



ACTIVITY REPORTING AND PROPOSAL FORM

JUDICIAL COUNCIL DIRECTIVES AOC RESTRUCTURING

DATE	10/1/2012
PREPARED BY	Olivia Lawrence
OFFICE NAME	<u>Trial Court Administrative Services Office</u>
JUDICIAL COUNCIL DIRECTIVE NUMBER	134
JUDICIAL COUNCIL DIRECTIVE	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Trial Court Administrative Services division should continue to provide clear service-level agreements with respect to services provided to the courts.
SEC RECOMMENDATION	TCAS should continue to provide clear service-level agreements with respect to services provided to the courts.
RESPONSE (check applicable boxes)	
<input checked="" type="checkbox"/> This directive has been completed and implemented:	
TCAS continues to provide clear service-level agreements (SLAs) with respect to services provided to the courts. An SLA is an agreement reached between the AOC and a court regarding the provision of certain services provided to the court related to the implementation and maintenance of the Phoenix System. These agreements, entered into by the Phoenix Program Director and a court's CEO, originated in 2007 and continue to outline the responsibilities of both parties. (The Phoenix HR and FI SLAs, and the corresponding agreements, are attached for review.)	
 SLA FI Agreement July 2007.pdf Adobe Acrobat Document 18.5 KB	
 October 2008 FI SLA.pdf Adobe Acrobat Document 92.3 KB	



SLA HR Agreement
January 2008.pdf
Adobe Acrobat Document
24.8 KB



Phoenix Final HR SLAs
April 2010.pdf
Adobe Acrobat Document
66.0 KB

This directive is forwarded to the Judicial Council with options for consideration:

File Attachment

Other:


File Attachment

TIMELINE AND RESOURCES FOR IMPLEMENTATION

IMPLEMENTATION DATE OR PROJECTED IMPLEMENTATION DATE	Implemented in 2007
RESOURCES REQUIRED FOR IMPLEMENTATION	N/A

ADDITIONAL IMPLEMENTATION INFORMATION (complete only applicable sections)

<input checked="" type="checkbox"/> PROCEDURES/ POLICIES UPDATED OR DEVELOPED	<p>There have been no requested modifications since its full implementation.</p> <p> File Attachment</p>
<input type="checkbox"/> TRAINING UPDATED OR DEVELOPED	<p> File Attachment</p>
<input type="checkbox"/> SAVINGS	<p> File Attachment</p>

<input type="checkbox"/> COST	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">  File Attachment </div>
<input checked="" type="checkbox"/> EFFICIENCIES	<div style="border: 1px solid black; padding: 2px;">Expectations have always been met as outlined in the SLAs.</div> <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">  File Attachment </div>
<input checked="" type="checkbox"/> SERVICE LEVEL IMPACT	<div style="border: 1px solid black; padding: 2px;">See above.</div> <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">  File Attachment </div>
<input type="checkbox"/> OTHER	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">  File Attachment </div>
ADMINISTRATIVE DIRECTOR OF THE COURTS (ADOC) REVIEW AND APPROVAL	
ADOC REVIEW	Administrative Director of the Courts Review Date: <input style="width: 100px;" type="text" value="10/5/2012"/>
EXECUTIVE AND PLANNING (E&P) COMMITTEE REVIEW	
E&P REVIEW	Executive and Planning Review Date: <input style="width: 100px;" type="text" value="10/19/2012"/>

**SERVICE LEVEL AGREEMENT BETWEEN
THE JUDICIAL COUNCIL OF CALIFORNIA,
ADMINISTRATIVE OFFICE OF THE COURTS AND
THE SUPERIOR COURT OF CALIFORNIA, COUNTY OF «COURT»
FOR THE PROVISION OF
PHOENIX FINANCIAL SERVICES**

I. PURPOSE

This service level agreement (“Agreement”) including its attached schedule outlines the understanding between the Judicial Council of California, Administrative Office of the Courts (AOC) and the Superior Court of California, County of «Court» (Court) related to the provision of certain services to the Court relating to the Phoenix Financial system to be implemented for the Court.

This agreement shall be effective as of July 1, 2007 (“Effective Date”).

