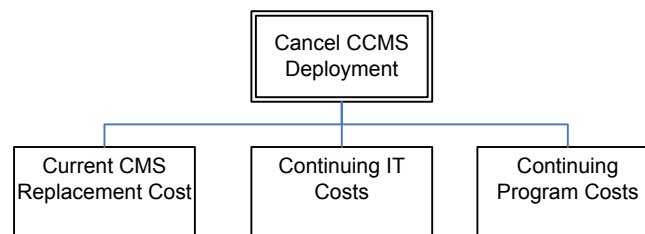


Figure 4-1: Cancel CCMS Deployment scenario cost benefit analysis components.

The primary components of this scenario that contribute to the CBA are:

- **Current CMS replacement costs.** Each court will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period (FY 2011/12 to FY 2020/21). We have assumed a minimalist replacement strategy – courts that could reasonably maintain their current systems indefinitely are assumed to do so; courts that could upgrade to a more modern version of their current system are assumed to do so; and courts that will require a full system replacement are assumed to replace their systems with the minimum functionality to support their current business practices. No significant business process reengineering, additional automation, or DMS implementation is assumed.
- **Continuing IT costs.** Courts are assumed to continue to expend resources on operating and maintaining their current CMS' at the current rate, based on our data collection and interviews with courts to understand their current IT expenditures.
- **Continuing program costs.** Consistent with the minimalist system replacement strategy described above, courts are assumed to continue to conduct business as per the status quo environment, with no changes in business practices, staffing, or associated costs.

4.1.2 Costs

This subsection presents the estimated costs associated with cancelling the CCMS project.

4.1.2.1 *Continuing current system IT costs*

Continuing current system IT costs are based on survey responses from the IT cost survey conducted by Grant Thornton. Continuing current system IT costs include two costs: Existing IT Costs and AOC Supplemental Funding Costs.

Table 4-1 below presents an estimate of existing and projected IT costs and AOC Supplemental Funding costs based on the Cancel CCMS Deployment scenario. The table presents cost estimates for FY 2010/11 through FY 2020/21.

CCMS Cost Benefit Analysis

Continuing IT Costs	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (salaries & benefits)	28,057,854	30,115,960	30,340,197	31,057,766	32,549,391	32,510,338	33,224,265	34,020,354	34,953,683	35,727,515	36,711,737	36,711,737	395,980,797
Hardware Lease/Maintenance	1,988,408	4,882,356	7,183,961	2,662,297	1,967,504	7,491,496	4,416,551	2,278,047	7,449,041	3,232,646	2,984,063	2,984,063	49,520,434
Software Maintenance/Licenses	12,708,962	12,147,600	12,459,050	13,138,130	13,087,824	13,262,603	13,481,990	13,841,321	14,090,114	14,368,414	14,645,852	14,645,852	161,877,713
Contract Services	11,528,844	11,083,720	9,521,003	9,504,628	9,492,515	9,566,796	9,545,731	9,608,704	9,640,689	9,690,318	9,815,228	9,815,228	118,813,403
Data Center Services	17,737,134	18,064,832	17,851,596	18,152,856	18,481,348	18,820,854	19,181,612	19,461,604	19,868,819	20,301,855	20,762,455	20,762,455	229,447,421
Agency Facilities	24,255	24,905	27,325	28,296	21,806	22,596	23,426	20,098	21,013	21,974	22,982	22,982	281,659
Other	24,580,827	30,050,912	24,554,833	21,606,598	22,770,165	23,782,650	24,553,715	25,267,187	26,381,571	26,844,671	27,468,884	27,468,884	305,330,899
Total IT Costs	96,626,283	106,370,287	101,937,965	96,150,572	98,370,554	105,457,335	104,427,291	104,497,314	112,404,929	110,187,393	112,411,202	112,411,202	1,261,252,327

Table 4-1: Estimated continuing current system IT costs for the Cancel CCMS Deployment scenario

Within this scenario, total existing IT costs for the analysis period are estimated to be \$1,261,252,327. These are the total estimated costs for the Branch's 58 courts to maintain their existing case management systems without the deployment of the CCMS V4 system. These costs consist of staff salaries, system hardware, software, licenses, contract services, data center charges, facilities, and other costs, including other expenses and equipment, and AOC supplemental funding.

The year-to-year change in total costs varies from approximately \$96M to \$112M. This variation is primarily driven by trial court refresh and maintenance cycles for hardware and software, and by the addition of ancillary IT services and applications by courts to optimize system efficacy. These maintenance cycles and ancillary service requirements can vary from court to court, depending upon operational needs. Each court operates its IT department and case management systems in an independent manner.

The AOC currently supports certain courts by providing supplemental funding to maintain their V2, V3, and SJE systems. Grant Thornton estimates that, over the analysis period, AOC supplemental funding will total approximately \$267M. This figure is included within the 'Other' category in Table 4-1. Supplemental funding costs vary annually from approximately \$21M to \$26M. This variance is mainly driven by costs for the refresh and maintenance cycles for SJE, V2 and V3 hardware and application enhancements.

4.1.2.2 Current system replacement costs

This subsection presents the estimated costs of maintaining, upgrading or replacing current court systems in the event that the CCMS project is cancelled. As described above, we have assumed a minimalist replacement strategy. We assume that courts that are able to maintain their current systems, at least through FY 2020/21, will do so. We assume that courts that are able to upgrade to a more modern version of their current system will do so, and that courts that will require a full system replacement will replace their systems with the minimum functionality to support their current business practices.

Costs to upgrade or replace current case management systems were estimated based on the following assumptions:

- We included only costs necessary to replace current system functionality on a new platform. We did not include cost estimates related to business process reengineering, additional JP integration, or new DMS deployment. Consistent with this assumption, no business process efficiencies or benefits are assumed to accrue to the court from the system replacement.
- Based upon survey responses and stakeholder interviews, Grant Thornton estimated which courts would require a new CMS platform prior to FY 2020/21. Courts were assumed not to require a replacement CMS if they are currently operating on one or more relatively modern, upgradable platforms. Grant Thornton assumed that the following courts would not require a full system replacement prior to FY 2020/21. With the exception of Orange, these courts are either on the ACS Contexte platform or on the Sungard/HTE platform:
 - Del Norte
 - Inyo
 - Mariposa
 - Orange
 - San Joaquin
 - Shasta
 - Siskyou
 - Solano
 - Sutter

- o Yolo
- o Yuba

For the remaining courts, the following principles were used to determine court system upgrade or replacement strategies:

- ISD and PSI courts will move to a new Commercial-Off-The-Shelf (COTS) platform beginning in FY 2015/16. The new platform would be ACS Contexte, Sustain eCourt or a similar product;
- ACS Banner courts will migrate to ACS Contexte beginning in FY 2013/14;
- V2 and V3 courts will maintain their V2 and V3 systems indefinitely, while replacing any other systems at the court;
- The single Ciber CMS court (Calaveras) will move to a new COTS platform beginning in FY 2013/14;
- Courts with in-house developed systems will move to a new COTS platform beginning in FY 2012/13 and continuing through FY 2016/17; and
- LA will upgrade and replace their existing systems (while continuing to maintain a mixture of systems) beginning in FY 2013/14 and continuing through FY 2016/17.

While the precise timing of these replacements do not impact the overall cost benefit analysis results, spreading the replacements across multiple years was considered more reasonable than clustering costs in just one or two fiscal years.

To estimate the costs of upgrading or replacing an existing CMS, Grant Thornton made the following assumptions:

- The cost of replacing the CMS at an extra small court was based on the actual costs experienced by the Plumas Superior Court in implementing SJE in 2008;
- The costs of upgrading an ACS Banner system to the ACS Contexte platform were based on the actual upgrade costs experienced the Solano Superior Court during their upgrade; and
- The cost of replacing a small, medium, large or extra large court case management system used certain elements of the analysis of current system replacement costs developed by the AOC in June 2010.

Based on the above assumptions, the estimated cost of the courts to replace or upgrade existing system between FY 2012/13 and FY 2020/21 is estimated to be \$342,914,616. This estimate is close to the “Low End Range Total” of \$363 Million that has been independently estimated by a recent analysis conducted for the California Trial Court Consortium (CTCC). Table 4-2 below presents the estimated cost by fiscal year.

One-Time IT Project Costs	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	TOTAL
Staff (Salaries & Benefits)	5,138,369	9,460,393	21,030,021	30,698,578	27,587,927	5,912,486	2,609,610	\$102,437,385
TOTAL Contract Services	11,989,528	22,074,251	49,113,916	72,299,149	65,115,497	13,795,800	6,089,091	\$240,477,231
Total One-time IT Costs	17,127,897	31,534,644	70,143,937	102,997,728	92,703,424	19,708,286	8,698,702	\$342,914,616

Table 4-2: Current CMS replacement costs

In addition to the above costs, this scenario must also include all CCMS V4 expenditures from project initiation through the cancellation of the project, since these are sunk costs that cannot be recovered. Table 4-3 below presents the total actual CCMS V4 expenditures from FY 2002/03 to FY 2009/10 and the projected expenditures for FY 2010/11. This gives an additional cost of \$270,527,500 that must also be accounted for when considering the total costs associated with cancelling the CCMS project deployment.

One-Time IT Project Costs	2002/3-09/10	2010/11	Total
Staff (Salaries & Benefits)	14,496,976	5,673,209	20,170,185
Hardware Purchase	0	955,170	955,170
Software Purchase/License	0	0	0
Telecommunications	0	0	0
Contract Services	0	0	0
Software Customization	115,440,235	403,903	115,844,138
Project Management	25,277,277	24,257,287	49,534,563
Project Oversight	0	0	0
IV&V Services	0	0	0
Other Contract Services	17,939,278	1,580,750	19,520,028
TOTAL Contract Services	158,656,790	26,241,940	184,898,729
Data Center Services	28,690,504	16,851,044	45,541,549
Agency Facilities	0	0	0
Other	3,462,630	2,931,250	6,393,880
Total One-time IT Costs	205,306,900	52,652,613	257,959,513
Continuing IT Project Costs			0
Staff (Salaries & Benefits)	0	0	0
Hardware Lease/Maintenance	0	0	0
Software Maintenance/Licenses	0	0	0
Telecommunications	0	0	0
Contract Services	0	11,811,987	11,811,987
Data Center Services	0	756,000	756,000
Agency Facilities	0	0	0
Other	0	0	0
Total Continuing IT Costs	0	12,567,987	12,567,987
Total Project Costs	205,306,900	65,220,600	270,527,500

Table 4-3: CCMS expenditures from project initiation through project cancellation

4.1.2.3 *Optimistic scenario*

In addition to developing a “baseline” estimate of total costs associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the event that more favorable outcomes are realized. For current CMS replacement costs, we also considered a version of the scenario where costs were 30% less than our baseline estimate. Table 4-4 presents the results of this analysis, which estimates a total current CMS replacement cost of \$240,477,231.

	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	TOTAL
Total One-time IT Costs	11,989,528	22,074,251	49,113,916	72,299,149	65,115,497	13,795,800	6,089,091	\$240,477,231

Table 4-4: Optimistic current CMS replacement costs

4.1.2.4 Pessimistic scenario

In addition to developing a “baseline” estimate of total costs associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable outcomes are realized. For current CMS replacement costs, we also considered a version of the scenario where estimated costs were based entirely on AOC’s June 2010 analysis of current system replacement costs. Specifically, we used the mid-point estimates in Appendix A of the AOC analysis as the basis for each court’s costs, and assumed that all 58 courts would need to replace their systems within the time period covered by this CBA. Table 4-5 presents the results of this analysis, which estimates a total current CMS replacement cost of \$711,300,000.

	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Total One-time IT Costs	27,400,000	74,700,000	119,800,000	201,600,000	87,000,000	200,800,000	\$711,300,000

Table 4-5: Pessimistic current CMS replacement costs

4.1.3 Benefits

Consistent with our assumptions in subsection 4.1.2.2 above, Grant Thornton assumed that current business practices would remain unchanged in the event that CCMS was cancelled. Investments in new case management systems are assumed to be limited to replicating existing functionality, so existing business processes are also assumed to remain in place. Continuing program costs are therefore assumed to be equal to status quo environment costs.

To estimate the costs of the status quo environment, Grant Thornton quantified the labor and other associated costs related to performing the case management business processes that are most likely to experience significant changes once CCMS is implemented. These processes do not represent the total case management-related costs of the Branch, but they do reflect the portion of those costs most likely to be impacted by CCMS. This status quo cost estimate then serves as the baseline against which all CCMS deployment scenarios are compared.

Grant Thornton used several different sources to estimate transaction volumes, process durations and labor and non-labor costs. These sources included the results of the electronic survey conducted by Grant Thornton, interviews with AOC and court management and staff, preliminary data from the 2010 AOC staff workload study, data from the AOC Phoenix accounting system and published Branch statistics. Process costs were estimated from the most recent year for which actual data was available (FY 2009/10) through FY 2020/21.

FY 2009/10 case file estimates are based upon case filing statistics from the *2008-09 Court Statistics Report* for the following case types: Felonies, Misdemeanors, Infractions, Civil and Small Claims, Family, Juvenile Delinquency, Juvenile Dependency, Probate and Mental Health. Projections for FY 2009/10 filings are based upon extrapolating the changes in filings from FY 2007/08 and FY 2008/09. Case filing volumes were assumed to remain constant from FY 2009/10 through FY 2020/21.

Work effort estimates reflect the estimated time required to complete a business process transaction within a given case area. For example, the work effort associated with case initiations reflects the average amount of time required to complete the initiation of a case file. Work effort estimates for case initiations are based upon preliminary estimates from the AOC’s 2010 Staff Workload Study.

Average labor costs reflect the labor costs, per minute, of performing a particular business process. This cost is based upon the weighted average of actual Job Class data from the 2010-11 7A Compensation and FTE data. Based on this data, Grant Thornton assumed an average annual labor cost of \$78,600.

The business processes included within our estimate of the status quo program costs are:

- **Case initiation.** Case initiation is the start of the case management process and describes the activities associated with entering a new case filing into the case management system. According to court survey responses, the case initiation process is currently largely manual and can be time consuming, costing courts significant labor time. Further, the management of paper-based case files requires courts to invest further resources in the storage and management of such files. Our estimate of current case initiation costs was based on the following assumptions:
 - **Percentage of paper filings.** The estimates of the percentage of case filings received on paper are based upon electronic survey responses from court survey recipients. Percentage paper filings are used to estimate the total case filings that would be impacted by the CCMS system. Based on the collected survey data, Grant Thornton assumed that the following state-wide average percentage of case filings are received on paper:
 - Felony and Misdemeanors: 97.6%
 - Infractions: 88.2%
 - Civil and small claims: 98.2%
 - Juvenile Delinquency: 98.1%
 - Juvenile Dependency, Family, Mental Health, and Probate: 98.9%
 - **Number of paper filings.** The number of paper filings is derived by multiplying the total estimated case filings by case type by the percentage paper filing estimate.
 - **Case file storage costs.** The average per-court cost of storing paper case files was derived from storage cost data provided in responses to the electronic survey of the courts.
 - **Marginal storage cost.** Grant Thornton estimated the marginal storage costs of each new paper case file by dividing the reported storage costs of each reporting court by their total case file volume, which yielded the marginal storage cost per filing. We then calculated an average across all of the reported marginal storage costs to derive the average marginal cost.

Based upon the estimated labor time and storage costs required to complete case initiation activities across various case types, Grant Thornton estimated that the current case initiation processes costs the Branch over \$102 Million in annual labor costs and \$12.6 Million in annual storage costs.

- **Fee and penalty payment processing.** Fee and penalty payment processing includes the activities associated with assessing and processing fees and penalties for case-related issues. Court staff indicated that the payment processing effort remains largely manual for many courts, requiring significant labor time. Our estimate of current fee and penalty payment processing costs was based on the following assumptions:
 - Grant Thornton assumed that fee and penalty payment activities relate to Criminal, Civil and small claims, Family and Probate filings, and that they do not relate to Juvenile or Mental Health filings. Estimates for fee and penalty payments within the impacted case filings are based upon actual security fee data (criminal) and paid civil fees data provided by the AOC.
 - Average work effort time related to processing fee and penalty payments are based upon preliminary data from the 2010 staff workload study provided by the AOC.

Based upon the estimated labor time required to perform payment processing activities, Grant Thornton estimated that the current payment processes cost the Branch over \$35.1 Million in annual labor costs.

- **Calendaring.** Calendaring describes the activities associated with scheduling case proceedings and with gathering and organizing the case-related documentation necessary to support the calendar. These activities require court staff to expend significant time in manually coordinating the schedules of various stakeholders and in locating and retrieving paper case files. Our estimate of current calendaring costs was based on the following assumptions:
 - Impacted calendaring caseloads are based upon 2009/10 caseloads estimates.
 - Calendaring work effort estimates are based upon preliminary data from the 2010 Staff Workload Study.

Based upon the estimated labor time required to perform calendaring activities, Grant Thornton estimated that the current calendaring process costs the Branch over \$93.5 Million in annual labor costs.

- **Appeals preparation.** Appeals preparation describes the activities associated with preparing a disposed case for the appeals process. According to court staff, this process is highly time consuming, as court staff is required to manually copy and index case documentation and transport such documentation to the appropriate stakeholders. Depending on the complexity of the case, the process can vary from a few minutes to a number of days of court staff time to complete. Our estimate of current appeal preparation costs was based on the following assumptions:
 - Total appeals are based upon appeals data statistics from 2008-09 Court Statistics Report.
 - Average reported minutes associated with appeals preparation is based upon estimates provided by courts during interviews.

Based upon the estimated labor time required to perform appeals preparation activities, Grant Thornton estimated that the current appeals preparation process costs the Branch over \$3.98 Million in annual labor costs.

- **Background checks.** Background checks include the activities associated with retrieving and delivering the case history of individuals to justice partners and to commercial vendors. Court staff indicated that, given the large number of requests for background checks that courts receive throughout the year, this process can take up significant court staff time. Our estimate of current background check costs was based on the following assumptions:
 - The estimate of total background checks was derived from court survey responses, where a number of court stakeholders provided Grant Thornton with their annual totals for background check requests. Grant Thornton estimated statewide background check requests by making a proportional projection, based upon total reported background checks and the proportion of total state-wide case filings handled by reporting courts.
 - The average estimated time required to complete a background check is based upon estimates provided by courts during interviews.

Based upon the estimated labor time required to perform background checks, Grant Thornton estimated that the current background check process costs the Branch over \$1.75 Million in annual labor costs.

- **Administrative Inquiries.** Administrative inquiries comprise the activities associated with filling requests for the copy and review of case-related documents. Courts regularly receive such requests and often expend significant staff time responding to them. Our estimate of current administrative inquiry costs was based on the following assumptions:

- The estimate of total administrative requests was derived from court survey responses, where a number of court stakeholders provided Grant Thornton with their annual totals for copy and review requests. Grant Thornton estimated state-wide copy and review requests by making a proportional projection, based upon total reported copy and review requests and the proportion of state-wide case filings handled by reporting courts.
- The average estimated time required to complete administrative inquiries is based upon estimates provided by courts during interviews.

Based upon the estimated labor time required to respond to requests for copying and reviewing case-related documents, Grant Thornton estimated that the current administrative inquiry process costs the Branch over \$59.3 Million in annual labor costs.

- **Child Welfare Services data review.** Child Welfare Services (CWS) data review comprises the activities that social workers within the CWS agency spend entering and reviewing court data for accuracy. Social workers within the agency have reported that the data review process can take up to an hour of their time per month. The CWS agency has estimated that the time required for social workers to review and validate child welfare data costs the State of California over \$29.5 Million in annual labor costs.

These business activities comprise the baseline continuing program costs against which any business process improvements from CCMS were assessed. Table 4-6 below presents the estimated continuing program costs by fiscal year for the status quo and for the Cancel CCMS Deployment scenario. These costs total \$4,062,861,449 over the time period covered by the CBA.

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	Total
Case Initiation	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	102,793,473	1,233,521,674.
Fee/Penalty Payment	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	35,143,767	421,725,201
Calendaring	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	93,474,607	1,121,695,286
Appeals Preparation	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	3,979,328	47,751,931
Background Checks	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	1,747,145	20,965,737
Administrative Inquiries	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	59,329,320	711,951,837
CWS Court Information Management	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	29,491,862	353,902,349
Storage Space Costs	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	12,612,286	151,347,434
Total Program Costs	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	338,571,787	4,062,861,449

Table 4-6: Continuing program cost summary for the Cancel CCMS Deployment scenario

4.1.4 Return on investment

Table 4-7 below presents the summary EAW for the Cancel CCMS Deployment scenario, and depicts a summary of the project costs and benefits for the years FY 2002/03 to FY 2014/15, and then the costs and benefits for each year from FY 2015/16 to FY 2020/21. The final column shows a Total Project Cost for this scenario of \$613,442,117. This figure represents the total sunk cost of CCMS V4 from FY 2002/03 to FY 2010/11, plus the estimated cost of individually implementing new court case management systems at those courts whose current systems will require replacement. The Total Continuing Existing Costs for this scenario are \$5,324,113,776, reflecting the continued maintenance of current systems and the continued execution of status quo business processes. Since this scenario is considered the baseline scenario against which all other scenarios are compared, by definition it has an ROI of \$0.

	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Scenario 1:	Cancel CCMS/Baseline							
Total Project Costs	389,333,978.1	102,997,727.7	92,703,423.7	19,708,285.5	8,698,701.5	0.0	0.0	613,442,117
Total Cont. Exist. Costs	2,636,343,720.3	442,999,078.2	443,069,100.9	450,976,716.8	448,759,180.7	450,982,989.6	450,982,989.6	5,324,113,776
Total Alternative Costs	3,025,677,698.5	545,996,805.9	535,772,524.6	470,685,002.3	457,457,882.2	450,982,989.6	450,982,989.6	5,937,555,893
COST SAVINGS/AVOIDANCES	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Increased Revenues	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Cum. Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0

Table 4-7: Cancel CCMS Deployment summary EAW

Taking the previously mentioned assumptions into consideration, and only considering future investment costs (i.e., not considering any prior CCMS V4 costs from FY 2002/03 to FY 2010/11), Table 4-8 below presents the variation in ROI across the pessimistic, baseline, and optimistic scenarios. The variation in the Cancel CCMS Deployment ROI is due to more pessimistic or optimistic assumptions on the cost to replace existing CMS', as described in subsections 4.1.2.3 and 4.1.2.4 above.

FY 2011/12 to FY 2020/21 ROI Comparison with Optimistic/Pessimistic Scenarios			
	Pessimistic	Baseline	Optimistic
Cancel CCMS Deployment	(\$368,385,384)	0	\$102,437,385

Table 4-8: Cancel CCMS Deployment scenario comparison of optimistic and pessimistic assumptions

4.2 Full Deployment of CCMS

This subsection presents our analysis of the costs and benefits of fully deploying CCMS V4 to all 58 trial courts. Subsection 4.2.1 presents a summary of the alternative, subsection 4.2.2 presents the costs associated with this alternative, subsection 4.2.3 presents the benefits of this alternative, and subsection 4.2.4 presents the ROI associated with this alternative.

4.2.1 Summary of alternative

This scenario assumes that CCMS is deployed state-wide to all 58 superior courts. Within this scenario, Grant Thornton assumes that all courts will operate on a standard CCMS platform maintained by AOC at the CCTC. AOC will also implement an enterprise DMS solution that will also be maintained at the CCTC. Courts that have already established a DMS at the time of CCMS deployment will have their DMS solutions integrated with CCMS. For those courts that do not have a DMS at the time of CCMS deployment, their CCMS deployment will also include integration with the enterprise DMS, which will become part of the court's CCMS solution. AOC will also implement electronic interfaces with those State and local JPs that are prepared to exchange data electronically with each court.

This scenario assumes a mixture of vendor and AOC labor to deploy the CCMS implementation. In this scenario, the AOC would contract with one or more implementation vendors to assist with the following early adopter, large, and extra-large courts:

- San Diego
- Ventura
- San Luis Obispo
- Fresno
- Orange
- Sacramento
- San Joaquin
- Santa Clara
- Alameda
- Riverside
- San Bernardino
- San Francisco
- Los Angeles

The AOC would use internal staffing resources to deploy CCMS to the remaining 45 courts.

Figure 4-2 below presents the schedule for the 58 court deployment scenario.

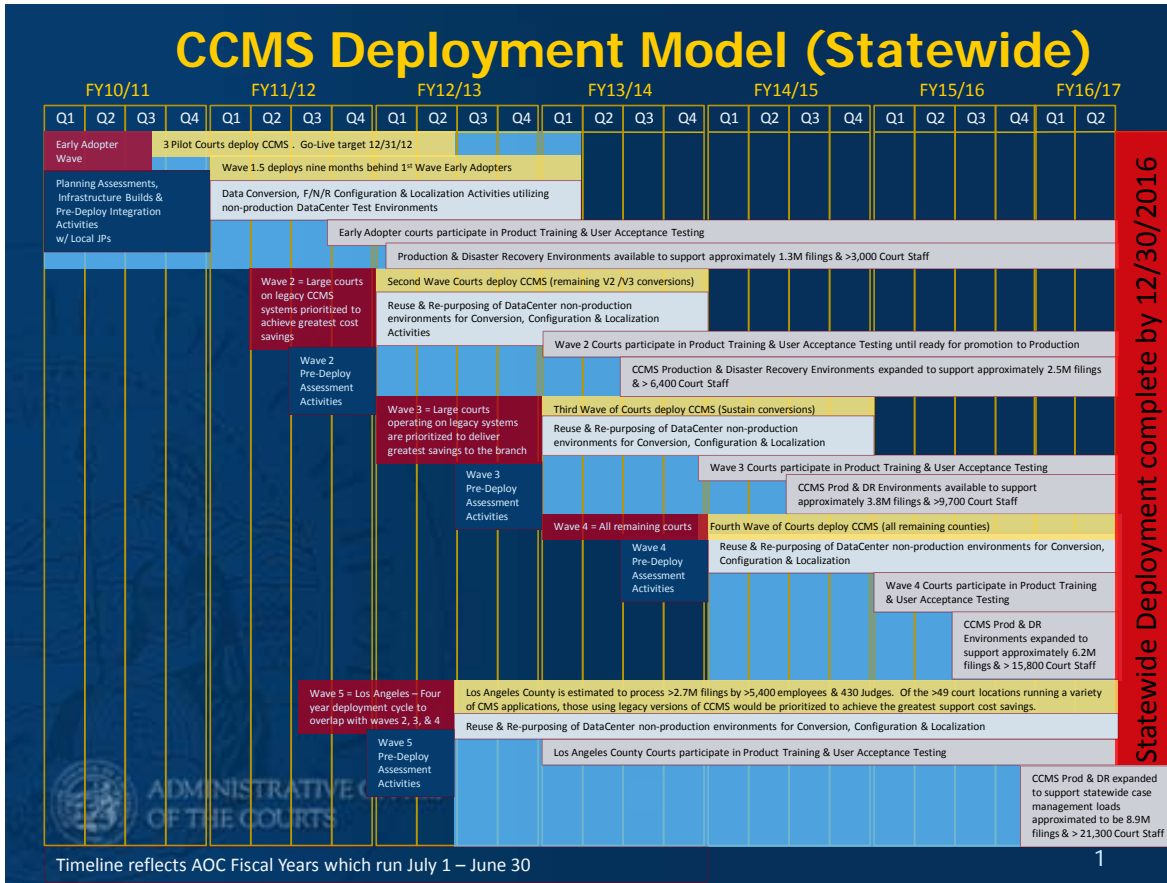


Figure 4-2: 58 court deployment scenario schedule

Figure 4-3 below presents the components of the 58 court deployment scenario that are presented in the following subsections.

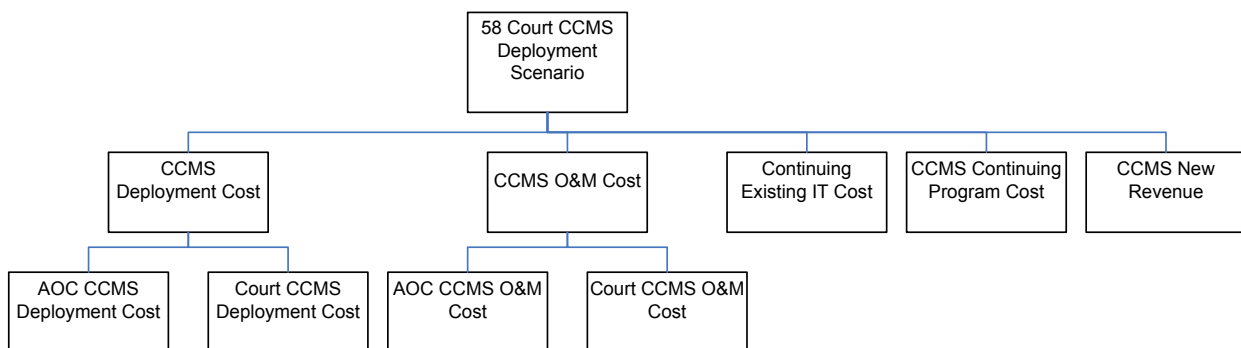


Figure 4-3: 58 court deployment scenario cost benefit analysis components

The primary components of this scenario that contribute to the CBA are:

- CCMS deployment costs.** CCMS deployment costs that are to be funded by state-level resources are based on deployment budget estimates from AOC CCMS project leadership. Court deployment costs are based on estimates of the staffing expenses that would be required for courts to effectively support the CCMS deployment for their court. In addition, where a DMS implementation is

assumed to occur at a court prior to CCMS deployment, those costs are included as court CCMS deployment costs.

- **CCMS operations and maintenance costs.** CCMS operations and maintenance costs are based on figures from AOC CCMS project leadership. Court CCMS operations and maintenance costs primarily reflect assumed out-of-pocket expenses for courts during ongoing CCMS operations.
- **Continuing IT costs.** Courts are assumed to continue to expend resources on the operations and maintenance of their current CMS' system at the current rate until CCMS is implemented at their court. Current CMS IT costs are based on our data collection and on interviews with courts to understand their current IT expenditures.
- **Continuing program costs.** The increased automation and more efficient business practices to be delivered by CCMS are assumed to impact each court's operations after that court has deployed CCMS. The business process efficiencies delivered by CCMS have the effect of reducing state-wide Continuing Program Costs as courts deploy CCMS.
- **CCMS new revenue.** Three new system usage fees are assumed to be imposed after CCMS is deployed at each court. These fees help to offset CCMS deployment and operations costs.

4.2.2 Costs

This subsection document the costs associated with deploying CCMS to all 58 courts.

4.2.2.1 CCMS deployment costs

The total deployment cost for CCMS is the sum of the deployment costs to be funded with state-level resources, plus the deployment costs that must be borne by the trial courts. Table 4-9 presents the total deployment costs for the 58 court CCMS deployment, by fiscal year. This table also includes all expenditures on CCMS V4 development from FY 2002/03 to FY 2010/11. The total deployment cost for CCMS V4 is estimated to be \$1,370,646,578. This cost comprises the following elements:

- \$1,143,062,566 in state-level deployment costs which are described in subsection 4.2.2.1.1; and
- \$227,584,012 in court deployment costs which are described in subsection 4.2.2.1.2.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	36,075,165	39,004,847	56,163,569	59,552,875	32,839,625	17,926,232	261,732,498
Hardware Purchase	0	955,170	15,698,225	0	152,446	290,990	138,544	69,272	17,304,647
Software Purchase/License	0	0	5,914,438	6,166,216	10,718,367	882,670	420,251	210,125	24,312,067
Telecommunications	0	0	0	0	0	0	0	0	0
Contract Services	0	0	0	0	0	0	0	0	0
Software Customization	115,440,235	403,903	2,434,007	3,364,588	0	0	0	0	121,642,733
Project Management	25,277,277	24,257,287	81,394,835	124,586,708	182,210,160	174,281,928	52,290,821	4,863,541	669,162,556
Project Oversight	0	0	0	0	0	0	0	0	0
IV&V Services	0	0	0	0	0	0	0	0	0
Other Contract Services	17,939,278	1,580,750	0	0	0	0	0	0	19,520,028
TOTAL Contract Services	158,656,790	26,241,940	83,828,842	127,951,296	182,210,160	174,281,928	52,290,821	4,863,541	810,325,317
Data Center Services	28,690,504	16,851,044	18,830,460	20,285,835	51,860,952	71,863,125	30,071,052	12,125,195	250,578,168
Agency Facilities	0	0	0	0	0	0	0	0	0
Other	3,462,630	2,931,250	0	0	0	0	0	0	6,393,880
Total One-time IT Costs	205,306,900	52,652,613	160,347,131	193,408,194	301,105,493	306,871,588	115,760,293	35,194,365	1,370,646,578

Table 4-9: Total estimated CCMS deployment costs for 58 court deployment

4.2.2.1.1 State-level CCMS deployment costs

The estimated state-level CCMS deployment costs were based on information provided by AOC CCMS project leadership. The estimates assume the following:

- The AOC will deploy CCMS at 45 courts using internal resources. An external vendor would be used to support deployment at the remaining 13 medium, large, and extra-large courts.
- All courts are assumed to run their CCMS instance at the CCTC.
- AOC will implement an enterprise DMS. Those courts who do not have a local DMS at the time of CCMS deployment at their court will use the enterprise DMS. The development costs of integrating this DMS with CCMS will be entirely funded by state-level resources.
- Those courts with a pre-existing locally maintained DMS will have the DMS integrated with CCMS. CCMS integration costs will be funded with state-level resources.
- AOC will implement the court's side of electronic JP interfaces for all JP's ready and willing to implement such an interface. The JPs will pay for their side of the interface.

Table 4-10 presents the state-level deployment costs for the 58 court CCMS deployment, by fiscal year. This table also includes all state-level expenditures on CCMS V4 development from FY 2002/03 to FY 2010/11. The state-level deployment cost for CCMS V4 is estimated to be \$1,143,062,566.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	2,199,807	2,318,448	3,071,369	3,140,555	2,912,280	2,962,559	\$36,775,204
Hardware Purchase	0	955,170	15,698,225	0	0	0	0	0	\$16,653,395
Software Purchase/License	0	0	5,914,438	6,166,216	10,255,948	0	0	0	\$22,336,602
Telecommunications	0	0	0	0	0	0	0	0	\$0
Contract Services									\$0
Software Customization	115,440,235	403,903	2,434,007	3,364,588	0	0	0	0	\$121,642,733
Project Management	25,277,277	24,257,287	81,394,835	124,586,708	182,210,160	174,281,928	52,290,821	4,863,541	\$669,162,556
Project Oversight	0	0	0	0	0	0	0	0	\$0
IV&V Services	0	0	0	0	0	0	0	0	\$0
Other Contract Services	17,939,278	1,580,750	0	0	0	0	0	0	\$19,520,028
TOTAL Contract Services	158,656,790	26,241,940	83,828,842	127,951,296	182,210,160	174,281,928	52,290,821	4,863,541	\$810,325,317
Data Center Services	28,690,504	16,851,044	18,830,460	20,285,835	51,860,952	71,863,125	30,071,052	12,125,195	\$250,578,168
Agency Facilities	0	0	0	0	0	0	0	0	\$0
Other	3,462,630	2,931,250	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	126,471,772	156,721,795	247,398,429	249,285,608	85,274,153	19,951,295	1,143,062,566

Table 4-10: Estimated state-level CCMS deployment costs for 58 court deployment

4.2.2.1.2 Court CCMS deployment costs

The CCMS deployment costs to be borne by the courts were estimated based on the following assumptions:

- **CCMS staffing costs.** The costs to the courts associated with devoting IT and business staff to the CCMS deployment were extrapolated from estimates developed by two early adopter courts. On average the early adopter courts estimated that almost 9% of their staff would need to be dedicated to the CCMS deployment for two years. Based on conversations with these courts and on court experiences with prior CCMS V3 deployments, we assumed that this figure could be halved for non-early adopter courts. This assumption presumes that lessons learned from the early adopter courts will be leveraged in later deployments, including the adoption by later courts of standardized business processes piloted by the early adopter courts.
- **DMS staffing costs.** The following assumptions were made regarding DMS staffing costs:
 - Twelve courts currently have a DMS that is integrated with their current CMS (based on the results of the electronic survey conducted by Grant Thornton).
 - One third of the remaining 46 courts are assumed to implement a locally maintained DMS prior to deployment of CCMS at their court. To implement the DMS, each court will dedicate 10% of their staff for one year to the DMS deployment. This estimate is based on research conducted during the preparation of the DMS Request for Proposal (RFP) currently in development by AOC and multiple courts.

- Those courts without a DMS at the time of CCMS deployment will use the enterprise DMS implemented by AOC at the CCTC. To support deployment of the DMS at their court, each court will dedicate the equivalent 5% of their staff for one year to the DMS deployment (this is in addition to the staff dedicated to CCMS deployment).
- **DMS hardware and software costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to incur DMS hardware procurement costs. DMS software costs will be covered by AOC as part of the enterprise license. These costs are based on estimates developed by Santa Clara court for their DMS CBA.

Based on these assumptions, the estimated court deployment costs for CCMS are presented in Table 4-11 below.

	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
CCMS							
Staff	\$26,374,089	\$29,439,853	\$41,434,051	\$39,952,105	\$19,070,130	\$9,535,065	\$165,805,293
DMS							
Staff	\$7,501,270	\$7,246,547	\$11,658,149	\$16,460,216	\$10,857,215	\$5,428,607	\$59,152,002
Hardware	\$0	\$0	\$152,446	\$290,990	\$138,544	\$69,272	\$651,252
Software	\$0	\$0	\$462,419	\$882,670	\$420,251	\$210,125	\$1,975,465

Table 4-11: Estimated court CCMS deployment costs

Based on Table 4-11, the total court deployment cost for CCMS V4 is \$227,584,012 as presented in Table 4-12 below.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	0	0	33,875,358	36,686,399	53,092,200	56,412,320	29,927,345	14,963,672	\$224,957,295
Hardware Purchase	0	0	0	0	152,446	290,990	138,544	69,272	\$651,252
Software Purchase/License	0	0	0	0	462,419	882,670	420,251	210,125	\$1,975,465
Total One-time IT Costs	0	0	33,875,358	36,686,399	53,707,064	57,585,980	30,486,140	15,243,070	\$227,584,012

Table 4-12: Total estimated court CCMS development and deployment costs

4.2.2.2 CCMS operations and maintenance costs

Estimated CCMS operations and maintenance costs are based on the following assumptions:

- **State-level CCMS and DMS operations and maintenance costs.** The state-level costs for maintaining and operating the CCMS and DMS infrastructure at the CCTC are based on estimates provided by AOC CCMS project leadership.
- **Court CCMS operations and maintenance costs.** Since all CCMS instances are assumed to run at the CCTC, there are few operations and maintenance costs that must be paid for by the courts. Our

cost benefit analysis assumes no chargeback of CCMS costs by the AOC to the courts. Court CCMS operations and maintenance costs are limited to out of pocket local expenses such as training new staff on CCMS, participating in the CCMS governance process with the AOC, and local testing of new changes to CCMS. We assume that these costs are equal to 10% of state-level CCMS operations and maintenance costs.

- **Court DMS operations and maintenance costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to pay DMS hardware maintenance charges. DMS software costs will be covered by AOC as part of the enterprise license. These charges are based on estimates developed by Santa Clara court for their DMS CBA.

Table 4-13 below presents the estimated CCMS operations and maintenance costs by fiscal year. Once all courts are deployed on CCMS, annual CCMS operations and maintenance costs are estimated to be \$100,675,677 per year.

CCMS Cost Benefit Analysis

Continuing IT Project Costs	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (Salaries & Benefits)	0	5,929,150	7,010,262	14,548,608	17,319,184	19,286,943	19,416,113	19,416,113	19,416,113	19,416,113	19,416,113	161,174,715
Hardware Lease/Maintenance	0	1,027,363	1,062,631	1,509,072	1,546,808	2,305,261	2,339,367	2,674,710	2,674,710	2,674,710	2,674,710	20,489,341
Software Maintenance/Licenses	0	0	0	135,151	135,151	385,191	385,191	495,743	495,743	495,743	495,743	3,023,658
Contract Services	11,811,987	23,570,886	25,081,450	30,368,945	30,423,390	30,432,092	30,432,092	30,432,092	30,432,092	30,432,092	30,432,092	303,849,212
Data Center Services	756,000	20,178,777	23,790,391	28,539,818	29,642,054	46,365,315	47,657,018	47,657,018	47,657,018	47,657,018	47,657,018	387,557,444
Total Continuing IT Costs	12,567,987	50,706,175	56,944,735	75,101,594	79,066,588	98,774,802	100,229,781	100,675,677	100,675,677	100,675,677	100,675,677	876,094,369

Table 4-13: Estimated CCMS operations and maintenance costs

4.2.2.3 Continuing current system costs

Continuing current system IT costs are based on survey responses from the IT cost survey conducted by Grant Thornton. Continuing current system IT costs include two costs: Existing IT Costs and Supplemental Funding Costs.

Table 4-14 below presents an estimate of existing and projected IT costs and AOC supplemental funding costs based on the 58 court deployment scenario. The table presents cost estimates for FY 2010/11 through FY 2020/21.

In this scenario, total existing IT costs for the 10 year period are approximately \$569M. These are the total estimated direct and relevant costs for all 58 courts to maintain their existing CMS' until they are replaced by CCMS. Deployment of CCMS starts in FY 2013/14 with all courts rolling off their current case management system and onto CCMS by FY 2017/18.

AOC supplemental funding totals approximately \$129 M over this same period. Year-to-year costs vary from approximately \$27 M to \$0. As courts with V2, V3 and SJE technologies are deployed to CCMS, supplemental funding will no longer be provided by AOC for these technologies.

Continuing Information Technology Costs	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (salaries & benefits)	28,057,854	30,115,960	28,035,697	25,600,842	18,911,559	12,785,512	12,969,861	6,848,208	163,325,492
Hardware Lease/Maintenance	1,988,408	4,882,356	7,057,961	2,352,388	1,135,328	2,322,747	2,355,691	365,263	22,460,141
Software Maintenance/Licenses	12,708,962	12,147,600	12,073,550	12,123,315	10,574,803	6,489,837	6,608,472	3,546,018	76,272,558
Contract Services	11,528,844	11,083,720	8,805,003	8,040,630	6,699,367	5,474,120	5,429,767	2,749,482	59,810,932
Data Center Services	17,737,134	18,064,832	17,564,669	16,417,316	15,910,039	10,486,598	10,628,118	5,522,655	112,331,361
Agency Facilities	24,255	24,905	27,325	28,071	20,906	13,614	14,160	6,166	159,404
Other	24,580,827	30,050,912	24,529,833	21,551,509	22,396,151	11,391,913	420,324	147,150	135,068,619
Total IT Costs	96,626,283	106,370,287	98,094,038	86,114,071	75,648,153	48,964,341	38,426,392	19,184,943	569,428,508

Table 4-14: Estimated continuing current system IT costs for the 58 court deployment scenario

4.2.2.4 Optimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. For CCMS deployment costs for the 58 court deployment scenario, we also considered a version of the scenario where state-level deployment costs were 20% less than our baseline estimate and where court deployment costs were 30% less than our baseline estimate. Table 4-15 presents the results of this analysis, which estimates a total CCMS deployment cost of \$1,097,644,717.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	16,304,358	44,260,236	89,743,882	72,272,723	13,858,627	6,859,149	\$263,469,161
Hardware Purchase	0	955,170	15,698,225	0	152,446	290,990	138,544	69,272	\$17,304,647
Software Purchase/License	0	0	5,914,438	0	462,419	572,697	420,251	210,125	\$7,579,930
TOTAL Contract Services	158,656,790	26,241,940	64,367,906	76,775,162	85,168,090	87,278,299	39,494,771	2,750,237	\$540,733,195
Data Center Services	28,690,504	16,851,044	16,722,040	18,057,415	53,132,532	73,134,705	31,342,632	24,233,032	\$262,163,905
Other	3,462,630	2,931,250	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	119,006,966	139,092,814	228,659,369	233,549,414	85,254,826	34,121,815	\$1,097,644,717

Table 4-15: Optimistic 58 court deployment CCMS deployment costs

4.2.2.5 Pessimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. For CCMS deployment costs for the 58 court deployment scenario, we also considered a version of the scenario where each deployment wave took three years to complete, state-level deployment costs were 40% higher than our baseline estimate and court deployment costs were 30% higher than our baseline estimate. Table 4-16 presents the results of this analysis, which estimates a total CCMS deployment cost of \$1,969,747,055.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	31,446,078	65,336,786	164,574,514	108,488,032	64,227,696	52,600,461	69,283,794	44,666,485	20,953,704	\$641,747,734
Hardware Purchase	0	955,170	15,698,225	0	0	0	101,631	101,631	217,084	115,454	0	\$17,189,194
Software Purchase/ License	0	0	5,914,438	0	0	0	308,279	308,279	658,488	350,209	0	\$7,539,694
TOTAL Contract Services	158,656,790	26,241,940	80,459,882	95,968,953	149,044,158	152,737,024	69,115,850	69,115,850	69,115,850	69,115,850	34,557,925	\$974,130,070
Data Center Services	28,690,504	16,851,044	16,722,040	18,057,415	53,132,532	73,134,705	31,342,632	24,233,032	24,233,032	24,233,032	12,116,516	\$322,746,483
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	150,240,663	179,363,154	366,751,204	334,359,761	165,096,087	146,359,252	163,508,247	138,481,029	67,628,145	\$1,969,747,055

Table 4-16: Pessimistic 58 court deployment CCMS deployment costs

4.2.3 Benefits

This subsection documents the benefits associated with the 58 court CCMS deployment scenario. Subsection 4.2.3.1 presents qualitative (i.e., not quantifiable) benefits associated with statewide deployment of CCMS, while subsection 4.2.3.2 presents quantitative benefits and subsection 4.2.3.3 describes new CCMS revenue.

4.2.3.1 Qualitative benefits

Within the 58 court CCMS deployment scenario, the Branch should realize a variety of qualitative benefits that will significantly improve its case management business environment. The following are some of the key qualitative improvements that should result from the state-wide deployment of CCMS:

- **Establishment of Branch-wide venue transparency.** Within the current environment, courts have limited access to case information across jurisdictions, which hinder justice stakeholders from being able to consider the complete picture during cases. CCMS will enable courts to obtain the complete picture from case file information across all State courts.
- **Promoting equal access to justice.** The implementation of CCMS should help to level the playing field and promote equal access to justice. CCMS was designed to allow the viewing and exchange of trial court case information and associated documentation across local jurisdictional boundaries and the exchange of information at the court-to-county, court-to-state partner, state-to-state, and state-to-federal levels. The statewide data reporting warehouse will enable information to be reported in a consistent manner, allowing for analysis of court performance not currently possible and making the judiciary more accountable to the public.
- **24x7 information access.** Within the current environment, access to paper-based case files is limited to business hours. With the CCMS system, stakeholders will have virtual access to documents whenever they are needed.
- **Visibility across case types.** Within the current case management environment, the limitations of many case management systems make it difficult for judicial staff to access records across case types. Within the CCMS environment, judicial staff will be able to access all offender records across case types, giving judicial officers a comprehensive view of offender activities.
- **Comprehensive statistics that drive ongoing improvements.** With a State-wide case management solution, administrative staff will be able to identify regional and Branch-wide data trends to proactively respond to judicial needs. Improved reporting will enable the judiciary to make more informed policy decision that will enable the courts to identify additional opportunities to improve efficiency.
- **More timely information to field officers.** Technological limitations can make it difficult for justice partners and their field staff to maintain up-to-date judicial information on offenders. Within the CCMS business environments, justice partners will be able to access up-to-date statewide court information on offenders, empowering justice partners and their field staff to address justice needs more effectively.
- **Implementation of electronic notifications.** Implementing CCMS would enable courts to send standard notices to frequent court users electronically. This will reduce costs and improve the timeliness of notifications.
- **Earlier receipt of payment for traffic cases.** In the current environment, traffic cases can often not be paid promptly by offenders, because delays in the processing and entry of such cases make them unavailable to be processed. CCMS will enable courts to promptly enter traffic citations, so that they can be paid more promptly by traffic offenders.
- **Reduced redundant data entry and improved data quality.** Because many of the State's justice systems are not integrated, data must often be entered and re-entered across various justice systems, providing opportunities for delays and errors. Within the CCMS business environment, data can be maintained and transmitted electronically, thereby reducing the need for redundant data entry and improving data quality.

- **Prompt recording of minute orders.** CCMS will enable minute orders to be recorded directly in the court room and produced immediately. Producing minute orders immediately will improve compliance with judicial orders, by providing clear instructions immediately and enabling the recipient to review the minute order to identify errors or obtain clarifications where necessary.
- **The unification of family court cases.** In the current environment, cases involving the same family member can be heard in different courts that may not know that the family is involved in multiple cases. This can lead to numerous problems, including conflicting orders. By linking individuals to family units and linking one family unit to another, and by providing a State-wide repository of case information, CCMS will support the ability of the courts to relate family cases and family members.
- **Allowing judges to manage caseloads more efficiently.** By providing a common application across all case types and jurisdictions, CCMS will enable assigned judges to be much more efficient in the preparation of assigned cases.
- **More efficient intake of offenders by CDCR.** When inmates are transitioned from county to state institutions, they are transferred along with extensive paper-based court documentation, including:
 - Minute orders
 - Abstracts of Judgment
 - Sentencing Transcripts
 - Charging Document
 - PO Report
 - Arrest Reports

As inmates arrive at institutions with their court documentation, institution administrative staff must manually enter portions of the documentation into the CDCR Offender Based Information System (OBIS). CDCR is currently developing a Strategic Offender Management System (SOMS), which will significantly integrate and improve offender management activities across the department's 33 institutions. As SOMS is rolled out to the institutions, CDCR will be able to establish integration links that will allow institutions to send and receive inmate information electronically. As CCMS V4 is rolled out across the judiciary, the AOC will be able to establish integration links with the CDCR to electronically transmit data that is currently entered manually, thereby eliminating this manual data entry. This integration will likely result in quantifiable savings in CDCR staff time after CCMS and SOMS are deployed, but since CDCR was unable to accurately estimate either the costs or benefits of this integration at this time these benefits were not included when estimating CCMS ROI.

- **Less clean-up of court data required by DOJ.** Within their document *California's Court Case Management System Data Integration Benefits: To Courts and Partners*, the AOC indicates that, in 2009, DOJ had 65 staff members dedicated to the clean-up of court criminal history records. It is likely that a substantial level of this workload will be reduced with the implementation of CCMS. During discussions with DOJ staff, DOJ indicated that it had not completely assessed the degree of benefit that the Department would yield from data integration with CCMS, and that such assessment was only in the initial stages. While CCMS integration with DOJ will likely result in some level of cost reduction for DOJ, since DOJ was unable to accurately estimate either the costs or benefits of this integration at this time these benefits were not included when estimating CCMS ROI.

It is important to note that many of the above benefits are dependent on the State-wide deployment of CCMS, since a reduction in the percentage of cases in the system will reduce those benefits related to State-

wide data access and venue transparency. Additionally, many of the above benefits require implementation of a DMS, e-filing and electronic JP integration to be fully realized.

4.2.3.2 *Quantitative benefits*

This subsection presents the quantitative benefits for the 58 court deployment scenario. These benefits take the form of reductions in the costs of executing the business processes described in subsection 4.1.3 above. The benefits related to reduced continuing program costs have been estimated based upon the following assumptions:

- **Deployment waves.** As each CCMS Wave is deployed, a certain percentage of the total state-wide case file volume will be operating in the CCMS environment, while the remaining percentage will continue within the legacy business environment. The percentage of state-wide case file volume within CCMS will be impacted by the changes in business processes that will come with CCMS deployment. Based upon the 58 court scenario rollout schedule, Grant Thornton assumed the following:
 - **Wave 1:** 12.72% of total filings will be impacted;
 - **Wave 2:** 28.18% of total filings will be impacted;
 - **Wave 3:** 68.99% of total filings will be impacted; and
 - **Wave 4:** 100% of total filings will be impacted.
- **Case initiation.** Grant Thornton made the following assumptions related to changes to the costs of case initiation:
 - **Work effort estimates.** Based upon the consistent feedback from courts that have completed similar projects in the past, Grant Thornton has estimated that the time required to key-enter each new paper case filing will double after CCMS is implemented. This is because most courts will be required to input significantly more data during the case initiation effort than they are required to enter in the current environment. This increase in per-case file data entry will be offset to the extent that courts implement e-filing solutions and that State and local JPs are integrated with CCMS.
 - **State and local JPs.** As courts deploy CCMS, they will be better able to take advantage of electronic case transmittal from JPs, provided those JPs have integrated their systems with CCMS. This integration will significantly reduce the need to manually enter case file data. For example, the California Highway Patrol (CHP) is currently implementing an e-Citations solution, which will permit the agency to electronically transmit citation data to all CCMS courts hosted at the CCTC. CHP citations account for approximately 2.6 Million (or over one third) of all annually reported court infractions.

The ability of the courts to realize these benefits will depend largely on the degree to which courts leverage the CCMS system for JP integration, and the degree to which State and local JPs are capable of transferring case data electronically. Court stakeholders expressed mixed opinions about the degree to which local and State JPs will have the resources to facilitate data integration with the courts. Given the huge benefit that the courts would yield from such integration, courts have indicated that they are working with their respective JP to develop solutions.

In our analysis, Grant Thornton made the following assumptions regarding the degree that courts will electronically receive JP data:

- CHP citations will be received 100% electronically;

- 90% of extra large and large sized court case filing data will be received electronically;
- 50% of medium sized court case filing data will be received electronically;
- 10% of small and extra small sized court case filing data will be received electronically;

This results in a state-wide weighted average of 73.34% of case filings being received electronically across all case types, except infractions. For infractions, given the significant number of infractions that originate from CHP and the expectation that all of their citation data will be electronically transferred, Grant Thornton assumed that 86.8% of infraction data will be received electronically by the courts.

- **Fee and Penalty Payment Processing.** Given the manual and time-consuming nature of the legacy fee and penalty processing environment, Grant Thornton assumed that the estimated work effort for processing fees and penalties will reduce by 75% within the CCMS business environment.
- **Calendaring.** Given the manual and time-consuming nature of the current calendaring environment, Grant Thornton assumed that the estimated work effort for calendaring activities will reduce by 80% within the CCMS business environment. This assumption was contingent on an integrated DMS being part of the CCMS solution at each court.
- **Appeals preparation.** Given the extensive time and effort associated with copying and indexing files for the appeals process, Grant Thornton assumes that the estimated work effort for appeals preparation activities will reduce by 75% within the CCMS business environment. This assumption was contingent on an integrated DMS being part of the CCMS solution at each court.
- **Background checks.** Grant Thornton assumes that work effort to complete background checks will reduce by 75% within the CCMS business environment. This assumption was contingent on an integrated DMS being part of the CCMS solution at each court.
- **Administrative Inquiries.** Grant Thornton assumed that after CCMS is deployed at each court, copy and review activities will be performed in a self-service environment, and that clerks will only conduct cashiering activities for this function in the future. As such, Grant Thornton assumed that work effort associated with this function will be reduced by 90%.
- **CWS data review.** Grant Thornton assumed that as CCMS is implemented at each court, case data for CWS will be completely automated, requiring no further manual review effort. As such Grant Thornton assumes that this cost will progressively reduce until the cost will be zero once CCMS is implemented state-wide.
- **Storage space costs.** Grant Thornton assumed that, as paper-based files are transitioned to the CCMS environment, the need for storage space, and its related costs, will reduce over time. Grant Thornton assumed that as courts transition their paper case files to the CCMS environment, each court will experience an annual reduction in total storage space costs of 14%. This is to say that in the first year after CCMS deployment, courts will reduce their paper case file storage costs by 14% compared to pre-CCMS costs, in the second year by 28%, in the third year by 42% and so on. Our estimate of 14% is based upon the Santa Clara Superior Court's DMS CBA.
- **Time to realize benefits.** Courts consistently told Grant Thornton that in prior case management system implementations (including CCMS V3) benefits did not begin to accrue immediately upon system implementation. In fact, almost all courts experienced a reduction in business process efficiency – including significant case file backlogs in many instances – for many months post-implementation. The time required to fully transition to the new system and to begin to achieve the full benefits of the new environment varied significantly. Based on prior experiences, courts

estimated that it could take between 6 to 24 months post-CCMS deployment before full CCMS benefits would begin to be realized. Based on this information, Grant Thornton assumed that the above CCMS-related benefits would begin to be realized 12 months after CCMS deployment at each court.

Based upon the above assumptions, Grant Thornton estimated that the 58 court deployment scenario would result in a continuing program cost of \$2,752,247,307 through FY 2020/21. This equates to an approximately \$1.3 Billion reduction in program costs over the same period compared to the status quo costs presented in subsection 4.1.3 above. Table 4-17 below provides a summary of estimated continuing program costs for the 58 court deployment scenario.

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	Totals
Case Initiation	\$110,474,244	\$110,474,244	\$110,474,244	\$110,474,244	\$105,932,830.33	\$101,391,416.58	\$90,360,373	\$61,230,550	\$50,162,132	\$39,093,714	\$39,093,714	\$39,093,714	\$968,255,420
Fee/Penalty Payment	\$35,143,767	\$35,143,767	\$35,143,767	\$35,143,767	\$33,466,813.83	\$31,789,860.90	\$27,716,561	\$16,960,143	\$12,873,042	\$8,785,942	\$8,785,942	\$8,785,942	\$289,739,313
Calendaring	\$93,474,607	\$93,474,607	\$93,474,607	\$93,474,607	\$88,716,930.36	\$83,959,253.55	\$72,402,909	\$41,885,918	\$30,290,420	\$18,694,921	\$18,694,921	\$18,694,921	\$747,238,624
Appeals Preparation	\$3,979,328	\$3,979,328	\$3,979,328	\$3,979,328	\$3,789,446.29	\$3,599,564.96	\$3,138,345	\$1,920,396	\$1,457,614	\$994,832	\$994,832	\$994,832	\$32,807,173
Background Checks	\$1,747,145	\$1,747,145	\$1,747,145	\$1,747,145	\$1,663,776.34	\$1,580,407.95	\$1,377,907	\$843,160	\$639,973	\$436,786	\$436,786	\$436,786	\$14,404,162
Administrative Inquiries	\$59,329,320	\$59,329,320	\$59,329,320	\$59,329,320	\$55,884,072.55	\$52,438,825.36	\$44,283,087	\$22,492,448	\$14,212,690	\$5,932,932	\$5,932,932	\$5,932,932	\$444,427,198
CWS Court Information Management	\$29,491,862	\$29,491,862	\$29,491,862	\$29,491,862	\$27,615,513.92	\$25,739,165	\$21,181,536	\$9,146,143	\$4,573,071	\$0	\$0	\$0	\$206,222,879
Storage Space Costs	\$4,931,515	\$4,931,515	\$4,931,515	\$4,931,515	\$4,843,663	\$4,649,116	\$4,274,416	\$3,719,563	\$3,525,017	\$3,150,317	\$2,775,617	\$2,488,768	\$49,152,537
Total Program Costs	\$338,571,787	\$338,571,787	\$338,571,787	\$338,571,787	\$321,913,047	\$305,147,611	\$264,735,135	\$158,198,321	\$117,733,959	\$77,089,444	\$76,714,744	\$76,427,896	\$2,752,247,307

Table 4-17: Continuing program cost summary for 58 court deployment scenario

4.2.3.3 Revenues

As the Branch rolls out CCMS functionality and transitions its case files to the new business environment, the AOC intends to generate new revenues by charging the public for CCMS-related services. Within our analysis, Grant Thornton assumed that the AOC will be able to generate revenues from name search activities, from requests for electronic documents, and by applying a surcharge for on-line traffic ticket payments. The benefits related to increased revenues for these new revenues streams have been estimated based upon the following assumptions:

- **Name Search Fee.** As courts transition their paper case files to the CCMS environment, AOC intends to generate revenues by charging customers a fee for conducting name searches. Grant Thornton developed revenue projections based upon the following assumptions:
 - Grant Thornton assumed that the AOC will be legally permitted to assess such fees.
 - Name search volume estimates are based upon projections from actual Los Angeles Superior Court name search request data.
 - AOC would assess a \$4.00 fee on all name search requests.
 - Grant Thornton assumed that the AOC would not collect revenue from courts that already assess such fees, including Los Angeles, Kern, San Bernardino and Yolo.

- **Electronic Document Fee.** As courts begin to manage their case files within the CCMS/DMS environment, AOC intends to generate revenues by charging customers a fee for conducting electronic document searches. Grant Thornton developed revenue projections based upon the following assumptions:
 - Grant Thornton assumed that the AOC will be legally permitted to assess such fees.
 - Electronic document request estimates are based upon projections from actual Los Angeles Superior Court electronic document request data.
 - AOC would assess an average fee of \$7.50 for all document requests.
 - Grant Thornton assumed that the AOC would not collect revenue from courts that already assess such fees, including Los Angeles, Kern, San Bernardino and Yolo.

- **Credit Card Transaction Fee.** As courts rollout the CCMS system, the AOC intends to charge traffic offenders a \$10.00 fee for disposition penalties that are paid by credit card. Grant Thornton developed revenue projections based upon the following assumptions:
 - Estimates of FY 2009/10 dispositions are based upon FY 2008/09 actual disposition data provided by AOC. Grant Thornton projected FY 2009/10 disposition numbers by calculating the percentage change between FY 2007/08 and FY 2008/09, then using this percentage to project FY 2009/10 numbers. Disposition numbers were assumed to remain constant from FY 2009/10 onwards.
 - Grant Thornton assumed that AOC will be able to collect the fee on a percentage (38.9%) of all traffic dispositions. Our estimated percentage of dispositions paid with a credit card is based upon actual data for the Los Angeles Superior Court.
 - Grant Thornton assumed that the fee will be assessed for traffic tickets processed by courts after they have been transitioned into the CCMS environment.

