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ADMINISTRATIVE OFFICE OF THE COURTS

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ADMINISTRATIVE OFFICE
OF THE COURTS (SAC)

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Administrative Director of the Courts

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January 23, 2009

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. Noreen Evans
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 Senator Ducheny, Senator Dutton, Assembly Member Evans, and Assembly Member Niello:

The Judicial Council respectfully submits this report, which is required by Government Code section 68511.8(a). That section specifies that, until project completion, 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 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,

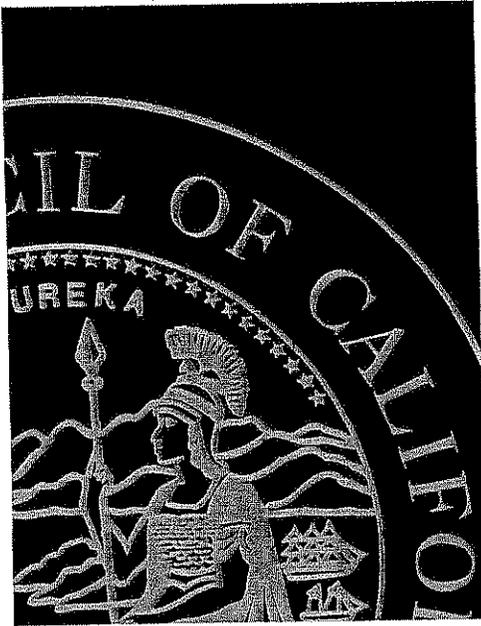


William C. Vickrey
Administrative Director of the Courts

WCV/cc

Enclosures

cc: Craig Cornett, Chief Fiscal Policy Advisor, Office of Senate President pro Tempore
Christopher Woods, 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
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2008 Status of the California Court Case Management System and the Phoenix Project

REPORT TO THE LEGISLATURE
DECEMBER 2008



ADMINISTRATIVE OFFICE
OF THE COURTS

Judicial Council of California
Administrative Office of the Courts
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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. Before passage of this legislation, the trial courts had a bifurcated system in which they received most of their funding and 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 and tactical plans 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 a 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. Work on both projects is well under way. The AOC completed the initial statewide implementation of the Phoenix Financial System (formerly referred to as the Court Accounting and Reporting System (CARS)) in July 2008. The second phase of the project involves a system software upgrade and its redeployment to all 58 trial courts. The Phoenix Human Resources System, (formerly referred to as the Court Human Resources Information System (CHRIS)), is also a component of the Phoenix Project and is anticipated to be fully implemented by fiscal year 2011–2012 (contingent on available resources). Implementation of CCMS is scheduled to be completed by fiscal year 2012–2013.

California Court Case Management System

The California Court Case Management System (CCMS) is a multiyear 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-V4 will include public access functionality such as electronic filing and statewide case inquiries. CCMS will manage all case categories for all California trial courts, operating out of the California Courts Technology Center (CTCC).

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 and the regional administrative director of the AOC Southern Regional Office.

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 is in use at 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.

The CCMS-V3 product was delivered and accepted in 2005. The Superior Courts of Orange, San Joaquin, and Ventura Counties have successfully implemented civil, small claims, probate, and mental health case categories. The Superior Court of Sacramento County has implemented civil and probate. The Superior Court of San Diego County has implemented civil, small claims, and probate. The Superior Court of Los Angeles County has implemented small claims at the Alhambra Courthouse. The CCMS-V3 courts continue to work on enhancements to address improvements to the application.

Deloitte Consulting was selected as the vendor for the development of the CCMS-V4 product. In addition to resources from the AOC Regional Program Office and Information Services Division, the Center for Families, Children & the Courts (CFCC), court project managers, subject matter experts, and judicial officers are contributing to the development and design of the CCMS-V4 product. The product will be ready for production in the California courts by summer 2010.

Implementation

The implementation schedule for CCMS is currently focused on CCMS-V4. In September 2007, work began on the request for proposals (RFP) for the CCMS-V4 deployment phase. The RFP was issued February 20, 2008, and the AOC is currently in final negotiations with the vendor. The CCMS-V4 deployment RFP covers all services required to support deployment to all 58 courts. Deployment activities for California trial courts will begin in 2009 with a goal of implementing CCMS-V4 to all California courts by June 2013.

