



Judicial Council of California · Administrative Office of the Courts

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: March 27, 2012

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| Title | Agenda Item Type |
| California Court Case Management System: Deployment Options | Action Required |
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| Recommended by | Date of Report |
| CCMS Internal Committee | March 21 , 2012 |
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Executive Summary

In 2000, after trial court unification, consistent with the Strategic Plan for California's Judicial Branch,¹ the Judicial Council directed the Administrative Office of the Courts (AOC) to ensure greater efficiencies in the delivery of administrative, technology, and infrastructure services throughout the branch. With a number of courts facing case management system failures and in recognition of the complexity and risk of moving from a model of locally selected and/or designed systems to a statewide paradigm, in 2000 the Judicial Council embarked on an iterative and incremental approach to achieving the plan's identified goals and objectives. The ultimate goal was to transition all the superior courts to a statewide case management solution.

¹ *Justice in Focus: The Strategic Plan for California's Judicial Branch, 2006–2012, Goal VI*

http://www.courts.ca.gov/documents/strategic_plan_2006-2012.pdf

Given the collective experience across the branch with the case management certification project, the model court pilot program, and the multiple visits to evaluate available off-the-shelf case management systems from various vendors, a strategy for developing a customized court case management system was adopted.

In 2007, the judicial branch contracted with Deloitte Consulting to develop a single, statewide case management system for all case types, the California Court Case Management System (see Attachment 1, for more information about CCMS).² More than 200 court subject matter experts and judicial officers from 28 courts participated in the design. CCMS utilizes the technology and the functionality developed for an interim civil system (V3), incorporates functionality developed for an interim criminal and traffic application (V2), and has developed new functionality for family law, juvenile delinquency, and juvenile dependency. Additional areas of functionality in CCMS include court interpreter and court reporter scheduling. CCMS is designed to support California-specific functionality, including alternative dispute resolution (ADR), collaborative courts, unified family law courts, juvenile and family law Order After Hearing forms, and hundreds of other Judicial Council mandatory and optional forms. CCMS has four distinct components: a core product, an Internet portal, a statewide data warehouse, and exchanges to share data with justice partners.

CCMS is a uniform, integrated case management system that will allow the courts to manage all case types with a single application. The system was designed and developed to be an enterprise-wide technology solution to serve the courts, litigants, attorneys, justice partners, and the public with case management and electronic interfaces to improve the efficiencies within the judicial branch. It is designed to be used by all 58 superior courts. CCMS will support courts of all sizes and be maintained at a statewide level and centrally hosted in the California Courts Technology Center (CCTC), the judicial branch data center. CCMS will eliminate more than 70 different case management systems and reduce maintenance and operations costs for the courts across the state. CCMS will address the needs of court users statewide while providing each court with sufficient flexibility to configure the application to fit its unique business requirements. The judicial branch controls the application source code for CCMS and will not have to rely on costly vendor contracts to make functional and legislative enhancements. The judicial branch controls the application source code for CCMS and will not have to rely on costly vendor contracts to make functional enhancement and substantive changes required by changes in the law. Changes to CCMS due to new or amended statutes, rules, and forms can be made in a timely manner and will be paid for once and not multiple times on a county-by-county basis.

² In the context of this report, “CCMS” refers to the entire program, which includes V2, V3, V4, and deployment; “V4” refers to the specific V4 application and extended components, Statewide Reporting Data Warehouse, portals, and data exchanges).

CCMS has been designed, developed, comprehensively tested, and independently reviewed and found to be architecturally sound. Specifically, the independent review performed by K3 Solutions in its August 31, 2011 report found:

- The CCMS architecture is scalable and has a solid foundation;
- The design artifacts are well written system artifacts that are complete with comprehensive architecture diagrams and accompanying descriptions and specifications of each component, consistent with industry best practices;
- Testing of CCMS has been well planned and comprehensive; and
- Based on the results of the combined assessments (including the independent process appraisal by Integrated System Diagnostics), it is expected that CCMS will perform as designed once it is deployed into the production environment.

Current Fiscal Reality

Over the past four years the judicial branch has seen over \$653 million in General Fund reductions across the trial courts, appellate courts, the Judicial Council, and the AOC. In the current fiscal year (FY 2011-2012) alone, the judicial branch's General Fund monies have been reduced by \$350 million. Additionally, the Legislature borrowed \$440 million from judicial branch construction funds and redirected another \$310 million to the state General Fund. In total, over \$1.1 billion from judicial branch funds were redirected to the state's budget solution this year.

In the current fiscal year the Judicial Council redirected to the trial courts \$252 million from judicial branch funds largely dedicated to the branch's infrastructure needs. Even with these redirections, the trial courts bore a \$138 million reduction in the allocations over the prior fiscal year.

Over the last three fiscal years (FY 2009–2010 through FY 2011–2012), funds have been redirected from CCMS to backfill for the trial court General Fund budget reductions. In FY 2009–2010 a total of \$105 million was redirected from CCMS to the trial courts, and in the current year another \$66 million was redirected by the Judicial Council for trial court operations. These redirections have further delayed CCMS deployment.

The Governor's proposed budget for FY 2012–2013 did not include any restoration of the \$653 million in cumulative judicial branch General Fund reductions. If the Legislature and the Governor fail to restore any of the reductions in the final budget, the judicial branch will face devastating reductions unless other solutions can be found. As in the current fiscal year and the past four years, the Judicial Council will need to consider the possibility of redirecting funds from existing infrastructure needs, including CCMS.

The CCMS project is at a crossroads. Development of the system has been completed and, following rigorous testing and independent reviews, has been accepted from the development vendor. by the CCMS Executive Committee. The system is now ready to be deployed to the trial

courts, but in a different fiscal environment than existed during design and development. The Judicial Council must now consider whether to move forward with system deployment at a time of unprecedented budget constraints in the judicial branch or consider alternatives that will allow the redirection of all or a portion of CCMS funding to support direct trial court operations.

The Judicial Council contracted with Grant Thornton LLP to validate cost estimates for deploying the CCMS product to the Superior Court of California, County of San Luis Obispo as an early adopter, as well as up to 10 additional courts in two waves of five courts each, and to calculate the return on investment (ROI) of these limited deployment activities. This information has been included in the Grant Thornton report. Key findings from that report are included under Option 1, below.

Based upon input from independent evaluations performed by K3 Solutions LLC, Integrated Systems Diagnostics, Inc., and Grant Thornton LLP, and as confirmed by the California Bureau of State Audits, the CCMS V4 (V4³) product is architecturally sound and scalable for deployment. Stated otherwise, there are no performance-related or operational issues concerning V4. As noted above, the critical issue for the CCMS program concerns funding and the absence of a stable revenue stream to support deployment activities going forward. One critical aspect extracted from the Grant Thornton report, which is also captured in these documents for Judicial Council consideration, is the recommendation that there is no business argument that can be made for only deploying to the early adopter court. In the Grant Thornton scenario of deploying to San Luis Obispo and 10 additional courts, the CCMS program had a net negative ROI of \$67 million through FY 2020–2021. The first positive annual ROI would be realized in FY 2017–2018 with the breakeven point occurring in FY 2022–2023.

Three Options for Consideration

This report presents three options and cost estimates for Judicial Council consideration. For all of the options, the assumption is made that maintenance and support will continue for the V2 and V3 interim case management systems. (Please see Judicial Council report *California Court Case Management System: Maintenance and Operations Costs for Courts with V2 and V3 Interim Case Management Systems*, also on this meeting’s agenda.)

Option 1 – Deploy CCMS to one early adopter court, San Luis Obispo Superior Court, followed by the Grant Thornton recommended 10-court, Phase 2 strategy that balances economic return, diversity, and needs of courts. The cost estimate for Option 1 is \$~~424.23~~42.6 million⁴ through FY 2020–2021.

³ In the context of this report on CCMS options “CCMS” will refer to the entire program, which includes V2, V3, V4, and deployment; “V4” will refer to the specific V4 application and extended components (SWRDW, portals, and data exchanges).

⁴ On March 22, 2012, an error was detected and corrected. The information is now consistent with the numbers on page 10.

Option 2 – Pause CCMS activities for 12 months and then deploy CCMS to one early adopter court, the Superior Court of San Luis Obispo County, followed by the Grant Thornton recommended 10-court, Phase 2 strategy that balances economic return, diversity, and needs of courts. Note that a pause involves a shutdown followed by a resumption of the program. The cost estimate for Option 2 is \$~~445.4~~363.8 million⁵ through FY 2022–2023. Compared to Option 1, this option defers costs of \$27.8 million in FY 2012–2013, but adds a delay of two years and additional costs of \$21.2 million to the total estimate.

Option 3 – Terminate V4 as a statewide solution and leverage the developed technology and software to benefit ongoing judicial branch technology solutions. The cost estimate for Option 3 is \$8.7 million through FY 2012–2013.

Option 3 would end V4 as a statewide program for the California trial courts representing a major policy shift in Judicial Council technology direction and approach. While this option recognizes the fiscal environment that has dramatically limited the ability of the Judicial Council to maintain court operations for the public, it also recognizes and protects the significant investment of \$333.3 million the judicial branch has made in the V3 and V4 software product it now owns. This option proposes to analyze and potentially leverage the technical infrastructure, application functionality, processes, and artifacts, ensuring the assets owned by the judicial branch will be used to meet ongoing need for technology solutions for the California trial courts.

Program Status and Need for a Decision

CCMS development was completed and the product accepted on November 28, 2011. In December, the AOC, the courts, and Deloitte Consulting LLC, began the design work required to bring CCMS current with recent legislation and to include other court-identified enhancements necessary for the application to be deployed. The design effort will be completed by the end of March 2012, but no further action is planned at this time to develop a Statement of Work to incorporate the changes into the CCMS application.

AOC staff has worked to develop a cost-effective, single-court deployment scenario focusing on the needs of the Superior Court of San Luis Obispo County that also preserves the goals identified for deployments to other early adopter courts. The deployment team has also completed a readiness assessment of the Superior Court of Fresno County to determine the feasibility of deploying CCMS to replace their aging civil system and the V2 Criminal and Traffic system.

The original branch strategy for case management systems had been predicated on deployment of CCMS to all 58 courts beginning with deployment to three early adopter courts. Given the

⁵ On March 22, 2012, an error was detected and corrected. The information is now consistent with the numbers on page 10.

current budget situation, this is no longer a viable strategy and the Judicial Council must provide a direction for CCMS.