Table 4-18 below presents a summary of the estimated revenue to be generated by CCMS in the 58 court scenario, which is projected to total \$197,025,282 over the CBA period.

Projected Revenues	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Name Search Fees	\$2,152,370	\$2,383,206	\$9,180,175	\$9,180,175	\$10,436,673	\$10,436,673	\$10,436,673	\$10,436,673	\$10,436,673	\$75,079,290
Electronic Document Fees	\$608,656	\$673,933	\$2,596,008	\$2,596,008	\$2,951,320	\$2,951,320	\$2,951,320	\$2,951,320	\$2,951,320	\$21,231,204
Disposition Credit Card Fees	\$1,973,290	\$4,369,841	\$8,416,373	\$8,416,373	\$15,507,782	\$15,507,782	\$15,507,782	\$15,507,782	\$15,507,782	\$100,714,788
Total Revenue Projections	\$4,734,317	\$7,426,980	\$20,192,556	\$20,192,556	\$28,895,775	\$28,895,775	\$28,895,775	\$28,895,775	\$28,895,775	\$197,025,282

Table 4-18: 58 court scenario revenue projection

4.2.3.4 *Optimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. Within the optimistic version of the 58 court scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Within optimistic option of the 58 court scenario, Grant Thornton assumed that cost savings would begin to accrue 6 months earlier at each court than within our base line estimate.
- We also assumed that work effort reductions would greater than in the baseline scenario. Specifically, Grant Thornton assumed that 90% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that 95% of infractions will be delivered electronically.

These modified assumptions resulted in a projected reduction in continuing program costs of approximately \$1.6 Billion versus the baseline scenario over the CBA time period.

4.2.3.5 *Pessimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. Within the pessimistic version of the 58 court scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Grant Thornton assumed that cost savings would begin to accrue a year later at each court than within our baseline estimate.
- We also assumed that work effort reductions would not be as robust as in the baseline scenario. Specifically:
 - **Case initiation.** Grant Thornton assumes that only 58.9% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that only 75% of infractions will be delivered electronically.
 - **Fee and Penalty Payment.** Grant Thornton assumed that work effort would only be reduced by 25% of status quo work effort.
 - **Appeals Preparation.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort.
 - **Calendaring.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo work effort.
 - **Administrative Inquiries.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort.
- Grant Thornton assumed that the AOC will be unable to generate any new revenue through the assessment of fees for name search, electronic document requests or from traffic disposition credit card transactions.

Under these modified assumptions, over the CBA time period the State would still experience a \$696 Million reduction in continuing program costs compared to the costs of the baseline scenario.

4.2.4 Return on investment

Table 4-19 below presents the summary EAW for the 58 Court Deployment scenario, and depicts a summary of the project costs and benefits for the years FY 2002/03 to FY 2014/15, and then the costs and benefits for each year from FY 2015/16 to FY 2020/21. The final column shows a Total Project Cost for this scenario of \$2,246,775,053, Total Continuing Existing Costs (e.g., program costs and maintenance of current IT systems during the deployment) of \$3,321,675,815, and a total cost for this alternative of \$5,568,450,868.

Comparing this figure against the baseline scenario results in a cost savings/avoidance of \$369,105,025. With the addition of \$197,025,282 in estimated new revenue, this results in a net ROI for this scenario of \$566,130,307.

	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Cancel CCMS Deployment/Baseline								
Total IT Costs	363,339,452.9	102,997,727.7	92,703,423.7	19,708,285.5	8,698,701.5	0.0	0.0	587,447,591
Total Program Costs	2,636,343,720.3	442,999,078.2	443,069,100.9	450,976,716.8	448,759,180.7	450,982,989.6	450,982,989.6	5,324,113,776
Total Cancel CCMS Deployment Costs	2,999,683,173.2	545,996,805.9	535,772,524.6	470,685,002.3	457,457,882.2	450,982,989.6	450,982,989.6	5,911,561,368
Scenario 2	58 Court Deployment							
Total Project Costs	1,494,078,998.5	214,569,201.6	135,424,146.2	100,675,676.7	100,675,676.7	100,675,676.7	100,675,676.7	2,246,775,053
Total Cont. Exist. Costs	2,493,164,980.8	303,161,526.7	177,383,264.8	117,733,959.2	77,089,443.9	76,714,743.9	76,427,895.5	3,321,675,815
Total Alternative Costs	3,987,243,979.3	517,730,728.2	312,807,411.0	218,409,635.9	177,765,120.5	177,390,420.6	177,103,572.2	5,568,450,868
COST SAVINGS/ AVOIDANCES	(961,566,280.8)	28,266,077.6	222,965,113.6	252,275,366.4	279,692,761.7	273,592,569.1	273,879,417.4	369,105,025
Increased Revenues	32,353,852.8	20,192,556.3	28,895,774.7	28,895,774.7	28,895,774.7	28,895,774.7	28,895,774.7	197,025,282
Net (Cost) or Benefit	(929,212,428.0)	48,458,633.9	251,860,888.2	281,171,141.1	308,588,536.3	302,488,343.7	302,775,192.1	566,130,307
Cum. Net (Cost) or Benefit	(929,212,428.0)	(880,753,794.0)	(628,892,905.8)	(347,721,764.7)	(39,133,228.4)	263,355,115.3	566,130,307.4	

Table 4-19: 58 court deployment summary EAW

In addition to calculating the best estimate (baseline) scenario, as described above Grant Thornton also considered optimistic and pessimistic variations of our baseline assumptions. Taking these assumptions into consideration, and only considering future investment costs (i.e., not considering any prior CCMS V4 costs from FY 2002/03 to FY 2010/11), Table 4-20 below presents the variation in ROI across the pessimistic, baseline, and optimistic scenarios.

Table 4-20 shows that when only future investment dollars are considered, the 58 Court Deployment option has a positive ROI of \$836,657,808. The pessimistic scenario (where costs are assumed to be higher, benefits are assumed to be lower, and deployment is assumed to be delayed) results in a negative ROI of (\$841,373,160). The optimistic scenario (where costs are assumed to be reduced, and benefits are assumed to be higher) results in a positive ROI of \$1,105,216,109.

FY 2011/12 to FY 2020/21 ROI Comparison with Optimistic/Pessimistic Scenarios			
	Pessimistic	Baseline	Optimistic
58 Court Deployment of CCMS	(\$841,373,160)	\$836,657,808	\$1,105,216,109

Table 4-20: 58 court deployment scenario comparison of optimistic and pessimistic assumptions

4.3 Southern region plus V2/V3 deployment

This subsection presents our analysis of the costs and benefits of implementing a Southern Region plus V2/V3 scenario. Subsection 4.3.1 presents a summary of the alternative, subsection 4.3.2 presents the costs associated with this alternative, subsection 4.3.3 presents the benefits of this alternative, and subsection 4.3.4 presents the ROI associated with this alternative.

4.3.1 Summary of alternative

This scenario assumes that after deployment of the three CCMS early adopter courts (Ventura, San Diego, and San Luis Obispo), CCMS deployment will be limited to the Southern Region plus V2/V3 courts, not including Los Angeles. In order to achieve cost savings through the retirement of the V3 interim system the CCMS V3 implementation at the LA Alhambra court would be included. This scenario takes advantage of the fact that several large southern California courts already have DMS implementations, and implementing CCMS for a geographically contiguous block of courts enables some of the benefits of venue transparency to be achieved while significantly reducing the overall deployment and operations costs of CCMS. This scenario also retires the V2 and V3 systems currently in use.

All courts will operate on a CCMS platform maintained by AOC at the CCTC. AOC will also implement an enterprise DMS solution at the CCTC. Where courts have a locally-deployed DMS at the time of CCMS deployment, this DMS will be integrated with CCMS. For those courts that do not have a DMS at the time of CCMS deployment, their CCMS deployment will include integration with the enterprise DMS at the CCTC, and this DMS will become part of the CCMS solution for the court. AOC will also implement electronic interfaces with those State and local JPs prepared to exchange data electronically with each court.

This scenario assumes a mixture of vendor and AOC labor to execute the CCMS deployment. In this scenario the AOC would contract with one or more deployment vendors to assist with the early adopter, large, and extra large courts, while AOC staff will deploy CCMS to the other courts. The 14 courts included within this scenario are:

- San Diego
- Ventura
- San Luis Obispo
- Fresno
- Orange
- Sacramento
- San Joaquin
- Alhambra (LA)
- Riverside
- San Bernardino
- Kern
- Inyo
- Santa Barbara
- Imperial

Figure 4-4 below presents the schedule for the Southern Region plus V2/V3 scenario.

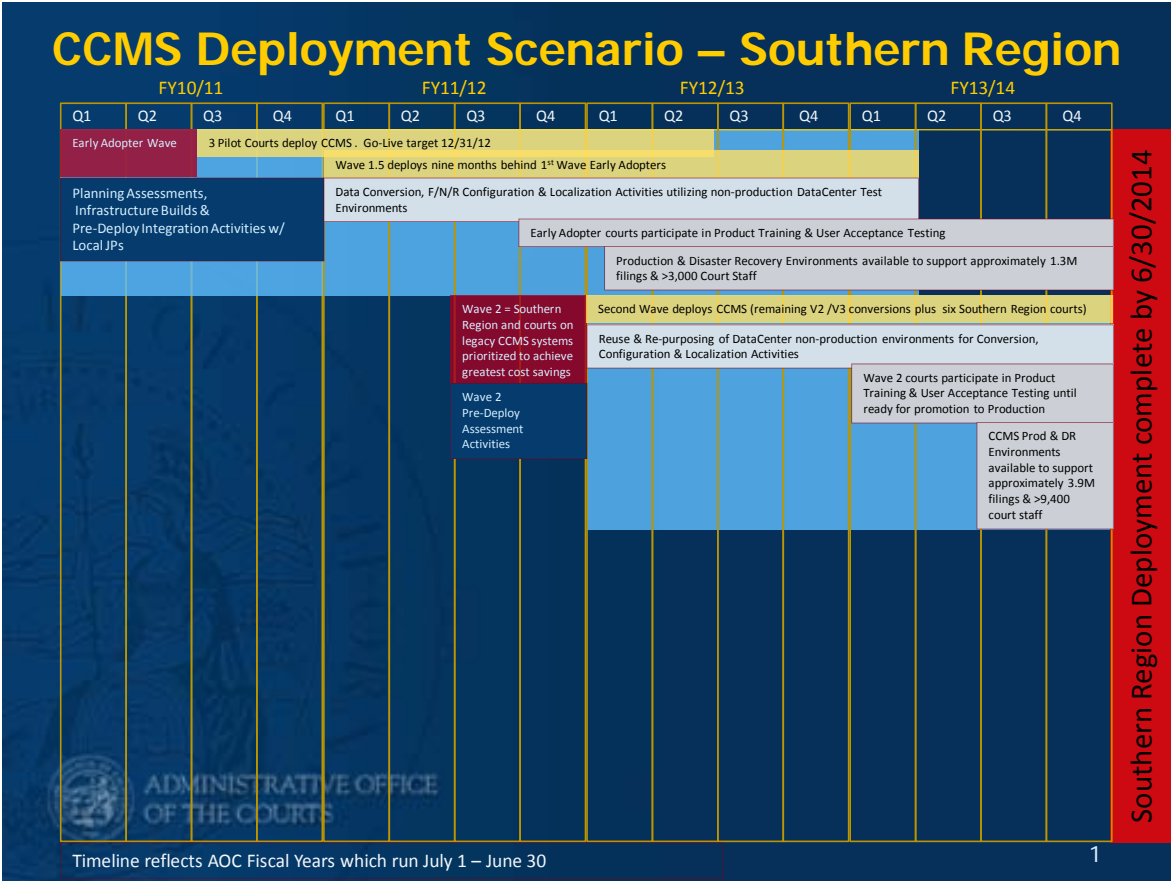


Figure 4-4: Southern Region plus V2/V3 scenario deployment schedule

Figure 4-5 below presents the components of the Southern Region plus V2/V3 scenario that are presented in the following subsections.

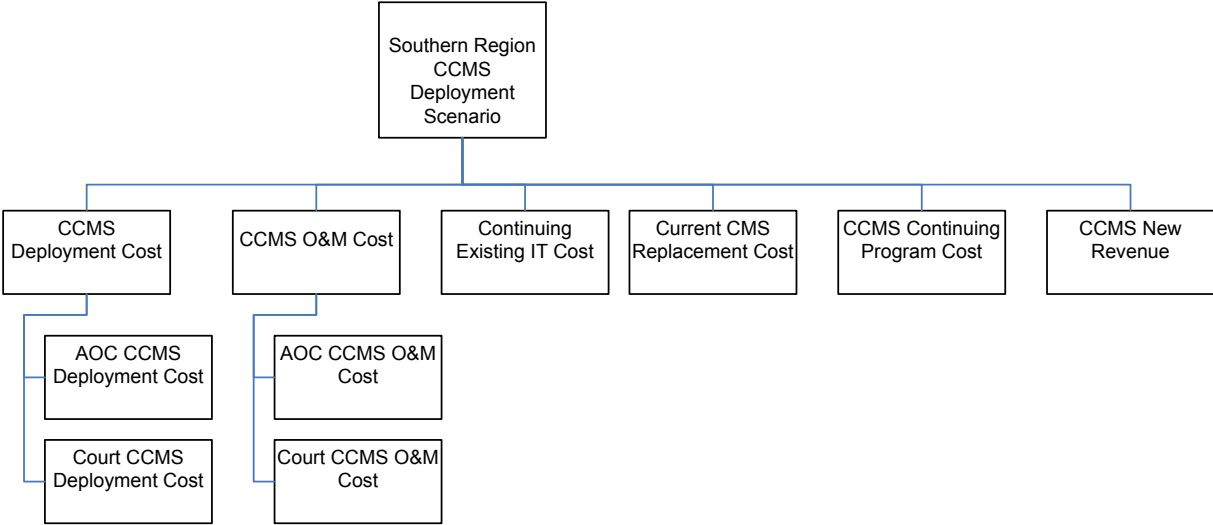


Figure 4-5: Southern Region plus V2/V3 scenario cost benefit analysis components

The primary components of this scenario that contribute to the CBA are:

- **CCMS deployment costs.** CCMS deployment costs to be funded with State-level resources are based on deployment budget estimated received directly from AOC CCMS project leadership. Court deployment costs are based on estimates of the staffing expense that would be required to for courts to effectively support the CCMS deployment at their court. In addition, where a DMS implementation is assumed to occur at a court prior to CCMS deployment, those costs are included as court CCMS deployment costs.
- **CCMS operations and maintenance costs.** CCMS operations and maintenance costs are based on figures received directly from AOC CCMS project leadership. Court CCMS operations and maintenance costs primarily reflect assumed out-of-pocket expenses for courts during ongoing CCMS operations.
- **Continuing IT costs.** Courts are assumed to continue to expend resources on operating and maintaining their current CMS' at the current rate until CCMS is implemented at their court. Current CMS IT costs are based on our data collection and interviews with courts to understand their current IT expenditures.
- **Current CMS replacement costs.** The Southern Region plus V2/V3 scenario implements CCMS at 14 courts. Each of the other 44 courts will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period (FY 2011/12 to FY 2020/21). We have assumed a minimalist replacement strategy – courts that could reasonably maintain their current systems indefinitely are assumed to do so; courts that could upgrade to a more modern version of their current system are assumed to do so; and courts that will require a full system replacement are assumed to replace their systems with the minimum functionality to support their current business practices. No significant business process reengineering, additional automation, or DMS implementation is assumed.
- **Continuing program costs.** The increased automation and more efficient business practices to be delivered by CCMS are assumed to impact each court's operations after that court has deployed CCMS. The business process efficiencies delivered by CCMS have the effect of reducing state-wide Continuing Program Costs as courts deploy CCMS.
- **CCMS new revenue.** Three new system usage fees are assumed to be imposed after CCMS is deployed at each court. These fees help to offset CCMS deployment and operations costs.

4.3.2 Costs

This subsection document the costs associated with deploying CCMS to the Southern Region plus V2/V3 courts.

4.3.2.1 CCMS deployment costs

The total deployment cost for CCMS is the sum of the CCMS deployment costs funded by State-level resources, plus the CCMS deployment and current system replacement costs that must be borne by the trial courts. Table 4-21 presents the total deployment costs for the Southern Region plus V2/V3 CCMS deployment, by fiscal year. This table also includes all expenditures on CCMS V4 development from FY 2002/03 to FY 2010/11. The total development and deployment costs for this scenario are estimated to be \$1,009,431,148. This cost comprises the following elements:

- \$649,097,714 in state-level deployment costs which are described in subsection 4.3.2.1.1;

- \$105,998,875 in courts' CCMS deployment costs which are described in subsection 4.3.2.1.2; and
- \$254,334,559 in current system replacement costs for those courts who do not implement CCMS which are described in subsection 4.3.2.1.3.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	48,646,352	73,787,741	35,610,581	24,656,103	24,283,889	22,729,926	3,302,875	\$253,187,652
Hardware Purchase	0	955,170	15,698,225	92,834	92,834	0	0	0	0	\$16,839,063
Software Purchase/License	0	0	5,914,438	281,597	281,597	0	0	0	0	\$6,477,631
TOTAL Contract Services	158,656,790	26,241,940	95,022,875	101,220,728	48,807,124	64,301,423	55,972,008	49,523,403	7,706,709	\$607,453,000
Data Center Services	28,690,504	16,851,044	16,722,040	14,707,546	17,061,513	8,890,970	9,571,126	6,585,177	0	\$119,079,921
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	182,003,931	190,090,446	101,853,649	97,848,496	89,827,023	78,838,507	11,009,584	\$1,009,431,148

Table 4-21: Total estimated CCMS deployment costs for Southern Region plus V2/V3 deployment

4.3.2.1.1 State-level CCMS deployment costs

The State's estimated CCMS deployment costs were based on information provided by AOC CCMS project leadership. The estimates assume the following:

- All courts are assumed to run their CCMS instance at the CCTC.
- AOC will implement an enterprise DMS. Those courts who do not have a local DMS at the time of CCMS deployment at their court will use the enterprise DMS. The development costs of integrating this DMS with CCMS will be entirely funded with state-level resources.
- Those courts with a pre-existing locally maintained DMS will have the DMS integrated with CCMS. CCMS integration costs will be paid for with state-level resources.
- AOC will implement the court's side of electronic JP interfaces for all JP's prepared to implement such an interface. The JP's will pay for their side of the interface.

Table 4-22 presents the state-level deployment costs for the Southern Region plus V2/V3 CCMS deployment, by fiscal year. This table also includes all state-level expenditures on CCMS V4 development from FY 2002/03 to FY 2010/11. The state-level deployment cost for CCMS V4 is estimated to be \$649,097,714.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	14,770,994	25,949,362	3,633,059	2,618,275	2,458,818	2,509,097	\$72,109,791
Hardware Purchase	0	955,170	15,698,225	0	0	0	0	0	\$16,653,395
Software Purchase/License	0	0	5,914,438	0	0	0	0	0	\$5,914,438
TOTAL Contract Services	158,656,790	26,241,940	95,022,875	93,227,710	37,103,906	12,792,090	3,796,308	2,104,670	\$428,946,289
Data Center Services	28,690,504	16,851,044	16,722,040	14,707,546	17,061,513	8,890,970	9,571,126	6,585,177	\$119,079,921
Other	3,462,630	2,931,250	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	148,128,572	133,884,618	57,798,478	24,301,335	15,826,252	11,198,945	649,097,714

Table 4-22: Estimated state-level CCMS deployment costs for Southern Region plus V2/V3 deployment

4.3.2.1.2 Court CCMS deployment costs

The CCMS deployment costs to be borne by the courts were estimated based on the following assumptions:

- **CCMS staffing costs.** The costs to the courts associated with devoting IT and business staff to the CCMS deployment were extrapolated from estimates developed by two early adopter courts. On average the early adopter courts estimated that almost 9% of their staff would need to be dedicated to the CCMS deployment for two years. Based on conversations with these courts and on court experiences with prior CCMS V3 deployments, we assumed that this figure could be halved for non-early adopter courts. This assumption presumes that lessons learned from the early adopter courts will be leveraged in later deployments, including the adoption by later courts of standardized business processes piloted by the early adopter courts.
- **DMS staffing costs.** The following assumptions were made regarding DMS staff costs:
 - Four courts currently have a DMS that is integrated with their current CMS (Orange, Sacramento, Riverside and San Bernardino).
 - Two of the remaining 10 courts will implement a locally maintained DMS prior to deployment of CCMS at their court. To implement the DMS, each court will dedicate 10% of their staff for one year to the DMS deployment. This estimate is based on research conducted during the preparation of the DMS RFP currently in development by AOC and multiple courts.
 - The remaining courts without a DMS at the time of CCMS deployment will use the enterprise DMS implemented by AOC at the CCTC. To support deployment of the DMS at their court, each court will dedicate the equivalent 5% of their staff for one year to the DMS deployment (this is in addition to the staff dedicated to CCMS deployment).
- **DMS hardware and software costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to incur DMS hardware procurement costs. DMS software costs will be covered by AOC as part of the enterprise license. These costs are based on estimates developed by Santa Clara court for their DMS CBA.

Based on these assumptions, the estimated court deployment costs for CCMS are presented in Table 4-23 below.

	2011/12	2012/13	2013/14	TOTAL
CCMS				
Staff	\$26,374,089	\$36,434,191	\$22,847,540	\$85,655,820
DMS				
Staff	\$7,501,270	\$7,978,607	\$4,114,317	\$19,594,194
Hardware	\$0	\$92,834	\$92,834	\$185,668
Software	\$0	\$281,597	\$281,597	\$563,193

Table 4-23: Estimated court CCMS deployment costs

Based on Table 4-23, Table 4-24 presents the total estimated court deployment cost for CCMS of \$105,998,875.

One-Time IT Project Costs	2011/12	2012/13	2013/14	TOTAL
Staff (Salaries & Benefits)	33,875,358	44,412,799	26,961,857	\$105,250,014

Hardware Purchase	0	92,834	92,834	\$185,668
Software Purchase/License	0	281,597	281,597	\$563,193
Total One-time IT Costs	33,875,358	44,787,230	27,336,287	\$105,998,875

Table 4-24: Total estimated court CCMS development and deployment costs

4.3.2.1.3 Current CMS replacement costs

The Southern Region plus V2/V3 scenario implements CCMS at 14 courts. Each of the other 44 courts will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period. As described above, we have assumed a minimalist replacement strategy. We assume that courts that are able to maintain their current systems, at least through FY 2020/21, will do so. We assume that courts that are able to upgrade to a more modern version of their current system will do so, and that courts that will require a full system replacement will replace their systems with the minimum functionality to support their current business practices. Using the same assumptions as described for the Cancel CCMS Deployment scenario in subsection 4.1.2.2, Table 4-25 presents an estimated current system replacement cost for the Southern Region plus V2/V3 scenario of \$254,334,559.

One-Time IT Project Costs	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	3,425,579	5,015,665	22,037,829	21,825,071	20,220,828	3,302,875	\$75,827,848
TOTAL Contract Services	7,993,019	11,703,218	51,509,333	52,175,700	47,418,733	7,706,709	\$178,506,711
Total One-time IT Costs	11,418,598	16,718,883	73,547,162	74,000,771	67,639,562	11,009,584	\$254,334,559

Table 4-25: Current system replacement costs for Southern Region plus V2/V3 scenario

4.3.2.2 CCMS operations and maintenance costs

Estimated CCMS operations and maintenance costs are based on the following assumptions:

- State-level CCMS and DMS operations and maintenance costs.** The state-level costs for maintaining and operating the CCMS and DMS infrastructure at the CCTC are based on estimates provided by AOC CCMS project leadership.
- Court CCMS operations and maintenance costs.** Since all CCMS instances are assumed to run at the CCTC, there are few operations and maintenance costs that must be paid for by the courts. Our cost benefit analysis assumes no chargeback of CCMS costs by the AOC to the courts. Court CCMS operations and maintenance costs are limited to out of pocket local expenses such as training new staff on CCMS, participating in the CCMS governance process with the AOC, and local testing of new changes to CCMS. We assume that these costs are equal to 10% of state-level CCMS operations and maintenance costs.
- Court DMS operations and maintenance costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to pay DMS hardware and maintenance charges. DMS software costs will be covered by AOC as part of the enterprise license. These charges are based on estimates developed by Santa Clara court for their DMS DBA.

Table 4-26 below presents the estimated CCMS operations and maintenance costs by fiscal year. Once all courts are deployed on CCMS, total annual CCMS operations and maintenance costs are estimated to be \$46,910,999.

Continuing IT Project Costs	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (Salaries & Benefits)	18,189,301	5,768,188	5,626,464	5,597,449	5,597,449	5,597,449	5,597,449	51,973,749
Hardware Lease/Maintenance	231,710	231,710	231,710	231,710	231,710	231,710	231,710	1,621,968
Software Maintenance/Licenses	37,151,237	12,144,589	12,144,589	12,144,589	12,144,589	12,144,589	12,144,589	110,018,774
Contract Services	43,961,124	11,272,890	11,272,890	11,272,890	11,272,890	11,272,890	11,272,890	111,598,465
Data Center Services	81,522,887	19,378,729	17,664,361	17,664,361	17,664,361	17,664,361	17,664,361	189,223,420
Other	1,286,419	283,385	290,155	0	0	0	0	1,859,959
Total Continuing IT Costs	182,342,678	49,079,491	47,230,170	46,910,999	46,910,999	46,910,999	46,910,999	466,296,335

Table 4-26: Estimated CCMS operations and maintenance costs

4.3.2.3 Continuing current system costs

Continuing current system IT costs are based on survey responses from the IT cost survey conducted by Grant Thornton. Continuing current system IT costs include two costs: Existing IT Costs and Supplemental Funding Costs.

Table 4-27 below presents an estimate of existing and projected IT costs and AOC supplemental funding costs based on the Southern Region plus V2/V3 scenario. The table presents cost estimates for FY 2010/11 through FY 2020/21.

In this scenario, total existing IT costs for the 10 year period are estimated to be \$843,862,499. These are the total estimated direct and relevant costs for all courts not included in the Southern Region plus V2/V3 scenario to maintain their existing CMS' to FY 2020/21, and for all courts included in the Southern Region plus V2/V3 scenario to maintain their existing CMS' until they are replaced by CCMS. Deployment of CCMS starts in FY 2013/14 with the 14 Southern Region plus V2/V3 scenario courts rolling off their current CMS' and onto CCMS by FY 2014/15.

AOC supplemental funding totals approximately \$144M over this same period. Year-to-year costs vary from approximately \$26M to \$4M. As courts with V2, V3 and SJE technologies are deployed to CCMS, supplemental funding will no longer be provided by AOC for these technologies.

Continuing IT Costs	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (salaries & benefits)	28,057,854	30,115,960	30,340,197	28,221,512	16,123,395	15,877,626	16,146,995	16,530,904	17,054,593	17,404,481	17,925,192	17,925,192	251,723,902
Hardware Lease/ Maintenance	1,988,408	4,882,356	7,183,961	2,478,888	978,297	3,696,161	1,982,557	1,127,358	3,349,222	1,709,030	1,481,144	1,481,144	32,338,525
Software Maintenance/ Licenses	12,708,962	12,147,600	12,459,050	12,611,482	7,865,812	7,959,135	8,092,650	8,305,694	8,460,202	8,639,594	8,815,402	8,815,402	116,880,985
Contract Services	11,528,844	11,083,720	9,521,003	8,760,130	6,189,494	6,229,847	6,186,393	6,219,776	6,226,077	6,247,321	6,338,313	6,338,313	90,869,230
Data Center Services	17,737,134	18,064,832	17,851,596	17,690,078	14,420,014	14,713,440	15,025,309	15,287,435	15,639,583	16,014,126	16,412,572	16,412,572	195,268,689
Agency Facilities	24,255	24,905	27,325	28,071	17,717	18,399	19,115	17,467	18,257	19,086	19,956	19,956	254,509
Other	24,580,827	30,050,912	24,554,833	21,577,009	22,307,678	4,703,154	5,072,948	4,718,839	4,736,433	4,735,518	4,744,254	4,744,254	156,526,658
Total IT Costs	96,626,283	106,370,287	101,937,965	91,367,170	67,902,405	53,197,762	52,525,967	52,207,473	55,484,365	54,769,156	55,736,832	55,736,832	843,862,499

Table 4-27: Current system IT costs for Southern Region plus V2/V3 scenario

4.3.2.4 Optimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. For CCMS deployment costs for the Southern Region plus V2/V3 deployment scenario, we also considered a version of the scenario where state-level deployment costs were 20% less than our baseline estimate and where court deployment costs were 30% less than our baseline estimate. Table 4-28 presents the results of this analysis, which estimates a total CCMS deployment cost of \$878,123,876.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	35,529,546	54,246,355	25,290,713	17,521,100	17,244,604	16,161,858	2,312,013	\$188,476,373
Hardware Purchase	0	955,170	15,698,225	92,834	92,834	0	0	0	0	\$16,839,063
Software Purchase/License	0	0	5,914,438	281,597	281,597	0	0	0	0	\$6,477,631
TOTAL Contract Services	158,656,790	42,600,468	102,764,822	82,529,126	40,800,299	46,747,689	39,898,364	34,876,849	5,394,696	\$554,269,102
Data Center Services	28,690,504	16,851,044	13,655,948	12,020,353	13,903,527	7,367,092	7,911,216	5,268,142	0	\$105,667,826
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	69,011,141	173,562,979	149,170,264	80,368,968	71,635,881	65,054,185	56,306,849	7,706,709	\$878,123,876

Table 4-28: Optimistic Southern Region plus V2/V3 CCMS deployment costs

4.3.2.5 Pessimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. For CCMS deployment costs for the Southern Region plus V2/V3 deployment scenario, we also considered a version of the scenario where each deployment wave took three years to complete, state-level deployment costs were 40% higher than our baseline estimate, court deployment costs were 30% higher than our baseline estimate, and current system replacement costs were estimated based on AOC’s June 2010 analysis. Table 4-29 presents the results of this analysis, which estimates a total CCMS deployment cost of \$1,450,449,745.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	64,717,357	99,615,746	52,286,697	42,125,585	51,172,345	38,132,736	8,520,000	\$376,740,651
Hardware Purchase	0	955,170	15,698,225	120,684	120,684	0	0	0	0	\$16,894,764
Software Purchase/ License	0	0	5,914,438	366,076	366,076	0	0	0	0	\$6,646,589
TOTAL Contract Services	158,656,790	42,600,468	157,053,092	138,765,104	74,445,626	106,733,958	116,008,177	83,726,539	19,880,000	\$897,869,751
Data Center Services	28,690,504	16,851,044	22,854,224	20,081,932	23,377,486	11,938,726	12,890,944	9,219,248	0	\$145,904,110
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	69,011,141	266,237,336	258,949,542	150,596,569	160,798,269	180,071,466	131,078,523	28,400,000	\$1,450,449,745

Table 4-29: Pessimistic Southern Region plus V2/V3 CCMS deployment costs

4.3.3 Benefits

This subsection document the benefits associated with the Southern Region plus V2/V3 CCMS deployment scenario. Subsection 4.3.3.1 presents qualitative (i.e., not quantifiable) benefits associated with statewide deployment of CCMS, while subsection 4.3.3.2 presents quantitative benefits and subsection 4.3.3.3 describes new CCMS revenue.

4.3.3.1 Qualitative benefits

The Southern Region plus V2/V3 scenario should provide many of the same qualitative benefits highlighted within subsection 4.2.3.1 for the 58 court deployment. However, within the Southern Region plus V2/V3 scenario a number of key benefits would be diminished, since benefits would only apply to the 14 impacted courts. These courts process only around 44% of the Branch's total annual case file volume. A number of the qualitative benefits identified in subsection 4.2.3.1 rely on all court filings being transitioned into the CCMS environment and accessible by judicial staff across Branch. With only a partial transition of the Branch's case file inventory, the Branch would not be able to achieve the same level of benefits from venue transparency, which provides visibility across case types and the ability to generate comprehensive statistics that drive ongoing judiciary improvements.

4.3.3.2 Quantitative benefits

This subsection presents the quantitative benefits for the Southern Region plus V2/V3 deployment scenario. These benefits take the form of reductions in the costs of executing the business processes described in subsection 4.1.3 above. The Southern Court scenario assumes that all the CCMS benefits described in subsection 4.2.3.2 apply, but the impacts will only be to the 14 courts included within the deployment scenario. The other 44 courts will continue to function in the status quo environment.

Within the Southern Region plus V2/V3 scenario, the deployment is planned to be completed within two deployment waves. While this would have the impact of shortening the project and reducing deployment costs, the smaller court population would also reduce project cost savings. While continuing program costs in the 58 court deployment scenario continue to reduce from 2013/14 through the completion of the deployment in 2017/18 (and then remain constant), program costs within the Southern Region plus V2/V3 scenario only reduce through 2015/16 and then remain constant throughout the remainder of the analysis period. As illustrated in Table 4-30 below, along with the reduction of impacted case filings, this results in a significant reduction of court benefits for this scenario.

Based upon the above assumptions, Grant Thornton estimated that the Southern Region plus V2/V3 scenario would result in a continuing program cost of \$3,325,235,538 through FY 2020/21. This equates to an approximately \$737 Million reduction in program costs over the same period compared to the status quo costs presented in subsection 4.1.3 above.

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
					\$105,932,830.3	\$101,391,416.5							
Case Initiation	\$110,474,244	\$110,474,244	\$110,474,244	\$110,474,244	3	8	\$79,250,851	\$79,250,851	\$79,250,851	\$79,250,851	\$79,250,851	\$79,250,851	\$1,124,726,331
Fee/ Penalty Payment	\$35,143,767	\$35,143,767	\$35,143,767	\$35,143,767	\$33,466,813.83	\$31,789,860.90	\$23,614,282	\$23,614,282	\$23,614,282	\$23,614,282	\$23,614,282	\$23,614,282	\$347,517,435
Calendaring	\$93,474,607	\$93,474,607	\$93,474,607	\$93,474,607	\$88,716,930.36	\$83,959,253.55	\$60,764,350	\$60,764,350	\$60,764,350	\$60,764,350	\$60,764,350	\$60,764,350	\$911,160,712
Appeals Preparation	\$3,979,328	\$3,979,328	\$3,979,328	\$3,979,328	\$3,789,446.29	\$3,599,564.96	\$2,673,844	\$2,673,844	\$2,673,844	\$2,673,844	\$2,673,844	\$2,673,844	\$39,349,388
Background Checks	\$1,747,144	\$1,747,144	\$1,747,144	\$1,747,144	\$1,663,775.27	\$1,580,406.92	\$1,173,965	\$1,173,965	\$1,173,965	\$1,173,965	\$1,173,965	\$1,173,965	\$17,276,545
Administrative Inquiries	\$59,329,318	\$59,329,318	\$59,329,318	\$59,329,318	\$55,884,070.86	\$52,438,823.78	\$35,972,580	\$35,972,580	\$35,972,580	\$35,972,580	\$35,972,580	\$35,972,580	\$561,475,646
CWS Court Information Management	\$29,491,862	\$29,491,862	\$29,491,862	\$29,491,862	\$27,615,513.92	\$25,739,165	\$16,591,482	\$16,591,482	\$16,591,482	\$16,591,482	\$16,591,482	\$16,591,482	\$270,871,020
Storage Space Costs	\$4,931,515	\$4,931,515	\$4,931,515	\$4,931,515	\$4,843,663	\$4,649,116	\$3,939,937	\$3,939,937	\$3,939,937	\$3,939,937	\$3,939,937	\$3,939,937	\$52,858,461
Total Program Costs	\$338,571,785	\$338,571,785	\$338,571,785	\$338,571,785	\$321,913,044	\$305,147,609	\$223,981,291	\$223,981,291	\$223,981,291	\$223,981,291	\$223,981,291	\$223,981,291	\$3,325,235,538

Table 4-30: Continuing program cost summary for Southern Region plus V2/V3 scenario

4.3.3.3 Revenues

As the Branch rolls out CCMS functionality and transitions its case files to the new business environment, the AOC intends to generate new revenues by charging the public for CCMS-related services. Within our analysis, Grant Thornton assumed that the AOC will be able to generate revenues from name search activities, from requests for electronic documents, and by applying a surcharge for on-line traffic ticket payments. The benefits related to increased revenues for these new revenues streams have been estimated based upon the assumptions presented in subsection 4.2.3.3.

Table 4-18 below presents a summary of the estimated revenue to be generated by CCMS in the Southern Region plus V2/V3 scenario, which is projected to total \$91,184,826 over the CBA period.

Projected Revenues	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Name Search Fees	\$878,188	\$3,450,773	\$3,450,773	\$3,450,773	\$3,450,773	\$3,450,773	\$3,450,773	\$3,450,773	\$3,450,773	\$28,484,369
Electronic Document Fees	\$266,239	\$774,175	\$774,175	\$774,175	\$774,175	\$774,175	\$774,175	\$774,175	\$774,175	\$6,459,642
Disposition Credit Card Fees	\$1,973,290	\$6,783,440	\$6,783,440	\$6,783,440	\$6,783,440	\$6,783,440	\$6,783,440	\$6,783,440	\$6,783,440	\$56,240,814
Total Revenue Projections	\$3,117,718	\$11,008,388	\$11,008,388	\$11,008,388	\$11,008,388	\$11,008,388	\$11,008,388	\$11,008,388	\$11,008,388	\$91,184,826

Table 4-31: Southern Region plus V2/V3 deployment scenario revenue projection

4.3.3.4 *Optimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. Within the optimistic version of the Southern Region plus V2/V3 scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Within the optimistic version of the Southern Region plus V2/V3 scenario, Grant Thornton assumed that cost savings would begin to accrue 6 months earlier at each court than within our baseline estimate.
- We also assumed that work effort reductions would be greater than in the baseline scenario. Specifically, Grant Thornton assumed that 90% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that 95% of infractions will be delivered electronically.

These modified assumptions resulted in a projected reduction in continuing program costs of approximately \$866 Million over the CBA time period.

4.3.3.5 *Pessimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. Within the pessimistic version of the Southern Region plus V2/V3 scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Grant Thornton assumed that cost savings would begin to accrue a year later at each court than within our baseline estimate.
- We also assumed that work effort reductions would not be as robust as in the baseline scenario. Specifically:
 - **Case initiation.** Grant Thornton assumes that only 58.9% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that only 75% of infractions will be delivered electronically.
 - **Fee and Penalty Payment.** Grant Thornton assumed that work effort would only be reduced by 25% of status quo work effort
 - **Appeals Preparation.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort
 - **Calendaring.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo work effort
 - **Administrative Inquiries.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort.
- Grant Thornton assumed that the AOC will be unable to generate any new revenue through the assessment of fees for name search, electronic document requests or from traffic disposition credit card transactions.

Under these modified assumptions, over the CBA time period the State would still experience a \$406 Million reduction in continuing program costs compared to the costs of the status quo business environment.

4.3.4 Return on investment

Table 4-32 below presents the summary EAW for the Southern Region plus V2/V3 scenario, and depicts a summary of the project costs and benefits for the years FY 2002/03 to FY 2014/15, and then the costs and benefits for each year from FY 2015/16 to FY 2020/21. The final column shows a Total Project Cost for this scenario of \$1,475,727,483, Total Continuing Existing Costs (i.e., program costs and maintenance of current IT systems during the deployment) of \$4,169,098,037, and a total cost for this alternative of \$5,644,825,519.

Comparing this figure against the status quo scenario results in a cost savings/avoidance of \$292,730,373. With the addition of \$91,184,826 in estimated new revenue, this results in a net ROI for this scenario of \$383,915,199.

	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Cancel CCMS Deployment/Baseline								
Total IT Costs	363,339,452.9	102,997,727.7	92,703,423.7	19,708,285.5	8,698,701.5	0.0	0.0	587,447,591
Total Program Costs	2,636,343,720.3	442,999,078.2	443,069,100.9	450,976,716.8	448,759,180.7	450,982,989.6	450,982,989.6	5,324,113,776
Total Cancel CCMS Deployment Costs	2,999,683,173.2	545,996,805.9	535,772,524.6	470,685,002.3	457,457,882.2	450,982,989.6	450,982,989.6	5,911,561,368
Scenario 3	Southern Region plus V2/V3							
Total Project Costs	1,012,098,712.5	138,906,514.0	126,068,676.1	57,920,583.0	46,910,999.0	46,910,999.0	46,910,999.0	1,475,727,483
Total Cont. Exist. Costs	2,498,749,664.3	276,507,258.1	276,188,764.6	279,465,655.7	278,750,447.1	279,718,123.5	279,718,123.5	4,169,098,037
Total Alternative Costs	3,510,848,376.7	415,413,772.2	402,257,440.7	337,386,238.7	325,661,446.0	326,629,122.5	326,629,122.5	5,644,825,519
COST SAVINGS/AVOIDANCES	(485,170,678.3)	130,583,033.7	133,515,083.9	133,298,763.6	131,796,436.2	124,353,867.1	124,353,867.1	292,730,373
Increased Revenues	25,134,495.0	11,008,388.5	11,008,388.5	11,008,388.5	11,008,388.5	11,008,388.5	11,008,388.5	91,184,826
Net (Cost) or Benefit	(460,036,183.3)	141,591,422.1	144,523,472.4	144,307,152.1	142,804,824.7	135,362,255.6	135,362,255.6	383,915,199
Cum. Net (Cost) or Benefit	(460,036,183.3)	(318,444,761.1)	(173,921,288.7)	(29,614,136.6)	113,190,688.0	248,552,943.6	383,915,199.2	

Table 4-32: Southern Region plus V2/V3 summary EAW

In addition to calculating the best estimate (baseline) scenario, as described above Grant Thornton also considered optimistic and pessimistic variations of our baseline assumptions. Taking these assumptions into consideration, and only considering future investment costs (i.e., not considering any prior CCMS V4 costs from FY 2002/03 to FY 2010/11), Table 4-33 below presents the variation in ROI across the pessimistic, baseline, and optimistic scenarios.

Table 4-33 shows that when only future investment dollars are considered, the Southern Region plus V2/V3 option has a positive ROI of \$654,442,700. The pessimistic scenario (where costs are assumed to be higher, benefits are assumed to be lower, and deployment is assumed to be delayed) results in a negative ROI of (\$479,794,745). The optimistic scenario (where costs are assumed to be reduced, and benefits are assumed to be higher) results in a positive ROI of \$666,326,808.

FY 2011/12 to FY 2020/21 ROI Comparison with Optimistic/Pessimistic Scenarios			
	Pessimistic	Baseline	Optimistic
Southern Region plus V2/V3	(\$479,794,745)	\$654,442,700	\$666,326,808

Table 4-33: Southern Region plus V2/V3 scenario comparison of optimistic and pessimistic assumptions

4.4 Interim CMS plus extra small courts

This subsection presents our analysis of the costs and benefits of replacing the V2, V3, and SJE systems, plus replacing any other systems used by extra small courts. Subsection 4.4.1 presents a summary of the alternative, subsection 4.4.2 presents the costs associated with this alternative, subsection 4.4.3 presents the benefits of this alternative, and subsection 4.4.4 presents the ROI associated with this alternative.

4.4.1 Summary of alternative

This scenario assumes that after deployment of the three CCMS early adopter courts (Ventura, San Diego, and San Luis Obispo), CCMS deployment will be limited to all courts currently using V2, V3 or SJE, and to any other extra small courts. This will retire the V2, V3, and SJE systems from use throughout the State, and will migrate all the extra small courts onto CCMS.

All courts will operate on a CCMS platform maintained by AOC at the CCTC. AOC will also implement an enterprise DMS solution at the CCTC. Where courts have a locally-deployed DMS at the time of CCMS deployment, this DMS will be integrated with CCMS. For those courts that do not have a DMS at the time of CCMS deployment, their CCMS deployment will include integration with the enterprise DMS at the CCTC, and this DMS will become part of the CCMS solution for the court. AOC will also implement electronic interfaces with those State and local JPs prepared to exchange data electronically with each court.

This scenario assumes a mixture of vendor and AOC labor to execute the CCMS deployment. In this scenario the AOC would contract with one or more deployment vendors to assist with the early adopter and large courts, while AOC staff will deploy CCMS to the other courts. This scenario includes the following 34 courts:

- San Diego
- Ventura
- San Luis Obispo
- Fresno
- Orange
- Sacramento
- San Joaquin
- Alhambra (L.A.)
- Inyo
- Del Norte
- Mariposa
- Humboldt
- Imperial
- Lake
- Madera
- Merced
- Modoc
- Monterey
- Napa
- Placer
- Plumas
- San Benito
- Santa Barbara
- Sierra
- Trinity
- Tulare
- Tuolumne
- Alpine
- Amador
- Calaveras
- Colusa
- Glenn
- Lassen
- Mono

Figure 4-6 below presents the deployment schedule for the Interim CMS plus extra small courts scenario.

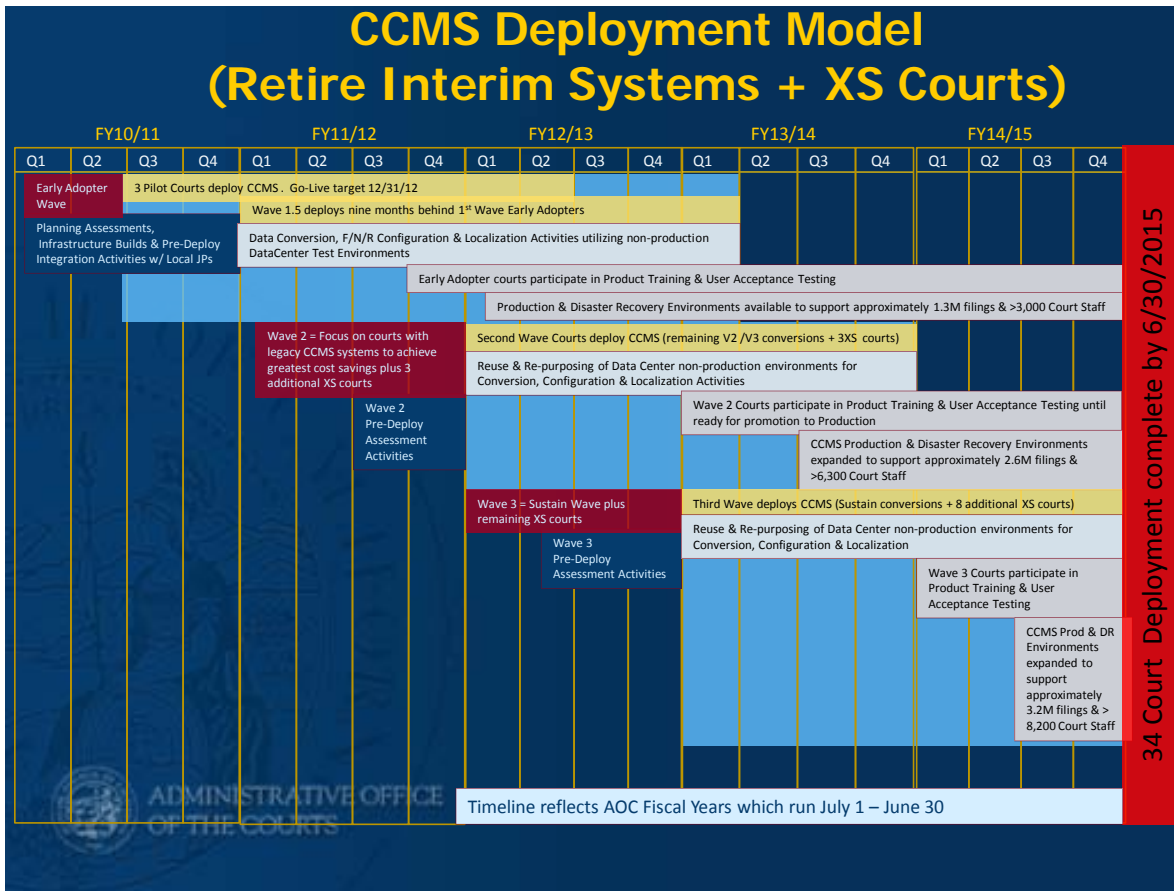


Figure 4-6: Interim CMS + extra small courts scenario deployment schedule

Figure 4-7 below presents the components of the Cancel CCMS Deployment scenario that are presented in the following subsections.

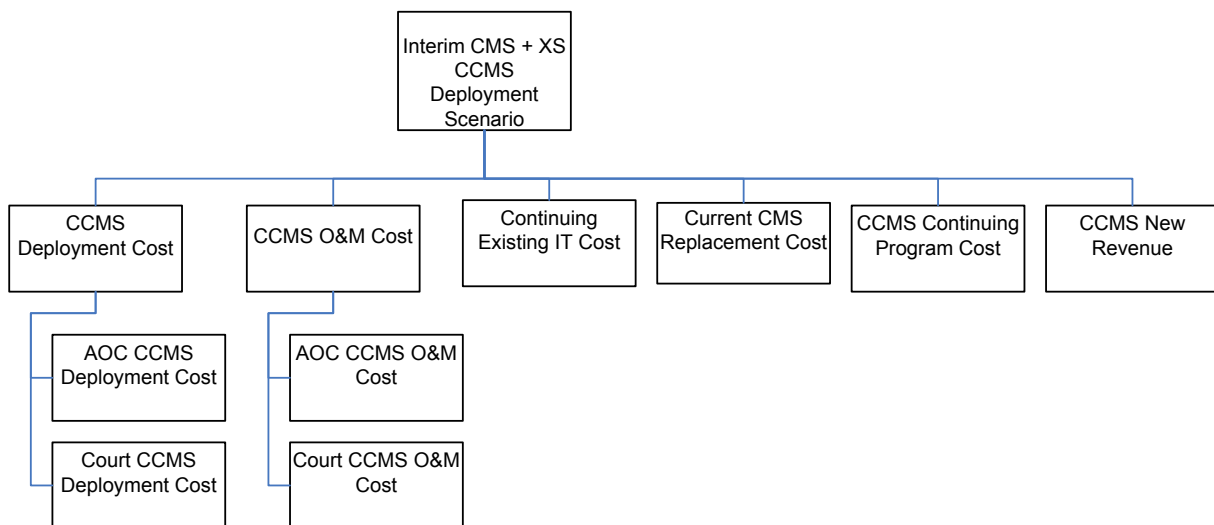


Figure 4-7: Interim CMS plus extra small courts scenario cost benefit analysis components

The primary components of this scenario that contribute to the CBA are:

- CCMS deployment costs.** CCMS deployment costs to be funded with State-level resources are based on deployment budget estimates received directly from AOC CCMS project leadership. Court deployment costs are based on estimates of the staffing expense that would be required to for courts to effectively support the CCMS deployment at their court. In addition, where a DMS implementation is assumed to occur at a court prior to CCMS deployment, those costs are included as court CCMS deployment costs.
- CCMS operations and maintenance costs.** CCMS operations and maintenance costs are based on figures received directly from AOC CCMS project leadership. Court CCMS operations and maintenance costs primarily reflect assumed out-of-pocket expenses for courts during ongoing CCMS operations.
- Continuing IT costs.** Courts are assumed to continue to expend resources on operations and the maintenance of their current CMS' system at the current rate until CCMS is implemented at their court. Current CMS IT costs are based on our data collection and interviews with courts to understand their current IT expenditures.
- Current CMS replacement costs.** The Interim CMS plus extra small court scenario implements CCMS at 34 courts. Each of the other 24 courts will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period (FY 2011/12 to FY 2020/21). We have assumed a minimalist replacement strategy – courts that could reasonably maintain their current systems indefinitely are assumed to do so; courts that could upgrade to a more modern version of their current system are assumed to do so; and courts that will require a full system replacement are assumed to replace their systems with the minimum functionality to support their current business practices. No significant business process reengineering, additional automation or DMS implementation is assumed.
- Continuing program costs.** The increased automation and more efficient business practices to be delivered by CCMS are assumed to impact each court's operations after that court has deployed CCMS. The business process efficiencies delivered by CCMS have the effect of reducing state-wide Continuing Program Costs as courts deploy CCMS.
- CCMS new revenue.** Two new system usage fees are assumed to be imposed after CCMS is deployed at each court. These fees help to offset CCMS deployment and operations costs.

4.4.2 Costs

This subsection document the costs associated with deploying CCMS to V2, V3 and SJE courts (collectively referred to as the Interim CMS'), along with any remaining extra small courts.

4.4.2.1 CCMS deployment costs

The total deployment cost for CCMS is the sum of the deployment costs funded with State-level resources, plus the CCMS deployment and current system replacement costs that must be borne by the trial costs. Table 4-34 presents the total deployment costs for the Interim CMS plus extra small courts CCMS deployment, by fiscal year. This table also includes all expenditures on CCMS V4 development from FY

2002/03 to FY 2010/11. The total deployment cost for CCMS V4 is estimated to be \$1,040,097,575. This cost comprises the following elements:

- \$727,261,983 in state-level deployment costs which are described in subsection 4.4.2.1.1;
- \$97,217,431 in courts' CCMS deployment costs which are described in subsection 4.4.2.1.2; and
- \$215,618,161 in current system replacement costs for those courts who do not implement CCMS which are described in subsection 4.4.2.1.3.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	43,710,454	80,255,313	88,410,618	16,672,490	32,322,308	22,450,459	3,302,875	\$307,294,703
Hardware Purchase	0	955,170	15,698,225	0	56,431	56,431	0	0	0	\$16,766,257
Software Purchase/License	0	0	5,914,438	0	171,173	171,173	0	0	0	\$6,256,784
TOTAL Contract Services	158,656,790	26,241,940	80,459,882	71,402,462	49,647,801	32,979,495	82,032,485	48,628,047	7,706,709	\$557,755,610
Data Center Services	28,690,504	16,851,044	16,722,040	18,700,371	21,749,849	21,792,699	13,769,258	7,354,573	0	\$145,630,340
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	162,505,039	170,358,146	160,035,873	71,672,289	128,124,051	78,433,079	11,009,584	\$1,040,097,575

Table 4-34: Total estimated CCMS deployment costs for Interim CMS plus extra small courts deployment

4.4.2.1.1 State-level CCMS deployment costs

The state-level estimated CCMS deployment costs were based on information provided by AOC CCMS project leadership. The estimates assume the following:

- All courts are assumed to run their CCMS instance at the CCTC.
- AOC will implement an enterprise DMS. Those courts who do not have a local DMS at the time of CCMS deployment at their court will use the enterprise DMS. The development costs of integrating this DMS with CCMS will be entirely funded with State-level resources.
- Those courts with a pre-existing locally maintained DMS will have the DMS integrated with CCMS. CCMS integration costs will be paid for with State-level funding.
- AOC will implement the court's side of electronic JP interfaces for all JP's prepared to implement such an interface. The JPs will pay for their side of the interface.

Table 4-35 presents the state-level deployment costs for the Interim CMS plus extra small courts CCMS deployment, by fiscal year. This table also includes all state-level expenditures on CCMS V4 development from FY 2002/03 to FY 2010/11. The state-level deployment cost for CCMS V4 is estimated to be \$727,261,983.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	9,835,096	45,613,198	60,676,992	4,417,247	2,458,818	2,509,097	\$145,680,633
Hardware Purchase	0	955,170	15,698,225	0	0	0	0	0	\$16,653,395
Software Purchase/ License	0	0	5,914,438	0	0	0	0	0	\$5,914,438
TOTAL Contract Services	158,656,790	26,241,940	80,459,882	63,409,444	37,944,583	25,272,787	12,905,670	2,098,202	\$406,989,297
Data Center Services	28,690,504	16,851,044	16,722,040	18,700,371	21,749,849	21,792,699	13,769,258	7,354,573	\$145,630,340
Other	3,462,630	2,931,250	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	52,652,613	128,629,681	127,723,013	120,371,424	51,482,733	29,133,746	11,961,873	727,261,983

Table 4-35: State-level estimated CCMS deployment costs for Interim CMS plus extra small courts deployment

4.4.2.1.2 Court CCMS deployment costs

The CCMS deployment costs to be borne by the courts were estimated based on the following assumptions:

- **CCMS staffing costs.** The costs to the courts associated with devoting IT and business staff to the CCMS deployment were extrapolated from estimates developed by two early adopter courts. On average the early adopter courts estimated that almost 9% of their staff would need to be dedicated to the CCMS deployment for two years. Based on conversations with these courts and on court experiences with prior CCMS V3 deployments, we assumed that this figure could be halved for non-early adopter courts. This assumption presumes that lessons learned from the early adopter courts will be leveraged in later deployments, including the adoption by later courts of standardized business processes piloted by the early adopter courts.
- **DMS staffing costs.** The following assumptions were made regarding DMS staff costs:
 - Six Interim CMS plus extra small courts scenario courts currently have a DMS that is integrated with their current CMS.
 - Five of the remaining 28 courts will implement a locally maintained DMS prior to deployment of CCMS at their court. To implement the DMS, each court will dedicate 10% of their staff for one year to the DMS deployment. This estimate is based on research conducted during the preparation of the DMS RFP currently in development by AOC and multiple courts.
 - The remaining courts without a DMS at the time of CCMS deployment will use the enterprise DMS implemented by AOC at the CCTC. To support deployment of the DMS at their court, each court will dedicate the equivalent 5% of their staff for one year to the DMS deployment (this is in addition to the staff dedicated to CCMS deployment).
- **DMS hardware and software costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to incur DMS hardware procurement costs. DMS software costs will be covered by AOC as part of the enterprise license. These costs are based on estimates developed by Santa Clara court for their DMS CBA.

Based on these assumptions, the estimated court deployment costs for CCMS are presented in Table 4-36 below.

	2011/12	2012/13	2013/14	2014/15	TOTAL
CCMS					
Staff	\$26,374,089	\$25,884,390	\$18,042,440	\$5,744,702	\$76,045,621
DMS					
Staff	\$7,501,270	\$5,332,145	\$4,675,521	\$3,207,666	\$20,716,602
Hardware	\$0	\$0	\$56,431	\$56,431	\$112,862
Software	\$0	\$0	\$171,173	\$171,173	\$342,346

Table 4-36: Estimated court CCMS deployment costs

Based on Table 4-36, the total court deployment cost for CCMS is \$97,217,431 as presented in Table 4-37 below.

One-Time IT Project Costs	2011/12	2012/13	2013/14	2014/15	TOTAL
Staff (Salaries & Benefits)	33,875,358	31,216,535	22,717,961	8,952,368	\$96,762,223
Hardware Purchase	0	0	56,431	56,431	\$112,862
Software Purchase/License	0	0	171,173	171,173	\$342,346
Total One-time IT Costs	33,875,358	31,216,535	22,945,565	9,179,972	\$97,217,431

Table 4-37: Total estimated court CCMS development and deployment costs

4.4.2.1.3 Current CMS replacement costs

The Interim CMS plus extra small courts scenario implements CCMS at 34 courts. Each of the other 24 courts will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period. As described above, we have assumed a minimalist replacement strategy. We assume that courts that are able to maintain their current systems, at least through FY 2020/21, will do so. We assume that courts that are able to upgrade to a more modern version of their current system will do so, and that courts that will require a full system replacement will replace their systems with the minimum functionality to support their current business practices. Using the same assumptions as described for the Cancel CCMS Deployment scenario in subsection 4.1.2.2, Table 4-38 presents an estimated current system replacement cost for the Interim CMS plus extra small courts scenario of \$215,618,161.

One-Time IT Project Costs	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	3,425,579	5,015,665	3,302,875	29,863,490	19,941,362	3,302,875	\$64,851,847
TOTAL Contract Services	7,993,019	11,703,218	7,706,709	69,126,815	46,529,844	7,706,709	\$150,766,314
Total One-time IT Costs	11,418,598	16,718,883	11,009,584	98,990,306	66,471,206	11,009,584	\$215,618,161

Table 4-38: Current system replacement costs for Interim CMS plus extra small courts scenario

4.4.2.2 CCMS operations and maintenance costs

Estimated CCMS operations and maintenance costs are based on the following assumptions:

- **State-level CCMS and DMS operations and maintenance costs.** The state-level costs for maintaining and operating the CCMS and DMS infrastructure at the CCTC are based on estimates provided by AOC CCMS project leadership.
- **Court CCMS operations and maintenance costs.** Since all CCMS instances are assumed to run at the CCTC, there are few operations and maintenance costs that must be paid for by the courts. Our cost benefit analysis assumes no chargeback of CCMS costs by the AOC to the courts. Court CCMS operations and maintenance costs are limited to out of pocket local expenses such as training new staff on CCMS, participating in the CCMS governance process with the AOC, and local testing of new changes to CCMS. We assume that these costs are equal to 10% of AOC CCMS operations and maintenance costs.
- **Court DMS operations and maintenance costs.** Those courts that do not currently have an integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to pay DMS hardware and maintenance charges. DMS software costs will be covered by AOC as part of the enterprise license. These charges are based on estimates developed by Santa Clara court for their DMS DBA.

Table 4-39 below presents the estimated CCMS operations and maintenance costs by fiscal year. Once all courts are deployed on CCMS, total annual CCMS operations and maintenance costs are estimated to be \$47,733,429.

Continuing IT Project Costs	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (Salaries & Benefits)	19,626,011	6,159,737	5,675,140	5,646,124	5,646,124	5,646,124	5,646,124	54,045,386
Hardware Lease/Maintenance	402,097	447,553	447,553	447,553	447,553	447,553	447,553	3,087,415
Software Maintenance/Licenses	37,207,409	12,215,747	12,215,747	12,215,747	12,215,747	12,215,747	12,215,747	110,501,888
Contract Services	43,961,124	11,272,890	11,272,890	11,272,890	11,272,890	11,272,890	11,272,890	111,598,465
Data Center Services	95,849,694	23,294,220	18,151,115	18,151,115	18,151,115	18,151,115	18,151,115	209,899,489
Other	1,326,719	283,385	290,155	0	0	0	0	1,900,259
Total Continuing IT Costs	198,373,055	53,673,531	48,052,599	47,733,429	47,733,429	47,733,429	47,733,429	491,032,901

Table 4-39: Estimated CCMS operations and maintenance costs

4.4.2.3 Continuing current system costs

Continuing current system IT costs are based on survey responses from the IT cost survey conducted by Grant Thornton. Continuing current system IT costs include two costs: Existing IT Costs and Supplemental Funding Costs.

