



Judicial Council of California · Administrative Office of the Courts

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: December 13, 2011

Title	Agenda Item Type
Judicial Branch Administration: Report from the Judicial Council's Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch (No Action Required)	Information Only
	Date of Report
	November 4, 2011
Submitted by	Contact
The Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch	Althea Lowe-Thomas, 415-865-4987
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Executive Summary

This is an informational report by the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch (A & E Committee) on their preliminary review of the core functions, funding levels and sources, and staffing of Administrative Office of the Courts (AOC) divisions; and identification of collaborative efforts among divisions.

Previous Council Action

At the August 26, 2011 business meeting, the Judicial Council requested the A & E Committee begin a structural and fiscal review of the AOC divisions and report back to the council at its next educational meeting on key findings to date.

Methodology and Process

The A & E Committee was created in June 2010 by former Chief Justice Ronald M. George in order to promote transparency, accountability, efficiency, and understanding of the AOC and the judicial branch. The advisory committee fosters the best use of the work, information, and recommendations provided by the AOC, and it promotes increased understanding of the AOC's

mission, responsibilities, accomplishments, and challenges. The A & E Committee is charged with reviewing and recommending on budget change proposals for the AOC, changes in the annual compensation plan for the AOC, financial audit reports for judicial branch entities, making recommendations on any practices that will promote efficiency or improve financial accountability in the Judicial Branch, and advising on other issues related to the committee charge as requested by the Chief Justice, Judicial Council, or the Administrative Director of the Courts.

The AOC consists of 13 divisions and the Executive Office which currently has two major units, Office of Communications and Office of Emergency Response and Security. The A & E Committee met on September 1 and 2, 2011 and received presentations from the AOC division directors (or their representatives) about AOC division organizational structure, core functions, services provided, and fiscal and position summaries. An overview of the Executive Office was presented during a follow-up conference call on October 7, 2011.

The committee formed an Education Subcommittee to further study each AOC division's five-year budget summaries by funding source and program/project, and staffing levels by division, including full time employees, and temporaries. The Education Subcommittee met three times by telephone and has reviewed and discussed the following materials which are included as Attachments 1 through 16 to this report:

- AOC Historical Human Resources Metrics Summary (2006-2011) – includes information by division or unit on authorized positions, vacancy rates, full time employees, and 909¹ and agency temporaries.
- Division overview materials, organizational charts, and five year fiscal summaries by division or unit (fiscal years 2006-2007 to 2010-2011).

Education Subcommittee members also conducted brief follow-up interviews with AOC Directors prior to the council meeting.

Attachments

1. AOC Historical Human Resources Metrics Summary (2006-2011)
2. Combined Five-Year Fiscal Summary of all AOC Divisions
3. Executive Office
4. Office of Communications (OC)
5. Office of Emergency Response and Security (OERS)
6. Regional Office

¹ The 909 category is the State Controller code the AOC uses to reference a temporary position or a temporary employee. These positions are not generally funded through the Budget Act and are categorized as temporary positions used in the absence of an authorized position. This may include retired annuitants and grant funded employees.

7. Center for Families, Children, and the Courts (CFCC)
8. Court Case Management System Program Management Office (CCMS-PMO)
9. Court Programs and Services (CPAS)
10. Education Division/Center for Judicial Education and Research (EDUC)
11. Finance Division (FIN)
12. Human Resources Division (HR)
13. Information Services Division (IS)
14. Office of Court Construction and Management (OCCM)
15. Office of the General Counsel (OGC)
16. Office of Governmental Affairs (OGA)
17. Trial Court Administrative Services Division (TCAS)

AOC Historical Human Resources Metrics Summary (2006–2011)

AOC Historical HR Metrics Summary

YEAR (at 6/30)	Total # of Authorized Positions (FTE)	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees	Headcount Total
2006	811.80	653.33	19.5%	667	33	700
2007	903.40	749.78	17.0%	758	64	822
2008	970.83	790.58	18.6%	803	60	863
2009	1042.72	891.9	14.5%	900	46	946
2010	988.00	862.46	12.7%	873	43	916
2011	992.33	834.66	15.9%	842	36	878
11/15/2011*	992.33	792.06	20.2%	802	27	829

* totals do not reflect a remaining 4 FTE expected to separate the AOC by the end of November 2011 due to acceptance of the Voluntary Separation Incentive Program

Definitions:

Authorized Position (FTE)

Authorized positions include all regular ongoing positions approved in the Budget Act for that year. The number is based on the position's approved full time equivalency.

Filled Authorized Position (FTE)

Filled authorized positions are the number of authorized positions filled based on the employee's full time equivalency.

Vacancy Rate (FTE)

Vacancy Rate is calculated by dividing the number of authorized positions by the number of vacant authorized positions. This number excludes AOC temporary employees ("909" funded employees). See definition of AOC temporary employees below.

Full Time Equivalency (FTE)

Full Time Equivalency is the number of total maximum compensable hours designated in a year divided by actual hours worked in a year. For example, the work year for the AOC is defined as 2,080 hours; one employee occupying a paid full time job all year would consume one FTE. One employee working for 1,040 hours each would consume .5 FTE.

Regular Employee

Commonly referred to as "permanent employees" – They receive full benefits.

AOC Temporary Employees (909)

The "909 category is the State Controller code the AOC uses to reference a temporary position or a temporary employee. 909 Position - it is a position that may not be funded through the Budget Act and it is categorized by the Office of the State Controller as a temporary position used in the absence of an authorized position. 909 positions may be occupied by regular full-time employees due to the unavailability of an authorized vacant position. 909 Employee - An employee whose salary is not funded through the Budget Act. 909 employees may receive benefits if employed at least half-time and the term of employment is for more than six months. Types of "909" Temporary Employees include: Retired Annuitants: A retired annuitant is a retiree who is hired by his or her former employer or by another employer that participates in the same retirement system as the former employer. This includes a former participant in a state retirement system who has previously retired and who is currently receiving retirement benefits. Temporary: Employees employed by the AOC on a temporary basis - they do not receive full benefits (but do receive CalPERS retirement service credit).

Headcount

The actual count of persons employed by the AOC, regardless of FTE. This number could be more than the FTE count due to part-time employees being counted as "1". This count does not include Employment Agency Temporary Workers.

Employment Agency Temporary Worker

These are workers from an employment agency. They are employees of the employment agency, not the AOC, but provide short-term support for AOC workload.

AOC Historical Vacancy Rates and Headcount

By Division

2005-2011

at 6/30/2006

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	27.80	23.25	16.4%	23	2
OGC	77.10	64.95	15.8%	66	3
OGA	13.00	11.80	9.2%	12	0
CFCC	70.00	59.00	15.7%	62	15
EDU	85.50	79.85	6.6%	82	9
EOP	75.40	62.33	17.3%	66	2
SRO	22.00	19.00	13.6%	19	0
NCRO	5.00	4.00	20.0%	4	0
BANCRO	5.00	4.00	20.0%	4	0
TCAS ³	NA	NA	NA	NA	NA
CCMS ⁴	NA	NA	NA	NA	NA
Finance	167.00	127.00	24.0%	128	1
HR	67.00	52.80	21.2%	54	0
IS	119.00	86.60	27.2%	88	1
OCCM	78.00	58.75	24.7%	59	0
ATCJS	NA	NA	NA	NA	NA
TOTALS:	811.80	653.33	19.5%	667	33
Headcount Total:				700	

at 6/30/2007

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	29.00	26.50	8.6%	26	2
OGC	78.10	70.20	10.1%	71	4
OGA	13.00	12.80	1.5%	13	1
CFCC	70.00	64.00	8.6%	67	34
EDU	91.00	80.85	11.2%	82	17
EOP	78.30	63.65	18.7%	65	4
SRO	26.00	23.00	11.5%	23	0
NCRO	104.00 ¹	84.00	19.2%	84	0
BANCRO	4.00	4.00	0.0%	4	0
TCAS ³	NA	NA	NA	NA	NA
CCMS ⁴	NA	NA	NA	NA	NA
Finance	114.00	98.00	14.0%	99	1
HR	63.00	49.00	22.2%	49	0
IS	149.00	103.78	30.3%	105	1
OCCM	84.00	70.00	16.7%	70	0
ATCJS	NA	NA	NA	NA	NA
TOTALS:	903.40	749.78	17.0%	758	64
Headcount Total:				822	

at 6/30/2008

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	18.00	14.50	19.4%	16	4
OGC	77.10	68.60	11.0%	69	4
OGA	13.00	10.80	16.9%	11	0
CFCC	70.00	64.70	7.6%	70	31
EDU	93.50	88.75	5.1%	90	14
EOP	82.73	69.45	16.1%	71	2
SRO	30.00	24.00	20.0%	23	0
NCRO	117.00 ²	98.00	16.2%	98	0
BANCRO	5.00	5.00	0.0%	5	0
TCAS ³	NA	NA	NA	NA	NA
CCMS ⁴	NA	NA	NA	NA	NA
Finance	114.00	105.00	7.9%	106	0
HR	60.00	45.00	25.0%	44	2
IS	168.50	105.78	37.2%	109	3
OCCM	107.00	77.00	28.0%	77	0
ATCJS	15.00	14.00	6.7%	14	0
TOTALS:	970.83	790.58	18.6%	803	60
Headcount Total:				863	

at 6/30/2009

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	17.00	16.30	4.1%	17	4
OGC	77.50	68.40	11.7%	69	4
OGA	13.00	12.80	1.5%	13	0
CFCC	94.00	86.80	7.7%	88	9
EDU	93.50	87.75	6.1%	89	14
EOP	83.32	78.07	6.3%	81	2
SRO	42.00	35.00	16.7%	35	7
NCRO	8.00	8.00	0.0%	8	0
BANCRO	5.00	5.00	0.0%	5	0
TCAS ³	127.00	97.00	23.6%	97	1
CCMS ⁴	NA	NA	NA	NA	NA
Finance	114.00	100.00	12.3%	101	0
HR	59.00	45.00	23.7%	45	2
IS	174.40	125.78	27.9%	127	1
OCCM	120.00	112.00	6.7%	111	2
ATCJS	15.00	14.00	6.7%	14	0
TOTALS:	1042.72	891.90	14.5%	900	46
Headcount Total:				946	

* Temporary employee count includes retired annuitants and intermittent employees

¹ for 6/30/2007: 98 positions were authorized for Phoenix (now TCAS); NCRO only had 6 authorized positions

² for 6/30/2008: 109 positions were authorized for Phoenix (now TCAS); NCRO only had 8 authorized positions

³ Prior to FY08/09, TCAS Division data is included in the NCRO Division

⁴ Prior to FY10/11, CCMS Division data is included in the SRO Division

AOC Historical Vacancy Rates and Headcount

By Division

2005-2011

at 6/30/2010

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	17.00	16.45	3.2%	17.00	4.00
OGC	75.00	69.20	7.7%	70.00	1.00
OGA	13.00	11.80	9.2%	12.00	0.00
CFCC	94.00	83.00	11.7%	86.00	9.00
EDU	92.50	85.75	7.3%	87.00	14.00
EOP	80.73	73.48	9.0%	76.00	2.00
SRO	41.00	31.00	24.4%	31.00	6.00
NCRO	8.00	7.00	12.5%	7.00	0.00
BANCRO	6.00	6.00	0.0%	6.00	1.00
TCAS ³	120.00	103.00	14.2%	103.00	1.00
CCMS ⁴	NA	NA	NA	NA	NA
Finance	101.00	91.00	9.9%	92.00	0.00
HR	51.00	42.00	17.6%	42.00	1.00
IS	133.78	120.78	9.7%	122.00	3.00
OCCM	141.00	109.00	22.7%	109.00	1.00
ATCJS	14.00	13.00	7.1%	13.00	0.00
TOTALS:	988.00	862.46	12.7%	873.00	43.00
Headcount Total:				916	

at 6/30/2011

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	18.00	15.45	14.2%	16.00	2.00
OGC	75.00	64.20	14.4%	65.00	1.00
OGA	13.00	11.85	8.8%	12.00	0.00
CFCC	94.00	83.80	10.9%	87.00	6.00
EDU	92.50	84.50	8.6%	86.00	12.00
EOP	80.83	69.18	14.4%	71.00	2.00
SRO	12.00	11.00	8.3%	11.00	0.00
NCRO	8.00	8.00 ⁵	0.0%	8.00	0.00
BANCRO	6.00	6.00	0.0%	6.00	1.00
TCAS ³	120.00	95.00	20.8%	95.00	1.00
CCMS ⁴	30.00	20.00	33.3%	20.00	4.00
Finance	104.00	91.00	12.5%	91.00	0.00
HR	51.00	40.00	21.6%	40.00	1.00
IS	133.00	113.78	14.5%	114.00	3.00
OCCM	141.00	107.90	23.5%	107.00	3.00
ATCJS	14.00	13.00	7.1%	13.00	0.00
TOTALS:	992.33	834.66	15.9%	842.00	36.00
Headcount Total:				878	

at 11/15/2011

Division	Total # of Authorized Positions	Total Filled Authorized Positions (FTE)	Vacancy Rate	Total # Regular Employees	Total # Temporary (909) Employees*
Executive Office	18.00	15.95	11.4%	16.00	2.00
OGC	75.00	62.20	17.1%	63.00	1.00
OGA	13.00	11.85	8.8%	12.00	0.00
CFCC	94.00	77.50	17.6%	80.00	5.00
EDU	92.50	82.90	10.4%	86.00	11.00
EOP	80.83	61.38	24.1%	63.00	2.00
SRO	12.00	10.00	16.7%	10.00	0.00
NCRO	8.00	8.00	0.0%	8.00	0.00
BANCRO	6.00	6.00	0.0%	6.00	0.00
TCAS ³	120.00	92.00	23.3%	93.00	0.00
CCMS ⁴	30.00	19.00	36.7%	19.00	0.00
Finance	104.00	88.00	15.4%	88.00	0.00
HR	51.00	33.00	35.3%	33.00	1.00
IS	133.00	109.88	17.4%	110.00	3.00
OCCM	141.00 ⁶	101.40	28.1%	102.00	2.00
ATCJS	14.00	13.00	7.1%	13.00	0.00
TOTALS:	992.33	792.06	20.2%	802.00	27.00
Headcount Total:				829	

* Temporary employee count includes retired annuitants and intermittent employees

³ Prior to FY08/09, TCAS Division data is included in the NCRO Division

⁴ Prior to FY10/11, CCMS Division data is included in the SRO Division

⁵ Due to critical needs within NCRO, the vacant position in fiscal year 2010-11 was filled in fiscal year 2011-12 by redirecting staff within the AOC.

