Resource Assessment Study (RAS) Overview

AB 1058 Funding Allocation Joint Subcommittee

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The Nuts and Bolts of the RAS Model

Components of Model

- To construct caseweights (number of minutes of staff time per filing), data are needed from:

  - Staff time study survey

  - Supplemental survey

  - Delphi groups

Staff Time Study

- Courts volunteer to participate based on WAAC recruitment efforts

- Operations/case processing staff

- Random moment methodology

- Case activity is captured from pre-filing to post-disposition

Staff Time Study (cont.)

- Supplemental survey to capture contractor/volunteer work

- Data cleaning and validation with study courts

- Process results in preliminary caseweights

Time Study Survey: Notification E-mail
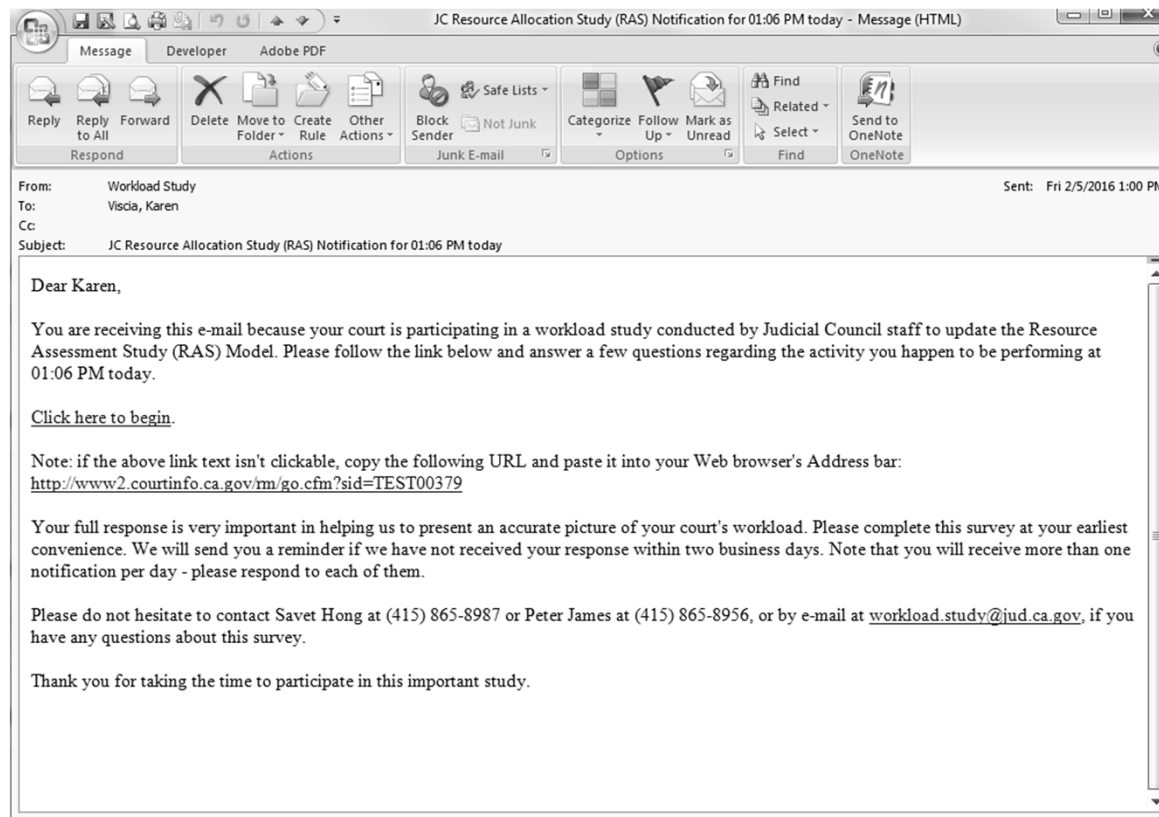
Time Study Survey: Q1 & Q2

JUDICIAL COUNCIL OF CALIFORNIA
2016 Workload Study

This response is related to your work activity performed on **Friday, February 5, 2016 at 9:10 PM**

Q1: Were you doing case processing work, clerical/administrative tasks, or something else?