Table 4-40 below presents an estimate of existing and projected IT costs and AOC supplemental funding costs based on the Interim CMS plus extra small courts scenario. The table presents cost estimates for FY2010/11 through FY2020/21.

In this scenario, total existing IT costs for the 10 year period are estimated to be \$795,069,298. These are the total estimated direct and relevant costs for all courts not included in the Interim CMS scenario to maintain their existing CMS' to FY 2020/21, and for all courts included in the Interim CMS scenario to maintain their existing CMS' until they are replaced by CCMC. Deployment of CCMS starts in FY 2013/14 with the 34 Interim CMS scenario courts rolling off their current CMS' and onto CCMS by FY 2015/16.

AOC supplemental funding totals approximately \$122M over this same period. Year-to-year costs vary from approximately \$26M to \$0. As courts with V2, V3 and SJE technologies are deployed to CCMS, supplemental funding will no longer be provided by AOC for these technologies.

CCMS Cost Benefit Analysis

Continuing IT Costs	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Staff (salaries & benefits)	28,057,854	30,115,960	30,340,197	28,221,512	18,396,646	15,504,318	15,747,239	16,087,614	16,548,256	16,853,278	17,322,551	17,322,551	250,517,977
Hardware Lease/ Maintenance	1,988,408	4,882,356	7,183,961	2,478,888	1,121,864	3,336,037	2,916,877	990,430	3,466,876	1,720,702	1,425,266	1,425,266	32,936,931
Software Maintenance/Licenses	12,708,962	12,147,600	12,459,050	12,611,482	10,105,653	7,075,875	7,207,582	7,410,024	7,556,124	7,713,278	7,873,608	7,873,608	112,742,847
Contract Services	11,528,844	11,083,720	9,521,003	8,760,130	6,619,050	6,103,293	6,056,465	6,078,758	6,085,987	6,101,041	6,183,983	6,183,983	90,306,256
Data Center Services	17,737,134	18,064,832	17,851,596	17,690,078	15,574,349	12,201,631	12,483,914	12,708,606	13,027,644	13,367,137	13,728,466	13,728,466	178,163,852
Agency Facilities	24,255	24,905	27,325	28,071	20,906	16,462	17,121	14,964	15,690	16,454	17,255	17,255	240,664
Other	24,580,827	30,050,912	24,554,833	21,577,009	22,389,279	4,691,217	534,398	343,999	358,465	355,826	362,003	362,003	130,160,772
Total IT Costs	96,626,283	106,370,287	101,937,965	91,367,170	74,227,746	48,928,832	44,963,597	43,634,394	47,059,042	46,127,716	46,913,133	46,913,133	795,069,298

Table 4-40: Current system IT costs for Interim CMS plus extra small courts scenario

4.4.2.4 Optimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. For CCMS deployment costs for the Interim CMS plus extra small courts deployment scenario, we also considered a version of the scenario where state-level deployment costs were 20% less than our baseline estimate and where court deployment costs were 30% less than our baseline estimate. Table 4-41 presents the results of this analysis, which estimates a total CCMS deployment cost of \$890,845,630.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	31,580,828	65,975,321	72,084,810	12,112,468	22,871,498	15,966,231	2,312,013	\$243,073,353
Hardware Purchase	0	955,170	15,698,225	0	56,431	56,431	0	0	0	\$16,766,257
Software Purchase/ License	0	0	5,914,438	0	171,173	171,173	0	0	0	\$6,256,784
TOTAL Contract Services	158,656,790	42,600,468	65,276,391	58,674,513	41,472,840	26,070,409	59,051,634	34,249,453	5,394,696	\$491,447,194
Data Center Services	28,690,504	16,851,044	13,655,948	15,214,613	17,654,195	17,688,475	11,269,723	5,883,659	0	\$126,908,162
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	69,011,141	132,125,829	139,864,447	131,439,450	56,098,957	93,192,854	56,099,343	7,706,709	\$890,845,630

Table 4-41: Optimistic Interim CMS plus extra small courts CCMS deployment costs

4.4.2.5 Pessimistic scenario

In addition to developing a “baseline” estimate of total costs project associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. For CCMS deployment costs for the Interim CMS plus extra small courts deployment scenario, we also considered a version of the scenario where each deployment wave took three years to complete, state-level deployment costs were 40% higher than our baseline estimate and court deployment costs were 30% higher than our baseline estimate. Table 4-42 presents the results of this analysis, which estimates a total CCMS deployment cost of \$1,474,325,808.

One-Time IT Project Costs	2002/3-09/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	TOTAL
Staff (Salaries & Benefits)	14,496,976	5,673,209	57,807,100	109,989,973	126,631,139	26,342,224	55,852,345	48,902,736	8,520,000	\$454,215,703
Hardware Purchase	0	955,170	15,698,225	0	73,360	73,360	0	0	0	\$16,800,116
Software Purchase/License	0	0	5,914,438	0	222,525	222,525	0	0	0	\$6,359,488
TOTAL Contract Services	158,656,790	42,600,468	110,826,864	97,019,532	75,622,574	54,346,934	139,681,282	108,847,483	19,880,000	\$807,481,926
Data Center Services	28,690,504	16,851,044	22,854,224	25,671,887	29,941,157	30,001,147	18,768,330	10,296,403	0	\$183,074,696
Other	3,462,630	2,931,250	0	0	0	0	0	0	0	\$6,393,880
Total One-time IT Costs	205,306,900	69,011,141	213,100,851	232,681,392	232,490,755	110,986,190	214,301,957	168,046,622	28,400,000	\$1,474,325,808

Table 4-42: Pessimistic Interim CMS plus extra small courts CCMS deployment costs

4.4.3 Benefits

This subsection document the benefits associated with the Interim CMS plus extra small courts CCMS deployment scenario. Subsection 4.4.3.1 presented qualitative (i.e., not quantifiable) benefits associated with statewide deployment of CCMS, while subsection 4.4.3.2 presents quantitative benefits and subsection 4.4.3.3 describes new CCMS revenue.

4.4.3.1 Qualitative benefits

The Interim CMS plus extra small court scenario should provide many of the same qualitative benefits highlighted within subsection 4.2.3.1 for the 58 court deployment. However, within the Interim CMS scenario a number of key benefits would be diminished, since benefits would only apply to the 34 impacted courts. These courts process only around 50% of the Branch's total annual case file volume. A number of the qualitative benefits identified in subsection 4.2.3.1 rely on all court filings being transitioned into the CCMS environment and accessible by judicial staff across Branch. With only a partial transition of the Branch's case file inventory, the Branch would not be able to achieve the same level of benefits from venue transparency, which provides visibility across case types and provides the ability to generate comprehensive statistics that drive ongoing judiciary improvements.

4.4.3.2 Quantitative benefits

This subsection presents the quantitative benefits for the Interim CMS plus extra small courts deployment scenario. These benefits take the form of reductions in the costs of executing the business processes described in subsection 4.1.3 above. The Interim CMS plus extra small courts scenario assumes that all the CCMS benefits described in subsection 4.2.3.2 apply, but the impacts will only be to the 34 courts included within the deployment scenario. The other 24 courts will continue to function in the status quo environment.

Within the Interim CMS plus extra small court scenario, the deployment is planned to be completed within three deployment waves. While this would have the impact of shortening the project and reducing deployment costs, the smaller court population would also reduce project cost savings. While continuing program costs in the 58 court deployment scenario continue to reduce from 2013/14 through the completion of the deployment in 2017/18 (and then remain constant), program costs within the Interim CMS plus extra small court scenario only reduce through 2015/16 and then remain constant throughout the remainder of the analysis period. As illustrated in Table 4-43 below, along with the reduction of impacted case filings, this results in a significant reduction of court benefits for this scenario.

Based upon the above assumptions, Grant Thornton estimated that the Interim CMS and extra small court scenario would result in a continuing program cost of \$3,311,355,946 through FY 2020/21. This equates to an approximately \$752 Million reduction in program costs over the same period compared to the status quo costs presented in subsection 4.1.3 above.

CCMS Cost Benefit Analysis

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	Total
Case Initiation	\$110,474,244	\$110,474,244	\$110,474,244	\$110,474,244	\$105,932,830.3 3	\$101,391,416.5 8	\$90,650,085	\$80,043,992	\$80,043,992	\$80,043,992	\$80,043,992	\$80,043,992	\$1,140,091,268
Fee/Penalty Payment	\$35,143,767	\$35,143,767	\$35,143,767	\$35,143,767	\$33,466,813.83	\$31,789,860.90	\$27,823,539	\$21,975,284	\$21,975,284	\$21,975,284	\$21,975,284	\$21,975,284	\$343,531,700
Calendaring	\$93,474,607	\$93,474,607	\$93,474,607	\$93,474,607	\$88,716,930.36	\$83,959,253.55	\$72,706,418	\$56,114,354	\$56,114,354	\$56,114,354	\$56,114,354	\$56,114,354	\$899,852,800
Appeals Preparation	\$3,979,328	\$3,979,328	\$3,979,328	\$3,979,328	\$3,789,446.29	\$3,599,564.96	\$3,150,459	\$2,488,261	\$2,488,261	\$2,488,261	\$2,488,261	\$2,488,261	\$38,898,084
Background Checks	\$1,747,144	\$1,747,144	\$1,747,144	\$1,747,144	\$1,663,775.27	\$1,580,406.92	\$1,383,224	\$1,092,483	\$1,092,483	\$1,092,483	\$1,092,483	\$1,092,483	\$17,078,397
Administrative Inquiries	\$59,329,320	\$59,329,320	\$59,329,320	\$59,329,320	\$55,884,072.55	\$52,438,825.36	\$44,499,807	\$32,652,254	\$32,652,254	\$32,652,254	\$32,652,254	\$32,652,254	\$553,401,256
CWS Court Information Management	\$29,491,862	\$29,491,862	\$29,491,862	\$29,491,862	\$27,615,513.92	\$25,739,165	\$21,301,235	\$14,757,601	\$14,757,601	\$14,757,601	\$14,757,601	\$14,757,601	\$266,411,368
Storage Space Costs	\$4,931,515	\$4,931,515	\$4,931,515	\$4,931,515	\$4,843,663	\$4,649,116	\$4,274,416	\$3,719,563	\$3,719,563	\$3,719,563	\$3,719,563	\$3,719,563	\$52,091,073
Total Program Costs	\$338,571,786	\$338,571,786	\$338,571,786	\$338,571,786	\$321,913,046	\$305,147,610	\$265,789,184	\$212,843,792	\$212,843,792	\$212,843,792	\$212,843,792	\$212,843,792	\$3,311,355,946

Table 4-43: Continuing program cost summary for Interim CMS and extra small courts scenario

4.4.3.3 Revenues

As the Branch rolls out CCMS functionality and transitions its case files to the new business environment, the AOC intends to generate new revenues by charging the public for CCMS-related services. Within our analysis, Grant Thornton assumed that the AOC will be able to generate revenues from name search activities, from requests for electronic documents, and by applying a surcharge for on-line traffic ticket payments. The benefits related to increased revenues for these new revenues streams have been estimated based upon the assumptions presented in subsection 4.2.3.3.

Table 4-44 below presents a summary of the estimated revenue to be generated by CCMS in the Interim CMS plus extra small court scenario, which is projected to total \$120,599,762 over the CBA period.

Projected Revenues	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	Total
Name Search Fees	\$1,075,336	\$1,173,513	\$8,374,564	\$8,374,564	\$8,374,564	\$8,374,564	\$8,374,564	\$8,374,564	\$8,374,564	\$60,870,795
Electronic Document Fees	\$304,087	\$331,850	\$2,368,188	\$2,368,188	\$2,368,188	\$2,368,188	\$2,368,188	\$2,368,188	\$2,368,188	\$17,213,257
Disposition Credit Card Fees	\$1,973,290	\$4,306,899	\$5,176,503	\$5,176,503	\$5,176,503	\$5,176,503	\$5,176,503	\$5,176,503	\$5,176,503	\$42,515,711
Total Revenue Projections	\$3,352,714	\$5,812,262	\$15,919,255	\$15,919,255	\$15,919,255	\$15,919,255	\$15,919,255	\$15,919,255	\$15,919,255	\$120,599,762

Table 4-44: Interim CMS plus extra small court deployment scenario revenue projection

4.4.3.4 *Optimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed an ‘optimistic’ version of the scenario that enables ROI figures to be estimated in the case that more favorable assumptions are used. Within the optimistic version of the Interim CMS plus extra small courts scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Within the optimistic version of the Interim CMS plus extra small courts scenario, Grant Thornton assumed that cost savings would begin to accrue 6 months earlier at each court than within our baseline estimate.
- We also assumed that work effort reductions would be greater than in the baseline scenario. Specifically, Grant Thornton assumed that 90% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that 95% of infractions will be delivered electronically.

These modified assumptions resulted in a projected reduction in continuing program costs of approximately \$938 Million over the CBA time period.

4.4.3.5 *Pessimistic scenario*

In addition to developing a “baseline” estimate of benefits associated with this scenario, we also developed a ‘pessimistic’ version of the scenario that enables ROI figures to be estimated in the case that less favorable assumptions are used. Within the pessimistic version of the Interim CMS plus extra small courts scenario, Grant Thornton made the same assumptions as those highlighted within subsection 4.2.3.2 with the following exceptions:

- Grant Thornton assumed that cost savings would begin to accrue a year later at each court than within our baseline estimate.
- We also assumed that work effort reductions would not be as robust as in the baseline scenario. Specifically:
 - **Case initiation.** Grant Thornton assumes that only 58.9% of case files for all case types (except infractions) will be delivered electronically. Grant Thornton assumed that only 75% of infractions will be delivered electronically.
 - **Fee and Penalty Payment.** Grant Thornton assumed that work effort would only be reduced by 25% of status quo work effort
 - **Appeals Preparation.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort
 - **Calendaring.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo work effort
 - **Administrative Inquiries.** Grant Thornton assumed that work effort would only be reduced by 50% of status quo effort.
- Grant Thornton assumed that the AOC will be unable to generate any new revenue through the assessment of fees for name search, electronic document requests or from traffic disposition credit card transactions.

Under these modified assumptions, over the CBA time period the State would still experience a \$387 Million reduction in continuing program costs compared to the costs of the status quo business environment.

4.4.4 Return on investment

Table 4-45 below presents the summary EAW for the Interim CMS plus extra small courts scenario, and depicts a summary of the project costs and benefits for the years FY 2002/03 to FY 2014/15, and then the costs and benefits for each year from FY 2015/16 to FY 2020/21. The final column shows a Total Project Cost for this scenario of \$1,531,130,476, Total Continuing Existing Costs (i.e., program costs and maintenance of current IT systems during the deployment) of \$4,106,425,244, and a total cost for this alternative of \$5,637,555,720.

Comparing this figure against the baseline scenario results in a cost savings/avoidance of \$300,000,173. With the addition of \$120,599,762 in estimated new revenue, the results in a net ROI for this scenario of \$420,599,935.

	SUBTOTAL	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
Cancel CCMS Deployment/Baseline								
Total IT Costs	363,339,452.9	102,997,727.7	92,703,423.7	19,708,285.5	8,698,701.5	0.0	0.0	587,447,591
Total Program Costs	2,636,343,720.3	442,999,078.2	443,069,100.9	450,976,716.8	448,759,180.7	450,982,989.6	450,982,989.6	5,324,113,776
Total Cancel CCMS Deployment Costs	2,999,683,173.2	545,996,805.9	535,772,524.6	470,685,002.3	457,457,882.2	450,982,989.6	450,982,989.6	5,911,561,368
Scenario 4	Interim CMS + XS							
Total Project Costs	1,020,903,914.9	181,797,582.9	126,485,678.6	58,743,012.9	47,733,428.9	47,733,428.9	47,733,428.9	1,531,130,476
Total Cont. Exist. Costs	2,500,806,085.3	310,752,780.5	256,478,186.2	259,902,834.1	258,971,508.1	259,756,925.0	259,756,925.0	4,106,425,244
Total Alternative Costs	3,521,710,000.1	492,550,363.4	382,963,864.8	318,645,847.0	306,704,937.0	307,490,353.9	307,490,353.9	5,637,555,720
COST SAVINGS/AVOIDANCES	(496,032,301.7)	53,446,442.5	152,808,659.8	152,039,155.3	150,752,945.3	143,492,635.7	143,492,635.7	300,000,173
Increased Revenues	25,084,231.1	15,919,255.2	15,919,255.2	15,919,255.2	15,919,255.2	15,919,255.2	15,919,255.2	120,599,762
Net (Cost) or Benefit	(470,948,070.6)	69,365,697.7	168,727,915.0	167,958,410.5	166,672,200.5	159,411,891.0	159,411,891.0	420,599,935
Cum. Net (Cost) or Benefit	(470,948,070.6)	(401,582,372.9)	(232,854,457.9)	(64,896,047.4)	101,776,153.1	261,188,044.1	420,599,935.1	

Table 4-45: Interim CMS + XS scenario summary EAW

In addition to calculating the best estimate (baseline) scenario, as described above Grant Thornton also considered optimistic and pessimistic variations of our baseline assumptions. Taking these assumptions into consideration, and only considering future investment costs (i.e., not considering any prior CCMS V4 costs from FY 2002/03 to FY 2010/11), Table 4-46 below presents the variation in ROI across the pessimistic, baseline, and optimistic scenarios.

Table 4-46 shows that when only future investment dollars are considered, the Interim CMS plus extra small courts option has a ROI of \$691,127,435. The pessimistic scenario (where costs are assumed to be higher, benefits are assumed to be lower, and deployment is assumed to be delayed) results in a negative ROI of (\$624,058,097). The optimistic scenario (where costs are assumed to be reduced, and benefits are assumed to be higher) results in a positive ROI of \$755,851,092.

FY 2011/12 to FY 2020/21 ROI Comparison with Optimistic/Pessimistic Scenarios			
	Pessimistic	Baseline	Optimistic
Interim CMS + XS	(\$624,058,097)	\$691,127,435	\$755,851,092

Table 4-46: Interim CMS + XS scenario comparison of optimistic and pessimistic assumptions

4.5 Summary of Alternatives

This subsection presents a summary of the alternatives, and also presents some considerations for AOC review based on the findings of the CBA.

4.5.1 Comparison of alternative scenarios

Table 4-47 below presents a summary of the total estimated ROI of the four alternative CCMS scenarios based on the total development and deployment costs of CCMS V4. Results are presented both for the total project lifecycle costs (FY 2002/03 to FY 2020/21), and for future costs only (FY 2011/12 to FY 2020/21). Table 4-47 shows that:

- Since the Cancel CCMS Deployment scenario is the baseline scenario, by definition it produces an ROI of \$0. Grant Thornton chose the FY 2011/12 to FY 2020/21 time period as the baseline time period for which a \$0 ROI is returned. For the period FY 2002/03 to FY 2020/21 this scenario produces a negative ROI of (\$270,527,500) which reflects the sunk costs that have already been spent on CCMS V4 prior to FY 2011/12 and that cannot be recovered. This scenario includes an estimated cost of approximately \$342 Million for all 58 courts to maintain, upgrade or replace their existing CMS through FY 2020/21. This estimate is close to the “Low End Range Total” of \$363 Million that has been independently estimated by a recent analysis conducted for the California Trial Court Consortium (CTCC).
- When considering future costs only, deploying CCMS to all 58 courts produces a positive ROI of \$836,657,808 compared to the Cancel CCMS Deployment scenario. When all historical CCMS V4 costs are also considered the ROI is reduced to \$566,130,307. Once CCMS is fully operational in all 58 courts the system is estimated to produce a positive ROI of approximately \$300 Million each year.
- Deploying CCMS to only the early adopter, Southern Region and remaining V2/V3 courts (minus LA) produces an ROI of \$654,442,700 when considering future costs only, and an ROI of \$383,915,199 when total project lifecycle costs are taken into consideration. The CCMS deployment costs for this scenario are less, but business process efficiencies are also less and the current system replacement costs for those courts that do not deploy CCMS significantly reduce the ROI.
- Deploying CCMS to only the V2, V3, SJE and any remaining extra small courts results in an ROI of \$691,127,435 when only future costs are taken into consideration, and an ROI of \$420,599,935 when total project lifecycle costs are taken into consideration. As with the Southern Region scenario, CCMS deployment costs are less but business process savings as also less and current system replacement costs for non-CCMS courts reduce the ROI.

Return on Investment Value of Alternative Scenarios (V4 costs):		
	FY 2002/03 to FY2020/21	FY 2011/12 to FY 2020/21
Cancel CCMS Deployment	(\$270,527,500)	\$0
58 Court Deployment of CCMS	\$566,130,307	\$836,657,808
Southern Region Plus V2/V3	\$383,915,199	\$654,442,700
Interim CMS + XS Courts	\$420,599,935	\$691,127,435

Table 4-47: Summary of ROI based on V4 costs

Although Grant Thornton’s estimate of current system replacement costs for non-CCMS courts is similar to the result of an independent analysis conducted for the CTCC, there are significant uncertainties in estimating how much courts would expend in maintaining, upgrading or replacement their current CMS’ over the next

ten years if CCMS were not deployed. Table 4-48 below therefore presents the ROI estimates for each scenario excluding any estimate of current CMS replacement costs (i.e. assuming courts spent zero dollars in CMS replacement outside normal maintenance and operations). Ignoring current CMS replacement costs, all three CCMS deployment scenarios still provide a positive ROI, although the ROI in each case is smaller.

Return on Investment Value of Alternative Scenarios (V4 costs)		
	FY 2002/03 to FY 2020/21	FY 2011/12 to FY 2020/21
Cancel CCMS Deployment	(\$270,527,500)	\$0
58 Court Deployment of CCMS	\$223,215,691	\$493,743,191
Southern Region plus V2/V3	\$295,335,142	\$565,862,642
Interim CMS + extra small courts	\$293,303,480	\$563,830,980

Table 4-48: Summary of ROI based on V4 costs and excluding current CMS replacement costs

In comparison to Table 4-47, Table 4-49 below considers the ROI for each scenario when past V2 and V3 development and deployment costs are also considered in addition to V4 costs. In each scenario the FY 2002/03 to 2020/21 ROI is approximately \$109M less than when only V4 costs are considered. For example, the ROI for the 58 Court Deployment of CCMS considering all V4 costs from FY 2002/03 to FY 2020/21 is shown in Table 4-47 as \$566,130,307. Table 4-49 shows that adding V2 and V3 costs reduces the 58 Court Deployment ROI to \$456,936,273.

Return on Investment Value of Alternative Scenarios (V2, V3 and V4 costs):		
	FY 2002/03 to FY2020/21	FY 2011/12 to FY 2020/21
Cancel CCMS Deployment	(\$379,721,535)	\$0
58 Court Deployment of CCMS	\$456,936,273	\$836,657,808
Southern Region plus V2/V3	\$274,721,164	\$654,442,700
Interim CMS + XS Courts	\$311,405,900	\$691,127,435

Table 4-49: Summary of ROI based on V2, V3 and V4 costs

Table 4-50 presents the baseline CCMS V4 ROI for each scenario, along with the ROI for the optimistic and pessimistic versions of each scenario. The variation in the Cancel CCMS Deployment ROI is due to more pessimistic or optimistic assumptions on the cost to replace existing CMS', as described in subsections 4.1.2.3 and 4.1.2.4 above. As shown in the table, when compared to the 58 court deployment the Southern Region and Interim CMS scenarios have a reduced opportunity for greater ROI if our optimistic assumptions are realized, but also have a lower risk of significant loss if our pessimistic assumptions are realized.

FY2011/12 to FY2020/21 ROI Comparison with Optimistic/Pessimistic Versions of Scenarios			
	Pessimistic	Baseline	Optimistic
Cancel CCMS Deployment	(\$368,385,384)	\$0	\$102,437,385
58 Court Deployment of CCMS	(\$841,373,160)	\$836,657,808	\$1,105,216,109
Southern Region Plus V2/V3	(\$479,794,745)	\$654,442,700	\$666,326,808
Interim CMS + XS Courts	(\$624,058,097)	\$691,127,435	\$755,851,092

Table 4-50: FY2011/12 to FY2020/21 ROI comparison with optimistic/pessimistic versions of scenarios

In accordance with State EAW standards, in addition to calculating costs and benefits in dollar terms, Grant Thornton also calculated the impact of labor costs in Personnel Years (PYs). PYs were calculated by dividing the total labor costs for each fiscal year by an average labor cost of \$78,600. The EAWs presented in Section 5 show the PY calculations for each of the four alternative CCMS scenarios. Table 4-51 below presents the summary EAWs for each scenario in PY terms. In summary:

- The Cancel CCMS Deployment scenario is estimated to consume approximately 1,560 PYs over the CBA time period. This comprises approximately 260 PYs in AOC CCMS V4 staff time from FY 2002/03 to project cancellation, plus approximately 1,300 PYs in court staff time to replace existing CMS'. Since current business processes are assumed not to change in this scenario, there are no changes to continuing program cost PYs.
- The 58 court deployment scenario consumes approximately 5,380 PYs of staff time to develop, deploy, and maintain CCMS over the CBA time period. However, once CCMS is fully deployed in FY 2017/18, business process efficiencies lead to annual savings of 3,222 PYs each year. Through the duration of the CBA time period, these efficiencies result in a net savings of approximately 13,972 PYs. These PYs can effectively be thought of as additional staff that the Branch has available to meet caseload demands and to relieve some of the staff shortages currently faced by the Branch.
- The Southern Region plus V2/V3 scenario consumes 3,843 PYs of staff time to develop, deploy, and maintain CCMS and to replace current CMS' over the CBA time period. However, once CCMS is fully deployed in FY 2018/19 business process efficiencies lead to annual savings of approximately 1,470 PYs each year. Through the duration of the CBA time period, these efficiencies result in a net savings of approximately 7,875 PYs.
- The Interim CMS plus extra small courts scenario consumes 4,552 PYs of staff time to develop, deploy, and maintain CCMS and to replace current CMS' over the CBA time period. However, once CCMS is fully deployed in FY 2018/19 business process efficiencies lead to annual savings of approximately 1604 PYs each year. Throughout the duration of the CBA time period, these efficiencies result in a net savings of approximately 7,297 PYs.

For each of the CCMS implementation scenarios, the additional staff investment required from FY 2011/12 through FY 2017/18 is repaid by an ongoing saving in PYs, with the cumulative PY investment becoming positive some time between FY 2016/17 and FY 2017/18 depending on the scenario.

	SUBTOTAL (FY 2002 – 2014)	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	TOTAL
EXISTING SYSTEM								
Total IT Costs	1,592.9	262.9	262.9	262.6	262.3	262.7	262.7	3,169.1
Total Program Costs	24,882.4	4,147.1	4,147.1	4,147.1	4,147.1	4,147.1	4,147.1	49,764.8
Total Existing System Costs	26,475.3	4,410.0	4,410.0	4,409.7	4,409.4	4,409.8	4,409.8	52,933.9
Scenario 1: Cancel CCMS Deployment								
Total Project Costs	709.9	390.6	351.0	75.2	33.2	0.0	0.0	1,559.9
Total Cont. Exist. Costs	26,475.3	4,410.0	4,410.0	4,409.7	4,409.4	4,409.8	4,409.8	52,933.9
Total Alternative Costs	27,185.2	4,800.6	4,761.0	4,484.9	4,442.6	4,409.8	4,409.8	54,493.8
COST SAVINGS/AVOIDANCES	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increased Revenues								
Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Cum. Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
Scenario 2 58 Court Deployment								
Total Project Costs	3,254.1	663.2	475.1	247.0	247.0	247.0	247.0	5,380.5
Total Cont. Exist. Costs	25,531.2	3,346.6	1,988.2	1,453.0	940.7	940.7	940.7	35,141.1
Total Alternative Costs	28,785.3	4,009.8	2,463.3	1,700.1	1,187.7	1,187.7	1,187.7	40,521.6
COST SAVINGS/AVOIDANCES	(1,600.1)	790.8	2,297.7	2,784.9	3,254.9	3,222.0	3,222.0	13,972.1
Increased Revenues								
Net (Cost) or Benefit	(1,600.1)	790.8	2,297.7	2,784.9	3,254.9	3,222.0	3,222.0	13,972.1
Cum. Net (Cost) or Benefit	(1,600.1)	(809.3)	1,488.4	4,273.2	7,528.1	10,750.1	13,972.1	
Scenario 3 Southern Region plus V2/V3								
Total Project Costs	2,773.1	382.3	360.8	113.2	71.2	71.2	71.2	3,843.0
Total Cont. Exist. Costs	25,566.0	2,868.3	2,868.3	2,868.3	2,868.0	2,868.3	2,868.3	42,775.4
Total Alternative Costs	28,339.0	3,250.6	3,229.0	2,981.5	2,939.2	2,939.5	2,939.5	46,618.4
COST SAVINGS/AVOIDANCES	(1,153.8)	1,550.0	1,532.0	1,503.4	1,503.4	1,470.2	1,470.2	7,875.4
Increased Revenues								
Net (Cost) or Benefit	(1,153.8)	1,550.0	1,532.0	1,503.4	1,503.4	1,470.2	1,470.2	7,875.4
Cum. Net (Cost) or Benefit	(1,153.8)	396.1	1,928.1	3,431.5	4,934.9	6,405.1	7,875.4	
Scenario 4 Interim CMS + extra small courts								
Total Project Costs	3,375.9	489.6	357.8	113.9	71.8	71.8	71.8	4,552.7
Total Cont. Exist. Costs	25,591.0	3,383.2	2,734.0	2,733.9	2,733.6	2,733.9	2,733.9	42,643.5
Total Alternative Costs	28,966.9	3,872.8	3,091.8	2,847.7	2,805.4	2,805.8	2,805.8	47,196.3
COST SAVINGS/AVOIDANCES	(1,781.7)	927.7	1,669.2	1,637.2	1,637.2	1,604.0	1,604.0	7,297.5
Increased Revenues								
Net (Cost) or Benefit	(1,781.7)	927.7	1,669.2	1,637.2	1,637.2	1,604.0	1,604.0	7,297.5
Cum. Net (Cost) or Benefit	(1,781.7)	(854.0)	815.2	2,452.4	4,089.5	5,693.5	7,297.5	

Table 4-51: CCMS deployment scenario summary EAWs in PY terms

4.5.2 Considerations for AOC review

For each alternative scenario within the CBA, in addition to the 'baseline' estimate of costs and benefits we also presented 'optimistic' and 'pessimistic' versions of the scenario. The optimistic and pessimistic versions of the scenarios serve two purposes, in that they:

1. Illustrate the sensitivity of the ROI calculation to changes in major CBA assumptions; and
2. Identify the most critical aspects of the CCMS deployment that will most influence the success of the project.

The optimistic and pessimistic versions of the scenarios show that the following elements of the CBA are critical success factors for the CCMS deployment:

- **Deployment Wave duration.** The duration of each CCMS deployment Wave has a direct impact on the speed in which CCMS benefits will begin to be realized. Any delays in project schedule will have a significant negative impact on CCMS ROI.
- **Timeline to gain benefits after deployment.** The speed with which courts can begin to realize benefits from CCMS is a major contributing factor to CCMS ROI. Any issues or constraints that limit a court's ability to execute a smooth, seamless deployment and to begin operating with new more efficient business processes will have a direct negative impact CCMS ROI.
- **State-level deployment costs.** Any budget overruns by AOC will increase state-level deployment costs and directly reduce CCMS ROI.
- **Court deployment costs.** Any increases in court deployment costs will also directly reduce CCMS ROI.
- **Percentage of electronic case file delivery.** One of the major contributors to CCMS ROI is the elimination of manual data entry of case files with JPs that have electronic integration with CCMS. The higher the percentage of case files delivered electronically, the higher the ROI for CCMS.

If the AOC were to conduct an updated CBA in the future, the above factors would also be areas for further analysis as more accurate data becomes available. More accurate estimates for the above factors will produce a more accurate estimation of CCMS ROI.

5. Economic analysis worksheets

In accordance with the requirements of the State of California FSR format, this section presents EAW's that reflect the four project alternatives presented in Section 4.

5.1 Existing system cost worksheet

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Information														
Technology Costs														
Staff (salaries & benefits)	266.1	28,057,854	267.9	30,115,960	265.2	30,340,197	263.7	31,057,766	266.4	32,549,391	263.6	32,510,338	1592.9	184,631,507
Hardware														
Lease/Maintenance		1,988,408		4,882,356		7,183,961		2,662,297		1,967,504		7,491,496		26,176,022
Software														
Maintenance/Licenses		12,708,962		12,147,600		12,459,050		13,138,130		13,087,824		13,262,603		76,804,170
Contract Services		11,528,844		11,083,720		9,521,003		9,504,628		9,492,515		9,566,796		60,697,506
Data Center Services		17,737,134		18,064,832		17,851,596		18,152,856		18,481,348		18,820,854		109,108,621
Agency Facilities		24,255		24,905		27,325		28,296		21,806		22,596		149,184
Other		24,580,827		30,050,912		24,554,833		21,606,598		22,770,165		23,782,650		147,345,986
Total IT Costs	266.1	96,626,283	267.9	106,370,287	265.2	101,937,965	263.7	96,150,572	266.4	98,370,554	263.6	105,457,335	1592.9	604,912,996
Continuing Program Costs:														
Staff	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	24882.4	1,955,757,008
Other		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		75,673,717
Total Program Costs	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	24882.4	2,031,430,725
TOTAL EXISTING SYSTEM COSTS	4413.2	435,198,070	4415.0	444,942,075	4412.2	440,509,753	4410.7	434,722,359	4413.5	436,942,341	4410.7	444,029,122	26475.3	2,636,343,720

	Subtotal		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Information																
Technology Costs																
Staff (salaries & benefits)	1592.9	184,631,507	262.9	33,224,265	262.9	34,020,354	262.6	34,953,683	262.3	35,727,515	262.7	36,711,737	262.7	36,711,737	3169.1	395,980,797
Hardware																
Lease/Maintenance		26,176,022		4,416,551		2,278,047		7,449,041		3,232,646		2,984,063		2,984,063		49,520,434
Software																
Maintenance/Licenses		76,804,170		13,481,990		13,841,321		14,090,114		14,368,414		14,645,852		14,645,852		161,877,713
Contract Services		60,697,506		9,545,731		9,608,704		9,640,689		9,690,318		9,815,228		9,815,228		118,813,403
Data Center Services		109,108,621		19,181,612		19,461,604		19,868,819		20,301,855		20,762,455		20,762,455		229,447,421
Agency Facilities		149,184		23,426		20,098		21,013		21,974		22,982		22,982		281,659
Other		147,345,986		24,553,715		25,267,187		26,381,571		26,844,671		27,468,884		27,468,884		305,330,899
Total IT Costs	1592.9	604,912,996	262.9	104,427,291	262.9	104,497,314	262.6	112,404,929	262.3	110,187,393	262.7	112,411,202	262.7	112,411,202	3169.1	1,261,252,327
Continuing Program Costs:																
Staff	24882.4	1,955,757,008	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	49764.8	3,911,514,015
Other		75,673,717		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		151,347,434
Total Program Costs	24882.4	2,031,430,725	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	49764.8	4,062,861,449
TOTAL EXISTING SYSTEM COSTS	26475.3	2,636,343,720	4410.0	442,999,078	4410.0	443,069,101	4409.7	450,976,717	4410.7	448,759,181	4409.8	450,982,990	4409.8	450,982,990	52933.9	5,324,113,776

5.2 Cancel CCMS Deployment cost worksheet

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	87.2	6,851,287	18.2	1,430,286	0.0	0	65.4	5,138,369	120.4	9,460,393	267.6	21,030,021	558.7	43,910,356
Hardware Purchase		0		0		0		0		0		0		0
Software Purchase/License		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Software Customization		135,836,784		17,854,731		0		11,989,528		22,074,251		49,113,916		236,869,210
Project Management		34,523,222		0		0		0		0		0		34,523,222
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0
TOTAL Contract Services		170,360,006		17,854,731		0		11,989,528		22,074,251		49,113,916		271,392,432
Data Center Services		17,939,278		11,135,520		0		0		0		0		29,074,798
Agency Facilities		0		0		0		0		0		0		0
Other		3,462,630		2,931,250		0		0		0		0		6,393,880
Total One-time IT Costs	87.2	198,613,200	18.2	33,351,788	0.0	0	65.4	17,127,897	120.4	31,534,644	267.6	70,143,937	558.7	350,771,466
Continuing IT Project Costs														
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		11,811,987		0		0		0		0		11,811,987
Data Center Services		0		756,000		0		0		0		0		756,000
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Total Continuing IT Costs	0.0	0	0.0	12,567,987	0.0	0	0.0	0	0.0	0	0.0	0	0.0	12,567,987
Total Project Costs	87.2	198,613,200	18.2	45,919,775	0.0	0	65.4	17,127,897	120.4	31,534,644	267.6	70,143,937	558.7	363,339,453
Continuing Existing Costs														
Information Technology Staff	266.1	28,057,854	268	30,115,960	265	30,340,197	264	31,057,766	266	32,549,391	264	32,510,338	1,593	184,631,507
Other IT Costs		68,568,429		76,254,327		71,597,768		65,092,806		65,821,163		72,946,996		420,281,489
Total Continuing Existing IT Costs	266.1	96,626,283	268	106,370,287	265	101,937,965	264	96,150,572	266	98,370,554	264	105,457,335	1,593	604,912,996
Program Staff	4147.1	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	24,882	1,955,757,008
Other Program Costs		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		75,673,717
Total Continuing Existing Program Costs	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	24882.4	2,031,430,725
Total Continuing Existing Costs	4413.2	435,198,070	4415.0	444,942,075	4412.2	440,509,753	4410.7	434,722,359	4413.5	436,942,341	4410.7	444,029,122	26475.3	2,636,343,720
TOTAL ALTERNATIVE COSTS	4500.4	633,811,271	4433.2	490,861,849	4412.2	440,509,753	4476.1	451,850,256	4533.9	468,476,985	4678.2	514,173,059	27034.0	2,999,683,173
INCREASED REVENUES		0		0		0		0		0		0		0

	Subtotal		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs																
Staff (Salaries & Benefits)	558.7	43,910,356	390.6	30,698,578	351.0	27,587,927	75.2	5,912,486	33.2	2,609,610	0.0	0	0.0	0	1408.6	110,718,958
Hardware Purchase		0		0		0		0		0		0		0		0
Software Purchase/License		0		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0		0
Contract Services				0		0		0		0		0		0		0
Software Customization		236,869,210		72,299,149		65,115,497		13,795,800		6,089,091		0		0		394,168,746
Project Management		34,523,222		0		0		0		0		0		0		34,523,222
Project Oversight		0		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0		0
TOTAL Contract Services		271,392,432		72,299,149		65,115,497		13,795,800		6,089,091		0		0		428,691,969
Data Center Services		29,074,798		0		0		0		0		0		0		29,074,798
Agency Facilities		0		0		0		0		0		0		0		0
Other		6,393,880		0		0		0		0		0		0		6,393,880
Total One-time IT Costs	558.7	350,771,466	390.6	102,997,728	351.0	92,703,424	75.2	19,708,286	33.2	8,698,702	0.0	0	0.0	0	1408.6	574,879,604
Continuing IT Project Costs																
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Lease/Maintenance		0		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		11,811,987		0		0		0		0		0		0		11,811,987
Data Center Services		756,000		0		0		0		0		0		0		756,000
Agency Facilities		0		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0		0
Total Continuing IT Costs	0.0	12,567,987	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	12,567,987
Total Project Costs	558.7	363,339,453	390.6	102,997,728	351.0	92,703,424	75.2	19,708,286	33.2	8,698,702	0.0	0	0.0	0	1408.6	587,447,591

	Subtotal		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs																
Information Technology Staff	1592.9	184,631,507	262.9	33224264.5	262.9	34020354.3	262.6	34953682.5	262.3	35727515.2	262.7	36711736.9	262.7	36711736.9	3169.1	395,980,797
Other IT Costs		420,281,489		71,203,026		70,476,959		77,451,247		74,459,878		75,609,465		75,609,465		865,271,530
Total Continuing Existing IT Costs	1592.9	604,912,996	262.9	104,427,291	262.9	104,497,314	262.6	112,404,929	262.3	110,187,393	262.7	112,411,202	262.7	112,411,202	3169.1	1,261,252,327
Program Staff	24882.4	1,955,757,008	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	4,147	325,959,501	49764.8	3,911,514,015
Other Program Costs		75,673,717		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		12,612,286		151,347,434
Total Continuing Existing Program Costs	24882.4	2,031,430,725	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	4147.1	338,571,787	49764.8	4,062,861,449
Total Continuing Existing Costs	26475.3	2,636,343,720	4410.0	442,999,078	4410.0	443,069,101	4409.7	450,976,717	4409.4	448,759,181	4409.8	450,982,990	4409.8	450,982,990	52933.9	5,324,113,776
TOTAL ALTERNATIVE COSTS	27034.0	2,999,683,173	4800.6	545,996,806	4761.0	535,772,525	4484.9	470,685,002	4442.6	457,457,882	4409.8	450,982,990	4409.8	450,982,990	54342.5	5,911,561,368
INCREASED REVENUES		0		0		0		0		0		0		0		0

5.3 58 court deployment cost worksheet

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	87	6,851,287	18	1,430,286	529	41,552,546	996	78,254,295	1,849	145,362,477	1,598	125,598,604	5077.0	399,049,495
Hardware Purchase		0		0		15,698,225		0		152,446		290,990		16,141,661
Software Purchase/License		0		0		5,914,438		6,166,216		10,718,367		882,670		23,681,691
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Software Customization		135,836,784		17,854,731		78,351,462		88,701,848		93,011,252		108,236,199		521,992,276
Project Management		34,523,222		0		0		0		0		0		34,523,222
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0
TOTAL Contract Services		170,360,006		17,854,731		78,351,462		88,701,848		93,011,252		108,236,199		556,515,498
Data Center Services		17,939,278		11,135,520		18,830,460		20,285,835		51,860,952		71,863,125		191,915,170
Agency Facilities		0		0		0		0		0		0		0
Other		3,462,630		2,931,250		0		0		0		0		6,393,880
Total One-time IT Costs	87	198,613,200	18	33,351,788	529	160,347,131	996	193,408,194	1,849	301,105,493	1,598	306,871,588	5077.0	1,193,697,394
Continuing IT Project Costs														
Staff (Salaries & Benefits)	0	0	0	0	75	5,929,150	89	7,010,262	185	14,548,608	220	17,319,184	570.1	44,807,204
Hardware Lease/Maintenance		0		0		1,027,363		1,062,631		1,509,072		1,546,808		5,145,874
Software Maintenance/Licenses		0		0		0		0		135,151		135,151		270,303
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		11,811,987		23,570,886		25,081,450		30,368,945		30,423,390		121,256,659
Data Center Services		0		756,000		20,178,777		23,790,391		28,539,818		29,642,054		102,907,040
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total Continuing IT Costs	0.0	0	0	12,567,987	75	50,706,175	89	56,944,735	185	75,101,594	220	79,066,588	570.1	274,387,079
Total Project Costs	87.2	198,613,200	18	45,919,775	604	211,053,306	1,085	250,352,929	2,034	376,207,087	1,818	385,938,176	5647.0	1,468,084,473

CCMS Cost Benefit Analysis

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs														
Information Technology Staff	266	28,057,854	268	30,115,960.4	247	28,035,697.4	220	25,600,841.5	152	18,911,558.9	103	12,785,511.8	1256.4	143,507,424
Other IT Costs		68,568,429		76,254,327		70,058,341		60,513,230		56,736,594		36,178,829		368,309,749
Total Continuing Existing IT Costs	266.1	96,626,283	268	106,370,287	247	98,094,038	220	86,114,071	152	75,648,153	103	48,964,341	1256.4	511,817,173
Program Staff	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	4147.1	325,959,501	3948.7	310,365,953	3737.9	293,795,065	24274.8	1,907,999,023
Other Program Costs		12,612,286		12,612,286		12,612,286		12,612,286		11,547,094		11,352,547		73,348,785
Total Continuing Existing Program Costs	4147.1	338,571,787	4,147	338,571,787	4,147	338,571,787	4,147	338,571,787	3,949	321,913,047	3,738	305,147,611	24274.8	1,981,347,808
Total Continuing Existing Costs	4413.2	435,198,070	4,415	444,942,075	4,394	436,665,825	4,367	424,685,859	4,101	397,561,200	3,841	354,111,952	25531.2	2,493,164,981
TOTAL ALTERNATIVE COSTS	4500.4	633,811,271	4,433	490,861,849	4,998	647,719,132	5,452	675,038,787	6,135	773,768,287	5,660	740,050,128	31178.2	3,961,249,454
INCREASED REVENUES		0		0		0		4,734,317		7,426,980		20,192,556		32,353,853

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs																
Staff (Salaries & Benefits)	5077.0	399,049,495	458	36,027,875	228	17,926,232	0	0	0	0	0	0	0	0	5763.4	453,003,601
Hardware Purchase		16,141,661		138,544		69,272		0		0		0		0		16,349,477
Software Purchase/License		23,681,691		420,251		210,125		0		0		0		0		24,312,067
Telecommunications		0		0		0		0		0		0		0		0
Contract Services				0		0		0		0		0		0		
Software Customization		521,992,276		49,102,571		4,863,541		0		0		0		0		575,958,388
Project Management		34,523,222		0		0		0		0		0		0		34,523,222
Project Oversight		0		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0		0
TOTAL Contract Services		556,515,498		49,102,571		4,863,541		0		0		0		0		610,481,610
Data Center Services		191,915,170		30,071,052		12,125,195		0		0		0		0		234,111,417
Agency Facilities		0		0		0		0		0		0		0		0
Other		6,393,880		0		0		0		0		0		0		6,393,880
Total One-time IT Costs	5077.0	1,193,697,394	458	115,760,293	228	35,194,365	0	0	0	0	0	0	0	0	5763.4	1,344,652,053
Continuing IT Project Costs																
Staff (Salaries & Benefits)	570.1	44,807,204	245	19,286,943	247	19,416,113	247	19,416,113	247	19,416,113	247	19,416,113	247	19,416,113	2050.6	161,174,715
Hardware Lease/Maintenance		5,145,874		2,305,261		2,339,367		2,674,710		2,674,710		2,674,710		2,674,710		20,489,341
Software Maintenance/Licenses		270,303		385,191		385,191		495,743		495,743		495,743		495,743		3,023,658
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		121,256,659		30,432,092		30,432,092		30,432,092		30,432,092		30,432,092		30,432,092		303,849,212
Data Center Services		102,907,040		46,365,315		47,657,018		47,657,018		47,657,018		47,657,018		47,657,018		387,557,444
Agency Facilities		0		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0		0
Total Continuing IT Costs	570.1	274,387,079	245	98,774,802	247	100,229,781	247	100,675,677	247	100,675,677	247	100,675,677	247	100,675,677	2050.6	876,094,369
Total Project Costs	5647.0	1,468,084,473	704	214,535,096	475	135,424,146	247	100,675,677	247	100,675,677	247	100,675,677	247	100,675,677	7814.0	2,220,746,422

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs																
Information Technology Staff	1256.4	143,507,424	103	12,969,861	53	6,848,208	0	0	0	0	0	0	0	0	1412.6	163,325,492
Other IT Costs		368,309,749		25,456,531		12,336,735		0		0		0		0		406,103,015
Total Continuing Existing IT Costs	1256.4	511,817,173	103	38,426,392	53	19,184,943	0	0	0	0	0	0	0	0	1412.6	569,428,508
Program Staff	24274.8	1,907,999,023	3243.6	254,944,264	1935.1	152,096,764	1453.0	114,208,943	940.7	73,939,127	940.7	73,939,127	940.7	73,939,127	33728.6	2,651,066,376
Other Program Costs		73,348,785		9,790,871		6,101,557		3,525,017		3,150,317		2,775,617		2,488,768		101,180,931
Total Continuing Existing Program Costs	24274.8	1,981,347,808	3,244	264,735,135	1,935	158,198,321	1,453	117,733,959	941	77,089,444	941	76,714,744	941	76,427,896	33728.6	2,752,247,307
Total Continuing Existing Costs	25531.2	2,493,164,981	3,347	303,161,527	1,988	177,383,265	1,453	117,733,959	941	77,089,444	941	76,714,744	941	76,427,896	35141.1	3,321,675,815
TOTAL ALTERNATIVE COSTS	31178.2	3,961,249,454	4,050	517,696,622	2,463	312,807,411	1,700	218,409,636	1,188	177,765,121	1,188	177,390,421	1,188	177,103,572	42955.1	5,542,422,237
INCREASED REVENUES		32,353,853		20,192,556		28,895,775		28,895,775		28,895,775		28,895,775		28,895,775		197,025,282

5.4 Southern Region plus V2/V3 worksheet

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	87.9	6,910,497	18	1,430,286	619	48,646,352	939	73,787,741	453	35,610,581	314	24,656,103	2430.6	191,041,560
Hardware Purchase		0		0		15,698,225		92,834		92,834		0		15,883,893
Software Purchase/License		0		0		5,914,438		281,597		281,597		0		6,477,631
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Software Customization		138,267,972		17,450,828		95,022,875		101,220,728		48,807,124		64,301,423		465,070,951
Project Management		8,716,651		0		0		0		0		0		8,716,651
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0
TOTAL Contract Services		146,984,623		17,450,828		95,022,875		101,220,728		48,807,124		64,301,423		473,787,602
Data Center Services		42,490,989		14,810,877		16,722,040		14,707,546		17,061,513		8,890,970		114,683,936
Agency Facilities		0		0		0		0		0		0		0
Other		5,253,091		1,200,000		0		0		0		0		6,453,091
Total One-time IT Costs	87.9	201,639,200	18	34,891,992	619	182,003,931	939	190,090,446	453	101,853,649	314	97,848,496	2430.6	808,327,713
Continuing IT Project Costs														
Staff (Salaries & Benefits)	181.3	14,250,894	4	284,043	23	1,831,968	25	5,045,687	72	5,688,987	72	5,622,659	376.9	32,724,237
Hardware Lease/Maintenance		0		0		0		0		0		231,710		231,710
Software Maintenance/Licenses		0		673,190		1,141,780		11,805,146		12,059,722		12,144,589		37,824,427
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		217,061		223,573		8,025,454		12,420,152		11,479,957		32,366,199
Data Center Services		0		4,819,852		20,487,599		20,667,225		20,913,490		18,698,574		85,586,739

CCMS Cost Benefit Analysis

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Agency Facilities		0		0		0		0		0		0		0
Other		0		227,081		314,546		339,224		355,153		277,497		1,513,500
Total Continuing IT Costs	181.3	14,250,894	4	6,221,227	23	23,999,465	25	45,882,736	72	51,437,504	72	48,454,986	376.9	190,246,812
Total Project Costs	269.2	215,890,094	22	41,113,219	642	206,003,396	964	235,973,181	525	153,291,153	385	146,303,482	2807.5	998,574,525
Continuing Existing Costs														
Information Technology Staff	266	28057854	268	30115960	265	30340197	241	28221512	127	16123395	124	15877626	1291.2	148,736,545
Other IT Costs		68568429	0	76254327	0	71597768	0	63145658	0	51779011	0	37320136		368,665,329
Total Continuing Existing IT Costs	266.1	96,626,283	268	106,370,287	265	101,937,965	241	91,367,170	127	67,902,405	124	53,197,762	1291.2	517,401,873
Program Staff	4147.1	325,959,498	4147.1	325,959,498	4147.1	325,959,498	4147.1	325,959,498	3948.7	310,365,951	3737.9	293,795,062	24274.8	1,907,999,006
Other Program Costs		12,612,286		12,612,286		12,612,286		12,612,286		11,547,094		11,352,547		73,348,785
Total Continuing Existing Program Costs	4147.1	338,571,785	4,147	338,571,785	4,147	338,571,785	4,147	338,571,785	3,949	321,913,044	3,738	305,147,609	24274.8	1,981,347,791
Total Continuing Existing Costs	4413.2	435,198,067	4,415	444,942,072	4,412	440,509,750	4,388	429,938,955	4,075	389,815,450	3,862	358,345,371	25566.0	2,498,749,664
TOTAL ALTERNATIVE COSTS	4682.4	651,088,161	4,437	486,055,291	5,054	646,513,146	5,352	665,912,136	4,601	543,106,603	4,247	504,648,853	28373.5	3,497,324,190
INCREASED REVENUES		0		0		0		3,117,718		11,008,388		11,008,388		25,134,495

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs																
Staff (Salaries & Benefits)	2,431	191,041,560	309	24,283,889	289	22,729,926	42	3,302,875	0	0	0	0	0	0	3070.7	241,358,251
Hardware Purchase		15,883,893		0		0		0		0		0		0		15,883,893
Software Purchase/License		6,477,631		0		0		0		0		0		0		6,477,631
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0		0
Software Customization		465,070,951		55,972,008		49,523,403		7,706,709		0		0		0		578,273,071
Project Management		8,716,651		0		0		0		0		0		0		8,716,651
Project Oversight		0		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0		0
TOTAL Contract Services		473,787,602		55,972,008		49,523,403		7,706,709		0		0		0		586,989,722
Data Center Services		114,683,936		9,571,126		6,585,177		0		0		0		0		130,840,239
Agency Facilities		0		0		0		0		0		0		0		0
Other		6,453,091		0		0		0		0		0		0		6,453,091
Total One-time IT Costs	2,431	808,327,713	309	89,827,023	289	78,838,507	42	11,009,584	0	0	0	0	0	0	3070.7	988,002,827
Continuing IT Project Costs																
Staff (Salaries & Benefits)	377	32,724,237	73	5,768,188	72	5,626,464	71	5,597,449	71	5,597,449	71	5,597,449	71	5,597,449	806.8	66,508,685
Hardware Lease/Maintenance		231,710		231,710		231,710		231,710		231,710		231,710		231,710		1,621,968
Software Maintenance/Licenses		37,824,427		12,144,589		12,144,589		12,144,589		12,144,589		12,144,589		12,144,589		110,691,964
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		32,366,199		11,272,890		11,272,890		11,272,890		11,272,890		11,272,890		11,272,890		100,003,539
Data Center Services		85,586,739		19,378,729		17,664,361		17,664,361		17,664,361		17,664,361		17,664,361		193,287,272
Agency Facilities		0		0		0		0		0		0		0		0
Other		1,513,500		283,385		290,155		0		0		0		0		2,087,040
Total Continuing IT Costs	377	190,246,812	73	49,079,491	72	47,230,170	71	46,910,999	71	46,910,999	71	46,910,999	71	46,910,999	806.8	474,200,469
Total Project Costs	2,807	998,574,525	382	138,906,514	361	126,068,676	113	57,920,583	71	46,910,999	71	46,910,999	71	46,910,999	3877.5	1,462,203,295

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs																
Information Technology Staff	1,291	148,736,545	124	16,146,995	124	16,530,904	124	17,054,593	123	17,404,481	124	17,925,192	124	17,925,192	2033.4	251,723,902
Other IT Costs		368,665,329		36,378,972	0	35,676,569	0	38,429,772	0	37,364,675	0	37,811,640		37,811,640		592,138,597
Total Continuing Existing IT Costs	1,291	517,401,873	124	52,525,967	124	52,207,473	124	55,484,365	123	54,769,156	124	55,736,832	124	55,736,832	2033.4	843,862,499
Program Staff	24,275	1,907,999,006	2744.5	215,720,319	2744.5	215,720,319	2744.5	215,720,319	2744.5	215,720,319	2744.5	215,720,319	2744.5	215,720,319	40742.0	3,202,320,921
Other Program Costs		73,348,785		8,260,972		8,260,972		8,260,972		8,260,972		8,260,972		8,260,972		122,914,617
Total Continuing Existing Program Costs	24,275	1,981,347,791	2,745	223,981,291	2,745	223,981,291	2,745	223,981,291	2,745	223,981,291	2,745	223,981,291	2,745	223,981,291	40742.0	3,325,235,538
Total Continuing Existing Costs	25,566	2,498,749,664	2,868	276,507,258	2,868	276,188,765	2,868	279,465,656	2,868	278,750,447	2,868	279,718,124	2,868	279,718,124	42775.4	4,169,098,037
TOTAL ALTERNATIVE COSTS	28,373	3,497,324,190	3,251	415,413,772	3,229	402,257,441	2,981	337,386,239	2,939	325,661,446	2,940	326,629,123	2,940	326,629,123	46652.8	5,631,301,332
INCREASED REVENUES		25,134,495		11,008,388		11,008,388		11,008,388		11,008,388		11,008,388		11,008,388		91,184,826

5.5 Interim CMS plus extra small courts worksheet

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	88	6,910,497	18	1,430,286	556	43,710,454	1,021	80,255,313	1,125	88,410,618	212	16,672,490	3020.2	237,389,659
Hardware Purchase		0		0		15,698,225		0		56,431		56,431		15,811,087
Software Purchase/License		0		0		5,914,438		0		171,173		171,173		6,256,784
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Software Customization		138,267,972		17,450,828		80,459,882		71,402,462		49,647,801		32,979,495		390,208,442
Project Management		8,716,651		0		0		0		0		0		8,716,651
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0
TOTAL Contract Services		146,984,623		17,450,828		80,459,882		71,402,462		49,647,801		32,979,495		398,925,092
Data Center Services		42,490,989		14,810,877		16,722,040		18,700,371		21,749,849		21,792,699		136,266,826
Agency Facilities		0		0		0		0		0		0		0
Other		5,253,091		1,200,000		0		0		0		0		6,453,091
Total One-time IT Costs	88	201,639,200	18	34,891,992	556	162,505,039	1,021	170,358,146	1,125	160,035,873	212	71,672,289	3020.2	801,102,539
Continuing IT Project Costs														
Staff (Salaries & Benefits)	181	14,250,894	4	284,043	23	1,831,968	25	5,444,970	78	6,157,820	79	6,191,253	390.1	34,160,948
Hardware Lease/Maintenance		0		0		0		0		0		402,097		402,097
Software Maintenance/Licenses		0		673,190		1,141,780		11,805,146		12,059,722		12,200,761		37,880,599
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		217,061		223,573		8,025,454		12,420,152		11,479,957		32,366,199
Data Center Services		0		4,819,852		20,487,599		24,660,050		25,601,826		24,344,220		99,913,546
Agency Facilities		0		0		0		0		0		0		0
Other		0		227,081		314,546		339,224		355,153		317,797		1,553,800
Total Continuing IT Costs	181.3	14,250,894	4	6,221,227	23	23,999,465	25	50,274,843	78	56,594,674	79	54,936,086	390.1	206,277,189
Total Project Costs	269.2	215,890,094	22	41,113,219	579	186,504,504	1,046	220,632,989	1,203	216,630,546	291	126,608,375	3410.3	1,007,379,728

	FY 2002/3-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs														
Information Technology Staff	266	28057854	268	30115960	265	30340197	241	28221512	149	18396646	127	15504318	1316.2	150,636,487
Other IT Costs		68568429	0	76254327	0	71597768	0	63145658	0	55831101	0	33424514		368,821,797
Total Continuing Existing IT Costs	266.1	96,626,283	268	106,370,287	265	101,937,965	241	91,367,170	149	74,227,746	127	48,928,832	1316.2	519,458,284
Program Staff	4147.1	325,959,500	4147.1	325,959,500	4147.1	325,959,500	4147.1	325,959,500	3948.7	310,365,952	3737.9	293,795,064	24274.8	1,907,999,016
Other Program Costs		12,612,286		12,612,286		12,612,286		12,612,286		11,547,094		11,352,547		73,348,785
Total Continuing Existing Program Costs	4147.1	338,571,786	4,147	338,571,786	4,147	338,571,786	4,147	338,571,786	3,949	321,913,046	3,738	305,147,610	24274.8	1,981,347,801
Total Continuing Existing Costs	4413.2	435,198,069	4,415	444,942,074	4,412	440,509,752	4,388	429,938,957	4,097	396,140,792	3,865	354,076,442	25591.0	2,500,806,085
TOTAL ALTERNATIVE COSTS	4682.4	651,088,163	4,437	486,055,293	4,992	627,014,256	5,434	650,571,946	5,301	612,771,339	4,156	480,684,817	29001.3	3,508,185,813
INCREASED REVENUES		0		0		0		3,352,714		5,812,262		15,919,255		25,084,231

CCMS Cost Benefit Analysis

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs																
Staff (Salaries & Benefits)	3,020	237,389,659	411	32,322,308	286	22,450,459	42	3,302,875	0	0	0	0	0	0	3759.1	295,465,301
Hardware Purchase		15,811,087		0		0		0		0		0		0		15,811,087
Software Purchase/License		6,256,784		0		0		0		0		0		0		6,256,784
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0		0
Software Customization		390,208,442		82,032,485		48,628,047		7,706,709		0		0		0		528,575,682
Project Management		8,716,651		0		0		0		0		0		0		8,716,651
Project Oversight		0		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0		0
Other Contract Services		0		0		0		0		0		0		0		0
TOTAL Contract Services		398,925,092		82,032,485		48,628,047		7,706,709		0		0		0		537,292,332
Data Center Services		136,266,826		13,769,258		7,354,573		0		0		0		0		157,390,658
Agency Facilities		0		0		0		0		0		0		0		0
Other		6,453,091		0		0		0		0		0		0		6,453,091
Total One-time IT Costs	3,020	801,102,539	411	128,124,051	286	78,433,079	42	11,009,584	0	0	0	0	0	0	3759.1	1,018,669,253
Continuing IT Project Costs																
Staff (Salaries & Benefits)	390	34,160,948	78	6,159,737	72	5,675,140	72	5,646,124	72	5,646,124	72	5,646,124	72	5,646,124	828.0	68,580,322
Hardware Lease/Maintenance		402,097		447,553		447,553		447,553		447,553		447,553		447,553		3,087,415
Software Maintenance/Licenses		37,880,599		12,215,747		12,215,747		12,215,747		12,215,747		12,215,747		12,215,747		111,175,078
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		32,366,199		11,272,890		11,272,890		11,272,890		11,272,890		11,272,890		11,272,890		100,003,539
Data Center Services		99,913,546		23,294,220		18,151,115		18,151,115		18,151,115		18,151,115		18,151,115		213,963,342
Agency Facilities		0		0		0		0		0		0		0		0
Other		1,553,800		283,385		290,155		0		0		0		0		2,127,340
Total Continuing IT Costs	390	206,277,189	78	53,673,531	72	48,052,599	72	47,733,429	72	47,733,429	72	47,733,429	72	47,733,429	828.0	498,937,035
						126,485,67										
Total Project Costs	3,410	1,007,379,728	490	181,797,583	358	9	114	58,743,013	72	47,733,429	72	47,733,429	72	47,733,429	4587.1	1,517,606,289