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 categories were 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.
- 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 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.
- CCMS met with the courts and representatives from the Phoenix Financial System 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.
- Release 4 of the application was available in April 2008.
- Release 5 of the application was available in June 2008.
- The CCMS regional program office and courts and vendor worked with the AOC's Information Services Division (ISD) to transition to a new technology center.

Activities Under Way

- Release 6 includes an interface with the courts' collections vendor and will be finalized for release in 2009.

Proposed Activities

- Transition the court to the CCMS-V4 product as quickly as possible to streamline maintenance and support efforts to a single product.
- Complete analysis of application changes and requirements to support Senate Bill 1407.

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

Accomplishments to Date

- Deloitte Consulting was selected as the vendor to develop civil, probate, and small claims case categories.
- The system design was completed and construction 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 lead 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.
- Product acceptance testing was completed and the application was accepted in November 2005.
- Release 4 of the application became available in September 2006.
- The oversight committee voted to add mental health case functionality, and design of these enhancements began in October 2006.
- The V3 product was demonstrated to Judicial Council attendees at the October 2006 Judicial Council issues meeting for the CCTC and statewide initiatives stakeholders.
- Deployments of additional case categories and locations occurred in Orange, Sacramento, San Diego, and Ventura Counties.
- The Superior Courts of Sacramento and San Diego Counties deployed the small claims case category in November 2006.
- CCMS stakeholders met with the courts to discuss standardization of codes and text in December 2006.
- Release 5 of the application became available in January 2007.
- Release 6 of the application, which included the addition of mental health case types, became available in July 2007.
- The Superior Court of Ventura County completed deployment of all four case categories in August 2007.

- A judicial officer focus group was hosted in August 2007 to identify additional enhancements and functionality.
- A presentation about the application was given at the National Center for State Courts' Tenth National Court Technology Conference (CTC10), and the National Association for Justice Information Systems (NAJIS) conference in October 2007.
- Orange County completed deployment of all V3 case categories in February 2008.
- San Joaquin deployed all V3 court case categories in all locations in April 2008.
- Los Angeles deployed the V3 small claims case category at the Alhambra courthouse in May 2008.
- Product acceptance testing (PAT) for release 7 was completed in early 2008.
- The courts, regional project office, and vendor worked with the AOC's Information Services Division to complete the transition to a new technology center.

Activities Under Way

- Deployment activities continue in Los Angeles.
- Release 6.07E is being deployed into production and monitored.
- Release 7 of the application, which contains upgrades to the application software components and other general enhancements, is currently in user acceptance testing (UAT) with production being targeted for early 2009.
- PAT for V3 releases 8 and 9 started in late October 2008 and is expected to continue into spring 2009.
- Analysis of application changes and requirements to support SB 1407 began in October 2008.

Proposed Activities

- Perform UAT for V3 releases 8 and 9 in early 2009.
- Put V3 releases 8 and 9 into production in spring 2009.
- Develop and test release 10, which is focused on enhancements for electronic filing.

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

Accomplishments to Date

- The CCMS oversight committee adopted the technology framework used in CCMS-V3 as the basis to build a unified case management system. Criminal, traffic, family law, mental health, juvenile delinquency, and juvenile dependency will use the same technology standards that are employed in the civil, probate, and small claims case categories.
- 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 in the CCMS-V4 design and development efforts.
- The CCMS team began defining requirements for unification of the case categories in July 2006.

- Resources from the AOC Regional Program Office; the ISD; the Center for Families, Children & the Courts (CFCC); and the courts reviewed and validated the requirements in April 2007.
- The development of CCMS-V4 began in June 2007.
- A V4 deployment RFP was issued in January 2008.
- A V4 deployment RFP bidder's conference occurred in March 2008.
- V4 Deployment vendor presentations occurred in May 2008.

Activities Under Way

Design and development of the unified case management system will continue through spring 2010.

Proposed Activities

- Continue review of final functional design, which was delivered in September 2008.
- Complete contract with a statewide deployment vendor.
- Conduct regional forums in January 2009 to inform courts about upcoming development and deployment activities.

