Judicial Council of California

ADMINISTRATIVE OFFICE OF THE COURTS

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April 9, 2008

Hon. Denise Moreno Ducheny
Chair, Joint Legislative Budget Committee
State Capitol, Room 5035
Sacramento, California 95814

Hon. Bob Dutton
Vice-Chair, Senate Budget and Fiscal Review
State Capitol, Room 5064
Sacramento, California 95814

Hon. John Laird
Chair, Assembly Budget Committee
State Capitol, Room 6026
Sacramento, California 94249

Hon. Roger Niello
Vice-Chair, Assembly Budget Committee
State Capitol, Room 6027
Sacramento, California 95814

Re: Update on the California Court Case Management System and Phoenix Statewide Financial System Projects as required by Government Code section 68511.8(a).

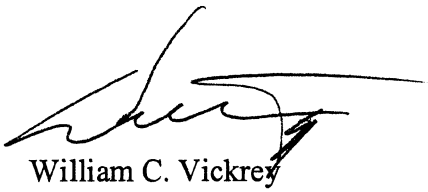
Dear Senators Ducheny and Dutton, and Assembly Members Laird and Niello:

The Judicial Council respectfully submits this report which is required by Government Code section 68511.8(a). That section specifies, until project completion, that the Judicial Council provide an annual status report to the chairperson of the budget committee in each house of the

Legislature and to the chairperson of the Joint Legislative Budget Committee with regard to the California Court Case Management System (CCMS) and the Court Accounting and Reporting System (CARS), (which is now referred to as the Phoenix Statewide Financial System).

If you have any questions on the information provided in this report, please contact Mr. Janus Norman, Senior Governmental Affairs Analyst, AOC Office of Governmental Affairs, at 916-323-3121 or janus.norman@jud.ca.gov.

Sincerely,



William C. Vickrey
Administrative Director of the Courts

WCV/cc/po
Enclosures
cc: Drew Soderborg, Fiscal and Policy Analyst, Legislative Analyst's Office
Diane Cummins, Chief Fiscal Policy Advisor, Office of the President pro Tempore
Craig Cornett, Budget Director, Assembly Speaker's Office
Keely Martin Bosler, Consultant, Senate Budget & Fiscal Review Committee
Matt Osterli, Consultant, Senate Republican Fiscal Office
Joe Stephenshaw, Consultant, Assembly Budget Committee
Allan Cooper, Consultant, Assembly Republican Fiscal Office
Jeff Carosone, Principal Program Budget Analyst, Department of Finance
Ronald G. Overholt, AOC Chief Deputy Director
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Donna Hershkowitz, Assistant Director, AOC Office of Governmental Affairs
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2007 Status of California Court Case Management System and the Phoenix Project

REPORT TO THE LEGISLATURE
APRIL 2008

ADMINISTRATIVE OFFICE
OF THE COURTS

INFORMATION SERVICES DIVISION

Summary

The Trial Court Funding Act of 1997 consolidated all trial court funding in California and entrusted the judiciary, as an independent branch of government, with the financial management of the trial courts. Prior to passage of this legislation, the trial courts had a bifurcated system in which they received the majority of their funding as well as all business and administrative services through their counties. To assist in the transition from county to state stewardship, Government Code section 77212 specifies a method for the county or the trial court to sever the services provided by the county. This law allows for a transition in which county-provided services are extended until the courts are able to assume critical administrative functions.

In support of the judicial branch's strategic plan for court technology and tactical plan for court technology, a survey was conducted in 2001 by MTG Consulting to evaluate the current state of case management systems in the trial courts. The survey identified more than 70 variations, including many that did not meet basic needs of the courts. Meetings with the Administrative Director of the Courts, the Chief Justice, and two former California governors confirmed the need for the judicial branch to develop branchwide solutions, since the state could not support so many different case management systems for its 58 counties.

In February 2003 the Judicial Council reaffirmed its directive to the Administrative Office of the Courts (AOC) to develop and implement necessary administrative infrastructure to support the trial courts' provision of efficient, cost-effective, and reliable statewide administrative services. Accordingly, the Judicial Council embarked on two major information technology (IT) projects: the California Court Case Management System (CCMS) and the Phoenix Project, formerly referred to as the Court Accounting and Reporting System (CARS). Work on both projects is well under way. The AOC expects initial statewide implementation of the Financial System by July 2008 and the Human Resources System, which is also a component of the Phoenix Project, by fiscal year 2011–2012 (contingent on available resources). Implementation of CCMS is also scheduled to be completed by fiscal year 2011–2012.