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Existing Costs																
Information Technology Staff	1,316	150,636,487	127	15,747,239	127	16,087,614	127	16,548,256	126	16,853,278	127	17,322,551	127	17,322,551	2075.6	250,517,977
Other IT Costs		368,821,797		29,216,358	0	27,546,780	0	30,510,786	0	29,274,438	0	29,590,581		29,590,581		544,551,321
Total Continuing Existing IT Costs	1,316	519,458,284	127	44,963,597	127	43,634,394	127	47,059,042	126	46,127,716	127	46,913,133	127	46,913,133	2075.6	795,069,298
Program Staff	24,275	1,907,999,016	3256.6	255,967,138	2607.3	204,934,179	2607.3	204,934,179	2607.3	204,934,179	2607.3	204,934,179	2607.3	204,934,179	40567.9	3,188,637,048
Other Program Costs		73,348,785		9,822,045		7,909,614		7,909,614		7,909,614		7,909,614		7,909,614		122,718,898
Total Continuing Existing Program Costs	24,275	1,981,347,801	3,257	265,789,184	2,607	212,843,792	2,607	212,843,792	2,607	212,843,792	2,607	212,843,792	2,607	212,843,792	40567.9	3,311,355,946
Total Continuing Existing Costs	25,591	2,500,806,085	3,383	310,752,780	2,734	256,478,186	2,734	259,902,834	2,734	258,971,508	2,734	259,756,925	2,734	259,756,925	42643.5	4,106,425,244
						382,963,86										
TOTAL ALTERNATIVE COSTS	29,001	3,508,185,813	3,873	492,550,363	3,092	5	2,848	318,645,847	2,805	306,704,937	2,806	307,490,354	2,806	307,490,354	47230.7	5,624,031,533
INCREASED REVENUES		25,084,231		15,919,255		15,919,255		15,919,255		15,919,255		15,919,255		15,919,255		120,599,762

5.6 EAW summary worksheet

	FY 2002/2-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM														
Total IT Costs	266.1	96,626,283	267.9	106,370,287	265.2	101,937,965	263.7	96,150,572	266.4	98,370,554	263.6	105,457,335	1,592.9	604,912,996
Total Program Costs	4,147.1	338,571,787	4,147.1	338,571,787	4,147.1	338,571,787	4,147.1	338,571,787	4,147.1	338,571,787	4,147.1	338,571,787	24,882.4	2,031,430,725
Total Existing System Costs	4,413.2	435,198,070	4,415.0	444,942,075	4,412.2	440,509,753	4,410.7	434,722,359	4,413.5	436,942,341	4,410.7	444,029,122	26,475.3	2,636,343,720
Scenario 1:	Cancel CCMS/Baseline													
Total Project Costs	87.2	198,613,200	18.2	45,919,775	0.0	0	65.4	17,127,897	120.4	31,534,644	267.6	70,143,937	558.7	363,339,453
Total Cont. Exist. Costs	4,413.2	435,198,070	4,415.0	444,942,075	4,412.2	440,509,753	4,410.7	434,722,359	4,413.5	436,942,341	4,410.7	444,029,122	26,475.3	2,636,343,720
Total Alternative Costs	4,500.4	633,811,271	4,433.2	490,861,849	4,412.2	440,509,753	4,476.1	451,850,256	4,533.9	468,476,985	4,678.2	514,173,059	27,034.0	2,999,683,173
COST SAVINGS/AVOIDANCES	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Cum. Net (Cost) or Benefit	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Scenario 2	58 Court Deployment of CCMS													
Total Project Costs	90.8	201,470,705	18.2	47,459,979	475.5	200,946,838	920.4	236,307,889	2,278.9	441,852,798	1,600.6	413,426,349	5,384.4	1,541,464,557
Total Cont. Exist. Costs	4,413.2	435,198,070	4,415.0	444,942,075	4,393.7	436,665,825	4,367.0	424,685,859	4,299.3	414,219,940	4,114.9	375,811,797	26,003.2	2,531,523,566
Total Alternative Costs	4,504.0	636,668,775	4,433.2	492,402,054	4,869.3	637,612,664	5,287.4	660,993,747	6,578.2	856,072,738	5,715.5	789,238,146	31,387.6	4,072,988,123
COST SAVINGS/AVOIDANCES	(3.6)	(2,857,504)	0.0	(1,540,204)	(457.0)	(197,102,911)	(811.3)	(209,143,491)	(2,044.4)	(387,595,753)	(1,037.3)	-275,065,087	(4,353.7)	(1,073,304,950)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(3.6)	(2,857,504)	0.0	(1,540,204)	(457.0)	(197,102,911)	(811.3)	(209,143,491)	(2,044.4)	(387,595,753)	(1,037.3)	-275,065,087	(4,353.7)	(1,073,304,950)
Cum. Net (Cost) or Benefit	(3.6)	(2,857,504)	(3.6)	(4,397,709)	(460.6)	(201,500,619)	(1,271.9)	(410,644,110)	(3,316.3)	(798,239,863)	(4,353.7)	-1,073,304,950	(4,353.7)	

CCMS Cost Benefit Analysis

	FY 2002/2-09/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Scenario 3	Southern Region													
Total Project Costs	269.2	215,890,094	21.8	41,113,219	642.2	206,003,396	963.6	235,973,181	525.4	153,291,153	385.2	146,303,482	2,807.5	998,574,525
Total Cont. Exist. Costs	4,413.2	435,198,067	4,415.0	444,942,072	4,412.2	440,509,750	4,388.1	429,938,955	4,075.3	389,815,450	3,862.2	358,345,371	25,566.0	2,498,749,664
Total Alternative Costs	4,682.4	651,088,161	4,436.8	486,055,291	5,054.5	646,513,146	5,351.6	665,912,136	4,600.7	543,106,603	4,247.4	504,648,853	28,373.5	3,497,324,190
COST SAVINGS/AVOIDANCES	(182.1)	(17,276,891)	(3.6)	4,806,558	(642.2)	(206,003,393)	(875.5)	(214,061,880)	(66.9)	(74,629,618)	430.8	9,524,206	(1,339.5)	(497,641,016)
Increased Revenues		0		0		0		3,117,718		11,008,388		11,008,388		25,134,495
Net (Cost) or Benefit	(182.1)	(17,276,891)	(3.6)	4,806,558	(642.2)	(206,003,393)	(875.5)	(210,944,162)	(66.9)	(63,621,229)	430.8	20,532,594	(1,339.5)	(472,506,521)
Cum. Net (Cost) or Benefit	(182.1)	(17,276,891)	(185.7)	(12,470,332)	(827.9)	(218,473,725)	(1,703.4)	(429,417,887)	(1,770.3)	(493,039,116)	(1,339.5)	-472,506,521	(1,339.5)	
Scenario 4	Interim CMS + XS													
Total Project Costs	269.2	215,890,094	21.8	41,113,219	579.4	186,504,504	1,045.8	220,632,989	1,203.2	216,630,546	290.9	126,608,375	3,410.3	1,007,379,728
Total Cont. Exist. Costs	4,413.2	435,198,069	4,415.0	444,942,074	4,412.2	440,509,752	4,388.1	429,938,957	4,097.4	396,140,792	3,865.1	354,076,442	25,591.0	2,500,806,085
Total Alternative Costs	4,682.4	651,088,163	4,436.8	486,055,293	4,991.7	627,014,256	5,433.9	650,571,946	5,300.5	612,771,339	4,156.0	480,684,817	29,001.3	3,508,185,813
COST SAVINGS/AVOIDANCES	(182.1)	(17,276,893)	(3.6)	4,806,557	(579.4)	(186,504,503)	(957.8)	(198,721,689)	(766.7)	(144,294,353)	522.2	33,488,242	(1,967.4)	(508,502,640)
Increased Revenues		0		0		0		3,352,714		5,812,262		15,919,255		25,084,231
Net (Cost) or Benefit	(182.1)	(17,276,893)	(3.6)	4,806,557	(579.4)	(186,504,503)	(957.8)	(195,368,976)	(766.7)	(138,482,091)	522.2	49,407,497	(1,967.4)	(483,418,409)
Cum. Net (Cost) or Benefit	(182.1)	(17,276,893)	(185.7)	(12,470,336)	(765.1)	(198,974,839)	(1,722.9)	(394,343,815)	(2,489.6)	(532,825,906)	(1,967.4)	-483,418,409	(1,967.4)	

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM																
Total IT Costs	1,592.9	604,912,995.7	262.9	104,427,290.7	262.9	104,497,313.5	262.6	112,404,929.4	262.3	110,187,393.3	262.7	112,411,202.2	262.7	112,411,202.2	3,169.1	1,261,252,327
Total Program Costs	24,882.4	2,031,430,724.7	4,147.1	338,571,787.4	4,147.1	338,571,787.4	4,147.1	338,571,787.4	4,147.1	338,571,787.4	4,147.1	338,571,787.4	4,147.1	338,571,787.4	49,764.8	4,062,861,449
Total Existing System Costs	26,475.3	2,636,343,720.3	4,410.0	442,999,078.2	4,410.0	443,069,100.9	4,409.7	450,976,716.8	4,409.4	448,759,180.7	4,409.8	450,982,989.6	4,409.8	450,982,989.6	52,933.9	5,324,113,776
Scenario 1:	Cancel CCMS/Baseline															
Total Project Costs	558.7	363,339,452.9	390.6	102,997,727.7	351.0	92,703,423.7	75.2	19,708,285.5	33.2	8,698,701.5	0.0	0.0	0.0	0.0	1,408.6	587,447,591
Total Cont. Exist. Costs	26,475.3	2,636,343,720.3	4,410.0	442,999,078.2	4,410.0	443,069,100.9	4,409.7	450,976,716.8	4,409.4	448,759,180.7	4,409.8	450,982,989.6	4,409.8	450,982,989.6	52,933.9	5,324,113,776
Total Alternative Costs	27,034.0	2,999,683,173.2	4,800.6	545,996,805.9	4,761.0	535,772,524.6	4,484.9	470,685,002.3	4,442.6	457,457,882.2	4,409.8	450,982,989.6	4,409.8	450,982,989.6	54,342.5	5,911,561,368
COST SAVINGS/AVOIDANCES	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Increased Revenues		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0
Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Cum. Net (Cost) or Benefit	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0
Scenario 2	58 Court Deployment of CCMS															
Total Project Costs	5,647.0	1,468,084,473.4	703.8	214,535,095.6	475.1	135,424,146.2	247.0	100,675,676.7	247.0	100,675,676.7	247.0	100,675,676.7	247.0	100,675,676.7	7,814.0	2,220,746,422
Total Cont. Exist. Costs	25,531.2	2,493,164,980.8	3,346.6	303,161,526.7	1,988.2	177,383,264.8	1,453.0	117,733,959.2	940.7	77,089,443.9	940.7	76,714,743.9	940.7	76,427,895.5	35,141.1	3,321,675,815
Total Alternative Costs	31,178.2	3,961,249,454.2	4,050.3	517,696,622.2	2,463.3	312,807,411.0	1,700.1	218,409,635.9	1,187.7	177,765,120.5	1,187.7	177,390,420.6	1,187.7	177,103,572.2	42,955.1	5,542,422,237
COST SAVINGS/AVOIDANCES	(4,144.3)	(961,566,281.0)	750.2	28,300,183.6	2,297.7	222,965,113.6	2,784.9	252,275,366.4	3,254.9	279,692,761.7	3,222.0	273,592,569.1	3,222.0	273,879,417.4	11,387.4	369,139,131
Increased Revenues		32,353,852.8		20,192,556.3		28,895,774.7		28,895,774.7		28,895,774.7		28,895,774.7		28,895,774.7		197,025,282
Net (Cost) or Benefit	(4,144.3)	(929,212,428.2)	750.2	48,492,739.9	2,297.7	251,860,888.2	2,784.9	281,171,141.1	3,254.9	308,588,536.3	3,222.0	302,488,343.7	3,222.0	302,775,192.1	11,387.4	566,164,413
Cum. Net (Cost) or Benefit	(4,144.3)	(929,212,428.2)	(3,394.0)	(880,719,688.3)	(1,096.4)	(628,858,800.0)	1,688.5	(347,687,659.0)	4,943.4	(39,099,122.6)	8,165.4	263,389,221.1	11,387.4	566,164,413.2		

CCMS Cost Benefit Analysis

	SUBTOTAL		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		FY 2020/21		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Scenario 3	Southern Region															
Total Project Costs	2,807.5	998,574,525.4	382.3	138,906,514.0	360.8	126,068,676.1	113.2	57,920,583.0	71.2	46,910,999.0	71.2	46,910,999.0	71.2	46,910,999.0	3,877.5	1,462,203,295
Total Cont. Exist. Costs	25,566.0	2,498,749,664.3	2,868.3	276,507,258.1	2,868.3	276,188,764.6	2,868.3	279,465,655.7	2,868.0	278,750,447.1	2,868.3	279,718,123.5	2,868.3	279,718,123.5	42,775.4	4,169,098,037
Total Alternative Costs	28,373.5	3,497,324,189.6	3,250.6	415,413,772.2	3,229.0	402,257,440.7	2,981.5	337,386,238.7	2,939.2	325,661,446.0	2,939.5	326,629,122.5	2,939.5	326,629,122.5	46,652.8	5,631,301,332
COST SAVINGS/AVOIDANCES	(1,339.5)	(497,641,016.4)	1,550.0	130,583,033.7	1,532.0	133,515,083.9	1,503.4	133,298,763.6	1,503.4	131,796,436.2	1,470.2	124,353,867.1	1,470.2	124,353,867.1	7,689.7	280,260,035
Increased Revenues		25,134,495.0		11,008,388.5		11,008,388.5		11,008,388.5		11,008,388.5		11,008,388.5		11,008,388.5		91,184,826
Net (Cost) or Benefit	(1,339.5)	(472,506,521.4)	1,550.0	141,591,422.1	1,532.0	144,523,472.4	1,503.4	144,307,152.1	1,503.4	142,804,824.7	1,470.2	135,362,255.6	1,470.2	135,362,255.6	7,689.7	371,444,861
Cum. Net (Cost) or Benefit	(1,339.5)	(472,506,521.4)	210.5	(330,915,099.3)	1,742.4	(186,391,626.9)	3,245.8	(42,084,474.8)	4,749.2	100,720,349.9	6,219.5	236,082,605.5	7,689.7	371,444,861.1		
Scenario 4	Interim CMS + XS															
Total Project Costs	3,410.3	1,007,379,727.7	489.6	181,797,582.9	357.8	126,485,678.6	113.9	58,743,012.9	71.8	47,733,428.9	71.8	47,733,428.9	71.8	47,733,428.9	4,587.1	1,517,606,289
Total Cont. Exist. Costs	25,591.0	2,500,806,085.3	3,383.2	310,752,780.5	2,734.0	256,478,186.2	2,733.9	259,902,834.1	2,733.6	258,971,508.1	2,733.9	259,756,925.0	2,733.9	259,756,925.0	42,643.5	4,106,425,244
Total Alternative Costs	29,001.3	3,508,185,813.0	3,872.8	492,550,363.4	3,091.8	382,963,864.8	2,847.7	318,645,847.0	2,805.4	306,704,937.0	2,805.8	307,490,353.9	2,805.8	307,490,353.9	47,230.7	5,624,031,533
COST SAVINGS/AVOIDANCES	(1,967.4)	(508,502,639.8)	927.7	53,446,442.5	1,669.2	152,808,659.8	1,637.2	152,039,155.3	1,637.2	150,752,945.3	1,604.0	143,492,635.7	1,604.0	143,492,635.7	7,111.9	287,529,834
Increased Revenues		25,084,231.1		15,919,255.2		15,919,255.2		15,919,255.2		15,919,255.2		15,919,255.2		15,919,255.2		120,599,762
Net (Cost) or Benefit	(1,967.4)	(483,418,408.7)	927.7	69,365,697.7	1,669.2	168,727,915.0	1,637.2	167,958,410.5	1,637.2	166,672,200.5	1,604.0	159,411,891.0	1,604.0	159,411,891.0	7,111.9	408,129,597
Cum. Net (Cost) or Benefit	(1,967.4)	(483,418,408.7)	(1,039.7)	(414,052,711.1)	629.5	(245,324,796.1)	2,266.7	(77,366,385.5)	3,903.9	89,305,815.0	5,507.9	248,717,706.0	7,111.9	408,129,596.9		

Appendix A: Acronyms and definitions

Acronym	Definition
AOC	Administrative Office of the Courts
CBA	Cost Benefit Analysis
CCMS	Court Case Management System
CCTC	California Court Technology Center
CDSS	California Department of Social Services
CHP	California Highway Patrol
CMS	Case Management System
COTS	Commercial Off-the-Shelf
CTCC	California Trial Court Consortium
CWS	Child Welfare Services
DCSS	Department of Child Support Services
DBA	Database Administrator
DMS	Document Management System
DOJ	Department of Justice
EAW	Economic Analysis Worksheet
FBI	Federal Bureau of Investigation
FSR	Feasibility Study Report
FTE	Full-Time Equivalent
FY	Fiscal year
ILJAO	Integrated Law and Justice Agency for Orange
IT	Information Technology

JP	Justice Partner
LA	Los Angeles
O&M	Operations and Maintenance
RFP	Request for Proposal
ROI	Return on Investment
SIMM	Statewide Information Management Manual
SJE	Sustain Justice Edition
V	Vision (as in V2, V3 and V4)
VCJIS	Ventura Criminal Justice Information System
XS	Extra small

Appendix B: References

Grant Thornton used the following references while developing the CCMS CBA:

1. 2010 Court Statistics Report, Statewide Caseload Trends, Judicial Council of California, 1999-2000 through 2008-2009
2. Annual Report, Los Angeles Superior Court, FY 2008-2009
3. California CMS Cost Deployment Cost Analysis, California Trial Court Consortium, January 23, 2011
4. California Court Association Minute Book, The California Court Association, February 2, 2010
5. California Court Case Management System, Creating a Single “System” of Justice, AOC, June 9, 2009
6. CCMS (V2 and V3) IT Cost Budget, FY2010-FY2020, AOC
7. CCMS Deployment Schedule, FY2010-FY2020, AOC
8. CCMS presentation to the California legislature, AOC, October 27, 2009
9. CCMS V3 Site Visit Reports for Superior Court of Sacramento, AOC, July/August 2009
10. CCMS-V3 Support Phase Business Process Review Document, Orange Superior Court, June 13, 2008
11. CWS Web Project Implementation Advanced Planning Document #1, Office of Systems Integration, August 2009
12. Digital Image Project Costs FY 2006-2007, FY 2007-2008, FY 2008-2009, FY 2009-2010, Superior Court of Tuolumne, 2010
13. Document imaging implementation study, Superior Court of Napa, 2007
14. Document Management Business Analysis, Superior Court of California, Santa Clara, May 2010
15. Document Management System Survey Report, AOC, September 9, 2010
16. Electronic Access to Case-Related Information and Other Electronic Services Available to the Public, Survey of California’s Superior Courts, AOC, July 2007
17. Improving Asbestos Case Management In The Superior Court Of San Francisco, Data Points, AOC, November 2010
18. Individual Court Case Management System Deployment Cost Analysis, AOC, June 8, 2010
19. List of GL Accounts for Trial Court Expenses by Functional Areas, AOC, FY2010
20. List of GL and PECT accounts for Trial Court Expenses, FY2010, AOC
21. Notes form Statewide CMS Cost presentation, AOC, 2/24/2010, 2/25/2010, and 4/9/2010

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22. Notes from Statewide CMS Cost Services, AOC, 1/28/2010, 2/4/2010, and 2/22/2010
23. Phoenix System Chart of Accounts, AOC, April 2010
24. Preliminary data from AOC's 2010 Staff Workload Study, AOC, December 2010
25. Review of the California Case Management System, Office of the State Information Officer, December 2007
26. Schedule 7A data, FY2011, AOC
27. Schedule C data, FY2010, FY2011, AOC
28. Sustain IT Cost Budget, FY2010-FY2020, AOC
29. The California Court Case Management System, An Introduction, AOC, September 2010
30. Trial Court Compensation Data, FY2010-11 budget data, AOC.
31. Update on the California Court Case Management System and Phoenix Statewide Financial System Projects as Required by Government Code Section 68511.8(a), AOC, April 12, 2010

Appendix C: Justice Partner integration costs

As part of CBA, the AOC requested that Grant Thornton perform a high-level assessment of the likely CCMS V4 integration costs to the JPs at the CCMS V4 early adopter courts. No State-wide estimates were made of costs. Instead, interviews were held with three courts – Orange, San Diego, and Ventura – to understand anticipated JP integration requirements and costs. Interviews were also held with representatives of JPs in Ventura and San Diego counties. Grant Thornton also leveraged CCMS V4 integration planning documentation prepared by Deloitte to support the early courts.

In general, planning has not proceeded far enough for any JP to give an accurate estimate of the total costs to the JP of integrating with CCMS. Different courts are also in different situations regarding the existing level of county-to-court and county-wide integration. These different circumstances will likely drive a different integration approach at each court. Specifically:

- Ventura Court already has most of its JPs integrated through the current county system, the Ventura Criminal Justice Information System (VCJIS). Integrating CCMS to the Ventura JPs can mostly be accomplished by integrating CCMS with the VJCIS instance maintained by the county.
- San Diego Court is currently less integrated than Ventura, and each major JP will need to create a new interface to CCMS, or amend an interface that current exists to a San Diego court Interim system.
- Orange Court recently began the process of creating a county-wide integration facility through a contract with an external vendor. Once this Integrated Law and Justice Agency for Orange (ILJAOC) is in place, CCMS need only connect to this facility to be able to integrate with many county organizations. The Orange Court model could be a viable integration option for many counties that wished to reduce long-term integration costs, but a significant up-front investment is required to get the facility operational.

While none of the interviewed JPs had a detailed estimate of the costs to integrate with CCMS, feedback from counties was fairly consistent on the general magnitude of integration costs. In general, county JPs estimate that the cost to integrate a major county JP (e.g., Sheriff, District Attorney, Public Defender etc.) would be in the range of \$350k to \$500k. Costs for individual interfaces or for minor JPs would be closer to \$50k per integration point. These costs are primarily related to court staff costs and to the costs of third-party vendors engaged by the court. There was significant uncertainty among the JPs on the magnitude of any TIBCO license costs that would be required to support use of the CCMS V4 TIBCO integration functionality.

Depending on their size and complexity, different counties will require different numbers of interfaces. For example, Ventura estimates that approximately 45 data exchanges will be required, while San Diego's data exchange estimate is approximately 90. Total JP integration costs for each court will vary widely based on the following three factors:

1. The number and complexity of data exchanges required;

2. The level of court-to-JP integration already in existence;
3. Whether any county-wide integration facility currently exists or is planned.

The costs to integrate all JPs within a county for each of the medium-to-large size counties interviewed could range from approximately \$1 Million (Ventura, where significant integration already exists) to around \$4-5 Million (San Diego, where less integration currently in place and more data exchanges are required). To estimate the total costs for JP integration across the State, the AOC would need to understand the integration platforms (if any) currently available to each court, and the needs and desires of each court and JP for integration.

Appendix D: Methodology

D.1 Introduction

This appendix presents the methodology that Grant Thornton executed to develop the CCMS CBA. The basis of the methodology was SIMM standards for the development of FSRs and EAWs. FSRs are the business case documents that are required by the State of California for all major IT investments undertaken by the State Executive Branch. Figure D-1 below presents the major cost and benefits components analyzed for each CBA scenario.

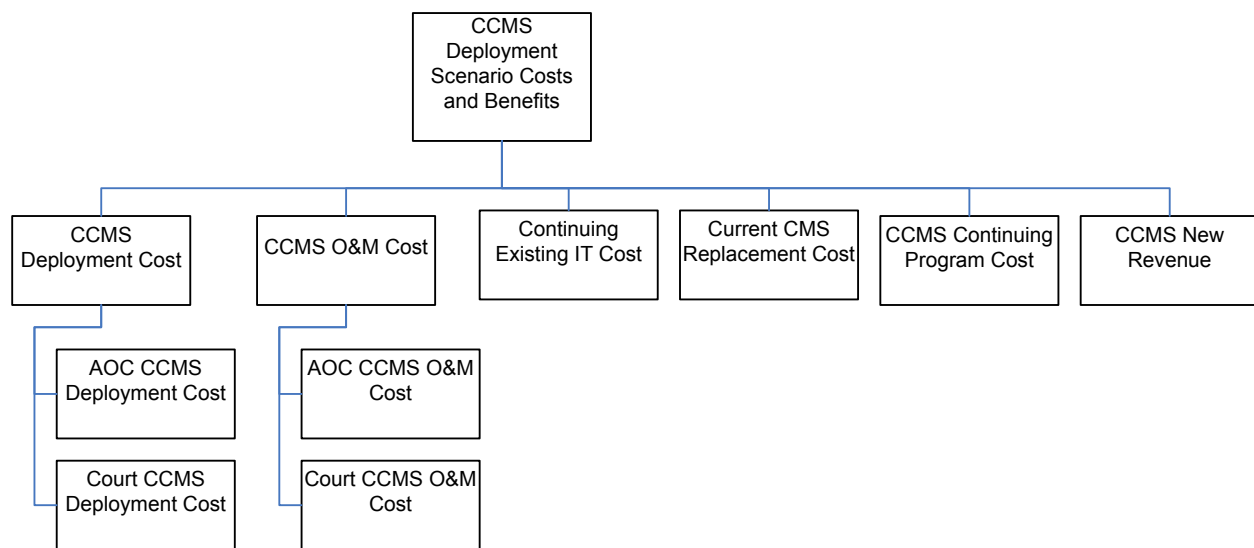


Figure D-1: CCMS CBA components

The primary components of each scenario that contribute to the CBA are:

- CCMS deployment costs.** CCMS deployment costs to be funded with State-level resources are based on deployment budget estimates received directly from AOC CCMS project leadership. Court deployment costs are based on estimates of the staffing expense that would be required to for courts to effectively support the CCMS deployment at their court. In addition, where a DMS implementation is assumed to occur at a court prior to CCMS deployment, those costs are included as court CCMS deployment costs.
- CCMS operations and maintenance costs.** CCMS operations and maintenance costs are based on figures received directly from AOC CCMS project leadership. Court CCMS operations and

maintenance costs primarily reflect assumed out-of-pocket expenses for courts during ongoing CCMS operations.

- **Continuing IT costs.** Courts are assumed to continue to expend resources on operating and maintaining their current CMS' at the current rate until CCMS is implemented at their court. Current CMS IT costs are based on our data collection and interviews with courts to understand their current IT expenditures.
- **Current CMS replacement costs.** For courts that are assumed not to implement CCMS, each court will need to maintain, upgrade or replace their current CMS independently for the duration of the CBA time period (FY 2011/12 to FY 2020/21). We have assumed a minimalist replacement strategy – courts that could reasonably maintain their current systems indefinitely are assumed to do so; courts that could upgrade to a more modern version of their current system are assumed to do so; and courts that will require a full system replacement are assumed to replace their systems with the minimum functionality to support their current business practices. No significant business process reengineering, additional automation, or DMS implementation is assumed.
- **Continuing program costs.** The increased automation and more efficient business practices to be delivered by CCMS are assumed to impact each court's operations after that court has deployed CCMS. The business process efficiencies delivered by CCMS have the effect of reducing state-wide Continuing Program Costs as courts deploy CCMS.
- **CCMS new revenue.** Three new system usage fees are assumed to be imposed after CCMS is deployed at each court. These fees help to offset CCMS deployment and operations costs.

This appendix presents our approach to estimating each of these categories. In addition to estimating the above categories, we also created an optimistic and a pessimistic version of each of the scenarios. Given the limited information available on CCMS' actual operational performance, and given the extended duration of the deployment process, these additional estimates provided a way to demonstrate the potential for variation in the ROI for each deployment scenario. The additional estimates also highlight the most significant drivers of project costs and benefits.

The following subsections present the major elements of our approach:

- Subsection D.2 describes the electronic survey that we conducted of the courts;
- Subsection D.3 describes our approach to conducting site visits at several courts;
- Subsection D.4 describes our approach to estimating current system continuing IT costs;
- Subsection D.5 describes our approach to estimating one-time project IT costs;
- Subsection D.6 describes our approach to estimating continuing project costs; and
- Subsection D.7 describes our approach to estimating continuing program costs.

D.2 Electronic survey

Grant Thornton conducted an electronic survey of the 58 trial courts. The intent of the survey was to collect a set of baseline information on current court CMS' and related business processes. This information was used to inform our assumptions on CMS system replacement and on continuing program costs. To conduct the electronic survey, we:

- Developed survey questions to be used for the CCMS survey;

- Submitted draft survey questions to AOC for review and feedback;
- Revise draft survey questions, where appropriate addressing AOC feedback;
- Entered the finalized survey questions into the Survey Monkey, the selected on-line survey tool;
- Developed and distributed an introductory email to intended survey recipients, providing an orientation to the CBA and to the survey;
- Released the survey to the intended survey recipients;
- Respond to survey inquiries and followed up with Branch stakeholder as needed;
- Downloaded and analyzed the survey responses.

Grant Thornton received responses to the survey from a total of 48 courts.

D.3 Site visits

To gain a more in-depth understanding of court operations and CMS', Grant Thornton conducted site visits with court staff from a representative group of courts. Within the limited time available, Grant Thornton wished to visit courts that collectively met all the following criteria:

- A large court;
- A medium court;
- A small court;
- An extra small court;
- A court using SJE;
- A V3 court;
- A court using a CMS other than V2, V3 or SJE; and
- A CCMS V4 early adopter court.

Based upon our criteria, Grant Thornton conducted in-person site visits to the following courts:

- Los Angeles
- Plumas
- San Diego
- Santa Cruz
- Solano
- Ventura

Prior to each site visit we delivered a questionnaire to the court Chief Executive Officer (CEO) that covered a series of topics, including knowledge of CCMS, current CMS and DMS environment, anticipated changes to business processes from CCMS, and any concerns or barriers relating to CCMS implementation. We then conducted a one-day visit at each court to go through the questionnaire and to review the courts' response to our electronic survey. In addition to the above site visits, Grant Thornton also visited the CCMS project site

in Santa Ana, California to observe a demonstration of the CCMS system, and visited the Orange court to discuss their CCMS V3 experiences.

D.4 Current system continuing IT costs

To gather data on current system continuing IT costs, Grant Thornton used a mixture of surveys and interviews with key employees within AOC and the trial courts. Current system continuing IT costs included two areas: existing CMS IT costs paid by the courts and Supplemental Funding for existing court CMS' provided by AOC.

Existing IT costs

Existing IT costs were gathered through the distribution of an e-mail survey to all 58 trial courts, followed by interviews with key personnel at the trial courts to confirm consistency in the classification of costs and to validate that cost data collection was complete.

Existing IT costs for this study have been defined as the direct IT costs relative to CMS' as expensed in FY 2010/11 and the estimated costs projected for the next 10 years, FY 2011/12-FY 2020/21. Direct costs are the day-to-day expenditures incurred by the court to operate its CMS' if CCMS were not to be deployed. If more than one CMS is being operated by a court, the total cost for all systems supported are included. Cost categories were replicated from the 'Existing System/Baseline Cost Worksheet' within the State EAW guidelines. By collecting data within the EAW format data transfer from the survey to the CBA was simplified and data transfer errors were minimized. The eight key IT cost categories collected in the survey are:

- Number of IT staff personnel years;
- IT staff costs;
- Hardware/lease maintenance;
- Software maintenance/licenses;
- Contracted services;
- Data center services;
- Agency facilities; and
- Other Operating Expenses and Equipment (OE&E).

A cover email also accompanied the survey providing survey directions and cost classification examples to ease completion of the survey by the courts. After the completed survey was returned to Grant Thornton by each court, we scheduled and held a telephone interview with executives at the court to confirm completeness and consistency of costs within their survey and to document applicable assumptions. As needed, costs were reclassified based upon results of interview. If a realignment of costs was required by the courts the survey was then returned to Grant Thornton by the courts with agreed changes. All IT cost data within the survey were confirmed as complete by key fiscal personnel (e.g., CEO, CFO, CIO, Director of Finance, Controller, Senior Manager of Finance etc.) at each court prior to finalization.

Once surveys were finalized, they were placed in a repository for analysis and entry into the Existing IT Cost portion of the CBA EAW.

Supplemental funding

Supplemental funding costs were discovered through interviews with key AOC personnel and through secondary data analysis. Supplemental funding for this study is defined as the difference between current IT system costs incurred by AOC and fees allocated to specific courts for payment through Schedule C.

AOC IT leadership provided Grant Thornton with the AOC IT budget for SJE, V2 and V3 from FY2010 to FY2020. The future budget was based on an assumption that CCMS would not be deployed and on estimated costs to maintain Sustain, V3, and V2 to FY2020. The AOC finance department also provided FY2010 and FY2011 Schedule C documents for reference and review

Once the budget was received, we reviewed it with appropriate IT leadership to understand cost categories and assumptions. Schedule C was also reviewed with AOC financial management to understand its assumptions and cost classifications. Any discrepancies in cost classifications and assumptions were reconciled with applicable changes as required. All IT cost data within the budgets and Schedule Cs were confirmed as complete by key fiscal and IT personnel prior to finalization. Key personnel included Sustain and V2, V3 project leadership and financial management.

Once budgets were finalized, they were then placed in a repository for analysis and entry into the Existing IT Cost EAW.

D.5 One-time project costs

There are three main components to the one-time project costs for the CCMS deployment scenarios:

- State-level CCMS and DMS development and deployment costs;
- Court CCMS and DMS development and deployment costs; and
- Court current CMS replacement costs (in the event CCMS is not deployed at that court).

The projected state-level CCMS development and deployment costs for the 58 court deployment, Southern Region plus V2/V3, and Interim CMS plus extra small court scenarios were received directly from AOC CCMS project leadership.

The court development and deployment costs were estimated based on information from four sources:

- Estimates of staffing needed to support the CCMS V4 deployment from two CCMS V4 early adopter courts (Ventura and San Diego);
- Actual CMS implementation and upgrade costs from courts that had recently executed a significant system upgrade or new system implementation (Plumas and Solano);
- Estimated CMS implementation costs from AOC's 2010 analysis of the costs involved in independently replacing all 70 current case management systems were CCMS not to be implemented; and
- Estimated DMS implementation costs from Santa Clara's DMS business case.

Based on the above data, Grant Thornton estimated court CCMS and DMS deployment costs as follows:

- **CCMS staffing costs.** The costs to the courts associated with devoting IT and business staff to the CCMS deployment were extrapolated from estimates developed by two Ventura and San Diego. On average the early adopter courts estimated that almost 9% of their staff would need to be dedicated to the CCMS deployment for two years. Based on conversations with these courts and on court experiences with prior CCMS V3 deployments, we assumed that this figure could be halved for non-

early adopter courts. This assumption presumes that lessons learned from the early adopter courts will be leveraged in later deployments, including the adoption by later courts of standardized business processes piloted by the early adopter courts.

- **DMS staffing costs.** The following assumptions were made regarding DMS staffing costs:
 - Twelve courts currently have a DMS that is integrated with their current CMS (based on the results of the electronic survey conducted by Grant Thornton).
 - One third of the remaining is assumed to implement a locally maintained DMS prior to deployment of CCMS at their court. To implement the DMS, each court will dedicate 10% of their staff for one year to the DMS deployment. This estimate is based on research conducted during the preparation of the DMS RFP currently in development by AOC and multiple courts.
 - Those courts without a DMS at the time of CCMS deployment will use the enterprise DMS implemented by AOC at the CCTC. To support deployment of the DMS at their court, each court will dedicate the equivalent 5% of their staff for one year to the DMS deployment (this is in addition to the staff dedicated to CCMS deployment).
- **DMS hardware and software costs.** Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to incur DMS hardware procurement costs. DMS software costs will be covered by AOC as part of the enterprise license. These costs are based on estimates developed by Santa Clara court for their DMS CBA.

Where courts were assumed not to implement CCMS within a specific scenario, Grant Thornton estimated current CMS replacement or upgrade costs based on the following assumptions:

- We included only costs necessary to replace current system functionality on a new platform. We did not include cost estimates related to business process reengineering, additional JP integration, or new DMS deployment. Consistent with this assumption, no business process efficiencies or benefits are assumed to accrue to the court from the system replacement.
- Based upon survey responses and stakeholder interviews, Grant Thornton estimated which courts would require a new CMS platform prior to FY 2020/21. Courts were assumed not to require a replacement CMS if they are currently operating on one or more relatively modern, upgradable platforms. Grant Thornton assumed that the following courts would not require a full system replacement prior to FY 2020/21. With the exception of Orange, these courts are either on the ACS Contexte platform or on the Sungard/HTE platform:
 - Del Norte
 - Inyo
 - Mariposa
 - Orange
 - San Joaquin
 - Shasta
 - Siskyou
 - Solano
 - Sutter
 - Yolo
 - Yuba

For the remaining courts, the following principles were used to determine court system upgrade or replacement strategies:

- ISD and PSI courts will move to a new COTS platform beginning in FY 2015/16. The new platform would be ACS Contexte, Sustain eCourt or a similar product;
- ACS Banner courts will migrate to ACS Contexte beginning in FY 2013/15;
- V2 and V3 courts will maintain their systems indefinitely;
- Ciber CMS courts will move to a new COTS platform beginning in FY 2013/14;
- Courts with In-house developed systems will move to a new COTS platform beginning in FY 2012/13 and continuing through FY 2016/17;
- LA will upgrade and replace their existing systems (while continuing to maintain a mixture of systems) beginning in FY 2013/14 and continuing through FY 2016/17.

To estimate the costs of upgrading or replacing an existing CMS, Grant Thornton made the following assumptions:

- The cost of replacing the CMS at an extra small court was based on the actual costs experienced by the Plumas Superior Court in implementing SJE in 2008;
- The costs of upgrading an ACS Banner system to the ACS Contexte platform were based on the actual upgrade costs experienced the Solano Superior Court during their upgrade; and
- The cost of replacing a small, medium, large or extra large court case management system was based on the analysis of system replacement costs developed by the AOC in June 2010.

D.6 Continuing project costs

There are two main components to the continuing project costs for each CCMS deployment scenario:

- State-level CCMS and DMS operations and maintenance costs; and
- Court CCMS and DMS operations and maintenance costs.

State-level CCMS and DMS operations and maintenance costs for the 58 court deployment, Southern Region plus V2/V3, and Interim CMS plus extra small scenarios were received directly from AOC CCMS project leadership.

Since all CCMS instances are assumed to run at the CCTC, there are few operations and maintenance costs that must be paid for by the courts. Our CBA assumed no chargeback of CCMS costs by the AOC to the courts. Court CCMS operations and maintenance costs are limited to out of pocket local expenses such as training new staff on CCMS, participating in the CCMS governance process with the AOC, and local testing of new changes to CCMS. We assume that these costs are equal to 10% of state-level CCMS operations and maintenance costs.

Those courts that do not currently have a DMS integrated with their CMS, but that are assumed to implement a local DMS prior to CCMS deployment at their court, are assumed to pay DMS hardware and maintenance charges. DMS software costs will be covered by AOC as part of the enterprise license. These charges are based on estimates developed by Santa Clara court for their DMS CBA.

D.7 Continuing program costs

To estimate benefits that would result from the CCMS project, Grant Thornton quantified the labor and other associated costs related to performing the case management business processes that are most likely to experience significant improvements in efficiency and effectiveness. The following describes each of these business processes and the basis for our analysis:

- **Case initiation.** Case Initiation is the start of the case management process and describes the activities associated with entering a new case filing into the Interim case management system environment. The basis of our analysis of this process comes from a review of 2008/09 actual case filing data from the AOC annual statistical report. Estimates of time required to perform case initiation activities are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
- **Fee and penalty payment processing.** Fee and penalty payment processing describes the activities associated with assessing and processing fees and penalties for case related issues. The basis of our analysis of this process comes from a review of actual criminal and civil filing payment data provided by AOC. Estimates of time required to perform payment activities are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
- **Calendaring.** Calendaring describes the activities associated with scheduling case proceedings, which requires court staff to expend extensive time manually coordinating the schedules of various stakeholders within the judiciary. The basis of our analysis of this process comes from a review of 2008/09 actual case filing data from the AOC annual statistical report. Estimates of time required to perform calendaring activities are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
- **Appeals preparation.** Appeals preparation describes the activities associated with preparing a disposed case for the appeals process. The basis of our analysis of this process comes from our review of 2008/09 actual appeals data from the AOC annual statistical report. During interviews, we asked courts to estimate the average amount of time required to prepare cases for appeal. This information became the basis for our analysis.
- **Background checks.** Background checks describe the activities associated with completing background checks of individuals for justice partners and commercial vendors. The basis of our analysis of this process comes from our review and analysis of survey questions related to conducting background checks. Survey recipients were asked to provide the number of background checks that they perform and also the estimated amount of time required to complete such tasks. Based upon the responses that we received from a subsection of the courts we developed a proportional estimate for all courts.
- **Administrative inquiries.** Administrative inquiries describe the activities associated with filling requests for the copy and review of court related documents. The basis of our analysis of this process comes from our review and analysis of survey questions related to copying and review costs. Survey recipients were asked to estimate their annual costs for filling requests and document review requests. Based upon the responses that we received from a subsection of the courts we developed a proportional estimate for all courts.
- **CWS data review.** CWS data review describes the activities that social workers within the CWS agency spend entering and reviewing court data for accuracy. The basis for our analysis of this process comes from our review of the CWS/Web Implementation Advanced Planning Document, and from interviews with CWS/Web project staff.

Based on the above business processes and data sources, Grant Thornton made the following assumptions and estimates related to continuing program costs.

Category	Assumption/Source
CCMS Program Costs - Caseload Initiation	2009/10 estimated case filings are based upon a projection of 2008/09 case filing data, which is based upon changes between 2007/08 and 2008/09 data trends. 2008/09 case filing data is based upon the 2010 AOC Court Statistics Report. Net case filings are the product of the projected filings multiplied by the estimated filing percentage that are conducted manually, as reported by courts in the Grant Thornton CCMS Survey. Times for workload effort are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
CCMS Program Costs - Marginal labor costs	Marginal labor costs (costs per minute), are based upon weighted averages of actual Job Class data from the 2010-11 7A Compensation and FTE data. Average salary was estimated at \$78,600, with 1778 hours per Personnel Year.
CCMS Program Costs - Caseload Initiation - Wave Calculations	For each wave, Grant Thornton assumes a percentage of the state's total caseload filings will be transitioned to CCMS, while the remaining filings will continue to be processed in the legacy environment until the project has been completed. Wave rollout percentage is based upon CCMS project leadership's proposed rollout plan for the CCMS implementation. Based upon the 58 court deployment schedule for example, Grant Thornton assumed the following: Wave 1: 12.72% of total filings will be impacted; Wave 2: 28.18% of total filings will be impacted; Wave 3: 68.99% of total filings will be impacted; Wave 4: 100% of total filings will be impacted.
CCMS Program Costs - Caseload Initiation - Wave Calculations	Benefits for each wave are assumed to begin to accrue 12 months after the end of the Wave. This assumption is based on interviews with several courts about their V3 experiences, anticipated V4 experiences, and experiences in implementing other case management systems.
CCMS Program Costs - Fee and Penalty Payment Processing	Fee Payment data is based upon projections of actuals from Paid Civil First Fee and Criminal Convictions Data. Times for workload effort are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
CCMS Program Costs - Calendaring	2009/10 estimated case filings are based upon a projection of 2008/09 case filing data, which are based upon changes between 2007/08 and 2008/09 data trends. 2008/09 case filing data is based upon 2010 AOC Court Statistics Report. Times for workload effort are based on preliminary data from the 2010 Staff Workload Study provided by AOC.
CCMS Program Costs - Appeals Preparation	Appeals data is based upon based upon 2010 AOC Court Statistics Report. Estimates of work effort (in minutes) are based upon court interviews.
CCMS Program Costs - Background Checks	The number of projected background checks is based upon a proportional projection from survey responses on background checks. The estimate of work effort (in minutes) is based upon court interviews.
CCMS Program Costs- Administrative Inquiries	The number of projected administrative inquiries is based upon a proportional projection from survey responses on administrative activities. The estimate of work effort (in minutes) is based upon court interviews.

Processing of CWS data	Data is based upon an interview with CWS-Web staff, and a thorough review of CWS/Web Project Implementation Advanced Planning documentation.
CCMS - Projected New Revenue - Name Search	Total name search estimates are based upon proportional projections of actual Los Angeles name search requests, and an assumption that Los Angeles requests make up 30% of total requests.
CCMS - Projected New Revenue - Electronic document requests	Total electronic document estimates are based upon proportional projections of actual Los Angeles document requests, and an assumption that Los Angeles requests make up 30% of total requests.
CCMS Program Costs – Alternative Scenarios	For the alternative Scenarios (Southern Region plus V2/V3, Interim CMS plus extra small courts), all assumptions for the 58-court deployment approach remain constant, except for the following: Based upon the project's intended rollout plan for Southern Region plus V2/V3, this alternative will have only two waves. The Interim CMS plus extra small courts scenario will have only three waves. The wave rollout % for these two scenarios were been revised accordingly. Total program costs for these two scenarios include costs for the files and processes that have been transitioned to the CCMS environment as well as those that will remain in the legacy environment. For the Southern Region plus V2/V3 scenario, only 43.74% of case filings will be impacted by CCMS. For the Interim CMS plus extra small courts, only 49.96% of case filings will be impacted by CCMS. Rollout percentages for each wave of the alternative scenarios were adjusted to reflect the limited case filings that will be impacted by CCMS.

Table D-1: Continuing program cost assumptions



Judicial Council of California
ADMINISTRATIVE OFFICE OF THE COURTS

455 Golden Gate Avenue • San Francisco, California 94102-3688
Telephone 415-865-4200 • Fax 415-865-4205 • TDD 415-865-4272

MEMORANDUM

Date

December 15, 2010

To

Mark A. Moore
Executive Director
CCMS Program Management Office

From

William C. Vickrey
Administrative Director of the Courts

Subject

Refreshing Cost-Benefit Analysis for CCMS

Pursuant to our discussion today regarding the most appropriate way to ensure that at critical junctures in the CCMS Program your division update the cost-benefit analysis and report findings back to the CCMS Executive Committee and the Judicial Council, by this memo I hereby direct you to update the cost-benefit analysis immediately following the deployment of the early adopter courts. The CCMS Program Management Office is further directed to update the cost-benefit analysis whenever changing conditions or new information would make it appropriate.

**Judicial Council of California
Executive and Planning Committee
December 17, 2010, 3:00–3:50 p.m.
Conference Call
Corrected**

Members Participating: Justice Richard D. Huffman; Judges Stephen H. Baker, Kevin A. Enright, Kenneth K. So, and David S. Wesley; Mr. Alan Carlson and Mr. Frederick K. Ohlrich
Members Absent: Justice Tani Cantil-Sakauye and Mr. James N. Penrod

Also present for the item regarding the Long Beach Courthouse: Assistant Presiding Judge Lee Smalley Edmon, Superior Court of Los Angeles County

AOC Members Participating: Ms. Sheila Calabro, Ms. Jessica Craven, Ms. Charlene Depner, Mr. Mark Dusman, Ms. Donna Hershkowitz, Mr. Kenneth L. Kann, Mr. Mark Moore, Ms. Nancy E. Spero, and William C. Vickrey

Long Beach Courthouse Project

The Administrative Director of the Courts briefed the committee on the developments over the past several months regarding financing for the construction of a new courthouse in Long Beach. The California Department of Finance, late on December 16, 2010, issued an approval letter for the Long Beach project. The committee, on behalf of the Judicial Council under rule 10.11(a) of the Rules of Court, approved the course of action proposed by the Administrative Director, and supported by the Assistant Presiding Judge for the Superior Court of Los Angeles, for the financial close of the deal in the next few days, provided that the interest rate is at or under a certain designated rate. The committee further granted discretion to the Administrative Director to close with an interest rate exceeding this limit, if in his judgment it were favorable to do so.

CCMS Governance Model

An earlier version of the December 17, 2010, Executive and Planning Committee minutes did not accurately reflect the decision of the E&P committee. The following paragraph is revised to accurately reflect the decision of the E&P committee during the December 17 meeting.

The Administrative Director briefed the committee on a new governance model for oversight for the CCMS program as it transitions from application development to statewide deployment. The committee, on behalf of the Judicial Council under rule 10.11(a) of the Rules of Court, approved the CCMS governance model both as to oversight and as to program management and reaffirmed the Administrative Director's authority to proceed with CCMS final testing and deployment to the three earlier adopter courts, as authorized by the Judicial Council and the Legislature. The committee is aware of planning for deployment in other counties when funding is available and as authorized by the Judicial Council.

Respectfully submitted,

Ronald G. Overholt
Chief Deputy Director



JUDICIAL COUNCIL MEETING

Open to the Public (Cal. Rules of Court, rule 10.6(a))
Joe Serna Jr. California Environmental Protection Agency Headquarters
• Klamath Room
1001 I Street • Sacramento, California 95812-2815
February 25, 2011 • 8:30 a.m.–1:55 p.m.

AGENDA

- 8:30–8:40 a.m. Swearing-in of New Council Members**
The Chief Justice will administer the oath of office to new council members.
- 8:40–8:50 a.m. Public Comment**
[See Cal. Rules of Court, rules 10.6(d) and 10.6(e).]
- 8:50–8:55 a.m. [Approval of Minutes](#)**
Minutes of the December 14, 2010, business meeting
- 8:55–9:10 a.m. [Judicial Council Committee Presentations](#)**
[under Committee Reports Tab]
Executive and Planning Committee
Hon. Richard D. Huffman, Chair
Policy Coordination and Liaison Committee
Hon. Marvin R. Baxter, Chair
Rules and Projects Committee
Hon. Douglas P. Miller, Chair
- 9:10–9:25 a.m. Chief Justice's Report**
Chief Justice Tani Cantil-Sakauye will report.
- 9:25–9:40 a.m. [Administrative Director's Report](#)**
Mr. William C. Vickrey, Administrative Director of the Courts, will report.

NOTE: Time is estimated. Actual start and end times may vary.

CONSENT AGENDA (ITEMS A–D)

A council member who wishes to request that any item be moved from the Consent Agenda to the Discussion Agenda is asked to please notify Nancy Spero at 415-865-7915 at least 48 hours before the meeting.

Item A [Access to Visitation Grant Program: Funding Allocation for Fiscal Years 2011–2012 and 2012–2013 \(Action Required\)](#)

Subject to the availability of federal funding, the Family and Juvenile Law Advisory Committee recommends the allocation and distribution of \$766,828 statewide for the Access to Visitation Grant Program for each of the fiscal years 2011–2012 and 2012–2013. The funding would be directed to 12 superior courts representing 20 counties and involving 19 subcontractor agencies (i.e., local community nonprofit service providers) to support and facilitate noncustodial parents' access to and visitation with their children through supervised visitation and exchange services, parent education, and group counseling services. Family Code section 3204(b)(2) requires the Judicial Council to determine the final number and amount of grants to be awarded to the superior courts.

Staff: Ms. Shelly LaBotte, Center for Families, Children & the Courts
Mr. Michael Wright, Center for Families, Children & the Courts

Item B [Collections: Revise Best Practices and Reporting Template \(Action Required\)](#)

The Administrative Office of the Courts Enhanced Collections Unit recommends that the council adopt the revisions to the Collections Best Practices and Collections Reporting Template. Court and county collections programs are encouraged to use the Best Practices in establishing and enhancing their collections programs. The Collections Reporting Template is used jointly by the courts and counties to report on the status and success of their collaborative collection programs. This proposal reflects current best practices in use by collaborative collections programs and clarifies instructions to court and county collections programs completing the template.

Staff: Ms. Sheila Calabro, Regional Administrative Director, Southern Region

Item C [Judicial Council-Sponsored Legislation: Judges' Retirement System II: Subordinate Judicial Officer Service Credit and Pre-retirement Death Benefits \(Action Required\)](#)

The Policy Liaison and Coordination Committee (PCLC) recommends that the Judicial Council cosponsor legislation with the California Judges Association (CJA) to amend the Judges Retirement System II (JRS II) statutes to: (1) allow JRS II members who previously served as subordinate judicial officers (SJOs) to purchase JRS II service credit for a fraction of their SJO years; and (2) allow a spouse of a JRS II member who is entitled to pre-retirement death benefits to opt for benefits that have a lower dollar value, and/or to waive his or her share of the benefits and allow them to pass to another designated beneficiary.

Staff: Ms. Tracy Kenny, Office of Governmental Affairs

Item D [Subordinate Judicial Officers: Allocation of Conversions for Fiscal Year 2011–2012 and Conversions of Family and Juvenile Law SJO Vacancies \(Action Required\)](#)

The Administrative Office of the Courts recommends that the Judicial Council approve a modification to the allocation schedule for Subordinate Judicial Officer conversions authorized under Government Code Section 69615(c)(1)(A). The modification will allow the Superior Court of Orange County to convert a second vacant SJO position to a judgeship in fiscal year 2011–2012 and facilitate the timely implementation of SJO conversion policy. The AOC further recommends guidelines for the conversion of additional SJO vacancies authorized under Government Code Section 69615(c)(1)(C) and the delegation of authority and responsibility for confirming conversions under this code section to the Executive & Planning Committee. These guidelines and the delegation of authority will clarify and expedite the process by which courts may convert additional SJO vacancies.

Staff: Mr. Dag MacLeod, Executive Office Programs Division

DISCUSSION AGENDA (ITEMS E, F, J, and I)

(Items G & H have been deferred to a future meeting.)

Item E **9:40–9:50 a.m.**

[Judicial Council Resolution: Commendation of Leadership and Achievements of Mr. John G. Davies \(Action Required\)](#)

The Administrative Office of the Courts recommends that the Judicial Council commend the leadership and achievements of Mr. John G. Davies and extend to him the appreciation of the judicial branch of government for his 48 years of dedicated service to the judiciary and the people of the State of California.

Presentation (5 minutes) • Discussion/Council Action (5 minutes)

Speaker: Hon. Richard D. Huffman, Chair, Executive and Planning Committee

Item F **9:50–10:10 a.m.**

[Court Facilities: Naming the New Courthouse in Long Beach \(Action Required\)](#)

The Executive and Planning Committee recommends naming the proposed new trial courthouse to be constructed in the City of Long Beach in honor of former Governor George Deukmejian.

Presentation (10 minutes) • Discussion/Council Action (10 minutes)

Speakers: Hon. Richard D. Huffman, Chair, Executive and Planning Committee

Hon. Arthur G. Scotland (Ret.), Associate Justice of the Court of Appeal
Third Appellate District

Mr. Lee Willoughby, Office of Court Construction and Management

Item J 10:10–11:25 a.m.

California Court Case Management System: CCMS Cost-Benefit Analysis Report from Grant Thornton LLP (No Action Required)

A presentation of the results of the cost-benefit analysis of the California Court Case Management System performed by Grant Thornton LLP.

Presentation (45 minutes) • Discussion (30 minutes)

Introduction: Mr. Stephen Nash, AOC Finance Division

Speaker: Mr. Graeme Finley, Director, Grant Thornton LLP

Lunch Break 11:25–11:55 a.m.

Item I 11:55 a.m.–1:55 p.m.

California Court Case Management System: Status Update and Demonstration (No Action Required)

This is a status and summary report that will be accompanied by a demonstration of California's Court Case Management System at the meeting. Interim versions of CCMS are in use at seven courts and process more than 25 percent of the state's civil cases. CCMS will support courts of all sizes and be maintained at a statewide level through the California Courts Technology Center. In December 2010, CCMS governance was augmented to provide broader participation from the judicial branch, bar, and justice system partners. The Judicial Council has directed the AOC to develop a single case management system to be deployed in all 58 superior courts and is the executive sponsor of CCMS. CCMS is managed by the CCMS Program Management Office.

Presentation (60 minutes) • Discussion (60 minutes)

Speakers: Hon. Terence L. Bruiniers, Chair, CCMS Executive Committee
Hon. Glen M. Reiser, CCMS Operational Advisory Committee
Hon. Robert J. Moss, Member, Judicial Council of California
Mr. Ronald G. Overholt, Chief Deputy Director
Mark A. Moore, Executive Director, California Court Case Management System
Mr. Anthony Rochon, CCMS Program Management Office

INFORMATION ONLY ITEMS (No Action Required)

Government Code Section 68106: Implementation and Notice by Trial Courts of Closing Courtrooms or Clerks' Offices or Reducing Clerks' Office Hours (Report #2)

In the 2010 Judiciary Budget Trailer Bill, Senate Bill 857, the Legislature provided fee increases and fund transfers for the courts and also added a new section 68106 to the Government Code. The latter directs (1) trial courts to notify the public and the Judicial Council before closing courtrooms or clerks' offices or reducing clerks' office hours on days that are not judicial

NOTE: Time is estimated. Actual start and end times may vary.

holidays, and (2) the council to post on its website and relay to the Legislature all such court notices. This is the second report providing information about the implementation of these notice requirements. Since the first report, one more court, Mendocino, has given such notice, which it issued on January 21, 2011.

Circulating Orders since the last business meeting
[Circulating Orders Tabs]

[CO-10-01, Approval of the October 29, 2010, Judicial Council Meeting Minutes.](#)

[CO-11-01, Fee Waiver: Poverty Guidelines on Request to Waive Court Fees and Information Sheet on Waiver of Appellate Court Fees \(Forms FW-001 and AAP-015/FW-015-INFO\).](#)

[Appointment Orders Since the last business meeting](#)
[Appointment Orders Tab]



Judicial Council of California · Administrative Office of the Courts

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

www.courtinfo.ca.gov

REPORT TO THE JUDICIAL COUNCIL

For business meeting on: February 25, 2011

Title	Agenda Item Type
California Court Case Management System: Status Update and Demonstration	Information Only
Submitted by	Date of Report
Court Case Management System Program Management Office	February 9, 2011
Mark A. Moore, Executive Director	Contact
Keri G. Collins, Manager	Jessica Craven, 818-558-3103
Jessica Craven, Senior Business Applications Analyst	jessica.craven@jud.ca.gov

Executive Summary

This is a status and summary report that will be accompanied by a demonstration of California's Court Case Management System at the meeting. Interim versions of CCMS are in use at seven courts and process more than 25 percent of the state's civil cases. CCMS will support courts of all sizes and be maintained at a statewide level through the California Courts Technology Center. In December 2010, CCMS governance was augmented to provide broader participation from the judicial branch, bar, and justice system partners. The Judicial Council has directed the AOC to develop a single case management system to be deployed in all 58 superior courts and is the executive sponsor of CCMS. CCMS is managed by the CCMS Program Management Office.

Description of Court Case Management System (CCMS)

The Court Case Management System (CCMS) is an integrated case management system using a single application that will support courts of all sizes. It is an essential component of the judicial branch's strategic plan for technology improvement.

CCMS will be used by 90 percent of court staff and judicial officers and will improve the processing of cases from inception to disposition. Its overall goal is to transform court operations from a paper-based process to a branchwide electronic document management system. Transitioning from paper to electronic documents will result in efficiencies across all courts. New functionality, including electronic filing, electronic calendars, self-service case inquiries, and self-service payments, will change the way courts do business.

CCMS will improve public safety and the quality of justice rendered in California's trial courts by providing the public, attorneys, judges, and litigants with immediate access to case information. State agencies that interact with the courts, including the Department of Justice, Department of Social Services, Department of Child Support Services, and California Highway Patrol, will be able to interact with a single case management system to improve efficiency, eliminate redundant data entry, avoid data entry errors, and reduce system costs. Attorneys and the public will have increased options and improved service time frames for conducting business with the courts.

CCMS supports the following goals:

- To support courts of different sizes and demographics;
- To efficiently manage system enhancements, including those that arise from legislative changes;
- To establish standard procedures that will make it easy for courts to use a common solution with minimum customization;
- To utilize a common approach for all case categories based on best practices, contemporary information technology architecture, and technology;
- To create venue transparency, allowing judicial officers access to information, irrespective of jurisdiction; and
- To provide the opportunity to implement shared services in the future through a single system that can be used at all courts.

The final CCMS development will consist of an integrated case management system for all case types, statewide reporting, court interpreter and court reporter scheduling, and integration with justice partners. CCMS will support courts of all sizes and be maintained at a statewide level through the California Courts Technology Center (CCTC), the judicial branch data center. The needs of court users will be managed statewide while local courts will have sufficient flexibility to configure the application to meet local requirements. The judicial branch owns the application source code for CCMS and will not have to rely on costly vendor contracts to make functional and legislative enhancements. The technological advancements afforded by CCMS will bring the service levels provided by the California court system into alignment with the service quality achieved in the private sector and other areas of government.