○ 01 Case related activities

If you select one of the following options, you will be finished with the survey once you click "continue."

○ 02 Warrant processing

○ 03 Jury administration (summoning, conducting orientation, payroll)

○ 04 General customer service not related to a case

○ 05 Clerical duties (e.g., phone and e-mail not associated with customer service, mail sorting and processing, maintenance of office equipment)

○ 06 General administration (e.g., statistical and grant reporting, grant writing, fiscal work, maintaining cash drawer/till, local rules)

○ 07 Supervisory, personnel, HR-related functions (e.g., timesheets, performance evaluations, conferring with supervisors and other staff)

○ 08 Training/professional development

○ 09 Work-related meeting

○ 10 Work-related travel between court locations

○ 11 Not working - Lunch, break

○ 12 Not working - Vacation, sick leave, absent

○ 99 Other, specify: _____

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1 2 3 4 5 6 7

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2016 Workload Study

Q2: What type of case were you working on?

○ 01 Criminal, Traffic

○ 02 Civil

○ 03 Probate, Conservatorship, Guardianship

○ 04 Mental Health (e.g., LPS conservatorship, certification to detain and treat, mental competency)

○ 05 Family Law

○ 06 Juvenile Delinquency

○ 07 Juvenile Dependency

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1 **2** 3 4 5 6 7

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Time Study Survey: Q3 & Q4

Time Study Survey: Q5 & Q6

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2016 Workload Study

Q5: What task were you doing?

05 Courtroom Support (including work outside of courtroom)

○ 0501 Docket/calendar management- take roll; check in parties; call parties; swear in witnesses; schedule hearings

○ 0502 Minutes- take minutes or notes of court actions; enter into case management system

○ 0503 Clerical support- correspondence; printing or copying documents for parties; other clerical work

○ 0504 Clerical support- schedule interpreter

○ 0505 Exhibits and subpoenaed documents- receive, mark, and/or file; meet with records team, review exhibits list

○ 0506 Bench warrants- issue/recall bench warrant; update case management system

○ 0507 Order/motion/judgment- prepare; process

○ 0508 Electronic recording- operate equipment; do readbacks to clarify minutes; prepare audio record of minutes

○ 0509 Audit reporter transcripts for pre-trial hearings in death penalty cases- review for compliance with CRC 8.144, tag pages for corrections, notify reporter of corrections, process invoices and approve payments for transcripts

○ 0599 Other, please specify: _____

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1 2 3 4 **5** 6 7

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2016 Workload Study

Q6: Is the task selected in #5 related to a hearing?

No:

○ 00 Not related to a hearing

Yes:

○ 01 Status conference/case management conference

○ 02 Pre-trial hearing (including trial-setting conference, readiness hearing)

○ 03 Law and motion hearing (calendar)

○ 04 Civil harassment/gun violence restraining order hearing

○ 05 Settlement Conference

○ 06 Bench Trial

○ 07 Jury Trial

○ 08 Small claims court trial

○ 09 Post-judgment hearing

○ 10 Ex parte hearing

○ 11 Appeal or appeal-related hearing (e.g., settling the record)

○ 99 Other, please specify: _____

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1 2 3 4 5 **6** 7

Time Study Survey: Q7

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2016 Workload Study

Q7: Was the case processed or task performed associated with a collaborative justice court, specialized program, or special case characteristics?

- 00 No, not associated with a collaborative justice court, specialized program, or special case characteristics
- 01 Informal and Juvenile Traffic Court Program
- 02 Delinquency drug court
- 03 Youth/peer court
- 04 Mental health court
- 05 Domestic violence court
- 06 Truancy court
- 07 Reentry court
- 08 Sexually exploited youth/CSEC court
- 09 Boys' Court or Girls' Court
- 10 241.1/dual status
- 11 AB 12/non-minor dependent
- 99 Other collaborative justice court/specialized program/case characteristics, please specify:

[<< go back] [submit survey >>]

Reporting of Family Law Activities: Case Type

- Case types: marital, DV, DCSS, parentage, other

- Consistent with JBSIS definitions:

  - DCSS includes cases initiated by filing of FL-600 or FL-650, as well as any petitions filed under UIFSA or by registration of an interstate support order

  - Work on child support matters filed within another existing family law case is counted separately from, for example, work on the related dissolution