California Court Case Management System

The California Court Case Management System is a multi-year effort that consists of three products: (1) CCMS-V2—criminal and traffic; (2) CCMS-V3—civil, probate, small claims, and mental health; and (3) CCMS-V4—family law, juvenile dependency and delinquency, plus integration of the current V2 and V3 functionality. CCMS-V4 also will include statewide reporting, court interpreter and court reporter scheduling, and integration with justice partner applications. CCMS will manage all case categories for all California trial courts, operating out of the California Courts Technology Center.

A comprehensive governance structure for CCMS was established in early 2002, which includes an oversight committee, steering committee, regional program office, and the director of the AOC Southern Regional Office. The oversight committee consists of the presiding judges of the five lead courts (the Superior Courts of Los Angeles, Orange, Sacramento, San Diego, and Ventura Counties) and the regional administrative director of the AOC Southern Regional

Office. The steering committee consists of the executive officers of the five lead courts as well as their information technology officers.

The AOC selected BearingPoint to build the CCMS-V2 product, based on a system currently in production at two lead courts (Superior Courts of Orange and Ventura Counties). At present, the CCMS-V2 product has been implemented in the Superior Court of Fresno County. The maintenance and support of the criminal and traffic product was transitioned to Deloitte Consulting on December 22, 2006.

Deloitte Consulting is the vendor for the development CCMS-V3 and CCMS-V4 products. In addition to staff resources from the AOC Regional Project Office and Information Services Division, the Center for Families, Children & the Courts (CFCC), court project managers, subject matter experts, and judicial officers are participating throughout the project.

The CCMS-V3 product was delivered and accepted in 2005. The Superior Courts of Orange, Sacramento, San Diego, and Ventura, Counties have successfully implemented various case categories. The Superior Court of Los Angeles County continues to work on deployment plans and will begin implementation in 2008. The Superior Court of San Joaquin County began preparing for deployment in June 2007 and implemented all case categories in April 2008.

Design and development of the CCMS-V4 project is a 137-week effort that began in June 2007. The product will be ready for production in the California courts by summer of 2010.

Implementation

The implementation schedule for CCMS is currently focused on CCMS-V4. In September 2007, work began on the request for proposal (RFP) for the CCMS-V4 deployment phase. This effort is being supported by Stradling Global Sourcing. The RFP was issued February 20, 2008, with a goal of selecting a vendor in the first quarter of FY 2008—2009. The CCMS-V4 deployment RFP will cover all vendor services required to support deployment to all 58 courts. Deployment activities for all the courts will begin in 2009. Once the vendor has been selected, the deployment schedule will be developed.

CCMS-V2 Criminal and Traffic

Accomplishments to Date

- The software developed by the Superior Courts of Orange and Ventura Counties was successfully migrated to a Web-based application.
- Software coding of the baseline system was completed in July 2004.
- The application was successfully installed in the California Courts Technology Center in July 2004.
- The evaluation environment for CCMS was established at the California Courts Technology Center to allow the courts to assess the application.
- Validation testing was completed in September 2004.
- Stress testing of the application was completed in August 2005.
- The Superior Court of Alameda County was the first court selected to deploy the product. The analysis phase for this deployment was completed in May 2004. However, in 2006,

Alameda decided it was not beneficial for the court to implement CCMS until all case types had been developed.

- The CCMS-V2 application was demonstrated to court executive officers and court information officers at the Judicial Branch Information Technology Conference held at the AOC in San Francisco in January 2005, and later at the California Judicial Conference in San Diego in September 2005.
- In March 2005, end users from the Superior Courts of Alameda, Los Angeles, Orange, Sacramento, San Diego, and Ventura Counties (the lead courts), tested the baseline application, and a contract was approved to begin the initial set of enhancements to the baseline application.
- Functional training sessions were held for staff and judicial officers at the Superior Court of Alameda County, and the product configuration training plan was finalized with the vendor in June 2005.
- In September 2005, major enhancements were completed resulting from the passage of Assembly Bill 3049 (Stats 2004, ch. 952, dealing with traffic matters).
- Training environments for the next set of deployment courts were ordered and installed in October 2005.
- The criminal case category was completed in mid-2006.
- The Superior Court of Fresno County was the first court to deploy CCMS-V2 on July 3, 2006.
- Deployment discussions were initiated with the Superior Court of Plumas County in fall 2006.
- Court content experts and the Phoenix Statewide Financial System and CCMS staff met to discuss interfaces between the two systems in December 2006.
- Transition of support for the criminal and traffic product from BearingPoint to Deloitte Consulting was completed in December 2006.