II. PARTIES

The signatories to this agreement are Ms. Jody Patel, Regional Administrative Director, as the authorized signatory for the AOC and «CEO», the Court Executive Officer of the Superior Court of California, County of «Court», as the authorized signatory for the Court.

III. BACKGROUND

Since the implementation of the Trial Court Funding Act of 1997 (Assembly Bill 233; Stats. 1997, ch. 850), which transferred funding responsibility for the Superior Courts from the individual counties to the State of California, the branch has focused on coordinating and integrating its administrative functions and improving the technology that supports court operations. Based on those goals the technology infrastructure project “Phoenix Financials” is currently being deployed statewide to all courts to provide centralized financial management that allows for more uniform, consistent, and cost-effective administration of trial court operations.

IV. SERVICES DESCRIPTION

Phoenix Financials is a centralized financial management system that currently provides the following areas of services (“Services”) to courts once they have been implemented on Phoenix Financials:

1. General Services
2. Accounts Payable Services
3. General Ledger, Analysis and Reporting Services
4. Trust and Treasury Services

5. Procurement Services.

The AOC shall provide the Court the services listed above at the service levels identified in the attached standardized *Service Level Agreement Schedule* (SLA Schedule) document.
«SLA_Comments»

V. RESPONSIBILITIES

The AOC shall provide the services at the levels specified to the Court as defined in the SLA Schedule. The Court shall allocate the resources and perform the responsibilities set forth in the SLA Schedule. Responsibilities outlined in the SLA Schedule, for both the Court and the AOC, are limited only to modules and/or functionality that the Court has implemented.

VI. NOTICES

Any formal notice or communication required to be sent to a party pursuant to this agreement shall be sent in writing by First-Class U.S. Mail or commercial express mail to the street address of the Authorized Signatory of the party, which notice shall be effective upon date of receipt. Routine exchange of information regarding the Services may be conducted by email or fax.

The Court Authorized Signatory is

«CEO»
Court Executive Officer
Superior Court of California, County of «Court»
«Address»
«City», CA «Zip_Code»
Voice «Phone»
Fax «Fax»
Email «Email»

The AOC Authorized Signatory is

Ms. Jody Patel
Regional Administrative Director
Administrative Office of the Courts
2880 Gateway Oaks Drive, Suite 300
Sacramento, CA 95833-3509
Voice (916) 263-1333
Fax (916) 263-1966
Email jody.patel@jud.ca.gov

VII. EFFECTIVE DATE

July 1, 2007.

The services to the Court will continue to automatically renew on its anniversary date until the parties agree to any modification or changes to this agreement.

VIII. QUALITY ASSURANCE

If the AOC fails to perform any of the service levels under this Agreement based upon a commercially reasonable standard of care, the AOC shall within 30 days of receipt of notice from the Court to develop and implement a Corrective Action Plan and report such plan to the Court. If the Corrective Action Plan fails to materially resolve the problem within a reasonable time (not less than 60 days) after implementation, the Court may escalate resolution of the problem by requesting a resolution meeting between the Court CEO and the Project Director over the Phoenix Project. If the issues(s) are not resolved at that meeting, the Court CEO can request a resolution meeting with the Chief Deputy Director, Administrative Office of the Courts. This procedure shall be the Court’s sole and exclusive remedy in connection with any failure of the AOC to meet the service levels contained in this Agreement.

IX. SIGNATURE AUTHORITY

The individuals signing this Service Level Agreement on behalf of the AOC and the Court certify that they are authorized to do so.

I have read the entire agreement and agree to its terms and conditions.

Administrative Office of the Courts

Superior Court of California,

County of «Court»

Authorized Signature

Authorized Signature

by

by

Name: Jody Patel
Title: Regional Administrative Director, AOC

Name: «CEO»
Title: Court Executive Officer, Superior
Court of California, County of «Court»