Previous and Recent Council Action

The Judicial Council of California directed the Administrative Office of the Courts (AOC) to develop a single case management system to be deployed in all 58 superior courts. In August

2002, the Judicial Council directed AOC staff to develop a comprehensive administrative infrastructure for the trial courts. In February 2003, the Judicial Council reaffirmed its directive to the AOC to develop and implement necessary infrastructure to support the trial courts' provision of efficient, cost-effective, and reliable statewide administrative services.

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

In December 2010, Administrative Director of the Courts William C. Vickrey named Mark A. Moore as Executive Program Director of the CCMS Program Management Office, which is managing the project, and created a new governance committee to oversee the project's completion. The governance committee will be assisted by three advisory committees: (1) the CCMS General Administrative Advisory Committee, (2) the CCMS Operational Advisory Committee, and (3) the CCMS Justice Partner Advisory Committee.

The new governance structure for the CCMS program involves extensive judicial oversight. Justice Terence L. Bruiniers chairs the CCMS Executive Committee. Eight of the 13 members of this committee are justices or judges. Membership of the entire governance structure includes 27 trial courts, 20 trial court judges, 19 court executives, 3 appellate justices, and representatives from justice system partners and the bar. A combined committee kickoff event was held at the AOC offices in San Francisco on January 31 and February 1, 2011. The purpose of the event was to acquaint the committee members with the history of CCMS, review its status and the committee charters, and begin development of committee work plans. See Attachments B–F for rosters of the CCMS Executive Committee and advisory committees.

Recommendations From California Technology Agency

Following a hearing on CCMS in October 2009, the Legislature requested that the Office of the State Chief Information Officer (OCIO recently renamed the California Technology Agency) conduct a review of the CCMS project. In April 2010, *Review of the California Court Case Management System* was published. The report noted the size and complexity of the CCMS project and significant benefits that may accrue to the state when the system is completed. The report included approximately 20 recommendations, including the project's expanded governance plan. The Progress Report, Attachment A, shows that 11 recommendations have been implemented to date.

The remaining recommendations will be implemented at the appropriate point in the project life cycle. AOC executive leadership has continued to meet with the California Technology Agency as part of an effort to increase information and collaboration between the executive and judicial branches.

Status of Development and Implementation

Interim Civil Case Management System

In 2010, a new software release of the interim civil application, Release 10.02, was installed in six civil, small claims, probate, and mental health case management system courts (Superior Courts of Los Angeles, Orange, Sacramento, San Diego, San Joaquin, and Ventura Counties). This release includes the ability to process e-filed documents. In total, the six courts using this case management system represent approximately 25 percent of all civil cases processed statewide. This interim case management system is currently in maintenance mode, and future releases will address judicial branch requirements and legislative changes.

E-filing. In June 2010, e-filing for civil cases was successfully deployed in the Superior Court of Orange County. E-filing functionality includes electronic case filing and clerk review, digital stamping and endorsing, electronic notification of filing, return of endorsed documents, and system verification that data elements are complete and accurate. In the first six months, the court processed close to 20,000 transactions involving more than 32,000 documents. Three additional courts, the Superior Courts of Sacramento, San Diego, and Ventura Counties, are considering deployment of e-filing later in fiscal year (FY) 2010–2011.

Technical support. Technical support for the interim civil case management system will transition from Deloitte Consulting to the AOC Information Services Division in 2011. After factoring in knowledge transfer costs and the use of parallel teams for several months during the transition, savings are projected at approximately \$2.5 million through June 2014.

CCMS

Product development is nearing completion and preparations for deployment are under way.

Vendor testing. The AOC and the courts were closely involved in vendor testing of the core product, which began in August 2010 and has just been completed. Product acceptance testing started in February 2011 and is scheduled to be completed by April 30, 2011. The external components, such as the statewide reporting data warehouse, data exchanges through the Integrated Services Backbone, and the Internet portal, will be phased into the final product, tested, and accepted by July 31, 2011.

Cost-benefit analysis. In October 2010, the AOC engaged Grant Thornton LLP to perform a cost-benefit analysis for developing CCMS and deploying it to all 58 trial courts. This analysis was completed in February 2011. The AOC will use the results of the analysis and the underlying cost-benefit model to inform the statewide deployment strategy for CCMS.

Implementation in early adopter courts. CCMS will be deployed in three “early adopter” courts, the Superior Courts of San Diego, Ventura, and San Luis Obispo Counties. This approach is consistent with recommendations by the California Technology Agency in its 2010 review of

CCMS. Deployment planning is currently in progress at the three pilot courts. The early adopter courts are expected to be operating on CCMS by the end of 2012. Statewide deployment to the remaining 55 courts will continue, depending on available funding, and priority will be given to courts with the most urgent case management needs, courts with failing systems, courts with systems that are no longer supported, and courts that can demonstrate the greatest return on investment by upgrading from their current systems. The CCMS Program Management Office is working with the AOC Finance Division and the governance entities to develop strategies to absorb funding reductions resulting from the Governor's budget plan.

By deploying to one early adopter court within each size classification (large, medium, and small courts) the three-court pilot will demonstrate application operation in a broad range of court environments. Throughout the approximate 18-month deployment cycle, program goals and structure will be further refined to demonstrate the viability of the deployment approach and to build a strong foundation for future deployments. The goal is to use the early adopter pilot to establish repeatable processes for long-term deployments. The branch can reduce overall deployment costs by creating processes once and reusing them multiple times statewide. This in turn will drive increased standardization and allow for more effective management of court operations in the current constrained financial environment.

In 2010, the California Courts Technology Center (CCTC) team began to design, plan, and build out the first technology environment for the three CCMS early adopter courts in the Omaha Data Center. Following deployment to the early adopter courts, these environments will be reused in subsequent court deployments.

Next Steps

Anticipated future actions include the following:

- The CCMS Executive Committee and advisory committees will set annual work plans.
- The core CCMS product will be delivered and is planned to be accepted by April 30, 2011.
- External components, such as statewide reporting data warehouse, data exchanges through the Integration Service Backbone, and the Internet portal, will be phased into the final product, tested, and accepted by July 31, 2011.
- The first pilot courts are expected to be operating on CCMS by the end of 2012.
- Statewide deployment to the remaining 55 courts, utilizing available funding, will continue, with priority given to courts with the most urgent needs and courts that demonstrate the greatest return on investment by upgrading.

Policy and Cost Implications

Total expenditures through FY 2010–2011 for the CCMS project are estimated at approximately \$330 million. Estimated additional costs not considered part of the CCMS project—i.e., costs attributable to the development, deployment, and maintenance and support of the interim criminal and traffic system (V2); maintenance and support of the interim civil system (V3); and maintenance and support of CCMS—will be approximately \$215 million, for an estimated total of \$545 million through the end of FY 2010–2011.

It is important to distinguish between CCMS-specific costs and additional costs when assessing expenses incurred to date. The V2 and V3 interim systems, like other court interim and legacy systems, will be replaced by CCMS. Therefore, as with the costs for other legacy systems, including licensing, maintenance, and support, the V2 and V3 costs described above are not included as CCMS project costs. V3 development and deployment costs, however, are included as CCMS project costs and reported as such because both V3 functionality and system architecture were used in the design of CCMS. V3 serves as the platform on which CCMS was designed, so these costs are considered and reported as costs properly accounted for as CCMS project costs. Additionally, including ongoing operations and maintenance costs as CCMS project costs would inappropriately overstate the actual project costs. The AOC and the courts are taking steps to expand the information reported to estimate and account for costs incurred by the courts that are not otherwise captured.

The most recent annual report to the Legislature identifying CCMS costs clearly set forth both total project costs, estimated at \$1.3 billion at project completion, as well as other costs, including ongoing operations costs that are properly not included as project costs, and costs of some of the interim systems (V2 and V3) that CCMS will replace. In total, these project and nonproject costs are estimated to total \$1.9 billion.

Relevant Strategic Plan Goals and Operational Plan Objectives

This project directly supports the Judicial Council's Strategic Goal VI, Branchwide Infrastructure for Service Excellence, to create a branchwide infrastructure for service excellence, consistent with the strategic plan of California's judicial branch of government. CCMS also supports the following related strategic goals of the judicial branch:

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

Attachments

1. Attachment A: CCMS Governance Model (November 2010)
2. Attachment B: CCMS General Administrative Advisory Committee Roster (February 2011)
3. Attachment C: CCMS Operational Advisory Committee Roster (February 2011)
4. Attachment D: CCMS Justice Partner Advisory Committee Roster (January 2011)
5. Attachment E: CCMS Executive Committee Roster (January 2011)
6. Attachment F: OCIO Recommendations Progress Report (January 2011)

CCMS Governance Model



November 2010

Authors

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JUDICIAL COUNCIL
OF CALIFORNIA

ADMINISTRATIVE OFFICE
OF THE COURTS

CCMS Governance Model

Overview

The judicial branch is currently developing the California Court Case Management System (CCMS), a single case management system that will be implemented in all 58 superior courts throughout California. This system will support all case types, replacing a myriad disparate commercial and custom-built applications in use throughout the state that are in various states disrepair.

CCMS consists of the following modules:

- **Core Case Management Application.** This application supports case processing for all case types, including case initiation, workflows, bail schedules, 121 statewide/local justice partner data exchanges, reports, e-filing, forms, and notices.
- **Statewide Data Warehouse.** This single database contains case management data and statistical information for all California superior courts.
- **Justice Partner/Public Portal.** This website is available to justice partners and the public, allowing them to access case information and interact with the superior courts. Data access is controlled using state-of-the-art security and user profiles, ensuring that individuals and entities using the portal access only the information they are entitled to see based on their user profile.

CCMS has been constructed using requirements and functional design specifications provided by trial court subject-matter experts, executives, judges, and commissioners, ensuring that CCMS will meet the needs of the courts. Superior court judges, commissioners, executives, and subject-matter experts reviewed and approved the CCMS functional design.

Deloitte Consulting, the contracted application developer of CCMS, has substantially completed the system's development. Deloitte is now engaged in several stages of application testing. Once the testing is complete, the Administrative Office of the Courts (AOC) and trial court subject-matter experts will execute its testing scenarios, resulting in acceptance of the application once the test exit criteria have been met. The core application is scheduled to be completed (accepted) in April 2011. The remaining external components are scheduled for completion by July 2011.

The Superior Courts of Ventura, San Diego, and San Luis Obispo Counties have been selected as the first courts for deployment of CCMS (early adopters). Deloitte Consulting has been contracted to complete a readiness assessment for each early adopter court. It is anticipated that the three early adopter courts will be using CCMS for all case types by the end of calendar year 2012.

As CCMS transitions from application development to statewide deployment, the Administrative Director of the Courts has determined that it will augment the governance and management

CCMS Governance Model

structures for the CCMS program in order to provide overarching direction and guidance to the program, ensuring its successful implementation across the state.

The new CCMS governance structure will consist of the following:

- **CCMS Executive Sponsor.** The Judicial Council of California has directed the AOC to develop a single case management system to be deployed in all 58 superior courts. As such, the council will assume the role of Executive Sponsor and has designated the California Administrative Director of the Courts as the lead executive over the CCMS project. The Administrative Director shall appoint all members of the CCMS Executive Committee and its three advisory committees.
- **CCMS Executive Committee.** The executive committee is the overarching authority responsible for oversight of the CCMS program, which includes all aspects of the program including, but not limited to, the program budget, application functionality, implementation priorities, court deployment schedules, and e-business initiatives that leverage the capabilities of CCMS.
- **CCMS General Administrative Advisory Committee.** The administrative committee will assist the executive committee in performing its program oversight responsibilities regarding program scope, budget, scheduling, and program portfolio management.
- **CCMS Operational Advisory Committee.** The operational committee will assist the executive committee in evaluating opportunities and formulating recommendations in the areas of best practices in trial court operations, business process reengineering, and other technical aspects of CCMS.
- **CCMS Justice Partner Advisory Committee.** The justice partner committee shall advise and make recommendations to the executive committee to ensure that the implementation of CCMS and its data exchanges proceed smoothly and communicates anticipated benefits and cost savings to justice partners.
- **CCMS Program Management Office (PMO).** This new office is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, hosting, and e-business portfolio management. The PMO will serve as staff to the executive committee and three advisory committees. The PMO is led by an executive program director who reports to the AOC Chief Deputy Director.

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CCMS EXECUTIVE COMMITTEE

Summary Charter

The CCMS Executive Committee is the overarching authority responsible for oversight of the CCMS program, which includes all aspects of the program, including, but not limited to, the program budget, application functionality, implementation priorities, court deployment schedules, and the e-business initiatives that leverage the capabilities of CCMS. The CCMS Executive Committee will be assisted in discharging its responsibilities by three advisory committees focused on general administration, trial court operations, and justice partner coordination aspects of the CCMS program. These advisory committees will make recommendations to the executive committee on CCMS program areas consistent with their respective charters. The executive committee is solely responsible for acting on any recommendations made by the advisory committees. The executive committee shall be responsible for all interactions and recommendations made to the Administrative Director and the Judicial Council regarding the CCMS program portfolio.

Composition, Term of Service, and Voting

The CCMS Executive Committee will consist of a chair, a vice-chair, and 11 additional appointed members. All appointments to the executive committee shall be made by the Administrative Director. See Exhibit A for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

The executive committee shall refer all matters that it cannot resolve to the Administrative Director for resolution, action, or referral to the Judicial Council.

Standing Meeting Schedule

The executive committee shall meet at least once a calendar quarter or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Administrative Director of the Courts
- Chair or vice-chair of the CCMS Executive Committee

CCMS Governance Model

- CCMS Executive Program Director, through the chair or vice-chair of the executive committee

Duty Summary

- The executive committee shall publish an annual work plan that establishes and communicates the strategic objectives for the CCMS program in the coming year. The committee's annual plan will incorporate the high-level objectives of the three advisory committees, ensuring that all four annual committee work plans are well coordinated and aligned with the objectives of the Judicial Council, which is the CCMS program's Executive Sponsor. The committee will prioritize activities, including any program enhancements, against the available budget. The annual work plan shall be submitted to the Administrative Director for final approval. The committee shall publish a progress report to the Administrative Director twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The executive committee shall review and approve the annual work plans of the three CCMS advisory committees.
- The executive committee shall review and approve the annual CCMS program budgets. The budgets shall be prepared by the CCMS PMO. The approved budget shall be submitted to the AOC Project Review Board for subsequent action.
- The executive committee shall review the quarterly program management report package submitted by the CCMS General Administrative Advisory Committee. The program management report package will summarize the health of the program from a scope, schedule, budgetary, and resource perspective along with any specific recommendations from the administrative committee that the executive committee should consider. Recommendations could include changes in scope, schedule, resources, budget, or other actions to achieve program efficiencies or mitigate identified program risks. Changes to the program budget that would increase the total cost of the program through completion will require approval of the AOC Project Review Board and the Judicial Council.
- The executive committee shall review and approve the CCMS deployment strategy and schedule, ensuring that CCMS can be implemented within budgetary and scheduling constraints as determined by the Administrative Director. The CCMS PMO shall be responsible for developing deployment strategies for the committee's consideration.
- The executive committee shall review and act on recommendations from the CCMS PMO and the CCMS Operations Advisory Committee that foster the adoption of standard trial court business processes, standard configurations, and reengineering efforts that will fully leverage the capabilities of CCMS.

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- The executive committee shall review and act on recommendations from the CCMS PMO and the CCMS General Administrative Advisory Committee relating to changes to legislation and rules of court that may be required to implement a specific CCMS program or e-business feature.
- The executive committee shall work with the CCMS PMO and the three CCMS advisory committees to evaluate, prioritize, and implement a CCMS program portfolio strategy, creating a master blueprint for the implementation of e-business services that build on the capabilities of the CCMS application. These e-business services include, but are not limited to, e-filing portal, electronic (“smart”) forms, enterprise document management, e-filing service provider certification program, e-citations, and the California Courts Protective Order Registry (CCPOR).

CCMS GENERAL ADMINISTRATIVE ADVISORY COMMITTEE

Summary Charter

The CCMS General Administrative Advisory Committee will assist the executive committee in performing its program oversight responsibilities regarding program scope, budget, scheduling, and program portfolio management. At the direction of the executive committee, the administrative committee will review CCMS program management reports, budget information, change management requests, and monthly Independent Validation & Verification (IV&V) reports, providing analysis and recommendations to the executive committee for its consideration and subsequent action.

Composition, Term of Service, and Voting

The CCMS General Administrative Advisory Committee will consist of a chair, a vice-chair, and 14 additional appointed members. All appointments to the administrative committee shall be made by the Administrative Director. See Exhibit B for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

CCMS Governance Model

The administrative committee shall refer all matters that it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The administrative committee shall meet at least every other month or more frequently, if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee
- Chair or vice-chair of the CCMS General Administrative Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the administrative committee

Duty Summary

- The administrative committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the administrative committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish a progress report to the executive committee twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The administrative committee shall work with the CCMS PMO to develop recommendations to the executive committee regarding the CCMS program portfolio, including project strategies, priorities, and schedules.
- The administrative committee shall review the monthly IV&V reports and produce a quarterly report to the executive committee on the effectiveness, performance, challenges, and risks to the CCMS program as detailed in these reports.
- The administrative committee shall review the monthly management reports produced by the CCMS PMO and publish a quarterly report for the executive committee on the overall health of the CCMS program, including the budget, resources, schedule, and scope of the project. The report may contain specific recommendations for the executive committee's consideration and subsequent actions that address risks or opportunities to improve the CCMS program.
- The administrative committee shall review and forward an annual CCMS program budget to the executive committee along with specific recommendations for improving the budget to accommodate program needs or identified financial constraints.

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- The administrative committee shall review any specific recommendations from the CCMS PMO regarding changes to the scope, budget, schedule, or resources required to support the CCMS program portfolio. The administrative committee shall forward the change requests to the executive committee for action along with any comments or recommendations.

CCMS OPERATIONAL ADVISORY COMMITTEE

Summary Charter

The CCMS Operational Advisory Committee will assist the executive committee in evaluating opportunities and formulating recommendations in the areas of standard (best practice) trial court operations, business process reengineering, CCMS common application configurations, venue transparency, application support and hosting service levels, standard reports, forms and notices, CCMS user acceptance criteria, annual CCMS release plan (enhancement releases), and the development and approval of CCMS functional designs (enhancements after deployment).

Composition, Term of Service, and Voting

The CCMS Operational Advisory Committee will consist of a chair, a vice-chair, and 11 additional appointed members. All appointments to the operational committee shall be made by the Administrative Director. See Exhibit C for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

The operational committee shall refer all matters that it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The operational committee shall meet at least every other month or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee

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- Chair or vice-chair of the CCMS Operational Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the operational committee

Duty Summary

- The operational committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the operational committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish a progress report to the executive committee twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The operational committee shall work with the CCMS PMO to develop strategies for developing and implementing a set of standards in the area of trial court operations. These practices may result from business process reengineering efforts initiated to fully leverage the capabilities of CCMS.
- The operational committee shall work with the CCMS PMO to develop and implement a strategy governing a set of common CCMS configurations and encourage adoption of these configurations through the branch.
- The operational committee shall work with the CCMS PMO to identify a set of services that could be provided centrally using a subscription-based shared services model. These services would be offered to all trial courts on an as-needed basis to be determined by local trial court leadership.
- The operational committee shall work with the executive committee and the CCMS PMO to identify strategies for implementing venue transparency. These strategies may require the combined efforts of the CCMS committees and the PMO, but the operational committee shall take the lead in developing the strategies to be presented to the executive committee for approval.
- The operational committee shall work with the CCMS PMO and the AOC Information Services Division to establish service level agreements (SLAs) for CCMS application and data center hosting performance. These SLAs shall be presented to the executive committee for final approval.
- The operational committee shall review the CCMS PMO's process and criteria for user testing and acceptance of CCMS application enhancements. The operational committee shall submit the criteria to the executive committee along with its recommendations for subsequent approval.

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- The operational committee shall collaborate with the CCMS PMO to establish an annual plan for enhancements to the CCMS application within budgetary constraints and adhering to the strategy forth by the executive committee. The annual CCMS development plan shall be submitted by the operational committee to the executive committee for approval.
- The operational committee shall work with the CCMS PMO and the trial court to provide subject-matter experts as may be required to develop requirements for CCMS enhancements included in the annual CCMS development plan. The operational committee shall also review and approve the final functional designs for any enhancements before passing them on to the executive committee for final approval.

CCMS JUSTICE PARTNER ADVISORY COMMITTEE

Summary Charter

The CCMS Justice Partner Advisory Committee shall advise and make recommendations to the executive committee to ensure that the implementation of CCMS and its data exchanges proceed in a manner that maximizes state and local justice partner participation; minimizes disruptions to existing automated processes between the trial courts and their justice partners; provides a mechanism for justice partners to influence the future evolution of CCMS and related e-business initiatives; and, wherever possible, provide specific information regarding the anticipated benefits and cost savings to justice partners as CCMS and related e-business initiatives are deployed.

Composition, Term of Service, and Voting

The CCMS Justice Partner Advisory Committee will consist of a chair, a vice-chair, and 15 additional appointed members. All appointments to the justice partner committee shall be made by the Administrative Director. See Exhibit D for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

CCMS Governance Model

The justice partner committee shall refer all matters it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The justice partner committee shall meet at least every six months or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee
- Chair or vice-chair of the CCMS Justice Partner Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the justice partner committee

Duty Summary

- The justice partner committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the justice partner committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish an annual progress report to the executive committee that details the committee's progress and challenges in carrying out the annual plan.
- The justice partner committee shall review the CCMS deployment schedule and high-level data integration plans for each court as they are developed to provide feedback and recommendations to the CCMS PMO to reduce risk, increase adoption of the available data exchanges, and improve the overall efficiency of data sharing between the trial courts and their justice partners.
- The justice partner committee shall review strategic plans for the future development and implementation of CCMS enhancements (the annual development plan summary) and e-business initiatives that will encourage the exchange of data between the judicial branch, its justice partners, and the public. The justice partner committee shall submit its feedback and recommendations to the executive committee for consideration and subsequent action.
- To the extent possible, the justice partner committee shall facilitate the quantification of administrative and financial benefits accruing as a result of CCMS deployment or application enhancement. This data shall be used by the CCMS PMO to perform cost-benefit analysis and project prioritization.

CCMS Governance Model

CCMS PROGRAM MANAGEMENT OFFICE

Summary Description

The new CCMS Program Management Office (PMO) is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, hosting, and e-business portfolio management. The PMO will serve as staff to the executive committee and three advisory committees.

The PMO shall be led by an Executive Program Director reporting to the AOC Chief Deputy Director.

Organizational Structure

The PMO shall consist of the following four departments:

CCMS Product Development and Management. This department includes the following three units:

- *CCMS Product Development.* Includes CCMS business requirements development, user group support, e-services branding strategy, legislation and rules of court, and product strategy.
- *CCMS Trial Court Services.* Includes CCMS central helpdesk, business process reengineering, training support, configuration management and maintenance, liaison to statewide justice partners and associations, trial court relationship management, and service level agreement management.
- *CCMS Product Assurance.* Includes CCMS product acceptance testing and user acceptance testing services.

CCMS Project Management and Reporting. Includes participation in the AOC Community of Practice (COP), a program for establishing and maintaining project management best practices; project management responsibilities; CCMS project portfolio management; project reporting; liaison to the State Office of the Chief Information Officer (OCIO) for CCMS; liaison to the AOC Project Review Board for CCMS; liaison to IV&V staff; responsibility for ongoing IV&V process; staffing the CCMS governance committees; financial management and reporting for the CCMS program portfolio; oversight for deployment; and CCMS program communications.

CCMS Deployment. This includes AOC managed trial court deployment; deployment vendor (Deloitte) oversight; development and maintenance of consolidated deployment plans using PMO tools; monitoring, reporting and mitigating project risks; serving as the primary point of

CCMS Governance Model

contact for trial court management and staff; and coordination of AOC Information Services Division (ISD) services to support deployment.

Case Management Systems Development and Maintenance. This includes the following four units:

- *Data Integration Services.* Includes vendor (Tibco) common services, National Information Exchange Model (NIEM) standards and CCMS exchanges, justice partner support, and vendor (Deloitte) oversight for external component development.
- *Application Services.* Includes vendor (Deloitte) oversight for core CCMS development, vendor oversight for interim civil case management system support, transition services from Deloitte to the AOC ISD for V3 and CCMS, application architecture standards and development, database administration services, CCMS development planning, systems analysis and technical design, application development, quality assurance, and release management.
- *Infrastructure Services.* Includes infrastructure readiness, trial court bandwidth, LAN/WAN and California Courts Technology Center (CCTC) connectivity, network monitoring, security standards, network security monitoring and response, and firewall administration.
- *California Courts Technology Center.* Includes traffic and criminal interim system (V2) environments, civil interim system (V3) environments, CCMS production and staging environments, and development environments.

CCMS General Administrative Advisory Committee

Attachment D2-B

Date: 2/2/2011

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CCMS General Administrative Advisory Committee

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CCMS Operational Advisory Committee

Attachment D-2C

Date: 2/4/2011

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CCMS Operational Advisory Committee

Date: 2/4/2011

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CCMS Justice Partner Advisory Committee

Attachment D-2D

Date: 1/26/2011

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CCMS Justice Partner Advisory Committee

Date: 1/26/2011

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CCMS Executive Committee

Attachment D-2 E

Date: 1/25/2011

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CCMS Executive Committee

Date: 1/25/2011

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ADMINISTRATIVE OFFICE OF THE COURTS

Attachment D-2F

CALIFORNIA COURT CASE MANAGEMENT SYSTEM
PROGRAM MANAGEMENT OFFICE

OCIO Recommendations – Progress Report

ID	Recommendation Summary	Complete	In-Progress
1	Consistent with SBX4 13 (Statutes of 2009), the AOC should submit IT project concepts with an estimated cost of \$5 million or more. The OCIO will review and analyze these concepts allowing the Judicial Branch to leverage IT efforts underway in Executive Branch agencies as well as benefit from a broader pool of experience and expertise.	✓	
2	The AOC and the CCMS project team should fully define, baseline, and document the extent to which the system will be deployed, and the timeline and resource requirements for the entire deployment phase.		✓
3	The AOC should enhance the project and contract management resources dedicated to the CCMS project to ensure the state's interests are being met by the vendor responsible for developing and implementing the system.		✓
4	The AOC should adopt a common methodology and tool set for project management across the Judicial Branch and use these to provide transparency into the project including costs.		✓
5	The governance plan for CCMS should be augmented to ensure the commitment of the county superior courts to adopt and use the system. To ensure efficient resource allocation, the governance plan should assess the business value of partial deployment of the system if total deployment is not feasible.		✓
6	The AOC and the CCMS project team should develop a well documented Concept of Operations and implement a Change Control Management solution that addresses quality and testing issues that is commensurate to the complexity of the CCMS product application stack.	✓	
7	The AOC should deploy CCMS V4 from a central data center.	✓	
8	The AOC should expand the scope of the Independent Verification and Validation (IV&V) and Oversight vendor's responsibility to include review of planning and management of post CCMS V4 development activities. All oversight reports should be publicly available.		✓
9	Exit criteria for Integration Testing and entrance criteria for Product Acceptance Testing should be developed, approved, and strictly adhered to.	✓	
10	Future releases of CCMS should include performance and stress testing during User Acceptance Testing (UAT) in the production environments prior to acceptance of the system.	✓	

OCIO Recommendations – Progress Report

ID	Recommendation Summary	Complete	In-Progress
11	Courts using the CCTC should be given database access and the ability to build query reports just as counties that self-host have database access.		✓
12	Sacramento should be given priority status for the rollout of the CCMS-V4. Sacramento's critical functional issues should be given appropriate consideration for resolution in CCMS-V3.	✓	
13a	The AOC should determine which courts have DMS and factor the finding into the overall deployment plan.	✓	
13b	Factor DMS survey results into deployment plan.		✓
14	The AOC should develop a mitigation plan to address the staffing risk and determine how to staff the project for success, possibly by using court staff from beyond the six initial participants in CCMS.	✓	
15	The AOC should not accept or deploy the V4 system beyond the first county superior court in the pilot phase of the system deployment until it is fully operational and utilizing live data.	✓	
16	The CCMS project team should ensure that all system testing activities and procedures are adhered to and completed in the live environment prior to the start of the vendor warranty period.		✓
17	Success of the pilot installation should include testing of the original goals of the court processes, and justice partner and public access to data within the system.		✓
18	Final testing criteria should include data and image response time Service Level Agreements (SLAs) and the SLA should be understood by and agreed to by the courts. Metrics against these SLAs should be available to the courts and published on a regular basis.		✓
19	All testing should be complete and the system fully accepted before the vendor warranty period begins.	✓	
20	Prior to the pilot implementation, the AOC should develop a plan for transition of the system during the maintenance and operations period.	✓	

CCMS Governance Model



November 2010

Authors

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JUDICIAL COUNCIL
OF CALIFORNIA

ADMINISTRATIVE OFFICE
OF THE COURTS

CCMS Governance Model

Overview

The judicial branch is currently developing the California Court Case Management System (CCMS), a single case management system that will be implemented in all 58 superior courts throughout California. This system will support all case types, replacing a myriad disparate commercial and custom-built applications in use throughout the state that are in various states disrepair.

CCMS consists of the following modules:

- **Core Case Management Application.** This application supports case processing for all case types, including case initiation, workflows, bail schedules, 121 statewide/local justice partner data exchanges, reports, e-filing, forms, and notices.
- **Statewide Data Warehouse.** This single database contains case management data and statistical information for all California superior courts.
- **Justice Partner/Public Portal.** This website is available to justice partners and the public, allowing them to access case information and interact with the superior courts. Data access is controlled using state-of-the-art security and user profiles, ensuring that individuals and entities using the portal access only the information they are entitled to see based on their user profile.

CCMS has been constructed using requirements and functional design specifications provided by trial court subject-matter experts, executives, judges, and commissioners, ensuring that CCMS will meet the needs of the courts. Superior court judges, commissioners, executives, and subject-matter experts reviewed and approved the CCMS functional design.

Deloitte Consulting, the contracted application developer of CCMS, has substantially completed the system's development. Deloitte is now engaged in several stages of application testing. Once the testing is complete, the Administrative Office of the Courts (AOC) and trial court subject-matter experts will execute its testing scenarios, resulting in acceptance of the application once the test exit criteria have been met. The core application is scheduled to be completed (accepted) in April 2011. The remaining external components are scheduled for completion by July 2011.

The Superior Courts of Ventura, San Diego, and San Luis Obispo Counties have been selected as the first courts for deployment of CCMS (early adopters). Deloitte Consulting has been contracted to complete a readiness assessment for each early adopter court. It is anticipated that the three early adopter courts will be using CCMS for all case types by the end of calendar year 2012.

As CCMS transitions from application development to statewide deployment, the Administrative Director of the Courts has determined that it will augment the governance and management

CCMS Governance Model

structures for the CCMS program in order to provide overarching direction and guidance to the program, ensuring its successful implementation across the state.

The new CCMS governance structure will consist of the following:

- **CCMS Executive Sponsor.** The Judicial Council of California has directed the AOC to develop a single case management system to be deployed in all 58 superior courts. As such, the council will assume the role of Executive Sponsor and has designated the California Administrative Director of the Courts as the lead executive over the CCMS project. The Administrative Director shall appoint all members of the CCMS Executive Committee and its three advisory committees.
- **CCMS Executive Committee.** The executive committee is the overarching authority responsible for oversight of the CCMS program, which includes all aspects of the program including, but not limited to, the program budget, application functionality, implementation priorities, court deployment schedules, and e-business initiatives that leverage the capabilities of CCMS.
- **CCMS General Administrative Advisory Committee.** The administrative committee will assist the executive committee in performing its program oversight responsibilities regarding program scope, budget, scheduling, and program portfolio management.
- **CCMS Operational Advisory Committee.** The operational committee will assist the executive committee in evaluating opportunities and formulating recommendations in the areas of best practices in trial court operations, business process reengineering, and other technical aspects of CCMS.
- **CCMS Justice Partner Advisory Committee.** The justice partner committee shall advise and make recommendations to the executive committee to ensure that the implementation of CCMS and its data exchanges proceed smoothly and communicates anticipated benefits and cost savings to justice partners.
- **CCMS Program Management Office (PMO).** This new office is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, hosting, and e-business portfolio management. The PMO will serve as staff to the executive committee and three advisory committees. The PMO is led by an executive program director who reports to the AOC Chief Deputy Director.

CCMS Governance Model

CCMS EXECUTIVE COMMITTEE

Summary Charter

The CCMS Executive Committee is the overarching authority responsible for oversight of the CCMS program, which includes all aspects of the program, including, but not limited to, the program budget, application functionality, implementation priorities, court deployment schedules, and the e-business initiatives that leverage the capabilities of CCMS. The CCMS Executive Committee will be assisted in discharging its responsibilities by three advisory committees focused on general administration, trial court operations, and justice partner coordination aspects of the CCMS program. These advisory committees will make recommendations to the executive committee on CCMS program areas consistent with their respective charters. The executive committee is solely responsible for acting on any recommendations made by the advisory committees. The executive committee shall be responsible for all interactions and recommendations made to the Administrative Director and the Judicial Council regarding the CCMS program portfolio.

Composition, Term of Service, and Voting

The CCMS Executive Committee will consist of a chair, a vice-chair, and 11 additional appointed members. All appointments to the executive committee shall be made by the Administrative Director. See Exhibit A for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

The executive committee shall refer all matters that it cannot resolve to the Administrative Director for resolution, action, or referral to the Judicial Council.

Standing Meeting Schedule

The executive committee shall meet at least once a calendar quarter or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Administrative Director of the Courts
- Chair or vice-chair of the CCMS Executive Committee

CCMS Governance Model

- CCMS Executive Program Director, through the chair or vice-chair of the executive committee

Duty Summary

- The executive committee shall publish an annual work plan that establishes and communicates the strategic objectives for the CCMS program in the coming year. The committee's annual plan will incorporate the high-level objectives of the three advisory committees, ensuring that all four annual committee work plans are well coordinated and aligned with the objectives of the Judicial Council, which is the CCMS program's Executive Sponsor. The committee will prioritize activities, including any program enhancements, against the available budget. The annual work plan shall be submitted to the Administrative Director for final approval. The committee shall publish a progress report to the Administrative Director twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The executive committee shall review and approve the annual work plans of the three CCMS advisory committees.
- The executive committee shall review and approve the annual CCMS program budgets. The budgets shall be prepared by the CCMS PMO. The approved budget shall be submitted to the AOC Project Review Board for subsequent action.
- The executive committee shall review the quarterly program management report package submitted by the CCMS General Administrative Advisory Committee. The program management report package will summarize the health of the program from a scope, schedule, budgetary, and resource perspective along with any specific recommendations from the administrative committee that the executive committee should consider. Recommendations could include changes in scope, schedule, resources, budget, or other actions to achieve program efficiencies or mitigate identified program risks. Changes to the program budget that would increase the total cost of the program through completion will require approval of the AOC Project Review Board and the Judicial Council.
- The executive committee shall review and approve the CCMS deployment strategy and schedule, ensuring that CCMS can be implemented within budgetary and scheduling constraints as determined by the Administrative Director. The CCMS PMO shall be responsible for developing deployment strategies for the committee's consideration.
- The executive committee shall review and act on recommendations from the CCMS PMO and the CCMS Operations Advisory Committee that foster the adoption of standard trial court business processes, standard configurations, and reengineering efforts that will fully leverage the capabilities of CCMS.

CCMS Governance Model

- The executive committee shall review and act on recommendations from the CCMS PMO and the CCMS General Administrative Advisory Committee relating to changes to legislation and rules of court that may be required to implement a specific CCMS program or e-business feature.
- The executive committee shall work with the CCMS PMO and the three CCMS advisory committees to evaluate, prioritize, and implement a CCMS program portfolio strategy, creating a master blueprint for the implementation of e-business services that build on the capabilities of the CCMS application. These e-business services include, but are not limited to, e-filing portal, electronic (“smart”) forms, enterprise document management, e-filing service provider certification program, e-citations, and the California Courts Protective Order Registry (CCPOR).

CCMS GENERAL ADMINISTRATIVE ADVISORY COMMITTEE

Summary Charter

The CCMS General Administrative Advisory Committee will assist the executive committee in performing its program oversight responsibilities regarding program scope, budget, scheduling, and program portfolio management. At the direction of the executive committee, the administrative committee will review CCMS program management reports, budget information, change management requests, and monthly Independent Validation & Verification (IV&V) reports, providing analysis and recommendations to the executive committee for its consideration and subsequent action.

Composition, Term of Service, and Voting

The CCMS General Administrative Advisory Committee will consist of a chair, a vice-chair, and 14 additional appointed members. All appointments to the administrative committee shall be made by the Administrative Director. See Exhibit B for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

CCMS Governance Model

The administrative committee shall refer all matters that it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The administrative committee shall meet at least every other month or more frequently, if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee
- Chair or vice-chair of the CCMS General Administrative Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the administrative committee

Duty Summary

- The administrative committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the administrative committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish a progress report to the executive committee twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The administrative committee shall work with the CCMS PMO to develop recommendations to the executive committee regarding the CCMS program portfolio, including project strategies, priorities, and schedules.
- The administrative committee shall review the monthly IV&V reports and produce a quarterly report to the executive committee on the effectiveness, performance, challenges, and risks to the CCMS program as detailed in these reports.
- The administrative committee shall review the monthly management reports produced by the CCMS PMO and publish a quarterly report for the executive committee on the overall health of the CCMS program, including the budget, resources, schedule, and scope of the project. The report may contain specific recommendations for the executive committee's consideration and subsequent actions that address risks or opportunities to improve the CCMS program.
- The administrative committee shall review and forward an annual CCMS program budget to the executive committee along with specific recommendations for improving the budget to accommodate program needs or identified financial constraints.

CCMS Governance Model

- The administrative committee shall review any specific recommendations from the CCMS PMO regarding changes to the scope, budget, schedule, or resources required to support the CCMS program portfolio. The administrative committee shall forward the change requests to the executive committee for action along with any comments or recommendations.

CCMS OPERATIONAL ADVISORY COMMITTEE

Summary Charter

The CCMS Operational Advisory Committee will assist the executive committee in evaluating opportunities and formulating recommendations in the areas of standard (best practice) trial court operations, business process reengineering, CCMS common application configurations, venue transparency, application support and hosting service levels, standard reports, forms and notices, CCMS user acceptance criteria, annual CCMS release plan (enhancement releases), and the development and approval of CCMS functional designs (enhancements after deployment).

Composition, Term of Service, and Voting

The CCMS Operational Advisory Committee will consist of a chair, a vice-chair, and 11 additional appointed members. All appointments to the operational committee shall be made by the Administrative Director. See Exhibit C for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

The operational committee shall refer all matters that it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The operational committee shall meet at least every other month or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee

CCMS Governance Model

- Chair or vice-chair of the CCMS Operational Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the operational committee

Duty Summary

- The operational committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the operational committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish a progress report to the executive committee twice a year that details the committee's progress and challenges in carrying out the annual plan.
- The operational committee shall work with the CCMS PMO to develop strategies for developing and implementing a set of standards in the area of trial court operations. These practices may result from business process reengineering efforts initiated to fully leverage the capabilities of CCMS.
- The operational committee shall work with the CCMS PMO to develop and implement a strategy governing a set of common CCMS configurations and encourage adoption of these configurations through the branch.
- The operational committee shall work with the CCMS PMO to identify a set of services that could be provided centrally using a subscription-based shared services model. These services would be offered to all trial courts on an as-needed basis to be determined by local trial court leadership.
- The operational committee shall work with the executive committee and the CCMS PMO to identify strategies for implementing venue transparency. These strategies may require the combined efforts of the CCMS committees and the PMO, but the operational committee shall take the lead in developing the strategies to be presented to the executive committee for approval.
- The operational committee shall work with the CCMS PMO and the AOC Information Services Division to establish service level agreements (SLAs) for CCMS application and data center hosting performance. These SLAs shall be presented to the executive committee for final approval.
- The operational committee shall review the CCMS PMO's process and criteria for user testing and acceptance of CCMS application enhancements. The operational committee shall submit the criteria to the executive committee along with its recommendations for subsequent approval.

CCMS Governance Model

- The operational committee shall collaborate with the CCMS PMO to establish an annual plan for enhancements to the CCMS application within budgetary constraints and adhering to the strategy forth by the executive committee. The annual CCMS development plan shall be submitted by the operational committee to the executive committee for approval.
- The operational committee shall work with the CCMS PMO and the trial court to provide subject-matter experts as may be required to develop requirements for CCMS enhancements included in the annual CCMS development plan. The operational committee shall also review and approve the final functional designs for any enhancements before passing them on to the executive committee for final approval.

CCMS JUSTICE PARTNER ADVISORY COMMITTEE

Summary Charter

The CCMS Justice Partner Advisory Committee shall advise and make recommendations to the executive committee to ensure that the implementation of CCMS and its data exchanges proceed in a manner that maximizes state and local justice partner participation; minimizes disruptions to existing automated processes between the trial courts and their justice partners; provides a mechanism for justice partners to influence the future evolution of CCMS and related e-business initiatives; and, wherever possible, provide specific information regarding the anticipated benefits and cost savings to justice partners as CCMS and related e-business initiatives are deployed.

Composition, Term of Service, and Voting

The CCMS Justice Partner Advisory Committee will consist of a chair, a vice-chair, and 15 additional appointed members. All appointments to the justice partner committee shall be made by the Administrative Director. See Exhibit D for a committee organization chart.

All appointed committee members will serve a full term that continues throughout the life of the CCMS program, until CCMS has been deployed in all 58 superior courts or the member vacates his or her current position. The term of service will ensure that there is continuity and consistency in the leadership and strategic direction of the CCMS program.

Each committee member shall have one vote. All actions requiring approval of the committee shall be subject to a vote of the members. Actions and motions shall be deemed passed with a simple majority of the membership present at the time the motion or action is brought to the committee for a vote.

CCMS Governance Model

The justice partner committee shall refer all matters it cannot resolve to the executive committee for resolution, action, or referral to the Administrative Director or the Judicial Council.

Standing Meeting Schedule

The justice partner committee shall meet at least every six months or more frequently if needed. The following persons may request an off-calendar-cycle meeting:

- Chair or vice-chair of the CCMS Executive Committee
- Chair or vice-chair of the CCMS Justice Partner Advisory Committee
- CCMS Executive Program Director, through the chair or vice-chair of the justice partner committee

Duty Summary

- The justice partner committee shall publish an annual work plan that establishes and communicates the committee's objectives as directed by the executive committee or issues that the justice partner committee believes are consistent with its charter. The annual work plan shall be submitted to the executive committee for approval. The committee shall publish an annual progress report to the executive committee that details the committee's progress and challenges in carrying out the annual plan.
- The justice partner committee shall review the CCMS deployment schedule and high-level data integration plans for each court as they are developed to provide feedback and recommendations to the CCMS PMO to reduce risk, increase adoption of the available data exchanges, and improve the overall efficiency of data sharing between the trial courts and their justice partners.
- The justice partner committee shall review strategic plans for the future development and implementation of CCMS enhancements (the annual development plan summary) and e-business initiatives that will encourage the exchange of data between the judicial branch, its justice partners, and the public. The justice partner committee shall submit its feedback and recommendations to the executive committee for consideration and subsequent action.
- To the extent possible, the justice partner committee shall facilitate the quantification of administrative and financial benefits accruing as a result of CCMS deployment or application enhancement. This data shall be used by the CCMS PMO to perform cost-benefit analysis and project prioritization.

CCMS Governance Model

CCMS PROGRAM MANAGEMENT OFFICE

Summary Description

The new CCMS Program Management Office (PMO) is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, hosting, and e-business portfolio management. The PMO will serve as staff to the executive committee and three advisory committees.

The PMO shall be led by an Executive Program Director reporting to the AOC Chief Deputy Director.

Organizational Structure

The PMO shall consist of the following four departments:

CCMS Product Development and Management. This department includes the following three units:

- *CCMS Product Development.* Includes CCMS business requirements development, user group support, e-services branding strategy, legislation and rules of court, and product strategy.
- *CCMS Trial Court Services.* Includes CCMS central helpdesk, business process reengineering, training support, configuration management and maintenance, liaison to statewide justice partners and associations, trial court relationship management, and service level agreement management.
- *CCMS Product Assurance.* Includes CCMS product acceptance testing and user acceptance testing services.

CCMS Project Management and Reporting. Includes participation in the AOC Community of Practice (COP), a program for establishing and maintaining project management best practices; project management responsibilities; CCMS project portfolio management; project reporting; liaison to the State Office of the Chief Information Officer (OCIO) for CCMS; liaison to the AOC Project Review Board for CCMS; liaison to IV&V staff; responsibility for ongoing IV&V process; staffing the CCMS governance committees; financial management and reporting for the CCMS program portfolio; oversight for deployment; and CCMS program communications.

CCMS Deployment. This includes AOC managed trial court deployment; deployment vendor (Deloitte) oversight; development and maintenance of consolidated deployment plans using PMO tools; monitoring, reporting and mitigating project risks; serving as the primary point of

CCMS Governance Model

contact for trial court management and staff; and coordination of AOC Information Services Division (ISD) services to support deployment.

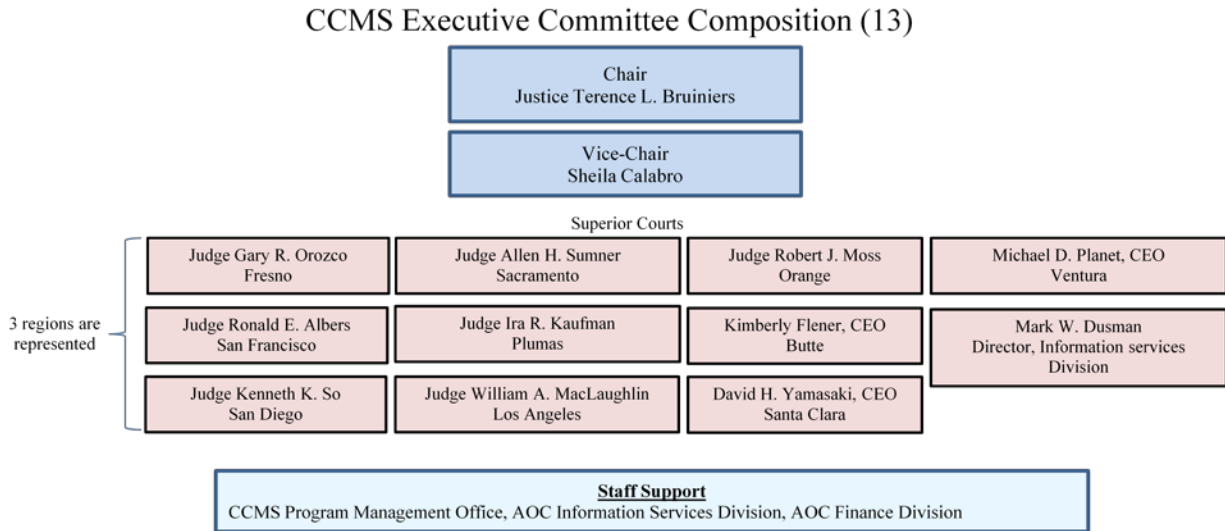
Case Management Systems Development and Maintenance. This includes the following four units:

- *Data Integration Services.* Includes vendor (Tibco) common services, National Information Exchange Model (NIEM) standards and CCMS exchanges, justice partner support, and vendor (Deloitte) oversight for external component development.
- *Application Services.* Includes vendor (Deloitte) oversight for core CCMS development, vendor oversight for interim civil case management system support, transition services from Deloitte to the AOC ISD for V3 and CCMS, application architecture standards and development, database administration services, CCMS development planning, systems analysis and technical design, application development, quality assurance, and release management.
- *Infrastructure Services.* Includes infrastructure readiness, trial court bandwidth, LAN/WAN and California Courts Technology Center (CCTC) connectivity, network monitoring, security standards, network security monitoring and response, and firewall administration.
- *California Courts Technology Center.* Includes traffic and criminal interim system (V2) environments, civil interim system (V3) environments, CCMS production and staging environments, and development environments.

CCMS Governance Model

EXHIBITS

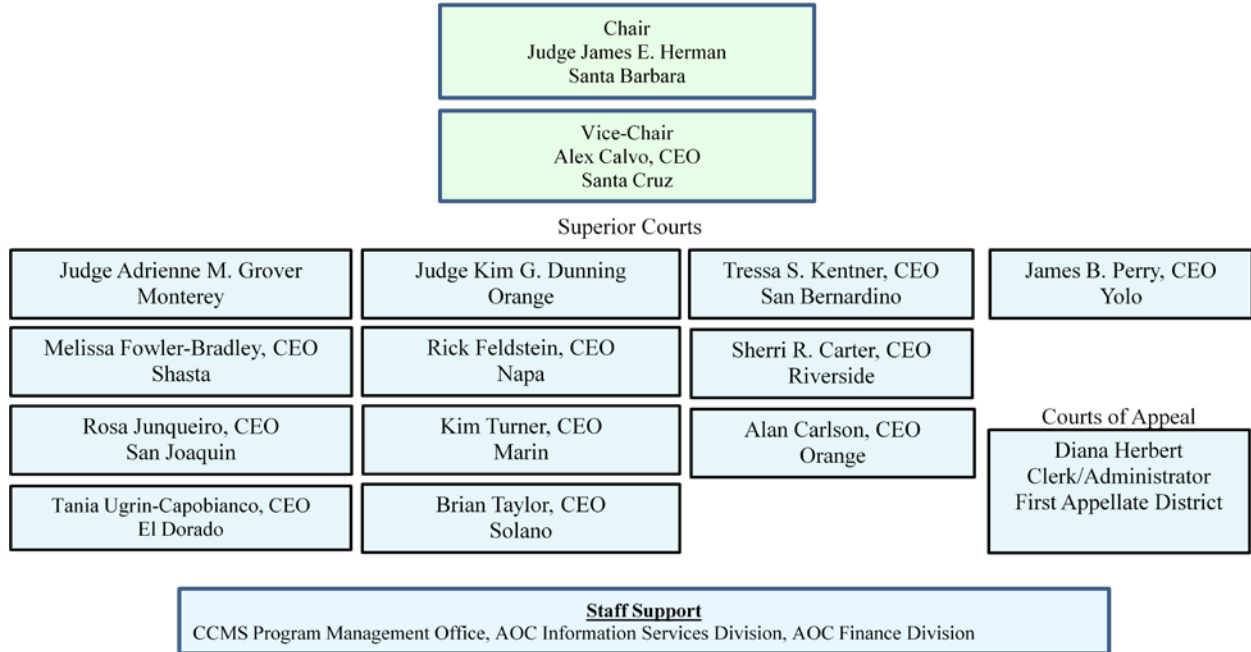
Exhibit A. CCMS Executive Committee



CCMS Governance Model

Exhibit B. CCMS General Administrative Advisory Committee

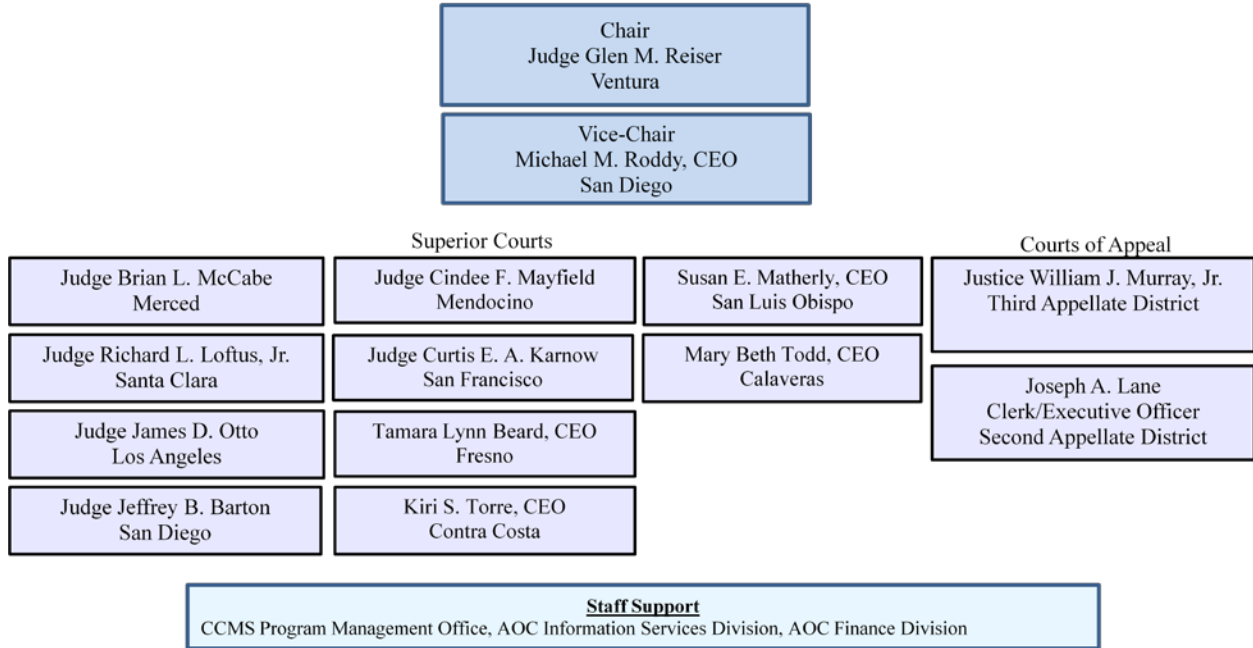
CCMS General Administrative Advisory Committee Composition (15)



CCMS Governance Model

Exhibit C. CCMS Operational Advisory Committee

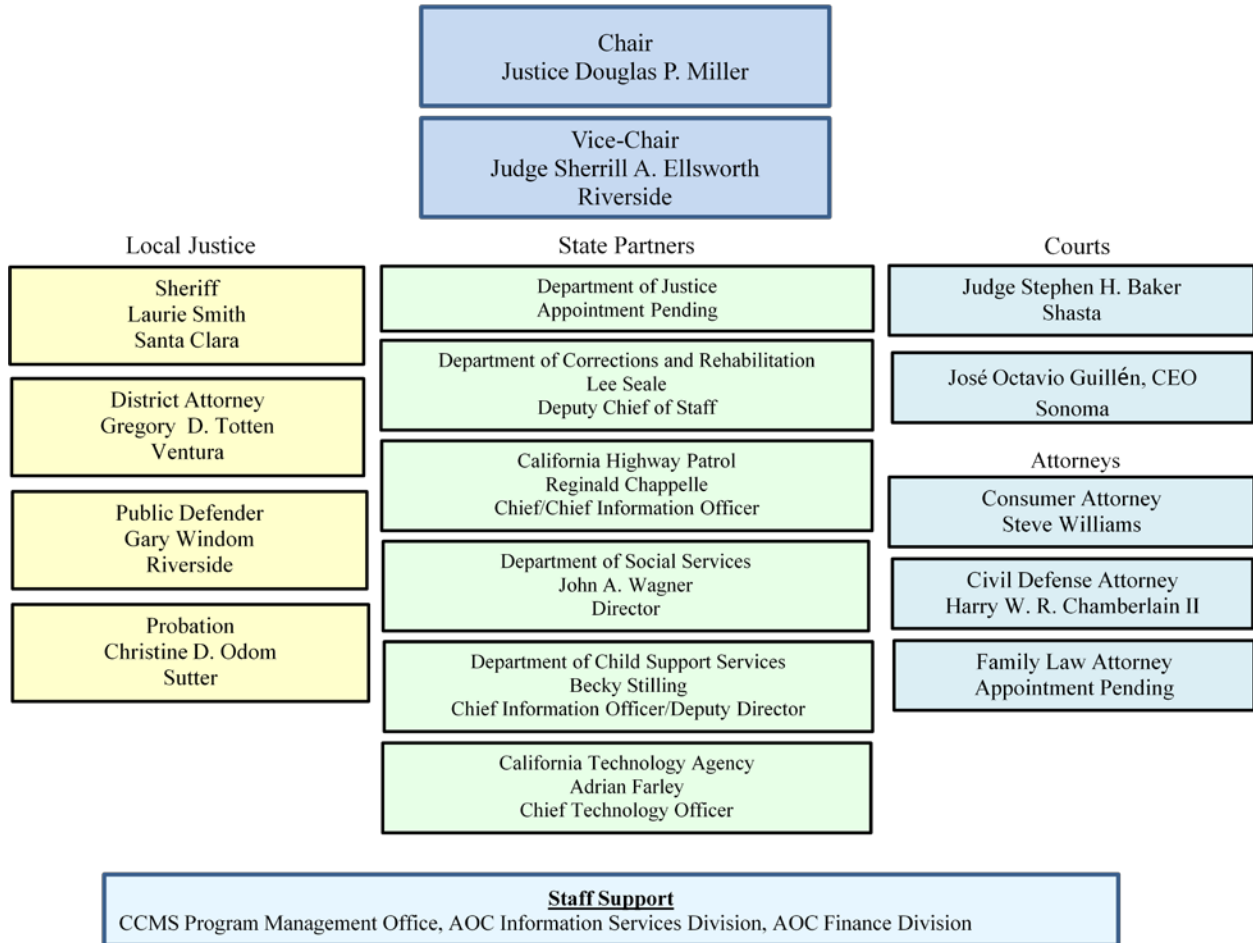
CCMS Operational Advisory Committee Composition (14)



CCMS Governance Model

Exhibit D. CCMS Justice Partner Advisory Committee

CCMS Justice Partner Advisory Committee Composition (17)



***CCMS Governance Advisory Committee Meeting Minutes
 Executive Committee (EC)
 San Francisco, California
 February 1, 2011***

MEMBERS AND LIAISONS PRESENT

Justice Terence Bruiniers (Chair), Sheila Calabro (Vice-Chair), Judge Ronald Albers, Mark Dusman, Kimberly Flener, Judge Ira Kaufman, Judge William McLaughlin, Judge Robert Moss, Judge Gary Orozco, Michael Planet, Judge Kenneth So, Judge Allen Summer, David Yamasaki

MEMBERS AND LIAISONS ABSENT

none

STAFF PRESENT

Keri Collins, Robin Harris, Mark Moore, Ronald Overholt, Sanders-Hinds, Maureen Wingfield

STAFF CONTACT

Mark Moore - Phone: 415-865-4010 Email: mark.moore@jud.ca.gov

ADMINISTRATIVE MATTERS

I. Introductions

1. Terence Bruiniers listed the challenges to be discussed at the meeting:

- Funding
- Support
- Time
- Immediate and pressing needs, prioritized deployments
- Interim solutions

It is not just about us, it's about the justice partners and broader community too. There will be challenges we have to work through, but we must do it to broaden access to justice.

2. Sheila Calabro discussed future committee goals in context with the history and development of CCMS:

- Change and development of new governance model
- Statewide reach
- Migration from V3 to V4

She also emphasized that this is a perfect time to change and be more inclusive as we now have new committees, enthusiastic chairs and a director dedicated to the project. Additionally, there is a strong partnership between, courts, project staff, and IS.

3. Terence Bruiniers read the committee charter to emphasize term of commitment (Committee term of service is a lifetime commitment.) He then established the 2 items critical to success:
 - Transparency
 - Accountability

II. Committee Business

1. Mark Moore reviewed committee structure details, the responsibilities of the Executive Committee and the relationship of committees to the PMO.
 - a. Three governance committees divide up the work, develop an annual plan, make recommendations, and modify or communicate strategies. Advisory committee focus is on strategic recommendations.
 - b. Set strategy and make recommendations based on their unique duty summaries
 - c. Executive Committee assists the advisory committees in being successful at their duties by proving leadership and direction and enhancing opportunities to get funding at both the state & national level
 - d. Governance Subcommittees:
 - Administrative
 - Administrative Committee concerns itself with monitoring program status and making recommendations to Executive Committee in areas of scope, budget and schedule
 - Operational
 - Operational Committee has a focus on court operations, standardized processes, common configuration and application enhancements
 - Justice Partner
 - Justice Partner Committee works with justice partners on adoption of CCMS and Data Exchanges and minimizing possible related disruptions
 - e. Responsibilities of the Executive Committee:
 - Executive Committee makes recommendations on CCMS status, health and effectiveness to the PRB and JC based on subcommittee input
 - Provides overarching CCMS Program Oversight
 - Full E-portfolio
 - E-filing
 - DMS
 - CCPOR
 - E-citations
 - Budget

- Application functionality
 - Schedules
 - Executive Committee has overarching authority for all the committees
 - Strategy and Direction begins and ends here
 - Validates Advisory Committee Annual Agendas
 - Advisory Committee Annual plans roll up to the Executive Committee Annual Plan
 - Responsible for Program Quality
 - CCMS PMO manages CCMS ongoing operations and reporting and serves as staff to the committees
- f. Focus on what needs to get done
- Let partner divisions focus on the “how” (example education, maintenance of V3)
 - May be ready to take on M&O of V4 within 18 months – 2 years.
2. Mark Moore discussed both the most recent audit and legislative inquiries as well as previous audits such as the one performed in 2006 by KPMG
- The new BSA report is not a public document yet
 - Target release date is February 8, 2011
 - There are 26 recommendations for change
 - The tone was harsh but the AOC plans to address all of the findings and implement all recommendations except one – (*to re-evaluate code which would be a repetitive task that fails to add value beyond our already thorough test cycles and SLAs.*)
 - The report criticized the AOC for not performing a thorough business analysis in 2003 but did not recognize that there was no effective governance model at that time. (reference to Clark Kelso comments.) We had to evolve the branch first. They thought we should have operated like a state agency with a director who could call all the shots, but that is not how we were governed. In 2011 however it is easier to accomplish this task.
 - Response to the BSA is near complete and included reviews by JC members. Review team led by Team led by Donna Hershkowitz.
 - We’re also working with John Judnick on an action plan to address recommendations and findings
 - As with the last OCIO report, we will take all the recommendations & implement as quickly as possible (*w/ no additional money*)
 - Regular progress reports will continue be delivered to this committee
 - BSA report included an opinion survey which solicited feedback from a widely varied audience of supporters and non supporters who

provided their input on the system. Unfortunately all were not well educated on the system.