Activities Under Way

Additional enhancements for a new release are being submitted and reviewed by the court and the AOC.

Proposed Activities

Transition the courts to the CCMS-V4 product as efficiently as possible. This will streamline maintenance and support efforts to a single product.

CCMS-V3 Civil, Small Claims, and Probate and Mental Health

Accomplishments to Date

- Deloitte Consulting was selected as the vendor for the civil, probate, and small claims case types.
- The system design was completed and the construction and coding of the application began in February 2005.

- In April 2005, construction of the application was completed and requirements testing of the code began. Following integration testing in July 2005, the technical testing phase of the application was finalized.
- Deployment discussions were initiated with the Superior Courts of Los Angeles, Orange, Sacramento, San Diego, and Ventura Counties in spring 2005.
- The technical environment, including hardware and software, was installed at the California Courts Technology Center in August 2005.
- Development of test cases, scripts, and scenarios was completed in July 2005. Product acceptance testing was begun in September 2005. A special testing session was conducted with judicial officers from the Superior Courts of Alameda, Los Angeles, Orange, Sacramento, San Diego, and Ventura Counties.
- The assessment phase for deployment in the Superior Courts of Sacramento and San Diego Counties was completed in September 2005.
- The application was demonstrated at the California Judicial Conference in September 2005 in the Superior Court of San Diego County.
- Product acceptance testing was completed and the application was accepted by the lead courts and the AOC in November 2005.
- The knowledge transfer requirements were defined and the first of two sessions was conducted with Deloitte Consulting, court project managers, AOC Information Services staff and consultants.
- Release 4 of the application was available in September 2006.
- The oversight committee voted to add the mental health case type and the design phase in October 2006.
- The Superior Courts of Sacramento and San Diego Counties deployed the small claims case types in November 2006.
- Court content experts and CCMS staff met to discuss the standardization of codes and text in December 2006.
- Release 5 of the application was available in January 2007.
- The V3 product was demonstrated to Judicial Council attendees at the October 2006 Judicial Council Issues Meeting for the CCTC and Statewide Initiatives.
- Deployments of additional case categories and locations occurred in Orange, Sacramento, San Diego, and Ventura Counties.
- Release 6 of the application, which included the addition of the mental health case category, was available in July 2007.
- Ventura County completed deployment of all four case categories in August 2007.
- A judicial officer focus group to identify enhancements and additional functionality took place in August 2007.
- A presentation about the application was given at the National Center for State Courts CTC10, the Tenth National Court Technology Conference, and the National Association for Justice Information Systems (NAJIS) Conference in October 2007.

Activities Under Way

- Deployment activities continue for Los Angeles, Orange, Sacramento, San Diego, and San Joaquin.
- Release 7 of the application, which contains upgrades to the application software components, functionality for alternative dispute resolutions, and other general enhancements, was available in January 2008.

Proposed Activities

Additional enhancements for release 8 are being submitted and reviewed by the court project managers and the AOC.

CCMS-V4 Family Law and Juvenile, Integration of V2 and V3

Accomplishments to Date

- The CCMS Oversight Committee adopted the technology framework used in the civil, probate, and small claims case types as the basis to build a unified case management system. The family law, mental health, and juvenile module will use the same technology standards as are employed in the civil, probate, and small claims case types.
- The CCMS Oversight Committee approved a high-level plan to begin the process of unifying all case categories into one application.
- The lead courts have assigned staff to participate on the project workgroups.
- The CCMS team began defining requirements for unification of the additional case categories in July 2006.
- Resources from the AOC Regional Project Office and Information Services, and the Center for Families, Children & the Courts (CFCC) and court project managers reviewed and validated the requirements in April 2007.
- The development of CCMS-V4 began in June 2007.

Activities Under Way

- Design and development of the unified case management system will continue through spring 2010.
- An RFP will be issued in early 2008 in order to select a vendor for deployment of the CCMS-V4 product. Responses are due in April 2008.

Proposed Activities

Select a statewide deployment vendor.

Phoenix Project

The Phoenix Project (Phoenix) is a statewide technology initiative that provides transition assistance to the courts moving from county stewardship to the judicial branch's financial and human resources systems as a result of the Lockyer-Isenberg Trial Court Funding Act of 1997 (Assembly Bill 233). Phoenix is composed of two major components: Phoenix Financial System and Phoenix Human Resources System. SAP, internationally recognized financial systems software, was selected as the enterprise resource planning solution to host the trial courts' financial and human resources management systems.