Date _____

Date _____

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<u>General Services</u>		
<ul style="list-style-type: none"> ● Respond to calls/questions from the court. 	N/A	Same day
<ul style="list-style-type: none"> ● Establish new/change vendor on SAP system. 	Provide complete and signed vendor form, or change of vendor form.	2 Business Days (A Business Day is Monday through Friday, excluding court and banking holidays. The counting of Business Days starts the subsequent Business Day after the court meets its requirements, unless it is stated as "same" Business Day, then counting begins on the same day requirements are met by the court). Any fax received by noon would be processed in the afternoon and any fax received in the afternoon would be processed the next day.
<ul style="list-style-type: none"> ● Establish new/change customer on SAP system. 	Provide complete and signed customer form, or change of customer form.	2 Business Days.
<ul style="list-style-type: none"> ● Consult with court on accounting issues, guidelines and recommendations, troubleshooting. 	N/A	Same day.
<ul style="list-style-type: none"> ● Second level response to issues and/or areas of concern. 	N/A	Any issue not adequately resolved by Phoenix staff will be given to Phoenix Senior Manager for 24 hour expedited resolution. Issues or emergencies may also be elevated to the level of the Assistant Regional Director or Regional Director as necessary.

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<p><u>Accounts Payable Services</u></p> <ul style="list-style-type: none"> Phoenix processes AP on behalf of Court: Including direct invoices, travel expense claims, PO payments, jury payments, benefit payments, and ACH payments. Note: Direct invoices for this purpose is the same as trade payable payments, which are short term liabilities made to commercial entities, where there is no purchase order issued, and the terms are driven by custom and common industry usage, usually 30 days. It should be noted that in trade payables the services are usually rendered and the customer is billed after the fact, e.g. electric bill, while with a Purchase Order the PO represents written authorization requesting a vendor to furnish goods to the purchaser). The primary difference between Phoenix processing payments versus courts which are self-initiated and therefore processing their own payments is the data entry of approved payments into the accounting system. There are various other aspects, such as segregation of duties and internal controls that this area touches and concerns. 	<p>Ensure payment documents exist in accordance with existing procedures that correct vendor data has been established, and PO exists with adequate funds.</p>	<p>10 Business Days.</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<ul style="list-style-type: none"> ● Self-Initiated AP Courts that post payment documents and Jury Payments directly. Documents posted for payment, which are currently due, before 2:00 PM will generate a payment to be dispatched the next Business Day (i.e. Monday posting before 2:00 PM, will generate check that is mailed on Tuesday). Postings of payments documents, which are currently due, after 2:00 PM will generate a payment to be dispatched within two subsequent Business Days from the posting date (i.e. Monday posting after 2:00 PM, will generate payment that is dispatched on Wednesday). Please note dispatched refers to sending the payment, not the time accrued in the mail or on the side of the vendor to receipt and post the payment. 	<p>Ensure proper payment documents exist in accordance with existing procedures, and correct vendor data has already been established, and PO exists with adequate funds.</p>	<p>1 Business Day (before 2:00 PM).</p> <p>2 Business Days (after 2:00 PM). (This should be expanded to include processing and mailing; and also using FedEx when requested by the court). Courts should recognize dispatched means mailed since we cannot control USPS deliveries.</p>
<ul style="list-style-type: none"> ● Emergency Payments: Payment documents posted after 2:00 PM that need to be expedited for the same or next day dispatch require Court CFO or PJ approval (i.e. Monday posted document at 2:30 PM will generate a check that is dispatched the same day). 	<p>Court CFO or CEO (or designee) request via email Emergency Payment or Rush Trust Disbursement to Phoenix Senior Manager for approval. Emergency payments will be made only for bona fide emergencies and where payment documents exist in accordance with existing procedures, and correct vendor data has been established, and PO exists with adequate funds. For an emergency to be “bona fide” it must be an unplanned event or occurrence that would significantly hinder court operations and/or make the court liable to significant liability if no action was taken. The interpretation of “bona fide” will be left to Court management to decide what an emergency is.</p>	<p>Same or next Business Day, based upon request.</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<ul style="list-style-type: none"> ● Process 1099's (1099-MISC Forms). ● Process EDD Independent Contractor Reporting (DE542). 	<p>The Court has the best knowledge as to what an emergency is.</p> <p>Liabe court payment transactions have been properly marked liabe throughout the calendar year, and court vendor data is accurate.</p> <p>Reportable court payment transactions have been properly marked reportable throughout the calendar year, and court vendor data is accurate.</p>	<p>Jan. 31, based on calendar year.</p> <p>Within twenty (20) calendar days of either making payments of \$600 or more OR entering into a contract for \$600 or more with a contractor in any calendar year, whichever is earlier.