Project Investment Justification

A Statewide Standard
Document for Information Technology Projects

Project Title: Integrated Financial Information Systems

Version 4.0

Prepared by:

Name	**Chris J. Stimson and Ken Troxel**
Agency	**Clerk of Maricopa Superior Court and Maricopa Superior Court**
Date	**September 28, 2004**

TABLE OF CONTENTS

Section I. Business and Technology Assessment

Agency Names and Address	*Contact Name, Phone, FAX, email*
Superior Court of Marciopa County 201 W. Jefferson Street Phoenix, Arizona 85003 and Clerk of Maricopa County Superior Court 201 W. Jefferson Street Phoenix, Arizona 85003	Dave Stevens Applications Director -Court Technology Services (602) 506-1531 dstevens@superiorcourt.maricopa.gov Chris J. Stimson Financial Systems Consultant (602) 506-7753 cstimson@cosc.maricopa.gov

Project Investment Name	*Date*
Integrated Financial Information Systems ("IFIS")	August 25, 2004

A. Management Summary

1. Project Objective and Benefits

The objective of this project is to replace the Clerk of Maricopa Superior Court's existing criminal financial receivables system (known as the 'RFR' system) and Superior Court's Juvenile 'JOLTS' case financials with a newly developed integrated 'receivables and disbursement' application that is tightly integrated with the Courts case management system (iCIS). In addition, new receipting, trust, payables and general ledger systems will be implemented to replace outdated legacy systems. The new systems are expected to include the necessary financial requirements of the Clerk of Court, Juvenile Courts, and Justice Courts and should last for at least the next 15 years.

It is the desire of the Superior Court and the Clerk of Superior Court to jointly develop and implement new automated financial systems that will comply with the technology guidelines of the State and County, that will be integrated with the Court's current case management system (iCIS) and easily be able to communicate with external systems (County, State, etc.), while eliminating existing deficiencies and data entry redundancies.

This project will result in major changes relative to the technologies used and business related efficiencies. It will allow the Criminal, Juvenile and Justice courts to utilize the same financial systems and share data across databases. It will decrease redundancy in development efforts and increase savings when purchasing licenses, if necessary. Any application developed will utilize the standard development toolsets approved by the Arizona Supreme Court's Commission on Technology as well as Maricopa County's technology standards. SQL Server database environments and incorporation of XML standards consistent with State and County initiatives will be used where possible.

2. Measurement and Deliverables

The collaborative efforts of the Superior Court and Clerk of Court of Maricopa County will save taxpayers millions of dollars as a result of developing and procuring one application for each financial area (receipting, trust, receivables, payables, general ledger) that meets their needs and can be utilized by both. It will allow the Clerk of Court to redirect valuable internal resources currently being used to 'prop up'

existing systems to reduce backlogs, as well as eliminate funds currently being expended for outside resources ($16,000 monthly) to programmatically capture and change corrupt data that is being created each day of operation.

The project will utilize a 'phased' approach that allows, where possible, funding to be allocated on a quarterly basis as milestones are met.

This project will provide the AOC with an option to support other counties relative to integrated case and cash management systems if desired. It will allow the AOC to provide the other counties with a case management system for Criminal, Juvenile, and Justice courts integrated with financial systems that are required to fulfill their mandated and statutory responsibilities.

3. Project Resources

Clerk of Court and Superior Court business and technology staff have participated over the past 3 years with the States 'MCAP' initiative to develop business requirements for such a system. The efforts expended and information obtained by these resources during this work effort will be leveraged to determine business requirements. Court and Clerk of Court IT resources will be utilized to design, develop, document, test, provide quality assurance, and develop training materials. The application will be developed using a Rapid Application Development approach. Internal technology and business staff will support this effort thus providing a continuation of support resources once the project is completed.

Is this project mandated by law, court case or rule? No
Enterprise architectural standards are mandated by court rule ACJA 1-505 (Appendix D) found at: http://www.supreme.state.az.us/cot/Documents/Technology/Standards20040318.pdf and Marciopa County technical standards found at : http://ebc.maricopa.gov/itsite/projectprofile/pdf/masterstrategyl.pdf

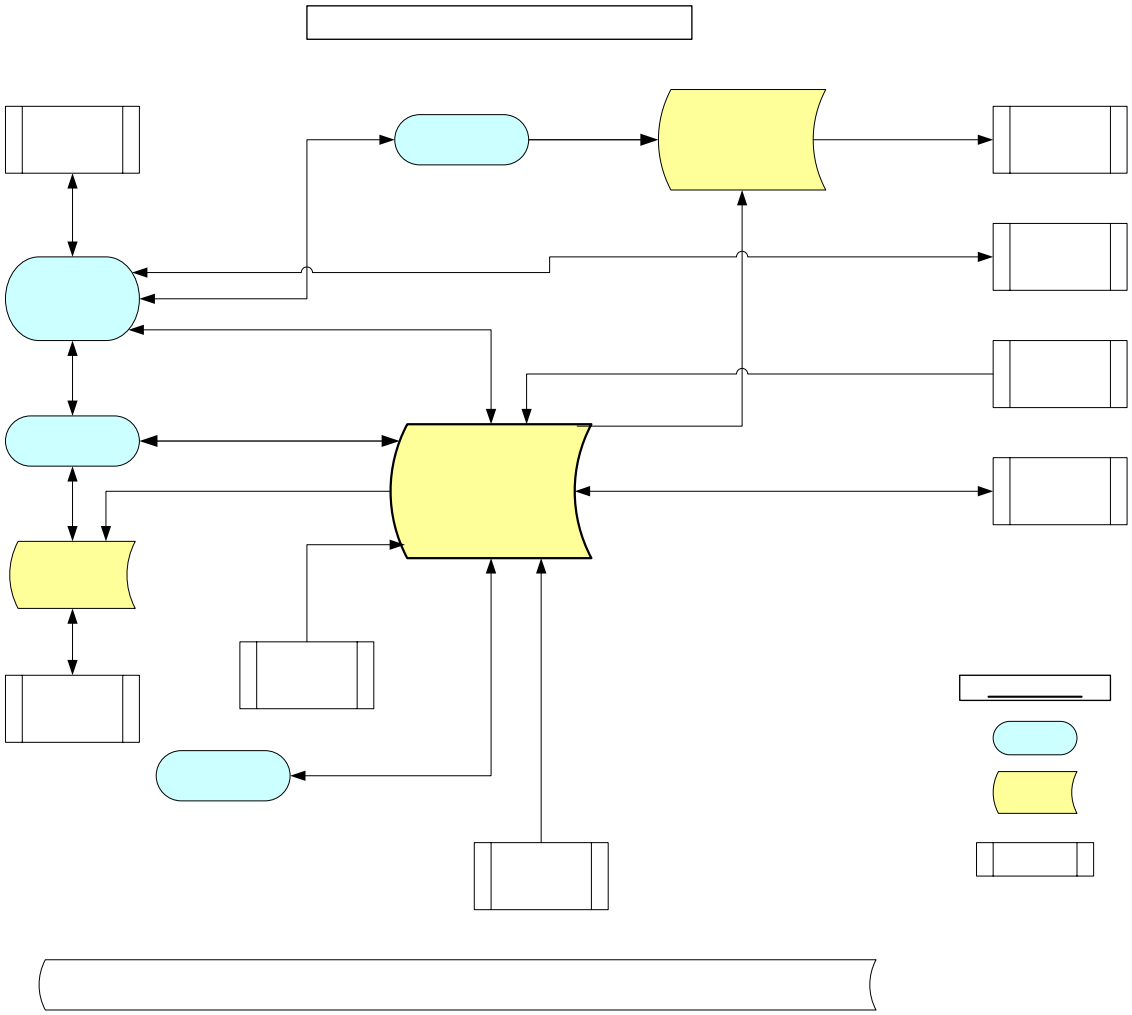
The following table contains summary information taken from the other sections of the PIJ document.