The statewide implementation of the Phoenix Financial System standardizes accounting functions in the judicial branch and provides all required parties with timely and comprehensive financial information. The approach taken to implement this statewide judicial branch financial system includes five steps: (1) creation of a trial court financial policies and procedures manual, (2) establishment of an internal audit unit, (3) installation of a standardized statewide financial system, (4) establishment of the trial court accounting and financial services center, and (5) establishment of a centralized treasury.

The Phoenix Financial System enables the courts to produce a standardized set of monthly, quarterly, and annual financial statements that comply with existing statutes, rules, and regulations, prepared in accordance with generally accepted accounting principles. The AOC provided professional accounting and business services for the 49 courts using the Phoenix Financial System as of December 31, 2007, and provided continued fiscal and internal audit support to the nine remaining courts scheduled for implementation following January 1, 2008. The Phoenix Financial System provides immediate access to data, enabling courts to make informed business decisions and improving day-to-day operations.

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

The Phoenix Financial System and the Phoenix Human Resources System originally derived from integrating various accounting and reporting systems and human resources information system programs in the courts, providing end users with a coordinated system that allows seamless interaction between input and retrieval of financial information and support for human resources.

Implementation

Refer to attachment 1, "Phoenix Financial System Rollout Schedule" for implementation details regarding the financial system. The rollout of the Phoenix Financial System is expected to be completed by July 2008. The schedule for statewide installation of the Phoenix Human Resources System is presently under evaluation but is anticipated to be completed by fiscal year 2011—2012, contingent on available resources.

The Phoenix Project is funded by the Judicial Administration Efficiency and Modernization Fund, the Trial Court Improvement Fund, the General Fund, and reimbursements from the trial courts. The first year of the project was devoted to configuring and testing a basic financial system that can be used by all courts, regardless of size or complexity.

Accomplishments to Date

Trial Court Financial Policies and Procedures Manual

- August 2001: The first edition of the *Trial Court Financial Policies and Procedures Manual* was published and went into effect.
- August 2002: In response to the ever-changing fiscal environment of the courts, the AOC released a revised edition of the manual, with added sections and a more comprehensive layer of information than in the first edition.
- February 2003 and February 2004: The third, fourth, and fifth editions of the manual were issued, incorporating new fiscal and financial policies for guidance and use by the trial courts.
- July 2006: The sixth edition of the manual was published and went into effect. One significant new policy included uniform guidelines for trial courts to use in developing an indirect cost rate proposal (ICRP). The ICRP provides a basis for billing other entities for an appropriate share of indirect costs.
- December 2007: The AOC is developing the seventh edition of the manual for release by mid-2008. In addition to content revision, the manual will be updated and distributed to the courts electronically.

Internal Audit Services (IAS) Program

At the same time that the AOC was publishing financial guidelines for the trial courts, it also implemented an internal audit program to assist the courts in managing limited resources more effectively.

- July 2001: Hired a manager to initiate the program. Six auditors were hired by February 2002. Training and exposure to trial courts were initiated through specialized reviews and analytical work.
- Performance audits were initiated in 2002 by Internal Audit Services (IAS). Agreed-upon procedures reviews (AUPRs) were conducted under the direction of the manager of IAS by external contract auditors to supplement the work of IAS. In 2005, AUPRs were converted to performance audits.

- IAS currently performs or supervises performance audits of the trial courts. Included in this process is an evaluation of the readiness of trial courts to implement the Phoenix Financial System.
- December 2007: IAS staff total 17. With only nine courts left to complete the initial phase of system implementation, the auditor teams will complete the last of the readiness evaluations within the next four months. Their emphasis will turn to continue to perform or supervise performance audits of the courts on a regular basis and include a wider array of fiscal areas.

Phoenix Financial System

In early 2001, the AOC surveyed the trial courts to determine the level of interest in a statewide trial court financial system. At the time, most of these courts expressed an interest. Since then, the AOC has worked in close cooperation with the courts to develop a new financial system known as the Phoenix Financial System.