⁶ OCCM has 165 authorized positions as approved by the legislature. Of this number, 141 are established, 21 not yet established, 3 were abolished in FY 2009-10, and 2 have been established as 909's (limited term position). Positions that are not yet established and those that were abolished will be re-established when authorized to do so.

**Apple One Temporary Employee Data
for 7/1/2010 to 6/30/2011**

175 individuals filled 141 Approved Work Orders

SPECIAL AND GRANT FUNDS:

Temps Funded By:	# of Work Orders
CCMS Special funds	30
IS - Special funds	8
EOP - Special funds	2
CFCC Grants or Trust funds	8
OCCM Special funds	38
Finance Special funds	1
OGC - Special funds	3
Estimated Total Work Orders¹:	96
Total Paid to date²:	\$4,072,624.87

AOC Fund Source	Total Spend
General Fund	\$ 2,553,509.94
Trial Court Improvement Fund	\$ 940,087.68
Family Law Trust Fund	\$ 75,884.81
Federal Trust Fund	\$ 95,633.86
Trial Court Trust Fund	\$ 770,231.24
State Court Facilities Const. Fund	\$ 2,089,661.52
Mental health Services Fund	\$ 101,125.76
Total:	\$ 6,626,134.81

GENERAL FUND:

Temps Funded By:	# of Work Orders
Executive Office - Master Contract	1
ATCJS - Master Contract	1
EDUCATION - Master Contract	4
HR - Master Contract	11
IS - Master Contract	7
EOP - Master Contract	11
CFCC - Master Contract	1
SRO - Master Contract	1
Finance - Master contract	10
OGC - Master Contract	4
Estimated Total Work Orders¹:	51
Total Paid to date²:	\$2,553,509.94

¹ Totals based on a count of approved work orders

² Data provided by AOC Accounting Unit

**Apple One Temporary Employee Data
for 7/1/2010 to 6/30/2011**

175 individuals filled 141 Approved Work Orders

Temps Funded By:	# of Work Orders
<i>Executive Office - Master Contract</i>	1
<i>ATCJS - Master Contract</i>	1
<i>EDUCATION - Master Contract</i>	4
<i>CCMS Special funds</i>	30
<i>HR - Master Contract</i>	11
<i>IS - Division funds</i>	3
<i>IS - Special funds</i>	5
<i>IS - Master Contract</i>	7
<i>EOP - Division funds</i>	3
<i>EOP - Special funds</i>	2
<i>EOP - Master Contract</i>	8
<i>CFCC Grants or Trust funds</i>	8
<i>CFCC - Master Contract</i>	1
<i>SRO - Master Contract</i>	1
<i>OCCM Special funds</i>	38
<i>Finance Special funds</i>	1
<i>Finance - Master contract</i>	10
<i>OGC - Division funds</i>	1
<i>OGC - Special funds</i>	2
<i>OGC - Master Contract</i>	4
Estimated Total Work Orders¹:	141
Total Paid to date²:	\$6,626,134.81

¹ Totals based on a count of approved work orders

² Data provided by AOC Accounting Unit

AOC Fund Source	Total Spend
General Fund	\$ 2,553,509.94
Trial Court Improvement Fund	\$ 940,087.68
Family Law Trust Fund	\$ 75,884.81
Federal Trust Fund	\$ 95,633.86
Trial Court Trust Fund	\$ 770,231.24
State Court Facilities Const. Fund	\$ 2,089,661.52
Mental health Services Fund	\$ 101,125.76
Total:	\$ 6,626,134.81

AOC Historical Temp Count by Division (Estimates¹)

Division	FY 06/07	FY 07/08	FY 08/09	FY 09/10	FY 10/11	Current FY: 7/1 to 11/15
Executive Office	1	3	1	1	1	1
OGC	8	8	6	9	7	7
OGA	2	1	1	0	0	0
CFCC	14	14	8	11	9	9
EDU	11	13	3	4	4	5
EOP	12	9	5	5	13	8
SRO	2	1	0	12	1	1
NCRO	2	1	0	0	0	0
BANCRO	1	1	0	0	0	1
TCAS	0	2	1	2	0	0
Finance	10	7	4	7	11	12
HR	14	7	2	9	11	5
IS	5	7	7	12	15	15
OCCM	6	10	8	17	38	39
ATCJS	2	2	0	1	1	1
CCMS ³	NA	NA	NA	NA	30	30
Estimated TOTALS:	90	86	46	90	141	134
Count at 6/30:	39	32	46	76	110	92⁴
Total Paid to date²:	\$1,126,866	\$1,406,059	\$1,313,902	\$2,048,716	\$6,626,135	\$2,968,678

¹ Totals based on a count of approved work orders

² Data provided by AOC Accounting Unit

³ Prior to FY10/11, CCMS temps were included in the SRO Division

⁴ Number of temps as of 11/15/2011

Combined Five-Year Fiscal
Summaries of All Administrative
Office of the Courts Divisions

Combined Five-Year Fiscal Summaries of All Administrative Office of the Courts Divisions
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 63,285,263	\$ 72,452,070	14.5%	\$ 75,430,704	4.1%	\$ 78,482,476	4.0%	\$ 76,088,365	-3.1%	20.2%
Benefits	\$ 21,576,348	\$ 24,845,072	15.1%	\$ 26,393,578	6.2%	\$ 27,857,248	5.5%	\$ 29,085,496	4.4%	34.8%
Subtotal Personal Services	\$ 84,861,611	\$ 97,297,141	14.7%	\$ 101,824,282	4.7%	\$ 106,339,724	4.4%	\$ 105,173,860	-1.1%	23.9%
Operating Expense & Equipment (OE&E)										
Rent	\$ 14,508,760	\$ 17,338,247	19.5%	\$ 21,758,714	25.5%	\$ 30,607,850	40.7%	\$ 39,838,605	30.2%	174.6%
OE&E (Excludes Rent)	\$ 55,328,228	\$ 65,995,812	19.3%	\$ 119,971,167	81.8%	\$ 172,029,161	43.4%	\$ 193,352,447	12.4%	249.5%
Subtotal OE&E	\$ 69,836,988	\$ 83,334,059	19.3%	\$ 141,729,881	70.1%	\$ 202,637,011	43.0%	\$ 233,191,052	15.1%	233.9%
Local Assistant (Support)	313,920	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Special Items of Expense	17,992	25,806	43.4%	52,608	103.9%	33,782	-35.8%	55,638	64.7%	209.2%
TOTAL SUPPORT EXPENDITURES	\$ 155,030,511	\$ 180,657,007	16.5%	\$ 243,606,771	34.8%	\$ 309,010,517	26.8%	\$ 338,420,550	9.5%	118.3%
Local Assistance	256,916,701	286,117,767	11.4%	274,431,524	-4.1%	270,124,505	-1.6%	216,370,019	-19.9%	-15.8%
TOTAL EXPENDITURES	\$ 411,947,212	\$ 466,774,774	13.3%	\$ 518,038,295	11.0%	\$ 579,135,022	11.8%	\$ 554,790,569	-4.2%	34.7%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 95,281,781	\$ 100,096,551	5.1%	\$ 98,971,131	-1.1%	\$ 106,299,698	7.4%	\$ 106,155,680	-0.1%	11.4%
Trial Court Improvement Fund	5,962,791	10,338,340	73.4%	11,815,890	14.3%	9,607,346	-18.7%	7,835,219	-18.4%	31.4%
Trial Court Trust Fund	5,651,861	8,310,692	47.0%	8,685,210	4.5%	9,132,290	5.1%	14,382,587	57.5%	154.5%
State Court Facilities Construction Fund	35,535,069	35,590,548	0.2%	55,020,019	54.6%	61,623,025	12.0%	58,379,090	-5.3%	64.3%
Court Facilities Trust Fund	2,365,000	11,193,000	373.3%	53,022,000	373.7%	94,799,000	78.8%	97,441,890	2.8%	4020.2%
Court Interpreter's Fund	154,094	154,969	0.6%	154,500	-0.3%	144,875	-6.2%	148,694	2.6%	-3.5%
Motor Vehicle Account, State Transportation Fund	140,991	141,269	0.2%	185,014	31.0%	175,123	-5.3%	185,370	5.9%	31.5%
Federal Trust Fund	2,334,561	3,435,250	47.1%	2,968,449	-13.6%	3,045,919	2.6%	3,568,122	17.1%	52.8%
Immediate and Critical Needs Account	-	-	0.0%	-	0.0%	10,000,000	0.0%	24,362,703	143.6%	0.0%
Mental Health Services Fund	-	-	0.0%	394,738	0.0%	998,756	153.0%	1,002,296	0.4%	0.0%
Family Law Trust Fund	2,779,586	2,709,768	-2.5%	2,320,981	-14.3%	1,903,050	-18.0%	1,967,281	3.4%	-29.2%
Judicial Branch Workers' Compensation Fund	229,812	285,348	24.2%	319,668	12.0%	298,975	-6.5%	283,031	-5.3%	23.2%
Reimbursements	4,556,689	8,359,356	83.5%	9,535,597	14.1%	10,958,680	14.9%	22,689,396	107.0%	397.9%
Modernization Fund	-	-	0.0%	173,162	0.0%	-	-100.0%	-	0.0%	0.0%
Administration of Justice Fund	39,847	41,914	5.2%	40,414	-3.6%	23,779	-41.2%	19,190	-19.3%	-51.8%
Subtotal General Fund & Special Funds	\$ 155,032,082	\$ 180,657,006	16.5%	\$ 243,606,773	34.8%	\$ 309,010,516	26.8%	\$ 338,420,550	9.5%	118.3%
LOCAL ASSISTANCE										
Trial Court Improvement Fund	\$ 86,620,607	\$ 136,546,763	57.6%	\$ 88,625,689	-35.1%	\$ 57,438,070	-35.2%	\$ 32,458,535	-43.5%	-62.5%
Modernization Fund	30,673,429	32,300,280	5.3%	30,334,858	-6.1%	33,844,644	11.6%	31,437,432	-7.1%	2.5%
Trial Court Trust Fund	133,467,757	101,774,972	-23.7%	137,466,498	35.1%	158,201,927	15.1%	139,168,004	-12.0%	4.3%
Reimbursements	6,153,340	15,495,753	151.8%	18,004,479	16.2%	20,639,864	14.6%	13,306,047	-35.5%	116.2%
Subtotal Local Assistance	\$ 256,915,133	\$ 286,117,767	11.4%	\$ 274,431,524	-4.1%	\$ 270,124,505	-1.6%	\$ 216,370,019	-19.9%	-15.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 411,947,215	\$ 466,774,773	13.3%	\$ 518,038,297	11.0%	\$ 579,135,021	11.8%	\$ 554,790,568	-4.2%	34.7%

¹Source: Individual 5-Year Fiscal Summary for each division of the Administrative Office of the Courts.

