

III. CURRENT ENVIRONMENT

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III.1 INTRODUCTION

The Phoenix Program utilizes SAP software to provide the trial courts in the State of California with integrated financial and human resource system functionality, including reporting capabilities. SAP was selected as the software solution for financials in 2001, based on an RFP for the acquisition of ERP software and implementation services.

Implementation of SAP for Phoenix Financials began under the Court Accounting and Reporting System (CARS) project in 2001. Four years later in 2005, implementation of SAP for Phoenix Human Resources was initiated under the Court Human Resource Information System (CHRIS) project. Together the CARS and CHRIS projects provided an integrated scope of functionality that was targeted to fully replace the administrative systems that the counties had previously provided to the courts. Due to the tight relationship between the financial and human resources processes, these two projects were subsequently consolidated into the Phoenix Program in late 2006, with the entire project reporting to a single Project Director.

The following sections provide additional detail on the two main components of the Phoenix Program: Phoenix Financials (formerly known as CARS) and Phoenix Human Resources (formerly known as CHRIS).

III.1.1 Phoenix Financials

The AOC initiated Phoenix Financials to provide the systems infrastructure required to replace the county systems and services that the courts previously relied upon. As a result of the *Request for Proposals: Implementation Services for mySAP Public Sector – Court Accounting and Reporting System (CARS)* in 2001-2002, ea Consulting began providing system integration services to AOC in the roll out of Phoenix Financials. In 2002-2003, BearingPoint took over providing system integration services. As of December 31, 2007 Phoenix Financials had been deployed to 49 of the 58 trial courts.

Deployment to the remaining nine trial courts is scheduled to be completed by the end of July 2008 except for Los Angeles. The remaining nine trial courts include:

- Del Norte
- Los Angeles
- Mendocino
- Nevada
- Orange
- Santa Clara
- Sutter
- Tuolumne
- Yuba

III.1.2 Phoenix Human Resources

The AOC initiated the Phoenix Human Resources project to provide a statewide human resource system to replace the county and other outsourced payroll providers providing systems and services. BearingPoint Consulting provided system integration services to AOC in the roll out of Phoenix Human Resources. This effort complemented the Phoenix Financials project by providing systems infrastructure for human resources and payroll.

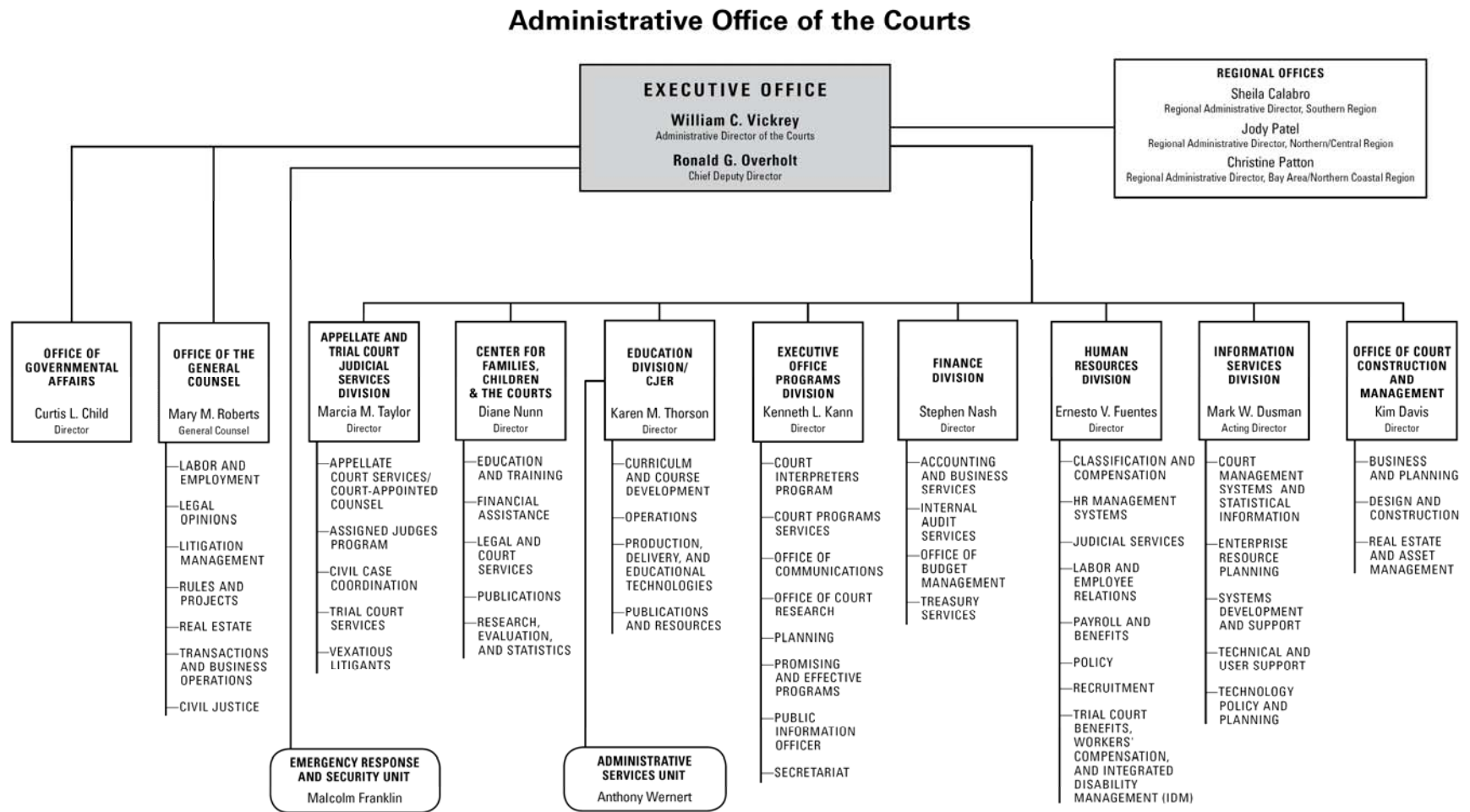
Phoenix Human Resources was first deployed in the Sacramento Trial Court on July 1, 2006. As of December 31, 2007 Phoenix Human Resources has been deployed to 6 of the 58 trial courts. The six courts include the following:

- Lake
- Riverside
- Sacramento
- Santa Cruz
- Siskiyou
- Stanislaus

III.2 CURRENT AOC AND PHOENIX PROGRAM ORGANIZATIONAL STRUCTURES

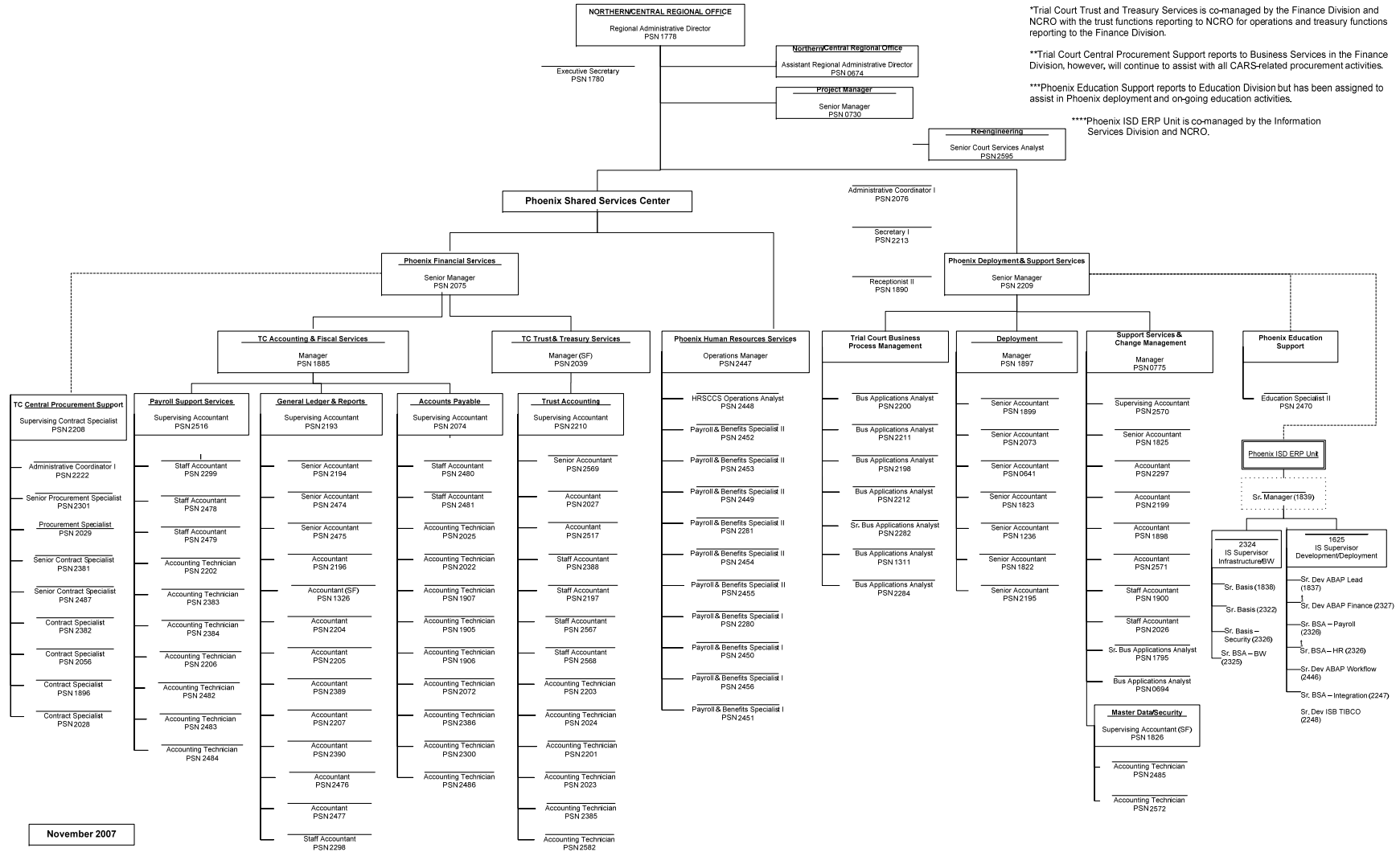
Figure III-1 below illustrates the organizational structure of the AOC. Figure IV-2 below illustrates the organizational structure for the Phoenix Program.

Figure III-1. AOC Organizational Chart



December 2007

Figure III-2. Phoenix Program Organizational Chart



*Trial Court Trust and Treasury Services is co-managed by the Finance Division and NCRO with the trust functions reporting to NCRO for operations and treasury functions reporting to the Finance Division.

**Trial Court Central Procurement Support reports to Business Services in the Finance Division; however, will continue to assist with all CARS-related procurement activities.

***Phoenix Education Support reports to Education Division but has been assigned to assist in Phoenix deployment and on-going education activities.