- Early 2001: The AOC surveyed trial courts to determine interest in a statewide trial court financial system.
- December 2002: The AOC launched the implementation of the Phoenix Financial System (formerly CARS); the Superior Court of Stanislaus County became the first court to make the transition to the new financial system.
- February/March 2003: A five-year statewide rollout schedule was released, detailing the trial courts in line for transition to the Phoenix Financial System from fiscal year 2003–2004 through 2008–2009.
- Fiscal year 2003–2004: Six trial courts were added to the Phoenix Financial System: the Superior Courts of Lake, Madera, Placer, San Luis Obispo, Siskiyou, and Tulare Counties.
- Fiscal year 2004–2005: The Phoenix Financial System was installed at 10 trial courts: the Superior Courts of Alameda, Calaveras, Contra Costa, Kings, Merced, Modoc, San Benito, San Bernardino, Tehama, and Yolo Counties—bringing the total to 17 courts on the statewide system.
- July 2004: The position of assistant director, Office of Trial Court Financial Services in the Division of Finance, was established to oversee the Phoenix Financial System on the courts' behalf. This position was filled in November 2004.
- Fiscal year 2005–2006: The Phoenix Financial System was implemented in an additional 14 courts: the Superior Courts of Colusa, El Dorado, Fresno, Humboldt, Kern, Marin, Napa, Plumas, San Joaquin, Santa Cruz, Solano, Sonoma, Trinity, and Ventura Counties—bringing the total to 31 courts on the statewide system.
- April 2005: The Phoenix Financial System product was migrated to the newest version of MySAP (4.7c) for the statewide financial system, adding new functionality and reporting capabilities for use by the trial courts.
- Quarterly meetings during 2005: Three Phoenix Financial System user group meetings were held to enable the courts to network with the AOC; improve the level of services received by the accounting processing center; serve as a forum to raise concerns regarding the functionality of the statewide system; and help build professional relationships with the newly formed Trial Court Financial Services unit.

- April 2005: A comprehensive governance structure for the Phoenix Financial System was established, encompassing a steering committee comprised of AOC Finance, Human Resources, and Information Services divisions, and the three regional directors.
- May 2005: The function of the Treasury Services unit was expanded to include trust accounting services, cash management, and banking services.
- June 2005: A contractor was selected as a result of a request for proposals to study the court trust accounting processes, analyze the court business requirements, and identify processing gaps between MySAP and the Phoenix Financial System environment for the latter's readiness to include the trust accounting business processes within the statewide system.
- July 2005: A study was conducted of the trial court cashiering processes to determine the impact of pending and subsequently chaptered legislation affecting the collection of civil assessment and uniform civil filing fees (Assembly Bill 139, Stats. 2005, ch. 74; Assembly Bill 145, Stats. 2005, ch. 75).
- December 2005: The Business Process Management section was established to provide planning and leadership for the Phoenix Financial System and to develop a strategic direction for the Phoenix Financial System and future use by the courts.
- June 2006: Based on a study of business requirements and a functional gap analysis beginning in June 2005, the 12-member trial court working group and the AOC resolved to develop a new civil and criminal bail trust processing computer application for statewide implementation within SAP's Public Sector Collections and Disbursement module. This new trust system application will be fully integrated with the AOC's Phoenix Financial System financial reporting system, which is also an SAP application. The development of this trust processing and accounting module is under way.
- Fiscal year 2006—2007: The Phoenix Financial System was implemented in an additional 13 courts: the Superior Courts of Alpine, Amador, Glenn, Imperial, Inyo, Lassen, Mariposa, Mono, Riverside, Sacramento, San Francisco, Shasta, and Sierra Counties, bringing the total to 44 courts on the statewide system.
- July 2006: The project was renamed, from Court Accounting and Reporting System (CARS), to Phoenix Financial System, a component of the Phoenix Project that incorporates the Phoenix Financial System and the Phoenix Human Resources System.
- December 2006: The SAP technical infrastructure was expanded to support higher system availability for users and to support the statewide implementation of the remaining courts. The new infrastructure also complies with higher security standards established by the AOC.
- July 2007: The Phoenix Financial System was implemented in five additional courts: the Superior Courts of Butte, Monterey, San Diego, San Mateo, and Santa Barbara, bringing the total to 49 courts on the statewide system since its inception.
- Fiscal year 2007—2008: Contract services were obtained to assist with current system functionality assessment for future system upgrades based on court needs.