Previous Council Action

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 and justice system partners. The council has assumed the role of CCMS executive sponsor and has designated the Administrative Director of the Courts as the lead executive for the CCMS project. In April 2011, the Chief Justice appointed a new internal Judicial Council committee charged with overseeing the council's policies on CCMS. The committee advises the council on CCMS-related policy decisions and reports on CCMS progress, ensuring that the Judicial Council is fully informed and up-to-date on the case management system and that deployment of CCMS will be undertaken in a way that is consistent with policies and priorities established by the council. The Judicial Council, effective April 29, 2011, voted to ratify the Chief Justice's establishment of the CCMS Internal Committee.

At the July 22, 2011, Judicial Council business meeting, the council voted to redirect \$56.4 million from CCMS to trial court operations. The CCMS Internal Committee and the CCMS Executive Committee were asked to return to the Judicial Council at its October 2011 meeting to review all options for moving forward with CCMS within the current budget constraints. A portion of this redirected funding would have been used for maintenance of the application and completion of a software release to incorporate legislative and other necessary changes that have occurred since the requirements for the CCMS application were created in 2007.

Rationale for Each Option

Option 1 – Deploy V4 to One Early Adopter Court, Superior Court of California, County of San Luis Obispo, Followed by the Grant Thornton Recommended 10-Court, Phase 2 Strategy that Balances Economic Return, Diversity, and Needs of Courts

In December 2011, Grant Thornton LLP was retained to analyze AOC planning estimates for deployment to San Luis Obispo as an early adopter court and to develop a V4 Phase 2 deployment scenario for implementation in 10 additional courts. Grant Thornton was selected because the firm had originally performed the V4 Project cost-benefit analysis and therefore had significant experience with the V4 product and the trial court technology infrastructure environment.

This option is modeled after the Grant Thornton analysis and focuses on an initial deployment of V4 to San Luis Obispo, addressing their critical case management needs, followed by deployment to 10 additional courts.

Phase 1 – Early Adopter Deployment to Superior Court of San Luis Obispo

The Superior Court of San Luis Obispo County is in critical need of a modern case management system for all case types. The court's existing case management systems are failing applications due to antiquated end-of-life software and hardware. This option would be the most effective means of getting the V4 product up and running in a court, satisfying the objective of implementing in an early adopter court.

The San Luis Obispo County court size, its needs, and justice partner cooperation are optimal for early implementation. This alternative has the advantage of deploying all case types at the court, as well as replacing critically outdated legacy systems. Taking advantage of the modern design of V4 also benefits justice partner stakeholders because of its far-reaching data-sharing capabilities and enhanced public access.

Early Adopter Deployment to Superior Court of San Luis Obispo Cost Analysis

Preliminary AOC cost estimates for deployment to San Luis Obispo, while positioning the judicial branch for further court deployments, were approximately \$102.8 million which assumed additionally using the \$16 million in delay reimbursement from Deloitte for deployment. (Please see Judicial Council report *California Court Case Management System: Election of Delay Cost Reimbursement on Development Contract*, also on this meeting's agenda.) Grant Thornton conducted an analysis of the January 5th AOC estimate (*see Attachment 2 for a summary*) to deploy to San Luis Obispo and developed their own estimates that they then mapped to the State Economic Analysis Workbook (EAW) format, validating assumptions, and developing an updated early adopter deployment budget estimate (*see Attachment 3 for a detailed cost analysis and comparison*). Grant Thornton reported an \$81.6 million budget estimate for a San Luis Obispo deployment including maintenance and operations through the end of FY 2014–2015.

The Grant Thornton report concludes that given the large cost in deploying San Luis Obispo on V4 (which is far larger than would be required for a stand-alone V4 deployment), deployment to San Luis Obispo can only be justified if the judicial branch also intends to deploy multiple additional courts on the statewide V4 infrastructure.

Phase 2 – 10-Court Deployment

Following its cost analysis for deploying V4 to San Luis Obispo, the Grant Thornton report recommended a Phase 2, 10-court deployment plan. The 10 courts selected for inclusion in the deployment were based on criteria that analyzed court size, current operation on V2 or V3, critical need, and the receptiveness of each court’s participation in early V4 deployment. The following courts were selected:

| Court | Size | V2 | V3 | Critical Need |
|-------------|------|----|----|---------------|
| Alameda | L | | | |
| Fresno | M | ✓ | | ✓ |
| Inyo | XS | | | |
| Marin | S | | | |
| Mendocino | S | | | ✓ |
| Orange | L | | ✓ | |
| San Diego | L | | ✓ | ✓ |
| San Joaquin | M | | ✓ | ✓ |
| Santa Cruz | S | | | |
| Ventura | M | | ✓ | |

The report then recommends⁶ a deployment schedule for the Phase 2 courts. The key elements of that schedule are:

- **A 'Go/No' stage gate for the Phase 2 deployment on October 29, 2013.** This date coincides with the completion of User Acceptance Testing at San Luis Obispo and the completion of a three-month Planning and Assessment activity at each Phase 2 court. The stage gate activity provides the Judicial Council with an opportunity to review the progress of deployment at San Luis Obispo prior to actual cutover activities and to review the Phase 2 courts' assessment of the 'fit' of V4 to their needs. Based on a review of this information the Judicial Council can then make a decision either to proceed with the V4 deployment or to cancel the deployment before significant funds are expended on the Phase 2 courts.
- **Retirement of V2 in November 2014.** Once the Criminal and Traffic case types for Fresno have been deployed, the V2 system can be retired, saving the judicial branch the associated operating and maintenance costs for that system.
- **Assumption of V4 maintenance and operations responsibilities by the AOC on July 1, 2016.** Grant Thornton assumed that Deloitte would execute maintenance and operations activities for V4 in the early years of the deployment. Grant Thornton also assumed that after the majority of the Phase 2 deployment had been stable in production for one year that the

⁶ Refer to *Section 6: Summary of Analysis and Recommendations* (slide 89) of the Grant Thornton report.

AOC would take over maintenance and operations, reducing annual costs in this area for future years.

- **An opportunity to retire V3 after October 2016.** Once all the Phase 2 courts have completed their deployments only two courts – Sacramento and the Alhambra courthouse in Los Angeles – will remain on V3. At this point it would no longer be economically justified for the AOC to continue to maintain the V3 system. Grant Thornton recommends that the AOC discontinue support of V3 after October 2016 and recommends that Sacramento and Alhambra obtain other solutions (e.g., deploy V4, take over V3 maintenance and operations themselves, or implement a separate case management system).

Finally, the Grant Thornton report developed a cost-benefit analysis for the deployment of San Luis Obispo and the 10, Phase 2 courts. That analysis is included in the Grant Thornton report. There are three key conclusions in the report that the council should consider in this option: (1) the budget required to support V4 early adopter and Phase 2 deployment; (2) the total one-time and continuing cost of V4 deployment to 11 courts; and (3) the ROI to the judicial branch of deploying V4 to all 11 courts (San Luis Obispo and the additional 10 courts in Phase 2).

Phase 2 – 10-Court Deployment Cost Analysis

Grant Thornton estimated the total one-time and continuing costs through FY 2020–2021 for San Luis Obispo and the 10, Phase 2 courts. These costs include the one-time costs for deployment to the 11 courts, the continuing V4 maintenance and operations costs, and the ongoing program costs which include an estimate of the cost of court staff that will actually use V4 over that time period.

Grant Thornton’s \$343 million.⁷ estimate includes all one-time deployment costs and all new continuing costs to support the V4 infrastructure and program. Moving forward with this option would require annual V4 expenditures. The estimated annual costs are displayed as follows:

| Fiscal Year | V4 Funding |
|--------------------|----------------------|
| FY 2012–2013 | \$35,576,469 |
| FY 2013–2014 | \$84,042,697 |
| FY 2014–2015 | \$118,532,827 |
| FY 2015–2016 | \$82,545,927 |
| FY 2016–2017 | \$15,771,825 |
| FY 2017–2018 | \$3,028,613 |
| FY 2018–2019 | \$1,787,120 |
| FY 2019–2020 | \$955,482 |
| FY 2020–2021 | \$334,061 |
| Total | \$342,575,022 |

The ROI to the judicial branch of deploying V4 to all 11 courts (San Luis Obispo and the 10 courts in Phase 2)

In determining the potential ROI by deploying V4 to 11 courts Grant Thornton conducted a cost-benefit analysis by comparing a baseline scenario that assumes that the Judicial Council did not proceed with V4 against the planned deployment.⁸ **Based on their analysis Grant Thornton estimated that the V4 deployment to San Luis Obispo and the recommended Phase 2 courts will result in a negative \$67 million ROI to the judicial branch through FY 2020-2021.**

Their estimate does note that V4 deployment will provide a net positive annual ROI of approximately \$33 million in each year beginning in FY 2017–2018 and forward. Based on these estimates the breakeven for these 11 courts will occur in FY 2022–2023.

⁷ This estimate includes all one-time CCMS V4 deployment costs and all new continuing costs to support statewide CCMS infrastructure and program and assumes that 100% of court staff time would be included and funded out of this total. This is cited from section 5.2: *Budget Required to Support CCMS Phase 2 Deployment* (slide 86) of the Grant Thornton report.

⁸ The baseline scenario cited in the Grant Thornton 2011 cost-benefit analysis assumes that each court would continue to operate and maintain their current case management system until it could be replaced. The analysis also assumes that systems would be replaced by 2021.

Policy Implications of Option 1

If V4 is not an option for the San Luis Obispo court, the court will require an alternative solution. Options for San Luis Obispo, as well as the necessary funding to purchase and deploy the alternative, will need to be determined.

Operational Impacts for Option 1

V4 will replace San Luis Obispo's failing case management systems and provide a single system to manage all case types. An enterprise implementation will make V4 available to other courts with failing case management systems. Positive operational impacts to the trial court are the many empirical benefits of a V4 implementation that can improve the court experience such as:

- Significant business process reengineering and additional automation
- Document Management System (DMS) implementation resulting in reduction in paper records, archival, and retrieval
- Consistent, standardized, and integrated court operations and processes
- Centralized case management support
- Ability to schedule across all case types to coordinate court appearances, thereby
 - Reducing the number of trips for litigants and other participants
 - Avoiding continuances that arise when required parties fail to appear
 - Allowing for smoother continuances when necessary

Option 1 Summary

The primary goal of Option 1 is to address deficiencies in San Luis Obispo's existing mainframe criminal and traffic system and their antiquated civil system. Their failing legacy systems are a priority for the court and local justice partners. The other major goal of this alternative is to establish the infrastructure to deploy to subsequent courts. More court deployments create a larger return on investment for V4. Getting to a critical mass where a significant portion of trial courts are up and running as soon as possible is the ideal outcome.