****Phoenix ISD ERP Unit is co-managed by the Information Services Division and NCRO.

November 2007

III.2.1 AOC Shared Services and Deployment Support Services

The Phoenix Program has established a Shared Services Center within AOC to replace services that the courts currently receive (or previously received) from counties and provide processing support across all counties. The specific activities performed by this unit are not performed by any other part of the organization. These activities include payroll processing services, assistance with time entry, master data inquiries, error identification and resolution, update and maintenance of employee records, production support issues, etc. The AOC Shared Services Center is currently performing Level 1 application support.

The Deployment Support Services organization, which includes AOC and BearingPoint staff, provides deployment, court liaison, and change management support. They also provide Level 2 and Level 3 application support.

III.2.2 Current Users

Table III-1 below provides an overview of current system users by site and function.

Table III-1. Current System Users

Site Name	Size Designation	Number of Employees	HR	FI	BW	TRUST
			# of Users	# of Users	# of Users	# of Users
AOC			7	137	27	
Sup Court of Ca - Alameda	Large	919		35	7	
Sup Court of Ca - Alpine	Small	5		5	1	
Sup Court of Ca - Amador	Small	34		3	1	
Sup Court of Ca - Butte	Semi-Small	135		5	1	
Sup Court of Ca - Calaveras	Small	29		4	1	
Sup Court of Ca - Colusa	Small	16		3	1	
Sup Court of Ca - Contra Costa	Medium	413		16	3	
Sup Court of Ca - Del Norte	Small	31		3	1	
Sup Court of Ca - El Dorado	Semi-Small	96		6	1	
Sup Court of Ca - Fresno	Medium	512		13	3	
Sup Court of Ca - Glenn	Small	26		6	1	
Sup Court of Ca - Humboldt	Semi-Small	92		6	1	
Sup Court of Ca - Imperial	Semi-Small	117		11	2	
Sup Court of Ca - Inyo	Small	20		4	1	
Sup Court of Ca - Kern	Medium	490		18	4	
Sup Court of Ca - Kings	Semi-Small	89		3	1	
Sup Court of Ca - Lake	Semi-Small	43	43	3	1	
Sup Court of Ca - Lassen	Small	30		4	1	
Sup Court of Ca - Los Angeles	Extra Large	5600		650	130	
Sup Court of Ca - Madera	Semi-Small	95		5	1	
Sup Court of Ca - Marin	Semi-Small	171		13	3	
Sup Court of Ca - Mariposa	Small	13		4	1	
Sup Court of Ca - Mendocino	Semi-Small	86		10	2	
Sup Court of Ca - Merced	Semi-Small	127		8	2	
Sup Court of Ca - Modoc	Small	11		3	1	

Site Name	Size Designation	Number of Employees	HR	FI	BW	TRUST
			# of Users	# of Users	# of Users	# of Users
Sup Court of Ca - Mono	Small	16		3	1	
Sup Court of Ca - Monterey	Medium	222		13	3	
Sup Court of Ca - Napa	Semi-Small	89		13	3	
Sup Court of Ca - Nevada	Semi-Small	76		5	1	
Sup Court of Ca - Orange	Large	1820		200	21	
Sup Court of Ca - Placer	Semi-Small	163		6	1	
Sup Court of Ca - Plumas	Small	17		7	1	
Sup Court of Ca - Riverside	Large	1009	1009	20	4	
Sup Court of Ca - Sacramento	Large	843	843	29	6	
Sup Court of Ca - San Benito	Small	29		4	1	
Sup Court of Ca - San Bernardino	Large	1036		22	4	4
Sup Court of Ca - San Diego	Large	1766		168	34	34
Sup Court of Ca - San Francisco	Large	563		27	5	
Sup Court of Ca - San Joaquin	Medium	317		15	3	
Sup Court of Ca - San Luis Obispo	Semi-Small	164		13	3	
Sup Court of Ca - San Mateo	Medium	386		27	5	
Sup Court of Ca - Santa Barbara	Medium	288		21	4	
Sup Court of Ca - Santa Clara	Large	882		40	7	
Sup Court of Ca - Santa Cruz	Semi-Small	152	152	8	2	
Sup Court of Ca - Shasta	Semi-Small	167		12	2	
Sup Court of Ca - Sierra	Small	6		5	1	
Sup Court of Ca - Siskiyou	Semi-Small	55	55	5	1	
Sup Court of Ca - Solano	Medium	251		13	3	
Sup Court of Ca - Sonoma	Medium	218		15	3	
Sup Court of Ca - Stanislaus	Medium	232	232	15	3	3
Sup Court of Ca - Sutter	Semi-Small	65		6	1	
Sup Court of Ca - Tehama	Semi-Small	44		5	1	
Sup Court of Ca - Trinity	Small	16		3	1	
Sup Court of Ca - Tulare	Medium	261		15	3	
Sup Court of Ca - Tuolumne	Semi-Small	45		5	1	
Sup Court of Ca - Ventura	Medium	384		21	4	
Sup Court of Ca - Yolo	Semi-Small	112		8	2	
Sup Court of Ca - Yuba	Semi-Small	49		5	1	
Total		20,940	2,334	1,808	341	40

III.2.3 Current Data Volumes, SAP Users, and SAP Transactions

Table III-2. Current Data Volumes, SAP Users, and SAP Transactions

Transaction	Fiscal Year—2007 Data
Chart of Accounts	
Account Types	2 (BS, P&L)
Account Groups	20
Business Areas (Locations, etc.)	62

Transaction	Fiscal Year—2007 Data
Funds	65
Cost Centers	1102 (not including hierarchy; this is reflected in fund centers)
Fund Centers	1781
Cost Objects (WBS Elements)	501
Programs (Functional Areas)	23
Accounts Payable	
1099s	3,000
AP Invoices	250,000
Contracts (PO's)	301 (12/01/2006 to 12/01/2007)
Vendors	20,000
Payments Generated	30,000 per month
Accounts Receivable	
AR Invoices	1,521
Asset Management	
Total Assets > = \$xx in value	
Buildings	Unknown
Construction in Progress	Unknown
Improvement of Sites	Unknown
Land	Unknown
Equipment	Unknown
Vehicles	Unknown
Total Assets < \$5,000 in value	Unknown
Finance—Budget Preparation	
Budget Expense Accounts	556
Budget Expenditure Objects	1,102
Budget Revenue Accounts	120
Budget Revenue Objects	1,102
Project Systems	
Capital Programs—IT	Unknown
Capital Programs—Facilities	Unknown
Financial Accounting	
Appropriation Units (for Budgeting only)	None
Balance Sheet Accounts	125
Deposit Accounts	7 GL accounts/11,000 deposits made per year
Bank Accounts	260
House Bank	60

Transaction	Fiscal Year—2007 Data
Journal Entries	3,500 journal entries annually
Revenue Sources	six major receipt sources
Inventory	
Inventory Items	Unknown
Purchasing	
Bids—Formal Invitation for Bid	Unknown
Bids—Informal non-advertised	Unknown
P-Card Cardholders	Unknown
P-Card Transactions (per month)	Unknown
Purchase Orders	7,875 (released 12/01/2006 to 11/30/2007)
Purchase Requisitions	8,203 (12/01/2006 to 12/01/2007)
Personnel Administration	
Employees (active and inactive)	2,892
Organizational Units	501
Job Classifications	401
Employee Groups	11
Employee Subgroups	8
Savings Plans	24
Health Plans	46
Insurance Plans	9
Time and Attendance	
Attendance/Absence Types - Payroll	86
Attendance/Absence Types – Pre approved request	48
Employees entering time in ESS	1,419
Time entered in CATS	1,142
Total Records per pay period	27,500
Labor Distribution records per pay period	1,031
Payroll	
Employees	2,561
Payroll Areas	9
Payroll Checks/ACHs	4,500 per month

III.3 CURRENT FUNCTIONAL STRUCTURE

Based on the Rules of Court, the Presiding Judge at each of the 58 trial courts is responsible for the overall operations of his/her court, including all financial and human resources operations.

Although business processes are not uniform across courts, the following sections provide a high-level overview of the basic business processes utilized by the courts.

III.3.1 Current Budget Processes

Trial court budgets are based on the State Fiscal Year, which runs from July 1st through June 30th. For each fiscal year, the trial courts receive an appropriation from the State. Based on funding formulas in the State Appropriations Limit (SAL) legislation, the trial courts receive a specified percentage increase of dollars. Allocations for each individual court are determined by the Judicial Council, based on recommendations from its Budget Advisory Committee. Court allocations are spread out over the fiscal year in 13 allotments.

Budget Preparation and Planning

Based on budget preparation instructions sent by the AOC, trial court administrators are responsible for developing annual budget requests to the Judicial Council. The budget is primarily developed through the preparation of two different schedules.

- First, the Schedule 7A for budgeting of Salary and Positions is due in June/July. See the Bidder's Library for "Schedule 7A, Salary and Position Worksheet, General Directions and Detailed Instructions, Fiscal Year 2007-2008."
- Second, in the Schedule 1, courts budget their revenues, Operating Expenses and Equipment (OE&E) and Special Items of Expense (SIE) expenditures. The Schedule 1 is pre-populated with the salaries and benefits budgeted in the Schedule 7A. The deadline for submission of the Schedule 1 varies from year to year, depending on when the State budget is approved. For FY 2008-2009, the Schedule 1 was due in September 2007.

Courts differ in the level of detail at which they budget; in general, larger courts budget at lower levels of detail than smaller courts. However, all courts are required to prepare their budgets based on functional area/PECT (program, element, component, and task), fund, cost center, and GL account. The following two tables provide a listing of PECTs and funds, which are uniform across all 58 courts.