Trial Court Accounting Processing Center (APC)/Trial Court Accounting and Financial Services (TCAFS)

- December 2002: The APC, located at the Northern/Central Regional Office in Sacramento, opened on December 2, 2002, with implementation of the Phoenix Financial System in the Superior Court of Stanislaus County.
- The APC supports back-end processing requirements of the Phoenix Financial System. Services include invoice payment processing, contract management, and maintenance of trial court financial information.
- The number of staff employed by the APC grew, in line with the needs and increasing numbers of trial courts joining the statewide financial system.
- August 2005: TCFS reorganized the Accounting Processing Center to align its operations with trial court service level needs; renamed the APC to Trial Court Accounting and Financial Services (TCAFS); and expanded the level of accounting services to include core business functions such as accounts payable, payroll, general ledger and reports, financial analysis, and court support services (liaisons assigned to each court).
- October 2006: The support provided by the Trial Court Accounting and Financial Services continues under the name Phoenix Shared Services Center after reorganization, for better customer service to the courts. The center includes both Phoenix Financial Services and Phoenix Human Resources Services.
- Fiscal year 2007—2008: The services provided to the courts by Phoenix Financial Services have increased significantly as more courts are added to the system. The Accounts Payable Unit now processes approximately 20,000 jury checks per month and also prints and issues 20,000 operation checks per month on behalf of the trial courts to pay their bills. The General Ledger and Reports Unit now balances 147 trial court bank accounts per month and the Trust Services Unit now tracks $500 million in trust monies for the trial courts annually. These numbers will increase even further as the final nine courts implement the Phoenix Financial System.

Statewide Centralized Treasury

- April 2005: The Bank of America (BofA) was selected among several bidders to provide treasury and banking services to the AOC and the trial courts. The closest branch office was assigned to coordinate with corresponding community banks to ensure that all courts have access to the level of services provided by the master service agreement with BofA.
- June 2005: Interest earned was reported by the 17 trial courts during the 2004–2005 fiscal year, based on monies on deposit with the AOC's Treasury Services.
- July 2005: More than 100 bank accounts were opened with the BofA to deposit collections affecting civil assessments, undesignated fees, and Uniform Civil Fees (UCF), as a result of enacted legislation, as of September 2005.
- September 2005: For the first time, cash collections on deposit were remitted in the AOC's bank accounts to the State Treasurer's Office (STO) and reported to the State Controller's Office (SCO) as a result of enacted legislation affecting civil assessments and undesignated fees (AB 139).

- November 2005: Consulting firm was contracted to design, develop, and implement a system to accept UCF collections as reported by the 58 trial courts and to make monthly disbursements to the county, State Treasurer's Office, and State Controller's Office.
- March 2006: A computer application under development since September 2005 was delivered to electronically accept the certified TC-145, a monthly report of UCF fees collected by statutory code section, from all 58 trial courts and prepare the required monthly distributions to the state and local entities. The system was developed as a separate application from the AOC's SAP enterprise resource planning system, where the AOC's financial reporting system, the Phoenix Financial System, resides. The system prepared the first distribution of UCF fees for the January 2006 calendar month collections.
- March 2006: The AOC established master agreements with BofA Merchant Services and EDS Information Systems to provide comprehensive services to accept credit and debit cards, either in person at the courts' cashiering lines or remotely via the phone or Internet Web site. Although participation in these agreements is at the discretion of each court, these agreements provide a single vendor source for credit card processing statewide, with favorable pricing based on estimated statewide transaction volumes.
- June 2006: Interest earnings were reported on operating fund balances maintained by the 35 trial courts using the AOC's Treasury Services during the 2005—2006 fiscal year. This increase was due to a substantial increase in average balances maintained and an increase in average money market investment interest rates.
- Fiscal year 2007—2008: Efforts continue to develop specific business requirements to implement the functionality necessary to support the centralized, pooled treasury.

Phoenix Human Resources System

In early 2003, the AOC completed a study of courts' current methods for management of human resources and to determine additional resources for transition to a statewide human resources program. The Judicial Council voted to affirm support for development and implementation of statewide administrative infrastructure initiatives, including trial court human resources needs.

- November 2004: A steering committee formed by the AOC voted to support the Court Human Resources and Information System (CHRIS) project and defined the project scope.
- June 2005: The AOC completed development and configuration of a CHRIS prototype.
- July 2006: CHRIS was renamed the Phoenix Human Resources System and joined the Phoenix Financial System as part of an integrated system designed to serve financial, human resources, and payroll needs of the trial courts.
- June 2006: First installed in the Superior Court of Sacramento County, the Phoenix Human Resources System enables electronic management of the following functions: personnel administration, organizational management, payroll, time management, benefits administration, training and event tracking, and compensation administration.
- January 2007: Five additional courts (Lake, Riverside, Santa Cruz, Siskiyou, and Stanislaus) went live on the Phoenix Human Resources System.

- Further deployment of the Phoenix Human Resources System was halted pending an upgrade of the system to be conducted during the 2008—2009 fiscal year and until additional resources are provided for this component of the project.