Description	Section	Significance
Value Rating	II. A. Value to the Public	22
Economic Benefits	II. B. Benefits to the State	See page 17
Development Cost	III. A. Development Costs	$2,012
Total Project Cost	III. C. Summary of Costs by Year	See page 21
Score for Risks	IV. A. Risk Summary (Maximum 37)	35

B. Proposed Changes and Objectives, "To Be"

This section outlines the proposed solution and objectives defined for the development of the new financial application.

The following diagram depicts the new financial system as well as the integration points.



The proposed solution was developed through discussions and demonstrations of existing applications and gathering general requirements from the users of various applications. In addition, the project estimating team has extensive experience with the applications and drew upon their knowledge base to develop the cost estimates for this project. The proposed solution includes the deployment of mission critical applications as well as the integration with existing applications as pictured in the IFIS Integration/Interface Diagram in the appendix of this document.

CREDIT CARD PROCESS

General Objectives

1. Utilize existing technology when and where available – iCIS, Revenue Plus' Billing/Collections, ICJIS, EDMS, etc.
2. Preserve data exchanges currently in place, making improvements where practical to do so. Examples; MEEDS XML feed, APETS nightly data feed.
3. Identify and define the 'modules' (case setup, financial, etc.) that will comprise the system architecture.
4. Integrate Clerk of Court modules with outside modules.

New Cash Receipting and Trust system:

1. Purchase an 'off the shelf' Cash Receipting and Trust application for integration with an 'off the shelf' General Ledger system and a newly developed Financial Obligations processing system.
2. Provide all functionality currently employed in the existing systems
3. Enhance system via 'Video' capture of negotiable items using printer/scanner
4. Include functionality for Juvenile and Justice Court financial processes.
5. Integrate new system with identified modules (General Ledger, Billing/Collections, Financial Obligations, iCIS case management, etc.).

New Financial Obligations processing system:

1. Develop a Financial Obligations application within the Court's case management system (iCIS) that will integrate with the Cash Receipting, General Ledger, Accounts Payable, and Billing/Collections modules where necessary.
2. Provide accurate and timely tracking of money distributed to victims and other payees
3. Provide accurate application (allocation and distribution), reporting and processing of monies to financial obligations
4. Provide 'date aware' table structures allowing ease of modifications as a result of statutory changes
5. Develop 'adjustments' logic which allows re-application of misapplied funds
6. Include functionality that identifies and remits to the Department of Revenue 'unclaimed' funds.
7. Provide Joint and Several Liability logic: allowing one or more debtors owing the same victim restitution to pay and receive credit for such payments.

New Payables system:

Incorporate into the payables system the ability to disburse agency payables (local and state), victim restitution payables, customer overpayment (by check) payables, trust payables and any other disbursement record type.

New General Ledger system:

1. Purchase an existing accounting software system that meets or exceeds the states Minimum Accounting Standards.
2. Enhance functionality currently employed by the existing system to allow more granular reporting of funds.
3. Enhance audit capabilities
4. Enhance reporting capabilities
5. Enhance adjustments capabilities

It is expected that the following will occur as objectives are met:

- Perform business process re-engineering to eliminate redundancy in data entry and create workflow efficiencies
- Provide security as well as a high level of audit control
- Enhance timely case resolution through enhanced access to real-time information for judges, administrators, supervisors and clerical staff.

- Direct savings as a result of both the Court and Clerk utilizing the same systems and not developing independent ones

Expected Outcome

Fully functioning financials for the Clerk of Court, Juvenile Courts and Justice Courts including accounting, cash receipting, trust deposits/disbursements, cash disbursements, financial obligation processing, cash handling, juvenile and trust activities.

- Integrated cash and case management
- Financial obligations module within case management system
- Improved management reporting
- Case flow management – more timely case initiation and docketing of events
- Enhanced information – better informed judges and probation officers
- Increased efficiencies
- Reduced redundant data entry
- Re-engineer/streamlining processes
- Real-time, online data management
- Linkage to county-wide court systems.

The new systems that will be developed or purchased will utilize new technologies and SQL Server databases that will:

- Reduce the risk associated with utilizing obsolete and non-sustainable technologies
- Increase potential availability of skilled personnel to support applications into the future
- Provide integration technology to eliminate redundant data entry from various sources thus maximizing return on investment
- Support standardization methodologies to allow sharing of information and provide interoperability between applications internal and external to the operation
- Provide data sharing capabilities with other agencies