</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<p><u>General Ledger, Analysis and Reporting</u></p> <ul style="list-style-type: none"> • Prepare Bank Reconciliations for Bank of America Operations, Trust, Distribution and UCF bank accounts. • Post AOC Monthly Allocations • Prepares the Comprehensive Annual Financial Report to the State Controller's Office. • Post Journal Entries submitted by court for reclassification or adjusting entries. • Review and upload annual budget on courts behalf. • Process Budget Modifications 	<p>Clear any reconciling items within 30 days of receiving notification of reconciling item.</p> <p>Approve journal entry within 3 days from receiving notification.</p> <p>Certify CAFR workbook and return to PSSC by the established due date each fiscal year.</p> <p>Journal entries must be received within one day of month closing to be posted in that month.</p> <p>Court must review and certify annual budget 15 days after budget has been uploaded</p> <p>Request can be given at any time but all modifications must be received within 30 days prior to the fiscal year end.</p>	<p>Prepare within 7 Business Days after month-end close.</p> <p>Post journal entry within 5 Business Days of bank transaction.</p> <p>Prepare and compile the CAFR reports on behalf of the courts and provide instructions and worksheets for court responsible reports as identified each fiscal year in the CAFR instructions.</p> <p>3 Business Days and within appropriate fiscal month</p> <p>Process annual budget within 20 days after final review from AOC Budget.</p> <p>5 Business Days after review by AOC staff.</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<p><u>Trust and Treasury Services</u></p>		
<p><u>Trust Services</u></p>		
<ul style="list-style-type: none"> ● Process Trust disbursements on behalf of the Court from receipt of certified disbursement template to check generation and mailing. 	<p>Provide correctly completed disbursement template and certification form to Phoenix via email or facsimile. Templates and certifications sent via e-mail must be sent by an authorized Disbursement Approver. Note: Disbursement Approver is defined as court personnel that is on the approved Authorized Court Disbursement Signers List and has been given proper authorization to approve such payments.</p>	<p>10 Business Days.</p>
<ul style="list-style-type: none"> ● Self-Initiated Trust disbursements. 	<p>Properly parked and posted payment documents exist in accordance with existing procedures.</p>	<p>1 Business Day (before 2:00 PM). 2 Business Days (after 2:00 PM).</p>
<ul style="list-style-type: none"> ● Trust Disbursements with Interest from receipt of certified disbursement template to check generation and mailing. 	<p>Provide correctly completed disbursement templates and certification forms to Phoenix via email or facsimile. Templates and certifications sent via email must be sent by an authorized Disbursement Approver. A Payee Data Record must also be provided if vendor not previously set up.</p>	<p>10 Business Days.</p>
<ul style="list-style-type: none"> ● Emergency or Rush Trust Disbursements: Disbursement documents posted after 2:00 PM that need to be expedited for the same or next day dispatch require Court CFO or PJ approval (i.e. Monday posted document at 2:30 PM will generate a check that is dispatched the same day). 	<p>Court CFO or CEO (or designee) request via email Emergency or Rush Trust Disbursement to Phoenix Senior Manager for approval. Emergency payments will be made only for bona fide emergencies and where payment documents exist in accordance with existing procedures, and correct vendor data has been established.</p>	<p>Same or next Business Day, based upon request.</p>
<ul style="list-style-type: none"> ● Process interest 1099's (1099-INT Forms). 	<p>Payee Data Records have been provided as requested.</p>	<p>Jan. 31, based on prior calendar year.</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<ul style="list-style-type: none"> ● Process court Trust deposits to the court BofA trust account and confirm with bank. ● Clear self-initiated Trust deposits from cash-in-transit account to cash account for centralized bank accounts. 	<p>Provide correctly completed deposit template to Phoenix via email or facsimile.</p> <p>Properly parked and posted deposit documents have been posted to the cash-in-transit account and deposit has been credited to bank account per the daily bank balance reporting.</p>	<p>5 Business Days.</p> <p>3 Business Days.</p>
<i>Treasury Services</i>		
<ul style="list-style-type: none"> ● Process court operating deposits to the court BofA operating account and confirm with the bank. 	<p>Correctly completed deposit template has been provided to Phoenix via email or facsimile.</p>	<p>5 Business Days.</p>
<ul style="list-style-type: none"> ● Posting of monthly interest allocations for Centralized bank accounts (Trust, Operations, Distribution and UCF accounts). 	<p>N/A</p>	<p>The 5th business day after month-end close.</p>
<ul style="list-style-type: none"> ● Processing of electronic funds transfers including Federal wire transfers, book transfers and manual ACH transactions via Bank of America Direct. 	<p>Provides correctly completed electronic funds transfer (EFT) form.</p>	<p>1 Business Day (Next Business Day if delivered before 4:00pm of prior Business Day).</p>
<ul style="list-style-type: none"> ● Posting of electronic funds transfers. 	<p>Provides correctly completed electronic funds transfer (EFT) form also indicating correct value date.</p>	<p>3 Business Days.</p>
<ul style="list-style-type: none"> ● Clear self-initiated deposits from cash-in-transit account to cash account for centralized bank accounts. 	<p>Properly parked and posted deposit documents have been posted to the cash-in-transit account and deposit has been credited to bank account per the daily bank balance reporting.</p>	<p>3 Business Days.</p>
<ul style="list-style-type: none"> ● Process vendor abatements. 	<p>The correctly completed deposit template has been provided to Phoenix via email or facsimile.</p>	<p>5 Business Days.</p>
<ul style="list-style-type: none"> ● Provide Daily Cash Report Note: Contingent on Bank systems & Holiday schedules. 	<p>N/A</p>	<p>1 Business Day (Daily for prior Business Day).</p>

Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
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Phoenix Financials

Service Level Agreement (October 2008)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i>	<i>Shared Services Center Maximum Turnaround Times</i>
<p><u>Procurement Services</u></p> <p>At the court's request:</p> <ul style="list-style-type: none"> ● Solicit bids for Courts (as requested). ● Contract assistance, including review, drafting, and negotiating. ● Create purchase orders for Virtual Buyers Courts. ● Resolution of CARS MM technical issues. ● Review and release purchase orders over \$10,000.00. 	<p>Court responsibilities: provide AOC with Scope of Work, suggested bidder list, evaluation criteria and desired project completion date.</p> <p>Court responsibilities: provide AOC with contract and all related documents and vendor contact information.</p> <p>Court responsibilities: provide AOC with copy of complete and authorized purchase requisition.</p> <p>Court responsibilities: provide complete description and information related to technical problem.</p> <p>Court responsibilities: purchase order must be created from an approved purchase requisition and have followed the basic input requirements.</p> <p>*In order to keep all financial records in accordance with California budgetary requirements, GAAP, and other provisions required by Federal grants or other agreements, material financial information not provided by courts administration to accomplish this end will be requested directly from the courts CEO/CFO. Any penalties and fines incurred by the AOC related to incorrect or incomplete financial data may be passed directly to the court responsible.</p>	<p>An estimated timeline for the solicitation will be provided within 3 days.</p> <p>2 Business Days-3 weeks (depending on complexity of and availability of court personnel). Does not include time for OGC review, if required.</p> <p>1-2 Business Days.</p> <p>1 Business Day to respond.</p> <p>1-2 Business Days. This process is dependent on court staffing and therefore does not apply to all courts.</p>

**AGREEMENT BETWEEN
THE JUDICIAL COUNCIL OF CALIFORNIA,
ADMINISTRATIVE OFFICE OF THE COURTS AND
THE SUPERIOR COURT OF CALIFORNIA, COUNTY OF «COURT»
FOR THE PROVISION OF**

PHOENIX HUMAN RESOURCES AND PAYROLL SERVICES

I. PURPOSE

This agreement (“Agreement”) including its schedule and attachments outlines the understanding between the Judicial Council of California, Administrative Office of the Courts (AOC) and the Superior Court of California, County of «Court» (Court) related to the provision of certain services to the Court relating to the Phoenix Human Resources and Payroll system implemented for the Court.