- CCMS has always included 3 discrete projects & interim systems.
 - V2 Traffic & Criminal module
 - V3 Civil module

-V4, the culmination of the program which merges V3 functionality and architecture with the capabilities of V2, extended to encompass all case types including Family & Juvenile.

Short discussion on Sacramento Court issues, Orange County examples, & CCTC improvements.

3. PMO discussion - Mark Moore:

- PMOs are most effective when they are small, lightweight, have a high-level of expertise, guide and direct rather than dictate and control
- Avoid Death by Process
- Don't lose sight of the end game - successful project delivery
- CCMS PMO embodies these key factors.
 - We will not recreate a technology group
 - There is a focus on reusing what we have
 - We have processes and procedures in place to manage large projects
- CCMS PMO delivers extreme value at a reasonable price point
- PMO Supports and Enables the Organizational Goals
- PMO supports CCMS Program
- PMO serves the role of General Contractor
 - Monitoring and controlling project performance
 - Maturing Project Management Competencies and Methodologies
 - Multi-project management (coordinate, prioritize, allocate resources)
 - Strategic management (advice to upper management, strategic planning, manage benefits)
 - Organizational Learning (Monitor PMO performance, manage documentation, conduct project audits and post-audits, manage lessons-learned, manage risk database)
- Mark introduced Robin Harris, PMO consultant who assisted in a Deliverables Review including:

i. Annual Work Plan

- Advisory Committees work on individual plans by prioritizing the top 1 – 3 strategic items they want to focus on for the coming year
- Their Work Plan activities should align with their Charter and Duty Summaries
- Committee activities are aggregated and approved to become strategic imperatives that reviewed and adopted by the Judicial Council
- These Strategic Imperatives set the direction for the CCMS Program for the coming year
- Insures that all CCMS resources are devoted to activities sanctioned by the Judicial Council and the CCMS Governance Executive Committee
- All CCMS Program activities can be tied back to overarching CCMS Goals and Objectives as approved by the Judicial Council and Executive Committee
- It answers the question of “why are we doing X?” or “where should we devote CCMS resources?”

ii. Timelines and Milestones

Assumptions:

- Executive Committee submits reports to Judicial Council and meets after the advisory committees
- In order to make it possible to have inter-committee representation at meetings, committees do not meet on the same schedule
- Administrative committee meets after the other advisory committees in the event that common items (scope, enhancements, budget) need to be rolled up and addressed

iii. Meeting Schedule

- The committee shall meet at least 4 times per year (1/qtr)
- Off-Calendar Cycle meeting may be requested by the Administrative Director of the Courts or the Chair or vice-Chair
- There is a 5-6 week lead time to get on to the JC reporting calendar
- In order to support the Executive Committees reporting obligations, Advisory committees need to factor additional lead time into their reporting to allow time for review, approval and preparation
- The first meeting of this committee should be the end of Feb or 1st week in March

iv. Communication Tools

- Communications plan (adapting what we have from our Community of Practice)
- Scheduled Meetings, conference calls, reporting frequency, venue information for in-person meetings
- Types of communications: In person, Conference Call, email, Formal Report
- Moodle Collaboration Site was set up to house all the materials related to this CMS Governance Planning Session. Our hope is that this will be a means for committees to share information with their members and with other committees (until we can transition to something more robust). It should be able to house archival materials for the committees in the event we need the historical context
- Innotas, a project tracking tool which is used for ongoing project related reporting. Costs, status, schedule, Issues, Risks

III. Five Minute Break

IV. Roundtable Discussion

1. Strategic Focus Areas

a. Terence Bruiniers introduced key focus areas:

- Communications Plan and Outreach Efforts
- Develop a prioritized list of courts (based on need) that will roll out CCMS
- Spearhead outreach to legislature in order to counter damage, misinformation and be responsive and accessible to legislators as well as other justice system partners
- Identify other state officials to lobby (i.e. Attorney General)
- Build a coalition of partners and help them develop talking points with the correct facts and figures.

b. Topics raised by other committee members:

- Important for the Branch that Judges take a prominent role.
- Aggressive communications offense rather than defense
- Demo dazzles, show the product more
- Criticality of judicial leadership plus bottom-up staff support.
- Need for more multi-layered demos
- Preparations for CCMS without funding – start imaging & scanning now.

- It's not just the court's responsibility to plug holes. Within the confines of \$1.3B, funds can be redirected to ensure the best chance of success.
 - Keep it simple - show them it works for all sizes & show them how to pay.
 - Development schedule
 - Implementation expectations
 - Clarifying levels of integration
 - Branding Issues
- c. The role of the PRB (Project Review Board) was discussed:
- Board members include Ron Overholt (Chair), Mark Dusman & Steven Nash
 - The PRB is the ultimate authority across the branch for all technology projects and decides what is presented to the JCC for funding requests.
- d. Public hearings were discussed in detail. Discussion points include:
- Focus of April hearings
 - Public criticisms
 - Budget
 - Debate on cap (\$1.3B or \$1.9B, the latter of which includes maintenance and operations which is not part of development and deployment)
 - Figures were always disclosed. There is no malfeasance
 - BSA wants to also include executive salaries & time spent in their full cost estimates, an approach the AOC does not agree with. This was likened to including future Gas & Tune up expenses in the purchase price of a vehicle.
 - Bad budget times are all around but we are making a case that this system merits national attention
2. Outreach Activities were outlined. Activities include:
- a. Demos
- Demo for following groups
 - Unions
 - Court Clerks Institute
 - Court Clerks Association
 - Other specialty bars
 - Other Justice Partners
- Probation officers
- California District Attorneys Association
 - California Police Department Association

- Encourage those who are impressed by the demos to assist with PR efforts. Legislators are much more interested in hearing from their constituents than agency contacts.
- b. Meetings with officials
- Past Meetings
 - Ron met with Eric Holder, US Attorney General
 - There was a meeting with the Governor's new press secretaries to offer a demo.
 - Ron met with Janet Napolitano, US Secretary of Homeland Security interested in sending a team to Burbank for a CCMS demo
 - Bill and Ron met with Jim Humes, the Governor's Executive Secretary to give a demo.
 - Future Meetings
 - Eric Holder wants to see demo in San Diego and hold a press conference on why CCMS & why an integrated justice system is important
 - Terence Bruiniers would like to identify key contacts to meet with in the Attorney General's office.
 - Terence Bruiniers and Mark Moore attend regional meetings of PJs and CEO's in each district.
- c. Assemble a quick response team for:
- Public requests
 - Information
 - Comments
 - Ms. Flener, Judge Kaufman, & Judge So volunteered and agreed to have first follow-up meeting same day.
- d. Create an inventory of courts whose systems are failing or predicted to crash (with dates)
- Recommend CCMS as the only alternative to forestall failure
 - Consider seeking special CCMS funding by Budget Change Proposal (BCP) to address local critical needs
 - Create policy for this kind of emergency replacement implementation
3. Mark Moore discussed a communications plan.
Discussion points include:
- a. Our group will strive for transparency and honor all requests per CRC 10.500 that don't meet the exceptions/exemptions definitions
 - b. Assemble a work group focused on communications
 - c. Build a coalition of partners and develop their talking points
 - d. Appoint a communication specialist

- Role will be to push positive project messages
- e. Communication tools
 - Moodle
 - Learning environment
 - Used for this session and will become more robust on-going
 - Innotas
 - Reports from Innotas will be published to Moodle

V. Housekeeping & Next Steps

1. Set up a meeting with the Office of Communications for the QRT sub committee consisting of Terence Bruiniers, Kenneth So, Ira Kaufman, Kimberley Flener
2. Provide generalized breakdown of trial court expenses to committee before next meeting
3. Distribute copies of Press Release
4. Other future discussion topics
 - failing systems (suggestion to create survey, band-aids or alternatives, BCP)
 - local courts' ability to prepare for future deployment without committed funding,
 - have the tough funding discussions,
 - explore alternative deploy scenarios,
 - provide layers of options, (*modular approach*)
 - deployment schedules
 - better definitions of "integration" to obviate local concerns

**The next CCMS Governance Executive Committee meeting date is April 18, 2011
10:00 AM – 3:00PM.**

Meeting adjourned at 11:15 AM.

***CCMS Governance Advisory Committee Meeting Minutes
CCMS Operational Advisory Committee
San Francisco, California
February 1, 2011***

MEMBERS AND LIAISONS PRESENT

Hon. Glen M. Reiser (Chair), Mr. Michael M. Roddy (Vice-Chair), Hon. Jeffrey B. Barton, Ms. Tamara Lynn Beard, Hon. Curtis E.A. Karnow, Mr. Joseph A. Lane, Hon. Richard J. Loftus, Jr., Ms. Susan E. Matherly, Hon. Cindee F. Mayfield, Hon. Brian L. McCabe, Hon. William J. Murray, Jr., Hon. James D. Otto, Ms. Mary Beth Todd, Ms. Kiri S. Torre

MEMBERS AND LIAISONS ABSENT

None

STAFF PRESENT

Mr. David Corral, Mr. Matt Hunter, Mr. David Koon, Mr. Ryan Mendoza, Mr. Larry Nepomuceno, Ms. Jody Patel, Mr. Art Rodriguez, Mr. Alan Slater, Mr. Bob Steiner

STAFF CONTACT

Mr. Alan Slater: alan.slater-t@jud.ca.gov 714-791-3026

ADMINISTRATIVE MATTERS**1. INTRODUCTIONS AND OVERVIEW OF THE AGENDA**

Hon. Glen M. Reiser called the meeting to order. Opening remarks included an overview of the committee's purpose and general areas of responsibility as well as a review of the agenda.

Committee members and staff introduced themselves providing a brief description of how their different areas of expertise are expected to contribute to achieving the goals of the committee.

The California Judicial Branch Technology Terms and Acronym guide dated November 30, 2010 was provided as a handout for committee members.

2. Overview and Discussion of the Charter for the Committee

Hon. Glen M. Reiser reviewed the Operations Committee's charter and provided a description of the role of the CCMS Program Management Office.

3. Overview and Brief Updates

The attached slide deck was presented to the committee. A summary of the areas discussed and the presenter of each area is listed below:

- CCMS Functional Testing: Mr. Art Rodriguez defined the specific areas of CCMS being tested, the CCMS testing phases, exit criteria and testing schedule. He noted that Core PAT is scheduled to be completed by April 2011 and External Component PAT completed by July 2011. He also provided information on the resources comprising the CCMS testing team and the activities the team is performing such as validating test scripts, verifying vendor test results and answering business questions.
- CCMS Configuration Standards: Mr. Matt Hunter provided examples of what is included as part of CCMS configuration and discussed why standardization is important. It was noted that the identification of best practices as part of the business reengineering process is expected to help drive what can be standardized versus that which is locally customized. Comments were made emphasizing that this is an area where there will be a significant amount of work. The challenges experienced with the deployment of V3 when deciding the specific text on forms was provided as an example of the types of issues which will be encountered. Venue transparency was highlighted as an issue which would be referred to the committee. The committee also discussed the expectation that the CCMS PMO would be developing a communication plan to address how to communicate decisions by the CCMS Governance Committee to the courts.
- CMS Development Environment Readiness: Mr. David Corral discussed the different CCMS environments specifically referencing the PAT and stress testing environments and their purpose.
- Shared Data Center Issues: Mr. Alan Slater and Mr. Larry Nepomuceno discussed shared data center concepts such as service level agreements (SLA's), disaster recovery, the importance of multiple environments within a data center (e.g. production, staging, etc.) and the California Courts Technology Center (CCTC). It was noted that SLA's would be developed for CCMS deployment between the Court, the CCTC, Deloitte Consulting and the various Justice Partners.
- Enterprise Document Management System (DMS): Mr. David Corral reviewed the RFP timeline for a DMS noting that the Santa Clara Superior Court is the pilot court. He also reported that 50% the courts had a DMS system based upon a survey taken of the courts. Of the 50% which did not currently have a DMS, 12 courts plan on procuring a DMS in the future. He noted that CCMS was designed by building a gateway to send/receive documents from any DMS and that CCMS would be leveraging the process developed by the Orange County Court to increase the speed of retrieving documents from DMS system.

- Maintenance and Support: Mr. Bob Steiner defined defect management. He also noted that the current maintenance and support agreement for CCMS is with Deloitte but the long-term goal is to transition support to the Branch. This is similar to how the Branch has already taken over support for the V2 product and is in the process of taking over the support for V3.
- CCMS Enhancement Prioritization Process Mr. Bob Steiner provided the definition of an enhancement. He provided metrics regarding the current enhancement list and the timeline to get to CCMS “Release 1.0” which would include legislative and rule/form changes since the FFDP was submitted in 2008. He noted that the CCMS team is currently working with the Ventura and San Diego courts on the prioritization of the current enhancement list. He expects the role of the committee to be active in reviewing the enhancement list and making recommendations on a prioritization process.
- Defect Tracking & Resolution: Mr. Bob Steiner defined the four priority levels of defects and the discussed process to track those defects.
- Business Process Reengineering (BPR): Ms. Jody Patel and Mr. Alan Slater defined BPR, including objectives and keys to success. They highlighted lessons learned and explained how re-engineering would be of significant value in preparing courts for implementation of CCMS, document management, and e-business strategies.

CCMS Operational Advisory Committee Presentation:



CCMS_Operational_
Advisory_Committee_

4. Description of Committee Workplan

Hon. Glen M. Reiser reviewed the committee’s workplan including the duty summary. He noted that the committee’s first order of business is to complete the workplan which is due by mid-April, 2011. As such, he proposed that the next committee meeting be an all-day “in-person” meeting.

San Luis Obispo will be considered for the location of the next meeting given its central location to committee members. The San Luis Obispo Court has offered to provide meeting space for this meeting. Proposed dates for the meeting will be sent out to committee members in the near future.

The committee is expected to meet at least every other month or 6 times per year. It is expected that two of these meetings would be “in-person” meetings.

The e-mail addresses of committee members and staff will be sent out to committee members.

The meeting adjourned at 11:16 pm.

***CCMS Governance Advisory Committee Meeting Minutes
 Justice Partner Advisory Committee
 San Francisco, California
 February 1, 2011***

MEMBERS AND LIAISONS PRESENT

Hon. Douglas P. Miller, Chair; Hon. Sherrill A. Ellsworth, Vice-Chair; Hon. Stephen H. Baker; Mr. Reginald Chappelle; Mr. Jose Octavio Guillen ; Ms. Christine D. Odom; Mr. Lee Seale; Ms. Laurie Smith; Ms. Becky Stilling ; Mr. Gregory D. Totten; Mr. John A. Wagner; Mr. Steve Noel Williams; Mr. Lee Seale

MEMBERS AND LIAISONS ABSENT

Mr. Harry W.R. Chamberlain; Mr. Adrian Farley; Mr. Bill Stobie;
 Mr. Gary Windom

STAFF PRESENT

Ms. Renea Hatcher; Mr. John McNamara; Ms. Chelle Uecker; Ms. Joye Beachum;
 Mr. Eric Pulido

STAFF CONTACT

Ms. Renea Hatcher, (415) 865-4621; renea.hatcher@jud.ca.gov

ADMINISTRATIVE MATTERS

Hon. Douglas Miller introduced himself and welcomed the committee members to the California Court Case Management System (CCMS) Justice Partner Advisory Committee and asked each member to introduce themselves.

ADVISORY COMMITTEE ROLE AND CHARTER

Hon. Miller discussed the role of the Justice Partner Advisory Committee within the CCMS Governance Model and summarized the committee charter. Specifically, he mentioned three distinct charges of the committee: (1) to conduct outreach with justice partners and encourage their participation; (2) to solicit justice partner input regarding CCMS integration, minimize disruption to existing processes, and provide a mechanism for them to influence future evolution of CCMS; and (3) to take a proactive role in providing specific information regarding the anticipated benefits and cost savings to justice partners as CCMS and related e-business initiatives are deployed.

Hon. Sherrill A. Ellsworth, spoke briefly about the positive impact CCMS will have on public safety by facilitating information sharing across agencies and across the state. Several committee members agreed that having access to complete and timely information would improve decision making in the field and on the bench.

Ms. Renea Hatcher introduced Ms. Chelle Uecker, who presented a PowerPoint overview of CCMS, including the history of the prior iterations (V2 and V3), the components of

the final CCMS product, deployment planning with state and local justice partners, and the early-adopter tester and deployment timelines.

During the CCMS overview presentation, Mr. Lee Seale inquired as to whether the intent was for CCMS to replace the California Law Enforcement Telecommunications System (CLETS) rap sheet. The response was that the information provided via CCMS would provide additional information that is easier to understand and consume by court staff and justice partners, but that replacing the CLETS rap sheet remains unlikely since other states will continue to rely on the data. It is more likely that the CCMS data, which will be available to law enforcement personnel via the internet, will augment the CLETS data used today. It was agreed that the courts should avoid positioning themselves as being responsible for maintaining criminal history records.

Mr. Steve Williams inquired as to why, given all of the potential benefits, there was so much opposition to CCMS. Hon. Miller indicated that some of the opposition is related to the timing and cost of the project, particularly given the current budget climate. He indicated that CCMS represents a significant change for the courts and change is traditionally met with resistance. Further, he indicated that there is a misperception that the CCMS project is being imposed on the courts by the AOC, and this raises the larger issue of centralization of the courts and how that impacts the autonomy of local jurisdictions. Lastly, Hon. Miller mentioned that there is a contingent that questions whether the application will actually work. He stated that an important charge of the Justice Partner Advisory Committee will be to do a better job of communicating the vision and benefits of CCMS, correcting the misinformation that is being circulated, and demonstrating that the application works and meets the needs of the courts and justice partner community.

Ms. Becky Stilling, Department of Child Support Services, shared that there were similar challenges when her agency adopted a new system, but that they had the benefit of a federal mandate to ease compliance. Ms. Stilling indicated that organizations may find it threatening to adopt new systems because it may change the way they do their jobs and she suggested that one way to combat this perception is to create an undercurrent of efficiency and transparency.

Mr. Reginald Chappelle, Chief of the California Highway Patrol, Information Management Division, inquired as to whether participation in CCMS is optional for the courts. Ms. Hatcher indicated that the intent has always been that all fifty-eight trial courts will deploy CCMS and that the efficiency of the system is predicated on full deployment.

COMMITTEE STRUCTURE AND WORK PLAN

Hon. Miller reminded the committee of their role in developing and making recommendations to the CCMS Executive Committee and that one of the first tasks will be to develop an annual work plan that establishes and communicates the committee's objectives. For purposes of the initial kick-off meeting, the committee was asked to focus on identifying 2 or 3 priorities for the annual work plan and defining the structure of the advisory committee.

Following a brief discussion, the committee agreed that the structure of the advisory committee would be comprised of a single group instead of smaller working groups. While it was generally agreed that coordinating and logistics for a larger group may prove more challenging, the members also felt it was important to have the various perspectives of the committee members represented at each meeting in order to stay in sync.

The committee will meet primarily by conference call, with two annual in-person meetings per year, with the next meeting in the summer. The Chair and vice chair will plan to rotate attendance at the Executive Committee meetings and provide updates at the Justice Partner committee meetings.

The structure of the committee having been established, the discussion focused on identifying some key objectives for consideration in the annual work plan. The members reiterated the need to focus on marketing, communication, and outreach. The following suggestions were discussed:

- Establishing a communication plan in advance of the Bureau of State Audits report. The report is expected to be published on or about February 8, 2011. The committee suggested preparation of an email to the state justice partners, alerting them about the audit, provide bullet points about CCMS, and identify an AOC contact person they can direct inquiries to. Further, once the audit is published, the committee will schedule a conference call to discuss the report and answer questions from the committee members.
- Defining the parameters of the outreach effort in terms of the type of outreach (i.e., marketing, education, a forum for feedback), the target audience, a strategy, and clear objectives regarding the desired outcome. One goal is to have a coordinated communication plan among the different CCMS governance committees.
- Members of the committee, representing partners, will develop an outreach plan, cost/benefit, and Return on Investment (ROI) analysis for the individual justice partners. This effort will enable committee members to provide specific

information to their local and external partners about how CCMS will benefit them.

- Building a coalition of local and state justice partners and legislators that understand, and can speak to, the statewide benefits of the CCMS application. This effort will be initiated by developing executive summaries about the benefits of CCMS to the individual stakeholders, and using those summaries to engage local associations and agencies as a way to build support for the project.

In closing, Ms. Hatcher discussed the importance of the relationship between the courts and justice partners. She also mentioned the need for the committee to address some of the more challenging issues associated with deploying a statewide case management system in the current budget climate, namely how to reprioritize the work and how to effectively plan for statewide deployment of CCMS.

Several committee members remarked that they felt that the demonstrations provided during the plenary session of the CCMS Governance Committee meeting were beneficial and an important tool that could be used to provide their peers with an opportunity to see first-hand what CCMS promises on a statewide level.

The next CCMS Governance Justice Partner Advisory Committee meeting date will be scheduled during the week of February 7, 2011, to correspond with the release of the Bureau of State Audits report. Subsequently, the committee will plan to meet within thirty (30) days to begin drafting the annual work plan.

The meeting adjourned at 11:10 a.m.

*CCMS General Administrative Advisory Committee
San Francisco, California
February 1, 2011
Meeting Minutes*

MEMBERS AND LIAISONS PRESENT

Hon. James Herman, Chair; Mr. Alex Calvo; Vice-Chair; Ms. Sherri Carter; Hon. Kim Dunning; Mr. Rick Feldstein; Ms. Melissa Fowler-Bradley; Hon. Adrienne Grover; Ms. Diana Herbert; Ms. Rosa Junquero; Ms. Tressa Kentner; Mr. James Perry; Mr. Brian Taylor; Ms. Kim Turner; Ms. Tania Ugrin-Capobianco

MEMBERS AND LIAISONS ABSENT

STAFF PRESENT

Ms. Margie Borjon-Miller; Mr. Les Butler; Ms. Keri Collins; Mr. John Judnick; Ms. Chris Patton; Mr. Christopher Smith

STAFF CONTACT

Mr. Les Butler - Phone: 818-558-4807 Email: les.butler@jud.ca.gov

ADMINISTRATIVE MATTERS

Judge Herman opened this first meeting of the Committee and asked members to introduce themselves and share their experience with case management systems, system deployments, and budget oversight. This information will be used to help the chair identify expertise to help build the committee's work plan and shape any needed sub-committees.

PRESENTATIONS

CALIFORNIA COURTS CASE MANAGEMENT SYSTEM UPDATE

Mr. Les Butler provided a brief overview of California Courts Case Management System (CCMS) for the committee. He reviewed key phases of the project since it began in 2007. He also discussed work with the early adopter courts—San Diego, San Luis Obispo, and Ventura. The assessment phase is complete and budget, resources, and justice partner issues are identified as key concerns for moving forward. Early adopter deployment is scheduled to be completed December 2012. Mr. Christopher Smith provided a brief update on the e-filing and e-business initiatives underway, advising that some issues may be addressed to the committee in the near future.

Following the update, the members held a discussion about the state of CCMS and CCMS deployment. From the conversation, the members learned early adopter deployment strategies are still being finalized; it is expected some courts will deploy all case types at once, others will deploy in a phased approach. The project will also include an Implementation Toolkit that will provide information to all courts to help them

prepare for CCMS. Members also commented about the seemingly overwhelming obstacles to complete CCMS deployment as well as the process for making statewide policy decisions driven out of CCMS functionality. Finally, Judge Herman emphasized the importance of this committee to examine the project budget and various deployment strategies in order to make a recommendation to the CCMS Executive Committee on how best to move forward.

INTRODUCTION TO INDEPENDENT VALIDATION AND VERIFICATION

Mr. John Judnick provided an overview of Independent Verification and Validation (IV&V). Mr. Judnick explained that verification examined whether the CCMS Project was building the system in the right way while validation examined if the CCMS Project was building the system to meet the project requirements. He then walked the members through a report from Sjoberg Evashenk Consulting, who have been retained to conduct the IV&V oversight. The IV&V oversight is using established national standards and protocols for product development and management to measure the CCMS Project's health and identify risks and issues to be addressed. The IV&V reports are published monthly and staff will distribute them to members for their review.

The committee is expected to review these reports and provide a quarterly status report to the CCMS Executive Committee on key project risks and issues along with any recommendations for addressing such items. In order to do this, staff will distribute project audits, project management reports, and the IV&V reports as they are published.

CCMS BUDGET OVERVIEW

Ms. Keri Collins provided a brief summary of the CCMS Program budget and how project costs are organized and reported. Project costs are identified in three categories: one time development and deployment costs, recurring CCMS maintenance costs through Fiscal Year 2015/16, and maintenance costs for CCMS V2 and V3. –These costs total \$1.3 billion through 2015/16.

NEXT STEPS

Judge Herman closed the meeting identifying the committee's immediate activities will be to develop a work plan for review by the Executive Committee in April and respond to budget proposals and project audits. He suggested the committee form two subcommittees, one to focus on budget and the other to examine and respond to the Budget Analyst Office audit and other project issues. The committee will also hold another daylong meeting to provide more information on CCMS, project oversight, and the budget.

Meeting adjourned at 11:15 AM.

***CCMS Governance Advisory Committee Meeting Minutes
Executive Committee (EC)
Conference Call
March 9, 2011***

MEMBERS AND LIAISONS PRESENT

Justice Terence Bruiniers (Chair), Sheila Calabro (Vice-Chair), Judge Ronald Albers, Mark Dusman, Kimberly Flener, Judge Ira Kaufman, Judge Robert Moss, Judge Gary Orozco, Michael Planet, Judge Kenneth So, Judge Allen Summer, David Yamasaki

MEMBERS AND LIAISONS ABSENT

Judge William McLaughlin

STAFF PRESENT

Keri Collins, Robin Harris, Mark Moore, Maureen Wingfield

STAFF CONTACT

Mark Moore - Phone: 415-865-4010 Email: mark.moore@jud.ca.gov

LEADERSHIP UPDATES

I. Activities Update since 2/1 kickoff meeting

Response to Audit.

- Justice Bruiniers apologized to the committee for proceeding with the decision to accept the BSA recommendation for third party software verification without consultation with the committee membership. He explained that it was necessary to make that decision prior to scheduled legislative hearings, and that time constraints precluded a conference call for discussion. After discussion, the committee members unanimously agreed with and approved the action.

II. Activities Planned prior to 4/18

III. 4/18 Meeting Agenda

- Focus on re-evaluation of deployment strategies.

**The next CCMS Governance Executive Committee meeting date is April 18, 2011
10:00 AM – 3:00PM.**

Meeting adjourned at 5:00 PM.

Governance Meeting Log

Committee	Date	Time	Format
CCMS Executive Committee	1-Feb	9:00AM - 12:00PM	In-person
General Administrative Advisory	1-Feb	9:00AM - 12:00PM	In-person
Operational Advisory	1-Feb	9:00AM - 12:00PM	In-person
Justice Partner Advisory	1-Feb	9:00AM - 12:00PM	In-person
General Administrative Advisory	18-Feb	4:00PM - 5:30PM	conference call
CCMS Executive Committee	9-Mar	4:00PM - 5:00PM	conference call
Operational Advisory	1-Apr	10:00AM - 3:00PM	In-person
CCMS Executive Committee	18-Apr	10:00AM - 3:00PM	In-person

Project Review Board Charter

FOCUS

Within funding allocations approved by the Judicial Council, and within established guidelines for use of the Special Funds, the Project Review Board (PRB) approves and monitors major business project proposals, approves the budgetary and scope changes of all major branch technology projects, and designates allowances for project funding allocated by the Judicial Branch Technology Portfolio Committee (JBTPC). The projects to be directly overseen by the PRB are generally large branch-wide initiatives. The PRB will indirectly oversee medium and small projects by approving the budget and membership of JBTPC. If needed, the PRB may also cancel or constrain the budgets of specific projects managed by the JBTPC to bring expected costs into alignment with available budgets.

MEMBERSHIP

Membership includes the Chief Deputy Director, the Chief Financial Officer and the Division Director of the Information Service Division. The Chief Deputy Director will serve as committee chair. All members will be voting members of the committee. A Manager or Senior Manager of the Office of Budget Management designated by the Director of the Finance Division will facilitate PRB meetings, and provide meeting notes, but will not be a voting member of the PRB.

DUTIES AND RESPONSIBILITIES

- Approve major technology project proposals.
- Approve any project funding change requests including budget increases for previously approved projects.
- Allocate budget among approved projects.
- Monitor the progress of IT investments and suspend and cancel projects as necessary.
- Resolve escalated issues around policy or resources.
- Approve budget, scope and membership for the JBTPC.
- Recommend establishment of functional steering committees, as needed, to ensure that necessary decisions are being taken to bring costs into alignment with the specified budget.
- Cancel or constrain the budgets of projects overseen by functional steering committees, as needed, to bring costs into alignment with available budgets.
- Report decisions to the Administrative Director of the Courts, and provide periodic updates to the Enterprise-Wide Infrastructure Governance Committee.

ATTENDANCE

The PRB will meet monthly, or as necessary.

The Judicial Council of California, Administrative Office of the Courts

Independent Project Oversight (IPO) and
Independent Verification and Validation (IV&V)
For the CCMS-V4 Development Project

Status Report as of December 31, 2010



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Executive Summary

Realizing the importance of independent oversight for high criticality technology projects, the Judicial Council of California, Administrative Office of the Courts (AOC) hired our firm, Sjoberg Evashenk Consulting, Inc. (SEC) to provide Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) services for the California Case Management System (CCMS)-V4 product currently in development. Working under the oversight of the AOC Internal Audit Services and on behalf of the Judicial Council of California, serving as the CCMS Executive Sponsor, our objectives are to monitor the activities, deliverables, milestones, deadlines, and design of the CCMS-V4 project and communicate status, progress, issues, and challenges to the success of the project as designed. Our monthly IPO/IV&V reports are intended to capture and assess current project activities to determine whether process and procedures employed to build and manage the CCMS-V4 application as planned are followed and adhere to industry standards, as well as that potential risk/issues are known by decision makers at a specific point in time; thus, the monthly items reported are in-flux, continually evolving, and will change over the course of the project.

Period Highlights:

During the month of December, the IPO/IV&V Team continued to discuss and assess the testing effort with the CCMS-V4 Project Team. However, the IPO/IV&V Team cannot currently verify that all of the AOC **accepted and approved** Final Functional Design requirements have been verified/tested during the overall testing effort because the requirements data within the HP Quality Center as of December 31, 2010 does not fully capture the requirements defined in the Final Functional Design documents. The HP Quality Center requirements are business-oriented, scenario-based requirements and are very appropriate for higher level testing, such as PAT, and a supported approach in industry standards such as IEEE. Upon the AOC's acceptance and approval of the Final Functional Design documents, these requirements formed a baseline set of requirements that the CCMS-V4 application must satisfy.

Without complete and verifiable traceability between the Final Functional Design requirements and test cases, the IPO/IV&V Team cannot currently verify that all of the AOC contracted Final Functional Design requirements have been provided as of December 31, 2010. In early January 2011, the IPO/IV&V Team was provided a document related to traceability between the FFD Section 36 identified requirements, FFDV identified requirements, and ClearCase data where we were informed that the requirements validation procedures are now kept. The IPO/IV&V Team will analyze this data to determine whether it provides evidence that the accepted and approved requirements documented in the FFD Section 36 and FFDV documents were tested. The results of our analysis and efforts will be reported in the January 2011 IPO/IV&V report.

The Statement of Work, which reflects the results of the re-planning effort, and identifies the revised project objectives and agreements, had not yet been finalized as of December 31, 2010 and thus, could not be distributed to the IPO/IV&V Team. Once received, the IPO/IV&V Team will be able to review this document.

In addition, the IPO/IV&V Team was informed that the Governance Model had not been finalized and, thus, could not be distributed to the IPO/IV&V Team for review and comment.

Detailed Observations, Impact, and Recommendations

The CCMS Program Management Office (PMO) staff, AOC staff, individual court staff, and Deloitte Consulting continue to practice project management and systems-engineering practices in accordance with industry standards related to the identification and resolution of issues, risks, items for management attention, and modification and change requests. Additionally, the continued diligence employed by the CCMS PMO staff, AOC staff, Court staff, and Deloitte Consulting in addressing issues and following established project management processes has been consistent. As part of our continued IPO/IV&V efforts, we offer the following observations and areas of concern in various project management and technical areas.

Project Oversight Focus Areas

Communication Management:

There do not appear to be any internal project communication concerns noted by the CCMS-V4 Project Team or the IPO/IV&V Team.

Schedule Management:

The schedule is published weekly in the CCMS-V4 Development Services Status Report and the project team appears to be tracking according to the schedule.

Scope Management:

Scope management items raised by the CCMS-V4 Project Team are being actively managed through eRoom.

Risk Management:

No new risks were opened and no risks were closed during the month of December. The Project Management Team appears to be adequately tracking the risks and as of December 31, 2010, the risks identified below by the CCMS-V4 Project Team remain active.

Risk Number	Risk Title	Activity Performed	Target Resolution Date
45	AOC Testing Resources	Although this does not seem to be an issue at this time, this risk will remain open and be reviewed each week.	2-7-11

Risk Number	Risk Title	Activity Performed	Target Resolution Date
51	Stack Upgrade Impact on PAT	<p>The instability of the infrastructure may impact the script execution during PAT, which may reduce their confidence in the application. If the issues are not resolved soon, SAIC may not be able to complete the stack upgrade in the PAT and Stress Test environments which will impact the Stress Test team's ability to complete stress/performance testing before the start of External Components PAT on 5/16/11.</p> <p>In an effort to mitigate this risk, the following actions are being taken:</p> <ol style="list-style-type: none"> 1. Deloitte has acquired an Oracle support contract to obtain higher levels of support required to address outstanding Oracle-related stack issues. 2. Continue to engage Adobe to support resolution of LiveCycle issues. 3. Acquire additional infrastructure team resources to support resolution of stack upgrade issues. 	2-14-11

Issue Management:

No new issues were opened or closed during the month of December. The Project Management Team appears to be adequately tracking the issues and as of December 31, 2010, there were no open issues identified by the CCMS-V4 Project Team.

Resource Management:

The resources necessary for testing are still being identified and consequently Risk 45 (AOC Testing Resources) is being actively worked.

Cost Management:

There are no new issues with respect to Cost Management that have not already been discussed in previous IPO/IV&V reports.

Technical Focus Areas

Quality Management:

The CCMS PMO continues to work with Deloitte management to revise the QA Reports for the project. As of December 31, 2010, a new QA Report was not received by the IPO/IV&V Team for their review.

Quality Architecture:

There are no open issues with System Architecture and the System Architecture Team with Deloitte, AOC, ISD, and other Court members have done a good job of identifying and defining the system architecture as well as architectural tradeoffs, raising issues for resolution, and generally creating a solid CCMS-V4 system architecture.

Configuration Management:

There are no open issues with Configuration Management. Configuration Management for documentation is being well controlled through eRoom and JCC Web Sites that have built-in controls for Configuration Management.

System Engineering Standards and Practices:

Since Deloitte Consulting appears to be following currently accepted systems engineering standards and practices, even as defined in IEEE Standard 1220, there are no system engineering standards and practices concerns at this point in time.

Requirements Identification and Traceability:

There are no new issues with Requirements Identification and Traceability that have not already been discussed in IPO/IV&V previous reports.

Detailed Design Review:

There are no open issues with the Detailed Design Review that have not already been discussed in previous IPO/IV&V reports.

System Development Quality and Progress:

There are no open issues with the System Development Quality and Progress that have not already been discussed in previous IPO/IV&V reports.

Testing Practices and Progress:

The IPO/IV&V Team continued to focus our review on the project's testing practices to ensure that all of the requirements are tested and that there are test cases associated with each requirement, typically more than one. In the November 2010 report, the IPO/IV&V Team reported that they were unable to verify that all of the requirements were in HP

Quality Center. After further discussions with the AOC, the “requirements” in HP Quality Center as of December 31, 2010 are not the requirements from the AOC **accepted and approved** Final Functional Design documents but are instead scenario-based requirements to support higher level testing, such as Product Acceptance Testing. While the IPO/IV&V Team agrees with this approach for higher-level testing, which is also fully supported by industry best practices and IEEE Standards for high-level testing, the IPO/IV&V Team still has a major concern over the verification/testing of all of the Final Functional Design requirements. During conference calls in December 2010, it was identified that this level of testing was performed by Deloitte; however, the IPO/IV&V Team had not yet seen evidence that all (100 percent) of the accepted and approved requirements documented in the Final Function Design documents were tested.

Of major concern for the IPO/IV&V Team is this assurance that all of the AOC accepted and approved requirements were verified and/or tested, either by Deloitte or the AOC. Judging from our review of the contents of the HP Quality Center as of December 31, 2010, it does not appear that the traceability between the Final Functional Design documents and test cases is documented within this tool. In addition, based on the high number of requirements documented in the Final Functional Design documents, 17,000+ pages, it is unlikely and reasonably un-verifiable that the traceability could be completed without the use of an industry standard tool, like having the HP Quality Center synchronized to IBM Requisite Pro since a Microsoft Excel spreadsheet would have taken an enormous amount of time to try to trace requirements to test case, for coverage analysis, and maintain for this high number of requirements.

In early January 2011, we were provided a document related to traceability between the FFD Section 36 identified requirements, FFDV identified requirements, and ClearCase data where we were informed that the requirements validation procedures are now kept. The IPO/IV&V Team will analyze this data to determine whether it provides evidence that the accepted and approved requirements documented in the FFD Section 36 and FFDV documents were tested. The results of our analysis and efforts will be reported in the January 2011 IPO/IV&V monthly report.

In addition, it is the IPO/IV&V Team’s understanding that the long-term supportability, Maintenance and Operations (M&O), would eventually transition to the AOC. At this point, the full set of Final Functional Design requirements, modified as they may be between CCMS-V4 acceptance and the transition, along with the linkage or relationship between requirements and test cases, as well as the test cases should all be transitioned to support the AOC eventual M&O efforts. Right now, the IPO/IV&V Team does not see any of this CCMS-V4 lifecycle data.

Appendix A: Matrix of Areas of Concern (Open)

The matrix below provides a current listing of all open areas of concern, our recommendations, and the action taken by the CCMS-V4 Project Team. As items are resolved, they will be moved to Appendix B. Key statistics are summarized below:

- **There were no new areas of concern identified this month.**
- **The IPO/IV&V Team strongly believes that this project will continue to be a high risk project due to the constraints imposed by the budget, schedule, and resources.**

Item Number	Area of Concern	Recommendation	Action Taken
Apr10.1	QA Report Metrics	Continue the use of metrics in the QA Reports, but include a definition or interpretation of all metrics shown in the reports.	4-2010 – New this month. 5-2010 – There is no change in this action item. 6-2010 – There is no change in this action item. 7-2010 – There is no change in this action item. 8-2010 – There is no change in this action item, although the CCMS-V4 Project Team reported working with Deloitte to change the QA report content. 9-2010 – There is no change in this action item. 10-2010 – There is no change in this action item since no new QA Report has been published. 11-2010 – There is no change in this action item since a new QA Report will not be published until December. 12-2010 – There is no change in this action item since a new QA Report was not received by the IPO/IV&V Team for review during the month of December.

Appendix B: Matrix of Areas of Concern (Closed)

The matrix below provides a listing of all closed areas of concern, our recommendations, and the action taken to resolve the issues by the CCMS-V4 Project Team. Key statistics are summarized below:

- **No areas of concern were closed this month.**

Item Number	Area of Concern	Recommendation	Action Taken
Jul07.1	Aggressive schedule	The schedule should be reviewed to ensure that ample time has been allocated to each phase of the project.	<p>09-2007 - No action taken that SEC is aware of.</p> <p>10-2007 – At this point in the project it is difficult to determine if there is ample time allocated to each phase of the project. This item will remain in a watch status (e.g., once Test Planning activities have begun, it will be easier to determine if enough time is allocated to testing activities).</p> <p>11-2007 to 04-2008 – Although 12 weeks were added to the schedule, there is still concern that there is insufficient time allocated to testing. This item will remain in watch status until the Test Plan deliverable has been reviewed by SEC.</p> <p>05-2008 – There is still concern that there is insufficient time allocated to testing. This item will remain in watch status until the Test Plan deliverable has been reviewed by SEC.</p> <p>06-2008 – There is still concern that there is insufficient time allocated to testing. This item will remain in watch status until the Test Plan deliverable has been reviewed by SEC.</p> <p>07-2008 – There is concern that there is not enough time to complete the review of the FFD. In addition, there is concern that there is insufficient time allocated to testing and that test planning has not been fully engaged. This item will remain in watch status.</p>

Item Number	Area of Concern	Recommendation	Action Taken
			<p>08-2008 – 27 additional days were added to the schedule for review of the FFD. It is unknown at this point whether the additional days are sufficient to allow a thorough review and better ensure the highest quality product possible. Moreover, because test planning is slow to start, SEC still has concerns about the time allocated to the testing phase. This item will remain in watch status.</p> <p>09-2008 – It continues to be unknown at this point whether the review timeframe will be sufficient to allow a thorough review. This item will remain in watch status.</p> <p>10-2008 – It continues to be unknown at this point whether the review timeframe will be sufficient to allow a thorough review. This item will remain in watch status.</p> <p>11-2008 – It continues to be unknown at this point whether the review timeframe will be sufficient to allow a thorough review. This item will remain in watch status.</p> <p>12-2008 – It is unclear how the extended review timeframe will impact the overall schedule. This item will remain in watch status.</p> <p>1-2009 – The Core application, Portals, and Statewide Data Warehouse portions of the FFD will be completed by March 30, 2009. The Data Exchanges portion is expected to be completed by April 15, 2009. This item will remain in watch status.</p> <p>2-2009 – All portions of the FFD are on track for completion by March 30, 2009 and April 15, 2009, respectively. This item will remain in watch status.</p> <p>3-2009 – The Portals and Statewide Data Warehouse will be accepted by March 31, 2009. The Core application will be completed by March 31, 2009. Data Exchanges will not be completed until the end of April. This item will remain in watch status.</p>

Item Number	Area of Concern	Recommendation	Action Taken
			<p>4-2009 – The FFD was signed off May 1, 2009. The Data Exchanges are expected to be completed by May 22, 2009.</p> <p>5-2009 – The Data Exchanges are expected to be completed by June 5, 2009.</p> <p>6-2009 – While the IPO/IV&V Team believes the schedule is aggressive and will remain aggressive for the duration of the project adding to project risk, the RPO and AOC have extended the schedule through contract amendments. At this point, the RPO and AOC have accepted the project risk as neither the schedule nor the budget can be changed.</p>
Aug07.1	JAD Schedule	<p>There does not appear to be a comprehensive schedule of JADs so that participants can plan time accordingly. Thus, Deloitte Consulting should prepare a detailed schedule that sets realistic timeframes needed to JAD each functional area and ensure the schedule is agreed to by all relevant parties.</p>	<p>09-2007 – The schedule should be completed in October 2007.</p> <p>10-2007 – A revised schedule was completed in October 2007. While the schedule provides more details than previous versions, it still does not address the detailed planning that must be conducted to ensure coverage of all functional areas and the workflows associated with each.</p> <p>11-2007 to 04-2008 – JAD scheduling has improved to the point that this is no longer an area of concern. Consequently, this item has been closed. Over the past few months, Deloitte Consulting has been diligent in setting and adhering to its JAD schedule. As the project enter the final design stage, participants appear able to plan time accordingly to ensure they are available to participate in tracks as needed and share their subject matter expertise. Meetings were also held to hear concerns that more time was needed to review developing requirements—resulting in more time added to the overall project development schedule.</p>

Item Number	Area of Concern	Recommendation	Action Taken
Sep07.1	Requirements Gathering	Ensure that a detailed JAD schedule includes a plan for how the workflow inter-relationships will be addressed.	<p>10-2007 – While the workflows and interrelationships have not yet been addressed, the AOC has instituted cross-track meetings as part of the JAD process to identify overlapping issues and better ensure consistency across the tracks where requirements are being gathered.</p> <p>11-2007 to 04-2008– The cross-track meetings have proven to be an essential, needed part of the JAD process to identify overlapping issues and better ensure consistency across the tracks where requirements were being gathered. However, to SEC’s knowledge, the workflows and interrelationships have not yet been addressed.</p> <p>05-2008– To SEC’s knowledge, the workflows and interrelationships have not yet been addressed.</p> <p>06-2008 – The AOC has implemented a requirement review process that will be conducted both vertically (within a given subject area) and horizontally (within a business process that crosses subject areas. This step should help address some of our concerns. However, since the final design is nearing completion, there is little value in fully mitigating this concern.</p>

Item Number	Area of Concern	Recommendation	Action Taken
Oct07.1	Project Oversight Activities	Assign person in role of day to day project management responsible for ensuring that issues are resolved timely, do not impact downstream work efforts, and are not in conflict with other project activities, legal provisions, or branch policy.	<p>11-2007 to 04-2008– It was explained that Bob Steiner, the AOC Project Manager, performs these activities and that a Project Management Consultant familiar with V2 and V3, Sean Yingling, will be assigned to assist the Development Project Manager (Bob). This item will remain in watch status over the next month to ensure the activities are being performed.</p> <p>05-2008– SEC will continue to monitor this item until a Responsibility Matrix indicating the project management component responsibilities that are designated to Sean and Bob is developed. The matrix will ensure that no workload gaps exist.</p> <p>06-2008– To date, a Responsibility Matrix has not been provided to SEC for review.</p> <p>07-2008– SEC will work with Bob Steiner and Sean Yingling to better understand the project management responsibilities.</p> <p>08-2008– Bob and Sean have established a seamless working relationship. Bob has ultimate responsibility for all project management activities. Sean’s focus rests with coordinating the FFD review, reporting to the Steering Committee, and following up on issues with the V4 Court Project Managers.</p>
Oct07.2	JAD Session Documentation	Utilize new template or other mechanism to document detailed JAD Session minutes including areas of discussion, results or actions taken, agreements reached, and issues raised as well as distribute timely for approval.	<p>11-2007 to 04-2008 – Starting in mid-April, the JAD tracks created a new template to ensure consistency across JADs for documenting decisions reached and meeting outcomes. However, since it appears that the new template is only used in isolated instances, this item will remain in watch status over the next month.</p> <p>05-2008 – It is not clear whether an AOC CCMS member will be appointed to monitor and summarize decisions made in the JAD sessions, and subsequently elevate those of potential interest to the Steering Committee, especially those that may require higher level buy-in.</p> <p>06-2008 – Since the final design is nearing completion, there is little value in mitigating this concern.</p>

Item Number	Area of Concern	Recommendation	Action Taken
Oct07.3	Governance Structure and Escalation Process	Clarify and establish the complete governance structure to eliminate confusion related to issue escalation process and decision-making.	<p>11-2007 to 04-2008 – The CCMS Governance Model was distributed to committee members. This item will remain in watch status over the next month to ensure its use.</p> <p>05-2008 – The CCMS Governance Model appears to be in use and effective in allowing participation in project decisions regarding project scope, cost, and schedule.</p>
Apr08.1	Unclear Requirements	<p>Review the requirements to determine the types of clarifications needed for understanding in order to avoid confusion during downstream activities such as coding and preparing for testing.</p> <p>As of our 09-2008 review of the FFD, we have suggested the following additional recommendations:</p> <ol style="list-style-type: none"> 1. Identify and evaluate subjective text in FFD (such as may or could) and clarify within the context of use; 2. Perform a traceability exercise to link use cases to business rules—again to reduce need for individual interpretation; 3. Review business rule part of each section to ensure complete and clear rules have been incorporated into the use case. 4. Evaluate pre and post-conditions to ensure they are correct and complete. 	<p>04-2008 – New this month.</p> <p>05-2008 – It is not clear whether action has been taken on this issue.</p> <p>06-2008 – The AOC has implemented a requirement review process that will be conducted both vertically (within a given subject area) and horizontally (within a business process that crosses subject areas). This item will remain in watch status over the next month to review this process.</p> <p>07-2008 – This item remain in watch status until a better understanding can be achieved and SEC evaluates the review process.</p> <p>08-2008 – SEC will assess this item during their review of the FFD deliverable.</p> <p>09-2008 – SEC has begun to assess this item and will continue to evaluate progress during the AOC/Court review of the FFD deliverable.</p> <p>10-2008 – It is not clear whether action has been taken on this issue. This item will remain in watch status.</p> <p>11-2008 – It is not clear whether action has been taken on this issue. This item will remain in watch status.</p> <p>12-2008 – It is not clear whether action has been taken on this issue. This item will remain in watch status.</p> <p>1-2009 – The RPO Management Team is currently developing plans to mitigate the risk, and identify the impact on the current planned testing effort (more resources or extended duration), as well as the impacts</p>

Item Number	Area of Concern	Recommendation	Action Taken
			<p>to project cost, schedule, required or expected Court functionality, and overall quality. This item will remain in watch status.</p> <p>2-2009 – The RPO Management Team continues to mitigate the risk, and identify the impact on the current planned testing effort (more resources or extended duration), as well as the impacts to project cost, schedule, required or expected Court functionality, and overall quality. This item will remain in watch status.</p> <p>3-2009 – The RPO Management Team continues to discuss the risk, and identify the impact on the current planned testing effort (more resources or extended duration), as well as the impacts to project cost, schedule, required or expected Court functionality, and overall quality. This item will remain in watch status.</p> <p>4-2009 – An updated resource schedule is being developed that will forecast resource needs between now and the beginning integration testing. This item will remain in watch status.</p> <p>5-2009 – An estimate of the number of Court SMEs needed for testing has been provided. However, more SMEs with Family and Juvenile expertise will be needed. This item will remain in watch status.</p> <p>6-2009 – The IPO/IV&V Team has continued to express their concern that the ambiguity surrounding the interpretation of final requirements presents a risk to the construction and testing phases of the project. Data is being captured by the AOC Software Quality Assurance Team during early testing that should assist in defining the extent of the problem and any future concerns will be raised as part of the testing assessment.</p>

Item Number	Area of Concern	Recommendation	Action Taken
Dec08.1	Standardization and Configuration	It is not clear what impact the Standardization and Configuration requirements will have on the FFD and on long-term maintenance of the application. Once all Standardization and Configuration requirements have been defined, the requirements should be traced back into the FFD and reviewed again.	<p>12-2008 – New this month.</p> <p>1-2009 – In the month of January, a Court Executive Management work group was established to address the concerns surrounding the standardization and configuration requirements.</p> <p>2-2009 – The RPO Management Team reported that the Standards and Configuration Management Group will determine whether configurable items are statewide standards or local configurations and that these decisions will not impact the FFD.</p>
Dec08.2	Single Point of Contact for ISD	A single point of contact should be established for AOC that can track and manage daily progress on ISD-related activities	<p>12-2008 – New this month.</p> <p>1-2009 – It is not clear where the roles and responsibilities are documented and whether David Corral, selected as the single point of contact, has the authority to make decisions on behalf of ISD. Virginia Sanders-Hinds will work with IPO/IV&V to better understand the ISD roles and responsibilities within the project.</p> <p>2-2009 – It was clarified that Virginia Sanders-Hinds is the single point of contact with the authority to make decisions on behalf of ISD.</p>
Mar09.1	Justice Partners (Interfaces) Plan	Determine the state and progress of the common “State” interfaces which are currently being reviewed by the Justice Partners and assess the progress for project schedule impact.	<p>4-2009 – The “State” interfaces are being addressed with the Justice Partners. ISD has stated that the schedule impact will be evaluated once the Data Exchanges deliverable has been signed off and the actual interfaces have been finalized and agreed to. This item will remain in watch status.</p> <p>5-2009 – The “State” interfaces are being addressed with the Justice Partners at both the State and local levels. ISD has stated that the schedule impact will be evaluated once the Data Exchanges deliverable has been signed off (now anticipated for 6-5-09) and the actual interfaces have been finalized and agreed to. This item will remain in watch status.</p>

Item Number	Area of Concern	Recommendation	Action Taken
			<p>6-2009 – The “Statewide” interfaces are being addressed with the Justice Partners. – A plan has been defined for day-one critical exchanges and each Justice Partner will be given a Microsoft Project Plan to follow. The AOC will continue to work closely with each Justice Partner to anticipate any potential challenges. However, it is not clear if and when the Justice Partners will participate in PAT. This item will remain in watch status.</p> <p>7-2009 - The CCMS-V4 Project Team has clarified that the Statewide Justice Partners will participate in PAT. This item will be closed out.</p>
Mar09.2	Document Management Plan	Determine the state and progress of the agnostic “generic” interface to support any existing document management solution and assess the progress for project schedule impact.	<p>4-2009 – The “generic” interface is currently under development. This item will remain in watch status. The RPO Management Team has stated that the requirements for document management were gathered during design and have been signed off. The AOC is in the process of standardizing the document management interface for all courts but is unsure whether this effort will be complete prior to Go Live for CCMS-V4. This item will remain in watch status.</p> <p>5-2009 – The “generic” interface is currently under development. This item will remain in watch status.</p> <p>6-2009 – The “generic” interface is currently under development and will have a solution that supports the courts at Go Live. Currently, the early adopter court uses FileNet and is scheduled to test this interface during PAT. For each of the remaining Courts, the agnostic “generic” document management interface will be finalized, if needed, during the deployment effort. This item will remain in watch status.</p> <p>7-2009 – The CCMS-V4 Project Team has clarified that the Lead Courts which use FileNet are scheduled to test this interface during PAT. This item will be closed out.</p>

Item Number	Area of Concern	Recommendation	Action Taken
Aug10.1	PAT Plan	Either modify the PAT Plan or establish risks for each of the points identified by IPO/IV&V in this report and implement appropriate corrective actions to mitigate the risks.	<p>8-2010 – New this month. On September 15, 2010, the IPO/IV&V Team received a revised PAT Plan, Version 1.1, dated September 9, 2010 for review that may address some of the IPO/IV&V areas of concern.</p> <p>9-2010 – The IPO/IV&V Team is reviewing the current version, 1.3, of the PAT Plan, which we know from our preliminary assessment address some of the areas of concern. Until we complete our review, the Item will remain open.</p> <p>10-2010 – The IPO/IV&V Team reviewed version 1.4 of the PAT Plan and found that all previous concerns have been remedied. This item will be closed.</p>

Appendix C: Project Oversight Review Checklist

To assist us in determining whether the CCMS-V4 project is on track to be completed within the estimated schedule and cost, the Project Oversight Review Checklist is used to identify and quantify any issues and risks affecting these project components.

The checklist format provides a quick reference for the assessment of the project management practices and processes in place over the CCMS-V4 project and will assess the adequacy or deficiency of the area. Further, the checklist may provide comments on the specific items reviewed, interviews conducted, and general practices observed for requirements presented under the five categories identified below. These requirements are consistent with industry standards and accepted best practices such as the Project Management Institute (PMI)'s Project Management Body of Knowledge (PMBOK) and the Institute of Electrical and Electronic Engineers (IEEE) standards. Use of these checklists will assist us in commenting on the effectiveness of the project activities.

- Planning and Tracking
- Procurement
- Risk Management
- Communication
- System Engineering

No updates were made to the Project Oversight Review Checklist this month; the next update is scheduled for the February or March 2011 time period.

Project Oversight Review Checklist

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Have the business case, project goals, objectives, expected outcomes, key stakeholders, and sponsor(s) identified and documented?	X		The business case has been finalized. The project goals, objectives, and expected outcomes are documented in the Deloitte Consulting Statement of Work. The key stakeholders and sponsors are identified and documented in the Project Management Plan for CCMS-V4.
Has a detailed project plan with all activities (tasks), milestones, dates, and estimated hours by task loaded into project management (PM) software? Are the lowest level tasks of a short duration with measurable outcomes?	X		The project plan that has been approved is loaded into Microsoft Project. Deloitte Consulting will update the schedule with construction and testing details after the requirements are complete.
Is completion of planned tasks recorded within the PM software?	X		Completion of milestones is tracked within Microsoft Project.
Are actual hours expended by task recorded at least monthly within PM software?		X	Actual hours for Deloitte Consulting staff are tracked weekly within Playbook Navigator, but are not shared with the AOC as this is a fixed price development contract. The AOC has historically not tracked this information.
Are estimated hours to complete by task recorded at least monthly within PM software?		X	Estimated hours to complete for Deloitte Consulting staff are tracked weekly but are not shared with the AOC as this is a fixed-price development contract. Any deviations occurring to planned dates are discussed at an internal weekly meeting between AOC and Deloitte Consulting.
Is there a formal staffing plan, including a current organization chart, written roles and responsibilities, plans for staff acquisition, schedule for arrival and departure of specific staff, and staff training plans?	X		There is a formal staffing plan for Deloitte Leads that is shared with the AOC. Deloitte Consulting tracks internal project staffing with respect to acquisition, schedule for arrival and departure of specific staff, and staff training plans. The AOC does not currently have a CCMS-V4 Staffing Plan; staff are allocated at the CCMS level and not at the specific project level.
Have project cost estimates, with supporting data for each cost category, been maintained?	X		While development costs are tracked internally by Deloitte Consulting, they are not shared with the AOC since this is a fixed-price development contract. The AOC tracks the project budget, monies encumbered, and monies expended to date in an Access database.
Are software size estimates developed and tracked?	X		Deloitte Consulting has included estimates for Final Design, Final Construction, Testing, and Conversion.
Are two or more estimation approaches used to refine estimates?	X		A Bottom Up estimate is performed by the Deloitte Consulting Project Manager and a Top Down estimate is performed by the Lead.
Are independent reviews of estimates conducted?	X		There are multiple internal reviewers consisting of Deloitte Consulting, AOC, and Court staff.
Are actual costs recorded and regularly compared to budgeted costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. Currently, AOC costs are tracked at the overall CCMS level. At this point, a daily (or on-demand) Access database report can be printed showing project budget, monies encumbered, monies expended to date, and monies forecasted to be spent.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Is supporting data maintained for actual costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. Yet, the CCMS PMO has invoice level data to support its actual cost data tracked in its Access database.
Is completion status of work plan activities, deliverables, and milestones recorded, compared to schedule and included in a written status reporting process?	X		This information is reported weekly, monthly, and quarterly.
Are key specification documents (e.g. contracts, requirement specifications and/or contract deliverables) and software products under formal configuration control, with items to be controlled and specific staff roles and responsibilities for configuration management identified in a configuration mgmt plan?	X		The CCMS-V4 Configuration Management Plan outlines the process and procedures followed for Configuration Management.
Are issues/problems and their resolution (including assignment of specific staff responsibility for issue resolution and specific deadlines for completion of resolution activities), formally tracked?	X		This information is tracked in eRoom and in the weekly, monthly, and quarterly status reports.
Is user satisfaction assessed at key project milestones?		X	Deloitte Consulting has stated that user satisfaction is assessed at key project milestones in the form of deliverable review. All deliverable comments are logged, reviewed, and categorized to indicate if a response is needed. According to Deloitte Consulting, all defects or other comments that require a response are addressed and tracked through closure. Other validation processes include proof of concepts, UI prototypes, design sessions, design council sessions, and cross track meetings. As such, Deloitte Consulting believes that acceptance of the deliverable is evidence of user satisfaction. While there are no satisfaction surveys used or assessments performed at key project milestones, the AOC agrees that there are several opportunities to talk through and resolve deliverable disagreements on a case by case basis.
Is planning in compliance with formal standards or a system development life-cycle (SDLC) methodology?	X		Planning is in compliance with a formal system development life-cycle (SDLC) methodology.
Is there a formal enterprise architecture in place?		X	The CCMS-V3 architecture will be updated to support CCMS-V4. At this point, the IPO/IV&V Team has not seen documentation of the enterprise architecture; however, a meeting to discuss the architecture with the Enterprise Architect, who is actively involved in the project, will be scheduled.
Are project closeout activities performed, including a PIER, collection and archiving up-to-date project records and identification of lessons learned?	X		Project Closeout activities are planned to occur and we will evaluate and comment whether the planned activities occurred at the project closeout. In the interim, Lessons Learned sessions are being conducted at various project phases to identify possible process improvements.