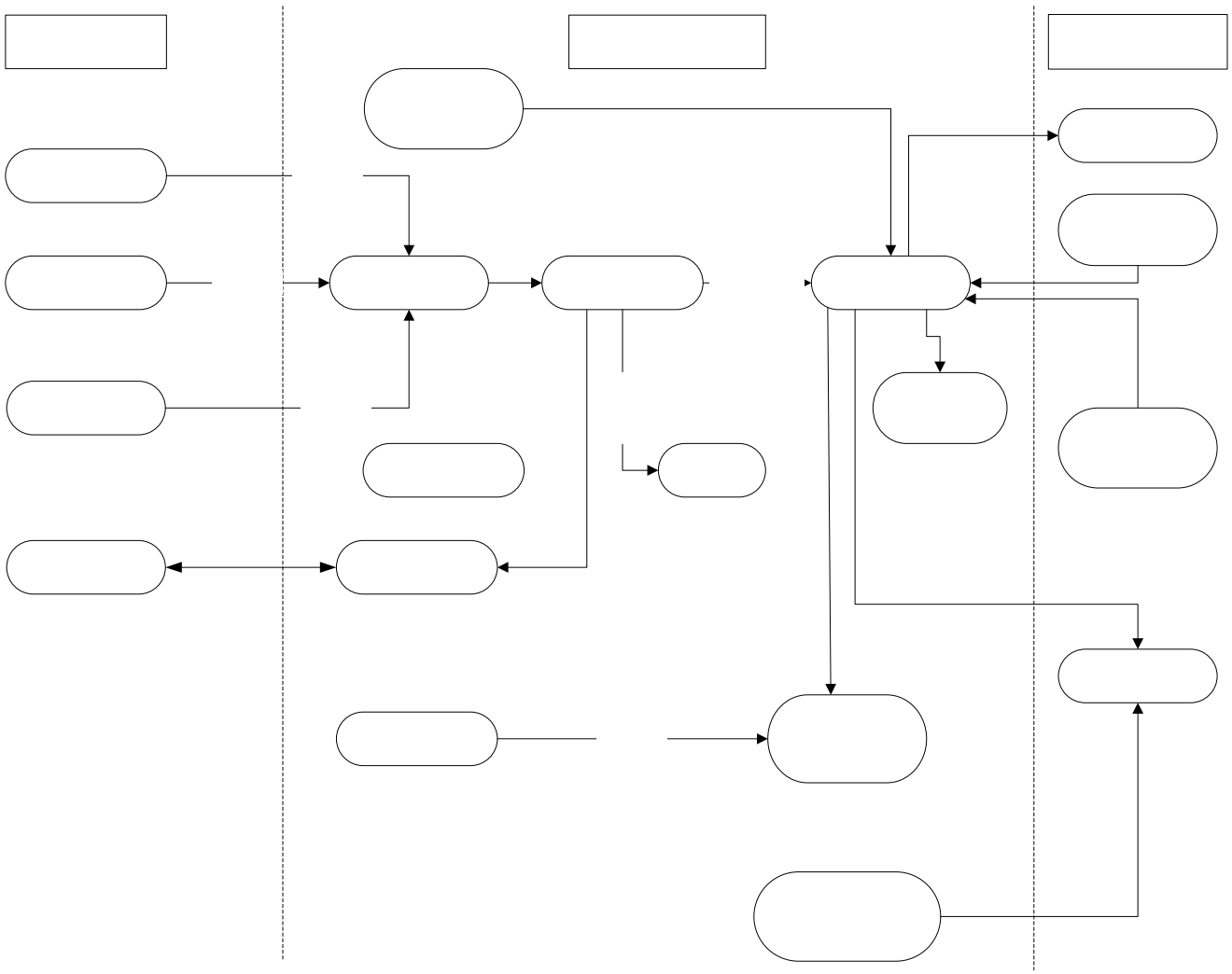
The new applications will:

- Provide 'rich client' receipting systems that eliminate the dependency of servers to be 'up' in order for employees to perform front counter tasks (filings, receipting, trust setup, etc.), thus providing the customer and court improvements in quality of services and expanded capacity to perform key processes.
- Provide real time updating thru integration of case and cash management systems as filing processes occur thus giving the court and the public access to such data in a more timely manner
- Allow statutory changes to easily be implemented without modifying system architecture
- Provide a broad range of receivable types to support the various court divisions (criminal, juvenile, justice, etc.)
- Increased ability to correctly adjust monies when applied to the wrong debtor or bank fund
- Provide functionality to easily identify and remit to the Department of Revenue monies that are considered as 'Unclaimed'
- Eliminate redundant data entry and enhance accuracy of data by having a tightly integrated receivables system with a case management system's disposition and sentencing functionality

C. Existing Situation and Problem, "As Is"

The existing financial systems are currently running within a UNIX operating system. Fourgen Case Tools were used to develop the system and are still being used to make program corrections and add new functionality. The Fourgen Case Tools generate Informix 4GL-source code, which is used in conjunction with the Informix Relational Database. The combination of these older technologies is causing a support and maintenance issue for the Clerk's office. The system is becoming costly and is difficult to maintain and support; the application has reached the end of its lifecycle.

The following diagram depicts the current modules that make up the system as well as the current integration points.



As detailed in the Figure above, the current systems does not provide a common integration interface to the external applications. Some interfaces are flat file interfaces and some are utilizing newer technologies such as XML. This is causing the Clerk's office to repeatedly develop "one off" solutions for any integration work that must be done. Additionally, as the development staff is moving to a more modern development language some of the applications are beginning to move away from a current framework and architecture. This poses greater maintenance costs on the Clerk's office due to the different development resources needed to support the applications. The current system consists of many stand-alone applications that were not designed for integration at the initial time of development.

D. Proposed Technology

- N-tier technology (4-tier, Object Oriented Programming (OOP))
- Component-based (similar to iCIS)
- Utilize mainstream technologies – non-proprietary
- ASP web based front end (Windows for high volume data input)
- Object-oriented development environment (COM/Visual Basic)
- Use of stored procedures
- Crystal Enterprise reporting tool
- Port to .net framework in the 2007-2008 timeframe

Enterprise Architecture (EA) Technology Domain Definitions	Project EA Conformance (Yes/ No)	Non-Conformance Explanation
Network: Defines policies and standards for the State's communications infrastructure, which includes the various topologies and protocols necessary to facilitate the interconnection of server platforms, mainframes, intra-building and office networks (LANs), and inter-building and mall/campus networks (WANs).	Yes	
Security: Identifies security technologies, policies, and standards necessary to protect the information assets of the State and to ensure isolation and confidentiality of information, integrity of data, and the availability of IT resources to the State's workforce and citizens, as appropriate.	Yes	
Platform: Defines policies and standards for IT devices and associated operating systems, which include mainframes, mid-size computers, servers, storage devices, client platforms (PCs, workstations, PDAs, telephony, etc.).	Yes	
Software/Application: Defines policies and standards for software applications, application development tools, productivity software tools, etc.	Yes	
Data/Information: Defines policies and standards for the organization of information related to citizens, locations, and objects the State must collect, store, maintain, and access.		