Combined Five-Year Fiscal Summary
All Administrative Office of the Courts Divisions
(Excludes OCCM)

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 57,642,263	\$ 65,850,070	14.2%	\$ 66,864,704	1.5%	\$ 68,560,436	2.5%	\$ 66,427,861	-3.1%	15.2%
Benefits	\$ 19,714,348	\$ 22,649,072	14.9%	\$ 23,489,578	3.7%	\$ 24,464,634	4.2%	\$ 25,467,342	4.1%	29.2%
Subtotal Personal Services	\$ 77,356,611	\$ 88,499,141	14.4%	\$ 90,354,282	2.1%	\$ 93,025,070	3.0%	\$ 91,895,202	-1.2%	18.8%
Operating Expense & Equipment (OE&E)										
Rent	\$ 11,446,215	\$ 12,577,811	9.9%	\$ 12,845,075	2.1%	\$ 12,610,908	-1.8%	\$ 12,728,472	0.9%	11.2%
OE&E (Excludes Rent)	\$ 31,886,773	\$ 29,589,247	-7.2%	\$ 31,341,807	5.9%	\$ 31,392,757	0.2%	\$ 32,849,341	4.6%	3.0%
Subtotal OE&E	\$ 43,332,988	\$ 42,167,059	-2.7%	\$ 44,186,881	4.8%	\$ 44,003,665	-0.4%	\$ 45,577,813	3.6%	5.2%
Local Assistant (Support)	313,920	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Special Items of Expense	17,992	25,806	43.4%	52,608	103.9%	33,782	-35.8%	2,000	-94.1%	-88.9%
TOTAL SUPPORT EXPENDITURES	\$ 121,021,511	\$ 130,692,007	8.0%	\$ 134,593,771	3.0%	\$ 137,062,517	1.8%	\$ 137,475,016	0.3%	13.6%
Local Assistance	254,796,392	272,302,273	6.9%	260,373,559	-4.4%	253,411,318	-2.7%	208,020,135	-17.9%	-18.4%
TOTAL EXPENDITURES	\$ 375,817,903	\$ 402,994,280	7.2%	\$ 394,967,331	-2.0%	\$ 390,473,835	-1.1%	\$ 345,495,151	-11.5%	-8.1%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 93,282,781	\$ 92,733,551	-0.6%	\$ 94,490,131	1.9%	\$ 99,373,698	5.2%	\$ 96,971,849	-2.4%	4.0%
Trial Court Improvement Fund	5,962,791	10,338,340	73.4%	11,815,890	14.3%	9,607,346	-18.7%	7,835,219	-18.4%	31.4%
Trial Court Trust Fund	5,651,861	8,310,692	47.0%	8,685,210	4.5%	9,132,290	5.1%	14,382,587	57.5%	154.5%
State Court Facilities Construction Fund	6,014,069	7,021,548	16.8%	7,420,019	5.7%	7,070,025	-4.7%	6,366,942	-9.9%	5.9%
Court Facilities Trust Fund	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Court Interpreter's Fund	154,094	154,969	0.6%	154,500	-0.3%	144,875	-6.2%	148,694	2.6%	-3.5%
Motor Vehicle Account, State Transportation Fund	140,991	141,269	0.2%	185,014	31.0%	175,123	-5.3%	185,370	5.9%	31.5%
Federal Trust Fund	2,334,561	3,435,250	47.1%	2,968,449	-13.6%	3,045,919	2.6%	3,568,122	17.1%	52.8%
Immediate and Critical Needs Account	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Mental Health Services Fund	-	-	0.0%	394,738	0.0%	998,756	153.0%	1,002,296	0.4%	0.0%
Family Law Trust Fund	2,779,586	2,709,768	-2.5%	2,320,981	-14.3%	1,903,050	-18.0%	1,967,281	3.4%	-29.2%
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Reimbursements	4,432,689	5,519,356	24.5%	5,625,597	1.9%	5,288,680	-6.0%	4,744,434	-10.3%	7.0%
Modernization Fund	-	-	0.0%	173,162	0.0%	-	-100.0%	-	0.0%	0.0%
Administration of Justice Fund	39,847	41,914	5.2%	40,414	-3.6%	23,779	-41.2%	19,190	-19.3%	-51.8%
Subtotal General Fund & Special Funds	\$ 121,023,082	\$ 130,692,006	8.0%	\$ 134,593,773	3.0%	\$ 137,062,516	1.8%	\$ 137,475,016	0.3%	13.6%
LOCAL ASSISTANCE										
Trial Court Improvement Fund	\$ 86,470,607	\$ 136,130,763	57.4%	\$ 88,196,689	-35.2%	\$ 57,438,070	-34.9%	\$ 32,458,535	-43.5%	-62.5%
Modernization Fund	30,673,429	32,300,280	5.3%	30,334,858	-6.1%	33,844,644	11.6%	31,437,432	-7.1%	2.5%
Trial Court Trust Fund	133,467,757	100,047,833	-25.0%	136,337,220	36.3%	157,020,940	15.2%	139,168,004	-11.4%	4.3%
Reimbursements	4,183,031	3,823,397	-8.6%	5,504,793	44.0%	5,107,664	-7.2%	4,956,164	-3.0%	18.5%
Subtotal Local Assistance	\$ 254,794,824	\$ 272,302,273	6.9%	\$ 260,373,559	-4.4%	\$ 253,411,318	-2.7%	\$ 208,020,135	-17.9%	-18.4%
TOTAL EXPENDITURES - ALL FUNDS	\$ 375,817,906	\$ 402,994,279	7.2%	\$ 394,967,332	-2.0%	\$ 390,473,834	-1.1%	\$ 345,495,151	-11.5%	-8.1%

¹Source: Individual 5-Year Fiscal Summary for each division of the Administrative Office of the Courts.

Executive Office

Ronald G. Overholt
Interim Administrative Director of the Courts

Christine Patton
Interim Chief Deputy Director

Overview of Administrative Office of the Courts' Programs and Resources: Executive Office

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function, and services provided, for each major functional area of the division.

Organizational Structure

1. Administrative Director of the Courts
 2. Chief Deputy Director
 3. Executive Office Liaison (reporting to the Administrative Director of the Courts)
 4. Executive Secretary to the Administrative Director of the Courts
 5. Executive Secretary to the Chief Deputy Director
 6. Secretary II (reporting to the Executive Office Liaison)
- The Judge-in-Residence position, currently occupied by Judge Roger K. Warren (Ret.), within the Executive Office, is being transferred to the Community Corrections Program of the Bay/Area Northern Coastal Regional Office because the corrections program is the primary area of focus of Judge Warren's work.
 - The Office of Emergency Response and Security is a unit of the Executive Office. Information on that office has previously been submitted to the committee.
 - The transfer of the Office of Communications from the former Executive Office Programs Division to the Executive Office is in process. Information on the Office of Communications has previously been submitted to the committee.

Role, Function, and Services

Under constitutional authority, the council appoints an Administrative Director of the Courts, who performs functions delegated by the Judicial Council or the Chief Justice.

The Administrative Director performs functions prescribed by the Constitution and laws of the state, is charged with accomplishing the Judicial Council's goals and priorities, and is accountable to the council and the Chief Justice for the performance of the Administrative Office of the Courts (AOC).

California government code sections addressing the role and responsibilities of the Administrative Director of the Courts, the Judicial Council, and the AOC are included in the attached chart as all directly relate to the oversight role, function, and services of the Executive Office. Examples for the Administrative Director include:

- Serving as secretary to the Judicial Council and as an ex officio member of each advisory body;

- Allocating financial and other resources of the AOC (such as funding the operation of advisory bodies and other activities) to achieve branch goals and policies adopted by the Judicial Council;
- Developing policies and procedures for the creation and implementation of a yearly budget for the judicial branch and presenting the branch budget in negotiations with the Governor and the Legislature; and
- Reporting to the Judicial Council at least once annually on the progress made toward achieving council goals.

The Administrative Director of the Courts and the Chief Deputy Director provide the highest level of policy and programmatic leadership for the AOC. The office has oversight responsibility for the development and implementation of AOC programs in furtherance of Judicial Council policies and priorities.

The office works with the Chief Justice, Judicial Council members, division directors and staff, the courts, and the executive and legislative branches of government, and also engages with multiple other justice system stakeholders to strategically address judicial administration issues for the branch.

Additionally, the office sets direction for the development and implementation of AOC goals, objectives, policies, operations, procedures, and work standards and together with division directors, works to develop and implement appropriate strategies and services to meet the needs of the agency and its customers and improve the statewide administration of justice.

As the head office of the AOC, the Executive Office functions as a central contact point for customers across the spectrum—from courts and government partners to justice system stakeholders. Its services, therefore, necessarily encompass the entire range of services provided by the AOC. However, the following examples may be helpful in illustrating the scope of direct interaction and services provided by the Executive Office (principally the Administrative Director of the Courts and Chief Deputy Director) to key customers:

- **Chief Justice.** Daily contact with the Chief Justice by phone, e-mail, and frequent in-person meetings ensure that the Executive Office is meeting the needs of the Chief Justice, taking direction on issues, and providing input on meeting the needs of the branch's broader constituent base.
- **Judicial Council.** The Administrative Director and Chief Deputy Director work closely with the council's internal committees in developing the agendas for the council's regular business and educational meetings and the annual planning meeting, ensuring that all issues and recommendations for consideration by the council are appropriately developed.

- **Local court leaders.** On an ongoing basis, the Administrative Director and Chief Deputy Director work with local court leaders to address judicial administration issues specific to those courts. Additionally, they actively participate in meetings of the administrative presiding justices and clerk/administrators, the Trial Court Presiding Judges and Court Executives Advisory Committees, and the Conference of Court Executives, including the regional meetings of these leadership groups.
- **Sister branches.** Regular meetings are held with executive and legislative branch leaders and their staff to build and maintain collaborative relationships and advocate and advance policy issues and legislation to benefit the judicial branch. Throughout the ongoing legislative and budget cycles, the Administrative Director and Chief Deputy Director participate in meetings and actively work with these representatives to address their needs and resolve issues that meet the needs of our respective and mutual constituents.
- **State justice system partners.** The Administrative Director and Chief Deputy Director maintain ongoing working relationships with state and local justice system partners and most often have a direct involvement in the discussion and resolution of issues of mutual interest and concern. For example, they participate in annual liaison meetings that the Chief Justice hosts with justice system leaders of the following entities, among others: California State Association of Counties, California District Attorneys Association, California State Sheriffs' Association, Consumer Attorneys of California, California Criminal Defense Bar, California Defense Counsel, the Attorney General of California, and the State Bar of California. They also regularly attend board meetings of the California Judges Association.
- **National justice system partners.** The Administrative Director and Chief Deputy Director also represent the California judicial branch at the national level through membership in the Conference of State Court Administrators, participating in meetings and serving on the committees of that body and other associations through the National Center for State Courts.
- **Federal government.** The Administrative Director and Chief Deputy Director also represent the California judiciary at the national level, working with federal government leaders and representatives on issues affecting California's court system. This includes California's Congressional Delegation and the leadership of the Department of Justice and Department of Homeland Security.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Describe the Division's major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division's inception if created after FY 2005–06.

Through its central organizational leadership role, the Executive Office has oversight responsibility for the successful implementation of major division and cross-divisional projects and initiatives, details of which have been outlined to the committee in presentations by division directors and staff.

Selected highlights for projects and initiatives on which the Executive Office has had a high level of involvement include:

2005–2006

- Application of the state appropriations limit (SAL) to the trial courts' budget. (Between 2005 and 2007, the SAL allocation provided more than \$370 million in ongoing funding for trial courts.)
- Passage of the Uniform Civil Fees and Standard Fee Schedule Act of 2005, consolidating surcharges and making filing fees uniform across the state's 58 counties.
- Approval of plain-language criminal jury instructions to replace the often confusing legal terminology traditionally used in California trial courts for 70 years.
- Release of the survey results on Public Trust and Confidence in the California Courts, showing a significant increase in the number of people having a positive attitude about California's courts—from 42 percent in 1992 to 67 percent in 2005. Survey results provided a basis for recommendations to the council for improving public trust and confidence in the courts.
- Introduction of a new Resource Allocation Study model allowing for the comparison of resources needs in trial courts.

2006–2007

- Creation of 50 new judgeships to ease the workload of 20 overburdened trial courts.
- Increase of 8.5 percent in pay for judges, intended to help attract and retain well-qualified individuals on the bench.
- Enactment of Senate Bill 10, removing an obstacle to the transfer to the state of court buildings with a high seismic risk rating.
- Implementation of a new court case management system for the Courts of Appeal, providing more support to court operations and enabling better caseload management.
- Update of the judicial branch strategic plan for the next six years.

2007–2008

- Approval of more than \$233.8 million in new General Fund monies for the judicial branch, including \$194.5 million for the trial courts, despite the ailing economy.
- In the third consecutive year of designated funding for historically underfunded courts (courts with budgets 20 percent or more below their projected resource need), the number of courts that met the “underfunded” criteria was reduced from 18 to 2, another example of the success of state funding.
- Enactment of Senate Bill 1407, authorizing a \$5 billion revenue bond to help fund 41 of the state’s most urgent courthouse construction and renovation projects without any money from the state’s General Fund.
- Appointment of a team of judges to assist Riverside County in reducing its backlog of criminal cases through a collaborative initiative with trial courts from around the state.
- Introduction of new rules of court on minimum education expectations for judges and minimum education requirements for court and AOC employees.
- Adoption of a new testing program for the certification and registration of court interpreters.