Phoenix Program

The Phoenix Program 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 (Assem. Bill 233). Phoenix is composed of two major components: the Phoenix Financial System and the 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 has been providing professional accounting and business services for 57 courts using the Phoenix Financial System as of July 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. They provide end users with a coordinated system that allows seamless interaction between input and retrieval of financial information and support for human resources.

Funding

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

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.

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 help the courts manage 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 IAS manager, 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 readiness evaluations in the next four months.
- FY 2008 and beyond: IAS will regularly perform or supervise performance audits of the courts 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 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 use the new 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 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 to 17 the number of courts on the statewide system.
- July 2004: The position of assistant director, Office of Trial Court Financial Services in the Finance Division, was established to oversee the Phoenix Financial System on the courts' behalf. This position was filled in November 2004.
- Fiscal year 2005–2006: The system was implemented in an additional 14 courts: the Superior Courts of Colusa, El Dorado, Fresno, Humboldt, Kern, Marin, Napa, Plumas, San Joaquin, Santa Cruz, Solano, Sonoma, Trinity, and Ventura Counties—bringing to 31 the number of courts on the statewide system.
- 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 composed 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 an RFP to study the court trust accounting processes, analyze court business requirements, and identify processing gaps between

MySAP and the Phoenix Financial System environment to assess the latter's readiness to include the trust accounting business processes within the statewide system.

- 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 (Assem. Bill 139, Stats. 2005, ch. 74; Assem. 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 system and its 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, 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 to 44 the number of 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 Program 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 Counties, bringing to 49 the number of courts on the statewide system since its inception.
- Fiscal year 2007–2008: The services provided to the courts by Phoenix Financial Services increased significantly as more courts were added to the system. The Accounts Payable Unit processed approximately 20,000 jury checks per month and printed and issued 20,000 operations checks per month on behalf of the trial courts to pay their bills. The General Ledger and Reports Unit balanced 147 trial court bank accounts per month and the Trust Services Unit tracked \$500 million in trust monies for the trial courts annually. These numbers reflect the support provided to 49 trial courts on the Phoenix Financial System during that period.
- January 2008: The AOC participated in an RFP process for a system upgrade (both financial and human resources) beginning in July 2008 with a 12-month preparation and testing period before implementation. The upgrade ensures the continuance of technical support of the system software and provides added system functionality such as enhanced statewide reporting and other features.

- January 2008: The Phoenix Financial System is deployed to the Superior Courts of Del Norte and Mendocino Counties.
- April 2008: The Phoenix Financial System is deployed to the Superior Courts of Nevada, Sutter, Tuolumne, and Yuba Counties.
- July 2008: The Phoenix Financial System is live in 57 courts. Deployment has reached the Superior Courts of Los Angeles, Orange, and Santa Clara Counties. In the 58th and final court, the Superior Court of Los Angeles County, implementation is occurring in phases because of the size and complexity of the court.
- July 2008: The AOC received additional resources for the Phoenix Program through the budget change proposal process to assist with the development and deployment of the project.
- July 2008: As a result of the RFP process in January 2008, contract services were obtained to assist with a system functionality assessment in preparation for the second phase of the project specific to a system software upgrade and its redeployment. EPI-USE America, Inc. was selected to assist in the final deployment of the Phoenix Financial System to the Superior Court of Los Angeles County and the implementation of the Phoenix Human Resources System to the 52 remaining courts. That company will also perform the planned Phoenix System SAP upgrade and redeployment to all 58 courts.
- October 2008: Statistics indicate a significant increase in services provided to the 58 courts on the Phoenix Financial System. The Accounts Payable Unit processed approximately 231,000 jury checks per month and also printed and issued 175,000 operation checks per month on behalf of the trial courts to pay their bills. The General Ledger and Reports Unit balanced 228 trial court bank accounts per month, and the Trust Services Unit tracked more than \$1 billion in trust monies for the trial courts annually.
- October 2008: Statewide regional forums were held in an effort to ensure that the vision, goals, and objectives of the Phoenix Program were conveyed to stakeholders, affording them the opportunity to provide essential input for various aspects of the project.

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: A 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, STO, and SCO.