Resource and knowledge retention is a secondary goal of this alternative. Deploying to San Luis Obispo in an expedited fashion is the most effective way to take advantage of current resource investments. It optimizes the existing technical, operational, and functional expertise of the current staff and contract workforce at the AOC. *(For a detailed comparison of benefits and risks of Option 1, please refer to the consolidated benefits and risks chart in Attachment 4.)*

Option 2 – Pause V4 Activities for 12 Months and Then Deploy V4 to One Early Adopter Court, San Luis Obispo Superior Court, Followed by the Grant Thornton Recommended 10-Court, Phase 2 Strategy that Balances Economic Return, Diversity, and Needs of courts

This option focuses on addressing the judicial branch's immediate fiscal issues as well as the needs of the Superior Court of San Luis Obispo County. Option 2 assumes a 12-month pause of all V4 activities followed by the Grant Thornton model outlined in Option 1.

The one-year pause is achieved by halting all program activities related to development, deployment, and court action on V4. The halt affects permanent staff, contractor staff, vendor staff, and V4 infrastructure currently in place. Dismantling of the program and the technical infrastructures would result in additional cost when the CCMS program is resumed (resumption is assumed to be 10 months into the FY 2013–2014). Following the pause, the resumption efforts include:

- Talent reacquisition and training (permanent, contractor, and vendor)
- Technical infrastructure rebuilding from the ground up
- Reassessing the court's and their justice partners' readiness to participate
- Reevaluating deployment plans to keep current
- Redevelopment and configuration of the product to include legislative updates and functionality enhancements as well as to support the court's latest business processes

This option will have a major impact on San Luis Obispo. Faced with a failing mainframe system that is expensive to maintain, a one-year pause would effectively delay an actual deployment by up to two fiscal years. There would be delayed benefits from an enterprise V4 implementation including business process reengineering, additional automation, justice partner data sharing, and a document management system. Current court staff hired using Intra-branch Agreement funding to augment their current personnel in preparation for deployment would need to be released. The branch stands to lose the \$1 million already provided to the court through this Intra-branch Agreement. In addition to the court, local county partners supporting V4 deployments in San Luis Obispo will likely withdraw from the project, permanently resulting in funds totaling \$180,000 (this amount was provided to supplement the court's prorated costs to San Luis Obispo County for data exchange development).

If Option 2 is selected, San Luis Obispo must decide if it can continue operations with their current case management systems for an extended period of time. If not, and the court requires an alternative, the Judicial Council will need to determine case management options as well as the necessary funding to purchase and deploy an alternative case management system. Those additional costs are not estimated in this option.

While significant resource reductions, layoffs, and cessation of V4 deployment are necessary to achieve meaningful savings over the 12-month delay, restarting the project will be time-consuming and costly. **The AOC has estimated the additional cost for a 12-month pause to be \$21.2 million. Grant Thornton has not done a detailed analysis on the specific costs related to a pause and ramp-up.**

This report lists risks, advantages, and operational impacts in detail. *(For a detailed comparison of benefits and risks of Option 2, please refer to the consolidated benefits and risks chart in Attachment 5.)* High-level consequences of a pause include not only a longer deployment timeline, placing San Luis Obispo in further jeopardy, but also compromising the branch's

efficacy in future deployments due to loss of product knowledge, product warranty coverage, and overall momentum in getting this system implemented.

Implementation Requirements

Deployment Strategy. The deployment strategy for Option 2 is essentially the same as Option 1 yet it includes a 12-month pause before recommencing deployment activities for San Luis Obispo. The 12-month halt on activities effectively results in an overall implementation delay of up to two years as compared to Option 1.

V4 Suspension. A pause of V4 is essentially a shutdown followed by a ramp up. During the pause, deployment resources would be reduced to only those needed for a shutdown of the system. The remaining resources would either be redirected or laid off. The deployment technical infrastructure would be turned off, as the CCTC does not have the ability to hibernate hosted infrastructure. The hardware would reach end of life before deployment activities restarted and therefore will require replacement with new hardware.

San Luis Obispo Deployment. A San Luis Obispo deployment would be delayed and would leave the court operating on a precariously inefficient case management system. Also, as noted in Option 1, a deployment to San Luis Obispo can only be justified if the judicial branch also intends to deploy multiple additional courts on the statewide V4 infrastructure.

Timeline and Costs. In order to understand the impact of a 12-month pause on deployment of V4, it is necessary to understand what a pause entails. Below is a brief synopsis of the major activities by year to help illustrate how the pause scenario would be executed.

FY 2012–2013 Pause

The actual 12-month pause period would occur during FY 2012–2013. V4 vendor and consultant contracts would be canceled and AOC staff would be released or reassigned. Deployment technical infrastructure at the CCTC would be shut down. These shutdown activities would occur over a three-month period. This pause might also require a reorganization of functions within the AOC (e.g., CCMS Program management Office staff and functions could be integrated with other AOC divisions). **It is estimated that in FY 2012–2013 approximately \$2,787,881 will be required to wind down the infrastructure and the CCMS program. Grant Thornton estimated \$30.6 million in deployment costs for FY 2012–2013. Based on that estimate this option will defer \$27.8 million.**

FY 2013–2014 Ramp Up and Deployment

Ten months of project start-up activities will be required in FY 2013–2014 to prepare for deployment activities. Appropriate CCMS PMO and Information Services Division (ISD) staff along with professional services subject matter experts must be hired and trained. V4 development technical infrastructure must be rebuilt. The ramp up preparation may include a potential request for proposal (RFP) process to reengage an application vendor. The last two months of the fiscal year are the commencement of deployment activities which include

completion of V4 configurations. **It is estimated that in FY 2013-2014 approximately \$17,753,072 for software hosting, professional services, and staff will be required to restart the V4 deployment in San Luis Obispo and the 10, Phase 2 courts.**

FY 2014–2015 Deployment

This fiscal year anticipates full staffing with deployment activities in full motion. FY 2014–2015 will bring expenses like maintenance and operations contracts, hardware purchases for V4 production infrastructure, and additional Intra-branch Agreement money for San Luis Obispo staff augmentation. Under this option SLO deployment would be completed in FY 2015–2016.

Option 3 – Terminate V4 as a Statewide Solution and Leverage the Developed Technology and Software to Benefit Ongoing Judicial Branch Technology Solutions

Under this option the Judicial Council will direct the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the Judicial Council for:

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

The primary objective of this option is to efficiently and cost-effectively wind down the V4 project and determine the manner in which V4 can be leveraged to best serve the judicial branch and trial court technology needs. Secondly, this option will prepare the judicial branch to enter a new era of technology solutions that are focused on court automation systems that may lack statewide functionality and services but will ensure that the courts and branch stakeholders have access to technology to more efficiently conduct judicial branch business. This option requires a multi-phased approach due to the number of resources and the type of resources required for each activity, as well as the dependencies between the phases. Some activities will be sequential and others will be staggered, For example, the analysis needed for the San Luis Obispo court

would be in the first phase, followed by the analysis for courts with critical case management system needs. This approach allows the team to learn and build on information acquired in the earlier phase. Conducting the analysis in phases also allows the team to shift and leverage existing CCMS program staff, and complete multiple tasks within a limited timeframe.

Option 3 Additional Follow-Up Activities

The following is a potential approach developed by staff for the CCMS Internal Committee to consider for its report back to the Judicial Council, beginning in September 2012, with recommendations for implementing this option. The first activity, V4 termination, would occur as a necessary first step to achieve immediate cost avoidance. Activities 2 through 4 describe tasks that will provide the Internal Committee with information necessary to make recommendations to the Judicial Council on how the investment in CCMS can be leveraged. Activities 5 through 7 will address a new technology strategy for the branch without V4 as a long-term solution.

Also included in this approach are cost estimates for this option. The fiscal impact of each activity is included for FY 2012–2013. Decisions made by the Judicial Council based on the analysis and recommendations of the Internal Committee will determine any additional or future costs. Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for each activity in Option 3 are located in Attachments 6 through 12.

1) Terminating V4

Description of Activity and Analysis

In this option, the first step will be to terminate the V4 program as it currently exists. The AOC ISD will work with the vendor for the CCTC to shut down the existing environments used by V4. Notice will then be provided to software and hardware vendors to discontinue support. The hardware will be inspected and certified, after which it may be available to be leveraged to meet the needs of other judicial branch initiatives. As V4 is terminated, application components will be appropriately stored for potential future use. Examples of components include: the source code, structured database queries, forms, security policies, development tools, configuration tools and processes, and test scripts.

A critical element of the V4 termination process will be the cataloguing and archiving of the project deliverables, artifacts,⁹ and documentation. The CCMS Product Development and Project Management & Reporting Units will insure that all project deliverables and existing documentation are archived and organized according to project management best practices. Any ongoing contracts will be terminated and final reports will be completed for the Judicial Council, the California Technology Agency (CTA), the Bureau of State Audits (BSA), and the annual

⁹ Artifact is a term sometimes used in software development and it represents one of many kinds of tangible byproducts produced during the development of software. Artifacts are typically not contractual. An artifact could be a report, a document, a server upgrade or any other historical but non contractual work product.

legislative report. The CCMS Quality Assurance Unit will update and document all testing scripts, test data, and processes, and identify appropriate stopping points for current projects supporting early-adopter court testing, including development of User Acceptance Test (UAT) scripts, user training scripts, and automated local configuration tests. The CCMS Product Trial Court Services Unit will document the configuration package for potential future reuse, the state of V4 configurations, and the considerations, tasks, and issues for future deployments.

Upon completion of the shutdown, there will be a V4 Termination Report which will contain the documentation of the shutdown process, a library of project deliverables, artifacts, and all historical documents.

The amount of time estimated for V4 termination activities is three months. Cataloguing and archiving of the project deliverables, artifacts, and documentation is estimated to be two months. These activities use unique resources and will be performed in parallel.

Terminating V4 environments in FY 2011–2012 and FY 2012–2013 will result in cost avoidance, for the CCMS program, of approximately \$1 million in the current fiscal year. Table 2 shows the estimated cost avoidance for FY 2012–2013 (\$11.97 million). There will be no impact to the current fiscal year budget. Activities required to complete termination of the V4 program will require expenditures in the amount of \$2.7 million in FY 2012–2013.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 1 can be found in Attachment 6.

2) Judicial Branch Technology Vision and Roadmap

Description of Activity and Analysis

This activity will explore the option of moving away from the original vision of CCMS as a statewide, enterprise case management system, toward a vision that does not require a single application with centralized hosting, maintenance, and support. Working in collaboration with the CCMS's Operations Committee IT Working Group and varied stakeholders throughout the branch, staff will develop a strategy — *a roadmap* — for future branch technology.

The analysis will leverage work products developed for CCMS, including the functional requirements and the technical design, to identify methods and criteria for selecting systems that are functionally and technically robust enough to support small, medium, and large size courts.

Limited resources will be a key driver for this analysis, acknowledging existing budgetary constraints while addressing the need for solutions that achieve efficiencies in court operations, and improvement for justice partners, case participants, and practicing attorneys.