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Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Procurement			
Are appropriate procurement vehicles selected (e.g. CMAS, MSA, "alternative procurement") and their required processes followed?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Is a detailed written scope of work for all services included in solicitation documents?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Are detailed requirement specifications included in solicitation documents?	X		Detailed requirements were included in Exhibit B of the Statement of Work. These will be expanded upon during Detailed Design. Thus, we will review or evaluate those requirements when developed.
Is there material participation of outside expertise (e.g. DGS, Departmental specialists, consultants) in procurement planning and execution?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. For ongoing SOWs, independent third-party vendors are used to review and recommend procurement planning and execution practices.
For large-scale outsourcing, is qualified legal counsel obtained?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. The AOC utilized outside counsel for the V4 Development Contract.
Risk Management			
Is formal continuous risk management performed, including development of a written risk management plan, identification, analysis, mitigation and escalation of risks in accordance with DOF/TOSU Guidelines, and regular management team review of risks and mitigation progress performed?	X		The Risk Management Plan contains the process and procedures for risk. Risks are tracked within eRoom and are discussed during the weekly and monthly status meetings. In addition, the Deloitte Consulting Project Manager meets with the CCMS Product Director weekly to discuss risks.
Does the management team review risks and mitigation progress at least monthly?	X		The management team reviews risks at weekly and monthly status meetings.
Are externally developed risk identification aids used, such as the SEI "Taxonomy Based Questionnaire?"		X	Additional risk identification aids are internal to Deloitte Consulting and are not shared with the AOC. The AOC is not using any other risk identification aids.
Communication			
Is there a written project communications plan?	X		This information is contained in the CCMS-V4 Communication Management Plan.
Are regular written status reports prepared and provided to the project manager, department CIO (if applicable) and other key stakeholders?	X		Written weekly, monthly, and quarterly status reports are prepared and discussed with the project management team as well as the Steering Committee/Oversight Committee. In addition, there are executive meetings held to brief the Lead Court CIOs.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Communication			
Are there written escalation policies for issues and risks?	X		This CCMS-V4 Project Management documentation contains this information.
Is there regular stakeholder involvement in major project decisions, issue resolution and risk mitigation?	X		The Product Management Group has primary responsibility for working through the issues and risks. Additionally, issues and status are shared with lead court information officers, court executive officers at bi-weekly steering committee meetings as well as with selected presiding judges at the quarterly oversight committee meetings. The CCMS PMO is also working diligently to seek input and have stakeholders assume an active ownership role in the development process.
System Engineering			
Are users involved throughout the project, especially in requirements specification and testing?	X		AOC and Court staff are planned to be involved from requirements gathering through testing and into implementation.
Do users formally approve/sign-off on written specifications?	X		The requirements will be approved by the AOC and Court staff.
Is a software product used to assist in managing requirements? Is there tracking of requirements traceability through all life-cycle phases?	X		The CCMS PMO has reported that Deloitte Consulting is using Clear Quest and Clear Case to manage defects and Rational Requisite Pro to track requirements.
Do software engineering standards exist and are they followed?	X		This CCMS-V4 development standards documentation has been reviewed by SEC and found to be adequate.
Is a formal system development life-cycle (SDLC) methodology followed?		X	Deloitte is using an overlapped waterfall SDLC as evidenced by the structure of their project plan and the manner in which activities are performed. CMMI Level 3 requirements require that a defined, standard, consistent process and process measurement be followed. This would require that: <ul style="list-style-type: none"> • Technical processes are defined in writing; • Project roles are clearly defined; • Staff are trained in standard methods and process activities before they are assigned to roles; and • Technical management activities are guided by defined processes. It is not clear where the processes and roles are documented and whether the CCMS-V4 Project is CMMI Level 3 compliant.
Does product defect tracking begin no later than requirements specifications?	X		Product defect tracking occurs during deliverable review. Users submit defects by entering comments in the deliverable. Each defect is tracked to closure within the deliverable. Any corresponding response is attached to the original defect in the body of the deliverable. Before approval of the deliverable, the AOC confirms that all defects have been appropriately addressed.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
System Engineering			
Are formal code reviews conducted?		X	Two levels of code reviews are conducted. Automated reviews of code are conducted using the JCART tool which checks for and highlights unacceptable coding practices. Any issues identified through the JCART execution have to be resolved before the code can be included in the build. Additionally, manual code reviews are conducted by the Architecture Leads (Technical Analysts, Development Leads and the Framework Team). Code review checklists are created and stored in ClearCase. Deloitte should implement a process for ensuring that the coding standards are adhered to as opposed to the AOC assessing the compliance after completion.
Are formal quality assurance procedures followed consistently?	X		The quality assurance documentation was updated to include CCMS-V4. As more QA related data is collected and reported by Deloitte Consulting, the IPO/IV&V Team will be reviewing these reports to assess how data is represented in the reports—such as through metrics—and identify issues with processes if the metrics indicate negative trends.
Do users sign-off on acceptance test results before a new system or changes are put into production?		X	AOC and the Court staff will sign-off on acceptance test results. Acceptance criteria have been established as 0 Severity-1 incidents, 0 Severity-2 incidents, and not more than 50 Severity-3 incidents.
Is the enterprise architecture plan adhered to?		X	The CCMS-V3 architecture will be updated to support CCMS-V4. At this point, the IPO/IV&V Team has not seen documentation of the enterprise architecture; however, a meeting to discuss the architecture with the Enterprise Architect, who is actively involved in the project, will be scheduled.
Are formal deliverable inspections performed, beginning with requirements specifications?	X		All deliverables are approved by the AOC and Court staff.
Are IV&V services obtained and used?	X		SEC has been hired to perform IV&V.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Appendix D: IPO/IV&V Project Scorecard

For December 1, 2010 – December 31, 2010 Time Period

Process Area	JUL 2010	AUG 2010	SEP 2010	OCT 2010	NOV 2010	DEC 2010	REMARKS
Communication Management							Day-to-day internal project communication continues to be strong.
Schedule Management							The schedule remains aggressive.
Scope Management							Project scope is managed and controlled through a variety of avenues.
Risk Management							Risks are reported, discussed, and managed on a weekly basis.
Issue Management							Issues are discussed/reported weekly at various project management and Executive Committee meetings.
Resource Management							AOC and Deloitte's level of project resources are being defined and appear adequate.
Cost Management							ISD costs and CCMS PMO costs are maintained in separate databases and there is no effort to combine these in the near future.
Quality Management (Client Functionality)							We are unable to conclude on the quality of the client functionality due to the absence System test defect data related to Deloitte's execution of the System Test scripts.
Quality Architecture							Quality Architecture is currently adequately defined from an industry-sound SEI approach.
Configuration Management							CM, for documentation, is being well controlled through the eRoom and JCC web sites that have built-in controls for CM.
System Engineering Standards and Practices							Deloitte Consulting appears to be following currently accepted systems engineering standards and practices.
Requirements Identification and Traceability							The IPO/IV&V Team has concerns with the lack of traceability between use cases and business rules.
Detailed Design Review							The Technical Design documentation was delivered to the CCMS PMO, but is an artifact and not a deliverable. Therefore, the Detailed Design cannot be assessed.
System Development Quality and Progress							The technical architecture and design is proceeding on the defined schedule with only minor changes.
Testing Practices and Progress							Testing continues to be a concern.

	Green – On Track
	Yellow – Warning
	Red – Significant Problems
↑ ↓	- - - -

Appendix E: IPO/IV&V Background, Scope, and Methodology

The California Case Management System (CCMS) is a statewide initiative to bring the courts together to use one application for all case types. CCMS is managed by the Administrative Office of the Courts (AOC) Southern Regional Office (SRO) in Burbank with the participation of the AOC Information Services Division and superior courts in the planning, design, and development sessions. Over the next 2 years, the AOC plans to expand the functionality of the current interim CCMS applications and develop the next phase—CCMS-V4—that will include family law, juvenile dependency, and juvenile delinquency case types as well as incorporate the V2 and V3 products and update the system’s technical architecture and environments. Toward this end, the AOC has executed a contract with Deloitte Consulting to design and develop the V4 component—yet, the success of the V4 Project relies on every party working in harmony toward common goals.

Background:

For all high criticality technology projects such as CCMS-V4, industry best practices strongly encourage independent oversight. Ideally, the independent project oversight process begins during the feasibility study and continues through project closeout. Deficiencies, issues, findings, and recommendations identified by the oversight process should be incorporated into the appropriate project management processes. As the project progresses, the independent review and assessment approach should track the disposition of findings and recommendations in terms of corrective action and implementation of oversight recommendations.

An Independent Project Oversight (IPO) effort is intended to audit system development, acquisition, and maintenance controls to assure a structured project management methodology is adhered to and managed through activities such as project scheduling, risk management, and change management. A primary goal is to provide impartial oversight of the responsibilities and activities of the project office. Similarly, the Independent Verification and Validation (IV&V) provides unbiased oversight of the technical deliverables such as program code, test scripts and results, and network configurations and processes used to create the product. It is intended to evaluate products against system requirements and whether processes used follow the intended life cycle methodology.

However, these efforts are not designed to guarantee success of the CCMS-V4 application nor will the IPO/IV&V efforts ensure the completeness of business requirements designed by the CCMS-V4 team or the ability of the end system functionality of the application built to meet court needs statewide.

Appendix E: Continued

Scope and Methodology

In July 2007, the Judicial Council of California, Administrative Office of the Courts (AOC) hired our firm, Sjoberg Evashenk Consulting, Inc. (SEC) to provide Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) Services over the California Case Management System (CCMS) V4 product currently in development. Working under the oversight of the AOC Internal Audit Services and on behalf of the Regional Administrative Director and CCMS Product Director at the Southern Regional Office (SRO), our objectives are to monitor the services, deliverables, milestones, deadlines, and functionality of the CCMS-V4 project and communicate status, progress, issues, and potential challenges to the success of the project as designed. The IPO/IV&V efforts are designed to give assurance, from an independent and unbiased perspective, that the process and procedures employed to build and manage the CCMS-V4 application as planned are followed and adhere to industry standards as well as that potential risks and issues are known by project decision makers. The IPO/IV&V effort cannot require change, but any identified and reported findings and results should be considered by the project sponsors.

To provide appropriate and independent review, analysis, and oversight on the CCMS-V4 project, SEC will generally provide monitoring efforts from July 2007 through April 30, 2011 relative to the following areas:

- Project management and System Development Life Cycle (SDLC) processes, procedures, and communication
- Adherence to schedule
- Techniques and processes employed for risk management, issue management, and communication strategies
- Requirements gathering as part of JAD Sessions
- Completeness of Functional Design and Technical Design
- Traceability of requirements from one SDLC phase to the next
- Testing techniques and processes employed
- Compliance with project management and technical contract requirements

However, the IPO/IV&V efforts will not review or address the completeness of the business requirements being developed cooperatively by Deloitte Consulting, SRO staff, and court Subject Matter Experts (SMEs) as part of functional design joint application development (JAD) sessions. While business requirements will be reviewed from a technical perspective to assess whether they contain sufficient levels of specificity to ensure proper coding and end-user functionality as planned, SEC cannot ensure that all critical business processes and steps are appropriately captured in the business requirements to meet court needs.

Appendix E: Continued

Additionally, our efforts do not address the management surrounding the application developer's budget. Because the AOC awarded Deloitte Consulting a fixed-price contract, a time and material type review and analysis is not warranted in this situation.

Moreover, to provide appropriate and independent review, analysis, and oversight over the CCMS-V4 project, the following parameters need to be met in allowing SEC to perform activities unimpeded:

- Understanding/agreement by all project participants on our independent role and importance of timely information sharing and meeting scheduling;
- Inclusion as a seamless member of the project team;
- Timely knowledge of and inclusion in all project meetings;
- Commitment from all project participants to attend meetings scheduled with the IPOC/IV&V;
- Unfiltered access to all documents, data, deliverables, and personnel deemed relevant by the IPOC/IV&V Team; and
- Full disclosure of project knowledge including items such as project issues, risks, change requests.

If there are challenges in adhering to those parameters, we will escalate our issues and/or concerns to the Internal Audit Services Manager, CCMS Product Director, RAD, CCMS Steering Committee, and CCMS Oversight Committee as necessary or appropriate. Working in conjunction and coordination with the AOC's Internal Audit Services to complete this Statement of Work, we will perform the following tasks:

IPO Specific Tasks

- Conduct meetings, as needed, with key project staff to obtain first-hand information as to the objectives of the project, identify the key players and their roles, and the interrelationship and communication structure between all parties as well as review documents such as organization charts and governance structure.
- Attend meetings, as needed, key court/AOC and vendor personnel to obtain information on their responsibilities, objectives, communications, and schedules.
- Conduct observations, on-going interviews, and document examinations to monitor meeting timelines, deliverables, and milestones as described in the schedule.
- Review project planning/management deliverables and documentation to comment on compliance with industry best practices and adherence to documented project processes
- Perform initial assessment of Project Management processes and documents (project management plan, communication plan, change management plan, implementation plan, etc).

Appendix E: Continued

- Participate in certain critical requirements gathering and physical design sessions (JAD sessions) as deemed necessary or at the direction of the Internal Audit Services Manager to provide expertise courtroom operations (family law, criminal, and traffic), finance, distributions, and audit as well as on the V2 and V3 retrofit and validate processes are being followed.
- Provide an Implementation Strategy Review. This review would consist of an analysis of the implementation approach and the action plan for accomplishing implementation.

IV&V Specific Tasks

- Review Requirement Traceability and Contract at end of Functional Design, Technical Design, and Test Preparation.
- Provide a Functional Design and Requirements Traceability Review. The Functional Design review would consist of an analysis of the Functional Design Specification to assess the readability, consistency, and testability of the design. The Functional Design review will identify issues such as non- testable requirements, vague requirements, requirements that are in conflict or not consistent with each other, etc. The Requirements Traceability review will ensure that all of the contractual requirements have been addressed and are accounted for.
- Provide a Technical (software) Design and Requirements Traceability Review. The Technical Design review would consist of an analysis of the Technical Design Specification to assess the readability, consistency, and testability of the technical design as well as identification of any potential weaknesses in the design. The Technical Design review will identify where the Technical Design may be in conflict with the Functional Design. The Requirements Traceability review will ensure that the design has addressed all of the functional requirements.
- Provide a Test Methodology and Requirements Traceability Review. The Test Methodology review would consist of an analysis of the Test Methodology and a sampling of test scripts which will be traced to the requirements and to the design specification as well as reviewing the data elements necessary for the scripts. The Requirements Traceability Review will ensure that all of the test cases/scripts have been developed to test the design and the functional requirements.
- Review a statistically valid sample of source code (coded based on requirements documented in JAD sessions). Approximately 40 modules will be reviewed which would provide early feedback on compliance to coding standards and comparisons to the design requirements.

Appendix E: Continued

- Review a statistically valid sample of test scripts (unit, integration, system, user acceptance, product acceptance) for compliance with requirements from both a technical perspective and from a court operations perspective (testing enough scenarios/scripts covering critical and most frequent business cases both on a positive/ideal flow and on an exception basis).

IPO/IV&V Combined Tasks

- Assess Systems Development Life Cycle (SDLC) practices to comment on compliance with industry best practices and adherence to documented project processes.
- Review agreed-upon vendor deliverables including, but not limited to Functional Design, Technical Design, Test Methodology, Implementation Strategy, V2 Requirements and V3 Requirements, to comment on compliance with Deliverable Expectations Document (DED).
- Identify and assess any new or ongoing challenges, barriers, risks, or issues.
- Attend meetings, as needed, where deliverables, strategies, timelines, and status are being considered.
- Maintain a log tracking IPO/IV&V issues that delineates any challenges, barriers, risks, issues, defects, milestones changed or missed, and observations warranting discussion and monitoring; monitor the resolution of such issues; document the resolution and closure of each matter.
- Conduct bi-weekly briefings with the RAD and designated Project Manager(s) discussing all previous work and any updates or new developments.
- Compile the results of the IPO/IV&V monitoring efforts in writing. In addition to compliance issues, the report will also contain any other significant findings, conclusions, and recommendations including the identification of risks, lessons learned, best practices, or performance exceeding minimum requirements as well as comment on severity or criticality and impact or consequence of items discussed.
- Ascertain and report on follow-up efforts taken on corrective actions needed and implementation of oversight recommendations.
- Provide reports to the RAD and designated Project Manager(s) on a monthly basis, or more frequent if necessary, based on project stage criticality.

Appendix F: IPO/IV&V Activities - Performed & Planned

Completed IPO/IV&V Activities for December 2010

During December, the IPO/IV&V Team performed the following activities:

- Monitored QA Metrics;
- Monitored Re-planning efforts;
- Monitored Testing Efforts through HP Quality Center;
- Discussed HP Quality Center data and different method of tracing requirements with the AOC Testing staff
- Attended weekly and monthly Project Management Meetings, weekly Technical Architecture Meetings, and monthly Steering Committee Meetings, as well as participated in CCMS-V4 IPO/IV&V Project Meetings;
- Performed analysis of areas in Project Oversight Review Checklist Appendix C; and
- Identified and tracked potential risks, observations, and issues as well as discussed and prepared monthly IPO/IV&V written status reports.

Planned IPO/IV&V Activities for January 2011

The IPO/IV&V Team plans to conduct the following activities over the next month:

- Attend, observe, and participate in a variety of CCMS-V4 meetings including weekly Project Management Meetings, monthly Project Management Meeting, CIO Meetings, and monthly IPO/IV&V Project Meeting;
- Attempt to identify schedule for and attend new CCMS Management Committee meetings and new CCMS Executive Committee meetings, as well as identify the composition of the committee members;
- Review technical documents prepared and discussed at weekly meetings as well as other documents distributed as part of weekly and monthly meetings;
- Continue review and comment on the Testing Documentation in terms of sufficiency of detail including implementation of integration test plan and PAT plan;
- Monitor results of product testing, when started, in terms of progress in script executions, frequency and severity of defects identified, and resolution of defects;
- Continue review of HP Quality Center data and investigate different method of tracing requirements as suggested by the AOC Testing staff including review of documents related to traceability between the FFD Section 36 identified requirements, FFDV identified requirements, and ClearCase data where the requirements validation procedures were kept; and
- Prepare monthly IPO/IV&V status report that identifies and tracks new risks or issues as well as accomplishments and review prior issue resolution.

The Judicial Council of California, Administrative Office of the Courts

Independent Project Oversight (IPO) and
Independent Verification and Validation (IV&V)
For the CCMS-V4 Development Project

Status Report as of January 31, 2011



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Executive Summary

Realizing the importance of independent oversight for high criticality technology projects, the Judicial Council of California, Administrative Office of the Courts (AOC) hired our firm, Sjoberg Evashenk Consulting, Inc. (SEC) to provide certain Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) services for the California Case Management System (CCMS-V4) product currently in development. Working under the oversight of the AOC Internal Audit Services, our objectives are to monitor the activities, deliverables, milestones, deadlines, and design of the CCMS-V4 project and communicate status, progress, issues, and challenges to the success of the project as designed.

Our monthly IPO/IV&V reports are intended to capture and assess current project activities to determine whether process and procedures employed to build and manage the CCMS-V4 application as planned are followed and adhere to industry guidelines, standards and best practices, as well as that potential risk/issues are known by decision makers at a specific point in time; thus, the monthly items reported are in-flux, continually evolving, and change over the course of the project.

Period Highlights:

During the month of January 2011, the IPO/IV&V Team primarily focused on requirements traceability, Deloitte's re-plan efforts, and the new CCMS Governance Model as discussed below.

1. The IPO/IV&V Team continued to discuss and assess the testing effort with the CCMS-V4 Project Team. Many documents were prepared and shared by Deloitte Consulting to assist in the IPO/IV&V task to ensure all approved and accepted requirements are being tested in accordance with best practices. Initially, after a meeting between the IPO/IV&V Team, the CCMS Project Management Office (PMO), AOC, and Deloitte, the IPO/IV&V Team was directed to the HP Quality Center tool to review the requirements as the IPO/IV&V Team was informed that this was the repository where the requirements are identified and the linkages between the requirements and the test case(s) that test them reside and are documented.

The first step the IPO/IV&V Team performed was to verify that the requirements documented in HP Quality Center were the same as the ones documented in the Final Functional Design (FFD) Table of Contents (version 6) that lists accepted and approved requirements and the FFDV (an intermediary tool used by Deloitte to further define FFD requirements into units of work for coding purposes). Yet, we were not able to verify that requirements accepted and approved by the CCMS PMO were the same as those used in the FFDV and/or HP Quality Center. Specifically, for the 1,764 unique requirements in the FFD Table of Contents, 191, or 10.8 percent, cannot be verified to exist within the HP Quality Center set of requirements. For the 3,491 unique FFDV requirements, 257, or 7.4 percent, cannot be verified to exist in the HP Quality Center. As such, the IPO/IV&V Team is concerned that the requirement sets appear to be different in various tools being utilized and, thus, the IPO/IV&V Team questions whether a "requirements master/baseline" set exists and if

all other development and testing tool repositories are synchronized with this “requirements master/baseline”. On January 10, 2011, the IPO/IV&V Team requested Deloitte provide us with the location of the “requirements master/baseline” and have not received an adequate response as of the date of this report.

In addition, the IPO/IV&V Team reviewed the HP Quality Center to verify that all requirements had an associated test case and that those test cases were executed. Specifically, the IPO/IV&V Team generated a report that identifies the number of requirements that have test cases linked to the requirement. The result shows that 1,101, or 22.83 percent, of the 4,823 requirements documented in HP Quality Center do not have a test case(s) for the requirement. While it is agreed between all parties that not all requirements will have a test case as some requirements are more general in nature, this high number still suggests that some requirements may not have test cases¹.

2. In terms of the project re-planning effort, the Deloitte Statement of Work, which the IPO/IV&V Team was informed reflects the documented results of the re-planning effort as discussed in weekly project management meetings as well as identifies the revised project objectives and agreements, was not fully implemented until mid-January 2011. The IPO/IV&V Team has been requesting a copy of the documentation to support the weekly discussions since February 2010. On February 10, 2011, the IPO/IV&V Team received the most recent amendment to the Deloitte Consulting contract with the AOC; the IPO/IV&V Team will review the document and comment in the February 2011 IPO/IV&V Report. Although, at this point, the re-plan efforts have been completed and, thus, the IPO/IV&V Team’s review is after-the fact.
3. The revised CCMS Governance Model dated November 2010 was provided to the IPO/IV&V Team during the month of January and was subsequently reviewed. Receiving reports such as this after they are completed and approved again limits the IPO/IV&V Team’s ability to provide constructive comments before implementation. In general, the CCMS Governance Model clarifies certain elements such as governance committee structure, composition, duties, terms of service and voting provisions. For instance, the Model provides appropriate escalation authority to the Administrative Director of the Courts and to the Judicial Council of California; yet, is unclear with respect to whether the final CCMS decision-making authority rests with the CCMS Executive Committee or with the Administrative Director of the Courts and Judicial Council of California.

In addition, the process for review of the monthly IPO/IV&V reports by the CCMS General Administrative Advisory Committee is unclear in the document. The CCMS Governance Model states that the reports are reviewed by the CCMS General Administrative Advisory Committee (CCMS GAAC), but no mention is made whether these reports are also provided to or reviewed by the CCMS Justice Partner

¹ HP Quality Center actually reflects ~25% of the requirements without test cases, but many of the requirements are not actual requirements due to the failure to use requirement tags/attributes that would identify or distinguish requirements from non-requirements such as headers, etc.

Advisory Committee or the CCMS Operational Advisory Committee for issues that pertain to their duties. The CCMS Executive Committee receives a summary from the CCMS GAAC according to the duties statement but there is no mention of any reporting to the Administrative Director of the Courts and the Judicial Council of California. This would include any duties associated with the statutorily required reporting under Government Code Section 68511.8(b). Providing the reports to the Judicial Council of California would ensure compliance with the recommendation of the California Technology Agency (formerly known as the OCIO) in its 2010 CCMS Review report that stated that “all oversight reports should be publicly available.”

We noted that the CCMS Governance Model only made reference to the IV&V portion of the reports, but should also discuss the IPO component as well. Additionally, the CCMS GAAC duties do not discuss any other audit reports that might affect CCMS such as the Bureau of State Audits, the State Controller Office audits of courts (especially concerning distributions), or AOC Internal Audit Services reports.

Detailed Observations, Impact, and Recommendations

The CCMS PMO staff, AOC staff, individual court staff, and Deloitte Consulting continue to practice diligence in conducting project management and systems-engineering activities and processes as established specific for the CCMS-V4 project and industry guidelines, standards, and best practices. As part of our continued IPO/IV&V efforts, we offer the following observations and areas of concern related to various project management and system/software development technical areas.

Project Oversight Focus Areas

Communication Management:

The revised CCMS Governance Model dated November 2010 (approved by the Judicial Council Executive and Planning Committee on December 17, 2010 and implemented in mid-January 2011) was provided to the IPO/IV&V Team on January 21, 2011. In general, the CCMS Governance Model clarifies certain elements such as governance committee structure, composition, duties, terms of service and voting provisions. Additionally, the CCMS Governance Model provides appropriate escalation authority to the Administrative Director of the Courts and to the Judicial Council of California. This is a critical component for a project of this size and magnitude. However, the document is unclear as to whether the final decision-making authority rests with the CCMS Executive Committee or with the Administrative Director of the Courts and Judicial Council of California.

For instance, CCMS Governance Model Exhibit A – CCMS Executive Committee does not indicate a final decision-making authority for the Administrative Director of the Courts and the Judicial Council of California since they are not represented on Exhibit A. Consequently, it appears that the CCMS Executive Committee makes all decisions for CCMS and that the Administrative Director of the Courts and Judicial Council of California have no decision-making authority, other than for escalated items. The CCMS Governance Model explicitly states, “The executive committee shall refer all matters that it **cannot resolve** (emphasis added) to the Administrative Director for resolution, action, or referral to the Judicial Council of California”. This implies that only “escalated” matters are decided by the Administrative Director of the Courts and the Judicial Council of California and not all matters that have a measurable impact as is typically employed as a best practice in past experiences of the IPO/IV&V team.

Typically, matters having a measurable impact include any items, activities, or decisions that expand costs (even by one dollar) or delay implementation (even by one day). As the Executive Sponsor of the project, all aspects of the Judicial Council and Administrative Director of the Courts decision making authority should be clearly defined. Further, the IPO/IV&V Team recommends that final CCMS decision-making authority rests with the Administrative Director of the Courts and Judicial Council of California and that authority be clarified in the Model.

In addition, the CCMS General Administrative Advisory Committee's review of the monthly IPO/IV&V reports is unclear in the document. The CCMS Governance Model discusses "monthly Independent Validation & Verification (IV&V) reports", but the reference should be clarified to refer to the IPO component as well and reference the report as monthly **IPO/IV&V** reports. The CCMS Governance Model states that these reports are reviewed by the CCMS General Administrative Advisory Committee, but no mention is made whether these reports are also reviewed by the CCMS Justice Partner Advisory Committee, the CCMS Operational Advisory Committee, the CCMS Executive Committee, the Administrative Director of the Courts, and the Judicial Council of California. The CCMS Governance Model explicitly states that "The administrative committee shall review the monthly IV&V reports and produce a quarterly report to the executive committee on the effectiveness, performance, challenges, and risks to the CCMS program as detailed in these reports."

The IPO/IV&V Team recommends that these reports be distributed or made available to all four committees (the CCMS Executive Committee would receive the reports when the CCMS GAAC provides the quarterly report), as well as the Administrative Director of the Courts and the Judicial Council of California, since there could be elements or aspects affecting each committee's role and duties. Providing the reports to the Judicial Council of California would ensure compliance with the recommendation of the California Technology Agency (formerly known as the OCIO) in its 2010 CCMS Review report that stated that "all oversight reports should be publicly available." Moreover, protocols should be developed and communicated to address the method of report distribution as well as the process for report content inquires and responses.

The IPO/IV&V Team suggests the following changes be made to update the CCMS Governance Model:

1. Clarify that the final decision-making authority rests with the Administrative Director of the Courts and Judicial Council of California if that is the case.
2. Update CCMS Governance Model Exhibit A – CCMS Executive Committee to indicate a final decision-making authority for the Administrative Director of the Courts and the Judicial Council of California.
3. State that the executive committee shall refer all matters having a measurable impact (e.g., items, activities, and decisions that expand costs or delay implementation) to the Administrative Director for resolution, action, or referral to the Judicial Council of California.
4. Modify the CCMS General Administrative Advisory Committee's review of the monthly IPO/IV&V reports to include language for IPO and not just IV&V.

5. State that the IPO/IV&V reports are reviewed by the CCMS General Administrative Advisory Committee, the CCMS Justice Partner Advisory Committee, the CCMS Operational Advisory Committee, the CCMS Executive Committee, the Administrative Director of the Courts, and the Judicial Council of California.
6. Address the method of the IPO/IV&V report distribution as well as the process for report content inquires and responses.

Schedule Management:

The schedule is published in the Weekly CCMS-V4 Development Services Status Report and the project team appears to be tracking according to the schedule.

Scope Management:

Scope management items raised by the CCMS-V4 Project Team are being actively managed through eRoom.

Risk Management:

No new risks were opened and no risks were closed during the month of January. The resolution dates for Risk 45 and Risk 51 were updated in eRoom in the month of February and not in the month of January as indicated below. The CCMS PMO appears to be adequately tracking the risks and discussing them weekly. Based on a review of documentation contained within eRoom and the JCCProjects website, the IPO/IV&V Team is not aware of any other open risks that are not being monitored by the CCMS PMO. According to the CCMS-V4 planning documents, all risks should be identified and tracked through eRoom. However, no updates were made to Risk 45 or Risk 51 in the month of January. Thus, as of January 31, 2011, the risks identified below by the CCMS-V4 Project Team remain active.

Risk Number	Risk Title	Activity Performed	Target Resolution Date
45	AOC Testing Resources	Although this does not seem to be an issue at this time, this risk will remain open and be reviewed each week.	2-7-11

Risk Number	Risk Title	Activity Performed	Target Resolution Date
51	Stack Upgrade Impact on PAT	<p>The instability of the infrastructure may impact the script execution during PAT, which may reduce their confidence in the application. If the issues are not resolved soon, SAIC may not be able to complete the stack upgrade in the PAT and Stress Test environments which will impact the Stress Test team's ability to complete stress/performance testing before the start of External Components PAT on 5/16/11.</p> <p>In an effort to mitigate this risk, the following actions are being taken:</p> <ol style="list-style-type: none"> 1. Deloitte has acquired an Oracle support contract to obtain higher levels of support required to address outstanding Oracle-related stack issues. 2. Continue to engage Adobe to support resolution of LiveCycle issues. 3. Acquire additional infrastructure team resources to support resolution of stack upgrade issues. 	2-14-11

Issue Management:

No new issues were opened or closed during the month of January. The Project Management Team appears to be adequately tracking the issues and discussing them weekly and as of January 31, 2011, there were no open issues identified by the CCMS-V4 Project Team.

Resource Management:

The resources necessary for testing the external components are being finalized and consequently Risk 45 (AOC Testing Resources) remains open.

Cost Management:

There are no new issues with respect to Cost Management that have not already been discussed in previous IPO/IV&V reports.

Technical Focus Areas

Quality Management:

To address previously raised IPO/IV&V concerns related to Quality Assurance (QA) Report content, the CCMS PMO continues to work with Deloitte management to revise the QA Reports for the project. The last issued QA Report #8 covered the period of November 16, 2009 through February 26, 2010. As of January 31, 2011, a new QA Report had not been issued or received by the IPO/IV&V Team for their review. However, we received a draft Quality Assurance Report #9 on February 10, 2011 covering the period of November 12, 2010 through February 11, 2011; the IPO/IV&V Team will review and provide observations in its February 2011 IPO/IV&V Report. For the period February 27, 2010 through November 11, 2010, there is a gap where no QA Reports were issued and some risks may have not been communicated. Deloitte was only contracted to provide eight QA Reports, so an agreement had to be reached to continue the QA Report activity.

Quality Architecture:

There are no open issues with System Architecture and the System Architecture Team with Deloitte, AOC, ISD, and other Court members have done a good job of identifying and defining the system architecture as well as architectural tradeoffs, raising issues for resolution, and generally creating a solid CCMS-V4 system architecture. The IPO/IV&V Team is researching the AOC Enterprise Architecture to verify how CCMS-V4 currently fits into the current overall AOC architecture. Verbal discussions have been held, but the IPO/IV&V Team is currently waiting on documentation that the CCMS PMO has indicated will be provided in February 2011.

Configuration Management:

There are no new issues with Configuration Management that have not already been discussed in previous IPO/IV&V reports. Configuration Management for documentation is being well controlled through eRoom and JCC Web Sites that have built-in controls for Configuration Management.

System Engineering Standards and Practices:

Since Deloitte Consulting appears to be following currently accepted systems engineering standards and practices, even as defined in IEEE Standard 1220, there are no system engineering standards and practices concerns at this point in time.

Requirements Identification and Traceability:

There are no new issues with Requirements Identification and Traceability that have not already been discussed in previous IPO/IV&V reports.

Detailed Design Review:

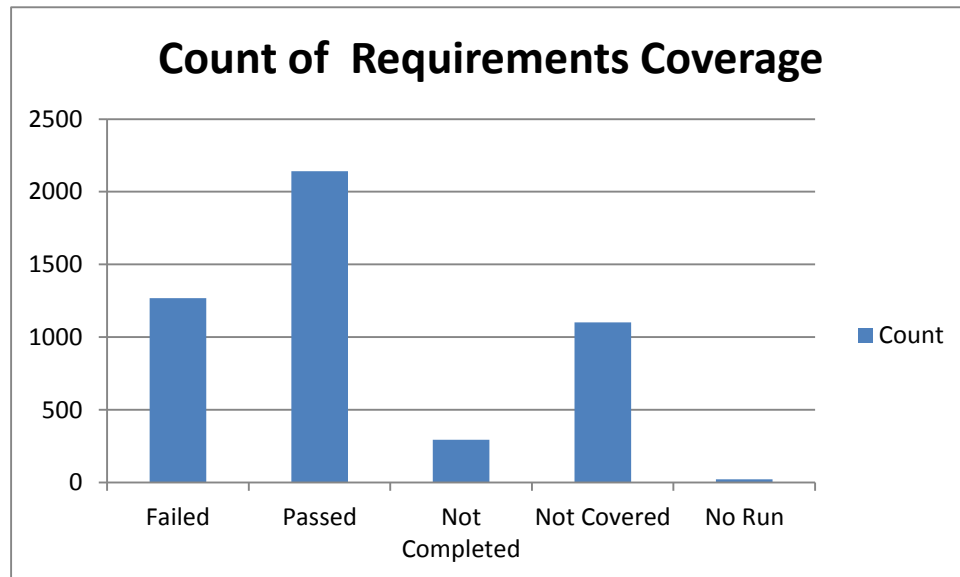
There are no new issues with the Detailed Design Review that have not already been discussed in previous IPO/IV&V reports.

System Development Quality and Progress:

There are no new issues with the System Development Quality and Progress that have not already been discussed in previous IPO/IV&V reports.

Testing Practices and Progress:

During the month of January, the IPO/IV&V Team continued to discuss and assess the testing effort with the CCMS-V4 PMO. Many documents were prepared and shared by Deloitte Consulting to assist in the IPO/IV&V task to evaluate whether all approved and accepted requirements are being tested in accordance with guidelines, standards, and best practices. Additionally, the IPO/IV&V Team met with the CCMS PMO and Deloitte to discuss the traceability of requirements to test cases and was directed to HP Quality Center where we were told all requirements reside and were documented. Deloitte stated that the linkage between individual requirements and the test case(s) could be verified through HP Quality Center since the requirements were defined, documented, and captured within HP Quality Center. Therefore, on January 13, 2011 the IPO/IV&V Team ran a standard HP Quality Center report² that shows the coverage of requirement to test cases. The following graph is the result of that report.



The vertical bars indicate the number of requirements that have linkages to test cases and the status of the test case.

² This chart was derived from the HP Quality Center data, but no requirement items were taken out. If the report is run it would show 5,207 requirements although all of the deleted requirements are not actual requirements because some "requirements" listed are more general in nature and relate to headers, etc.

- “Failed” indicates the number of requirements where the test case(s) were executed, but failed.
- “No Run” indicates the number of requirements where the test case(s) have not yet been executed, which could be for a variety of reasons such as being blocked due to another failure.
- “Not Completed” indicates the number of requirements where the test case(s) are being worked on but are not ready to be executed.
- “Passed” indicates the number of requirements where the linked test case(s) have passed.

The “Not Covered” bar indicates the number of requirements that are not linked to a test case. The “Not Covered” bar indicates that 22.83 percent, or 1,101, of the 4,823 requirements documented in HP Quality Center do not have a test case(s) for the requirement. While all parties agreed that not all requirements will have a test case as some requirements are more general in nature, this high number still suggests that some requirements are not being tested. Thus, the IPO/IV&V Team recommends that documentation is provided to (1) link the “Not Covered” requirements with the existing and associated test case, (2) create a dummy test case and link those requirements that are not testable to that dummy test case, and (3) develop and execute test cases for the remaining requirements as needed to ensure coverage of all requirements.

To gain a level of confidence in the consistency of the requirements within HP Quality Center and those defined in version 6 of the FFD Table of Contents (the most current accepted and approved set of project requirements) and the FFDV (an intermediary tool used by Deloitte to further define FFD requirements into units of work), the IPO/IV&V Team compared the requirements listed between these repositories. The IPO/IV&V Team’s analysis in the table below identifies that 191 requirements identified in the FFD Table of Contents are not included within HP Quality Center’s list of requirements. In addition, 257 requirements identified in the FFDV are not included in HP Quality Center. While the missing requirements are 10.8 percent and 7.4 percent of the Table of Contents and FFDV requirements respectively, it has not been verified if all of the missing requirements are due to the requirements not being testable (e.g., some requirements may not be actual requirements, but rather a heading or label within the requirements documents that were incorrectly identified as a system or software requirement and, therefore, would not be testable in the CCMS-V4 application).

Source	Number of Unique Requirements	Number of Matching Requirement to HP QC	Difference
FFD TOC	1764	1573	191
HP QC	4823		
FFDV	3491	3234	257

However, the IPO/IV&V Team is concerned that the requirements sets appear to be different in various tools and, thus, the IPO/IV&V Team questions whether a “requirements master/baseline” set exists and if all other tools are synchronized with this “requirements master/baseline.” On January 10, 2011, the IPO/IV&V Team requested Deloitte provide us with the location of the “requirements master/baseline” and have not received an adequate response as of the date of this report. At a minimum, the IPO/IV&V Team recommends a “requirements master/baseline” be established, if it does not currently exist, and that a requirements synchronization mechanism process be established to ensure that all other requirement repositories are identified, established, and synchronized with the “requirements master/baseline”. At this point, we will closely monitor and track these traceability items in Appendix A as “**Jan11.1 Requirements Traceability**” as a critical area of concern.

Appendix A: Matrix of Areas of Concern (Open)

The matrix below provides a current listing of all open areas of concern, our recommendations, and the action taken by the CCMS-V4 Project Team. As items are resolved, they will be moved to Appendix B. Key statistics are summarized below:

- **There was one new area of concern identified this month.**
- **The IPO/IV&V Team strongly believes that this project will continue to be a high risk project due to the constraints imposed by the budget, schedule, and resources.**

Item Number	Date Area of Concern Opened	Area of Concern	Recommendation	Current Status
Jan11.1	January 2011	Requirements Traceability	To ensure all requirements are tested, use the graphical data and results provided in this report to (1) link the "Not Covered" requirements with the existing and associated test case, (2) create a dummy test case and link those requirements that are not testable to that dummy test case, and (3) develop and execute test cases for the remaining requirements as needed to ensure coverage of all requirements. In addition, identify or establish requirements baseline and synchronization mechanisms with other requirement repositories.	Finding is new this month; however, the CCMS PMO and Deloitte staff have been working on resolving this area of concern.

Apr10.1	April 2010	QA Report Metrics	Continue the use of metrics in the QA Reports, but include a definition or interpretation of all metrics shown in the reports.	The IPO/IV&V Team has been waiting for a new QA Report since August 2010. Thus, there is no change in the status. However, in early February 2011, draft QA Report 9 was provided and will be reviewed in February. The IPO/IV&V Team was informed that Deloitte was only contracted to provide eight QA Reports. Since the project ran longer than planned, there was a gap until an agreement was reached to continue the QA Reporting activity.
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Appendix B: Matrix of Areas of Concern (Closed)

The matrix below provides a matrix of all closed areas of concern, our recommendations, and the action taken to resolve the issues by the CCMS-V4 Project Team. Key statistics are summarized below:

- **No areas of concern were closed this month.**

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Jul07.1	July 2007	June 2009	Aggressive schedule	The schedule should be reviewed to ensure that ample time has been allocated to each phase of the project.	While the IPO/IV&V Team believes the schedule will remain aggressive for the duration of the project adding to project risk, the RPO and AOC have extended the schedule through contract amendments. At this point, the RPO and AOC have accepted the project risk as neither the schedule nor the budget can be changed.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Aug07.1	August 2007	April 2008	JAD Schedule	<p>There does not appear to be a comprehensive schedule of JADs so that participants can plan time accordingly. Thus, Deloitte Consulting should prepare a detailed schedule that sets realistic timeframes needed to JAD each functional area and ensure the schedule is agreed to by all relevant parties.</p>	<p>JAD scheduling has improved to the point that this is no longer an area of concern. Consequently, this item has been closed. Deloitte Consulting has been diligent in setting and adhering to its JAD schedule. As the project enters the final design stage, participants appear able to plan time accordingly to ensure they are available to participate in tracks as needed and share their subject matter expertise. Meetings were also held to hear concerns that more time was needed to review developing requirements—resulting in more time added to the overall project development schedule.</p>

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Sep07.1	September 2007	June 2008	Requirements Gathering	Ensure that a detailed JAD schedule includes a plan for how the workflow inter-relationships will be addressed.	The AOC has implemented a requirement review process that will be conducted both vertically (within a given subject area) and horizontally (within a business process that crosses subject areas. This step should help address some of our concerns. However, since the final design is nearing completion, there is little value in fully mitigating this concern.
Oct07.1	October 2007	August 2008	Project Oversight Activities	Assign person in role of day to day project management responsible for ensuring that issues are resolved timely, do not impact downstream work efforts, and are not in conflict with other project activities, legal provisions, or branch policy.	Bob and Sean have established a seamless working relationship. Bob has ultimate responsibility for all project management activities. Sean's focus rests with coordinating the FFD review, reporting to the Steering Committee, and following up on issues with the V4 Court Project Managers.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Oct07.2	October 2007	June 2008	JAD Session Documentation	Utilize new template or other mechanism to document detailed JAD Session minutes including areas of discussion, results or actions taken, agreements reached, and issues raised as well as distribute timely for approval.	Since the final design is nearing completion and most JAD sessions had already been held and scheduled, there is little value in mitigating this concern.
Oct07.3	October 2007	May 2008	Governance Structure and Escalation Process	Clarify and establish the complete governance structure to eliminate confusion related to issue escalation process and decision-making.	The CCMS Governance Model appears to be in use and effective in allowing participation in project decisions regarding project scope, cost, and schedule.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Apr08.1	April 2008	June 2009	Unclear Requirements	<p>Review the requirements to determine the types of clarifications needed for understanding in order to avoid confusion during downstream activities such as coding and preparing for testing.</p> <p>As of our 09-2008 review of the FFD, we have suggested the following additional recommendations:</p> <ol style="list-style-type: none"> 1. Identify and evaluate subjective text in FFD (such as may or could) and clarify within the context of use; 2. Perform a traceability exercise to link use cases to business rules—again to reduce need for individual interpretation; 3. Review business rule part of each section to ensure complete and clear rules have been incorporated into the use case. 4. Evaluate pre and post-conditions to ensure they are correct and complete. 	<p>The IPO/IV&V Team has continued to express their concern that the ambiguity surrounding the interpretation of final requirements presents a risk to the construction and testing phases of the project. Data is being captured by the AOC Software Quality Assurance Team during early testing that should assist in defining the extent of the problem and any future concerns will be raised as part of the testing assessment.</p>

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Dec08.1	December 2008	February 2009	Standardization and Configuration	It is not clear what impact the Standardization and Configuration requirements will have on the FFD and on long-term maintenance of the application. Once all Standardization and Configuration requirements have been defined, the requirements should be traced back into the FFD and reviewed again.	The RPO Management Team reported that the Standards and Configuration Management Group will determine whether configurable items are statewide standards or local configurations and that these decisions will not impact the FFD.
Dec08.2	December 2008	February 2009	Single Point of Contact for ISD	A single point of contact should be established for AOC that can track and manage daily progress on ISD-related activities	It was clarified that Virginia Sanders-Hinds is the single point of contact with the authority to make decisions on behalf of ISD.
Mar09.1	March 2009	July 2009	Justice Partners (Interfaces) Plan	Determine the state and progress of the common "State" interfaces which are currently being reviewed by the Justice Partners and assess the progress for project schedule impact.	The CCMS-V4 Project Team has clarified that the Statewide Justice Partners will participate in PAT.
Mar09.2	March 2009	July 2009	Document Management Plan	Determine the state and progress of the agnostic "generic" interface to support any existing document management solution and assess the progress for project schedule impact.	The CCMS-V4 Project Team has clarified that the Lead Courts which use FileNet are scheduled to test this interface during PAT.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Aug10.1	August 2010	October 2010	PAT Plan	Either modify the PAT Plan or establish risks for each of the points identified by IPO/IV&V in this report and implement appropriate corrective actions to mitigate the risks.	The IPO/IV&V Team reviewed version 1.4 of the PAT Plan and found that all previous concerns have been remedied.

Appendix C: Project Oversight Review Checklist

To assist us in determining whether the CCMS-V4 project is on track to be completed within the estimated schedule and cost, the Project Oversight Review Checklist is used to identify and quantify any issues and risks affecting these project components. At the onset of the project in 2007, this checklist was used in the State of California Executive Branch System as a best practice which has now been discontinued. While this checklist will only be reviewed and updated on a periodic basis, the February 2011 IPO/IV&V report will contain major updates on CCMS-V4 project activities conducted in the various areas listed in the checklist in an effort to make it more readily understood.

Project Oversight Review Checklist

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Have the business case, project goals, objectives, expected outcomes, key stakeholders, and sponsor(s) identified and documented?	X		The business case has been finalized. The project goals, objectives, and expected outcomes are documented in the Deloitte Consulting Statement of Work. The key stakeholders and sponsors are identified and documented in the Project Management Plan for CCMS-V4.
Has a detailed project plan with all activities (tasks), milestones, dates, and estimated hours by task loaded into project management (PM) software? Are the lowest level tasks of a short duration with measurable outcomes?	X		The project plan that has been approved is loaded into Microsoft Project. Deloitte Consulting will update the schedule with construction and testing details after the requirements are complete.
Is completion of planned tasks recorded within the PM software?	X		Completion of milestones is tracked within Microsoft Project.
Are actual hours expended by task recorded at least monthly within PM software?		X	Actual hours for Deloitte Consulting staff are tracked weekly within Playbook Navigator, but are not shared with the AOC as this is a fixed price development contract. The AOC has historically not tracked this information.
Are estimated hours to complete by task recorded at least monthly within PM software?		X	Estimated hours to complete for Deloitte Consulting staff are tracked weekly but are not shared with the AOC as this is a fixed-price development contract. Any deviations occurring to planned dates are discussed at an internal weekly meeting between AOC and Deloitte Consulting.
Is there a formal staffing plan, including a current organization chart, written roles and responsibilities, plans for staff acquisition, schedule for arrival and departure of specific staff, and staff training plans?	X		There is a formal staffing plan for Deloitte Leads that is shared with the AOC. Deloitte Consulting tracks internal project staffing with respect to acquisition, schedule for arrival and departure of specific staff, and staff training plans. The AOC does not currently have a CCMS-V4 Staffing Plan; staff are allocated at the CCMS level and not at the specific project level.
Have project cost estimates, with supporting data for each cost category, been maintained?	X		While development costs are tracked internally by Deloitte Consulting, they are not shared with the AOC since this is a fixed-price development contract. The AOC tracks the project budget, monies encumbered, and monies expended to date in an Access database.
Are software size estimates developed and tracked?	X		Deloitte Consulting has included estimates for Final Design, Final Construction, Testing, and Conversion.
Are two or more estimation approaches used to refine estimates?	X		A Bottom Up estimate is performed by the Deloitte Consulting Project Manager and a Top Down estimate is performed by the Lead.
Are independent reviews of estimates conducted?	X		There are multiple internal reviewers consisting of Deloitte Consulting, AOC, and Court staff.
Are actual costs recorded and regularly compared to budgeted costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. Currently, AOC costs are tracked at the overall CCMS level. At this point, a daily (or on-demand) Access database report can be printed showing project budget, monies encumbered, monies expended to date, and monies forecasted to be spent.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Is supporting data maintained for actual costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. Yet, the RPO has invoice level data to support its actual cost data tracked in its Access database.
Is completion status of work plan activities, deliverables, and milestones recorded, compared to schedule and included in a written status reporting process?	X		This information is reported weekly, monthly, and quarterly.
Are key specification documents (e.g. contracts, requirement specifications and/or contract deliverables) and software products under formal configuration control, with items to be controlled and specific staff roles and responsibilities for configuration management identified in a configuration mgmt plan?	X		The CCMS-V4 Configuration Management Plan outlines the process and procedures followed for Configuration Management.
Are issues/problems and their resolution (including assignment of specific staff responsibility for issue resolution and specific deadlines for completion of resolution activities), formally tracked?	X		This information is tracked in eRoom and in the weekly, monthly, and quarterly status reports.
Is user satisfaction assessed at key project milestones?		X	Deloitte Consulting has stated that user satisfaction is assessed at key project milestones in the form of deliverable review. All deliverable comments are logged, reviewed, and categorized to indicate if a response is needed. According to Deloitte Consulting, all defects or other comments that require a response are addressed and tracked through closure. Other validation processes include proof of concepts, UI prototypes, design sessions, design council sessions, and cross track meetings. As such, Deloitte Consulting believes that acceptance of the deliverable is evidence of user satisfaction. While there are no satisfaction surveys used or assessments performed at key project milestones, the AOC agrees that there are several opportunities to talk through and resolve deliverable disagreements on a case by case basis.
Is planning in compliance with formal standards or a system development life-cycle (SDLC) methodology?	X		Planning is in compliance with a formal system development life-cycle (SDLC) methodology.
Is there a formal enterprise architecture in place?		X	The CCMS-V3 architecture will be updated to support CCMS-V4. At this point, the IPO/IV&V Team has not seen documentation of the enterprise architecture; however, a meeting to discuss the architecture with the Enterprise Architect, who is actively involved in the project, has been scheduled for early February 2011.
Are project closeout activities performed, including a PIER, collection and archiving up-to-date project records and identification of lessons learned?	X		Project Closeout activities are planned to occur and we will evaluate and comment whether the planned activities occurred at the project closeout. In the interim, Lessons Learned sessions are being conducted at various project phases to identify possible process improvements.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Procurement			
Are appropriate procurement vehicles selected (e.g. CMAS, MSA, "alternative procurement") and their required processes followed?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Is a detailed written scope of work for all services included in solicitation documents?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Are detailed requirement specifications included in solicitation documents?	X		Detailed requirements were included in Exhibit B of the Statement of Work. These will be expanded upon during Detailed Design. Thus, we will review or evaluate those requirements when developed.
Is there material participation of outside expertise (e.g. DGS, Departmental specialists, consultants) in procurement planning and execution?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. For ongoing SOWs, independent third-party vendors are used to review and recommend procurement planning and execution practices.
For large-scale outsourcing, is qualified legal counsel obtained?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. The AOC utilized outside counsel for the V4 Development Contract.
Risk Management			
Is formal continuous risk management performed, including development of a written risk management plan, identification, analysis, mitigation and escalation of risks in accordance with DOF/TOSU Guidelines, and regular management team review of risks and mitigation progress performed?	X		The Risk Management Plan contains the process and procedures for risk. Risks are tracked within eRoom and are discussed during the weekly and monthly status meetings. In addition, the Deloitte Consulting Project Manager meets with the CCMS Product Director weekly to discuss risks.
Does the management team review risks and mitigation progress at least monthly?	X		The management team reviews risks at weekly and monthly status meetings.
Are externally developed risk identification aids used, such as the SEI "Taxonomy Based Questionnaire?"		X	Additional risk identification aids are internal to Deloitte Consulting and are not shared with the AOC. The AOC is not using any other risk identification aids.
Communication			
Is there a written project communications plan?	X		This information is contained in the CCMS-V4 Communication Management Plan.
Are regular written status reports prepared and provided to the project manager, department CIO (if applicable) and other key stakeholders?	X		Written weekly, monthly, and quarterly status reports are prepared and discussed with the project management team as well as the Steering Committee/Oversight Committee. In addition, there are executive meetings held to brief the Lead Court CIOs.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Communication			
Are there written escalation policies for issues and risks?	X		This CCMS-V4 Project Management documentation contains this information.
Is there regular stakeholder involvement in major project decisions, issue resolution and risk mitigation?	X		The Product Management Group has primary responsibility for working through the issues and risks. Additionally, issues and status are shared with lead court information officers, court executive officers at bi-weekly steering committee meetings as well as with selected presiding judges at the quarterly oversight committee meetings. The RPO is also working diligently to seek input and have stakeholders assume an active ownership role in the development process.
System Engineering			
Are users involved throughout the project, especially in requirements specification and testing?	X		AOC and Court staff are planned to be involved from requirements gathering through testing and into implementation.
Do users formally approve/sign-off on written specifications?	X		The requirements will be approved by the AOC and Court staff.
Is a software product used to assist in managing requirements? Is there tracking of requirements traceability through all life-cycle phases?	X		The RPO Management Team has reported that Deloitte Consulting is using Clear Quest and Clear Case to manage defects and Rational Requisite Pro to track requirements.
Do software engineering standards exist and are they followed?	X		This CCMS-V4 development standards documentation has been reviewed by SEC and found to be adequate.
Is a formal system development life-cycle (SDLC) methodology followed?		X	Deloitte is using an overlapped waterfall SDLC as evidenced by the structure of their project plan and the manner in which activities are performed. CMMI Level 3 requirements require that a defined, standard, consistent process and process measurement be followed. This would require that: <ul style="list-style-type: none"> • Technical processes are defined in writing; • Project roles are clearly defined; • Staff are trained in standard methods and process activities before they are assigned to roles; and • Technical management activities are guided by defined processes. It is not clear where the processes and roles are documented and whether the CCMS-V4 Project is CMMI Level 3 compliant.
Does product defect tracking begin no later than requirements specifications?	X		Product defect tracking occurs during deliverable review. Users submit defects by entering comments in the deliverable. Each defect is tracked to closure within the deliverable. Any corresponding response is attached to the original defect in the body of the deliverable. Before approval of the deliverable, the AOC confirms that all defects have been appropriately addressed.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
System Engineering			
Are formal code reviews conducted?	X		Two levels of code reviews are conducted. Automated reviews of code are conducted using the JCART tool which checks for and highlights unacceptable coding practices. Any issues identified through the JCART execution have to be resolved before the code can be included in the build. Additionally, manual code reviews are conducted by the Architecture Leads (Technical Analysts, Development Leads and the Framework Team). Code review checklists are created and stored in ClearCase. Deloitte should implement a process for ensuring that the coding standards are adhered to as opposed to the AOC assessing the compliance after completion.
Are formal quality assurance procedures followed consistently?	X		The quality assurance documentation was updated to include CCMS-V4. As more QA related data is collected and reported by Deloitte Consulting, the IPO/IV&V Team will be reviewing these reports to assess how data is represented in the reports—such as through metrics—and identify issues with processes if the metrics indicate negative trends.
Do users sign-off on acceptance test results before a new system or changes are put into production?		X	AOC and the Court staff will sign-off on acceptance test results. Acceptance criteria have been established as 0 Severity-1 incidents, 0 Severity-2 incidents, and not more than 50 Severity-3 incidents.
Is the enterprise architecture plan adhered to?		X	The CCMS-V3 architecture will be updated to support CCMS-V4. At this point, the IPO/IV&V Team has not seen documentation of the enterprise architecture; however, a meeting to discuss the architecture with the Enterprise Architect, who is actively involved in the project, has been scheduled for early February 2011.
Are formal deliverable inspections performed, beginning with requirements specifications?	X		All deliverables are approved by the AOC and Court staff.
Are IV&V services obtained and used?	X		SEC has been hired to perform IV&V.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Appendix D: IPO/IV&V Project Scorecard

For January 1, 2011 – January 31, 2011 Time Period

Process Area	AUG 2010	SEP 2010	OCT 2010	NOV 2010	DEC 2010	JAN 2011	REMARKS
Communication Management							Day-to-day communication continues to be strong. Some concerns exist with the CCMS Governance Model.
Schedule Management							The schedule remains aggressive.
Scope Management							Project scope is managed and controlled through a variety of avenues.
Risk Management							The risks are reported, discussed, and managed on a weekly basis but are not updated in the risk repository regularly.
Issue Management							Issues are discussed/reported weekly at project management and Executive Committee meetings.
Resource Management							AOC and Deloitte's level of project resources are being defined and appear adequate.
Cost Management							ISD costs and CCMS PMO costs are maintained in separate databases and there is no effort to combine these in the near future.
Quality Management (Client Functionality)							Though testing has been ongoing, the IPO/IV&V Team is still unable to draw a conclusion as to the quality of the client functionality. The primary reason for this is the unclear traceability between requirements and test cases, irrespective of the observed defect rates.
Quality Architecture							Quality Architecture is currently adequately defined from an industry-sound SEI approach.
Configuration Management							CM, for documentation, is being well controlled through the eRoom and JCC web sites that have built-in controls for CM.
System Engineering Standards and Practices							Deloitte Consulting appears to be following currently accepted systems engineering standards and practices.
Requirements Identification and Traceability							The IPO/IV&V Team has concerns with the lack of traceability between use cases and business rules.
Detailed Design Review							The Technical Design documentation was delivered to the CCMS PMO, but is an artifact and not a deliverable. Therefore, the Detailed Design cannot be assessed.
System Development Quality and Progress							The technical architecture and design is proceeding on the defined schedule with only minor changes.
Testing Practices and Progress							Testing continues to be a concern.

Green – On Track
 Yellow – Warning
 Red – Significant Problems
 ▲ ▼

The Judicial Council of California, Administrative Office of the Courts

Independent Project Oversight (IPO) and
Independent Verification and Validation (IV&V)
For the CCMS-V4 Development Project

Status Report as of February 28, 2011



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Executive Summary

Realizing the importance of independent oversight for high criticality technology projects, the Judicial Council of California, Administrative Office of the Courts (AOC) hired our firm, Sjoberg Evashenk Consulting, Inc. (SEC) to provide certain Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) services for the California Case Management System (CCMS-V4) product currently in development. Working under the oversight of the AOC Internal Audit Services, our objectives are to monitor the activities, deliverables, milestones, deadlines, and design of the CCMS-V4 project and communicate status, progress, issues, and challenges to the success of the project as designed.

Our monthly IPO/IV&V reports are intended to capture and assess current project activities to determine whether process and procedures employed to build and manage the CCMS-V4 application as planned are followed and adhere to industry guidelines, standards and best practices, as well as that potential risk/issues are known by decision makers at a specific point in time; thus, the monthly items reported are in-flux, continually evolving, and will change over the course of the project.

Period Highlights:

During the month of February 2011, the IPO/IV&V Team continued its primary focus on requirements traceability, draft QA Report #9, and Deloitte's re-plan efforts as discussed below.

1. **Requirements Traceability:** Although the IPO/IV&V Team continued to discuss and assess the testing/traceability effort with the CCMS-V4 PMO and Deloitte Consulting during February, there was no change in the overall conclusions in our analysis of the testing effort. As of February 28, 2011, the IPO/IV&V Team is still awaiting sufficient documentation from Deloitte related to the requirements baseline/master documentation and information with respect to how these baseline/master requirements are synchronized with all of the other tools that hold requirements information. Traceability is an important system development practice to ensure requirements are correctly implemented in the design (so that a requirement is not accidentally overlooked) and tested. Having this traceability and requirements synchronization improves change management as well since any changes to requirements can be tracked and reviewed for impact to the entire application.

Once this information is received, the IPO/IV&V Team can continue their assessment of the testing/traceability effort to review the linkages between the requirements and the test case(s). Until that time, the IPO/IV&V Team cannot verify that requirements which were accepted and approved by the CCMS PMO are the same as those used in various Deloitte CCMS-V4 Project tools as required by the contract, nor can the IPO/IV&V Team confirm that all system requirements are slated to be tested. Thus, while continued discussions have occurred between the IPO/IV&V Team and Deloitte throughout the month of February and a variety of documents have been exchanged between the two teams in attempts to resolve issues, the IPO/IV&V Team is still awaiting the "requirements master/baseline" set.

2. **Draft QA Report #9 Analysis:** Overall, we are concerned that the CMMI Status Report section of QA Report #9 identifies the project to be in full compliance with all aspects of CMMI (which requires a defined set of standard processes and consistent documentation that it is following those processes), when we found instances where Deloitte’s practices do not adhere with their stated processes. For instance, we noted that project concerns related to critical path, key timelines, project resources, and quality improvement opportunities are not all tracked or monitored through the normal and stated process through eRoom, nor do many of the “resolutions” to close concerns appear to address the issues.

Moreover, several of the Deloitte reported actions to address the process improvements identified as being needed in the CMMI Status Section of the QA Report do not fully address the reported need—rather, they appear to only address related interim activities such as scheduling a process audit versus actually performing the audit. Thus, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Integrated Project without reviewing additional project documentation.

3. **Re-Planning Effort:** In terms of the project re-planning effort, the IPO/IV&V Team received documentation of these efforts on February 10, 2011. Prior to that point, the “re-plan” efforts and strategy were discussed as part of weekly project status meetings with Deloitte and the CCMS PMO. The IPO/IV&V Team listened on those weekly meetings to hear discussion and agreements reached by the participants. Further, according to the CCMS Executive Program Director, the CCMS Executive Team approved the re-plan effort and actions in concept during these meetings although formal documentation of the plan efforts were not codified in writing until mid-January 2011 when Deloitte’s contractual Statement of Work was revised. Based on the IPO/IV&V Team’s review, it appears that information in the revised Statement of Work reflects the outcomes of weekly discussions that took place during the project status meetings as the re-plan strategy was being developed.

Detailed Observations, Impact, and Recommendations

The continued diligence employed by the CCMS PMO staff, AOC staff, Court staff, and Deloitte Consulting in addressing issues and following its established project management processes specific to the CCMS V4 project has been consistent. As part of our continued IPO/IV&V efforts, we offer the following observations and areas of concern related to various project management and system/software development technical areas.