Reporting of Family Law Activities: Tasks (1 of 5)

- Case Initiation and Case Processing

  - Process new and subsequent filings, transfer cases in or out, conduct criminal background checks, process warrants

- Calendaring and Caseflow Management

  - Set hearing dates, prepare files for court, conduct status conferences, prepare notes for judicial officer

Reporting of Family Law Activities: Tasks (2 of 5)

- Case Monitoring and Enforcement

  - Review files for case status, monitor compliance with court orders

- Legal and Professional Judicial Support

  - Custody mediation/CCRC, evaluation investigation, non-custody mediation, legal research, pro tem functions

Reporting of Family Law Activities: Tasks (3 of 5)

- Courtroom Support

  - Docket management, minutes, clerical support, preparation of orders

- Judgment/Post-judgment/Appeals

  - Process orders/judgments (including rejections), DVRO reporting to law enforcement, process dismissals, clerical and transcript work re: appeals

Reporting of Family Law Activities: Tasks (4 of 5)

- Fees and Payments

  - Collect fees and payments, set up and track payment plans

- Records Management/File Maintenance

  - Filing, imaging, records requests, records sealing, exhibits

Reporting of Family Law Activities: Tasks (5 of 5)

- Self-help/General Assistance/Misc.

  - One-on-one assistance, workshops, courtroom assistance

  - Provision of legal information, assistance to justice partners

  - Data and statistical reporting

Supplemental Survey

- Unpaid staff: volunteers, interns, others

- Retired annuitants

- Contractors

- Staff who did not participate in the study

Delphi Groups

- Subject matter expert groups by case type

  - Not limited to study courts

- Caseweights disaggregated into component tasks for further analysis of sufficiency of time

  - Supplemental data collection to estimate task frequency

Delphi Groups (cont.)

- Time may increase OR decrease based on group input

- Process results in quality-adjusted caseweights

Estimating FTE Staff Need: Operations/Case Processing Staff

- Caseweight: minutes per filing

- Caseweight x 3-year average filings = total minutes per year to handle caseload

- Total minutes per year ÷ available staff time per year = # of FTEs

Estimating FTE Staff Need: Total RAS Need

- Total RAS need includes managers/ supervisors and court administration, who do not participate in time study survey

- Need estimated using ratios based on Schedule 7A data, by court cluster

  - Managers/supervisors to operations staff

  - Court administration to managers/supervisors and operations staff

Details of 2016 RAS Update

Time Study Courts

- Amador
- Contra Costa
- El Dorado
- Fresno
- Humboldt
- Lake
- Los Angeles
- Merced

- Orange
- Placer
- Sacramento
- San Diego
- San Francisco
- Solano
- Ventura

Survey Stats

- 4,100 court staff

- 1 to 5 e-mail notifications per person per day

- Study period 8 to 20 workdays

- 124,000 total notifications sent

- 96% overall response rate

Current Status of RAS Update

- Staff time study complete

- Supplemental survey complete

- Site visits to review and validate data with study courts are underway

- Delphi groups to be held in the fall

- Final results to Judicial Council in spring 2017

Questions?

Budget Allocation

Factors and Methodologies

Alisha Griffin, Director
California Department of Child Support Services

Topics of Discussion

Budget Allocation Methodology (BAM) Committee

Purpose	Objectives

Analytical Process

Research and Prioritization	Maximus Findings

Model Factors

Proposed Factors	Rejected Factors

Sample Models

Model 1 Sample	Model 2 Sample

Next Steps

EDP Allocation	New Committees

Purpose

- LCSAs and DCSS to work collaboratively in reviewing options for a budget allocation methodology.

- Ensure strong fiscal stewardship of the child support program.

- Collect the information and suggestions necessary to allow a decision to be made on budget allocations.