The amount of time estimated to complete this analysis is six months with expenditures in the amount of \$782,926. Details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 2 can be found in Attachment 7.

3) Leverage CCMS Technology

Description of Activity and Analysis

This activity examines the opportunity to leverage the investment in CCMS technology. V4 was designed as a comprehensive, enterprise system to not only manage court case information, but also provide a structure for statewide reporting, an Internet portal for the public and justice partners, and a design for common data exchanges based on national standards.

Staff would perform an in-depth analysis on how the judicial branch can leverage the technical infrastructure, application functionality, processes, and artifacts from the V4 development activities to meet the needs of the trial courts. The analysis will address numerous questions regarding the V4 technology and opportunities to use it after terminating CCMS.

The analysis would address whether major components can work in a stand-alone fashion; whether the core application could be used for a single case type; whether the portal could be used as a solution for other case management systems; whether the application could be re-architected to be more modular for use with small, medium, and large courts; whether the Statewide Reporting Data Warehouse (SWRDW) could be used for Judicial Branch Statistical Information System (JBSIS) reporting; whether court interpreter features could be leveraged; and whether data exchanges for services such as e-citation and the California Courts Protective Order Registry (CCPOR) could be used with other case management systems. In addition, this activity would include tasks to analyze the possibility of the Judicial Council licensing or selling rights to all or parts of the V4 application code to other CMS vendors, large commercial software providers, or back to the V4 development vendor.

Upon completion of the analysis, a report will be provided that will include the cost, timeline, risks, and benefits for selected options. The amount of time estimated to complete this analysis is six months and will require expenditures in the amount of \$3.4 million.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 3 can be found in Attachment 8.

4) Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access)

Description of Activity and Analysis

Closely related to Activity 3 above, this activity explores the opportunity to leverage technology in the near term, to improve efficiencies in court operations. By maximizing the value of existing document management technology, e-filing capabilities, and e-delivery services, the

courts may have the ability to not only reduce costs, but create revenue streams. Portal fees, for example, may provide an opportunity for the courts to reduce their operating costs.

The analysis would consider needs in the area of court operations, justice partner interfaces, case participant processing, and support for practicing attorneys, and identification of opportunities to use existing technology to improve processing. A review of existing components, such as the Justice Portal, would be reviewed to identify opportunities to extend its capabilities and provide greater benefits to the branch. A cost-benefit analysis would be developed to provide the necessary input for an effective strategy and path forward.

Upon completion of the analysis, a report will be provided that will include the cost, timeline, risks, and benefits. The amount of time estimated to complete this analysis is six months with expenditures in the amount of \$576,000.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 4 can be found in Attachment 9.

5) Judicial Branch Court Technology Governance Structure

Description of Activity and Analysis

Without V4 as a long-term case management system strategy, the judicial branch will need to consider a new vision for its case management system strategy. To develop a new strategy will require a governance structure that will be responsible for setting branchwide case management system strategy, prioritizing multiple technology projects, approving funding for case management system projects, and defining procurement policies as well as roles and responsibilities for all stakeholders.

It is anticipated that the tasks identified above will take six months. Analysis for this activity will require expenditures in the amount of \$194,926.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 5 can be found in Attachment 10.

6) Alternatives for Superior Court of San Luis Obispo County

Description of Activity and Analysis

If V4 is not deployed, an alternative case management solution will be required for the Superior Court of San Luis Obispo County. The analysis, which will evolve into a project, will call for the AOC to collaborate with the court on a strategy for selection of another case management solution. Activities will include defining procurement and funding strategies and a selection and evaluation process.

A major step in the process will be the requirements gathering. The AOC will work with the court to identify the functional and nonfunctional requirements for an alternative case management solution leveraging existing requirements such as CCMS functionality or existing court requirements. The CCMS early adopter readiness and integration assessment will be leveraged to answer questions about their target schedule for replacement, current infrastructure, preferred deployment approach, and strategy for hosting. The information gathered in this phase will form the basis for the procurement process.

Systems that may be considered for the San Luis Obispo court include the eCourt CMS from Sustain Technologies, Inc., the Odyssey CMS from Tyler Technologies, Inc., and other case management systems that may be identified as part of the procurement process.

The estimate for procurement and selection is 10 months and will require expenditures in the amount of \$741,688.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 6 can be found in Attachment 11.

7) Courts with Critical CMS Needs

Description of Activity and Analysis

This analysis will address the method, process, and criteria to determine if a court has a critical case management system need; a process for procurement and funding assistance; a process for prioritizing requests; and a governance structure to support this function. Without CCMS as a long-term case management strategy, courts with a critical need for a case management solution will require assistance. Courts may seek assistance for variety of reasons. Common themes include aging and unsupported software that cannot be enhanced; software running on unsupported legacy hardware; lack of support resources at the court for legacy software due to retirements and difficulty in finding replacement resources; lack of vendor support resources for legacy software; lack of hosting services, as county IT providers change strategies and discontinue support for the courts; and increased cost for hosting legacy systems, as the ability to share and prorate hosting costs with other entities diminishes. These circumstances create ongoing risks for daily operations and the need for courts to seek assistance for a solution.

The focus of the analysis will be a process for responding to courts based on established criteria, the court's requirements, the AOC/Judicial Council guidelines for funding, as well as policies regarding procurement, all executed under the guidance of a governance structure.

It is anticipated that the tasks identified above will take six months and will require expenditures in the amount of \$238,150.

Additional details regarding the benefits and risks, timeline, resources, and fiscal impact for Option 3 – Activity 7 can be found in Attachment 12.

Summary of Option 3

Overview of Costs

Table 2: Overview of Fiscal Impact Option 3

| No. | Option Three Activity | FY 2012-2013 Fiscal Impact |
|-----------------------------------|--|---------------------------------------|
| 1 | Terminate V4 | \$2,737,025 |
| 2 | Judicial Branch Technology Vision and Roadmap | \$782,926 |
| 3 | Leverage CCMS Technology | \$3,389,664 |
| 4 | Leveraging Technology For Document Management System (DMS), Electronic Filing (e-filing) and Electronic Access (e-access) | \$576,000 |
| 5 | Judicial Branch Court Technology Governance Structure | \$194,926 |
| 6 | Alternatives for San Luis Obispo Superior Court | \$741,688 |
| 7 | Courts with Critical CMS Needs | \$238,150 |
| All Costs for Option Three | | \$8,660,379 |

The cost of future fiscal years will depend on the outcome of the analysis and the direction and approval of the Judicial Council on which options will offer the biggest benefit to the judicial branch.

The AOC Finance Division had anticipated a budget of approximately \$55 million for V4 activities starting July 1, 2012. If Option 3 is adopted, the total cost in FY 2012–2013 will be \$8.6 million which will make \$46.4 million available for other judicial branch priorities.

Overview of Timeline

The following chart shows an example of how the Option 3 activities could be scheduled should the Internal Committee recommend and the Judicial Council approve this option. By staggering start dates and limiting parallel activities, the branch will be able to optimize limited AOC and trial court resources. The activities will primarily utilize existing CCMS staff. In some situations, it is anticipated that additional resources will be required with specific technical skills for analysis and developing requirements. The number and the cost of these contracted resources have been listed in the appropriate attachments for activities 2 through 4.

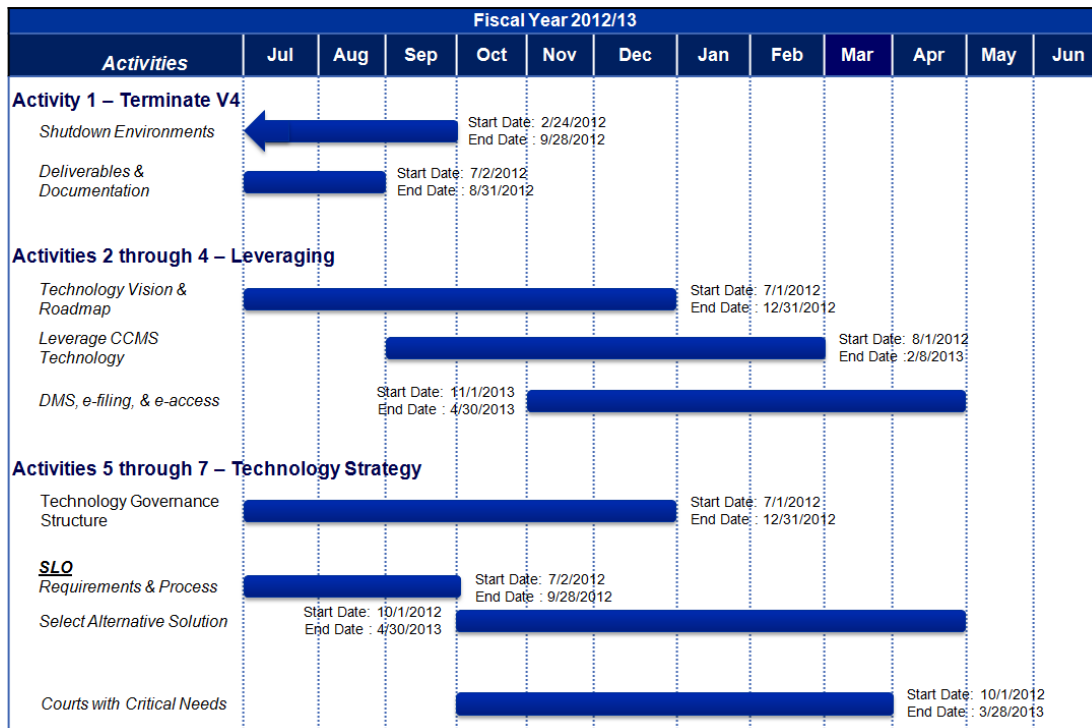


Figure 1 - Option 3 Overview of Timeline

Attachments

1. Description of California Court Case Management System (CCMS)
2. Early Adopter Deployment to Superior Court of San Luis Obispo
Option 1: AOC January 5th Deployment Cost Summary
3. Early Adopter Deployment to Superior Court of San Luis Obispo
Option 1: Detailed Cost Analysis and Comparison of AOC and Grant Thornton Cost Estimates
4. Early Adopter Deployment to Superior Court of San Luis Obispo
Option 1: Benefits and Risks Identified by AOC
5. 12-Month Pause Followed by Early Adopter Deployment to Superior Court of San Luis Obispo Option 2: Benefits and Risks Identified by AOC
6. Terminating V4 Option 3 – Activity 1: Benefits & Risks; Timeline; Resources; and Fiscal Impact

7. Judicial Branch Technology Vision and Roadmap Option 3 – Activity 2: Benefits & Risks; Timeline; Resources; and Fiscal Impact
8. Leverage CCMS Technology Option 3 – Activity 3: Benefits & Risks; Timeline; Resources; and Fiscal Impact
9. Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access) Option 3 – Activity 4: Benefits & Risks; Timeline; Resources; and Fiscal Impact
10. Judicial Branch Court Technology Governance Structure Option 3 – Activity 5: Benefits & Risks; Timeline; Resources; and Fiscal Impact
11. Alternatives for San Luis Obispo Superior Court Option 3 – Activity 6: Benefits & Risks; Timeline; Resources; and Fiscal Impact
12. Courts with Critical CMS Needs Option 3 – Activity 7: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Description of California Court Case Management System (CCMS)

The California Court Case Management System (CCMS) is an integrated case management system that will support courts of all sizes. It is an essential component of the judicial branch's strategic plan for technology improvement as an enterprisewide solution. CCMS is now a valuable judicial branch asset. CCMS is the single statewide case management system the assists the branch in achieving the following goals:

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

Without a single statewide solution California will have a minimum of 58 (currently hundreds) separate systems with varying degrees of quality and functionality. Access and service to the public in a fair and uniform way using this myriad of outdated systems will make these goals unachievable.