Table III-3. Listing of PECTs for all 58 Trial Courts

Original PECT (QFS, Sch1)	ADP PECT	Functional Area PECT	PECT Description
		1	Revenue
10_10_000_000	101000	1100	Judges and Courtroom Support
10_20_010_010	102101	1211	Traffic & Other Infractions
10_20_010_020	102102	1212	Other Criminal Cases
10_20_020_000	102200	1220	Civil
10_20_030_010	102301	1231	Family and Children Services
10_20_030_020	102302	1232	Probate, Guardianship & Mental Health Services
10_20_030_030	102303	1233	Juvenile Dependency Services
10_20_030_040	102304	1234	Juvenile Delinquency Services
10_30_010_000	103100	1310	Other Support Operations
10_30_020_000	103200	1320	Court Interpreters
10_30_030_000	103300	1330	Jury Services
10_30_040_000	103400	1340	Security
20_10_010_000	201100	2110	Enhanced Collections

Original PECT (QFS, Sch1)	ADP PECT	Functional Area PECT	PECT Description
20_10_020_000	201200	2120	Other Non-Court Operations
90_10_000_000	901000	9100	Executive Office
90_20_000_000	902000	9200	Fiscal Services
90_30_000_000	903000	9300	Human Resources
90_40_000_000	904000	9400	Business & Facilities Services
90_50_000_000	905000	9500	Information Technology
90_60_000_000		9600	Distributed

Table III-4. Listing of Funds for all 58 Trial Courts

Fund	Fund Description	Fund Types		
		TCTF	NTCTF	TRUST
GENERAL FUNDS				
110001	General Fund - TCTF	X		
120001	General Fund - NTCTF		X	
SPECIAL REVENUE FUNDS				
120002	Donations - NTCTF		X	
120003	Small Claims Ad.		X	
120004	Dispute Resolution		X	
120005	Grand Jury		X	
120006	Probation		X	
120007	Enhanced Collections		X	
120008	Pre-Trial Services		X	
120009	Other County Service		X	
120010	Victim Witness Program		X	
120011	Court Warrant System		X	
120012	Traffic Violator Fee		X	
130001	Internal Service		X	
130002	EZ Legal		X	
180004	2% Automation/Micro	X		
180005	Children Waiting Room	X		
GRANT FUNDS				
1910581	1058 FLF Program	X		
1910591	1058 CSC Program	X		
1910601	Substance Abuse Focus	X		
1910611	Access to Visit	X		
1910621	CA Drug Court	X		
1910631	Self -Help Centers	X		
1910641	Mediation Pilot Program	X		
1910651	FLIC	X		
1910661	CA Peer Court DUI	X		

Fund	Fund Description	Fund Types		
		TCTF	NTCTF	TRUST
1910671	Collab DUI/Drug Court	X		
1930011	Local Law Enforcement	X		
1930021	Juvenile Acct Incentive		X	
1930031	Juvenile Drug Court		X	
1930041	Drug Court Discretionary Grant		X	
1930051	Grant Arrest Policy		X	
1940021	Family Treatment Program		X	
1940031	Juvenile Drug & Alcohol		X	
1940041	High Risk Families		X	
1940051	Waiting Room Fund		X	
1940071	SAMHSA		X	
1970011	Comp. Drug Ct.- CDCI		X	
1970021	Proposition 36		X	
1970031	Foundation of CA BAR		X	
1970041	Comp. Drug Court DCP		X	
1970051	STAND Against D.V.		X	
1970061	Enforce D.V. Policy		X	
1970071	Youthful Visitation		X	
1970081	Fingerprint Cap Sys		X	
1970091	SafeStart Strategic PI		X	
1970101	Juvenile Justice Crime Prevention		X	
1970111	COPS Program		X	
1970121	SF MOJC General Fund		X	
1970131	Student Outreach & Education - SDJF (San Diego)		X	
1970141	MIOCR Grant		X	
CAPITAL PROJECT FUNDS				
140001	Capital Fund		X	
FIDUCIARY FUNDS				
TRUST				
320001	Trust Fund			X
320139	AB 139			X
320145	AB 145			X
400000	Distribution			X
450000	Civil Filing Fees			X

In addition to the Schedule 7A and 1 provided by the AOC, the courts may also use a variety of software tools and stand-alone automated applications to develop their budgets. However, the budget development process used by the courts is outside of SAP and is primarily a manual one.

Budget Administration and Control

The approved budget is uploaded from a spreadsheet into CO then CO data is copied into FM. When changes are made to a court's budget, these changes are reflected only in FM and not in CO. Currently in SAP budgetary control is limited in scope and in all cases is advisory only. The focus of budget control is on fund balance/cash.

As a result of issues related to the State budget cycle, approved budget allocations for each individual court may not be available until as late as half way through the fiscal year. As a result, courts may utilize “working” budgets to manage their expenditures prior to their approved budget outside of SAP.

III.3.2 Current Financial Accounting Processes

As noted in RFP Section I, Introduction, each of the 58 courts are required to be in compliance with the Trial Court Policies and Procedure Manual, which is maintained by the AOC.

Financial Accounting

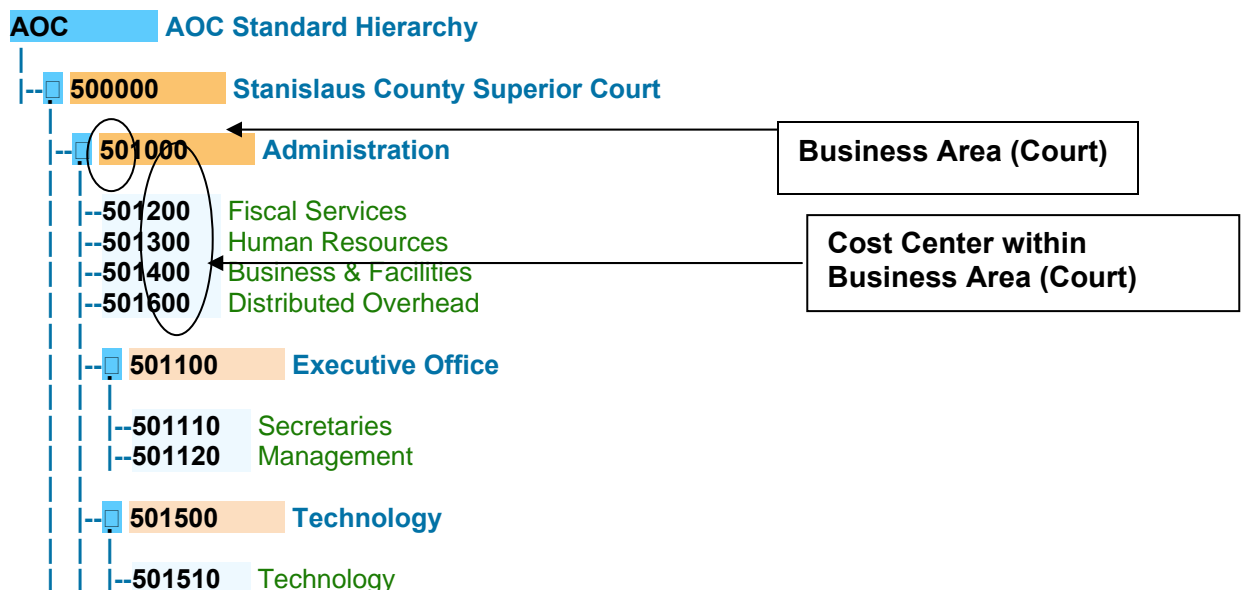
All courts are required to utilize the Chart of Accounts (COA) in SAP. This COA contains four roll-ups/levels and 600 accounts. Most FI reports are at the lowest level and may not roll up to higher levels. Secondary accounts are available and utilized for distributions. The current COA accommodates modified accrual only.

Controlling

All courts are consolidated under one Controlling Area “1000 – California Trial Courts.” Cost centers are six digits, with the first two digits corresponding to business area (trial court) and the last four digits representing the cost center within the trial court.

The figure below is an example of a portion of the cost center hierarchy for a single court, followed by a table which lists the two digit business areas (which correspond to trial court) that are included in Project Phoenix.

Figure III-3. Sample Cost Center Hierarchy



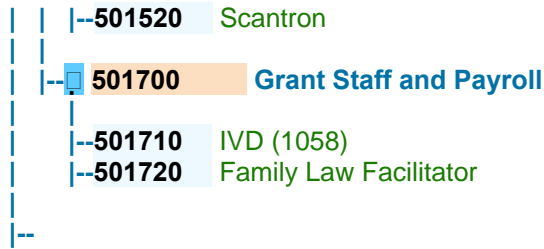


Table III-5. Business Area/Trial Court Listing

Business Area	Trial Court	Business Area	Trial Court
01	Alameda	31	Placer
02	Alpine	32	Plumas
03	Amador	35	San Benito
04	Butte	36	San Bernardino
05	Calaveras	37	San Diego
06	Colusa	38	San Francisco
07	Contra Costa	39	San Joaquin
08	Del Norte	40	San Luis Obispo
09	El Dorado	41	San Mateo
10	Fresno	42	Santa Barbara
11	Glenn	43	Santa Clara
12	Humboldt	44	Santa Cruz
13	Imperial	45	Shasta
14	Inyo	46	Sierra
15	Kern	47	Siskiyou
16	Kings	48	Solano
17	Lake	49	Sonoma
18	Lassen	50	Stanislaus
19	Los Angeles	51	Sutter
20	Madera	52	Tehama
21	Marin	53	Trinity
22	Mariposa	54	Tulare
23	Mendocino	55	Tuolumne
24	Merced	56	Ventura
25	Modoc	57	Yolo
26	Mono	58	Yuba
27	Monterey	**Potential Region:	
28	Napa		

Business Area	Trial Court	Business Area	Trial Court
29	Nevada	90	Northern Region
30	Orange	91	AOC Treasury
33	Riverside	92	Not In Use
34	Sacramento		

For each Trial Court, one CO Distribution and one CO Assessment cycle are set up for Quarterly Financial Statement (QFS) allocation purpose. Current allocation programs (DCCC and QFS) create a CO posting linked to FM. Secondary cost elements for allocations and distributions are also done as part of the QFS.

Funds Management

Only one FM area 1000 – California Trial Courts is set up for Phoenix Program. Funds Center maps to Cost Center, with the funds center hierarchy exactly mirroring the cost center hierarchy (e.g. funds center number equals cost center number).

Functional Area was implemented to capture PECT (Program Element Component Task) for the purpose of Quarterly Financial Statement (QFS) reporting. The following table provides a mapping of PECT to Functional Area.

Table III-6. Mapping of PECT to Functional Area

Program	Element	Component	Task	Description	Functional Area
				Trial Court Operations	
10	10	000	000	JURY AND COURTROOM SUPPORT	1100
10	20	010	000	CRIMINAL	
10	20	010	010	Traffic & other Infractions	1211
10	20	010	020	Criminal Cases	1212
10	20	020	000	CIVIL	1220
10	20	030	000	FAMILY & CHILDREN	
10	20	030	010	Families & Children Services	1231
10	20	030	020	Probate, Guardianship & Mental Health Services	1232
10	20	030	030	Juvenile Delinquent Services	1233
10	20	030	040	Juvenile Dependency Services	1234
10	30	000	000	OPERATIONAL SUPPORT	
10	30	010	000	Other Court Ops	1310

Program	Element	Component	Task	Description	Functional Area
10	30	020	000	Court Interpreters	1320
10	30	030	000	Jury Services	1330
10	30	040	000	Security	1340
20	10	010	000	Enhanced Collection	2110
20	10	020	000	Other Non-Court Operations	2120
				TC Admin	
90	10	000	000	Exec Offices	9100
90	20	000	000	Fiscal Services	9200
90	30	000	000	HR	9300
90	40	000	000	Business and Facilities Services	9400
90	50	000	000	IT	9500
90	60	000	000	Distributed Expenditures	9600
90	80	000	000	Prior Year Adjustment	9800

Additionally, FM is currently using Update Profile 101. As part of the proposed upgrade, the AOC plans to move to Update Profile 102.

Accounts Payable

The vendor master in SAP is maintained centrally by AOC Shared Services Support Unit. Currently, there are 15,000 to 20,000 vendors set up in AP. Types of vendors include the following: “traditional” vendors (e.g. goods and service providers), one time vendors, employees, and jurors.