Objectives

1. Develop one or more methodologies for consideration by the DCSS Director.

   1. Include Funding for Shared Services
   2. Consider the new Court AB1058 funding methodology.

2. Review the LCSA EDP allocation methodology to determine if changes should be made.

3. Assist with drafting a proposal for increased LCSA funding
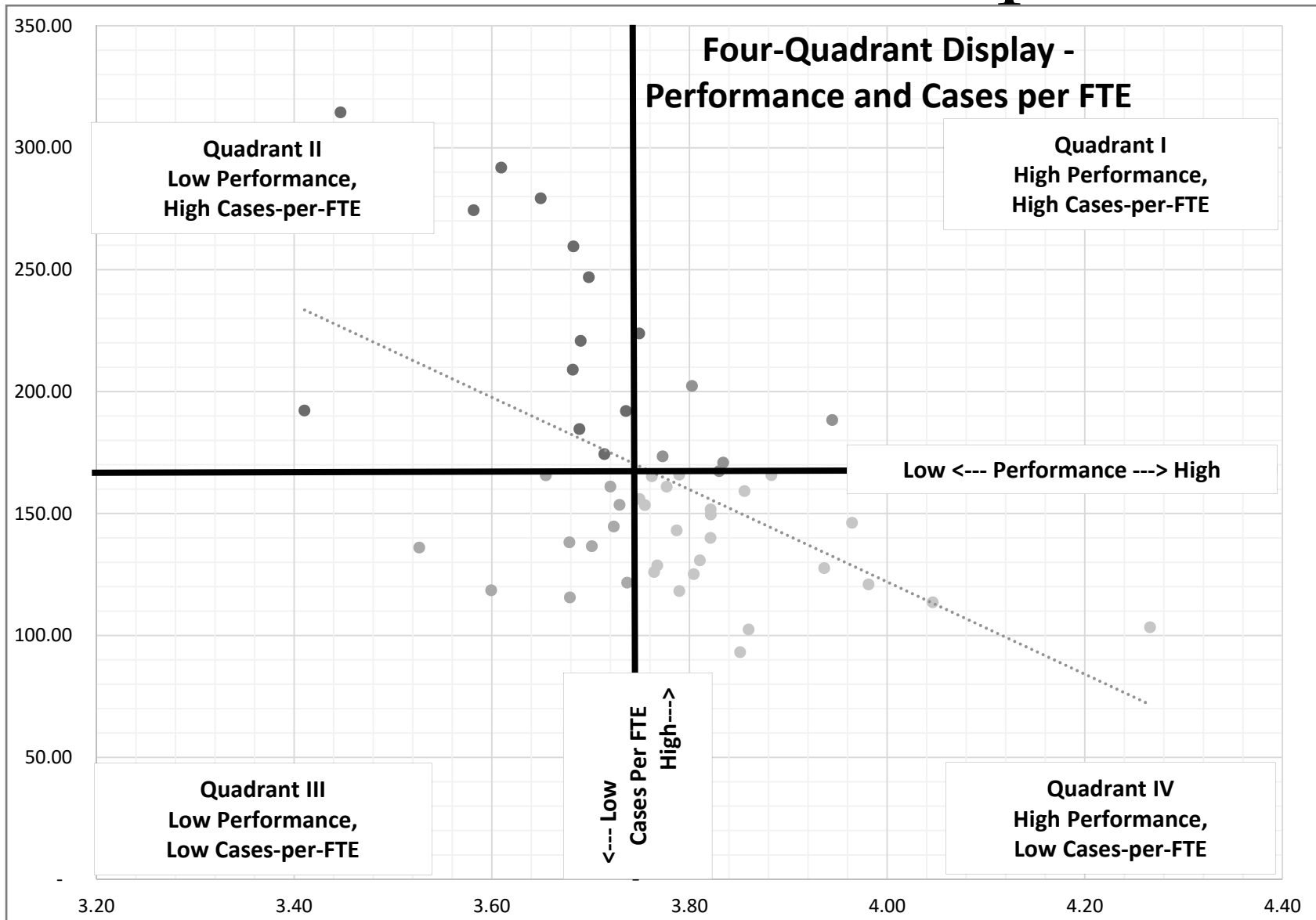
Analysis Process

Budget Data
Environmental Data
Performance Data
Maximus Findings

Performance and Cases per FTE

Model Factors

Proposed Factors

Rejected Factors

Proposed Factors

1. **Base allocation** - Established either by FTE to case ratio or by dollars per case.

2. **Performance** – Uses Cost Effectiveness, an averaging of the four FPMs, and/or a weighted total collections measurement.