After full deployment to at least one early adopter court, CCMS will become available to courts with urgent case management needs. According to the survey responses in the cost-benefit analysis performed by Grant Thornton LLP, at least 47 of our 58 trial courts will need to replace or upgrade their existing case management systems in the next six years at a cost of \$342.9 million,¹⁰ with four courts indicating an immediate need for a replacement system.

CCMS functionality, which includes electronic filing, integration with justice partners, electronic calendars, self-service case inquiries, and self-service payments, will revolutionize the way courts do business. Special Judicial Officer screens have been created in CCMS to provide an unprecedented amount of information on cases and individuals to assist judicial officers in their decision-making process. This will be especially useful in the sensitive areas of Foster Care and Protective Orders (such as Elder Abuse, School, Domestic Violence, and Civil Harassment). The system will improve the processing of cases and transform court operations with a branchwide electronic document management system. The transition from paper to electronic processing of documents will result in cost and operational efficiencies across all courts. Additional features of CCMS include statewide statistical reporting and court interpreter and court reporter scheduling.

CCMS would improve public safety and the quality of justice rendered in California's trial courts by providing the public, attorneys, judges, and litigants with access to case information. This access results in savings for all parties. Attorneys and litigants save the expenses of trips to the courthouse, avoiding the problems with traffic and parking or, even worse, finding that the case file they need access to, is unavailable. The courts have savings in reduced public service requests for information and documents and in records storage costs. State agencies that partner with the courts, including the Department of Justice, Department of Social Services, Department of Child Support Services, Department of Motor Vehicles, and the California Highway Patrol,

¹⁰ California Court Case Management System Cost Benefit Analysis (prepared by Grant Thornton)
http://www.courts.ca.gov/partners/documents/CCMS_costbenefitanalysis_20110222.pdf

would 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. Through Internet and electronic filing, the public and attorneys will have more options for conducting court business.

CCMS supports the following goals:

- To provide a system that meets any court's needs regardless of size or demographics;
- To efficiently and economically manage future enhancements, including those that arise from legislative changes;
- To encourage adoption of common procedures and practices that will allow courts to use a standardized solutions with minimum customization;
- To facilitate best practices in all case categories, based on contemporary information technology architecture, and technology;
- To create venue transparency, allowing all judicial officers access to required information, irrespective of jurisdiction; and
- To provide cost efficiencies and shared services through a single system.

CCMS Project Vision

The California Court Case Management System (CCMS) is an essential component of the judicial branch strategic plan for technology. The intent is to transform court operations from a paper-based process where interaction with the public occurs primarily by mail or over the counter and response time is measured in days, to an electronic environment where interactions occur via Internet or automated voice-response and response time is more in line with the expectations of today's e-savvy consumer.

CCMS would be used by 90 percent of court staff and judicial officers and will transform the way all cases are received, adjudicated, and communicated. CCMS would significantly improve the quality of justice rendered in California's trial courts by providing attorneys, judges, and litigants with visibility and access to case information and dramatically improve efficiency in the courts and their ability to serve the public and justice partners.

Transitioning from paper to electronic documents will result in savings across all courts. New "paper on demand" initiatives, including electronic filing, electronic calendars, self-service case inquiries, and self-service payments, will transform the way courts do business. State agencies that interact with the courts, including the Department of Justice, Department of Social Services, Department of Child Support Services, California Highway Patrol, and others, would 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 would have increased options and improved service time frames for conducting business with the courts.

The vision for CCMS has evolved beyond focused efficiency improvements for selected case types and now aspires to deliver improved efficiency for all cases, and improved quality of justice by providing "venue transparency" across all case types in all courts. CCMS has the potential to transform the way courts work and the way attorneys, institutions and litigants

interact with the courts. This transformation will bring the service levels provided in the California courts system into alignment with the service quality that has been achieved in the private sector and other areas of government.

CCMS Features and Capabilities

Based on comprehensive business requirements compiled from trial courts around the state, the CCMS design includes the following key capabilities:

- Criminal, traffic, civil, small claims, probate, mental health, juvenile dependency, juvenile delinquency, and family law case functionality.
- Statewide portal for the public and justice partners.
- SWRDW.
- Justice partner data exchanges based on National Information Exchange Model standards.
- Document management integration.
- Court interpreter and court reporter scheduling functionality.
- Improved ability to respond to external requests for statistical information by providing a statewide repository of case information.
- A common approach for all case categories based on “best practices,” a contemporary architecture, and continued technology evolution.
- Quality improvements and reduced cost for internal court processes by eliminating paper and automating work processes.
- Improved responsiveness, reduced costs, and enhanced justice coordination by establishing electronic interfaces with state agencies and Justice Partners.

Early Adopter Deployment to Superior Court of San Luis Obispo Option 1: AOC January 5th Deployment Cost Summary

| SLO Court Deployment | FY 2012-13 | FY 2013-14 | FY 2014-15 | Variable Costs |
|-----------------------|------------|-------------|-------------|----------------|
| | | | | TOTAL |
| Hosting | \$0 | \$0 | \$0 | \$0 |
| Professional Services | \$111,709 | \$1,643,149 | \$1,056,087 | \$2,810,945 |
| Staff | \$0 | \$0 | \$0 | \$0 |
| Trial Courts | \$0 | \$600,000 | \$300,000 | \$900,000 |
| Risk Contingency | \$0 | \$59,200 | \$30,400 | \$89,600 |
| <i>Subtotal</i> | \$111,709 | \$2,302,349 | \$1,386,487 | \$3,800,545 |
| DMS | | | | |
| Hosting | \$0 | \$1,810,912 | \$902,484 | \$2,713,396 |
| Professional Services | \$0 | \$1,124,000 | \$624,000 | \$1,748,000 |
| Total | \$111,709 | \$5,237,261 | \$2,912,971 | \$8,261,942 |

| Deployment Support | FY 2012-13 | FY 2013-14 | FY 2014-15 | Fixed Costs |
|-----------------------|-------------|-------------|-------------|--------------|
| | | | | TOTAL |
| Hosting | \$918,314 | \$3,474,157 | \$4,214,532 | \$8,607,004 |
| Professional Services | \$1,767,292 | \$3,222,104 | \$2,779,743 | \$7,769,139 |
| Staff | \$732,985 | \$844,105 | \$876,050 | \$2,453,139 |
| Trial Courts | \$0 | \$0 | \$0 | \$0 |
| Risk Contingency | \$228,724 | \$1,123,401 | \$890,753 | \$2,242,878 |
| Governance | \$0 | \$0 | \$0 | \$0 |
| Total | \$3,647,315 | \$8,663,767 | \$8,761,079 | \$21,072,160 |

| Product Application Support | FY 2012-13 | FY 2013-14 | FY 2014-15 | TOTAL |
|-----------------------------|-------------|-------------|-------------|--------------|
| | | | | |
| Hosting | \$4,873,493 | \$7,794,598 | \$2,875,753 | \$15,543,844 |
| Professional Services | \$132,980 | \$741,613 | \$1,318,240 | \$2,192,833 |
| Staff | \$922,363 | \$1,000,754 | \$1,023,817 | \$2,946,933 |
| Trial Courts | \$0 | \$0 | \$0 | \$0 |
| Risk Contingency | \$179,574 | \$323,484 | \$75,324 | \$578,381 |
| Governance | \$0 | \$0 | \$0 | \$0 |
| Total | \$6,108,410 | \$9,860,448 | \$5,293,133 | \$21,261,992 |

| PMO | FY 2012-13 | FY 2013-14 | FY 2014-15 | TOTAL |
|-----------------------|--------------|--------------|--------------|--------------|
| | | | | |
| Hosting | \$806,400 | \$806,400 | \$806,400 | \$2,419,200 |
| Professional Services | \$9,223,200 | \$22,125,103 | \$25,657,406 | \$57,005,709 |
| Staff | \$2,870,456 | \$2,942,808 | \$3,017,031 | \$8,830,295 |
| Trial Courts | \$0 | \$0 | \$0 | \$0 |
| Risk Contingency | \$0 | \$0 | \$0 | \$0 |
| Governance | \$86,468 | \$96,468 | \$106,468 | \$289,404 |
| Total | \$12,986,524 | \$25,970,779 | \$29,587,305 | \$68,544,608 |

| | FY 2012-13 | FY 2013-14 | FY 2014-15 | TOTAL |
|-----------------------|--------------|--------------|--------------|---------------|
| Hosting | \$6,598,208 | \$13,886,068 | \$8,799,169 | \$29,283,444 |
| Professional Services | \$11,235,181 | \$28,855,969 | \$31,435,477 | \$71,526,627 |
| Staff | \$4,525,804 | \$4,787,667 | \$4,916,897 | \$14,230,368 |
| Trial Courts | \$0 | \$600,000 | \$300,000 | \$900,000 |
| Contingency | \$408,298 | \$1,506,084 | \$996,477 | \$2,910,859 |
| Governance | \$86,468 | \$96,468 | \$106,468 | \$289,404 |
| Total | \$22,853,959 | \$49,732,256 | \$46,554,488 | \$119,140,702 |

Early Adopter Deployment to Superior Court of San Luis Obispo Option 1: Detailed Cost Analysis and Comparison of AOC and Grant Thornton Cost Estimates

Grant Thornton's early adopter deployment budget includes assumptions that may account for differences between the Grant Thornton estimated costs and the AOC totals estimated by fiscal year. The major differences between the AOC estimate and the Grant Thornton cost validation include maintenance and operations, hosting calculations, and timeline differences.