2008–2009

- Completion of the transfer of all 532 court facilities from county to state responsibility.
- Enactment of Senate Bill 1407, creating a new source of revenue for court construction and renovation that does not burden the state’s General Fund and providing funding for 41 immediate-need and critical-need projects, the largest set of court construction ventures in California history.
- Approval for implementation of recommendations of the Blue Ribbon Commission on Children in Foster Care, the Probate Conservatorship Task Force, and the Domestic Violence Practice and Procedure Task Force.
- Full deployment of the Phoenix Financial Management System for all 58 courts.
- Adoption of the judicial branch operational plan for 2008–2011.

2009–2010

- Completion of the development of the California Court Case Management System endorsed by the state Chief Information Officer.
- Submission of the Commission for Impartial Courts’ final report to the council, following a major initiative to develop recommendations, including a series of public hearings, and subsequent appointment of an implementation body.
- Full implementation of 28 recommendations of the Probate Conservatorship Task Force, partial implementation of another 9 even though the Legislature did not appropriate funding for its mandate related to conservatorship for the fourth consecutive year.

2010–2011

- Project agreement finalized and financing secured for first U.S. courthouse delivered by performance-based infrastructure.
- Rollout of the new California Courts Protective Order Registry, completed in 21 counties, providing major improvements to victim and peace officer safety in domestic violence cases and those involving violent crimes. The system earned two awards for technology in government.
- Enactment of Assembly Bill 12, providing critically needed support for foster youth who reach age 18 while still in a foster care setting and making them eligible for continued support up to age 21 if they are working or going to school or are medically unable to engage in those activities.

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

Although the Executive Office is responsible for establishing goals and setting priorities for all major projects and initiatives of the AOC, current key areas of focus for this office over the next 12–24 months are centered on the following areas, details of which have been outlined to the committee in presentations by division directors and staff:

- Budget restoration and financial stability for the judicial branch;
- Advancing technology initiatives, including the California Court Case Management System;
- Advancing court facilities construction projects and assessment of how services are provided through the facilities maintenance programs;
- Implementation of AOC organizational realignment and budget reduction management; and
- Improving branch communication and collaboration.

IV. Division Outlook and Prospective Opportunities, Challenges, and Pending Issues

Describe the Division's outlook and opportunities for the future (i.e., where is the Division headed and what should you be doing?), as well as any challenges or pending issues.

Outlook and Prospective Opportunities

With the recent leadership transitions and major fiscal challenges for the judicial branch and the AOC, and the broad reset of government necessitated by the fiscal environment, the Executive Office has initiated an organizational review and realignment for the AOC. This presents

opportunities to review structural changes and practices that have evolved over the past decade or more in response to the expanded responsibilities for the office of the Administrative Director and the AOC as a result of state trial court funding. This review already has resulted in the consolidation of two divisions and the transfer of two units to other divisions.

One of these units, the Office of Communications, now reports directly to the Executive Office. This shift is consistent with best business practices to have a closer alignment between an organization's executive leadership and communications function. It reflects the greater focus on improving communication and messaging within the judicial branch and with external stakeholders regarding the roles, functions, and responsibilities of the courts, the Judicial Council, and the Administrative Office of the Courts.

The Executive Office is increasing outreach to local courts to hear from presiding judges and court executive officers about day-to-day and long-term challenges for their courts, to discuss how the AOC can help, and to reaffirm our commitment to partner with courts in maintaining adequate services. Additionally, all divisions will be seeking more opportunities to collaborate with courts on projects and initiatives.

Challenges and Pending Issues

The major projects and initiatives identified in section III above represent the primary areas of focus for the Executive Office during the next 12–24 months.

TC/em
Attachment

CALIFORNIA GOVERNMENT CODE SECTIONS ADDRESSING
JUDICIAL COUNCIL, ADMINISTRATIVE DIRECTOR OF THE COURTS, AND
ADMINISTRATIVE OFFICE OF THE COURTS ROLES AND RESPONSIBILITIES

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CALIFORNIA GOVERNMENT CODE¹ SECTIONS ADDRESSING
 JUDICIAL COUNCIL, ADMINISTRATIVE DIRECTOR OF THE COURTS, AND
 ADMINISTRATIVE OFFICE OF THE COURTS ROLES AND RESPONSIBILITIES
 August 2011

This chart sets forth the judicial branch administrative duties expressly or implicitly delegated to the Administrative Office of the Courts (AOC) and the Administrative Director of the Courts by the California Government Code and by the California Rules of Court.

As the administrative arm of the Judicial Council, the AOC supports the Judicial Council in meeting statutory obligations imposed upon the council. For example, statutory requirements that the Judicial Council initiate a particular program and report to the Legislature on that program are fulfilled by AOC staff who act on behalf of the Judicial Council to meet those requirements. In light of the AOC's role in supporting the Judicial Council, this chart sets forth statutorily imposed Judicial Council obligations and duties.

Although the chart is long, it is not comprehensive. It focuses on the duties of the Judicial Council that provided for in the Government Code and the California Rules of Court on Judicial Administration. The Legislature, however, has established many other duties and responsibilities. For example, in recent years the Judicial Council has been required to adopt rules, develop forms, and create standards under provisions in the Code of Civil Procedure, the Family Code, the Probate Code, the Penal Code, and the Welfare and Institutions Code. In carrying out these statutory obligations, which are too numerous to specify in the accompanying chart, the Administrative Office of the Courts directly assists the council.

AOC GENERAL ADMINISTRATIVE DUTIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
1	7.6(c)	The Chief may designate an AOC employee (or judge or state court employee) to act as deputy on her behalf, and to attend and participate and vote at the meetings of any board, commission or committee of which she is a member.	Discretionary
2	68106.2(g)	The AOC provides public access to judicial branch budget and	Mandatory

¹ The majority of statutory citations are to the Government Code. Citations to other codes are otherwise indicated.

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	CRC 10.500; 10.620; 10.802	management information and other non-adjudicative branch records; it consults with courts regarding public access to non-adjudicative records.	
3	68115	The AOC assists the Chair of the Judicial Council with evaluating the need for and issuing emergency orders that maintain court operations in times of calamity, natural disaster or other emergencies.	Mandatory
4	Public Contract Code, § 19206; 19209	The AOC assists the Judicial Council in adopting and publishing a Judicial Branch Contracting Manual, providing procurement and contracting standards binding on judicial entities. The AOC assists the council in reporting, biannually, to the Legislature on vendors, costs and other aspects of judicial branch entity contracting.	Mandatory
5	82011(e)(g) and (h)	The AOC assists the Chief Justice of the Supreme Court and the Judicial Council in reviewing and establishing conflict of interest codes, required by the Political Reform Act of 1974, for the trial and appellate courts and all judicial entities.	Mandatory
6	CRC 2.954(e); 2.952(j)(3);	The AOC is authorized to approve electronic recording equipment and to verify that a professional recording service is competent, in appropriate cases, to prepare appellate transcripts from electronic recordings.	Discretionary
7	CRC 10.5(c) and (e); 10.6(d) and (e); 10.10; 10.6(g)	The AOC publishes annual schedules of the date, purpose and location of Judicial Council meetings and ensures this notice is posted on the California Courts website. It administers requests to speak at Judicial Council business meetings and requests by employee representatives to address the council. The Administrative Director of the Courts prepares written minutes of council meetings.	Mandatory
8	CRC 10.80	The Administrative Director of the Courts reports to the Judicial Council on progress made toward achieving the council's goals.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
9	CRC 10.10(d); 10.11(f); 10.12(a)	The AOC provides input to the Executive and Planning Committee of the Judicial Council on policy matters and to the Policy Coordination and Liaison Committee on legislative matters. The Administrative Director of the Courts may attend meetings of internal Judicial Council meetings.	Discretionary
10	CRC 10.30(f); 10.80(d)	The AOC accepts the recommendations of Judicial Council advisory bodies on implementation of council programs and policies. The Administrative Director of the Courts sits as an ex officio member of each council advisory body. The Administrative Director of the Courts may fund the operation of advisory bodies and other activities to achieve council goals.	Mandatory and Discretionary (funding of advisory bodies)
11	CRC 10.34(d) and (e); 10.81(b)	The Administrative Director of the Courts determines whether the activities of Judicial Council advisory committees are consistent with council policy and strategic goals. The AOC assists council advisory committees and assists the council and the Chairperson of the council in carrying out their constitutional and statutory duties.	Mandatory
12	CRC 10.70	The Administrative Director of the Courts may establish task forces and advisory bodies in addition to the council's standing advisory committees.	Discretionary
13	Cal. Const. Art VI, § 6(c) CRC 10.1(d); 10.2(b)(4); 10.80	The Administrative Director of the Courts performs functions prescribed by the Constitution and laws and those delegated by the Judicial Council and the Chief Justice and is charged with accomplishing and reporting on council priorities. The Administrative Director is Secretary to the council.	

AOC SUPPORT OF JUDICIAL COUNCIL REPORTING DUTIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute ²	Mandatory or Optional
14	831.9(a) CRC 10.202	The AOC supports the Judicial Council in compiling reports from the County of Los Angeles regarding injuries and claims made in connection with groundwater recharge and unlined flood control channels; the AOC will assist with preparation of the Judicial Council report to the Legislature regarding the incidences of injuries, claims asserted, and results of civil trials or proceedings by January 1, 2012.	Mandatory
15	9144	The AOC assists with preparation, for the Legislature’s Joint Legislative Budget Committee, of a Judicial Council report on legislative measures with potential impact on court staffing, as requested by the Legislative Analyst.	Mandatory
16	68086(c) CRC 2.956; 2.958	The AOC assists with preparation of annual Judicial Council report on amount of official court reporter fees collected by the courts, and amounts spent by courts on court reporting services in civil matters, to the Joint Legislative Budget Committee.	Mandatory
17	68511.8	The AOC assists the Judicial Council in providing required annual reports to the Legislature regarding California Case Management System (CCMS). The AOC is expressly required to report, annually, to the Legislature regarding independent project oversight reports on CCMS and to describe actions taken to address identified deficiencies. The AOC is expressly required to retain independent consultant to review and evaluate CCMS, to provide that report to the Legislature, and to rectify identified deficiencies.	Mandatory

² To avoid redundancy, numerous other Judicial Council reporting duties, and the AOC’s support of those functions, are set forth in this chart in connection with substantive program areas and responsibilities.

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute ²	Mandatory or Optional
18	68513	The AOC supports the Judicial Council in providing for uniform entry, storage, and retrieval of specified data in unlimited civil cases and reporting that information to the Legislature	Mandatory
19	75089.1	The AOC supports the Judicial Council in reporting to the Legislature regarding the effects of the Extended Service Incentive Program, promoting extension of length of service by judges otherwise eligible for retirement.	Mandatory
20	68526	The AOC supports the Judicial Council in conducting an analysis of costs related to default “prove up” process and providing a report on those costs to the Legislature’s Assembly Committee on Budget.	Mandatory

AOC SUPPORT OF JUDICIAL COUNCIL RULEMAKING FUNCTION

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
21	CRC 10.21(c); 10.22(b) and (c); 10.20(b); 10.13(f)	The AOC provides analysis and recommendations on proposed changes made by the public to the California Rules of Court, California Standards of Judicial Administration, and Judicial Council forms. The Office of the General Counsel provides legal and drafting review of proposals to the council for adoption, amendment, repeal, or revocation of California Rules of Court, California Standards of Judicial Administration, and Judicial Council forms. The AOC provides input to the Judicial Council on changes to the California Rules of Court, California Standards of Judicial Administration, and Judicial Council forms. The Administrative Director of the Courts ensures that items submitted to the council for rulemaking purposes comply with council procedures and guidelines.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
22	CRC 10.13(f)	The Administrative Director of the Courts ensures that items submitted to the council's Rules and Projects Committee comply with committee procedure and guidelines.	Mandatory
23	962; 984; 985 CRC 8.108; 8.823	Required rules providing for various actions in litigation against public entities.	Mandatory
24	15424	Required rules for the financial statements of a person requesting the appointment of counsel.	Mandatory
25	26720.5; 68631-68633 CRC 3.55	Rules re in forma pauperis waiver and refund of fees.	Mandatory
26	66035	Adoption of rules, forms, and standards for mediation and resolution of land use disputes.	Discretionary
27	68071; 68072 CRC 10.603(c)(11); 10.613; 10.614	Rules governing the adoption of local rules of court by the Supreme Court and courts of appeal, and the superior courts. The AOC assists the Judicial Council by reviewing new and amended local court rules filed by superior courts to ensure that they satisfy the requirements of rule 10.613(d). The AOC also assists the Chair of the Judicial Council in her role, under rule 10.613(i), reviewing and authorizing local court rules to take effect on dates other than those provided in Government Code section 68071.	Mandatory
28	68086	Rules regarding payment for official court reporters by the parties.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	CRC 2.956; 2.958		
29	68511.1	Preparation by council of pamphlet on guardianship.	Mandatory
30	68511.2	Entry, storage, and retrieval of records provided by council-adopted rule of court.	Mandatory
31	68511.5	Rules regulating selection of appointed counsel to handle criminal appeals by indigent defendants.	Mandatory
32	68518	Adoption of standard forms for protective orders, emergency protective orders and custody and visitation attachments to these orders.	Mandatory
33	68550 CRC 2.1002	Rules governing limitations on length of jury service.	Mandatory
34	Pen. Code, § 136.2 and 136.3; Pen. Code, § 646.91 and 646.91a	Adoption of a protocol and associated forms for trial court coordination of criminal protective orders involving the same parties between criminal, family, and juvenile courts. Adoption of procedures, forms and instructions for issuance of emergency protective orders.	Mandatory
35	Pen. Code, § 190.6 through 190.9	Adoption of forms and procedures governing capital criminal cases, including briefing schedules, preparation of the appellate record, disposition and Legislative reporting.	Mandatory
36	Pen. Code, 629.53	Adoption of guidelines for judges to follow in authorizing interception of wire or electronic communications.	Discretionary