In general, invoices are entered into SAP by the courts and the AOC, with payments processed centrally by AOC Shared Services¹. Excluding payroll, approximately 30,000 checks are processed per month by AOC. This includes all steps of the check process, including generation of the check file; printing of the checks²; and folding, stuffing, and mailing of checks. Checks are combined by court and vendor, where appropriate. Per Trial Court policy, checks over \$15,000 require two signatures.

Please see Bidder’s Library for current interfaces.

AOC maintains multiple tax IDs: a single tax ID for non-payroll purposes; and one tax ID per court for payroll purposes. AOC Shared Services is responsible for all tax reporting, including preparation of 1099s.

Court Revolving Fund

¹ Currently AOC Shared Services enters invoices into SAP for six courts.

² For one court, AOC generates a payment file from SAP and allows the court to print checks from this file locally.

Courts also have the ability to make payment through a local revolving bank account. The court will complete a replenishment advice with attached journal entry to the AOC Shared Services Treasury Unit. The AOC Shared Services Treasury Unit will process both the replenishment and journal entry into SAP. The courts are responsible for 1099 activity out of their local revolving bank account.

Travel

Travel requests are processed at the court level, with executive office or finance approval and audit. Requests are standard and should be in compliance with the Trial Court Policies and Procedures Manual. The court or AOC Shared Services process the Travel Expense Claims (TECs) in SAP, AOC Shared Services processes payment of the reimbursement.

Accounts Receivable

Currently, there is limited SAP AR functionality that is deployed within the courts. Examples of receivables include the following:

- Within the courts or between courts (e.g. MOUs)
- Grant reimbursements between AOC or federal programs
- Recoverable overpayments to employees (e.g. for salary or travel)
- Employee advances
- Split grants over multiple courts
- Unpaid fines (i.e., county fines which the court collects on the county’s behalf)

Courts enter these receivables in SAP; however, invoices are generated and tracked by courts outside of SAP.

Courts record receipts in SAP to an “in-transit account”. AOC Shared Services reviews the “in-transit account” daily and confirms receipts/deposits are in the bank. Once confirmed AOC Shared Services reclassifies the receipts/deposits from “in-transit” account to operating cash account.

The customer master in SAP is maintained centrally by AOC Shared Services Support Unit. Currently, there are approximately 200 customers set up in AR. Types of customer include the following:

Acct. Group	Description	
CTR	Central Customer (Admin – 1058)	
G50	All Courts – Sponsors (Grant – e.g.: AOC)	in this section, Judge for each overall managing court
M50	All Courts - Misc. (all others)	
OTM	One Time Customer (Trust Deposit)	

As noted earlier the Presiding court has the responsibility for budgets/finances, including the authority to approve all procurement requests. Courts are required however to follow procurement policies and procedures set forth in the Trial Court Financial Policies and Procedures Manual, maintained by the AOC.

Although the process flows for procurement within SAP differ among the courts, the basic procurement process flow is relatively consistent.

- Requisitions are created, funds checking occurs (advisory budgetary control), requisition is approved via SAP Workflow, and pre-encumbrance is set.

- Purchase orders (POs) are created by the Trial Court or Central Buyer. POs are released if \geq \$10K and a second conditional release if $>$ \$50K.
- Goods or Services are received (the Goods Receipt process is completed in SAP if required) and the Invoicing process commences. The GR/IR is currently turned off.
- For Credit Card purchases, the Credit Card PO may be created/maintained to process Credit Card invoices (no Requisition, RFQ, and/or Goods Receipt process occurs for Credit Card PO's).

AOC Shared Services provides differing levels of support to the courts, ranging from full service to limited service. At the limited service level, court staff performs the majority of procurement functions, with AOC Shared Services providing support as requested.

Asset Accounting

Trial courts are responsible for maintaining their own fixed asset logs. Based on the Trial Court Financial Policies and Procedures Manual, the courts are responsible for tracking the following assets:

- Assets valued at \$5,000 or more
- Assets which are \$500 or more and have a useful life of more than one year.

Additionally, some courts track items which do not meet the above criteria, but belong to certain categories (e.g. cellular phones).

Currently, assets are automatically expensed in SAP. Depreciation is tracked by courts outside of SAP and is reported to the AOC at the end of the year.

To assist in the future data conversion of fixed assets into SAP, an Access database has been developed by the Phoenix Program Deployment Team which identifies what fixed asset fields are required by SAP.

Inventory Management

Currently, limited inventory management functions are being performed by the vast majority of courts. A few large courts maintain inventories, which are managed outside of SAP.

Grants Management and Project Systems

Multiple types of grants are managed by the courts/AOC. The primary grants are the 1058 grants, which are managed by AOC.

- AB 1058 funding covers all 58 trial courts and is the largest Federal grant provided to the trial courts. Each court accrues costs to 1058 grants and submits monthly invoices to AOC for reimbursement. Although submitted monthly, invoices are not paid by AOC until contracts are in place between the county/courts and AOC (*Contracts may not be in place until half way through the fiscal year*). AOC is responsible for compiling and reconciling grant data from all 58 courts at the end of the fiscal year.

Examples of other types of grants include MOUs (specific focus grant/topic) and block grants (e.g. self-help center for a specific region).

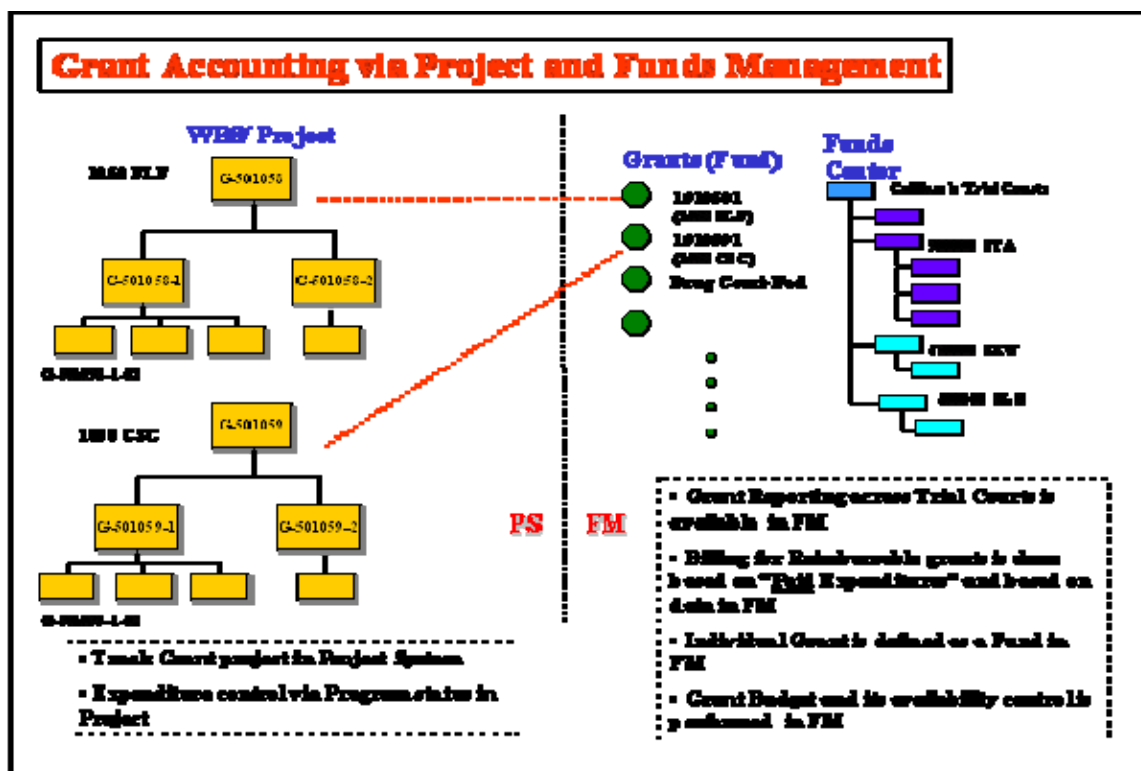
Grant costs fall into three categories:

- Allowable-funded
- Allowable-not funded (Courts frequently run out of grant before the grant program expires and need to continue to record expenses against the grant)
- Not allowable-not funded

Reimbursement requests to AOC require timesheet documentation for personal services charged to grant.

Currently, grants are managed in SAP through Projects and Funds Management. See Figure III-4 on the following page for Grant Accounting Design. See *Bidder's Library for Project System Blueprint* for additional details.

Figure III-4. Grant Accounting Design



Outside of grant-related projects, there are a limited number of other types of projects currently being managed by the courts.

Treasury

Cash Position/Cash Flow

The Treasury Unit manages approximately 300 bank accounts across the 58 courts. Currently, a custom program pulls bank data into a spreadsheet or database to provide basic cash flow information for reporting to all courts. A Daily Cash Report is generated to assist in managing court investments and the daily reconciliation between SAP and the bank. Reconciling items are not resolved on a daily basis.

Fee Distribution

The Treasury Unit is responsible for the centralized distribution of uniform civil filing fees collected by all 58 courts. There are approximately 116 different uniform civil fees/code sections collected by the courts. Distribution of particular fees varies between counties per statute and as directed under the authority of each county's Board of Supervisors. Approximately \$40 to \$45 million in fees are distributed each month.

To perform this fee distribution, an application (UCFS) was developed using Cold Fusion to calculate the distributions based on fee collection data reported by the courts via spreadsheets. Utilizing this fee data, Treasury performs the following steps monthly:

- 1) Uploads fee collection data reported by the courts
- 2) Confirms fee collections are on deposit with the bank
- 3) Determines the prescribed distributions to the State and local agencies
- 4) Generates and delivers the remittance advices for all receiving entities
- 5) Prepares the 137 electronic funds transfer orders to distribute the fees
- 6) Generates required reports to the State and local agencies
- 7) Generates management reporting for AOC's Budget Office and Treasury; and
- 8) Based on the UCFS application's reporting, records the necessary financial accounting information manually into SAP as journal entries, which as a result delivers the 137 ACH electronic funds transfers from SAP to the bank for settlement.

Trust Accounting

The trial courts are responsible for managing the assets held in trust on behalf of other parties (i.e. plaintiffs, defendants, etc), including their original receipt, custody and appropriate financial accounting. Trust types include the following:

- Civil – Condemnation and Interpleader
- Civil – Jury Fees and Other
- Criminal Bail – Traffic
- Criminal Bail - Other

Currently, trust accounting functionality is provided by multiple solutions. Solutions range from Court On-Line Banking products offered by Bank of America to receipting cash on ancient non-electronic cash registers followed by manual entries into Case Management Systems and redundant manual entries into subsidiary manual trust accounting ledgers.

In April 2008, the Public Sector Collections and Disbursements (PSCD) module will be deployed to 3 trial courts, San Bernardino, San Diego and Stanislaus. The PSCD module will capture the trust deposits for both interest bearing and non interest bearing trust types for case categories, and to record the business transactions associated with these trust deposits. All parties who have made trust deposits or received disbursements, including the Court(s), will be represented and captured in the system. PSCD will serve as a sub-ledger capturing the detailed accounting and then transfer at a summarized level to the general ledger. The master data model in PSCD will drive the trust accounting data model and represent case, case number, depositor/disbursees information including any 1099 relevant reporting information for those with financial transactions associated with them.