E. Major Deliverables and Outcomes

The overall scope of this project is to completely replace all financial systems of the Clerk of Maricopa County Superior Court. During this process the Superior Courts Juvenile and Justice financial systems will be considered so future utilization of the new systems by these entities is possible. A major outcome of this project is to tightly integrate the Courts case management system with the Clerk of Courts requirements for criminal receivables. The receivables module will incorporate Juvenile and Justice court processes as well. This will eliminate redundant data entry between systems and provide more timely data for reporting purposes.

Expected Outcomes

This project will be phased as follows with expected outcomes:

- Purchase and implement new receipting and trust system (9/16/04 – 1/30/05)
    - Enhanced functionality - video capture of check images, converts transaction data into XML, send 'events' to case management system with tags back to transaction
    - Integrated trust system eliminates redundant data entry and identifies what type of funds the trust is comprised of and where it is held for safekeeping (monetary or non-monetary)
    - Rich client system that works even when the 'server' is off-line eliminating lost processing time and re-entry of data from hand receipts. Automatically downloads data when server comes up without disruption to users.

- Develop a receivables module within the 'iCIS' case management system (11/1/04 – 8/1/06)
    - Eliminate paper flow and redundant data entry of court orders to the criminal receivables unit of the Clerk of Court
    - Provide 'date aware' table records that can easily be maintained as statutes and local laws create 'modifications' to existing receivable types or take effect on a future date
    - Develop a system that can handle all types of receivables: criminal, juvenile, justice, civil, deferrals
    - Incorporate Criminal, Juvenile and Justice court receivables functionality into the new system to replace existing systems

- Purchase and implement a new General Ledger system (1/1/06 – 6/30/06)
    - Enhanced reporting functionality
    - More robust audit capabilities

Receivables Development Phase – Deliverables Funding Timeline

The deliverables, funding expectations, and time line for the development of the Receivables Module will be phased as follows:

IFIS' Receivables Development - State Funds Request - Deliverables Timeline		
	Timeline	State Funding
Phase 1 Deliverables Setup and Maintain Receivable Type Codes Case and Party Setup Setup Obligations Setup Payees Receipt Payments - interface to Receipting System	Nov-04 thru Apr-05	$228,000
Phase 2 Deliverables Setup Hardware/Software Environments Obligation Allocation & Distribution to Payables Adjustment to Payable Allocations Setup and Maintain JSL Restitution	May-05 thru Oct-05	$228,000
Phase 3 Deliverables Void & Reissue Payable Disbursements JOLTS Data Conversion Implement JOLTS Financials	Nov-05 thru Apr 06	$228,000
Phase 4 Deliverables DOR Unclaimed Funds on Obligations RFR Data Conversion Implement New Receivables in Clerk of Court	May-06 thru Aug-06	$228,000
	TOTAL FUNDS REQUESTED =	$912,000

F. Roles and Responsibilities

This section outlines the Defined Roles and Responsibilities for the project team members.

Project Sponsor

Responsible for obtaining funding for the project and will approve the project plan and associated objectives. They will provide direction, oversee funding issues, resolve organizational obstacles, and provide leadership at the executive level. They will report the progress of the project(s) to the Superior Court Presiding Judge and Clerk of the Court and administration in general as they see fit. They will work with the Financial Systems Consultant and Project Management to establish project priorities and to obtain needed resources. They will assist in removing project obstacles including political, financial or technical as the need arises. If any issues cannot be resolved at the Project Management level it will be decided by the Project Sponsors. The Project Sponsors are: Superior Court Technology Services Director (John Barrett) and Associate Clerk of Court Financial Services Division (Gordon Mulleneaux).

Project Management

Responsible for the success of the project. Makes key decisions, provides oversight, and keeps the Sponsors informed relative to the success of the project. Project Management team consists of: Product Manager, Project Manager, Applications Development Manager and Financials Systems Consultant.

Product Manager

Responsible for the overall implementation of the project. Ensures that the defined objectives are being met, that the Application Development Manager obtains the correct resources and is overseeing the technical development based on the standards chosen and identified. Assure that the pace of development stays 'on track', Approves expenditures, and assumes responsibility for the budgeting and funding of the development. Reports the status of the project to the Project Sponsors. Has final decision on release levels of the software, including what functionality is and is not to be included and when. Assures that, when the project(s) is completed, sufficient in-house, budgeted resources have been developed or obtained to technically support the product(s).

Applications Development Manager

Will direct and oversee the technical development of the new system. Along with the Product Manager, will select and identify the development standards and tools that will be used, as well as the internal and external human resources needed. Ensures that coding and development standards are followed, the development cycles are adhered to, and that the developed product meets defined business requirements and system specifications. Work closely with the Product Manager and Project Manager to assure the success of the project(s), and that the project(s) objectives are being met. Creates high level data flow diagrams of each functional area. Formalizes an agreed upon development process. Extends the above into a detailed requirements specification for architect/programming purposes. Formalizes and follows Development Standards and Source Code control standards.

Project Manager

Responsible for the project plan and ensuring progress as scheduled. Responsible for tracking of the budget funds, ensuring the project is on track from both a development and a financial perspective. Works closely and in concert with Product Manager and Applications Development Manager to keep Sponsors informed of progress of project.

Financial Systems Consultant

Provides understanding of financial systems and gives direction to Project Sponsor and Project Management. Evaluates database design, architectural design, and implementation of business processes into UI’s to assure efficiency and effectiveness of financial systems. Works with Business Analysts to assure business rules are captured and documented appropriately for use by development team. Evaluates and recommends whether systems should be developed or purchased, and if purchased, which ones are best for the client’s business

processes and tasks. Develops RFP's for financial products when necessary. Is the liaison between product vendors and business personnel to assure implementation of new systems.

Business Analyst

Responsible for determining and documenting what the functional requirements of the system will be. Works with 'Subject Matter' experts to analyze, define, and document business requirements. Responsible for test scripts, user testing, user documentation, and quality assurance.

Programmer/Analysts

Responsible for designing and developing the application code in compliance with user design specifications and source control management requirements. The programmer/analysts will write and unit test the programs and assist in the design of the application. Their programs are subject to peer and team led reviews as well as testing and bug fixing. They will develop application code based on established standards and guidelines.

Systems Architect

Responsible for providing technical leadership and direction in the design and development of software applications. Advises and participates in mission critical systems definition and design. Works closely with the Database Administrator as the system is designed.

QA Test Lead

The Test Lead is responsible for managing all test/QA tasks. This includes string, system, regression, user acceptance, and performance testing and management of the testers that will be performing the tests. He/she will also track all defects and enhancements using a defect management facility.