AOC SUPPORT OF JUDICIAL COUNCIL PUBLICATIONS AND EDUCATIONAL OUTREACH

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
37	68551	Judicial Council authorized to conduct institutes and seminars.	Discretionary
38	68552	Judicial Council may publish manuals and other materials to assist judiciary.	Mandatory
39	68553	Judicial Council shall establish training programs on family law.	Mandatory
40	68553.5	Judicial Council shall provide education on mental health and developmental disabilities affecting juveniles.	Mandatory
41	68511.1	Judicial Council shall prepare a pamphlet on guardianship.	Mandatory
42	68555	Judicial Council shall establish training programs for domestic violence matters.	Mandatory

AOC SUPPORT OF JUDICIAL COUNCIL ACCESS TO JUSTICE ACTIVITIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
43	68560-68566 CRC 2.891; 2.892; 2.893; 10.51; 2.894	The AOC supports the Judicial Council in designating languages for interpreter programs, approving entities to certify interpreters, adopting programs and standards for certification entities and interpreter language proficiency, implementing programs to assure adequate numbers of interpreters, and reporting to the Legislature on language and interpreter use in court proceedings. The AOC publishes the <i>Judicial Council Guidelines for Approval of Certification Programs for Interpreters for Deaf and Hard-of-Hearing Person</i> .	Mandatory
44	70640	The AOC supports the Judicial Council regarding funding and approving children’s waiting rooms. It accepts accountings of funds deposited by counties for this purpose. It supports the Judicial Council in reviewing court applications for funds for children’s waiting room and in distributing money for this purpose.	Mandatory

AOC SUPPORT OF JUDICIAL COUNCIL CASE MANAGEMENT ACTIVITIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
45	68603; 68604; 68616; 68619 CRC 3.710 Standard 2.2	The AOC supports the Judicial Council in adopting and implementing standards of timely disposition civil and criminal actions, with the goal of trial delay reduction; it further supports the Judicial council in adopting rules that establish a case differentiation classification system, distinguishing between cases according to complexity. The AOC implements the Judicial Council’s obligation to collect and publish statistics on superior court compliance with timely disposition standards. The AOC assists with the Judicial Council’s obligation to compile statistics on the effect of statutorily permitted stipulation for continuances and extensions of time on case delay reduction. The AOC assists the Judicial Council in performing its obligation to review local trial delay rules for consistency and effectiveness and its obligation to adopt uniform delay reduction rules.	Mandatory
46	77209(i) CRC 2.1050(c) and (d)	The AOC provides copies and updates of jury instructions to the public on the California Courts website. It may take steps to ensure that the Judicial Council is credited as the source of these instructions and may charge royalties for their publication. The AOC deposits royalties in the Trial Court Improvement Fund for use for the improvement of the jury system. The AOC accepts and reviews suggested changes to jury instructions from trial judges and attorneys.	Mandatory publication, other duties discretionary
47	Pen. Code, § 1269b(c) CRC 4.102	The AOC assists the Judicial Council in performing its duty to establish a penalty schedule for infractions of the Vehicle Code. The AOC makes copies of the Uniform Bail and Penalty Schedules available to the courts upon request.	Mandatory
48	Pen. Code, §	The AOC assists the Judicial Council in performing its obligation to	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	1170.3, 1170.5, 1191.2 and 1202.4(f)(5)	adopt rules promoting uniformity in sentencing in criminal cases, including providing criteria to assist trial judges in decisions concerning probation, length of sentence, and imposition of enhancements. The council holds annual sentencing institutes for trial court judges to assist in imposition of appropriate sentences. Where sentencing includes restitution, the council prepares materials to be provided to the victim and final disclosure materials required of defendants.	
49	Pen. Code, § 1231 and 1232	The Administrative Office of the Courts, in conjunction with county Chief Probation Officers, administers community corrections programs implementing outcome-based criteria, designed to reduce recidivism and report to the Legislature regarding these programs.	Mandatory
50	Pen. Code, § 3000.08, 3015, and 3455	The AOC supports the Judicial Council in adoption of uniform statewide procedures governing supervision of parolees and parole revocation. The AOC is to enter into a memorandum of understanding with the Secretary of the Department of Corrections and Rehabilitation to establish a parole reentry accountability program, designed to reduce recidivism and reduce parole revocations. The Judicial Council is to report to the Legislature regarding the effectiveness of the program.	Mandatory
51	CRC 3.221; 3.897(b)	The AOC prepares model language for an alternative dispute resolution informational package provided by the trial courts to plaintiffs at the time of filing a civil complaint. It approves the format of electronic data regarding mediation effectiveness submitted quarterly by the trial courts.	Mandatory
52	CCP 404 CRC 3.501; 3.550	At the direction of the Chairperson of the Judicial Council, the AOC administers coordination of complex civil litigation, including maintaining a list of judicial officers qualified and available to preside over such proceedings, a register of such proceedings for public review, and assigning case numbers and titles. The AOC appoints a coordination attorney who acts at the direction of the Chair of the Judicial Council to	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		make recommendations for the administration of coordination proceedings.	
53	CCP 403 CRC 3.500(g)	Non-complex case coordination: The AOC reviews trial court orders submitted to the Judicial Council, transferring and consolidating non-complex cases with common issues of fact and law and confers with the presiding judges of the affected courts to ensure consistency among different jurisdictions.	Mandatory
54	Pen. Code, § 1037.1 and 1038; Pen. Code, § 1203.1 CRC 4.152(1)	The Judicial Council adopts procedures governing change of venue in criminal cases, including distribution of costs and a process for the Administrative Office of the Courts to mediate disputes between transferring and receiving courts. The Administrative Director of the Courts administers grants of change of venue of criminal cases and identifies which alternative courts are available for trial of such cases. The council also adopts procedures governing transfer of probation cases.	Mandatory
55	68609.5	The AOC assists the Judicial Council in adopting rules facilitating arbitration of uninsured motorist cases.	Mandatory
56	CRC 10.781(a); 10.782(a)	The AOC prepares model qualification standards for mediators in civil court-connected mediation programs for use by trial courts, which must establish minimum qualifications for mediators. It compiles, for submission to the Judicial Council, reports on alternative dispute resolution programs submitted by the trial courts.	Mandatory
57	CRC 5.210(g); 5.225(n) and (o); 5.230(d) and (e)	The AOC provides training and education for individuals involved with court-supervised child custody mediations, including mediators, mediation supervisors, and family court service directors. The AOC approves training and education programs for such individuals provided by other entities. The AOC conducts training, and approves training and education programs, for child custody evaluators and ensures that it	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		includes domestic violence training.	
58	CRC 5.5.18(i)	The AOC provides training and education for individuals involved with court-connected dependency mediation. It approves training and education programs for such individuals provided by other entities.	Mandatory
59	CRC 5.655(b) and (k)	The AOC creates a <i>CASA Program Policies and Procedures Manual</i> , addressing selection and management of lay volunteers who represent children in juvenile court wardship and dependency proceedings. AOC staff review and approve contracts between CASA programs and contributing public agencies or private entities.	Discretionary and mandatory (CASA contract approval)
60	68610; 68612; 68613	The Judicial Council may prepare and administer case delay reduction training programs for judges, and may develop statewide procedures, standards, and policies on case delay reduction, may receive and expend funds on delay reduction programs, may contract for performance of delay reduction obligations.	Discretionary
61	68631; 68633; 68634.5; 68641 CRC 2.258; 3.50; 8.26; 8.78; 8.818	The AOC assists the Judicial Council in adopting uniform standards and forms for waiver of court fees due in the trial and appellate courts to financial inability to pay.	Mandatory
62	68640 CRC 2.258	The Judicial Council may adopt rules allowing litigants to pay court fees in installments.	Discretionary
63	68651; 70626	The AOC assists the Judicial Council in implementing a pilot program for appointment of counsel to represent low-income persons in specified civil actions; this includes appointment of a committee to oversee and distribute project funds in selected courts.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
64	68665	The AOC assists the Judicial Council and the Supreme Court in adopting, by rule of court, competency standards for appointment of counsel in death penalty direct appeals and habeas corpus proceedings.	Mandatory
65	68926 CRC 5.180; 8.26; 8.100	The Judicial Council may adopt rules governing time and method of payment of appellate fees in civil cases.	Discretionary
66	70601	The AOC assists the Judicial Council in establishing and administering a Task Force on Civil Fees.	Mandatory
67	70617;70621 CRC 8.821	The Judicial Council may publish rules for uniform guidance to courts in applying specified civil filing fees in civil cases, rules governing fees in appeals of limited civil cases.	Discretionary
68	Pen. Code, § 853.9; Veh. Code, §§ 40500, 40510.5 40513, 40518, 40522, 40600, 40610, 40902, 42007, and 23575	The Judicial Council is required to adopt forms and rules governing traffic cases, including citations for use by law enforcement agencies, forms for bail installment payments, trial by declaration, automated red light citations, traffic school attendance, and DUI ignition interlock devices.	
69	70622; 70624; 70625	The AOC is to receive notice from Riverside County of surcharges collected for filing specified court papers to cover costs of seismic rehabilitation of courthouses, notice from San Bernardino County of surcharges collected for specified superior court filings to supplement the Courthouse Construction Fund, and notice from San Francisco County of surcharge collected a San Francisco Courthouse Construction fund.	Mandatory
70	70631	The AOC assists the Judicial Council in approving superior court fees	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		imposed for services or products not otherwise specified by statute or rule.	
71	70632	The AOC assists the Judicial Council in establishing fees for handling funds held in trust by the courts for parties and entities.	Unclear
72	70657; 70677; 71386 CRC 10.821	The Judicial Council may publish rules providing uniform guidance to the courts on fees for filing motions in probate matters, family law matters, and the acceptance of checks or money orders in payment of fees and fines.	Discretionary
73	72010; 72011	The AOC assists the Judicial Council in its duty to enter into master agreements with vendors to provide for telephone appearances in civil cases.	Mandatory

AOC GENERAL FINANCIAL MANAGEMENT/SUPPORT OF
JUDICIAL COUNCIL FINANCIAL RESPONSIBILITIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
74	CRC 10.101(c)(3) and (d)	The Administrative Director of the Courts develops policies and procedures for implementation of a yearly budget for the judicial branch, represents the judicial branch in budget negotiations with the Legislature and the Governor; and administers allocation of funds to the courts, on behalf of the council. The Administrative Director of the Courts reports to the Judicial Council on expenditures of judicial branch entity funds.	Mandatory
75	CRC 10.101(e)	The AOC develops financial procedures governing judicial branch budget preparation process, revenues, expenditures, allocations and payments,	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		monitors judicial branch entity expenditures, makes recommendations regarding fiscal priorities, and assists all courts in preparing and managing budgets.	
76	CRC 10.102	The Administrative Director of the Courts may accept gifts on behalf of the courts and the Judicial Council and may delegate that authority to specified court officers and individuals.	Discretionary
77	6103.9	The AOC and the Judicial Council may enter into a “plan of cooperation” on behalf of the courts, with counties, providing for reimbursement of the cost, to courts, of clerical and administrative costs associated with establishing and enforcing child support obligations	Discretionary
78	68933(b)	Assists the Judicial Council in administering and allocating, to the Supreme Court and the appellate courts, funds from the Appellate Court Trust Fund for court operations.	Mandatory
79	6159(c) CRC 2.258; 2.304; 3.100; 8.78; 10.820	The AOC assists the Judicial Council in approving, upon court request, the use of credit cards, debit cards, and electronic funds transfer.	Mandatory
80	9144	The AOC assists the Judicial Council, when the Legislative Analyst requests, in preparing an analysis of legislative measures with greatest potential impact on court manpower and costs.	Mandatory when requested by LAO
81	16326(c)	The executive officer of the AOC may write to the State Controller regarding state deferral of cash payments of state funds to cope with specified budget crises.	Discretionary
82	68503	The AOC assists the Judicial Council in reviewing and approving	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		payment of travel, board, and lodging expenses of council members called into session by the Chairperson of the council.	
83	68506.5; 69505 CRC 10.106	The AOC assists the Judicial Council in adoption of fiscally responsible travel reimbursement policies, procedures, and rates for the judicial branch. The Administrative Director of the Courts is required to recommend, annually, policies, schedules, and procedures for reimbursement of travel expenses, to the council for its approval. The AOC administers payment of these costs from individual courts' Trial Court Operations Fund.	Mandatory
84	68507	The AOC assists the Secretary of the Judicial Council in purchasing and installing national and state flags in Supreme Court and appellate court courtrooms.	Mandatory