The AOC Shared Services provides internal accounting and administrative controls for revenue received by the trial courts for trust activities, trial court trust fund (TCTF) operations, non-TCTF operations and Uniform Civil Fees (UCF). An average of 11,000 bank deposits totaling over \$500,000,000 are made per year to Operations, Trust, Distribution and Uniform Civil Filing Fee

Bank accounts. The AOC Shared Services confirms that the amounts deposited and prepared by the self-input courts match the deposits per the bank statement. The AOC Shared Services enters and confirms that the amounts received from non self-input courts match the deposits per the bank statement. Today the AOC Shared Services does not have the ability to verify that cash deposits recorded on the financial statements agree to the cash receipts recorded on the courts' case management/cashiering systems. The courts' case management/cashiering systems are the book of original record for all cash receipts accepted by the courts. Implementation of the PSCD module to capture trust/agency activity for the San Bernardino, San Diego and Stanislaus courts during April 2007 will enable the reconciliation of cash deposits received on these courts' case management/cashiering systems to cash deposits recorded on the financial statements.

The AOC Shared Services prepares the monthly interest allocation for all bank accounts and records the interest earnings for each court in the appropriate funds.

All financial transactions received by the Court's case management system will be interfaced to PSCD, including civil trust, criminal bail trust, uniform civil fees, and criminal fines, fees and forfeitures. All financial transactions are required by PSCD in order to complete the case management system and bank reconciliation of civil and criminal trust receipts, which may be received as part of payment items accepted for other fee activity.

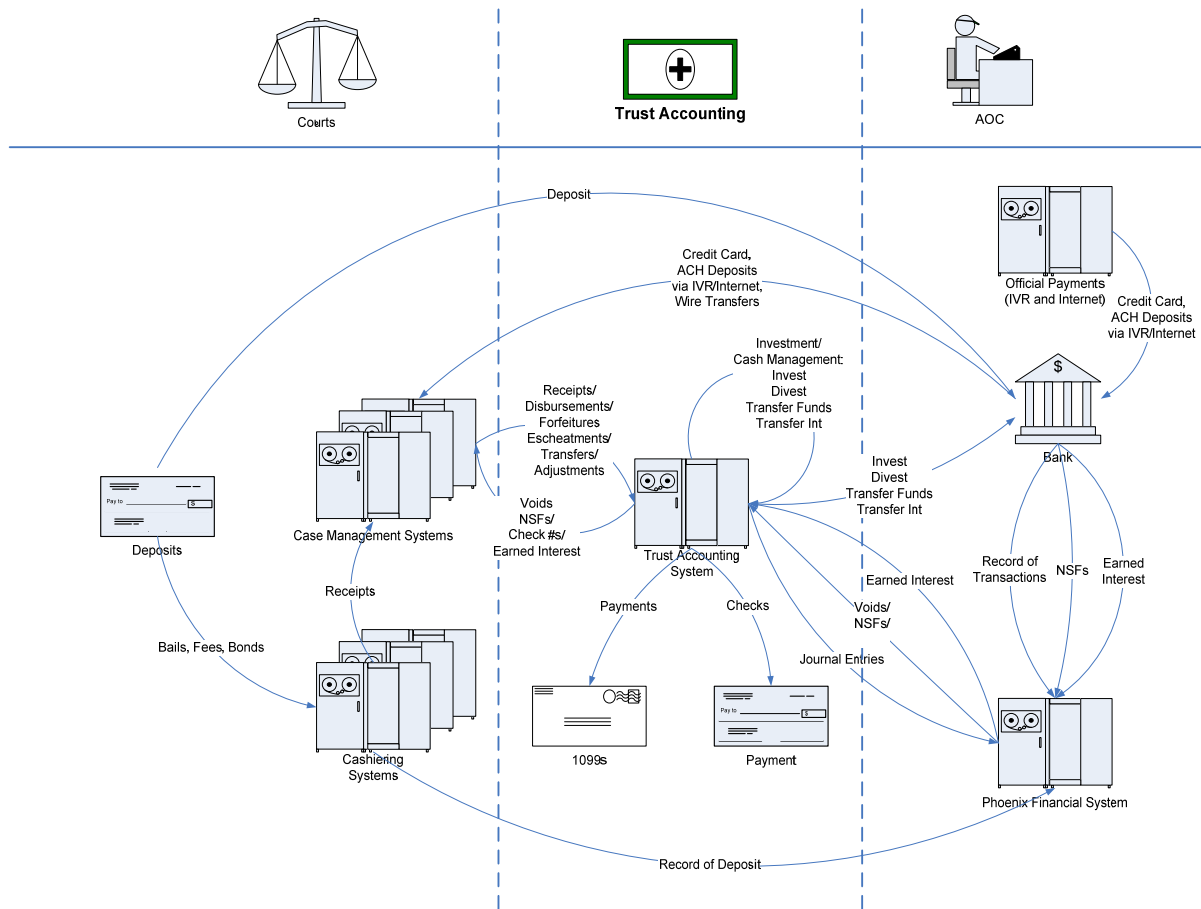
Trusting Payables and Disbursements

The AOC Shared Services provides trust disbursement services and support. Invoices are entered into SAP by courts (18 self-input courts) and AOC Shared Services (15 AOC entered courts). This includes invoice entry and calculation of interest on civil interest bearing trust disbursements. Interest is calculated manually by AOC Shared Services up to the date the check is processed for disbursement (approximately 350 disbursements with interest per year).

The AOC Shared Services provides electronic fund transfer services (approximately 6,500 per year). Courts request transfers between accounts (e.g. from distribution accounts to UCF accounts) and to third parties (eg. to the State, County, vendor). The AOC Shared Services initiate and execute transfers requested by the Court.

The following figure provides a conceptual model for trust accounting among AOC and the 58 trial courts, which is being implemented with the PSCD module.

Figure III-5. Conceptual Model for Trust Accounting Among AOC and the 58 Trial Courts



III.3.3 Current Human Resources and Payroll Processes

Human resources and payroll functionality is decentralized among the 58 courts, with processes frequently differing among courts. Requirements can differ among the courts due to court-specific requirements, such as bargaining agreements and provider contracts, which are negotiated separately by each court. The courts process payroll on different payroll cycles: 39 courts are bi-weekly; nine are monthly; five are semi-monthly; and five unknown.

As opposed to financials, there is not a statewide human resources/payroll policies and procedures manual for the 58 courts. However, there are specific requirements that each of the courts must follow which are set forth in statute, Rules of Court, and/or other documentation. For example, training and continuing education requirements for judges and court employees are set forth in the Rules of Court.

Currently, for human resources and payroll processes, the 58 trial courts fall into one of four different categories:

- Six courts utilize Phoenix;
- 24 courts outsource to an outside provider;
- 26 courts utilize county services; and
- Two courts utilize some other method.

The following provides a high-level description of the processes for courts utilizing Phoenix.

AOC Shared Services and the courts maintain all master data. The majority of HR functionality is decentralized at the court level, with all but one of the six courts performing HR functionality. The following provides a high-level description of the processes for each of the major SAP functional areas.

Benefits Administration

- Open Enrollment – One of the six courts used ESS for open enrollment
- Benefit Forms - Forms entered by courts into SAP, except for Santa Cruz which has forms entered by AOC Shared Services
- AOC Shared Services performs some of the benefit reconciliation. Every court has own insurance policies/contracts

Compensation Management

The compensation management module was blueprinted and limited functionality has been deployed. Currently, salary structures and pay grades/levels are maintained within SAP.

Organization Management

AOC Shared Services centrally maintains Organization Management for all courts, including maintenance of position and jobs. Position and Job Numbers have same format; both start with 9 and are the same number of digits.

Payroll

AOC Shared Services centrally processes and posts payroll for all courts. Payroll for each of the courts is run separately in a different payroll area. The majority of the six courts have a bi-

weekly payroll; pay day is always on a Friday. Currently, checks and deposit advices are also printed and distributed centrally. In the near future, for those courts that have all employees on ESS, deposit advices will be available on ESS and will be printed upon request only.

The following is a brief overview of the Payroll Calendar for bi-weekly payroll processes:

- All time for the pay period must be entered and approved by the Monday following the end of the pay period.
- After time is entered and approved, simulation is run on Monday night. On Tuesday, validation reports are run and payroll is reviewed for errors/ reconciling items.
- Final payroll is run and ACH is sent out on Wednesday. Remittance advices and checks are sent by AOC Shared Services to the courts via mail.
- Payday is on Friday.

Third-Party Remittances (e.g. garnishments, taxes and benefit provider payments) are processed through payroll; with payments made through AP. Currently 70 garnishments per month are processed. There is one check per employee garnishment; payments to the same payee are not consolidated into one check.

Performance Management

The performance management module was configured but was not implemented. Appraisals are currently being managed by courts outside of SAP.

Personnel Administration

Processes differ among the courts, with some courts centralizing all PA within HR and others are centralizing it at the Phoenix HR Service Center. In general, however, the following describes the PA process:

- For new organizational objects, court HR works with AOC Shared Services to set up position in SAP. Court HR also works with AOC Shared Services to change a current position (e.g. reclassification, organization change).
- Personnel action requests (PARs) are processed through SAP for all personnel actions, including but not limited to:
 - New Hires/Rehires
 - Termination/Adverse Action.
 - Leave of Absences
 - Employee Updates (*ESS update functionality is currently limited to employee home address and home phone number*).
- Utilize FMLA workbench; however, functionality limits ability to handle CA specific leave (e.g. PDL, CFRA). Can now track only one type of leave.
- Currently, persons who are temporarily backfilling or overfilling a position, share the same position as the permanent incumbent.

Recruitment

None of the six courts utilizes SAP for recruitment. However, two of the six courts are in the process of implementing third-party recruitment applications. The following is a description of the current processes for three of the six courts.

- Sacramento Court: Sacramento Court processes about 10,000 applications per year. Applicants can apply electronically using a custom program. Once an application is received, the remainder of the review process is manual. Electronically submitted

applications and resumes are printed by HR, which are reviewed for minimum qualifications. EEO information is manually tabulated from applications.

- Riverside Court: In 2007, there have been 66 recruitments. Currently, applicants to the Riverside Court can download applications from the web, but cannot submit them directly (i.e. applications must be submitted via e-mail or in hard copy). The remainder of the recruitment process is relatively manual as well.
- Stanislaus Court: The Stanislaus Court uses paper applications, which are sent out to applicants through the mail.

Succession Planning

The business process for performing succession planning varies by court. This is a manual process which is currently managed outside of the SAP application.

Time Management

Employees at five of the six courts enter time daily through ESS. At the sixth court, Court HR enters time for all employees on a weekly basis. Work schedules are court specific and are not shared among courts.