QA/Testers/Trainers

Individuals assigned to the project training tasks will work closely with the IT application developers. They will need to know how the system is supposed to work and what to do when a customer makes an error. Not only are they expected to create the training materials to be used to conduct training classes, but they will also be responsible to perform some of the testing after the programmer testing and before the customer testing phase. The trainers will conduct the customer and Help Desk personnel training and be available to answer customer questions about the application during the course of the project.

Database Administrator

The Database Administrator (DBA) is responsible for developing, implementing, fine-tuning and maintaining the new database(s). DBA is also responsible for the creation of stored procedures, data schemas, SQL queries and all other data related items/tasks.

Data Migration/Conversion Specialist

The data migration/conversion specialist is responsible for extracting, translating, and mapping legacy data into the new database; work essential for a successful migration of old data into the new system. Responsibe to find the most time-efficient manner of extracting the old data, determine which data must be translated into a different format, and mapping of old data into the new database. Controls must be created and monitored so that no data is lost or misplaced.

Documentation Specialist

There is a need to combine all the customer requirements into a Customer Requirements Document. There are several other documents required during the course of the project that demands good writers. It will also be the responsibility of the Documentation Specialist to write the Customer Procedure Manuals.

G. Other Alternatives Considered

Purchase Existing Systems

An extensive search for an 'Off the Shelf' solution was performed over the past few years to determine whether there was a viable option for purchasing the functionality needed. After a review of each of the offerings it was determined that each lacked the necessary functionality and/or were fundamentally different from the operational needs.

The following is a list of Cash Receipting, Financial and Case Management Systems and Vendor Products that have been reviewed.

- Core Business Technologies, Inc. – Cash Receipting and Trust $500K
- Accent Computer Services, Inc – ACS Cash Receipting $9M
- Oklahoma's AOC Statewide Case Management/Cash Receipting $3.1M
- ACS Government Systems – Case/Cash Management $7-10M
- AmCAD Case/Cash Management Systems $9-12M
- Columbia Ultimate's Revenue Plus – Receipting Module $600K
- CA's Case/Cash Management System $5-7M
- SoftScout's Central Billing/Receipting unk
- PCI's Receipting System $380K
- JSI's FullCourt Case/Cash Management system $6-9M
- Pastel Software – Receipting Module unk
- KCS Integrated Software – Receipting unk
- MAXIMUS – Justice Solutions $12-15M
- Tyler Technologies, Inc. – Case/Cash Management System $8-10M
- RVS Software – Cash Receipting unk
- MainStreet Software International – Cash Receipts unk
- System Innovators – Cashier for Windows unk
- Timeware Software – Receipting Module unk
- PeopleSoft's – Financials $15-17M
- City of Phoenix, Tempe Municipal Court, Pima Clerk of Court, AOC's AzTEC

Cash Receipting
A Cash Receipting application from Core Business Technologies, Inc. shows promise that it can be implemented with limited modifications to the receipting module, some modifications to the Trust module and integrated with external applications. Since the Cash Receipting application from Core aligns very closely with the required receipting functionality it is recommended that the Cash Receipting and Trust application be purchased from Core Business Technologies, Inc. and integrated with the existing general ledger system, credit card service, and receivables system (RFR). It is further recommended that any integration work requiring modification to the Cash Receipting application be performed by Core Business Technologies professional services under the supervision of the project team.

Trust
An existing Trust application from Core Business Technologies, Inc. is integrated with their receipting system. It will need to be modified to meet the needs of the Clerk's office. It is recommended that it be purchased in conjunction with the receipting module and that the necessary modifications be done by Core Business Technologies.

General Ledger
Based on the time and effort it would take to develop an accounting system that meets the states Minimum Accounting Standards (MAS), and assure it meets Generally Accepted Accounting Practices (GAAP), and assessing the costs of various basic mainstream accounting systems available, (BEST, EXACT, etc.) it is recommended that a basic system be purchased that can be integrated with the proposed applications.

Applications Development

Financial Obligations
Extensive research and functional reviews has led to the determination that a robust Financial Obligation application does not exist that will address the Clerk of Court, Juvenile Court and Justice Court requirements. In order to achieve the necessary functionality, a high degree of reengineering would be required for the reviewed applications. This would make the purchase and modification of any of the applications cost prohibitive and would place the ability of the IT staff in the difficult position of maintaining a highly modified application. It is our recommendation that the Financial Obligations application be jointly developed by the Court and Clerk's IT Staff along with external resources.

Accounts Payable
It is recommended that an accounts payable module be developed to accommodate the Receipting module, Financial Obligations module, Trust module, and General Ledger module so that automated and manual checks can be generated.

H. Summary Project Management Schedule

The following represents a high level project 'task flow' execution plan that identifies pertinent milestones relative to managing the project. As of this time all requirements gathering and cost estimating has been completed and approved by management:

- **Obtain Funding Commitments**
  1. County Board of Supervisors
  2. Commission On Technology
  3. Other
- **Purchase and Implement New Receipting/Trust System**
  1. New system hardware/software infrastructure setup
  2. Purchase receipting/trust system
  3. Make modifications to application and test
  4. Perform integration work and test
  5. Train personnel
  6. Setup/roll out new system
  7. Go live with new receipting/trust system
- **Develop and Implement New Receivables System**
  1. Format business requirements
  2. Develop user interface prototypes
  3. Database design
  4. Software design & test
  5. User documentation manuals
  6. Perform integration and test
  7. Convert data
  8. Train personnel
  9. Go live with new receivables/trust system
- **Purchase and Implement New General Ledger System**
  1. New system hardware/software infrastructure setup
  2. Purchase accounting system
  3. Make modifications to application and test
  4. Perform integration work and test
  5. Convert data
  6. Train personnel
  7. Setup/roll out new system
  8. Go live with new accounting system

In conjunction with the above it will be necessary to 'upgrade' and integrate the existing collections software currently being used by the Clerk of Court and purchased from Columbia Ultimate, Inc. It is anticipated that this will be done after the new receivables system is implemented. This will allow a single integration effort to be performed instead of one previous to the new system and one after it is installed. However, if it becomes necessary to upgrade prior to the new receivables system being implemented it will be done.