AOC TRIAL COURT FINANCIAL MANAGEMENT/SUPPORT OF
JUDICIAL COUNCIL TRIAL COURT FINANCIAL OVERSIGHT

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
85	68085(a)(2)(A) CRC 10.107	The AOC assists the Judicial Council in funding the court operations of the trial courts by administration of the Trial Court Trust Fund. The council may authorize payment from this fund, on behalf of the courts, for services provided by AOC directly to the courts. The AOC assists the Judicial Council in providing quarterly reports to the courts on	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		expenditures from the Trial Court Trust Fund. The Administrative Director of the Courts must appoint annually a Trial Court Budget Working Group, comprised of judicial officers and executive officers reflecting trial court diversity, to advise on trial court budget issues.	
86	68085.1(b) and (c)(1); 68085.7	The AOC establishes bank accounts for court and county deposits of specified fees and fines, and receives reports on collections and deposits from courts and counties. The AOC is thereafter required to distribute these collections into specified funds for the support of the courts, including the Trial Court Trust Fund.	Mandatory
87	77209(b),(f),(g) and (j)	The AOC assists the Judicial Council in performing its duties of depositing specified funds into the Trial Court Improvement Fund, created to support automated administrative system improvements and the creation of statewide trial court automation. The AOC assists the council in making its required annual report to the Legislature on uses of the Trial Court Improvement Fund. The Judicial Council may delegate administration of the Trial Court Improvement Fund to the Administrative Director of the Courts.	Mandatory
88	68085.2(c) and (d)	The AOC administers annual reductions of each county's remittance to the Trial Court Trust Fund. Jointly with the California State Association of Counties, the AOC resolves court and county disputes regarding the appropriate amount of county reductions.	Mandatory
89	68085.3; 68085.4	The AOC is to establish a bank account for deposit of specified fee collected by the courts and is to distribute specified amounts to identified funds, including the Trial Court Trust Fund, the State Court Facilities Trust Fund, and the Judges' Retirement Fund, among others.	Mandatory
90	68085.5(c)(2)	The Administrative Director of the Courts reviews and approves	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	and (e)	distribution of funds pursuant to local revenue agreements or practices between courts and counties to ensure they are consistent with council trial court funding policy. The AOC and the California State Association of Counties must jointly administer and specified deposits into the Trial Court Trust Fund.	
91	68085.6(g)	The AOC, jointly with the California State Association of Counties, administers and determines each county's proportional share of the annual remittances imposed upon counties for support of the trial courts.	Mandatory
92	68085.8	The AOC and the California State Association of Counties are to assess the impact of the changes in revenue distribution and payment obligations specified and are to implement adjustments to correct identified inequities.	Mandatory
93	68502.5(a) and (b); 77202; 77207 CRC 10.501(b); 10.801	The Administrative Director of the Courts is to provide input to the Judicial Council in its annual trial court budget process, which may include evaluation of requests against council-established court performance criteria. The AOC assists the council in its duty to provide yearly budget expenditure data to the Legislature, to adopt a trial court budget, and to submit an annual trial court budget request to the Legislature. The AOC maintains trial court budget information, develops trial court budget procedures, and offers technical assistance and training to the trial courts on budget development, on request.	Mandatory
94	CRC 10.804; 10.810(b)	The AOC must adopt a financial policies and procedures manual for use by the trial courts, including accounting standards and contracting and procurement procedures, which manual is binding on the courts. The AOC publishes and distributes the Judicial Council's list of approved court operations costs.	Mandatory
95	68502.7	The AOC assists the Judicial Council in determining whether to exercise	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		its obligation to reallocate moneys to the trial courts, according to need, at any time during a fiscal year.	
96	68511.6	The AOC assists the Judicial Council in adopting rules for providing public notice about the administrative and financial functions of the trial courts.	Mandatory
97	77001; 77001.5	The AOC assists the Judicial Council in adopting rules providing for a decentralized system of trial court management and standards promoting the fair and efficient administration of justice.	Mandatory
98	77009(a) and (b)	The AOC supports the Judicial Council in establishing bank accounts on behalf of the trial courts for deposits to support trial court operations. The Administrative Director of the Courts may approve agreements between trial courts and counties for deposits of criminal fines, fees, and forfeitures into accounts established by the Judicial Council.	Discretionary
99	77009.1	The AOC supports the Judicial Council's adoption of procedures and criteria of county loans to trial courts to meet emergency monetary needs. The Administrative Director of the Courts may perform this function upon delegation by the council.	Mandatory (Judicial Council)
100	77200; 77201(e)(3)	The AOC supports the Judicial Council in its obligation to submit to the State Controller an annual allocation schedule of state funds to the trial courts and its duty to adjust allocations in amounts certified as appropriate by the State Department of Finance.	Mandatory
101	77202.5	The AOC supports the Judicial Council in receiving, from the trial courts, reports of trial court expenditures, reserves, and fund balances. It further	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	CRC 10.800(b)	supports the council in its obligation to report, to the Legislature, a summary of information received from the trial courts and approved allocations to the trial courts and to post that information on a public website.	
102	77205 CRC 10.105	The AOC assists the Judicial Council in making specified allocations of excess fine and forfeiture revenue into the Trial Court Improvement Fund.	Mandatory
103	CRC 10.811(c)	The AOC administers requests by courts for reimbursement of extraordinary costs of homicide trials.	Mandatory
104	CRC 10.815	The AOC administers trial court charges of reasonable fees for specified products and services.	Mandatory
105	CRC 10.830(b)	The AOC administers trial court disposal of surplus court personal property.	
106	77206	<p>The AOC assists the Judicial Council in exercising its ultimate authority over budget and fiscal management of the trial courts. These include implementing regulations for recordkeeping and accounting by the trial courts, providing summary information regarding trial court revenues and expenditures to the State Controller, inspection of trial court financial records, investigation of trial court financial impropriety or mismanagement, establishing a pilot auditing program for the trial courts, and providing for public access to trial court financial information.</p> <p>The Judicial Council may delegate authority to perform these functions to the Administrative Director of the Courts. The AOC is to contract with the State Controller or other cost effective state agency to perform the</p>	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
		audits specified.	
107	77206.1	Where a trial court expends funds in excess of funds allocated to it by the Judicial Council, the Administrative Director of the Courts must advise the council of that fact. The Judicial Council may appoint a person or entity to manage that court's expenditures from the Trial Court Operations Fund.	Mandatory
108	Pen. Code, § 1463.010	The AOC assists the Judicial Council in its duty to adopt a comprehensive program for collection of fees, fines, forfeitures and assessments imposed by court order, including standardized vendor agreements and performance measures of effectiveness. The Judicial Council may delegate implementation of its collection program to the Administrative Director of the Courts.	Mandatory
109	77207.5	The AOC assists the Judicial Council in allocating funds from the Trial Court Trust Fund to support implementation of automated administrative systems.	Mandatory
110	77212(d)(1) CRC 10.805	The AOC supports the Judicial Council in its authority to audit counties that provide continuing services to the courts.	Discretionary
111	77213 CRC 10.502	<p>The AOC assists the Judicial Council in its duty to administer the Judicial Administration Efficiency and Modernization Fund, created to support various judicial functions including improved technology, judicial and staff education, retention of experienced jurists, and others. The AOC supports the council's obligation to adopt criteria and procedures for distribution of these funds.</p> <p>The Judicial Council may delegate administration of this fund to the Administrative Director of the Courts.</p>	Mandatory

AOC JUDICIAL OFFICER-RELATED DUTIES AND SUPPORT OF
JUDICIAL COUNCIL JUDICIAL OFFICER-RELATED RESPONSIBILITIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
112	12011.5 CRC 9.11	The AOC collects and releases demographic data of article VI justices and judges relative to ethnicity, race, and gender, by specific jurisdiction.	Mandatory
113	68211; 75592	The AOC administers group term life insurance benefits for justices of Supreme Court and the courts of appeal and trial court judges.	Mandatory
114	68220	The AOC receives written notice from counties that they plan to terminate county-provided supplemental benefits for judges.	Mandatory
115	68110 CRC 10.505	The AOC supports the Judicial Council in its duty to prescribe, by rule of court, the style of judicial robes.	Mandatory
116	68088; 68553; 68553.5; 68555 CRC 10.461(b); 10.462(c); 10.468(b)	<p>The Judicial Council may provide by rule of court for bias and harassment training of judicial officers.</p> <p>The AOC assists the Judicial Council, which shall establish training of judicial officers on family law issues, mental health and developmental disability issues, and domestic violence issues.</p> <p>The AOC provides new appellate judge orientation programs to justices of the appellate courts and new judge orientation programs to judges and subordinate judicial officers of the trial courts. It provides education on probate guardianships, conservatorships, and fiduciary accounting to trial court judges assigned to probate departments.</p>	Mandatory and Discretionary

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
117	68504	The AOC assists the Secretary of the Judicial Council in giving notice of the death, removal, or resignation of appellate or superior court judges to the State Controller and applicable Judges Retirement System.	Mandatory
118	68543.8; 68543.5; 68544; 68545	The AOC assists the Judicial Council and the Chief Justice in making available the services of assigned, retired judges to the courts. It further assists the council in administering compensation of retired judges assigned to serve in a court of record out of appropriations made for that purpose by the Chief Justice as Chairperson of the Judicial Council.	Mandatory
119	68554 CRC 10.502(c) and (d)	The AOC supports the Judicial Council in reviewing and approving sabbatical leave for judges that will benefit the administration of justice and performance of judicial duties. AOC staff serve on the Judicial Sabbatical Review Committee.	Mandatory
120	69508; 69508.5 CRC 10.602	The AOC supports the Judicial Council in adopting, by rule, qualifications of a trial court presiding judge and the manner in which the presiding judge is to distribute court business among judges.	Discretionary
121	CRC 10.603(4)(E)	The Administrative Director of the Courts, on behalf of the Chief Justice, compiles the evaluation forms submitted by presiding judges on the performance of assigned judges. The Administrative Director investigates complaints made against assigned judges and makes recommendations to the Chief Justice regarding their resolution.	Mandatory
122	69614; 69614.2	The AOC assists the Judicial Council in reporting to Legislature on the need for additional judges and in allocating additional judges authorized to the courts.	Mandatory
123	69615(c)(1)(B),	The AOC assists the Judicial Council in determining eligible trial courts	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
	(c)(2), and (c)(3)(B)	for conversion of subordinate judicial officer positions to judgeships, in setting standards for the allocation of such conversions, and in providing notice of vacancies and allocations to the Legislature.	
124	69740	The AOC assists the Judicial Council, which may adopt rules to address sharing of expenses and resources between the trial courts of different counties.	Discretionary
125	71622(a) and (c)	The AOC supports the Judicial Council in establishing qualifications of subordinate judicial officers and in approving the number and type of subordinate judicial officer to be utilized in the trial courts.	Mandatory