Grant Thornton estimated maintenance and operations (M&O) costs at \$15.6 million during the first two fiscal years whereas the AOC estimated \$57 million over the three-year total. Grant Thornton estimated that M&O support needed to be less during non-production deployment events. AOC support estimates are based on V2 and V3 deployment experiences where vendor support came in the form of application updates, troubleshooting throughout user testing, and participation in end-to-end testing with justice partners, as well as support during infrastructure build-outs and training.

Hosting fees differed based on a revised deployment schedule. Both deployment schedules were approximately 18 months, but the AOC's budget crosses three fiscal years while the Grant Thornton schedule occurs in two fiscal years. AOC costs include infrastructure build-out times prior to deployment activities and assume keeping technical infrastructure environments available for steady-state operations after go-live as compared to Grant Thornton's calculations, which consist of hosting costs for the 18 months that it takes to deploy alone.

Grant Thornton's analysis includes costs specific to the duration of early adopter court deployment whereas the AOC's budget assumes a full fiscal year of costs for these deployment categories. An example of how the differences in deployment schedules affect costs can be seen in FY 2012–2013 with professional services. The AOC assumed full fiscal year contracts (based on previous models of contract execution) to be \$3.2 million and Grant Thornton estimated the number to be \$2.4 million (75 percent of the AOC figure).

Finally, Grant Thornton independently validated the AOC's 'Jan. 5th' early adopter budget estimate of \$102 million (\$119.1 million excluding the delay reimbursement from Deloitte). Grant Thornton translated the AOC's estimated deployment dates to match the Grant Thornton deployment timeline and identified a significant difference in the budget amount depending on whether full fiscal year figures (\$81.6 million) were used, or whether only the costs to implement the early adopter court were used (\$56.4 million). *See Table 1, below, for Grant Thornton deployment estimate.*

Grant Thornton Deployment Estimate (San Luis Obispo Three Year)

| | FY 11/12 | FY 12/13 | FY 13/14 | Total |
|---|------------------|---------------------|---------------------|---------------------|
| Court-level deployment costs | | | | |
| One-time | \$0 | \$4,711,234 | \$4,736,114 | \$9,447,348 |
| Continuing | \$0 | \$0 | \$0 | \$0 |
| Subtotal | \$0 | \$4,711,234 | \$4,736,114 | \$9,447,348 |
| Statewide deployment costs | | | | |
| One-time | \$192,218 | \$10,271,109 | \$5,926,925 | \$16,390,252 |
| Continuing | \$11,096 | \$15,609,633 | \$14,981,977 | \$30,602,705 |
| Subtotal | \$203,313 | \$25,880,742 | \$20,908,902 | \$46,992,957 |
| Total | \$203,313 | \$30,591,976 | \$25,645,016 | \$56,440,305 |
| Total without timeshift revision | \$203,313 | \$30,591,976 | \$50,801,021 | \$81,596,310 |

**Early Adopter Deployment to Superior Court of San Luis Obispo
Option 1: Benefits and Risks Identified by AOC**

| No. | Benefits | Risks |
|-----|--|---|
| 1 | A quicker deployment alternative is favored by the court. | Large infrastructure investment where the return is only realized by deploying subsequent courts beyond San Luis Obispo. |
| 2 | A quicker deployment alternative can leverage technical infrastructure already in existence before hardware end of life. | Rapid deployment may also create resource and schedule contention for parallel deployment events. |
| 3 | San Luis Obispo does not require automated conversion. The trial court IT team would instead maintain some legacy data for historical case data lookup and begin creating new cases in CCMS. This would result in both schedule and resource efficiencies. | There may be a reduced capacity of local justice partners to participate. |
| 4 | Moving San Luis Obispo (which ranks 35th in case filings for the state and 34th in the state in their FTE counts) to CCMS will prove out the product's ability to support courts adopting the same strategy. | San Luis Obispo is not a V2 or V3 and this may complicate deployment in the following ways: <ul style="list-style-type: none"> • Need for greater degree of court operations reengineering, • Steeper learning curve for court staff. |
| 5 | San Luis Obispo has been through a readiness assessment as an early adopter court and is enthusiastic about the product. They have augmented staffing with Intar-branch Agreement contributions from the AOC and are ready to deploy. | |
| 7 | Maximization of product warranty during implementation. | |
| 8 | An implementation would establish a scalable enterprise level infrastructure capable of supporting additional courts. | |
| 9 | Business process maps, as a product of a SLO-only deployment, can be reutilized for subsequent courts as San Luis Obispo would deploy across all case types. | |

| No. | Benefits | Risks |
|-----|--|-------|
| 10 | <p>CCMS is a product with modern architecture:</p> <ul style="list-style-type: none"> • CCMS is built using best-in-class software components from companies like Oracle, IBM, and Tibco. • The application’s statewide reporting data warehouse allowed for cross-court business intelligence reporting. • 121 data exchanges were developed using national design standards and designed in consultation with our justice partners to ensure that system integration will be successful and cost effective. • The centralized hosting model aids in release management. • Longer useful life because we can upgrade and replace different components as technology changes without having to replace the entire system. | |
| 11 | <p>CCMS supports judicial branch business model since the application was built with the courts for the branch. Branch ownership ensures that any development on the asset benefits all courts.</p> | |

12-Month Pause Followed by Early Adopter Deployment to Superior Court of San Luis Obispo Option 2: Benefits and Risks Identified by AOC

| No. | Benefits | Risks |
|-----|---|--|
| 1 | Immediate cost reductions in FY 2012-2013 | More expensive deployment overall (additional \$21.2 million compared to option one, over the five years) |
| 2 | Time to develop new deployment approaches | Longer deployment timeline |
| 3 | Opportunity for AOC to disengage from Deloitte by executing knowledge transfer and bringing maintenance & operations in-house | Loss of knowledge, subject matter experts and trained resources |
| 4 | | Loss of product warranty coverage during pause period and renegotiation with warranty vendor |
| 5 | | There is a potential for loss of credibility with trial courts and their local justice partners. |
| 6 | | There may be a reduced capacity of local justice partners to participate. |
| 7 | | The court incurs costs of an interim system or faces CMS failure. |
| 8 | | Court reassessment needed for San Luis Obispo's deployment plan to become current |
| 9 | | Loss of momentum resulting in an inability to restart the project and loss of investment |
| 10 | | Potential software penalty and renewal costs due to shutdown of deployment technical infrastructure |
| 11 | | <p>Possible further delays due to unforeseen circumstances including:</p> <ul style="list-style-type: none"> • RFP process for application maintenance and operations • Ramp-up time for maintenance and support vendor • Additional complexity and effort for Release 1.0 delivery due to newly accumulated legislative updates • Delays due to budget appropriations |

Terminating V4

Option 3 – Activity 1: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of the Terminating V4 activity.

| No. | Benefits | Risks |
|-----|--|---|
| 1 | CCMS program cost reduction by eliminating the recurring monthly operational, monitoring and maintenance cost. See Fiscal Impact section below for potential cost avoidance. | Unique, advanced features of CCMS are unavailable: <ul style="list-style-type: none"> • No single statewide system supporting all case types • No public or justice partner portal • Loss of 121 standard data exchanges • No standard integration with document management systems • No statewide e-filing service solution |
| 2 | Terminated servers may be used for other AOC and or court initiatives. | CCMS program budget reductions will offset only a portion of the trial court budget cuts. These dollars will not be available for alternate CMS solutions. |
| 3 | | The CCMS program will continue to pay the monthly capital cost through the current contract terms as not all terminated servers may be used for other initiatives. |

Timeline

The amount of time estimated to complete the shutdown activities is three months. One month is needed to prepare the requirements, the work order, and Statement of Work for the technical environment, and two months are required for the backup and archiving of databases and the moving and storage of hardware. The shutdown of the Stress and Product Acceptance Test (PAT) environments will begin and be completed in FY 2011–2012. The target for the Stress environment shutdown would be April 30, 2012. The work to shutdown the PAT environment would start on April 1, 2012. The shutdown work would be done throughout May and June 2012. The last environment to be shutdown will be the Localization Test (LT) environment. The target for the LT environment shutdown would be September 28, 2012.

The amount of time required to complete the cataloguing and archiving of the project deliverables, artifacts, and documentation is estimated to be two months. This includes all functional pieces of the project including the application, testing, and configuration tracks and completing all contracts and reports. It will begin July 1, 2012, in parallel with the decommissioning of the technical environments. Once the cataloguing and archiving activities are completed, the resources will begin the analysis activities described in activities 2–4, leveraging CCMS technology.

Resources

The following resources would be utilized during the Terminating V4 activity.

CCTC Vendor – Activities will include the shutdown and dismantling of technical infrastructure.

ISD CCMS Development & Maintenance – Activities will include archiving documentation of environments, securing application components, liaison with CCTC vendor to modify and create work orders.

ISD Deployment & Delivery – Activities will include the orderly shutdown activities associated with the LT environment and the archival of LT technical documentation.

PMO CCMS Product Development Unit – Activities will include cataloging project deliverables and artifacts.

PMO CCMS Product Assurance Unit – Activities will include exporting and cataloguing testing information currently stored on the Quality Center application, which includes test scripts, requirements traceability, and defect history; exporting and cataloguing “seed” case data from V4 used for test scripts and product demonstrations; documenting application code and processes used for V4 automated testing, including the automation framework design, automated test scripts, data exchange utilities, and automated test execution processes; and identify appropriate and achievable stopping points for current projects supporting early-adopter court testing, including development of UAT scripts, user training scripts, and automated local configuration tests.

PMO CCMS Product Trial Court Services Unit – Activities will include developing a comprehensive configuration package, including tools, plans, and processes for potential future reuse; documenting the state of V4 configurations as well as the considerations, tasks, and issues for future deployments; creating extracts and backups for point-in-time reference; completing select key in-process configuration activities for ease of reuse and future deployment.

PMO Project Management & Reporting Unit – Activities will include contract modifications, reporting, processing final invoices, and project documentation. The final product will be a complete, auditable set of documentation for the project.

Fiscal Impact

Terminating V4 environments in FY 2011–2012 and FY 2012–2013 will result in cost avoidance for the CCMS program, of approximately \$1 million in the current fiscal year. The table below shows the estimated cost avoidance for FY 2012–2013 (\$11.97 million). There will be no impact to the current fiscal year budget.

| No. Terminating V4 Cost Avoidance FY 2012-2013 | | FY 2012-2013 Estimated Save |
|---|-----------------------|--|
| 1 | V4 Stress environment | \$4,412,619 |
| 2 | V4 PAT environment | \$2,584,385 |
| 3 | V4 LT environment | \$788,868 |
| 4 | V4 Consultants | \$4,180,241 |
| TOTAL COST AVOIDANCE FOR ACTIVITY 1: | | \$11,966,113 |

Baseline costs include CCMS program staff from the ISD and the CCMS PMO. Also included are residual capital costs from the shutdown of the V4 Stress Test, Product Acceptance Testing (PAT), and Localization Test (LT) environments, and hosting charges for the development environment hosted by the CCMS development vendor, Deloitte Consulting, in Spring Valley (SV), Pennsylvania.