Section II. Public Value and Benefits

A. Value to the Public

Score: **0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	*Score*
Client Satisfaction: Rate how stakeholders may respond to anticipated improvements. This could apply to health and welfare services, quality of life or life safety functions.	*3*
Customer Service: Rate anticipated improvements to internal and external customer service delivery. Give consideration to faster response, greater access to information, elimination or reduction in client complaints.	*5*
Life Safety Functions: Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions.	*3*
Public Service Functions: Applies to licensing, maintenance, payments, and tax. Consider how this project will enhance services in these functions.	*3*
Legal Requirements: Consideration should be given to projects mandated by federal or state law. Other consideration could be given if there are interfaces with other federal, state, or local entities.	*3*
Product Quality: Applies to the information and services delivered to internal and external customers and the public.	*5*
Other: List any other applicable value or benefits.	
Total	**22**

Detail Description of Project Benefits
(Categories in the *Value to the Public* with a score greater than 3) ➢ Customer Service: Because of the integration between case and cash management systems the court and public will be provided current real time events and actions pertaining to case and cash information, eliminating days of lag time due to backlogs of data entry. ➢ Product Quality: The new systems will provide more accurate and timely information to the courts, public, county and state. The quality of the new technology and integration of systems will provide ease of data transfers and sharing which will greatly enhance internal and external use of such data. Data entry redundancies that will be eliminated will also contribute greatly to such accuracies and timeliness.

B. Benefits to the State

Score: **0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	*Score*	*Savings*
Agency Performance: The extent to which duties and processes will improve or positively affect business functions. Consider reduced redundancy and improved consistency for the agency.	*4*	*
Productivity Increase: The improvements in quantity or timeliness of services or deliverables. Consider improved turnaround time or expanded capacity of key processes.	*4*	*
Operational Efficiency: Rating may be based on improved use of resources, greater flexibility in agency responses to stakeholder requests, reduction or elimination of paperwork, legacy systems, or manual tasks.	*3*	*
Accomplishment Probability: The extent to which this project is expected to have a high level of success in completing all requirements for the division or agency.	*5*	*
Functional Integration: The impact the project will have in eliminating redundancy or improve consistency. Consider the impact of information sharing between departments or divisions, or between agencies in the State.	*4*	*
Technology Sensitive: The implementation of the right types of technology to meet clear and defined goals and to support key functions. Consider technologies and systems already proven within the agency, division, or other similar organizations.	*4*	*
Other: List any other applicable benefit.		
Total	**24**	

Additional Information on Savings
The collaborative efforts of the Clerk of Court's IT Group and Superior Court's IT Group and the associated dollar savings to the state is estimated to be well over $2million. Instead of requests to the state coming from two separate political subdivisions for similar projects there will only be one. With both entities combining internal resources to accomplish this effort the probability of success is very high. A 'probable savings' of millions of dollars to the state if the resultant systems were to be used by the AOC to support the other counties is possible; with 'rich client' receipting systems that will be utilized in this project, it would eliminate the dependency the other counties currently have for the AOC's servers to be 'up' in order for them to perform front counter tasks (filings, receipting, trust setup, etc.), thus providing to those counties improvements in quality of services and expanded capacity to perform key processes.

Section III. Financial Assessment

A. Development Costs

In thousands ($000)

Fiscal Year						
Description	*FY 05*	*FY 06*	*FY 07*	*FY08*	*FY09*	*Total**
The number of FTE and third-party positions						
1. IT FTE Positions	5	5	0	0	0	**(Do not use)**
2. User FTE Positions	0	0	0	0	0	
3. Professional and Outside Positions	0	0	0	0	0	
4. Total Positions *	5	5	0	0	0	
The development costs in thousands ($000)						
5. IT FTE COST (Include ERE)	$336	$336	0	0	0	$672
6. User FTE COST (Include ERE)						
7. IT Services (Professional and Outside Cost)	$120	$120	0	0	0	$240
8. Hardware	0	$130	0	0	0	$130
9. Software	$735	$235	0	0	0	$970
10. Communications						
11. Facilities						
12. Licensing and Maintenance Fees						
13. Other						
14. Total	$1,191	$821	0	0	0	$2,012

B. Operating Costs

In thousands ($000)

Fiscal Year						
Description	*FY____*	*FY____*	*FY07*	*FY08*	*FY09*	*Total***
The number of FTE and third-party positions						
1. IT FTE			2	2	2	(Do not use)
2. User FTE						
3. Professional & Outside Positions						
4. Total Positions			2	2	2	
The operating costs in thousands ($000)						
5. IT FTE COST (Include ERE)			$157	$157	$157	$471
6. User FTE COST (Include ERE)						
7. IT Services (Professional and Outside Cost)						
8. Hardware						
9. Software						
10. Communications						
11. Facilities						
12. Licensing and Maintenance Fees						
13. Other						
14. Total			$157	$157	$157	$471

C. Total Project Cost Summary

In thousands ($000)

Fiscal Year ($000)						
Description	*FY 05*	*FY 06*	*FY 07*	*FY 08*	*FY09*	*Total*
1. Development Costs	$456	$456	0	0	0	$912
2. Software/Hardware Costs	$735	$365	0	0	0	$1,100
3. Operating Costs	0	0	$157	$157	$157	$471
4. Total Project Costs	$1,191	$821	$157	$157	$157	$2,483

Special Terms and Conditions INSTRUCTIONS

D. Special Terms and Conditions

Explanation

E. Funding

1. Funding Timeline

In thousands ($000)

Five Year Total ($000)						
Agency	*FY05*	*FY06*	*FY07*	*FY08*	*FY09*	*Total*
1. Local Funds	$735	$365	$157	$157	$157	$1,571
2. State JCEF Funds	$228	$353	0	0	0	$581
3. State TCPF Funds	$228	$103				$331
4. Total Funding	$1,191	$821	$157	$157	$157	$2,483

2. Funding Source

In thousands ($000)

Funding Source ($000)			
Name of Funding Source	***Available Base***	***New Appropriations Request***	***Total***
1. Local Funds	$1,571	0	$1,571
2. State JCEF Fund	0	$581	$581
3. State TCPF Fund	0	$331	$331
4. Funding Source Total (*)	$1,571	$912	$2,483

(*) Total equals ***Total Project Costs***.

Section IV. Risk Assessment

A. Risk Summary

Category	*Maximum Possible*	*Score*	*Description*
1. Strategic	6	5	Aligns with Agency and Countywide Enterprise Architecture, goals, objectives, policies, standards and IT strategic plan.
2. Management	6	6	Senior and intermediate management is involved in, and supports, the project. A steering committee/project team is in place.
3. Operational	5	5	Adverse effects on current operations are unlikely or contingency plans are in place. Supports Agency Performance Measures.
4. Scope and Requirements	7	6	Scope and requirements are, or will be, clearly defined and approved. Effect on business processes has been assessed.
5. Technology Competency	7	7	Agency has available, or will secure appropriate skills to implement the project. Organizational readiness has been assessed.
6. Infrastructure Dependencies	6	6	All key elements are included to fully implement the project. No additional costs are anticipated to deliver benefits.
Total	37	**35**	

General Comments:

Applications development within the Superior Court has been ongoing and successful over the last three years. This has resulted in a knowledgeable, competent staff that will team with the Clerk of Courts business experts to assure success.