AOC SUPPORT OF JUDICIAL COUNCIL
COURT FACILITIES RESPONSIBILITIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
126	70374(e)(1) CRC 10.180(a); 10.181(a); 10.182(b)	The AOC is expressly responsible for the operation, including maintenance and repair, of all court facilities owned by the state. It develops standards for alteration, remodeling, renovation, and expansion of existing facilities and for construction of new court facilities for adoption by the Judicial Council. The Administrative Office of the Court is also responsible for day to day operation and maintenance of court facilities.	Mandatory
127	70392	With respect to court facilities, the AOC is charged with providing ongoing oversight and management of trial court facilities, carrying out Judicial Council policies with respect to trial court facilities, developing for council approval master plans for trial court facilities, and constructing trial court facilities, including selection of architects and contractors.	Mandatory
128	70374(a)	The AOC assists the Judicial Council in its duty to make annual recommendations to the Governor and the Legislature regarding funding of projects and use of the State Court Facilities Construction Fund.	Mandatory
129	69202	The AOC assists the Judicial Council in its duty to make annual funding recommendations for planning, renovation, and building appellate court facilities.	Mandatory
130	70312; 70321; 70322; 70391 CRC 10.183	The AOC assists the Judicial Council, which, upon transfer from the counties, has ongoing responsibility for providing trial court facilities.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
131	70352; 70353	The AOC supports the Judicial Council in its obligation to administer the Court Facilities Trust Fund for the operation, repair, and maintenance of court facilities, its obligation to report to the Legislature, annually, on projected and actual expenditures from this fund, and its obligation to report to the State Controller regarding county payments to this fund.	Mandatory
132	70372(a)(4) CRC 4.102	The AOC assists the Judicial Council in adopting bail schedules, which provide for the collection of the State Court Construction Penalty upon specified violations, imposed to fund the Immediate and Critical Needs Account of the State Court Facilities Construction Fund. The AOC makes copies of the Uniform Bail and Penalty Schedules available to the courts upon request.	Mandatory
133	70371.5(e) and (f)(1)	The AOC supports the Judicial Council in its obligations to collect and make available information on expenditures from the Immediate and Critical Needs Account, and to make recommendations to the State Public Works Board for projects funded by this account.	Mandatory
134	70373(e)	The AOC assists the Judicial Council in its duty to administer special assessments on convictions for specified criminal offenses, imposed to fund the Immediate and Critical Needs Account of the State Court Facilities Construction Fund.	Mandatory
135	70403(a), (c) and (d)	The Administrative Director of the Courts is to receive reports by counties of expenditures from local courthouse funds and is to notify counties of inappropriate expenditures from those funds. The AOC assists the Judicial Council in making its annual report to budget and fiscal legislative committees regarding expenditures from local courthouse funds.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
136	70371.7; 70371.8	The AOC supports the obligation of the Judicial Council to report to the Legislature regarding specific court construction projects funded from the Immediate and Critical Needs Account, in acquiring real property for trial court construction projects, and reporting to the Legislature on the status of various projects.	Mandatory
137	69204; 69206 CRC 10.181	The AOC supports the Judicial Council in acquisition, construction, and maintenance of appellate courthouse facilities. The AOC is expressly directed to carry out the policies of the Judicial Council with respect to appellate facilities, to approve master plans for appellate facilities, and to construct appellate court buildings, including selection of architects and contractors.	Mandatory
138	70303(a)(2) and (f)	The AOC supports the Judicial Council's participation in the Court Facilities Dispute Resolution Committee, including selection of one member of that committee. The AOC and other agencies are to provide staff assistance to this committee.	Mandatory
139	70358	The AOC supports the Judicial Council in negotiating the cost of insurance for court facilities related to county facilities payments.	Mandatory
140	70359(e)	The Administrative Director of the Courts negotiates with counties regarding leasing of court facilities.	Mandatory
141	70361	The AOC, jointly with the California State Association of Counties, and in consultation with courts and counties, prepares forms and instructions for county facilities payment.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
142	70363	The AOC reviews, for accuracy, county facilities payments calculated by counties and submitted to the Judicial Council before transfer to the state.	Mandatory
143	70365 through 70367 CRC 10.183	The Administrative Director of the Courts and the county administrative officer review disputes on the amount of county facilities payments. The Administrative Director of the Courts participates in appeal of disputes over the amount of county facilities payments before the Court Facilities Dispute Resolution Committee.	Mandatory
144	70371.6	The AOC supports the Judicial Council in replacement of specified deficient court facilities.	Mandatory
145	70371.9	The AOC supports the obligation of the Judicial Council to conduct a pilot program in which construction managers must provide health care to construction field employees and to assess the benefits and impacts of required payments for health care expenditures. The AOC administers contracting under this pilot program.	Mandatory
146	70379	The AOC administers the Court Facilities Architecture Revolving Fund, established for the construction, alteration, repair, and improvement of trial and appellate court buildings, including both major and minor improvements to court facilities	Mandatory
147	70391.5	The AOC assists the Judicial Council in developing performance expectations and benchmark criteria for court facility proposals and in reporting to the Legislature regarding these criteria.	Mandatory
148	70391.7	The AOC assists the Judicial Council in performing its obligations with respect to design-build public-private partnerships for court facilities projects, including establishment of performance criteria, reporting to the Legislature, and other duties.	Mandatory

AOC JUDICIAL BRANCH EMPLOYEE-RELATED DUTIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
149	19825	The AOC supports the Chairperson of the Judicial Council in approval of the salaries of state court or other judicial agency employees who are exempt from civil service.	Mandatory
150	20902.5	The AOC transmits funds pursuant to the Chief Justice’s decision to provide retirement incentives to judicial branch employees.	Mandatory
151	68114.10; 71623.5 CRC 10.350(b)	The AOC administers the Judicial Branch Workers’ Compensation Fund and the workers’ compensation claims of judicial branch employees, including trial court employees. The AOC’s duties include contracting with a vendor for this service, notifying the courts of the terms of this program, and making staff available to the courts to consult regarding workers’ compensation costs and benefits.	Mandatory
152	71639.5; 71675; 71825.2 CRC 10.660; 10.500; 10.803	The AOC supports the Judicial Council in adopting rules that provide for resolution of controversies arising out of trial court labor disputes, including access to Judicial Council and court budget and management information.	Mandatory
153	CRC 10.761(b) and (e); 10.762(d)	The AOC provides staff to each of four Regional Interpreter Employment Committees to negotiate the terms and conditions of employment of court interpreters. AOC employees serve as regional court interpreter coordinators, which cross-assign court interpreters to the courts of other regions and manage compensation of cross-assigned interpreters.	Mandatory
154	CRC 10.670(e)	If requested, the AOC reviews the personnel plans required of the trial courts by rule and provides technical assistance in preparing these plans.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
155	CRC 10.301; 10.473(b); 10.478(b)	The AOC provides specified judicial branch employees and members of the Judicial Council with an ethics orientation course. It provides newly appointed court executive officers with an educational program on court management. It provides probate examiners and attorneys and court investigators with required education on court processes and specified topics.	Mandatory

AOC GENERAL TRIAL COURT MANAGEMENT DUTIES

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
156	68106	The AOC assists the Judicial Council in notifying the public of planned trial court closures of courtrooms or reductions of hours, including website posting, and in notifying the Legislature of these closures and hours reductions.	Mandatory
157	68516	The AOC may provide administrative support and oversight services to tax-exempt entities created by the Judicial Council for the purpose of funding government purposes.	Discretionary
158	69921(c); 69925 CRC 10.172	The AOC reviews and accepts court security plans submitted by the trial courts. It assists the Judicial Council in reporting a summary of the plans to the Legislature.	Mandatory

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
159	69926	The Administrative Director of the Courts in conjunction with the California State Sheriffs' Association is responsible for determining mediation assistance when courts and sheriffs can not agree to a memorandum of understanding. The AOC staffs mediations as required by the Administrative Director of the Courts.	Mandatory
160	69957; 69958 CRC 8.837; 8.869; 8.916; 8.917	The AOC assists the Judicial Council in approving purchase of electronic recording equipment, ensuring such equipment is utilized in accordance with statute, and in reporting to the Legislature on the purchase and lease of electronic recording equipment.	Mandatory
161	CRC 10.630	The AOC maintains reciprocal assignment orders issued by the Chief, which permit the judges of trial courts to serve on the courts of other counties.	Mandatory
162	Pen. Code, § 94 CRC 10.742(c)	The AOC assists the Judicial Council in its duty to prescribe the lawful compensation of temporary judges. The AOC maintains quarterly reports required of the trial courts by rule, reporting on the use of attorneys as temporary judges.	Mandatory
163	CRC 10.854; 10.855(f)(2)	The AOC must adopt a Trial Courts Records Manual, establishing binding standards for the creation, maintenance, and retention of adjudicative trial court case records. The AOC supports the Judicial Council in its obligation to provide trial courts with a yearly list of cases accepted for Supreme Court review, for purposes of a superior court records preservation sampling program.	Mandatory
164	CRC 10.960	The AOC must adopt and update guidelines and procedures for operation of trial court self-help centers.	Mandatory

AOC JUDICIAL BRANCH TECHNOLOGY SUPPORT

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
165	68090.8(b); 68500.1 CRC 10.870	The AOC supports the Judicial Council in establishing performance standards for development of automated systems and data collection as resource to courts and judicial branch entities. The AOC must adopt and publish approved Judicial Council automation standards.	Mandatory
166	68511.8	The AOC assists the Judicial Council in providing required annual reports to the Legislature regarding California Case Management System (CCMS). The AOC is expressly required to report, annually, to the Legislature regarding independent project oversight reports on CCMS and to describe actions taken to address identified deficiencies. The AOC is expressly required to retain independent consultant to review and evaluate CCMS, to provide that report to the Legislature, and to rectify identified deficiencies.	Mandatory
167	68511.9	The AOC is required to consult with the Office of the State Chief Information Officer regarding CCMS and other information technology projects, to ensure that projects meet programmatic needs, that feasible alternatives are considered, and that governance and management are designed to ensure project success. The AOC is required to provide the Office of the State Chief Information Officer specified information regarding project costs, schedule and risks regarding CCMS and other information technology projects.	Mandatory
168	68513	AOC supports the Judicial Council in providing for uniform entry, storage, and retrieval of specified data in unlimited civil cases and reporting that information to the Legislature	Mandatory
169	77207.5	The AOC supports the Judicial Council in making monthly allocations from the Trial Court Trust Fund to the trial courts for automated administrative systems.	Mandatory

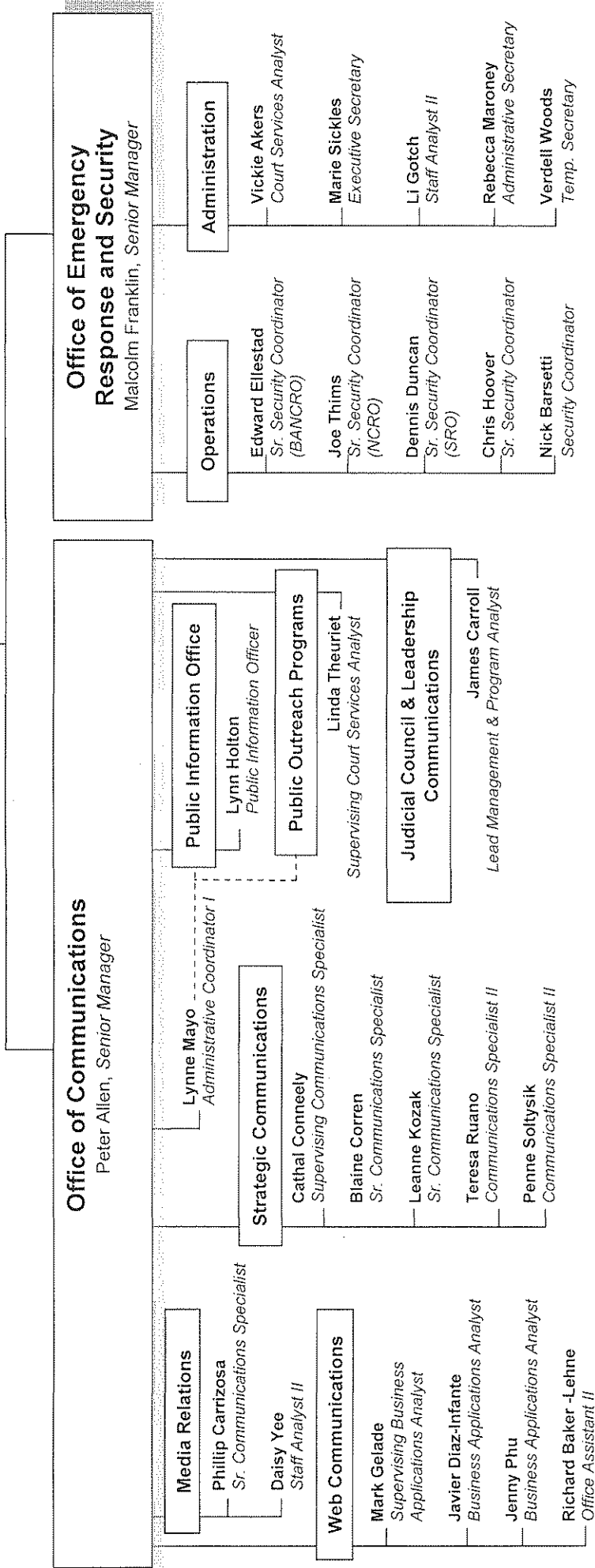
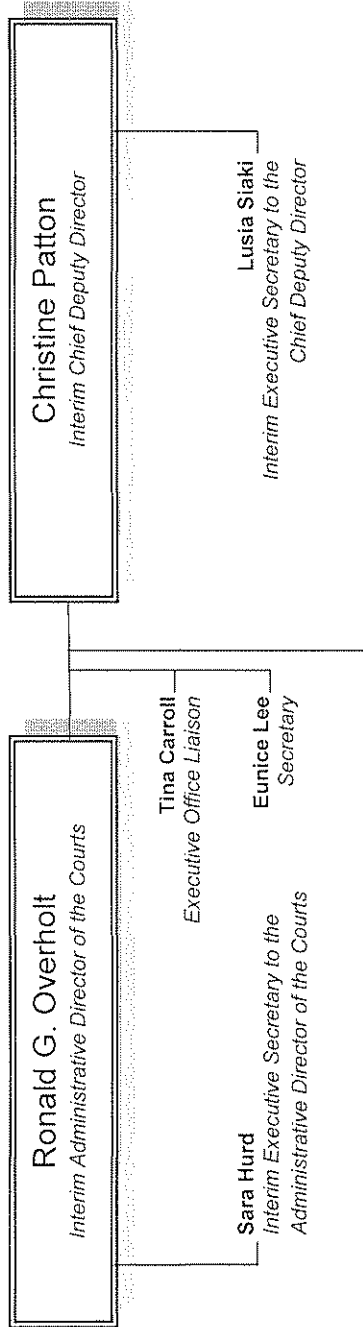
AOC JUDICIAL BRANCH LITIGATION MANAGEMENT