The costs associated with the Terminating V4 activities are listed in the following table.

| No. Terminating V4 Fiscal Impact | | FY 2012-2013 Estimated Cost |
|---|---|--|
| 1 | V4 Stress environment capital cost from June 2012 through March 2013 | \$493,843 |
| 2 | V4 PAT environment capital cost from June 2012 through March 2013 | \$191,169 |
| 3 | V4 Spring Valley data center environment (three additional months to complete activities to secure the CCMS code, archive documentation, and ship the hardware assets to the AOC) | \$201,000 |
| 4 | Hard drive to store and ship the V4 source code back to California | \$5,000 |
| 5 | Vendor costs to desensitize the disk drives (wipe clean), un-rack, and prepare for shipping | \$30,000 |
| 6 | Cost to ship the hardware assets from the V4 Spring Valley development vendor in Pennsylvania to the AOC | \$20,000 |
| 7 | The remaining V4 LT environment capital cost for FY 2012–2013 (cost continue through September 2017 unless reassigned to other initiatives) | \$873,894 |
| 8 | The remaining V4 LT environment operational cost through September 2013 | \$262,956 |
| 9 | Annual cost to inspect and reassign terminated servers | \$5,000 |
| 10 | Baseline staff (includes salary, benefits, expenses, and rent for 9.2 positions for 3 months and 19 positions ¹¹ for 2 months) | \$654,163 |
| TOTAL COST ACTIVITY 1: | | \$2,737,025 |

¹¹ In this activity, the 19 positions include 16 FTE and 3 temporary agency staff providing administrative support.

Judicial Branch Technology Vision and Roadmap

Option 3 – Activity 2: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of the Judicial Branch Technology Vision and Roadmap activity.

| No. | Benefits | Risks |
|-----|--|---|
| 1 | Provides flexibility to implement software-based solutions and a variety of electronic services across the branch, to reduce costs and improve operating efficiencies. | Unique, advanced features of CCMS are unavailable: <ul style="list-style-type: none"> • No single statewide system supporting all case types • No public or justice partner portal • Loss of 121 standard data exchanges • No standard integration with document management systems • No statewide e-filing service solution |

Timeline

Activities to develop a Judicial Branch Technology Vision and Roadmap could begin immediately following the cataloguing and archiving of the project deliverables, artifacts, and documentation activities that will occur during the termination. The functional and technical subject matter experts in the Terminate V4 activity are required for this process so it will not be able to begin in parallel with those activities.

It is estimated that the analysis will take approximately six months. Additional time may be required to fully develop business cases, including cost-benefit analysis for presentation to the Judicial Council.

Resources

The following resources would be utilized during the Judicial Branch Technology Vision and Roadmap activity.

Trial Court Subject Matter Experts – Activities will include supporting the functional analysis of CCMS technology.

Trial Court Technical Experts – Activities include supporting a technical analysis of CCMS technology and determining most cost-effective software-based solutions and electronic services to reduce costs and improve operating efficiencies.

IT Project Manager – Activities will include maintaining the project schedule; coordinating meetings with AOC internal staff, the court personnel, and vendors; compiling the information gathered; and publishing it to the team. The expectation is one resource, redirected from CCMS.

Senior Business Application Analyst – Activities will include defining and documenting the system functional requirements for proposed software-based solutions and electronic services. The expectation is one resource, redirected from CCMS.

Consulting Resources – Five consulting resources are required for six months to perform a functional and technical analysis in support of requirements for the technology roadmap.

Fiscal Impact

The following table outlines the projected cost for the Judicial Branch Technology Vision and Roadmap activity.

| No. | Judicial Branch Technology Vision and Roadmap | FY 2012-2013 Estimated Cost |
|-------------------------------|---|--|
| 1 | Five consulting resources are required for six months to perform a functional and technical analysis in support of requirements for the technology roadmap. | \$576,000 |
| 2 | Travel and meeting logistics for trial court resources (2 one-day face-to-face meetings) | \$12,000 |
| 3 | Baseline staff (includes salary, benefits, expenses, and rent for 2 positions for six months) | \$ 194,926 |
| TOTAL COST ACTIVITY 2: | | \$782,926 |

Leverage CCMS Technology

Option 3 – Activity 3: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of the Leverage CCMS Technology activity.

| No. | Benefits | Risks |
|-----|---|--|
| 1 | Provides an option to leverage the assets that have been purchased and the investment made in code and functionality. | V4 no longer a viable solution as a CMS replacement because unique, advanced features of CCMS are unavailable: <ul style="list-style-type: none"> • No single statewide system supporting all case types (no enterprise solution) • No public or justice partner portal • Loss of 121 standard data exchanges • No standard integration with document management systems • No statewide e-filing service solution |

Timeline

Activities to leverage CCMS technology could begin immediately following the cataloguing and archiving of the project deliverables, artifacts, and documentation activities that will occur during the termination. The functional subject matter experts in the CCMS Product Development and Product Assurance Units are required for this process so it will not be able to begin in parallel to the termination activities.

It is estimated that the analysis will take approximately six months. Additional time may be required to fully develop business cases, including cost-benefit analysis for presentation to the Judicial Council.

Resources

The following resources would be utilized during the Leverage CCMS technology activity.

Development Vendor – Activities will include supporting a technical and functional analysis of CCMS technology; developing a plan for knowledge transfer from development vendor to judicial branch resources (functional and technical).

Trial Court Subject Matter Experts – Activities will include supporting the functional analysis of CCMS technology.

Trial Court Technical Experts – Activities include supporting a technical analysis of CCMS technology and determining the most cost-effective infrastructure to right-size for standalone implementations at large, medium, and small courts.

ISD CCMS Development & Maintenance – Activities will include a technical analysis of CCMS technology to determine how to use parts of the code; developing a plan for knowledge transfer from development vendor to judicial branch resources (functional and technical); determining the most cost-effective infrastructure to right-size for standalone implementations at large, medium, and small courts; migrating testing tools from vendor to AOC standards; leveraging and packaging configuration tools and processes.

ISD Deployment & Delivery – Activities will include developing a plan for knowledge transfer from development vendor to judicial branch resources (functional and technical); and leveraging and packaging configuration tools and processes.

PMO CCMS Product Development Unit – Activities will include a functional analysis of CCMS technology; developing a plan for knowledge transfer from development vendor to judicial branch resources (functional & technical); and leveraging and packaging configuration tools and processes.

PMO CCMS Product Assurance Unit – Activities will include analyzing existing testing processes and tools for the purpose of packaging them into test strategies and plans for courts to use during implementation of a CMS; identifying potential manual and automated testing services for courts implementing a CMS with limited staff resources available for testing; providing CCMS subject matter expertise and analytical support to other units during the analysis of CCMS leverage scenarios.

PMO CCMS Product Trial Court Services Unit – Activities will include developing a plan for knowledge transfer from development vendor to judicial branch resources (functional and technical); and leveraging and packaging configuration tools and processes.

PMO Project Management & Reporting Unit – Activities will include contract modifications; reporting; budget management; documentation; project logistics and administrative support; and developing Judicial Council reports and presentations.

Office of the General Counsel – Activities will include the review of contractual and other legal issues which may arise throughout the process.

Consulting Resources – Five developer consultants are needed to analyze the code of the core, the SWRDW, the portal, and interpreter management CCMS technical components. The deliverables will be to recommend how to leverage the CCMS application for smaller, more cost-effective standalone implementations at large, medium, and small courts.

Fiscal Impact

The following table outlines the projected cost for leveraging CCMS technology.

| No. | Leverage CCMS Technology | FY 2012-2013 |
|-------------------------------|--|--------------------|
| | | Estimated Cost |
| 1 | Deloitte Consulting resources to provide technical and functional information during analysis and develop strategy for knowledge transfer | \$137,700 |
| 2 | Five consulting resources are required for six months to perform a technical analysis on the various application components and identify options for leveraging CCMS technology. | \$576,000 |
| 3 | Travel for AOC and trial court staff (assumes 15 trips per month over a 10-month period) | \$63,600 |
| 4 | Baseline staff (includes salary, benefits, expenses, and rent for 9.2 positions for 9 months and 17 positions for 10 months) | \$2,612,364 |
| TOTAL COST ACTIVITY 3: | | \$3,389,664 |

This activity includes analyzing the possibility of the Judicial Council licensing or selling rights to all or parts of the V4 application code to other CMS vendors, large commercial software providers, or back to the V4 development vendor. It is assumed that internal resources from the Office of the General Counsel (OGC) will be used for this activity. Five consulting resources are required for six months to perform a functional and technical analysis of the V4 requirements to identify e-filing and DMS alternative solutions for legacy CMS implementations and other options for eDelivery.

**Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access)
Option 3 – Activity 4: Benefits & Risks; Timeline; Resources; and Fiscal Impact**

Benefits and Risks

The following table outlines the risks and benefits of Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access).

| No. | Benefits | Risks |
|-----|--|---|
| 1 | Receipt of case filings electronically and the reduction of paper handling create savings for the trial courts. | Unique, advanced features of CCMS are unavailable: <ul style="list-style-type: none"> • No single statewide system supporting all case types • No public or justice partner portal • Loss of 121 standard data exchanges • No standard integration with document management systems • No statewide e-filing service solution |
| 2 | Increased e-access will reduce administrative inquiries, as well as the copy and review of court-related documents, creating savings for the trial courts. | |

Timeline

The amount of time estimated to complete this analysis is six months. This analysis will be most effective if started following the analysis of the Leverage CCMS Technology activity. Resources could transition smoothly to the analysis required for this activity and utilize the existing research and deliverables. Additional time may be required to fully develop business cases, including cost-benefit analysis for presentation to the Judicial Council.

Resources

The following resources would be utilized during the Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access) activity.

Consulting Resources – Five consulting resources are required for six months to perform a functional and technical analysis of the V4 requirements to identify e-filing and DMS alternative solutions for legacy CMS implementations and other options for eDelivery.

Fiscal Impact

The following table outlines the projected cost for the Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access) activity.

| No. | – Leveraging Technology for Document Management System (DMS), Electronic Filing (e-filing), and Electronic Access (e-access) | FY 2012-2013 Estimated Cost |
|-------------------------------|--|--------------------------------|
| 1 | Five consulting resources are required for six months to perform a functional and technical analysis of the V4 requirements to identify e-filing and DMS alternative solutions for legacy CMS implementations and other options for eDelivery. | \$576,000 |
| TOTAL COST ACTIVITY 4: | | \$576,000 |

Judicial Branch Court Technology Governance Structure

Option 3 – Activity 5: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of Judicial Branch Court Technology Governance Structure.

| No. | Benefits | Risks |
|-----|---|---|
| 1 | Consistent branch strategy for case management systems. | Unique, advanced features of CCMS are unavailable: <ul style="list-style-type: none"> • No single statewide system supporting all case types • No public or justice partner portal • Loss of 121 standard data exchanges • No standard integration with document management systems • No statewide e-filing service solution |
| 2 | Clear processes and guidelines fro trial courts. | |

Timeline

It is anticipated that the tasks identified above will take six months.