Evaluation and analysis of financial packages and solutions has been an ongoing task of the Clerk of Court. Those involved in these tasks were also instrumental in developing and purchasing the current financial systems, some of which have been in place for over ten years.

B. *Risk Evaluation*

1. Strategic

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Does this project directly accomplish a strategic goal as outlined in your agency IT strategic plan?	***Yes***	
2. Is there a written assessment of short-term and long-term effects the project will have on operations?		***No***
3. Is the project technology already in place in your agency so that IT/user training is minimized?	***Yes***	
4. Have you evaluated implementations of this technology in other agencies or businesses?	***Yes***	
5. Will this project accommodate business operations, without additional upgrades, for the next 3-5 years?	***Yes***	
6. Will the project meet or exceed statewide Enterprise Architecture standards?	***Yes***	

Total Rating Points	**5**

*Explain all "No" Responses:

#2. No formal written document has been produced that details the short-term and long-term effects this project will have on operations.

2. Management

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Are core business activities supported by the project?	***Yes***	
2. Does this project have a senior management sponsor?	***Yes***	
3. Has a project management team with relevant experience been formed?	***Yes***	
4. Are project planning and project management practices in place?	***Yes***	
5. Are managers prepared to commit user time necessary for training?	***Yes***	
6. Has the designated Project Manager successfully implemented projects of this scope in the past?	***Yes***	

Total Rating Points	**6**

*Explain all "No" Responses:

3. Operational

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Can technical personnel continue maintenance/support and implement the project concurrently?	***Yes***	
2. Has, or will a user acceptance-testing plan been devised?	***Yes***	
3. Has the project's effect on current operations been thoroughly assessed?	***Yes***	
4. Does the system affect one location only? If not, is a statewide rollout plan in place?	***Yes***	
5. Has a disaster recovery or contingency plan been devised in the event of project failure or delayed implementation?	***Yes***	

Total Rating Points	**5**

*Explain all "No" Responses:

Note to #3: While there has been no formal write-up relative to the operational effect of this project due to it's broad scope, assessment of each area of work and work flow efficiencies have been done.

4. Scope and Requirements

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Have Management and the Project Team approved a Requirements Document?	***Yes***	
2. Have deliverables been clearly identified and appropriately scheduled?		***No***
3. Have critical success factors been identified and agreed to by users and the Project Team?	***Yes***	
4. Is there a Change Management process in place?	***Yes***	
5. Have "In Scope" and "Out of Scope" items been identified and agreed to by all stakeholders?	***Yes***	
6. Have technical personnel documented core business processes?	***Yes***	
7. Have all data conversion/data entry tasks been defined and time allocated in the implementation plan?	***Yes***	

Total Rating Points	**6**

*Explain all "No" Responses:

#2. Detailed deliverables and the schedule for those deliverables will be defined after the acceptance of the detailed requirements definition.

5. Technology Competency

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Do project technical personnel possess required skills?	***Yes***	
2. Has adequate training been included for both users and technical personnel?	***Yes***	
3. Have technical personnel developed other systems using the proposed platform/language?	***Yes***	
4. Are technical personnel fully versed in core business operations?	***Yes***	
5. Do all technical personnel possess sufficient experience developing systems using the proposed technology?	***Yes***	
6. If a vendor is involved, is the vendor financially stable and well established?	***Yes***	
7. Has the assigned project team delivered projects of similar complexity on time and on budget, in the past?	***Yes***	

Total Rating Points	**7**

Notes: The development of the financial obligations portion of this project will require the Clerk of Court to hire two new programmers to replace those currently on staff which are supporting existing systems that will not change. These two new programmers will support the application into the future. The newly hired programmers will possess the required skills and will be familiar with the proposed platform and language used.

6. Infrastructure Dependencies

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Will the project deliver full functionality without future upgrades and additional development cost?	***Yes***	
2. Is all existing technology compatible with the proposed system?	***Yes***	
3. Have all environmental, electrical and security concerns been studied and addressed in the plan?	***Yes***	
4. Is key hardware/software available within the project plan constraints?	***Yes***	
5. If key services will be replaced, has the impact on users been evaluated, and have users agreed to the changes?	***Yes***	
6. Have all current and future operating costs related to the project been included in the PIJ?	***Yes***	

Total Rating Points	**6**

* Explain all "No" Responses:

Section V. Project Approvals

A. CIO Review

Key Management Information	*Yes*	*No*
1. Is this project for a mission critical application system?	***Yes***	
2. Is this project referenced in your agency's Strategic IT plan?	***Yes***	
3. Is this project consistent with the agency's and State's policies, standards and guidelines?	***Yes***	
4. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	***Yes***	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?	***Yes***	

B. Project Approvals

The PIJ must be transmitted to GITA by email. Project approvals may be sent to GITA by mail or FAX. Include the Project Title for identification.

Project Title: **Integrated Financial Information Systems (IFIS)**

Responsibility	*Approval Signature and Title*	*Date*
Superior Court Presiding Judge*:*	Colin F. Campbell	
Clerk of Superior Court*:*	Michael K. Jeanes	
IT Manager- Superior Court	John Barrett – Court Technology Services Manager	
Associate Clerk of Court	Gordon L. Mulleneaux- Financial Services Division	

Appendices

A. Sunk Costs/Cost Avoidance - Itemized List with Costs

(In $000)

Sunk Costs/Cost Avoidance			
Description	*FY 05*	*FY 06*	*Totals*
Project Manager (1 at 100%)	80	80	160
Business Analyst (1 at 100%)	50	50	100
Technical Oversight (2 at 20% each)	32	32	64
End Users (2 at 20% Each)	10	10	20
Project Coordinator (1 at 80%)	80	80	160
Hardware/Software not required by joint effort with Clerk and Court	90	160	250
14. Total	342	412	754