- All non-exempt employees must enter all time worked (positive time).
 - One of the six courts is set up to have employees enter start and stop time for hours worked.
- Exempt employees, who represent an estimated 10%-15% of the total, are required to enter exception time only. Additionally, exempt employees are required to acknowledge that there are no exceptions.

Time evaluation and time transfer are processed by AOC Shared Services on a nightly basis.

Training

The training and events module is configured for one of the six (6) courts, but does not meet court requirements and is not being utilized. Courts are tracking training and events outside of SAP on spreadsheets and other systems.

Interface Files

There are currently 13 interface files for HR/Payroll. Three of the interface files are processed through TIBCO, the enterprise middleware product, (i.e. two outbound interfaces to Fidelity for demographic information and deductions and one inbound interface to Fidelity for employee changes).

Outbound: The interface retrieves the files (employee master and employee contribution) from SAP using the TIBCO SAP adapter, performs transformation, encrypts the file and "puts" it on the Fidelity FTP server. This interface runs every day.

Inbound: The interface retrieves the employee deferral change file from the Fidelity FTP server on Friday, decrypts the file and uploads the file to SAP through the TIBCO SAP Adapter

There is no TIBCO server where the data is hosted.

Please refer to the Bidder's Library for a detailed overview of the HR interface files.

Workflow

There is a limited amount of workflow implemented for the AOC. The two workflow processes are for leave and overtime requests.

III.3.4 Current FI/HR-Payroll Integration

Courts Utilizing SAP for FI and HR/Payroll

After processing of payroll, including FI-CO postings, third-party remittances (TPRs), reconciliations, and tax reporting (e.g. W-2s) are done by AOC Shared Services.

Courts Utilizing SAP for FI and Non-SAP Systems (Outside provider or County Services) for HR/Payroll

For courts who do not utilize SAP for HR/Payroll, AOC Shared Services receives payroll files from the courts, either a GL file or a GL file from the County. These files contain data on payroll journals for entry and posting to the GL. Currently, an account crosswalk is utilized to map accounts utilized in the payroll files to those in SAP.

III.3.5 Current SAP Courts Reporting Strategy/Processes

R3 - Currently, all SAP reports are R3 reports. Additionally, courts have access to R3 data for external reporting via download to Excel. Similar to overall SAP security, report access is restricted by business area (court). Ad hoc query functionality is limited to AOC Shared Services.

BI - BI has not yet been deployed. In April 2008, trust accounting analytical and management reports will be available through BI to the courts participating in the initial deployment of trust functionality (PSCD). Real-time operational reports will continue to be available as R3 reports. In April 2008, BI is scheduled to be deployed to all 58 courts. Upon deployment, budget versus actual financial reports will be available for all courts in BI.

CAFR - AOC provides CAFR data to the State Controller's Office for its preparation of the State of California CAFR. The AOC generates its CAFR reports outside of SAP. Based on the current Profile 101 configuration, SAP does not maintain all the data required to prepare the CAFR.

III.4 CURRENT TECHNICAL LANDSCAPE

This section describes the current technical landscape.

III.4.1 Application Components Supported

Table III-7. Overview of Application Components Supported

Component	Description
SAP Functional Components	
SAP ERP 4.7 with PSCD 4.72 Industry Solution	Provides the core functionality for the Finance, HR and Trust Accounting functional streams.
TIBCO Components	
TIBCO Business Works	Best of breed middleware software used for integration with other applications and 3rd party providers.

Component	Description
NetWeaver Components	
SAP Business Intelligence (BI) 7.0	Will provide business warehouse solution to meet analytical and management reporting requirements.
Enterprise Portal (EP) 6.0	Runs the portal based ESS and MSS functionality required for HR. Is a primary tool for user authentication against Siteminder and active Directory
Enterprise Portal (EP) 7.0	Runs the BI Front End required for analytical and management reporting. The Portal will be used for publishing Trust Accounting reports.
SAP Solution Manager 4.0	Meets mandatory SAP requirements going forward; currently being implemented with Service Desk, Project Management and Change Request Management.
Internet Transaction Server	Used to web-enable the ESS functionality, currently implemented. It should be noted that this component becomes integrated in the underlying NetWeaver Application server in the upgrade releases.
NetWeaver Application Server	Runs any SAP functionality described in the preceding points; underlying technical engine.
TIBCO <ul style="list-style-type: none"> • TIBCO Portal Builder- TIBCO's portal solution • TIBCO Business Connect - for automated exchanges • TIBCO Business Works Collaborator (Work flow). NOTE: may switch to IProcess • TIBCO Business Works-the key orchestration solution • TIBCO Adapters- currently using this to invoke SAP • The infrastructure that crosses all tiers- TIBCO XML Canon (repository for all development artifacts), TIBCO EMS (implements JMS), TIBCO Hawk (for monitoring), TIBCO Administrator • DX- TIBCO Data Exchange- used for data conversion. Note: For the future, may switch to TIBCO Smart Mapper. 	
Business Warehouse	

III.4.2 Current Application Landscape Architecture

III.4.2.1 Environments (Instances) and Clients

The SAP application provides structured application architecture referred to as the client/instance landscape. The landscape is implemented for each SAP component

described in the previous section. There are three mandatory instances (also called “environments”) in the SAP landscape for each component. The SAP Transport Management System provides rigorous capabilities used to move objects between instances (as well as between clients). The current Phoenix SAP instances and their required usage are illustrated in Table III-8 below.

Table III-8. Mandatory SAP Instances and Required Usage

SAP ABAP Environment (Instance)	Description	Clients
Mandatory Instances		
Development (D01)	All application configuration, programming, unit test testing, and the “Master” or “Gold” configuration (tested and approved configuration) are performed in this instance. Two-tier architecture.	ERP Dev environment (D01) includes four clients: <ul style="list-style-type: none"> • 010 – Sandbox client, used for prototyping and other trial configuration work. • 030 – HR unit testing. • 040 – Development client used for both configuration and ABAP development work, Unit testing. All three functional streams share this client. • 100 – Configuration “Gold” client. All tested and approved configuration is held in this client.
Quality Assurance (Q01)	All unit tested configuration and programming are transported to this instance. This instance is to be used for full integration testing as well as for user acceptance test. Two-tier architecture.	<ul style="list-style-type: none"> • 100 – Finance team testing system (Q01).
Quality Assurance (Q02)	All unit tested configuration and programming are transported to this instance. This instance is to be used for full integration testing as well as for user acceptance test. Two-tier architecture soon to be 3-tier.	<ul style="list-style-type: none"> • 100 – HR team testing system (Payroll Parallel) (Q02).
Production (P01)	This instance runs the production version of the application. Three-tier architecture.	<ul style="list-style-type: none"> • 100 – Production.
Training Delivery (TRN)	Used to develop and deliver hands-on training. Two-tier architecture.	<ul style="list-style-type: none"> • The ERP Training instance (TRN) includes three clients: • 400 – Training Master client used for development of training materials. • 410, 420 – Delivery of hands on training.
Staging (STG)	This environment is refreshed regularly from Production and is used to test the application of transports prior to applying them to Production. It is used by Basis	<ul style="list-style-type: none"> • 100 – Production Support (direct copy of Production).

SAP ABAP Environment (Instance)	Description	Clients
	staff to test application of maintenance and Enhancement Packs. Also used for UAT. Three-tier architecture.	
BI Development (BWD)	BI Development Environment is a Central Instance with a bound EP 7.0 to support Trust Reporting. the EP 7.0 portal co-exists with the EP 6.0 environments.	<ul style="list-style-type: none"> • 100 – Development Master connected to D01 040
BI Test (BWQ)	BI Test environment for integration testing. This is a Central Instance with a bound EP 7.0 to support Trust Reporting. The EP 7.0 portal co-exists with the EP 6.0 environments.	<ul style="list-style-type: none"> • 100 – Quality Assurance Client connected to Q01 100
BI Training (BWT)	BI Training environment for delivery of hands on end user training. This is a Central Instance with a bound EP 7.0 to support Trust Reporting. the EP 7.0 portal co-exist with the EP 6.0 environments.	<ul style="list-style-type: none"> • 100 – Training Client connected to TRN 400
BI Staging (BWS)	BI Staging provides a technical sandpit with a close as Production data as possible for the testing of patch application. This is a Central Instance with a bound EP 7.0 to support Trust Reporting. the EP 7.0 portal co-exists with the EP 6.0 environments.	<ul style="list-style-type: none"> • 100 – Production Support Client connected to STG 100
BI Production (BWP)	Production environment. Initially for the delivery of Trust Reporting, BI will become a more integral component of the AOC SAP environment as more enterprise level reporting is investigated.	<ul style="list-style-type: none"> • Yet to be commissioned.
Development Portal 6.0 with associated ITS	Development system for the Enterprise Portal Environment. Currently Version 6.0 due to constraints of ESS/MSS running against SAP R/3 4.7.	<ul style="list-style-type: none"> • Connected to D01 040
Test Portal 6.0 with associated ITS	Currently installed but not yet released to the project team.	<ul style="list-style-type: none"> • To be connected to Q02 100
Staging Portal 6.0 with associated ITS	Staging environment to support technical testing.	<ul style="list-style-type: none"> • Connected to STG 100