Project Oversight Focus Areas

Communication Management:

On January 21, 2011, the revised CCMS Governance Model dated November 2010 (approved by the Judicial Council Executive and Planning Committee on December 17, 2010 and implemented in mid-January 2011) was provided to the IPO/IV&V Team. The IPO/IV&V Team's suggested changes to the CCMS Governance Model were provided in the January 2011 monthly IPO/IV&V report. While our IPO/IV&V role is to highlight any concerns and make suggested recommendations, the exact language to be incorporated in any revisions to the model should be crafted by the AOC. Our recommended changes are reiterated in this month's report and summarized below:

1. Clarify that the final decision-making authority rests with the Administrative Director of the Courts and Judicial Council of California—if that is the case.
2. Update CCMS Governance Model Exhibit A – CCMS Executive Committee to indicate that final decision-making authority is by the Judicial Council of California as delegated to the Administrative Director of the Courts.
3. Include specific language that the Executive Committee shall refer all matters having a measurable impact (e.g., items, activities, and decisions that expand costs or delay implementation) through the Project Review Board to the Administrative Director for resolution, action, or referral to the Judicial Council.
4. Modify language describing the CCMS General Administrative Advisory Committee's review of the "monthly IV&V reports" to accurately refer to the reports as "monthly IPO/IV&V report".
5. Clearly state that, after a review/analysis by the CCMS General Administrative Advisory Committee, the IPO/IV&V reports will be made available to the CCMS Justice Partner Advisory Committee, the CCMS Operational Advisory Committee, the CCMS Executive Committee, the Administrative Director of the Courts, and the Judicial Council of California.
6. Address the method of the IPO/IV&V report distribution as well as the process for report content inquiries and responses.

Schedule Management:

The schedule is published in the Weekly CCMS-V4 Development Services Status Report and the project team appears to be tracking according to the schedule.

Scope Management:

Scope management items raised by the CCMS-V4 Project Team are being actively managed through eRoom.

Risk Management:

In addition to the following risks identified below that remain active as of February 28, 2011, one new risk (Risk #52) was opened during the month of February. The information below is based on a review of documentation contained within eRoom and the JCCProjects website.

However, the IPO/IV&V Team is aware of additional risks raised in the QA Reports that are not being tracked and monitored through the risk process facilitated by eRoom and JCCProjects website.

Risk Number	Risk Title	Activity Performed	Target Resolution Date
51	Stack Upgrade Impact on PAT	<p>The instability of the infrastructure may impact the script execution during PAT, which may reduce their confidence in the application. If the issues are not resolved soon, SAIC may not be able to complete the stack upgrade in the PAT and Stress Test environments which will impact the Stress Test team's ability to complete stress/performance testing before the start of External Components PAT on 5/16/11.</p> <p>In an effort to mitigate this risk, the following actions are being taken:</p> <ol style="list-style-type: none"> 1. Deloitte has acquired an Oracle support contract to obtain higher levels of support required to address outstanding Oracle-related stack issues. 2. Continue to engage Adobe to support resolution of LiveCycle issues. 3. Acquire additional infrastructure team resources to support resolution of stack upgrade issues. 	3-4-11
52	Transition to External Components PAT	The window of time between Core PAT and External Components PAT is just three weeks. Because there is only one PAT environment, there is schedule risk if Core PAT is extended or set up takes longer than expected.	4-29-11

The following risk was closed during the month of February 2011:

Risk Number	Risk Title	Resolution
45	AOC Testing Resources	The PAT Team is fully staffed. There are a total of 79 testers expected to be available for the duration of PAT. Pre-PAT execution rates demonstrate that resources are sufficient to execute all test scripts within the 9-week execution period.

Issue Management:

Three issues were opened during the month of February and, as identified below, remain active as of February 28, 2011. The information below is based on a review of documentation contained within eRoom and the JCCProjects website.

However, the IPO/IV&V Team is aware of additional issues raised in the QA Reports that are not being tracked and monitored through the issue process facilitated by eRoom and JCCProjects website..

Issue Number	Issue Title	Activity Performed	Target Resolution Date
32	Closely monitor Change Management process for Data Exchanges and confirm that Deloitte will be able to clearly identify differences between DX schema documentation that was published in April 2010 and the updates that will be published when R1 is complete in December and R2 is complete in February.	The remaining items will be delivered on 2-18-11.	2-25-11
33	At least one Non-Functional Requirement (NFR) has not been detailed, related to conversion of 250 local forms and reports that were developed for V2/V3 counties. The AOC is currently documenting a list of impacted forms/reports.	Deloitte is currently reviewing the 250 local forms/reports to confirm which already exist in V4. Kevin McCarter will provide a level of effort estimate to migrate the reports and redesign/rebuild the forms.	2-25-11
34	Validate on-boarding roles and responsibilities/ timeframe for External Components PAT.	No status is shown in eRoom.	3-2-11

A number of issues were opened and closed during the month of February as shown below. However, the IPO/IV&V Team is not clear how the stated resolutions in eRoom address the issues that were closed. Also, one issue tracked (Issue 38) was closed without a resolution provided.

Issue Number	Issue Title	Resolution
31	Confirm tool to be used for ongoing CCMS demonstrations: HTML vs. iRise.	It was agreed that iRise will be used for everything except JO screens, which are best rendered as they currently are in HTML. Certain usability issues will be resolved (i.e., clean up old duplicative pages that are slowing down performance, and organize the iDocs differently according to demo purposes, not design review as originally structured). Some additional scenarios will be flushed out so that they can be included in the demo.
35	Develop plan for Integration Partner Pre-Connectivity to V4 Test Environments prior to PAT. Dependent upon AOC identifying which partners will be part of INT/PAT testing.	Working with SNET and approved OWSM and FTP methods. Moving to DMZ will require server rebuild effort. Partners may need a date. The dates so far are 3/7-4/4. <i>It is not clear how this resolution supports the issue.</i>
36	AOC will escalate at their Operations Meeting the lack of staff with E-Filing experience to assist with External Components Integration Testing	This issue was raised at the operations meeting and staff will be identified and on boarded as necessary. <i>It is not clear how this resolution supports the issue.</i>
37	Identify the process to perform XML validation for SME testing in both Integration Testing and PAT.	On boarded Stuart Marsh. Will onboard additional resources as necessary. <i>It is not clear how this resolution supports the issue.</i>
38	AOC will work with San Joaquin County to get Probate Notes data for the Data Migration team	<i>This issue was closed in eRoom but no resolution was listed.</i>

Resource Management:

The resources necessary for testing the external components were finalized and consequently Risk 45 (AOC Testing Resources) was closed.

Cost Management:

There are no new issues with respect to Cost Management that have not already been discussed in previous IPO/IV&V reports.

Technical Focus Areas

Quality Management:

On February 10, 2011, a draft version of the CCMS-V4 Development Services Quality Assurance (QA) Report 9, dated February 11, 2011 covering the period of November 12, 2010 through February 11, 2011 was delivered to the IPO/IV&V Team. While the Quality Assurance Report prepared by Deloitte for the CCMS-V4 Project mostly adheres to the previous defined contractual requirements for this type of report (although it has never reported code review information which is a contractual requirement for the QA Report), the IPO/IV&V Team finds the report is not consistent with the documentation and reporting guidance provided in IEEE Standard 730-2002, nor with the common industry best practices associated with a Quality Assurance Report.

As we have mentioned in previous reports, the QA function and the resulting reports should report process issues. Like all other QA reports produced for the CCMS-V4 Project, we found that the draft QA Report #9 is a Project Management report and provides little insight to the Project execution of processes. The metrics provided on pages 8 through 11 of QA Report #9 provide some Quality Control information, but no information anywhere else within the report provides information on Quality Assurance activities. Except for Deloitte's HP Quality Center generated metrics, it is difficult to determine if QA is engaged in the project and are performing any QA related activities or functions.

Nonetheless, the IPO/IV&V Team reviewed this draft Quality Assurance Report against Deloitte's contractual requirements for compliance; thus, the comments below are instances where the QA Report did not always adhere to contract provisions. Overall, we are concerned that the CMMI Status Report section of QA Report #9 identifies the project to be in full compliance with all aspects of CMMI which requires a defined set of standard processes and consistent documentation that it is following those processes—yet we found instances where Deloitte's practices do not adhere with their stated processes.

Specifically, we found the following discrepancies that are summarized below and described in more detail in the sections that follow:

- ✓ Several of the reported actions to address the process improvements identified as being needed in the CMMI Status Section of the QA Report do not fully address the reported need—rather, they appear to only address related interim activities needed such as scheduling a process audit versus actually performing the audit. Thus, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Integrated Project Management.
- ✓ Project concerns related to critical path, key timelines, project resources, and quality improvement opportunities are not all tracked or monitored through the normal and stated process through eRoom, nor do many of the “resolutions” to close concerns appear to address the issues.

To better assess the impact and significance of these items, the IPO/IV&V Team needs to obtain the following artifacts from Deloitte:

- ✓ Evidence that process training in the integrated project management section was conducted;
- ✓ Results of internal QA audits and CM audits;
- ✓ Baseline or master set of Requirements and Requirements Traceability; and
- ✓ Examples of how processes have changed based on the QA audits performed.

1. CMMI Status Report:

The QA report shows that the Project is in 100 percent “full compliance” with all of the CMMI areas meaning that project practices should be documented and comply with stated processes for the project. Yet, based on the IPO/IV&V issues and concerns identified in the following sections of this report as well as previous IPO/IV&V Reports over the same time period of this draft QA Report #9 where we have identified practices that do not adhere to stated processes, the IPO/IV&V Team cannot find evidence to support the results documented in process areas described in the draft QA Report #9 with respect to the CCMS-V4 CMMI Status. Thus, we cannot agree that the project has fully implemented process improvements identified in process areas related to integration project management, quality assurance, configuration management, requirements development, or requirements management.

- For instance, in the Integrated Project Management section identified that training had not been conducted since the project entered the FFDV phase, although the training plan was being updated to address the training needs. While the reported action states that a training plan was updated, it does not state that the training was conducted. Because the reported actions do not fully address the improvements by actually conducting the process training, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Integrated Project Management.
- Similarly, the Quality Assurance section identified that QA Audits had not been performed since the project entered the FFDV phase although the reported action taken was that QA Audits were scheduled. Because neither the CMMI Status Report nor anywhere within QA Report #9 stated that the QA Audits were actually performed, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Quality Assurance.
- The Configuration Management section identified that Configuration Management (CM) Audits had not been recently performed, although CM Audits were scheduled to be performed. Again, because the reported action taken does not fully address the area of improvement needed to actually perform the CM audit in addition to scheduling the audit, the IPO/IV&V

Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Configuration Management.

- The Requirements Development section in the QA Report identified that the CCMS-V4 requirements are baselined. However, since the IPO/IV&V Team has been waiting for the baseline CCMS-V4 requirements to be identified since January 2011 and neither the CCMS PMO nor Deloitte can identify where the baseline CCMS-V4 requirements are located, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Requirements Development.
- The Requirements Management section identified that requirements traceability was being maintained. However, no traceability between requirements and test cases has been provided by Deloitte to the IPO/IV&V Team after several months of discussions. Also, no baseline/master set of requirements has been identified. Thus, the IPO/IV&V Team cannot agree that the CCMS-V4 Project is in “full compliance” with CMMI requirements with respect to Requirements Management.

2. *Critical Path/Key Timeline:*

The QA identified concerns in this section do not appear to be tracked through the normal risk and issue process in eRoom. In addition, these concerns have on-going activities, and yet they are marked as closed even though the actions to “resolve” the concern do not appear to fully address the closure. Moreover, Deloitte does not identify how the on-going activities related to the concerns will be tracked or monitored.

- For example, Concern CP02 relating to “disagreements over system response time of the core stress test plan” is marked as closed with the following comment—“This item was discussed at a meeting during the week of 2/8/10. An alternative strategy for resolving disagreements over this deliverable is now being introduced. AOC/Court review is needed to gain further information regarding the desired response times for the many transactions detailed in the plan.” However, there is no discussion of the alternative strategy introduced or what further information is needed to adequately address the concern.
- Moreover, many of these concerns described in the QA report deal with Project Management related issues such as scheduling and the contract, and not with issues associated to the software development processes as would be appropriate.

3. *Project Resource Concerns:*

The QA identified concerns in this section do not appear to be tracked through the normal risk and issue process in eRoom. In addition, these concerns have on-going activities, and yet they are marked as closed even though the actions to “resolve” the

concern do not appear to fully address the closure. Moreover, Deloitte does not identify how the on-going activities related to the concerns will be tracked or monitored.

- For example, Concern R03 related to the “SME resource plan for PAT requiring more SMEs than are available” is marked as closed with the following comment—“The AOC has assigned 72 court testers for PAT. The project team is monitoring this item. Several mitigation strategies have been defined, but the issue remains unresolved.” Not only does the comment state that the issue remains unresolved, but also the “resolution” should describe the defined mitigation strategies and describe whether Deloitte agrees that the 72 resources are sufficient.
- Moreover, many of these concerns described in the QA report deal with Project Management related issues such as scheduling and the contract, and not with issues associated to the software development processes as would be appropriate.
- Finally, R01 and R02 are shown as new concerns, but these same numbers were previously used in other QA Report for other concerns. The IPO/IV&V Team has reported this issue of reusing numbers and losing track of the previous R01 and R02 in previous IPO/IV&V reports. Specifically, our recommendation was that tracking numbers not be reused; yet, Deloitte continues to re-use numbers.

4. *Other Quality Improvement Opportunities:*

Similar to other areas mentioned in the “critical path/key timeline” and “project resource concerns” sections, the IPO/IV&V Team found that the QA Report’s identified items are not tracked through the normal risk and issue process in eRoom even though the items present risks or issues. In addition, these concerns have on-going activities, and yet they are marked as closed even though the actions to “resolve” the concern do not appear to fully address the closure. Moreover, Deloitte does not identify how the on-going activities related to the concerns will be tracked or monitored.

- For example, Concern QI02 related to “at least one non-functional requirement related to conversion of 250 local forms developed for V2/V3 counties not being detailed” is marked as closed with the following comment—“AOC documented a list of impacted forms/reports. Deloitte reviewed the forms and provided the level of effort to migrate the reports and redesign/rebuild the reports. AOC and Deloitte must still come to an agreement on the resolution.” However, because it is unclear what agreements need to be reached and the fact that the agreements have not yet been reached, the IPO/IV&V Team cannot see how the concern has been fully addressed.

- In another instance, Q107 identifies a process problem related to differences between documentation that was closed by an action to actively monitor solution—rather than a process oriented solution to fix the problems identified. Similarly, Q108 identifies process issues with Stress Testing, but the resolution to close the issue related to a timeline update solution instead of a process solution to fix the problem.

Quality Architecture:

There were no changes in this focus area in February 2011. For instance, there continue to be no open issues with System Architecture and the System Architecture Team with Deloitte, AOC, ISD, and other Court members have done a good job of identifying and defining the system architecture as well as architectural tradeoffs, raising issues for resolution, and generally creating a solid CCMS-V4 system architecture.

Additionally, the IPO/IV&V Team is still researching the AOC Enterprise Architecture to verify how CCMS-V4 currently fits into the current overall AOC architecture. Verbal discussions have been held, but as of February 28, 2011, the IPO/IV&V Team had not received documentation that the CCMS PMO had indicated would be provided in February 2011. Subsequently, the Enterprise Architecture documentation was delivered to the IPO/IV&V Team on March 11, 2011—after this February 2011 IPO/IV&V report was produced. Thus, the results of the IPO/IV&V Team’s review of this documentation will be provided during March to the CCMS PMO and documented in the March IPO/IV&V 2011 report.

Configuration Management:

There are no new issues with Configuration Management that have not already been discussed in previous IPO/IV&V reports. Configuration Management for documentation is being well controlled through eRoom and JCC Web Sites that have built-in controls for Configuration Management.

However, as QA Report #9 states, “CM Audits have not recently been performed, but are being scheduled.” Thus, once these CM Audits are completed, they may reveal issues or concerns related to configuration management.

System Engineering Standards and Practices:

Since Deloitte Consulting appears to be following currently accepted systems engineering standards and practices, even as defined in IEEE Standard 1220, there are no system engineering standards and practices concerns at this point in time.

Requirements Identification and Traceability:

There are no new issues with Requirements Identification and Traceability that have not already been discussed in other sections of this Report and in previous IPO/IV&V reports. Refer to the Testing Practices and Progress section of this report for a detailed explanation of the concerns regarding traceability.

Detailed Design Review:

There are no new issues with the Detailed Design Review that have not already been discussed in other sections of this Report and in previous IPO/IV&V reports.

System Development Quality and Progress:

There are no new issues with the System Development Quality and Progress that have not already been discussed in other sections of this Report and in previous IPO/IV&V reports.

Testing Practices and Progress:

The IPO/IV&V Team continues to have unresolved concerns in this area although we have continued to discuss and assess the testing effort with the Deloitte during the months of January and February. Specifically, we are concerned that:

- ✓ A requirements master/baseline set of requirements has not been produced after two months;
- ✓ There does not appear to be full traceability between requirements and test cases;
- ✓ Deloitte is maintaining critical data such as requirements and test cases in a variety of tools that are not all integrated, nor compliant with its contract with the AOC;
- ✓ Current Deloitte practices related to requirements traceability have negative short term impacts in that requirements may not be correctly implemented in the design (so that a requirement is not accidentally overlooked) and tested; and
- ✓ These practices also impact long term system maintainability in that future changes to the system cannot be easily tracked or reviewed for impact to the entire application without the appropriate synchronization.

Specifically, beginning in January 2011, the IPO/IV&V Team asked for the “requirements master/baseline” set and, as of February 28, 2011, the IPO/IV&V Team has not received adequate documentation from Deloitte. Assuming a CCMS-V4 Project “requirements master/baseline” exists, the IPO/IV&V Team is concerned over the lack of availability of it for our review.

In addition, the IPO/IV&V Team has a major concern over the traceability between the requirements and the test cases that verify the requirements—in addition to perceived confusion as to exactly where the requirements-test cases reside. Using the data in Deloitte’s HP Quality Center (the tool that held requirements-test case traceability data according to Radek Paces—a Deloitte representative identified by the CCMS PMO for the IPO/IV&V Team to meet with for issue resolution), there are a large number of requirements (greater than 1,200) that do not have traceability to requirements. Subsequently, Radek Paces told the IPO-IV&V Team that the requirements to test case

traceability information resided in an external spreadsheet. However, that spreadsheet had not been provided as of 2/28/11. The CCMS PMO and Deloitte are coordinating to schedule further discussions in March 2011.

Regardless, the information related to where the requirements-to-test case traceability data is located as well as the existence of the FFDV spreadsheet raises another major system development lifecycle concern in that Deloitte is maintaining critical data in a variety of different tools that are not all appropriately integrated. While the CCMS contract requires the use of an integrated software development environment and specifically identifies the Rational Rose suite, it is also known that the Project has Rational Requisite Pro, a requirements management tool that integrates with Rational Rose. However, according to the IPO/IV&V Team's review of the various Deloitte systems as well as discussions with Radek Paces and Rajesh Tahaliyani of Deloitte, we know that the Rational Requisite Pro tool is not being used to manage the FFD requirements. It is also known that the Project is using HP QC, ClearCase, and Rational Rose and all of these tools integrate (meaning the tools can share data) with Requisite Pro.

What is concerning to the IPO/IV&V Team is that even though the Project is required to use the suite of integrated tools, critical data that should be and is normally kept *within* the suite of tools is instead kept *outside* the tools and in spreadsheets—therefore, it is unable to be used and shared by the integrated suite of tools. The IPO/IV&V Team concern is both in the near-term related to baseline/master requirements list and traceability of test cases, as well as for the long-term in terms of maintainability of the CCMS product. Having an integrated suite of software development tools with the critical data connecting and aligning all the individual tools together residing outside the integrated suite will seriously impact maintainability of the CCMS product in the long term because future changes to the system cannot be easily tracked or reviewed for impact to the entire application without the appropriate synchronization.

At this point, we will closely monitor and track these traceability items in Appendix A as “*Jan11.1 Requirements Traceability*” as a critical area of concern.

Appendix A: Matrix of Areas of Concern (Open)

The matrix below provides a current listing of all open areas of concern, our recommendations, and the action taken by the CCMS-V4 Project Team. As items are resolved, they will be moved to Appendix B. Key statistics are summarized below:

- **There were no new areas of concern identified this month; however, two areas of concern remain open as of 2/28/11.**
- **The IPO/IV&V Team strongly believes that this project will continue to be a high risk project due to the constraints imposed by the budget, schedule, and resources.**

Item Number	Date Area of Concern Opened	Area of Concern	Recommendation	Current Status
Jan11.1	January 2011	Requirements Traceability	To ensure all requirements are tested, use the graphical data and results provided in this report to (1) link the "Not Covered" requirements with the existing and associated test case, (2) create a dummy test case and link those requirements that are not testable to that dummy test case, and (3) develop and execute test cases for the remaining requirements as needed to ensure coverage of all requirements. In addition, identify or establish requirements baseline and synchronization mechanisms with other requirement repositories.	The CCMS PMO and Deloitte staff have been working on resolving this area of concern and the IPO/IV&V Team is awaiting documentation from Deloitte Consulting.

Item Number	Date Area of Concern Opened	Area of Concern	Recommendation	Current Status
Apr10.1	April 2010	QA Report Metrics	Continue the use of metrics in the QA Reports, but include a definition or interpretation of all metrics shown in the reports.	The IPO/IV&V Team reviewed draft QA Report 9 and provided feedback in February 2011. In addition to other concerns raised by the IPO/IV&V Team in this month's report, the draft QA Report 9 did not address the initial IPO/IV&V April 2010 recommendations.

Appendix B: Matrix of Areas of Concern (Closed)

The matrix below provides a matrix of all closed areas of concern, our recommendations, and the action taken to resolve the issues by the CCMS-V4 Project Team. Key statistics are summarized below:

- **No areas of concern were closed this month.**

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Jul07.1	July 2007	June 2009	Aggressive schedule	The schedule should be reviewed to ensure that ample time has been allocated to each phase of the project.	While the IPO/IV&V Team believes the schedule will remain aggressive for the duration of the project adding to project risk, the RPO and AOC have extended the schedule through contract amendments. At this point, the RPO and AOC have accepted the project risk as neither the schedule nor the budget can be changed.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Aug07.1	August 2007	April 2008	JAD Schedule	<p>There does not appear to be a comprehensive schedule of JADs so that participants can plan time accordingly. Thus, Deloitte Consulting should prepare a detailed schedule that sets realistic timeframes needed to JAD each functional area and ensure the schedule is agreed to by all relevant parties.</p>	<p>JAD scheduling has improved to the point that this is no longer an area of concern. Consequently, this item has been closed. Deloitte Consulting has been diligent in setting and adhering to its JAD schedule. As the project enters the final design stage, participants appear able to plan time accordingly to ensure they are available to participate in tracks as needed and share their subject matter expertise. Meetings were also held to hear concerns that more time was needed to review developing requirements—resulting in more time added to the overall project development schedule.</p>

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Sep07.1	September 2007	June 2008	Requirements Gathering	Ensure that a detailed JAD schedule includes a plan for how the workflow inter-relationships will be addressed.	The AOC has implemented a requirement review process that will be conducted both vertically (within a given subject area) and horizontally (within a business process that crosses subject areas. This step should help address some of our concerns. However, since the final design is nearing completion, there is little value in fully mitigating this concern.
Oct07.1	October 2007	August 2008	Project Oversight Activities	Assign person in role of day to day project management responsible for ensuring that issues are resolved timely, do not impact downstream work efforts, and are not in conflict with other project activities, legal provisions, or branch policy.	Bob and Sean have established a seamless working relationship. Bob has ultimate responsibility for all project management activities. Sean's focus rests with coordinating the FFD review, reporting to the Steering Committee, and following up on issues with the V4 Court Project Managers.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Oct07.2	October 2007	June 2008	JAD Session Documentation	Utilize new template or other mechanism to document detailed JAD Session minutes including areas of discussion, results or actions taken, agreements reached, and issues raised as well as distribute timely for approval.	Since the final design is nearing completion and most JAD sessions had already been held and scheduled, there is little value in mitigating this concern.
Oct07.3	October 2007	May 2008	Governance Structure and Escalation Process	Clarify and establish the complete governance structure to eliminate confusion related to issue escalation process and decision-making.	The CCMS Governance Model appears to be in use and effective in allowing participation in project decisions regarding project scope, cost, and schedule.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Apr08.1	April 2008	June 2009	Unclear Requirements	<p>Review the requirements to determine the types of clarifications needed for understanding in order to avoid confusion during downstream activities such as coding and preparing for testing.</p> <p>As of our 09-2008 review of the FFD, we have suggested the following additional recommendations:</p> <ol style="list-style-type: none"> 1. Identify and evaluate subjective text in FFD (such as may or could) and clarify within the context of use; 2. Perform a traceability exercise to link use cases to business rules—again to reduce need for individual interpretation; 3. Review business rule part of each section to ensure complete and clear rules have been incorporated into the use case. 4. Evaluate pre and post-conditions to ensure they are correct and complete. 	<p>The IPO/IV&V Team has continued to express their concern that the ambiguity surrounding the interpretation of final requirements presents a risk to the construction and testing phases of the project. Data is being captured by the AOC Software Quality Assurance Team during early testing that should assist in defining the extent of the problem and any future concerns will be raised as part of the testing assessment.</p>

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Dec08.1	December 2008	February 2009	Standardization and Configuration	It is not clear what impact the Standardization and Configuration requirements will have on the FFD and on long-term maintenance of the application. Once all Standardization and Configuration requirements have been defined, the requirements should be traced back into the FFD and reviewed again.	The RPO Management Team reported that the Standards and Configuration Management Group will determine whether configurable items are statewide standards or local configurations and that these decisions will not impact the FFD.
Dec08.2	December 2008	February 2009	Single Point of Contact for ISD	A single point of contact should be established for AOC that can track and manage daily progress on ISD-related activities	It was clarified that Virginia Sanders-Hinds is the single point of contact with the authority to make decisions on behalf of ISD.
Mar09.1	March 2009	July 2009	Justice Partners (Interfaces) Plan	Determine the state and progress of the common "State" interfaces which are currently being reviewed by the Justice Partners and assess the progress for project schedule impact.	The CCMS-V4 Project Team has clarified that the Statewide Justice Partners will participate in PAT.
Mar09.2	March 2009	July 2009	Document Management Plan	Determine the state and progress of the agnostic "generic" interface to support any existing document management solution and assess the progress for project schedule impact.	The CCMS-V4 Project Team has clarified that the Lead Courts which use FileNet are scheduled to test this interface during PAT.

Item Number	Date Area of Concern Opened	Date Area of Concern Closed	Area of Concern	Recommendation	Resolution
Aug10.1	August 2010	October 2010	PAT Plan	Either modify the PAT Plan or establish risks for each of the points identified by IPO/IV&V in this report and implement appropriate corrective actions to mitigate the risks.	The IPO/IV&V Team reviewed version 1.4 of the PAT Plan and found that all previous concerns have been remedied.

Appendix C: Project Oversight Review Checklist

To assist us in determining whether the CCMS-V4 project is on track to be completed within the estimated schedule and cost, the Project Oversight Review Checklist is used to identify and quantify any issues and risks affecting these project components. At the onset of the project in 2007, this checklist was used in the State of California Executive Branch System as a best practice which has now been discontinued. This February 2011 checklist contains major changes in an effort to make it more readily understood, and update any current project practices.

Project Oversight Review Checklist

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Have the business case, project goals, objectives, expected outcomes, key stakeholders, and sponsor(s) identified and documented?	X		The business case has been finalized. The project goals, objectives, and expected outcomes are documented in the Deloitte Consulting Statement of Work. The key stakeholders and sponsors are identified and documented in the Project Management Plan for CCMS-V4.
Has a detailed project plan with all activities (tasks), milestones, dates, and estimated hours by task loaded into project management (PM) software? Are the lowest level tasks of a short duration with measurable outcomes?	X		The project plan that has been approved is loaded into Microsoft Project, updated weekly, and reported weekly.
Is completion of planned tasks recorded within the PM software?	X		Completion of milestones is tracked within Microsoft Project.
Are actual hours expended by task recorded at least monthly within PM software?		X	Actual hours for Deloitte Consulting staff are tracked weekly within Playbook Navigator, but are not shared with the AOC as this is a fixed price development contract. The AOC has historically not tracked this information.
Are estimated hours to complete by task recorded at least monthly within PM software?		X	Estimated hours to complete for Deloitte Consulting staff are tracked weekly, but are not shared with the AOC as this is a fixed-price development contract. Any deviations occurring to planned dates are discussed weekly.
Is there a formal staffing plan, including a current organization chart, written roles and responsibilities, plans for staff acquisition, schedule for arrival and departure of specific staff, and staff training plans?	X		There is a formal staffing plan for Deloitte Consulting that is shared with the AOC as this is a fixed-price development contract. Deloitte Consulting tracks internal project staffing with respect to acquisition, schedule for arrival and departure of specific staff, and staff training plans. The AOC does not currently have a CCMS-V4 Staffing Plan; staff are allocated at the CCMS level and not at the specific project level.
Have project cost estimates, with supporting data for each cost category, been maintained?	X		While development costs are tracked internally by Deloitte Consulting, they are not shared with the AOC since this is a fixed-price development contract. The AOC tracks the project budget, monies encumbered, and monies expended to date.
Are software size estimates developed and tracked?	X		Deloitte Consulting has included estimates for Final Design, Final Construction, Testing, and Conversion.
Are two or more estimation approaches used to refine estimates?	X		A Bottom Up estimate is performed by the Deloitte Consulting Project Manager and a Top Down estimate is performed by the Deloitte Consulting Lead.
Are independent reviews of estimates conducted?	X		There are multiple internal reviewers consisting of Deloitte Consulting, AOC, and Court staff.
Are actual costs recorded and regularly compared to budgeted costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. The AOC tracks project budget, monies encumbered, monies expended to date, and monies forecasted to be spent.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Planning and Tracking			
Is supporting data maintained for actual costs?	X		Development costs are tracked internally by Deloitte Consulting and not shared with the AOC since this is a fixed-price development contract. The AOC tracks invoice level data to support its actual cost data tracked.
Is completion status of work plan activities, deliverables, and milestones recorded, compared to schedule and included in a written status reporting process?	X		This information is reported weekly and monthly.
Are key specification documents (e.g. contracts, requirement specifications and/or contract deliverables) and software products under formal configuration control, with items to be controlled and specific staff roles and responsibilities for configuration management identified in a configuration mgmt plan?	X		The CCMS-V4 Configuration Management Plan outlines the process and procedures followed for Configuration Management.
Are issues/problems and their resolution (including assignment of specific staff responsibility for issue resolution and specific deadlines for completion of resolution activities), formally tracked?	X		This information is tracked in eRoom and in the weekly and monthly status reports.
Is user satisfaction assessed at key project milestones?	X		Deloitte Consulting has stated that user satisfaction is assessed at key project milestones in the form of deliverable review. All deliverable comments are logged, reviewed, and categorized to indicate if a response is needed. According to Deloitte Consulting, all defects or other comments that require a response are addressed and tracked through closure. Other validation processes include proof of concepts, UI prototypes, design sessions, design council sessions, and cross track meetings. As such, Deloitte Consulting believes that acceptance of the deliverable is evidence of user satisfaction. While there are no satisfaction surveys used or assessments performed at key project milestones, the AOC agrees that there are several opportunities to talk through and resolve deliverable disagreements on a case by case basis.
Is planning in compliance with formal standards or a system development life-cycle (SDLC) methodology?	X		Planning is in compliance with a formal system development life-cycle (SDLC) methodology.
Is there a formal enterprise architecture in place?	Unknown at this time		The IPO/IV&V Team is reviewing the AOC Enterprise Architecture documentation (which was provided on March 11, 2011 after this report was produced).
Are project closeout activities performed, including a PIER, collection and archiving up-to-date project records and identification of lessons learned?	This phase of the project has not occurred		Project Closeout activities are planned to occur and we will evaluate and comment whether the planned activities occurred at the project closeout.

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Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Procurement			
Are appropriate procurement vehicles selected (e.g. CMAS, MSA, "alternative procurement") and their required processes followed?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Is a detailed written scope of work for all services included in solicitation documents?	X		The AOC has stated that they adhere to Policy Number AOC 7.2.1 (Procurement of Goods and Services) which is overseen by Grant Walker in the Business Services Unit. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Are detailed requirement specifications included in solicitation documents?	X		Detailed requirements were included in Exhibit B of the Statement of Work. The initial procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle.
Is there material participation of outside expertise (e.g. DGS, Departmental specialists, consultants) in procurement planning and execution?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. For ongoing SOWs, independent third-party vendors are used to review and recommend procurement planning and execution practices.
For large-scale outsourcing, is qualified legal counsel obtained?	X		The procurement phase was complete prior to the point that SEC was brought into the project. Thus, we did not review or evaluate the procurement vehicle. The AOC utilized outside counsel for the V4 Development Contract.
Risk Management			
Is formal continuous risk management performed, including development of a written risk management plan, identification, analysis, mitigation and escalation of risks in accordance with DOF/TOSU Guidelines, and regular management team review of risks and mitigation progress performed?	X		The Risk Management Plan contains the process and procedures for risk. Risks are tracked within eRoom and are discussed during the weekly and monthly status meetings.
Does the management team review risks and mitigation progress at least monthly?	X		The management team reviews risks at weekly and monthly status meetings.
Are externally developed risk identification aids used, such as the SEI "Taxonomy Based Questionnaire?"	X		Additional risk identification aids are internal to Deloitte Consulting and are not shared with the AOC.
Communication			
Is there a written project communications plan?	X		This information is contained in the CCMS-V4 Communication Management Plan.
Are regular written status reports prepared and provided to the project manager, department CIO (if applicable) and other key stakeholders?	X		Written weekly and monthly status reports are prepared and discussed with the CCMS PMO as well as vetted through the CCMS Governance Model.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
Communication			
Are there written escalation policies for issues and risks?	X		This CCMS-V4 Project Management documentation contains this information.
Is there regular stakeholder involvement in major project decisions, issue resolution and risk mitigation?	X		The CCMS PMO has primary responsibility for working through the issues and risks. Additionally, issues and status are vetted through the CCMS Governance Model processes.
System Engineering			
Are users involved throughout the project, especially in requirements specification and testing?	X		AOC and Court staff were involved from requirements gathering through testing.
Do users formally approve/sign-off on written specifications?	X		The AOC and Court staff formally approved the FFD documentation.
Is a software product used to assist in managing requirements? Is there tracking of requirements traceability through all life-cycle phases?	Unknown at this time		The tool exists, but is not being used for requirements management. In addition, the IPO/IV&V Team is awaiting requirements baseline/master documentation.
Do software engineering standards exist and are they followed?		X	The CCMS-V4 project does not appear to be following any of the Software Engineering standards for documentation and processes.
Is a formal system development life-cycle (SDLC) methodology followed?		X	The practices do not appear to be in line with CMMI Level 3 requirements, Deloitte is using an overlapped waterfall SDLC as evidenced by the structure of their project plan and the manner in which activities are performed. CMMI Level 3 requirements require that a defined, standard, consistent process and process measurement be followed. This would require that: <ul style="list-style-type: none"> • Technical processes are defined in writing; • Project roles are clearly defined; • Staff are trained in standard methods and process activities before they are assigned to roles; and • Technical management activities are guided by defined processes. It is not clear where the processes and roles are documented and whether the CCMS-V4 Project is CMMI Level 3 compliant.
Does product defect tracking begin no later than requirements specifications?	X		Product defect tracking occurs during deliverable review. Users submit defects by entering comments in the deliverable. Each defect is tracked to closure within the deliverable. Any corresponding response is attached to the original defect in the body of the deliverable. Before approval of the deliverable, the AOC confirms that all defects have been appropriately addressed.

* Either the practice is not in use or there is insufficient information for SEC to verify its use.

Practices and Products	Practice in Use	Practice Not in Use *	Notes:
System Engineering			
Are formal code reviews conducted?		X	Per the contract, the code reviews should be included in the Quality Assurance Reports. Since this information is not included in the Quality Assurance Reports, the IPO/IV&V Team cannot assess whether formal code reviews are conducted.
Are formal quality assurance procedures followed consistently?		X	It does not appear that formal quality assurance procedures are followed consistently for the CCMS-V4 Project.
Do users sign-off on acceptance test results before a new system or changes are put into production?	Unknown at this time		This phase of the project has not occurred. Consequently, the IPO/IV&V Team cannot assess this area.
Is the enterprise architecture plan adhered to?	Unknown at this time		As of February 28, 2011, the IPO/IV&V Team was awaiting AOC Enterprise Architecture documentation. Subsequently, documents were provided to the IPO/IV&V Team on March 11, 2011. These documents will be analyzed and discussed with the CCMS PMO in March and reported in the March 2011 IPO/IV&V Report
Are formal deliverable inspections performed, beginning with requirements specifications?		X	The IPO/IV&V Team cannot assess whether formal deliverable inspections are performed.
Are IV&V services obtained and used?	X		SEC has been hired to perform certain IPO/IV&V tasks.

* **Either the practice is not in use or there is insufficient information for SEC to verify its use.**

Appendix D: IPO/IV&V Project Scorecard

For February 1, 2011 – February 28, 2011 Time Period

Process Area	SEP 2010	OCT 2010	NOV 2010	DEC 2010	JAN 2011	FEB 2011	REMARKS
Communication Management							Day-to-day communication continues to be strong. Some concerns exist with the CCMS Governance Model.
Schedule Management							The schedule remains aggressive.
Scope Management							Project scope is managed and controlled through a variety of avenues.
Risk Management							The risks are reported, discussed, and managed on a weekly basis, but concerns raised in the QA Reports are not tracked as part of the process.
Issue Management							The issues are reported, discussed, and managed on a weekly basis but recent resolutions do not fully address issues closed.
Resource Management							AOC and Deloitte's level of project resources are being defined and appear adequate.
Cost Management							ISD costs and CCMS PMO costs are maintained in separate databases and there is no effort to combine these in the near future.
Quality Management (Client Functionality)							Though testing has been ongoing, the IPO/IV&V Team is still unable to draw a conclusion as to the quality of the client functionality. The primary reason for this is the unclear traceability between requirements and test cases, irrespective of the observed defect rates.
Quality Architecture							Quality Architecture is currently adequately defined from an industry-sound SEI approach.
Configuration Management							CM, for documentation, is being well controlled through the eRoom and JCC web sites that have built-in controls for CM.
System Engineering Standards and Practices							Deloitte Consulting appears to be following currently accepted systems engineering standards and practices.
Requirements Identification and Traceability							The IPO/IV&V Team has concerns with the lack of traceability between use cases and business rules.
Detailed Design Review							The Technical Design documentation was delivered to the CCMS PMO, but is an artifact and not a deliverable. Therefore, the Detailed Design cannot be assessed.
System Development Quality and Progress							The technical architecture and design is proceeding on the defined schedule with only minor changes.
Testing Practices and Progress							Testing continues to be a concern.

Green – On Track
 Yellow – Warning
 Red – Significant Problems

**STATEMENT OF WORK For Both the
Independent Project Oversight (IPO) and
Independent Verification and Validation (IPO AND IV&V) Services
Deployment of the California Case Management System (CCMS)**

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1. Project Background

The California Court Case Management System (CCMS) evolved from a collaborative effort by the courts of the Southern Region to migrate to a common case management system. Because of the complexity of court business procedures and interfaces, the courts initiated an effort to develop a custom solution and formed an Oversight Committee chaired by the Southern Regional Administrative Director (RAD) for the Southern Regional Office of the Administrative Office of the Courts (AOC) to lead the development of CCMS. Over the last several years, the AOC has been in the process of developing the CCMS-V4 Product slated to include family law, juvenile dependency, and juvenile delinquency case types as well as incorporate CCMS-V2 and CCMS-V3 products with traffic, criminal, civil, small claims, probate, and mental health. Toward this end, the AOC has executed a contract with Deloitte Consulting to design, develop, and implement the CCMS-V4 product scheduled for completion in July 2011.

This procurement document outlines the IPO and IV&V services required by the Judicial Council, Administrative Office of the Courts (AOC) in support of the CCMS-V4 Deployment automation effort. An Independent Project Oversight (IPO) effort is intended to review that system deployment adheres to a structured project management methodology and is managed through activities such as project scheduling, risk management, and change management. Independent Software Verification and Validation (IV&V) is a systems engineering discipline helping a deployment organization build quality into the application software implementation and maintenance of the system. Validation is concerned with checking that the configured system meets the user's needs, and Verification is concerned with checking that the system is well-engineered.

While this SOW combines the services requested for IPO and IV&V, separate vendors will be selected to perform the IPO and IV&V services for the deployment of the CCMS-V4 product.

2. Conflict of Interest Exclusion

Any contractor (and its subcontractors) serving in the role of either the IPO or IV&V Service Contractor/Provider to the CCMS-V4 Deployment Project are prohibited from soliciting, proposing, or being awarded any project management, quality assurance, software design, development, or other manner of planning, design, development, or implementation phase activity on the subject CCMS-V4 Project for which these IPO and IV&V services are being procured. This exclusion likewise extends to any other project within the AOC that may interact with or otherwise provide services to the CCMS-V4 Project or to the AOC during the full term of this contract. The primary purpose of this exclusion is to ensure the IPO and IV&V Service Providers do not find themselves involved with any real or perceived conflicts of interest.

3. Key Personnel

Each proposal for IPO and IV&V services must include a resume with the experience and skills of the key personnel proposed for the IPO and IV&V Service Provider contracts. In addition to providing resumes for all key personnel, each proposal for IPO and IV&V services must also specify by name, the position descriptions, titles, and areas of responsibility of the IPO and IV&V personnel who actually will work on the CCMS-V4 Deployment Project.

4. Scope of Services

Using pre-defined checklists and similar tools in state information technology standards and guidelines (specifically for IPO services) and those found in industry standards and guidelines, the IPO and IV&V Service Providers staff will interview and observe CCMS-V4 Project Management Office staff and other internal and contracted staff involved in deployment, observe project meetings and activities to understand the processes, procedures, and tools used in the deployment environments, and review and analyze all applicable and available documentation for adherence to accepted industry and contractually-defined standards. As a result of these interactions and reviews of the applicable CCMS-V4 Deployment Project documentation, the IPO and IV&V Service Providers will each produce structured, exception-based monthly status reports that objectively provide recommendations for correcting the weaknesses that are identified in the assessment reports.

4.1 IPO and IV&V Standards and Guidelines

Applicable tasks and activities will be performed in accordance with the Institute of Electrical and Electronics Engineers (IEEE) Standards, Capability Maturity Model Integrated (CMMI), and Project Management Institute's Project Management Body of Knowledge (PMBOK) Third Edition. Offerors to this contract must clearly and thoroughly describe in their technical response, their approach to using, at a minimum, these three industry standards (CMMI, PMBOK, and IEEE). Additionally, the California Technology Agency's guidelines in its *Information Technology Project Oversight Framework* handbook must be utilized (especially for the IPO services provided).

IPO and IV&V services will be performed regularly on the day-to-day operations and management of the CCMS-V4 Project. To support the IPO and IV&V Service Providers in this role in a timely manner, the IPO and IV&V Service Providers shall have complete access to CCMS-V4 Project documents, facilities, and staff during normal business hours as required in order to fulfill their oversight role. The IPO and IV&V Service Providers shall have access to all key staff on site at the CCMS-V4 project location(s), including the courts, as needed, to conduct IPO and IV&V activities such as observe meetings, review deliverables and documentation, conduct interviews, etc., in order to ensure a high level of integrity and confidence in the oversight and monitoring.

4.2 Independence and Access to Data

To provide appropriate and independent review, analysis, and oversight over the CCMS-V4 Project, the following parameters will be met to allow the IPO and IV&V Service Providers to perform activities unimpeded:

- Agreement by all project participants on the independent role and importance of timely information sharing and meeting scheduling;
- Inclusion as a seamless member of the project team;
- Timely knowledge of and inclusion in all project meetings;
- Commitment from all project participants to attend meetings scheduled with the IPO and IV&V Team;
- Unfiltered access to all documents, data, deliverables, and personnel deemed relevant by the IPO and IV&V teams; and

- Full disclosure of project knowledge including items such as project issues, risks, change requests.

The following section contains lists of individual IPO and IV&V activities by category that should be included in the activities of the IPO and IV&V team. These lists are provided as sample guidance as to what types of activities are deemed necessary.

4.3 Project Management

TASK ITEM	TASK #	TASK DESCRIPTION
Management Assessment	PM-1	Verify and assess project management and organization to determine if lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
	PM-2	Evaluate project progress, resources, budget, schedules, and reporting.
	PM-3	Assess coordination to verify courts/AOC are not working independently of one another.
Project Management	PM-4	Verify that a Project Management Plan was developed and is being followed.
	PM-5	Evaluate the project management plans and procedures to verify that they are developed, communicated, monitored, and implemented.
	PM-6	Verify milestones and completion dates are planned, monitored, and met.
Risk Management	PM-7	Verify that a Project Risk Management Plan was developed and is being followed.
	PM-8	Evaluate the project Risk Management Plan and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and completed.
	PM-9	Verify the use of an appropriate project risk tracking mechanism that documents risks as they arise, enables communication of risks to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the risk to closure.
Issue Management	PM-10	Verify that a Project Issue Management Plan was developed and is being followed.
	PM-10	Evaluate the project Issue Management Plan and procedures to verify that issues are identified, communicated, monitored, and resolutions implemented.
	PM-12	Verify the use of an appropriate project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents the actions taken and resolutions, and tracks the issue to closure.
Change Management	PM-13	Verify that the Change Management Plan was developed and is being followed.
	PM-14	Evaluate the Change Management Plan and procedures are implemented and monitored; and that resistance to change is anticipated and prepared for.
Communication Management	PM-15	Verify that the Communication Plan was developed and is being followed.
	PM-16	Evaluate the communication plans and strategies to verify they support communications and work product sharing between all project stakeholders; and assess if the Communication Plan and strategies are effective, implemented, and monitored.
Configuration Management	PM-17	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
	PM-18	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for approving deliverables.
	PM-19	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely

		scheduling of maintenance actions.
	PM-20	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.
	PM-21	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.
Project Estimating and Scheduling	PM-22	Evaluate and make recommendations on the estimating and scheduling process of the project to ensure that the project budget and resources are adequate for the work-breakdown structure and schedule.
	PM-23	Review schedules to verify that adequate time and resources are assigned.

4.4 Quality Management

TASK ITEM	TASK #	TASK DESCRIPTION
Quality Assurance	QA-1	Evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
	QA-2	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the project.
	QA-3	Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.
	QA-4	Monitor the performance of the QA contractor by reviewing its processes and reports and performing spot checks of system documentation; assess findings and performance of the processes and reports.
	QA-5	Verify that the QA vendor provides periodic assessment of the CMM activities of the project and that the project takes action to reach and maintain CMM Level 3.

4.5 Training

TASK ITEM	TASK #	TASK DESCRIPTION
User Training and Documentation	TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
	TR-2	Verify that all necessary policy and process and documentation is easily available to users.
	TR-3	Verify that all training is given on-time and is evaluated and monitored for effectiveness.
Developer Training and Documentation	TR-4	Review and make recommendations on the training provided to system developers.
	TR-5	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.
	TR-6	Verify that all necessary policy, process and standards documentation is easily available to developers.
	TR-7	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.

4.6 Implementation Strategy

TASK ITEM	TASK #	TASK DESCRIPTION
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System Hardware	IS-1	As needed, evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
Implementation Plans	IS-2	Review the overall implementation plan as well as the individual implementation plans for each court to identify and assess the plan for installing the core system components and the requirements, design, coding, and testing of the customized court specific components.
	IS-3	Throughout the entire process changing from the core system function to a court specific function, ensure that the process is carefully monitored, controlled, and mediated by the CCMS-V4 Deployment Project Team.
Installation Configuration Audit	IS-4	Verify that all software products required to correctly install and operate the software are present in the installation package
	IS-5	Validate that all site-dependent parameters or conditions to verify supplied values are correct.
Installation Checkout	IS-6	Conduct analysis or tests to verify that the installed software corresponds to the software subjected to IV&V.
	IS-7	Verify that the software code and databases initialize, execute, and terminate as specified.
	IS-8	In the transition from one version of software to the next, validate that the software can be removed from the system without affecting the functionality of the remaining system components.
	IS-9	Verify the requirements for continuous operation and service during transition, including user notification.

4.7 User Acceptance Testing

TASK ITEM	TASK #	TASK DESCRIPTION
Pilot Test	UAT-1	Evaluate the plans, requirements, environment, tools, and procedures for pilot testing the system.
	UAT-2	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive, but manageable, testing and that tests are run in a realistic, real-time environment.
	UAT-3	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.
	UAT-4	Verify that test results are verified, that the correct code configuration has been used, and that the tests runs are appropriately documented, including formal logging of errors found in testing.
	UAT-5	Verify that the test organization has an appropriate level of independence from the development organization.
Interface Testing	UAT-6	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	UAT-7	Ensure that acceptance procedures and criteria for UAT are defined, reviewed, and approved prior to test and test results are documented. Procedures must also address the correction/regression testing process for items that do not pass acceptance testing.
	UAT-8	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.
	UAT-9	Verify that the acceptance test organization has an appropriate level of independence from

		the subcontractor.
	UAT-10	Verify that training using the contractor-supplied software is on-going throughout the deployment process, since software will be turned over to the AOC for operation.
	UAT-11	Review and evaluate implementation plan.

4.8 Data Management

TASK ITEM	TASK #	TASK DESCRIPTION
Data Conversion	DM-1	Evaluate the AOC/Deloitte/Court's existing and proposed plans, procedures and software for data conversion.
	DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
	DM-3	Determine conversion error rates and if the error rates are manageable.
	DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.

4.9 Operations Oversight

TASK ITEM	TASK #	TASK DESCRIPTION
Operational Change Tracking	OO-1	Evaluate CCMS-V4 change request and defect tracking processes.
	OO-2	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.
Customer/User Operational Satisfaction	OO-3	Evaluate user satisfaction with system to determine areas for improvement
Operational Goals	OO-4	Evaluate impact of system on program goals and performance standards.
Operational Documentation	OO-5	Evaluate operational plans and processes.
Operational Processes and Activity	OO-6	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.

5. Deliverables

The follow items are the requested deliverables under this contract:

- Regularly scheduled meetings to discuss the progress of the project, observations and defects identified, and barriers or obstacles encountered by the IPO and IV&V Service Providers, as well as to follow-up on action items or issues raised in prior meetings.
- Observation and participation in key project meetings, including weekly project management meetings, and periodic CCMS governance committee meetings.
- Preparation of a log tracking IPO and IV&V issues that delineates any challenges, barriers, risks, issues, defects, milestones changed or missed, and observations warranting discussion and monitoring; monitor the resolution of such issues; document the resolution and closure of each matte.

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- Development and distribution of a monthly narrative report recapping IPO and IV&V activities for the month, areas covered, matters of importance, and the most current Matrix of Issues, as well as at the conclusion of the project, with executive summaries, activities conducted, key results and recommendations, and other matters of importance.

All deliverables shall be approved by the AOC in order for the task which produced them to be considered complete. In all cases, payments to the IPO and IV&V provider shall be contingent upon AOC's approval of deliverables.

6. IPO and IV&V Reporting Requirements

For each area evaluated, the monthly IPO and IV&V status reports should contain the current status of the CCMS-V4 Deployment Project Team's effort. The report should also contain a detailed analysis of each area considering following general questions:

- What is the current process in this area?
- What aspects of the current process and technology efforts adhere to industry best practice standards?
- What about the process or technology needs improvement?
- Is the appropriate documentation and other project artifacts accurate and up-to-date?
- Is the CCMS-V4 Deployment Team making measurable progress in this area?
- Is the effort within the triple constraints of budget, scope, and schedule?
- Are best practices and metrics employed to identify issues, progress, performance, etc?

Responses should be quantified whenever possible. The report should also contain detailed recommendations in each area specifying what can be done immediately and in the long term to improve the project. Any technologies, methodologies, or resources recommended should reflect industry standards and be appropriate for the unique circumstances and constraints of the CCMS-V4 Project. The recommendations should also specify a method of measuring the CCMS-V4 Project's progress against the recommendations.

Follow-up reports should have quantified information on the progress that the CCMS-V4 Deployment Team has made against the recommendations from the previous review. All report findings and recommendations should be historically traceable (with a clear and consistent method of identification/numbering) from the time they are first reported by either the IPO or IV&V Service Provider until closure.

Additionally, the Monthly Status Reports should also contain IPO and IV&V Checklists to enhance narrative provided in the reports. These are IPO and IV&V Checklists, in Question and Answer format, that present elements to be reviewed, observed, monitored, and commented on, with regard to aspects of industry standards for Project Management and Software Implementation, disciplines as found in IEEE, CMI, and PMBOK industry standards, at a minimum.

EXHIBIT D SCOPE OF WORK

1. Project Objectives and Scope

The California Court Case Management System (CCMS) is a single statewide case management system that will eliminate over 130 different variations of 70 independently owned and operated systems currently in use in California trial courts to provide some level of case management in various case types. CCMS will change the way California trial courts conduct business with the public and justice partners, and change the way the public and these partners access the courts and case information. CCMS will complete the transformation from 58 independent county superior and 209 municipal court systems to the unified trial court system envisioned by many and set in motion by the Lockyer-Isenberg Trial Court Funding Act of 1997 (Assem. Bill 233 (Escutia), Stats. 1997, ch. 850) and trial court unification (SCA (Lockyer, 1996), enacted by the voters as Proposition 220 in 1998).

The CCMS project is a major initiative with several stakeholders and beneficiaries. To ensure the success of the project the Bureau of State Audit (BSA) recommends the Administrative Office of the Courts (AOC) seek an independent review of CCMS to make certain that no significant quality issues or problems exist.

The CCMS application is currently in the Product Acceptance testing phase. It is the expectation of the BSA and the AOC that conducting this review will not require a halt in the project; rather, it will be performed in concert with the remaining development and testing effort without significant disruption.

The AOC wishes to conduct an independent review of CCMS focusing on three areas.

- Compliance with CMMI level 3 for CCMS. While the development vendor may be certified for CMMI Level 3, it must be demonstrated that the certification extends to the CMMS project and processes.
 - Should the CMMI assessment identify any deficiencies further analysis should be conducted, focusing on the areas highlighted as being deficient
- Artifact review
 - Contractor will randomly select artifacts, including requirements, design documents; sections of code and test scripts and conduct a traceability assessment.
 - The contractor will also conduct non-random reviews based on issues which arise from the CMMI assessment, documented defects and reported system errors.
- Exploratory testing

- Contractor will use existing test scripts as the basis for evaluation, deviating where desired to validate the stated functionality, sometimes characterized as negative testing.

It is desirable for the selected contractor to provide services for the three areas of emphasis. If, however, that cannot be achieved the contractor can consider a subcontractor arrangement to ensure comprehensive coverage.

2. Background

The Judicial Council of California, chaired by the Chief Justice of California, is the chief policy making agency of the California judicial system. The California Constitution directs the Council to improve the administration of justice by surveying judicial business, recommending improvements to the courts, and making recommendations annually to the Governor and the Legislature. The Council also adopts rules for court administration, practice, and procedure, and performs other functions prescribed by law. The Administrative Office of the Courts (AOC) is the staff agency for the Council and assists both the Council and its chair in performing their duties.

3. Contractor Qualifications

The contractor must be an SEI authorized lead assessor

4. Contractor Responsibilities

A. The Contractor's Project Manager will have the following responsibilities under this Contract:

- 1) Is responsible for the end results and for day-to-day Project management;
- 2) Serves as the Contractor's primary contact;
- 3) Works closely with the State's single point of contact liaison;
- 4) Works closely with the Deloitte Consulting LLP single point of contact liaison;
- 5) Provides on-going status reports to AOC management;
- 6) Manages, prepares, and refines the Contract's end results;
- 7) Proactively assists with resolution of issues with any aspect of the Work;
- 8) Proactively anticipates Project deviations and is responsible for taking immediate corrective action;
- 9) Works with Project Manager to manage and coordinate Work and knowledge transfer; and
- 10) Is responsible for management of Project budget within constraints of Work requirements.

11) Is responsible for managing the application assessment activities to ensure that disruptions to existing and ongoing development activities are avoided.

B. An independent CMMI L3 assessment of the primary vendor Deloitte Consulting LLP will be conducted. The results of this assessment will be made available to the contractor conducting the CCMS Application reviews

Contractor will develop and deliver an independent CCMS Application assessment to the AOC. This assessment will be conducted using a random sampling, at the contractor's expert discretion, of artifacts which have been developed for CCMS by the primary application development contractor Deloitte Consulting LLP. Using the selected CCMS artifact(s) the contractor will conduct a traceability assessment from requirements to coding and testing.

Using the results from the CMMI L3 assessment the contractor will conduct a focused review of identified weaknesses or deficiencies in the Deloitte Consulting LLP CMMI L3 report.

The contractor will use the independent CMMI L3 Assessment Report and all available published CCMS deliverables and project artifacts including but not limited to:

- 1) CCMS-V4 Business Requirements
- 2) CCMS-V4 Final Functional Design Document
- 3) CCMS-V4 Technical Requirements 042007-v14-Final.pdf
- 4) CCMS-V4 Design And Coding Standards_1.1.doc
- 5) CCMS-V4-BR00-7 User Interface and General Standards.doc
- 6) CCMS-V4 Technical Architecture
- 7) CCMS-V4 Operational Procedures
- 8) CCMS-V4 Application Code
- 9) CCMS-V4 Test Scenarios and Scripts

The contractor will determine and communicate in advance the level of required access to Deloitte Consulting LLP and Administrative Office of The Courts staff to conduct interviews as part of the verification.

5. AOC Responsibilities

A. The State's **Project Manager** will be responsible for managing, scheduling, and coordinating all Project activities, including Project plans, timelines, and resources, and escalating issues for resolution to AOC management.

The AOC will undertake the following responsibilities (the "AOC Responsibilities"):

- Make all management decisions and perform all management functions.
- Evaluate the adequacy and results of the services, and accept responsibility for such results.
- Provide, on a timely basis, such information, decisions, approvals and assistance that are necessary to Contractor's work or that Contractor reasonably requests (including third-party permissions and licenses related to software or data).
- Single point of contact for the coordination with the Deloitte Consulting LLP CCMS development team for access to the CCMS source code, project deliverables and artifacts.
- Provide suitable workspace, including furniture, and access to electronic and written information necessary to perform the services.
- Ensure to the best of its ability that all information provided to Contractor is complete, accurate and current in all material respects, contains no material omissions and updated promptly and continuously.

6. Work Requirements

A. The Contractor shall complete the following Tasks:

1) **Task 1 – Independent CCMS Application Assessment Strategy and Plan**

- a) Develop a strategy outlining a detailed approach for the CCMS application assessment. The activities covered under this SOW cannot negatively impact the CCMS Core and or External component product acceptance schedule.
- b) Develop a strategy outlining a detailed approach for the verifying that Deloitte Consulting LLP does comply with CMMI L3 in the management of CCMS.
- c) Include a plan detailing required contractor, Deloitte Consulting LLP and AOC resources and a time line in the strategy. Work with AOC and Deloitte CCMS project managers to develop the application assessment schedule to identify dependencies and avoid negative impact to the CCMS product acceptance schedule.
- d) Identify CCMS required environments and tools to conduct the application assessment.
- e) Develop and propose a timeline that includes all milestones and dependencies.
- f) Include project assumptions and requirements from the contractor's perspective to ensure that contractor's expectations are well understood.

2) Task 2 – Independent Random CCMS Development Deliverables and Artifacts Review

- a) Select and identify random sampling of CCMS deliverables and artifacts to review.
- b) Verify that CCMS requirements samplings have an acceptable level of traceability through design, implementations and test cases
- c) Verify that CCMS code samplings can be traced back to requirements and forward to test scenarios, scripts and test results.
- d) Verify that CCMS test scenario and script samplings can be traced back to code and requirements.

3) Task 3 - Independent Focused CCMS Application Assessment Based on Independently Reported CMMI L3 Process Weaknesses or Deficiencies

- a) Review the complete CCMS primary vendor Deloitte Consulting LLP CMMI L3 assessment report.
- b) Conduct a focused detailed review of development process problem areas as identified by the CCMS primary vendor Deloitte Consulting LLP CMMI L3 assessment report.

4) Task 4 – Independent Exploratory Testing of CCMS Components

- a) Conduct random exception tests of selected CCMS components
- b) Expand existing test scenarios to create exception test scripts

5) Task 5 – Produce CCMS Application Assessment Report

- a) Include Executive CCMS Application Assessment Summary, providing brief overall recap of the review activities, reviewed components, review results, conclusion and recommendations
- b) Include in the Executive summary the findings of the Deloitte Consulting LLP independent CMMI L3 verification.
- c) Include a description of the process used to accomplish the independent CMMI L3 verification.
- d) Include a description of assessment approach, including checklist template and explanation of final assessment metrics to be used
- e) Include a detailed list of each component, sub-system and file which was selected for review

- f) Include a completed assessment checklists for each item which was reviewed, including any identified risks and recommended of follow-up actions
- g) Include the results of overall assessment including final assessment metrics

7. Project Schedule

- A. The duration of the effort will be 2 months from investigation to analysis. This includes a 2 week preparation period for the primary application vendor Deloitte Consulting LLP. The CCMS team will be conducting Product Acceptance Testing and the contractor may use this phase to conduct the exception testing.
- B. The Contractor shall complete and submit the Work pursuant to the schedule presented in Attachment 2. However, the start date shall be changed to the Effective Date of this Agreement and other dates in Exhibits, Attachments and elsewhere shall be moved accordingly.

8. Project Responsibilities

The services and fees for this Agreement are based upon the following assumptions, representations or information supplied by the AOC (“Assumptions”).

- AOC staff or their representatives will be available as required to provide historical CCMS information to Contractor, and to identify and provide specific documentation relevant to the CCMS assessment analysis.
- AOC staff will act as the single point of contact to the Deloitte Consulting LLP CCMS development team to facilitate access to the CMMS code, deliverables and artifacts.
- Deloitte Consulting LLP staff is reasonably available to meet with Contractor staff in timely manner as necessary to support site visits.
- The independent CMMI L3 assessment of Deloitte Consulting LLP will be run concurrently to the assessment.

9. Contractor Key Personnel

- **Project Manager:** The project manager is responsible for the overall direction and quality of the services and deliverables produced for this engagement. In this role, Scott will interface with the AOC for resolution of any significant issues.
List key contractor personnel in this section.