3. **Disparity in Costs** – Accounts for the difference in salary costs between counties.

4. **Challenging Circumstances** – Uses current and former caseloads as a measurement for caseload difficulty.

5. **Shared Services** – funds shared services specifically

6. **Special Circumstances** – Provides funding for counties with unique circumstances.

Rejected Factors

- **Poverty Rates** – Uses county poverty rates as a way to determine counties with challenging circumstances.

- **Total Collections** – Unweighted total collections was a less accurate county comparison than weighted collection totals.

Caution

Independently, factors may seem unfair to some counties and beneficial to other counties.

Only when joined together do the factors overcome their individual negatives.

Base Allocation – FTEs to Caseload

Positives

- Evidence indicates that lower FTE to caseload ratios result in better performance.

- Equals out the number of staff managing caseloads regardless of the cost for the employees

Negatives

- The number and level of FTEs in a county are determined by the county.

- Economies of scale are not accounted for.

- Could result in artificially inflated caseloads.

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Base Allocation – Dollars per Case

Positives

- Ensures every case receives the same amount of funding as every other case in California

Negatives

- Equal funding per case doesn't result in equal levels of service since the average cost per employee isn't equal.

- Could result in artificially inflating caseloads.

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Performance – Cost Effectiveness

Positives

- Stresses efficient organizations.

- Easy for stakeholders to support.

Negatives

- Only one performance indicator.

- Counties with higher orders typically have higher cost effectiveness rates.

- Counties differ in service delivery models /innovations that cost effectiveness does not account for.

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Performance – 4 Averaged FPMs

Positives

- Stresses good performance in multiple areas of the organization.

- Demonstrate to stakeholders that performance results are important.

Negatives

- Gives equal weight to all the FPMs.

Performance – Weighted Total Collections

Positives

- Levels the playing field for counties with lower average order amounts per case and high current/former caseloads.

Negatives

- The "weights" may not accurately reflect the level of effort or funding necessary to handle current and former cases.

Demographics – Disparity in Costs

Positives

- Ensures LCSAs are not penalized for a county's higher than average cost of living

- Promotes equity in service delivery

Negatives

- Factor only applies to a handful of LCSAs

- A high disparity of costs does not equal above average customer service or performance

- Will increase over time as counties give raises across job categories. This has the outcome of higher increases in allocation for high cost counties at the expense of counties without increasing wages if additional funding is not provided to the program.

Demographics – Challenging Circumstances

Positives	Negatives
• "Equals the playing field" for historically underfunded LCSAs	• Affects less than 1/3 of LCSAs
• Provides additional funding for more difficult to collect assisted and former assisted cases	• Additional funding does not guarantee improved customer service or performance

Demographics – Special Circumstances

Positives	Negatives
• Provides a mechanism to uniquely fund targeted counties for special situations.	• Could be viewed as arbitrary funding. • Could be perceived as circumventing the model formula.

Moving Forward

Operationalizing a Model

Model Comparison

(Constructing)

Model 1	**Model 2**
• Mathematically merges all the factors and then apportions out each counties part of the whole	• Mathematically establishes a base, then modifies the base up or down based on additional factors
• Emphasizing Weighted Collections and FTE to caseload ratios	• Emphasizing Disparity in Costs and Allocation per case
• Stays true to the factors	• Gives some flexibility

Final Model

Not yet determined

What isn't In Model 1

- **Shared Services** – The cost for shared services should be accounted for separately.
  - o Once done, this model takes the remaining balance allocation and spreads it out equitably based on these factors.

- **Weighted factors** – In this sample, all factors have different weight vs each other.
  - o That doesn't have to be the case. BLOS could be weighted less and Disparity in Costs more. Weighted collections most of all or less. This decision depends on which factors we want to emphasize more.
  - o This decision is based on the philosophy behind the model

Operationalizing a Model

- Glide path over time towards whatever model is chosen.
  - Percentage change over time
  - Event Horizon – even as you approach your goal, the factors change

- Discussions about shared services and increased funding for the program.

- Finalizing an EDP allocation methodology

Current Status

- Models under review
  - additional research with analysis proposed

- Workgroups established
  - shared services – efficiencies
  - funding framework – strategies & models

- Interim methodology

Questions?