This agreement shall be effective as of «Effective_Date» (“Effective Date”).

II. PARTIES

The signatories to this agreement are Ms. Jody Patel, Regional Administrative Director, as the authorized signatory for the AOC and «CEO», the Court Executive Officer of the Superior Court of California, County of «Court», as the authorized signatory for the Court.

III. BACKGROUND

Since the implementation of the Trial Court Funding Act of 1997 (Assembly Bill 233; Stats. 1997, ch. 850), which transferred funding responsibility for the Superior Courts from the individual counties to the State of California, the branch has focused on coordinating and integrating its administrative functions and improving the technology that supports court operations. Based on those goals the technology infrastructure project “Phoenix Human Resources” is currently being deployed statewide to all courts to provide centralized human resources administration and payroll processing that allows for more uniform, consistent, and cost-effective administration of trial court operations.

IV. SERVICES DESCRIPTION

Phoenix Human Resources is a centralized human resources management system that currently provides the following areas of services (“Services”) to courts once they have been implemented on Phoenix Human Resources:

- Human Resources Data Administration
- Payroll Processing Services
- Payroll Tax Administration

- Training and Events
- ESS (Employee Self Service)
- MSS (Manager Self Service)

The AOC may provide the Court the services listed above at the service levels identified in the attached standardized *Service Level Agreement Schedule* (SLA Schedule) document.

V. RESPONSIBILITIES

The AOC may provide the services at the levels specified to the Court as defined in the SLA Schedule. The Court shall allocate the resources and perform the responsibilities set forth in the SLA. Responsibilities outlined in the SLA Schedule, for both the Court and the AOC, are based only to modules and/or functionality that the Court has implemented.

VI. NOTICES

Any formal notice or communication required to be sent to a party pursuant to this agreement shall be sent in writing by First-Class U.S. Mail or commercial express mail to the street address of the Authorized Signatory of the party, which notice shall be effective upon date of receipt. Routine exchange of information regarding the Services may be conducted by email or fax.

The Court Authorized Signatory is

«CEO»
Court Executive Officer
Superior Court of California, County of «Court»
«Address»
«City», CA «Zip_Code»
Voice «Phone»
Fax «Fax»
Email «Email»

The AOC Authorized Signatory is

Ms. Jody Patel
Regional Administrative Director
Administrative Office of the Courts
2880 Gateway Oaks Drive, Suite 300
Sacramento, CA 95833-3509
Voice (916) 263-1333
Fax (916) 263-1966
Email jody.patel@jud.ca.gov

VII. EFFECTIVE DATE

The Services provided will commence «Effective_Date». The services to the Court will continue to automatically renew on its anniversary date until the parties agree to any modification or changes to this agreement.

VIII. QUALITY ASSURANCE

If the AOC fails to perform any of the service levels under this Agreement based upon a commercially reasonable standard of care, the AOC shall within 30 days of receipt of notice from the Court to develop and implement a Corrective Action Plan and report such plan to the Court. If the Corrective Action Plan fails to materially resolve the problem within a reasonable time (not less than 60 days) after implementation, the Court may escalate resolution of the problem by requesting a resolution meeting between the Court CEO and the Project Director over the Phoenix Project. If the issues(s) are not resolved at that meeting, the Court CEO can request a resolution meeting with the Chief Deputy Director, Administrative Office of the Courts. This procedure shall be the Court’s sole and exclusive remedy in connection with any failure of the AOC to meet the service levels contained in this Agreement.

IX. SIGNATURE AUTHORITY

The individuals signing this MOU on behalf of the AOC and the Court certify that they are authorized to do so.

I have read the entire agreement and agree to its terms and conditions.