Activities Under Way

- The seventh edition of the *Trial Court Financial Policies and Procedures Manual* is being prepared.
- Phoenix Financial System working groups continued to meet through 2007 to address accounting methodology and functionality for expanding the chart of accounts and to conduct a business analysis and functional needs assessment for the trial courts' accounting of fixed assets. The strategic direction for the Phoenix Financial System is being updated through the 2008–2009 fiscal year.
- The AOC is preparing a request for proposals for the next phase of a system upgrade (both financial and human resources) beginning in July 2008 with a 12-month preparation and testing period before implementation. The upgrade will provide added system functionality such as enhanced statewide reporting and other added features.
- The deployment of the Phoenix Human Resources System to the remaining 52 courts will include additional modules such as recruitment, performance management, personnel cost planning, and e-learning. Rollout is anticipated to continue after the planned upgrade to the SAP system. Projected completion is in FY 2011–2012.
- The Phoenix Financial System will be deployed to the final nine courts, beginning with the Superior Courts of Del Norte and Mendocino Counties in January 2008, followed by the Superior Courts of Nevada, Sutter, Tuolumne, and Yuba Counties in April 2008, and finally with the Superior Courts of Los Angeles, Orange, and Santa Clara Counties in July 2008.

Proposed Activities

- Update the Phoenix Project strategic plan (roadmap) for future functionality to meet the trial court business needs included in new SAP case types, such as cash management, public sector collections and disbursement, solution management, grants management, and Adobe interactive forms.
- The seventh edition of the *Trial Court Financial Policies and Procedures Manual* will be available for release by mid-2008.

Total CCMS and PHOENIX Project Revenue and Expenses to date

Attachment 2, "California Court Case Management System (CCMS) Annual Revenue and Expenses" and Attachment 3, "Phoenix Project Annual Revenue and Expenses" summarize revenues and expenses to date for the two systems, CCMS and the Phoenix Project.

Attachment 1

Phoenix Financial System Rollout Schedule (December 2007)

Fiscal Year 2002–2003
December 1: Stanislaus

Fiscal Year 2003–2004
November 1: Siskiyou
December 1: San Luis Obispo
January 1: Placer
February 1: Tulare
April 1: Lake and Madera

Fiscal Year 2004–2005
July 1: Alameda, San Benito, and San Bernardino
October 1: Kings, Merced, and Modoc
January 1: Calaveras, Contra Costa, Tehama, and Yolo

Fiscal Year 2005–2006
July 1: Fresno, Marin, and Ventura
October 1: Kern, Solano, and Trinity
January 1: Humboldt and San Joaquin
April 1: Colusa, El Dorado, Napa, Plumas, Santa Cruz, and Sonoma

Fiscal Year 2006–2007
July 1: Riverside, San Francisco, Sacramento, and Shasta
October 1: Alpine, Amador, Inyo, and Mono
January 1: Imperial
April 1: Glenn, Lassen, Mariposa, and Sierra

Fiscal Year 2007–2008
July 1: Butte, Monterey, San Diego, and San Mateo
July 7: Santa Barbara
January 1: Del Norte and Mendocino
April 1: Nevada, Sutter, and Yuba
April 8: Tuolumne

Fiscal Year 2008–2009
July 1: Los Angeles and Santa Clara
July 8: Orange

Attachment 2

California Courts Case Management System (CCMS) Revenue and Expenses (FY 2007-2008 and FY 2008-2009 Estimated)