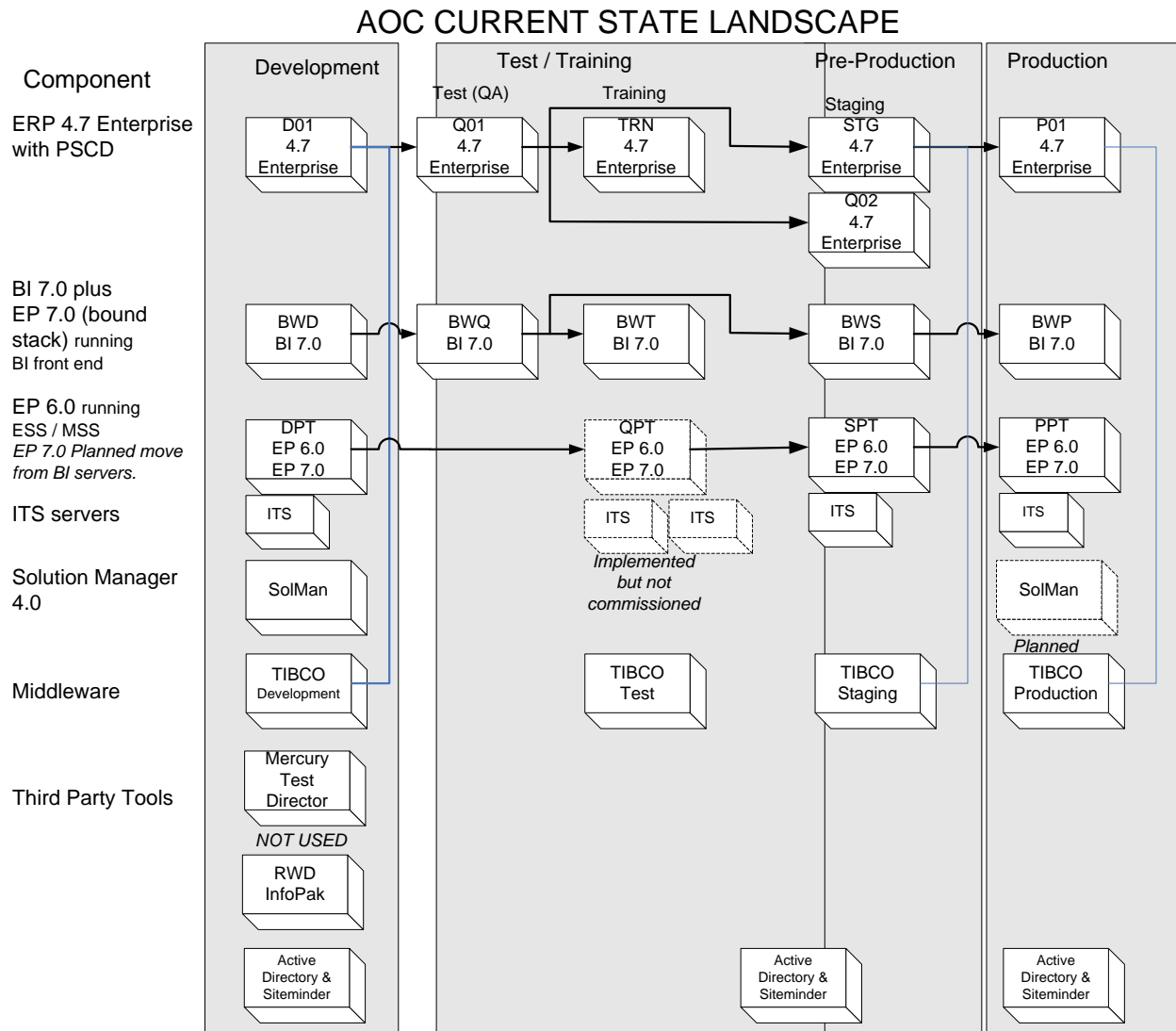
SAP ABAP Environment (Instance)	Description	Clients
Production Portal 6.0 with associated ITS	Production Portal Environment. Two ITS servers are associated to this environment.	<ul style="list-style-type: none"> • Connected to P01 100

Table III-9. Additional SAP Instances and Required Usage

SAP ABAP Environment (Instance)	Description	Clients
Additional Instances		
Development Solution Manager (SMD)	SAP Solution Manager is a mandatory component of all SAP installations. Currently using Service Desk with plans to use Project Management and Change Request Management.	<ul style="list-style-type: none"> • Connected to all clients
Production Solution Manager (SMP)	Planned Production Solution Manager system.	<ul style="list-style-type: none"> • Not yet commissioned.
TIBCO Development	Middleware solution development	<ul style="list-style-type: none"> • Connected to D01 Client 050
TIBCO Test	Currently unused	<ul style="list-style-type: none"> • Not currently connected to and SAP
TIBCO Staging	Middleware solution test environment	<ul style="list-style-type: none"> • Connected to STG Client 100
TIBCO Production	Middleware solution Productive environment	<ul style="list-style-type: none"> • Connected to P01 Client 100
RWD Info Pak	Used to create training materials, for customized On-Line Help and BPP	
Mercury Test Director	Test management tool	

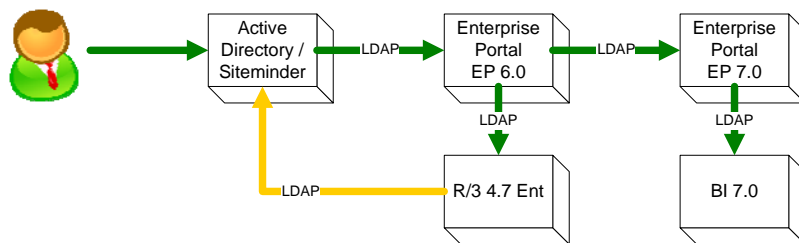
The current SAP instance landscape is shown in Figure III-6 below.

Figure III-6. Current SAP Instance Landscape



The logical network architecture is divided into three areas; each implemented using multiple separate VLANs. These separate VLANs provide network-level access security to the SAP instances in the landscape and have been used to address security requirements around HR data in QA-level environments. The location of the instances in the three logical network areas, Non Production, Pre Production and Production, is shown in the above diagram.

Figure III-7. Single Sign On



Authentication for the end user is via a Single Sign On (SSO) to the EP 6.0 portal and user information in the Active Directory (AD) is provided by the R/3 Central User Client. LDAP communication to the two portals and WEBAS of BI 7.0 provides a seamless user logon experience.

III.4.3 Current Application Landscape Architecture Assessment

III.4.3.1 Data Security and Integration Test Instances

In the original landscape, Q01 was used for Integration testing as per SAP standards. Post Finance Go Live, this instance was refreshed from Production (full Production copy) to provide current test data.

III.4.3.2 Development and Transport Version Control

Currently, all configuration and development work occurs in a single development client (client 040). This client simultaneously supports work related to all three functional streams. In terms of packaging transports related to a given change and later, to the delivery of multiple delivery phases, the current approach uses manually created lists to determine the transports required to implement a given change and the required sequencing of these transports. While in practice this has not resulted in significant issues to date, this approach does have inherent exposure and risks associated with it, especially in scenarios where multiple overlapped phases of delivery are ongoing. Therefore this approach needs to be addressed.

There are two major alternatives for addressing the risks in the current manual methods:

- Use of a version control and release packaging tool such as Solution Manager and its Project Template capabilities or a third party tool to assist in managing the delivery of configuration and developments to Production. This approach can permit multiple functional phases as well as ongoing Production support to potentially be delivered from multiple clients within a single Dev environment. However, rigorous procedural discipline is still required to ensure full control and there are costs associated with the acquisition and implementation of such a tool if a tool other than Solution Manager is selected.
- Use of multiple Dev/QA pairs—one for Production support plus one per concurrent functional development phase. This approach requires additional environments and servers but provides inherent physical isolation of objects and transports associated with each delivery phase, thus providing release packaging by instance set.

III.4.4 Current Technical Application Architecture

III.4.4.1 Multi-Tier Architecture

The SAP application is a true client server application and provides a high degree of flexibility in implementing two-tier and three-tier architectures for each instance as needed. Two-tier architecture combines the following into a single instance:

- The Database server
- The SAP Central Instance functions (message server, ENQ server, and others)
- The Application Server (which also consist of multiple process types)

For larger implementations, a three-tier architecture is used where the application server layer is separated onto its own servers and multiple application servers are used to provide the required total application layer capacity while also providing:

- Workload differentiation by server (batch versus foreground) and by foreground user type to improve performance.
- Fail over capability in the event of application server failure. Workload on a failed application server is restarted on another application server.

In the case of both two-tier and three-tier architecture, the application server is a separate logical entity from the database server.

Currently, the Production and Staging ERP environments are three-tier. All other environments are two-tier (“Central Instance Servers”).

III.4.5 Current Physical Server Architecture

With the exception of BI and its related EP 7.0 instances described below, each instance in the landscape is implemented in physically separate servers. For the three-tier environments (ERP Production and Staging), there are separate servers for the database and application server tiers. There are three SAP application servers for ERP Production and one SAP application server for ERP Staging with one logical SAP application server per physical server.

All database servers in Production are clustered for availability, as are the ITS, Portal servers and proxy servers. Staging database servers and Non-Production instance servers are not clustered.

III.4.5.1 BI and EP 7.0 Environments Physical Server Architecture

The EP 7.0 instance co-exists with the EP 6.0 instances.

III.4.5.2 Technology Standards

All SAP servers, with the exception of the ITS servers (which are Wintel), are Sun V series UltraSparc IIIi and UltraSparc IV technology running the Solaris 9 operating system. The database technology is Oracle 9.2.0.6 and Oracle 10i. Storage for all database data is provided by SAN attached enterprise class storage. Local server disk is used for operating system and related file systems only.

III.4.6 Current Logical Network Architecture

The current overall technical network architecture has been set up as a Layered Security Architecture (LSA) which consists of distinct areas, each on its own set of VLANS. These separated VLANS provide network-level access security to the SAP instances in the landscape and has been used to address security requirements around HR data in QA-level environments. The areas included in the technical network architecture are as follows:

- Development – Dev (D01), resides in AOC's data center.
- Test / Training – QA (Q01) and Training (TRN) instances are located in this area
- Pre-Production – Staging (STG) instances are located here. For data security reasons, a separate HR QA environment (Q02) has also been implemented and located in this area.
- Production – Production (PRD) instances are located here.

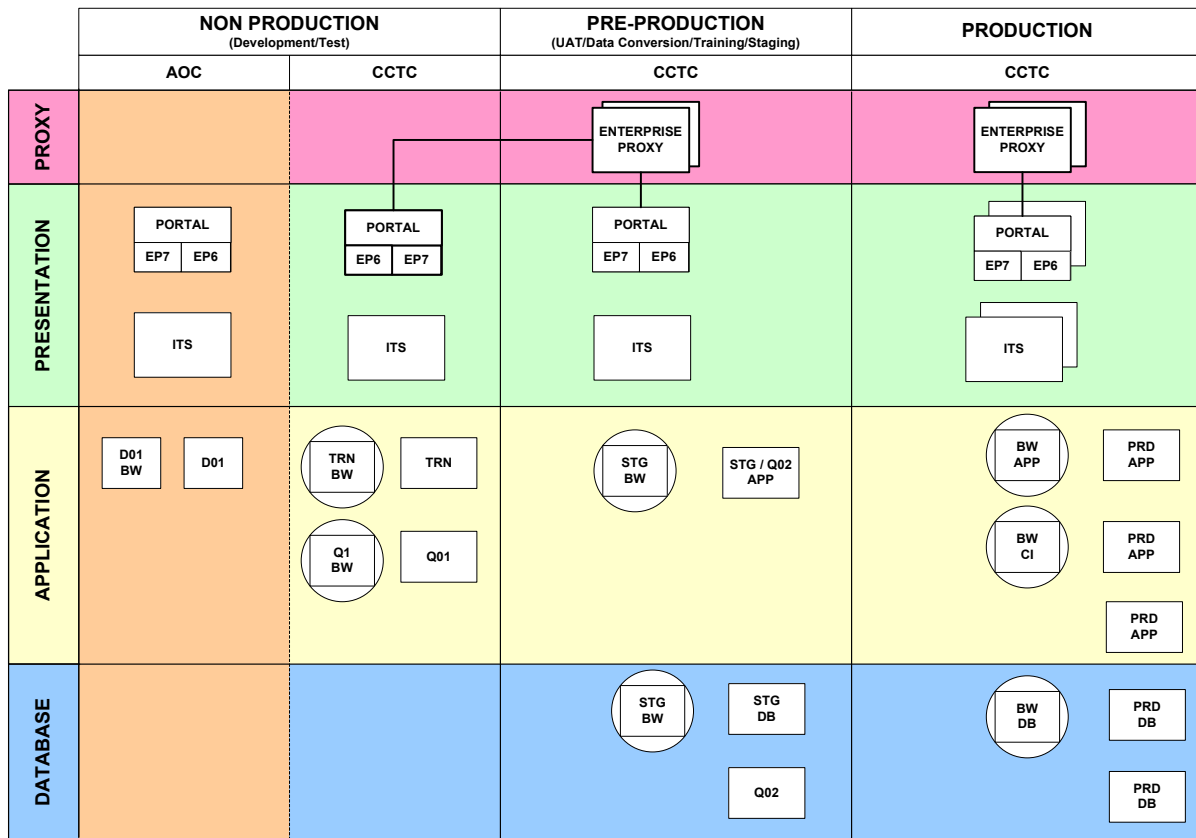
Within each of these areas, multiple network layers, each with separate VLANS, have been implemented. For the Production area these include:

- Proxy Layer – Proxy servers, firewalls and the DMZ are located on this VLAN. This VLAN is shared by the Production, Pre-Production and Non-Production areas.
- Presentation Layer – Enterprise Portal (EP) and ITS servers are located on this layer's VLAN.
- Application Server Layer – SAP Production application servers are located on this VLAN.
- Database Server Layer – Clustered SAP Production database servers are located on this VLAN.