Administrative Office of the Courts
Authorized Signature

Superior Court of California, County of «Court»
Authorized Signature

by

by

Name: Jody Patel
Title: Regional Administrative Director,
AOC

Name: «CEO»
Title: Court Executive Officer, Superior
Court of California, County of «Court»

Date _____

Date _____

DRAFT
Phoenix Human Resources/Payroll
Service Level Agreement (April 2010)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i> <i>N/A No Court Responsibility</i>	<i>TCAS Maximum Response/ Resolution Timeline*</i> <i>N/A No TCAS Responsibility</i>
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<u>General Services</u>		
Respond to calls/questions from the court	N/A	Same day
Consult with court on human resources/payroll issues, guidelines and recommendations, troubleshooting.	N/A	Same day
Second level response to issues and/or areas of concern	N/A	Any issue not adequately resolved by Phoenix staff may be given to Phoenix Supervisor of HR Payroll for 16 hour expedited resolution or if financial related Supervisor of FI Payroll. Issues may also be elevated to the level of the Senior Manager over FI and HR Payroll SSC or the Director of TCAS as necessary.
Changes to existing applications	Provide requirements of the changes on the Support Request Form	Issue will be opened within one working date of receipt of form. Monthly reports of open items will be submitted to court contact. Requestor will be updated when issue closed.
Establishment of new applications	Provide requirements on a Support Request Form	Issue will be opened within one working date of receipt of form. Monthly reports of open items will be submitted to court contact. Requestor will be updated when issue closed.
<u>Master Data Administration</u>		
New, changes and delimiting of employee Master Data including: bank details, tax data, personal data, communications, basic pay, planned working time, organizational assignment, addresses, date specifications, recurring payments/deductions, any other relevant data as determined.	Process up to 5 business days prior to payment date	N/A
ASA (Advance Step Adjustment) Processing	Properly update Master Data 5 business days prior to payment date	N/A

Business Day is defined as Monday through Friday and adjusted for Court/Banking holidays. The counting of Business Days starts the subsequent Business Day after the court meets its requirements, unless it is stated as "same day", then counting begins on the same day requirements are met by the court.

All data/time entries should be submitted or processed as soon as available, submissions and processing should not be "held".

*Based on normal payroll processing activities, Timeline and response time may be adjusted for extraordinary processing e.g.; reorg of Court, MOU compliance etc. Also, all activities will follow established processes and procedures.

DRAFT
Phoenix Human Resources/Payroll
Service Level Agreement (April 2010)

<i>Category Definition</i>	<i>Requirements by Court to Meet Timelines*</i> <i>N/A No Court Responsibility</i>	<i>TCAS Maximum Response/ Resolution Timeline*</i> <i>N/A No TCAS Responsibility</i>
Compensation (Advance Step/Level)	Update Master Data 5 business days prior to payment date	N/A
EEOC Reporting	Review and update records by 8/31. Court will submit the final report to the EEOC	Court will be provided with report <u>prior</u> to submittal for review and approval. No later than deadline established by government entity
<u>Employee Action Processing</u>		
Actions not resulting in Off-Cycle request including: direct hire, rehire, transfer, change in pay, leave of absence, return from leave of absence, promotion/demotion, organizational change, reclassification, benefit status, personal data change, 30 yr. retirement cutoff.	Process up to 5 business days prior to payment date	N/A
Termination	As required by labor law; Submit Off-Cycle Request (OCR) form by 11:00am	Same day OCR form is received
Retirement	Up to 2 business days prior to retirement date; Submit Off-Cycle Request form by 11:00am by day check is needed	Same day OCR form is received
FMLA Workbench	10 business days following payment date	N/A
<u>Organizational Administration</u>		
New, changes and delimiting of Master Data changes to organizational objects including; reclassifications, organizational unit, job class, and position.	Submit completed Organizational Action Request (OAR)) form	5 business days from receipt of OAR form
Reorganization of Court organizational structure	Submit completed OAR form and supporting documentation	20 business days from receipt of OAR form

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COLA and/or ASA pay structure changes	Submit completed OAR form and supporting documentation	20 business days from receipt of OAR form
<u>Benefits Administration</u>		
Maintain employee elections including: health, insurance and savings.	Process up to 5 business days prior to payment date	N/A
New Hire Enrollment	Process within 30 calendar days of date of hire	N/A
Benefit Invoice Validation	Court will complete a comparison of employee master data to vendor invoice within 15 business days of receiving the billing and prior to payment	N/A
Benefit Reconciliation review and resolution	For courts that complete a monthly reconciliation themselves, the reconciliation should be completed within 15 days after the generation of the last payroll of the month Resolution of reconciliation variances should be initiated within 30 calendar days of completion or receipt of the benefit reconciliation	Complete a monthly reconciliation after the generation of the last payroll of the month and submit to court for resolution within 15 business days
Benefits Plan Maintenance	Provide requirements and/or contribution changes on the Support Request Form	30 business days from receipt of requirements
Establishment of new benefit plan	Provide requirements on a Support Request Form: plan type, eligible employee group(s), employee/employer contribution, wage type request	45 business days from receipt of requirements
<u>Time Administration</u>		
ESS Time Administration	Daily with all time entered no later than 4:00 pm 5 business days prior to payment date	N/A
MSS Time Administration	Daily with all time approved no later than 4:00 pm 5 business days prior to payment date	N/A