- 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 continued 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, which 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 (the Superior Courts of Lake, Riverside, Santa Cruz, Siskiyou, and Stanislaus Counties) went live on the system.
- July 2008: Further deployment of the Phoenix Human Resources System was temporarily halted pending an upgrade of the system to be conducted during FY 2008–2009 and until additional resources are provided for this component of the project.

- Scheduled to commence after the planned upgrade to the SAP system in 2009, the deployment of the Phoenix Human Resources System to the remaining 52 courts will include additional modules such as recruitment, performance management, personnel cost planning, and e-learning. Projected completion is in FY 2011–2012.

Activities Under Way

- The seventh edition of the *Trial Court Financial Policies and Procedures Manual* is being prepared by the AOC Finance Division.
- System design continues as a collaborative effort after an overwhelming response from the courts volunteering their input and subject matter expertise. Under the direction of the Phoenix Steering Committee, eight subject-matter-specific user groups were established to assist in the preparation of the Phoenix System upgrade. The groups include Budget Management, Employee Self-Service/Manager Self-Service (ESS/MSS), General Ledger, Grants Management, HR/Payroll, Materials Management, Technical, and Trust and Treasury. This global blueprint design phase of the project will continue through June 2009.
- Phoenix System SAP software testing and development for the planned upgrade will soon begin in preparation for system redeployment to all 58 courts. Full system implementation will ensure that the trial courts have the infrastructure support necessary to conduct their day-to-day administrative business.
- Efforts have been initiated to assess the 125 bargaining contracts that exist statewide for all of the trial courts to determine how the future payroll system will be configured.

Total CCMS and Phoenix Project Revenue and Expenses to Date

Appendix 1, “California Court Case Management System (CCMS) Annual Revenue and Expenses” and appendix 2, “Phoenix Project Annual Revenue and Expenses,” summarize revenues and expenses to date for the two systems, CCMS and the Phoenix Project.

Attachment 1

California Court Case Management System (CCMS) Revenue and Expenses (FY 2008-2009 and FY 2009-2010 Estimated)

	FY 2000-01	FY 2001-02	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	Estimated FY 2008-09 (1)	Estimated FY 2009-10 (1)	Total FYs To Date
REVENUE											
Fund Allocations	\$0	\$0	\$0	\$4,445,618	\$406,854	\$406,854	\$406,854	\$425,365	\$416,045	\$416,045	\$6,923,635
General Fund	0	0	0	4,357,500	\$15,603,667	2,721,539	11,167,881	8,821,318	22,639,812	15,836,126	\$81,147,843
Modernization Fund	0	0	21,000,000	0	\$0	0	50,000,000	0	83,238,531	248,041,081	\$402,279,612
Trial Court Trust Fund	0	0	0	1,502,029	4,499,657	18,986,291	35,606,222	73,590,164	29,446,422	15,051,596	\$178,682,381
Trial Court Improvement Fund	0	0	0	0	200,000	1,647,987	3,948,790	3,466,762	1,948,396	1,948,396	\$13,160,331
Trial Court Reimbursements	0	0	0	0	0	0	22,374,767	8,080,415	0	0	\$61,638,234
Trial Court Deployment (direct pay by court to vendor)	0	0	0	0	0	31,183,052	22,374,767	8,080,415	0	0	\$61,638,234
Total Revenue	\$0	\$0	\$21,000,000	\$10,305,147	\$20,710,178	\$54,945,723	\$123,504,514	\$94,384,024	\$137,689,206	\$281,293,244	\$743,832,036
EXPENSES											
Criminal and traffic development	\$0	\$0	\$8,164,044 *	\$401,374	\$1,670,000	\$7,877,032	\$5,466,985	\$2,751,226	\$500,000	\$500,000	\$26,530,661
Civil, small claims, and probate development	0	0	10,675,956 *	4,954,565	13,771,313	9,094,182	2,097,247	\$3,596,986	\$1,813,414	\$500,000	\$46,503,663
Additional development	0	0	0	0	0	0	50,678,160	\$36,327,290	\$17,885,317	\$10,219,504	\$115,110,271
Infrastructure	0	0	0	0	0	0	0	\$9,321,194	\$32,152,701	\$55,212,132	\$96,686,027
Consulting	0	0	2,160,000	3,447,179	4,107,535	4,704,954	11,375,972	\$7,971,846	\$10,387,869	\$23,351,897	\$67,507,232
Administrative costs	0	0	0	0	139,116	1,238,516	190,004	\$1,620,693	\$1,793,295	\$6,641,580	\$10,384,688
Staffing	0	0	0	0	421,854	0	2,404,534	\$3,057,850	\$7,137,250	\$14,439,250	\$28,699,254
Hardware/software costs and maintenance	0	0	0	1,502,029	400,360	0	28,916,845	\$19,879,382	\$17,500,054	\$20,923,312	\$89,121,982
Trial court deployment and tech center	0	0	0	0	200,000	32,831,039	22,374,767	\$9,857,557	\$48,519,306	\$149,505,569	\$263,288,238
Total Expenses	\$0	\$0	\$21,000,000	\$10,305,147	\$20,710,178	\$54,945,723	\$123,504,514	\$94,384,024	\$137,689,206	\$281,293,244	\$743,832,036