Resources

The following resources would be utilized during the Judicial Branch Court Technology Governance Structure activity.

Senior IT Project Manager – Activities will include working with judges, court executive officers, committee members, and AOC executives to develop a proposed governance structure and processes supporting the new governance structure. The expectation is one resource, redirected from CCMS.

Senior Business Application Analyst – Activities will include assisting the Senior IT Project Manager with analysis and developing of deliverables. The expectation is one resource, redirected from CCMS.

Office of the General Counsel – Activities will include the review of contractual and other legal issues which may arise throughout the process.

Finance Division – Activities will include assist with defining and implementing the procurement process and a funding strategy.

Trial Court Personnel – Activities will include providing input and assisting with the creation of the governance structure and supporting processes.

Fiscal Impact

The following table outlines the projected cost for the Judicial Branch Court Technology Governance Structure activity.

| No. | Courts with Critical CMS Needs | FY 2012-2013 Estimated Cost |
|-------------------------------|---|--|
| 1 | Develop a CMS Technology Governance structure and supporting processes. | \$ 194,926 |
| TOTAL COST ACTIVITY 5: | | \$194,926 |

Assumptions associated with this estimate are:

1. The trial court participants would not be reimbursed for their time.
2. Trial court participants will be available to participate during the process.
3. The analysis will take approximately six months.
4. Travel would be kept to a minimum by using WebEx and conference calls
5. The OGC and Finance Division resources would not be needed for the entire duration of the project. Instead, representatives from these AOC divisions would be included in the projects on a part-time basis to assist with addressing specific issues/processes related to their area of expertise. Thus, the budget proposed above does not include funding the tasks to be performed by these AOC divisions.

Alternatives for San Luis Obispo Superior Court

Option 3 – Activity 6: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of Alternatives for San Luis Obispo Superior Court.

| No. | Benefits | Risks |
|-----|---|--|
| 1 | The process developed to identify and evaluate an alternative case management system for San Luis Obispo can be used as a basis for other courts with critical case management system needs. | An alternative case management system would not have the features specifically designed for the California courts that are included in CCMS, such as the use of a common set of data exchanges, a justice partner component in the web portal, and a statewide reporting data warehouse. |
| 2 | Replacing San Luis Obispo’s failing case management systems will give the court a more functional case management system and a single CMS for all case types. | Identification of a funding strategy may be a challenge given the budget issues facing the judicial branch. |
| 3 | The role of the AOC with the selection of an alternative system would be defined including the project governance structure and could be used as the basis for other courts with critical case management system needs. | If the court chooses to host their case management system locally as opposed to the CCTC, it may need to invest additional funds to build out server rooms, add infrastructure, and hire additional resources to support a new case management system. |
| 4 | | There may be additional ongoing costs for items such as licensing, maintenance, and support for a new case management system, database software, reporting software, etc. |

Timeline

The combined duration of both the requirements gathering and selection process definition phase (estimated 3-month duration) and the evaluation of alternative solutions (estimated to be 7 months in duration) is expected to take 10 months.

Resources

The following resources would be utilized during the research for San Luis Obispo Superior Court analysis:

IT Project Manager – Activities will include maintaining the project schedule; coordinating meetings with AOC internal staff, the court personnel, and vendors; compiling the information gathered; and publishing it to the team. The expectation is one resource, redirected from CCMS.

Senior Business Application Analyst – Activities will include defining and documenting the court’s system functional requirements and comparing those with the features of proposed alternative solutions. The expectation is one resource, redirected from CCMS.

Application Architect – Activities will include developing technical system requirements for a commercial CMS and evaluating requirements against the features of proposed alternative solutions. This is expected to be one consulting resource that will be shared with the “Courts with Critical CMS Needs” project discussed in another section of this document.

Infrastructure Architect – Activities will include input with determining hosting options and identification of infrastructure requirements for evaluation against proposed alternative solutions. This resource is expected to be one consulting resource that will be shared with the “Courts with Critical CMS Needs” project discussed in another section of this document.

Office of the General Counsel – Activities will include the review of contractual and other legal issues which may arise throughout the process.

Finance Division – Activities will include assist with defining and implementing the procurement process and a funding strategy.

Trial Court Personnel – Activities will include establishing minimum requirements for a CMS, coordination with local justice partners and county personnel, and evaluation of proposed solutions.

Fiscal Impact

| No. Alternatives for San Luis Obispo Superior Court | | FY 2012-2013 Estimated Cost |
|--|--|--|
| 1 | Requirements Gathering and Process Definition | \$235,759 |
| 2 | Selection of an Alternative Case Management System | \$505,929 |
| TOTAL COST ACTIVITY 6: | | \$741,688 |

Assumptions associated with this estimate are:

1. The trial court participants would not be reimbursed for their time.
2. Trial court participants would be available to participate during the process.
3. The project will begin and be completed with FY 2012–2013.
4. By leveraging the previous analysis done as part of the CCMS early adopter assessments, the selection process and requirements gathering can be done in a three month time frame.
5. Court requirements have been identified and signed off prior to starting the evaluation of alternative solutions.
6. The selection and evaluation process that needs to be followed can be performed within the seven-month period.
7. The application and infrastructure architects will be assigned to this project 80 percent of the time. The remaining 20 percent of their time would be spent assisting with the “courts with critical needs” process.
8. Travel will be kept to a minimum by utilizing WebEx and conference calls.

9. It is assumed that the Office of the General Counsel (OGC) and Finance Division resources would not be needed for the entire duration of the project. Instead, representatives from these AOC divisions would be included in the projects on a part-time basis to assist with addressing specific issues/processes related to their area of expertise. Thus, the budget proposed above does not include funding for the tasks to be performed by these AOC divisions.

Courts with Critical CMS Needs

Option 3 – Activity 7: Benefits & Risks; Timeline; Resources; and Fiscal Impact

Benefits and Risks

The following table outlines the risks and benefits of these activities.

| No. | Benefits | Risks |
|-----|---|--|
| 1 | There will be a defined, consistent process in which to evaluate and provide assistance to those courts that ask for AOC help with their critical CMS needs. | The approach of waiting for courts to have a critical CMS need prior to reaching out to the AOC is a reactive versus a proactive strategy |
| 2 | Replacing a court's failing case management system(s) will give the court a more functional case management system and the potential to consolidate all case types into a single CMS for their court. | There will be no single integrated case management system used by all 58 trial courts. Thus, statewide benefits of an integrated case management system will not be available, such as venue transparency (i.e., the ability to search for cases and access case information across all 58 superior courts by the public, justice partners, parties/attorneys, and the courts), a statewide reporting data warehouse, use of a common set of data exchanges, a justice partner component in the web portal, and utilization of a common approach to e-filing |
| 3 | The role of the AOC will be defined for those CMS projects that are either fully or partially funded by the AOC, including the project governance structure. | Each court will need to go through a separate process to identify, evaluate, and procure a case management system solution for their court. |
| 4 | | With each court potentially selecting a different CMS, there will be less of an opportunity to leverage common configurations settings, reports, interfaces, and training materials from other trial courts. Thus, duplication of effort for each trial court will result. |
| 5 | | Identification of funding to assist those courts with critical needs may be challenging given the current budget issues facing the judicial branch. |
| 6 | | If courts choose to host their case management system locally as opposed to the CCTC, the trial court may need to invest additional funds to build out server rooms, add infrastructure, and hire additional resources to support a new case management system. |
| 7 | | There may be additional ongoing costs for licensing, maintenance, and support for each case management system, database software, reporting software, etc. |

| No. | Benefits | Risks |
|-----|----------|--|
| 8 | | There will not be a consistent approach to incorporating legislative updates, database administration, and patch management with different case management system solutions. |

Timeline

This activity will begin following the analysis for the San Luis Obispo court and is expected to take approximately six months. This approach allows the team to learn and build on information acquired in the earlier phase and leverage resources such as court personnel and CCMS project staff.

Resources

The following resources would be utilized during the courts with critical case management system needs activity.

IT Project Manager – Activities will include maintaining a project schedule; coordinating meetings with AOC internal staff and the court personnel. The project manager would also compile the information gathered and publish it to the team. The expectation is one resource, redirected from CCMS.

Senior Business Application Analyst – Activities will include assisting with identification and documentation of factors for consideration in developing criteria for determining those trial courts with critical CMS needs as well as the criteria for prioritizing trial court requests. The expectation is one resource, redirected from CCMS.

Court Personnel – Activities will include assisting with identification of critical CMS needs and the criteria for prioritizing requests.

Application Architect – Activities will include assisting with identification and documentation of technical application criteria that may create a critical need on behalf of a trial court. This resource is expected to be one consulting resource shared with the “Alternatives for San Luis Obispo Superior Court” project discussed above.

Infrastructure Architect – Activities will include providing input about the technical infrastructure criteria that may create a critical need on behalf of a trial court. This resource is expected to be one consulting resource shared with the “Alternatives for San Luis Obispo Superior Court” project discussed above.

Office of the General Counsel – Activities will include reviewing contractual and other legal issues with may arise throughout the process.

Finance Division – Activities will include developing the criteria for determining if a trial court is underfunded and definition of the distribution mechanism to be used if a project is fully or partially AOC funded.

Fiscal Impact

| No. | Courts with Critical Case Management System (CMS) Needs | FY 2012-2013 Estimated Cost |
|-------------------------------|---|--------------------------------|
| 1 | Analysis and development of criteria | \$238,150 |
| TOTAL COST ACTIVITY 7: | | \$238,150 |

Assumptions associated with this estimate are:

1. The trial court participants would not be reimbursed for their time.
2. Trial court participants will be available to participate during the process.
3. The analysis will take approximately six months and would not start until a process and system requirements have been defined for selection of an alternative solution for San Luis Obispo
4. Travel would be kept to a minimum by using WebEx and conference calls
5. The Office of the General Counsel (OGC) and Finance Division resources would not be needed for the entire duration of the project. Instead, representatives from these AOC divisions would be included in the projects on a part-time basis to assist with addressing specific issues/processes related to their area of expertise. Thus, the budget proposed above does not include funding the tasks to be performed by these AOC divisions.
6. The application and infrastructure architects would spend 20 percent of their time on this project and the remaining 80 percent on the process of identifying an activity solution of San Luis Obispo.