The Non-Production areas are the same as above, but without the separate database server layer, as these environments are two-tier.

Figure III-8. Current Logical Network Architecture

	PHOENIX LSA – End State	<i>Process Owner</i> Martina Mokson	<i>File Name</i> Phoenix_LSA_ASIS_ch3_v1_00	<i>Revised BY</i> Martina Mokson	<i>Revision Date</i> 12/13/07	<i>Page</i> 1 of 1	<i>Ver</i> 1

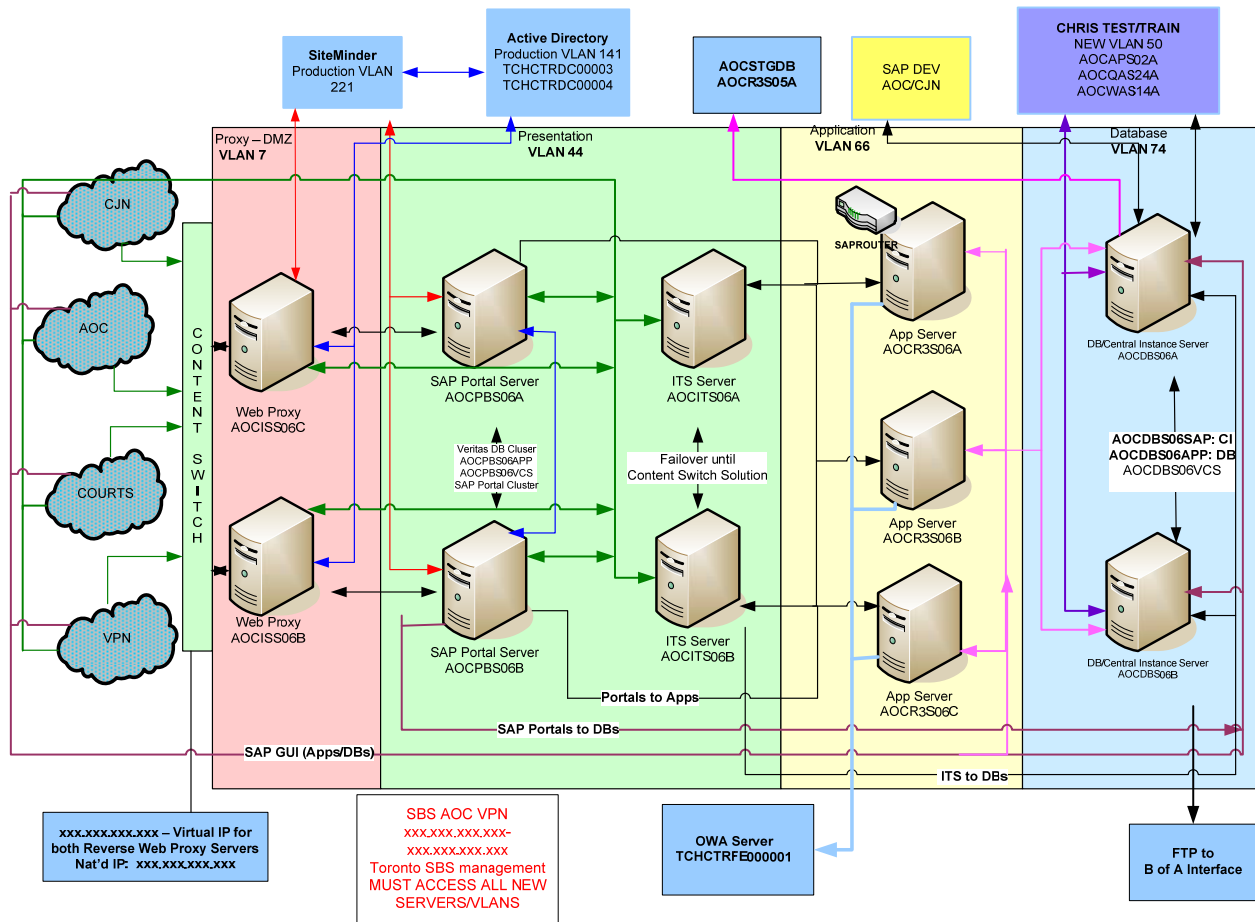


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III.4.7 Current Technical Architecture

The current ERP Production technical landscape architecture is shown in Figure III-9 below.*

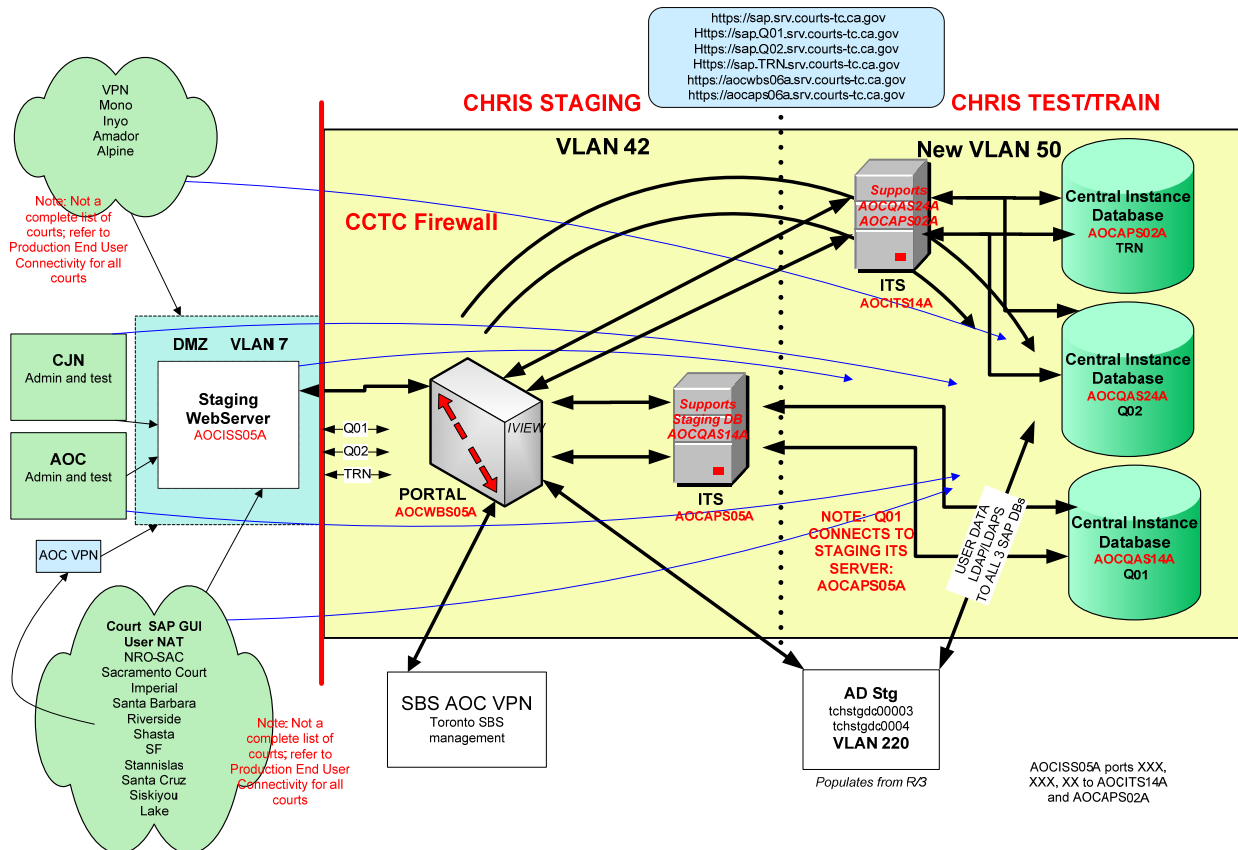
Figure III-9. Current ERP Production Technical Landscape Architecture



*Modified from Siemens original diagram.

The current ERP Non-Production technical landscape architecture is shown in Figure III-10 below.*

Figure III-10. Current ERP Non-Production Technical Landscape Architecture



*Modified from Siemens original diagram.

III.4.8 Current Technical Architecture Assessment

III.4.8.1 Production Workload Levels

Currently, production workload levels represent less than half the total workload to be rolled out based on current end user population being less than half the expected total population for FI, HR, and Trust. A sizing exercise must be completed to ensure adequate server capacities and performance going forward.

III.5 CURRENT MAINTENANCE AND OPERATIONS SUPPORT

III.5.1 Hosting Environment

The Phoenix system is hosted at the California Courts Technology Center (CCTC), which is currently contracted to a third party provider. There are multiple SAP environments including development, testing, quality1, quality2, training, staging, and production. The CCTC/AOC is responsible for the installation, monitoring and support of all environments.

III.5.2 Phoenix System Support

The CCTC Contractor is currently responsible for Level 1 Help Desk support and logging/tracking calls for the Phoenix system. The Phoenix system is also supported by the AOC Support Services organization, which is responsible for systems, applications, and business process support. The AOC Support Services organization is considered Level 2 and Level 3 Help Desk Support. Some “how-to” Level 1 Help Desk calls go directly to Phoenix Super Users in the courts and the AOC Shared Services organization, and then to the Support Services organization, thus bypassing the CCTC.

The current systems integration partner augments the AOC Support Services organization and provides additional functional and technical resources for FI, HR, Trust and BI as required in the following areas:

- ABAP
- Basis
- Workflow
- Portal
- TIBCO
- Netweaver
- Solution Manager
- Configuration
- Testing
- Deployment
- Break/Fix
- Enhancements
- Security
- HR Operational Production Support

See RFP Section VI, Proposed Solution Requirements, for additional information regarding the roles and responsibilities of the Bidder and the AOC for Maintenance and Operations Support.