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

(1) Revenue fund split is subject to modification.

Attachment 2

Phoenix Project: Human Resources and Financial System Revenue and Expenses Through FY 2007-2008⁽¹⁾
 Phoenix Project: Human Resources and Financial System Revenue and Expenses Estimated for FY 2008-09 and FY 2009-10

	FY 2000-01	FY 2001-02	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	Estimated FY 2008-09 ⁽²⁾	Estimated FY 2009-10 ⁽³⁾	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	\$3,461,267	\$2,679,578	\$9,261,192	\$32,101,711
Modernization Fund	116,865	1,618,242	2,436,594	600,582	4,135,487	2,735,201	23,169	4,124,284	11,125,507	1,318,148	\$28,234,079
Trial Court Improvement Fund	0	0	1,275,000	2,142,479	780,730	2,589,879	8,575,439	23,336,617	10,684,649	8,863,739	\$58,248,532
Trial Court Trust Fund	0	0	0	0	0	1,309,669	0	5,243,157	12,086,712	3,747,506	\$22,387,044
Trial Court Reimbursements	0	0	0	0	1,869,815	1,686,716	4,790,112	7,135,877	9,961,039	12,736,247	\$38,179,806
Total Revenue	\$226,121	\$2,257,692	\$5,486,082	\$8,389,701	\$9,380,909	\$11,911,564	\$15,733,584	\$43,301,202	\$46,537,485	\$35,926,832	\$179,151,172
EXPENSES											
AOC Non-support Services Staff ⁽⁴⁾	\$15,656	\$419,021	\$862,808	\$991,617	\$1,028,140	\$3,090,099	\$1,844,864	\$4,093,350	\$7,216,310	\$7,216,310	\$26,778,175
AOC ISD ERP/User Support Staff	93,606	112,320	219,030	500,000	465,000	659,448	1,005,332	\$1,277,744	\$2,813,738	\$2,813,738	\$9,959,949
AOC Support Services Staff ⁽⁴⁾	0	108,109	692,650	971,159	2,313,953	2,658,866	4,711,244	7,385,649	10,143,459	14,118,906	\$43,303,994
AOC AUPR/Internal Audit Staff	0	0	0	94,000	100,000	150,000	0	0	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	\$12,756,743	\$20,173,507	\$24,148,954	\$80,586,119
Contractors											
SAP licenses, hardware, maintenance, tech center support, and end-user training	\$116,865	\$1,457,694	\$3,447,332	\$5,281,042	\$3,336,486	\$3,834,805	\$7,628,894	\$26,300,099	\$22,009,319	\$7,533,518	\$80,946,054
Total Expenses	\$0	\$169,548	\$264,262	\$551,883	\$1,937,330	\$1,518,346	\$543,250	\$4,244,360	\$4,354,659	\$4,244,360	\$17,818,999
	\$226,121	\$2,257,692	\$5,486,082	\$8,389,701	\$9,380,909	\$11,911,564	\$15,733,584	\$43,301,202	\$46,537,485	\$35,926,832	\$179,151,172

⁽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.

⁽³⁾ Previously labeled TCFS Staff.

⁽⁴⁾ Previously labeled TCAPS Staff.