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Time Transfer	N/A	During the payroll process and nightly
Time Evaluation Processing	Run Time Evaluation and verify payroll results immediately after inputting all corrections	During the payroll process and nightly
Time Correction	Process up to 5 business days prior to payment date	N/A
Time Quota Corrections	Process up to 5 business days prior to payment date	N/A
Leave Payouts	Up to 5 business days prior to payment date; Court will process all instances under 20 employees manually For instances of 20 employees or more, court will prepare upload template to be processed by SSC	Process 20 or more leave payouts upon request from the court All leave payouts will be processed prior to payment date.
<u>Payroll Administration</u>		
Leave Integration including: Workers Compensation and Disability	Process up to 5 business days prior to payment date	N/A
Garnishment	Submit documentation to HR SSC within 1 business day of receipt of garnishment order	Within the required timeframe of the garnishment order
One Time/Recurring Payments/Deductions	Process up to 5 business days prior to payment date	N/A
Payroll Check Stop Payment & Replacement	Submit Stop Payment & Replacement Form to HR SSC same day as requested from the court	FI PY SSC will process immediately from the date of receipt. Bank turnaround may take up to 48 hours
Revolving Fund Checks	Setup Master Data to off-set Court FI Revolving Fund Check. Complete the OCR form and submit to HR SSC same day upon issuances of revolving fund check.	Same day, if received by 11:00 am.

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Claims Administration	All claims must be cleared before finalizing payroll. Collections through an A/R needs to be established 5 business days after the finalized payroll period	N/A
Deceased EE Processing	Notify HR SSC within 2 business days; Submit Vendor request information for FI and Submit Off-Cycle Request form by 11:00am the day check is needed	HR SSC shall process the OCR form once the vendor request has been completed in the Phoenix system by the day the check is needed.
Payroll Processing		
Time Pre-Processing Validation	5:00pm 5 business days prior to payment date	N/A
Compensation and Final Pre-Processing Validation	5:00pm 4 business days prior to payment date	N/A
Payroll Processing	N/A	3 business days prior to payment date
Direct Deposit Processing	N/A	3 business days prior to payment date
Off-Cycle Request	Submit Off-Cycle request by 11:00am	Same day OCR form is received by 11:00am
Special Payment	Submit Off Cycle Request Form to HR SSC including; payment type, wage type request form (if applicable), employee group	No more than 30 business days from receipt of request
Payroll HR Reconciliations	N/A	457 – by pay day Retirement - 7 business days after payroll finalized
Payroll FI Reconciliations	Submit Support Request within five (5) business days of receiving the payroll posting reconciliation, when appropriate.	After each payroll (regular or off cycle), complete a payroll posting reconciliation and submit to court within two (2) business days
Tax Deposits	N/A	No later than deadline established by government entity
New Hire Reporting	N/A	No later than deadline established by government entity

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Regular Payroll Distribution	N/A	Print and distribute two (2) business days prior to payment date
Posting to GL	N/A	No later than payment date
Quarter-End Filings	N/A	Court will be provided with a copy of filings once submitted. Filings will be sent to the appropriate authority no later than deadline established by the government entity
W-2 Reconciliation and Distribution	Court will review and respond to report within 10 business days of receipt from SSC.	Court will be provided with report for review and approval <u>prior</u> to submittal to the appropriate authority and no later than deadline established by government entity
Year-End Filings	N/A	Court will be provided with a copy of filings once submitted. Filings will be sent to the appropriate entity no later than deadline established by the government entity

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