	FY 2000-01	FY 2001-02	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	Estimated FY 2007-08 [1]	Estimated FY 2008-09 [1]	Total FYs To-Date
REVENUE										
Fund Allocations										
General Fund	$0	$0	$0	$4,445,618	$406,854	$406,854	$406,854	$415,817	$415,817	$6,497,814
Modernization Fund	0	0	0	4,357,500	$15,603,667	2,721,539	11,167,881	16,908,886	20,000,000	50,759,473
Trial Court Trust Fund	0	0	21,000,000	0	$0	0	50,000,000	0	52,084,318	71,000,000
Trial Court Improvement Fund	0	0	0	1,502,029	4,499,657	18,986,291	35,606,222	68,691,301	69,000,000	129,285,500
Trial Court Reinbursements	0	0	0	0	200,000	1,647,987	3,948,790	3,948,790	3,948,790	9,745,567
Trial Court Deployment (direct pay by court to vendor)					0	31,183,052	22,374,767	0	0	53,557,819
Total Revenue	$0	$0	$21,000,000	$10,305,147	$20,710,178	$54,945,723	$123,504,514	$89,964,794	$145,448,925	$320,430,356
EXPENSES										
Criminal and traffic development	$0	$0	$8,164,044 *	$401,374	$1,670,000	$7,077,032	$5,466,985	$4,269,508	$2,000,000	$27,048,943
Civil, small claims, and probate development	0	0	10,675,956 *	4,954,565	13,771,313	9,094,182	2,097,247	2,900,000	2,000,000	43,493,263
Additional development	0	0	0	0	0	0	50,678,160	40,271,153	12,829,227	90,949,313
Infrastructure	0	0	0	0	0	0	0	4,566,356	31,893,300	4,566,356
Consulting	0	0	2,160,000	3,447,179	4,107,535	4,704,954	11,375,972	6,339,914	7,954,399	32,135,554
Admin. costs	0	0	0	0	139,116	0	190,004	3,227,000	1,860,444	3,556,120
Staffing	0	0	0	0	421,854	1,238,516	2,404,534	5,383,000	9,443,000	9,447,904
Hardware/software costs and maintenance	0	0	0	1,502,029	400,360	0	28,916,845	16,568,908	15,908,138	47,388,142
Trial Court deployment and tech center	0	0	0	0	200,000	32,831,039	22,374,767	6,438,955	61,560,417	61,844,761
Total Expenses	$0	$0	$21,000,000	$10,305,147	$20,710,178	$54,945,723	$123,504,514	$89,964,794	$145,448,925	$320,430,356

*Hardware and software expenses included in FY 2002-2003 expenses.

[1] Revenue fund split is subject to modification.

Attachment 3

Phoenix Project/Financial System-Revenue and Expenses through FY 2006-2007 [1]
Phoenix Project-Human Resources and Financial System-Revenue and Expenses estimated for FY 2007-08 and FY 2008-09

	FY 2000-01	FY 2001-02	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	Estimated FY 2007-08[2]	Estimated FY 2008-09[2]	Total FYs To-Date
REVENUE										
Fund Allocations										
General Fund	$109,256	$639,450	$1,774,488	$5,646,640	$2,594,877	$3,590,099	$2,344,864	$3,470,696	$9,233,091	$29,403,461
Modernization Fund	116,865	1,618,242	2,436,594	600,582	4,135,487	2,735,201	23,169	2,900,000	2,900,000	17,466,140
Trial Court Improvement Fund	0	0	1,275,000	2,142,479	780,730	2,589,879	8,575,439	21,757,576	10,637,508	47,758,611
Trial Court Trust Fund	0	0	0	0	0	1,309,669	0	0	0	1,309,669
Trial Court Reimbursements	0	0	0	0	1,869,815	1,686,716	4,790,112	10,671,728	10,585,287	29,603,658
Total Revenue	$226,121	$2,257,692	$5,486,082	$8,389,701	$9,380,909	$11,911,564	$15,733,584	$38,800,000	$33,355,886	$125,541,539
EXPENSES										
AOC TCFS Staff	$15,656	$419,021	$862,808	$991,617	$1,028,140	$3,090,099	$1,844,864	$10,446,709	$8,511,296	$27,210,210
AOC ERP/User Support Staff	93,600	112,320	219,030	500,000	465,000	659,448	1,005,332	2,317,443	3,784,505	9,156,678
AOC TCAFS Staff	0	108,109	692,650	971,159	2,513,953	2,658,866	4,711,244	3,008,274	8,008,332	22,672,587
AOC HR Staff								1,849,112	1,853,491	3,702,603
AOC AUPR/Internal Audit Staff	0	0	0	94,000	100,000	150,000	0	0		344,000
Subtotal AOC Staff	$109,256	$639,450	$1,774,488	$2,556,776	$4,107,093	$6,558,413	$7,561,440	$17,621,538	$22,157,624	$63,086,078
Contractors	$116,865	$1,457,694	$3,447,332	$5,281,042	$3,336,486	$3,834,805	$7,628,894	$15,434,758	$4,198,932	$44,736,808
SAP licenses, hardware, maintenance, tech center support, and end-user training	$0	$160,548	$264,262	$551,883	$1,937,330	$1,518,346	$543,250	$5,743,704	$6,999,330	$17,718,653
Total Expenses	$226,121	$2,257,692	$5,486,082	$8,389,701	$9,380,909	$11,911,564	$15,733,584	$38,800,000	$33,355,886	$125,541,539

[1] Prior to FY 2007-08, reported solely on the Phoenix Financial System (CARS); for FY 2007-08 and 2008-09 also reported on Phoenix Human Resources System.

[2] Revenue fund split is subject to modification.