B. Analysis of Costs Tables

5. IT FTE Costs								
Regular Employees ***Market/Working Title***	Hourly Rate	# Positions at same Hourly rate	# Hours (for each position)	Calculated Salary Cost	Variable Benefits Rate	Fixed Benefits Cost	Calculated Benefits Cost	Total Regular Personnel Costs
Programmer/Analyst	$31.25	2.0	4,160	$260,000	13.35% of Salary Cost (Employer share of Payroll Taxes, ASRS)	$4,699/yr. $392/mo. $90/Wk $2.24/Hr (Employer share of Medical, Dental)	$53,363	$313,363
Total Regular Personal Estimate		2.0	8,320	$260,000			$53,363	$313,363
Temporary Employees ***Market/Working Title***	Hourly Rate	# Positions at same Hourly rate	# Hours (for each position)	Calculated Salary Cost	Variable Benefits Rate	Fixed Benefits Cost	Calculated Benefits Cost	Total Temporary Personnel Costs
Programmer/Analyst	$31.25	2.0	4,160	$260,000	7.65% of Salary Cost	N/A	$19,890	$279,890
QA	$23.47	1.0	3,120	$73,226			$5,602	$78,828
Total Temporary Personal Estimate		3.0	11,440	$333,226			$25,492	$358,718
Total Personal Services Estimate		→	19,760.0	$593,226	→		$78,885	$672,082

7. IT Services (Professional and outside cost)	Cost per Hour	# Hours	Estimated Cost
Technical Lead	$75.00	3,200	$240,000
TOTAL			$240,000

8. Hardware			
Description	**Quantity**	**Price**	**Extended Price**
Database Server - Dell PowerEdge 6650 Quad 2.2 GHz/4 MB RAM/2MB Cache/3-36GB disks/2-73GB disks	2	$20,000	$40,000
Equipment upgrade to Courts Data Center 2000 Servers	1	$90,000	$90,000
TOTAL			$130,000

9. Software			
Description	**Quantity**	**Price**	**Extended Price**
Cash Receipting & Trust Application (includes 1st year servicing-90 licenses)	n/a	$414,000	$414,000
Receipt Printers	75	$1,560	$117,000
Professional Services (integration/modification/implementation/training)	n/a	$195,000	$195,000
Software (misc.)	n/a	$9,000	$9,000
General Ledger System	n/a	$175,000	$175,000
SQL Server Enterprise Licenses (8 CPU)	8	$7,500	$60,000
TOTAL			$970,000

C. Integration/Interface Diagram

The following diagram depicts all entities that integrate with or need an interface to the financial systems of the Clerk of Court.

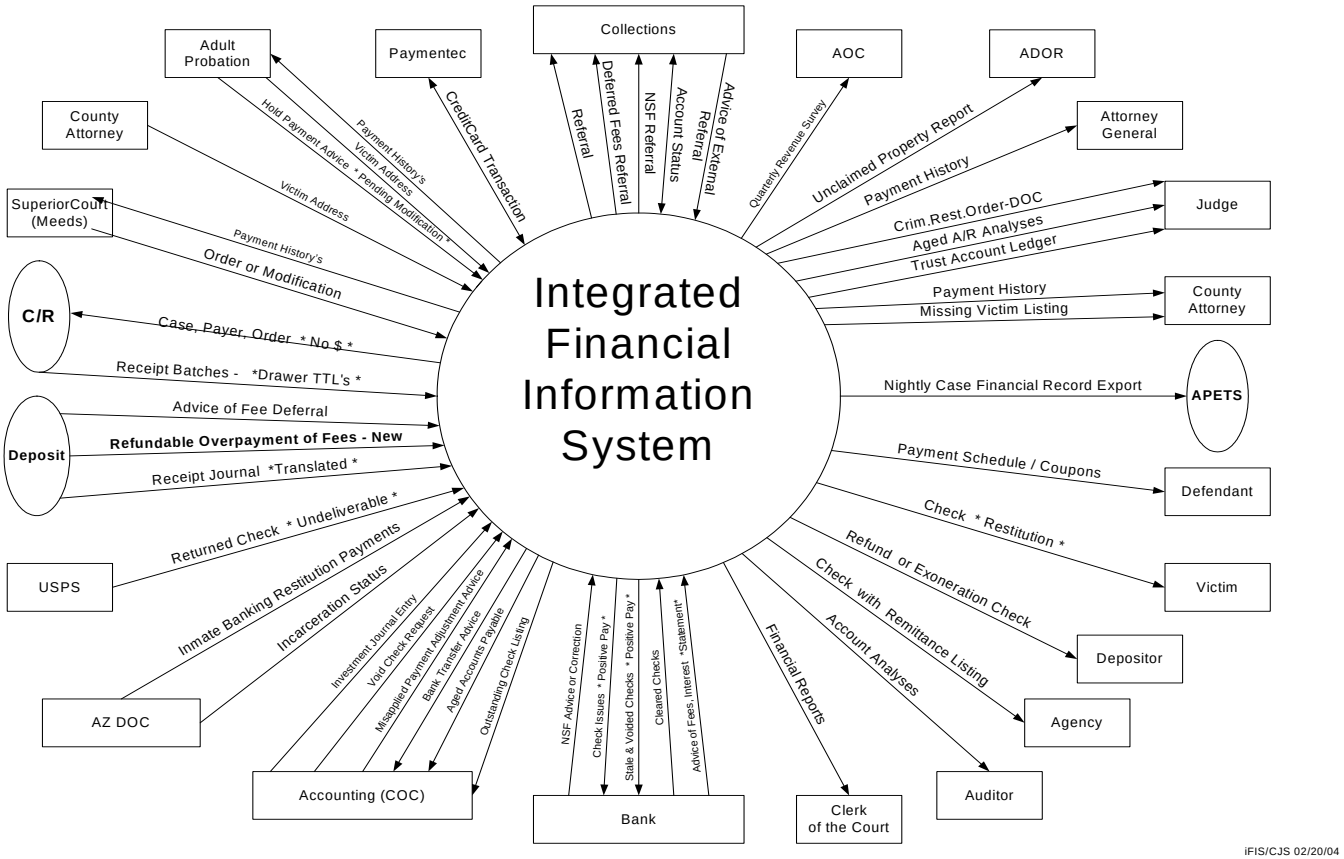


Figure 1 - Functional Interactions

D. Gantt Chart, High Level Project Management Timeline

ID	Task Name	% Complete
1	**NEW FINANCIAL SYSTEMS**	**84%**
2	**PROJECT PLANNING & APPROVAL**	**76%**
3	**Project Overview**	**87%**
11	**Project Review**	**90%**
16	**Project Plan Approval & Funding Identified**	**60%**
23		
24	**REQUIREMENTS GATHERING**	**100%**
35		
36	**ESTIMATING COSTS**	**100%**
48		
49	**EXECUTE PLAN**	**21%**
50	**Integration Plan Approval**	**70%**
62		
63	**Implement New Receipting/Trust System**	**15%**
70		
71	**Implement New Receivables System**	**0%**
84		
85		
86	**Implement New General Ledger System**	**0%**
93		
94	**Implement New Billing System**	**0%**
100		
101	**CELEBRATE SUCCESS**	0%