Item	Gov. Code § (and any affiliated Rule of Court)	Description of Statute	Mandatory or Optional
170	811.9; 948.1 CRC 10.201- 10.203	The AOC manages actions, proceedings, and claims against the courts, judicial officers, subordinate judicial officers, court executives, and trial court employees, including selecting counsel, case management, and making strategic litigation and settlement decisions.	Mandatory
171	77204	The AOC assists the Judicial Council in allocating funds from the Trial Court Trust Fund for paying legal costs of claims made against the state, the council, or the AOC.	Mandatory
172	965(c); 965.2	The AOC certifies sufficiency of funds to satisfy claims and judgments arising from the activities of judicial branch entities or judges, confers with the Chairperson of the California Victim Compensation and Government Claims Board in the event of insufficient funds to satisfy these claims and judgments, and seeks legislative appropriations to satisfy such unpaid claims and judgments.	Mandatory
173	965.65 CRC 10.14(a)(2)	The Administrative Director of the Courts must report to Judicial Council regarding actions taken to prevent future occurrences of claims against judicial branch entities and personnel. The Administrative Director consults with the council regarding important strategic decisions.	Mandatory



ADMINISTRATIVE OFFICE OF THE COURTS

EXECUTIVE OFFICE



**Executive Office
Five-Year Fiscal Summary**

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Personal Services										
Salaries and Wages	\$ 836,402	\$ 923,582	10.4%	\$ 830,220	-10.1%	\$ 814,833	-1.9%	\$ 846,643	3.9%	1.2%
Benefits	242,850	283,913	16.9%	259,961	-8.4%	262,335	0.9%	279,022	6.4%	14.9%
Subtotal Personal Services	\$ 1,079,253	\$ 1,207,494	11.9%	\$ 1,090,181	-9.7%	\$ 1,077,168	-1.2%	\$ 1,125,664	4.5%	4.3%
Operating Expense & Equipment (OE&E)										
Rent	\$ 106,443	\$ 132,919	24.9%	\$ 143,957	8.3%	\$ 125,266	-13.0%	\$ 125,921	0.5%	18.3%
OE&E (Excludes Rent)	1,192,251	889,227	-25.4%	708,211	-20.4%	1,088,352	53.7%	666,519	-38.8%	-44.1%
Subtotal OE&E	\$ 1,298,694	\$ 1,022,146	-21.3%	\$ 852,167	-16.6%	\$ 1,213,618	42.4%	\$ 792,440	-34.7%	-39.0%
TOTAL EXPENDITURES	\$ 2,377,947	\$ 2,229,641	-6.2%	\$ 1,942,348	-12.9%	\$ 2,290,786	17.9%	\$ 1,918,105	-16.3%	-19.3%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10 ³	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 2,338,100	\$ 2,187,726	-6.4%	\$ 1,901,934	-13.1%	\$ 2,267,007	19.2%	\$ 1,898,915	-16.2%	-18.8%
Administration of Justice Fund	39,847	41,914	5.2%	40,414	-3.6%	23,779	-41.2%	19,190	-19.3%	-51.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 2,377,947	\$ 2,229,640	-6.2%	\$ 1,942,348	-12.9%	\$ 2,290,786	17.9%	\$ 1,918,105	-16.3%	-19.3%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

Office of Communications

Peter Allen
Senior Manager

Overview of Administrative Office of the Courts Programs and Resources Office of Communications

I. Organizational Structure of the Division and Services Provided

[Effective September 1, 2011 the Office of Communications will become an Office within the AOC's Executive Office (not a division).]

OVERVIEW

The Office of Communications has developed out of the need to enhance the scope and efficiency of producing the constitutionally required report to the Governor and the Legislature with the creation of the Public Information Officer position in 1964. The Office is responsible for communications planning and implementation to further the goals and objectives of the Judicial Council and priority programs of the judicial branch. We support and promote branchwide communications as outlined by the Branchwide Communications Workgroup in their 2005 *California Courts Connected* initiative—"Creating the Infrastructure for More Effective Judicial Branch Communications".

Unit Goals

- Establish and maintain the protocols, procedures, and media required to facilitate and improve internal and branchwide communications;
- Keep judges and court management informed about Judicial Council actions, the work of the AOC, and issues that affect the state's court system;
- Support the work of the council, the branch and the AOC through communications planning and cost-effective outreach programs;
- Facilitate use of online communications and development of the next generation of the California courts Web site; and
- Work to maintain and strengthen public trust and confidence in the state's judicial system.

ORGANIZATIONAL STRUCTURE

The Office is structured to design, implement, and evaluate communications programs either by client support assignment or by communications function and service (please see attached organizational chart for reporting relationships, staffing assignments, and structure).

A staff of 16 (15.13 FTEs) work on communications programs in six key client-assignment or functional service areas through an agency-model that allows for cross-assignments and support for all priority programs as required under the leadership and direction of the Senior Manager. The Senior Manager coordinates the strategic, operational, and administrative functions of the Office. He fosters communications best practices and planning, identifies collaborative opportunities throughout the AOC and the judicial branch, and provides solutions to meet the needs of programs and their audiences—specializing in media relations and crisis communications.

The six key client-assignment and functional service areas are:

1. Public Information Officer
2. Chief Justice, Judicial Council, and Administrative Director Communications
3. Public Outreach Programs
4. Strategic Communications

5. Media Relations
6. Web Communications

Public Information Officer (PIO)

The PIO is responsible for providing media relations and outreach activity support to the Chief Justice, the Supreme Court, the Judicial Council, the Courts of Appeal, and the Commission on Judicial Appointments.

Roles and Responsibilities Summary:

- News releases and media advisories
- Oral argument, state of the judiciary, outreach activity, and hearings media event management
- Annual Chief Justice Media Briefing
- Editorial Board Meetings
- Media liaison

Judicial Council and Leadership Communications

A Lead Management and Program Analyst counsels the Chief Justice, Judicial Council leadership, and the Administrative Director of the Courts on communications strategies, tools, and best practices in support of their governance roles and responsibilities for the judicial branch, and develops and implements agreed-upon strategies, channels, and deliverables.

Roles and Responsibilities Summary:

- Communications counseling
- Strategic Messaging Development
- Speechwriting
- Talking Points
- Communications Channel Development
- Video script writing
- Pre- and Post-Judicial Council Meeting Briefings to Judicial Officers
- *California Courts News Alert*—Briefings and updates by judicial leaders to the judicial branch

Public Outreach Programs

A part-time Supervising Court Services Analyst coordinates current Judicial Council outreach planning efforts and supports special projects.

Roles and Responsibilities Summary:

- Commission for Impartial Courts
- Commission for Impartial Courts—Public Information and Education Task Force
- Bench-Bar-Media Committee
- Committee communications coordination, reporting, and planning
- Special Projects

Strategic Communications Group

A supervising Communications Specialist, two Senior Communications Specialists and two Communications Specialist IIs identify and implement strategic communications in support of priority

programs and branchwide communications—report on the work of the council, the AOC, and the courts, and on issues facing the judicial branch through a variety of print, broadcast, and online.

Roles and Responsibilities Summary:

- Strategic communications consulting
- Judicial Branch Capital Construction Program and Facilities Management Program Communications (strategy, communications program design, messaging, media relations, web content management, event materials, local court/project advisory group support, outreach)
- AOC Internal Communications Program (Program design and implementation, AOC Business Intranet Strategy and Content Management, *AOC Headlines*, Employee Communications Coordination)
- *California Courts News* (video news and information—branchwide communications with judicial branch and local court coverage—expanded to public outreach through *California Courts Website*)
- Local Court Public Information Officer support (high profile cases, crisis communications, media relations, and *Media Handbook and Resource Guide*)
- *Court News Update* (weekly judicial branch news and information eNewsletter—consolidates branchwide communications into a single publication)
- Online communications (priority program eNewsletters, Web news and information publishing through *California Courts* and *Serranus* and video through *California Courts YouTube Channel*)

Media Relations Group

Under the direction of the Senior Manager a Senior Communications Specialist and a Staff Analyst II provide media relations and liaison support for judicial branch and AOC priority program implementation. Prepares and distributes *eNews* (daily electronic news clipping service of judicial branch and justice system news coverage), as well as the Annual Report and publications (such as *California Courts Review*—currently suspended as a cost-saving measure).

Roles and Responsibilities Summary:

- Media relations and liaison for judicial branch and AOC priority programs
- News releases and media advisories
- *eNews*
- Annual report
- *California Courts Review*

Web Communications Group

A Supervising Business Applications Analyst, two Business Applications Analysts, and an Office Assistant II manage Web content and design strategy for the Judicial Council and the AOC. They coordinate implementation of the online portion of the *California Courts Connected* (branchwide communications infrastructure plan) and are currently responsible for redesign projects involving the *California Courts*, *Serranus*, and related Websites and the *Trial Court Web Redesign Project*—involving 19 trial courts.

Roles and Responsibilities Summary:

- *California Courts* and *Serranus* Website Content Management (RedDot content management system) —processes updates for the Judicial Council, Supreme Court, Courts of Appeal, and the AOC
- Judicial Branch and Trial Court Web Assessment and Redesign Projects
- Defines and supports the user experience, strategy, and site design guidelines and standards for judicial branch sites

- Provides communications consulting to units to support their online communication goals
- Supports Collaborative Governance by staffing the Enterprise Web Strategy Team, Web Advisory Board and leading the AOC Web User Group.
- Develops and disseminates Trial Court Web Templates and provides content migration and implementation assistance
- *Listserve Central* (19 court professionals communities of practice)

SERVICES

All of our services are designed around communicating to all judicial branch, justice system partner, and public audiences. The objectives for our programs and activities are to support the strategic goals of the judicial council and the ongoing efforts of the *California Courts Connected* branchwide communications planning.

Our services support all of the 6 goals, 29 objectives, and 84 desired outcomes of the judicial council's strategic and operational plans but given the nature of our work one goal in particular, its recommended policies and objectives, requires specific attention from our Office and allocation of our resources:

Judicial Council Strategic Goal II: Independence and Accountability:

"The judiciary must maintain its status as an independent, separate, and equal branch of government. The independence of judicial decisionmaking will be protected in order to preserve the rule of law and ensure the fair, impartial, and efficient delivery of justice. The judiciary will unify in its advocacy for resources and policies that support and protect independent and impartial judicial decisionmaking in accordance with the constitution and the law. The branch will maintain the highest standards of accountability for its use of public resources, and adherence to its statutory and constitutional mandates.

Recommended Policies: B. Branch Independence and Accountability

5. Establish improved branchwide instruments for reporting to the public and other branches of government on the judicial branch's use of public resources.
7. Promote a basic understanding of the courts, the judicial branch, and issues of branchwide concern to other government branches and representatives, legal and educational communities, community groups, and the general public.

Objective 3.

Improve communication within the judicial branch, with other branches of government, with members of the bar, and with the public to achieve better understanding of statewide issues that impact the delivery of justice.

- a. Communications by judicial branch leaders (including speeches, news releases, Web site content, legal opinions, position papers) about issues of importance to the judicial branch and made readily available to appropriate judicial branch personnel, parties within other branches of government, and the public
- b. Communications to the courts, the public, and the press consistent with the branchwide strategic priorities

Summary of specific programs or actions taken to date:

In support of this strategic goal and operational objective the Office of Communications has developed or implemented the following programs and services:

BRANCH LEADER COMMUNICATIONS

Communications from the Chief Justice and AOC Executive Office – updates for Judicial Council leaders, court leaders, justices and judges, Administrative Office of the Courts staff, media, and public; examples include e-mail updates, online videos, memos from the council's E&P committee, presentations at Presiding Judges and Court Executives Advisory Committees, legislative hearings, news releases, speeches at public events and ceremonies

MEDIA

Media relations - disseminating news releases, answering media inquiries and providing information, assisting with op-ed pieces, coordinating quotes and comments for developing stories

Regional public information officer support - supporting local trial courts on high-profile cases, court construction events, and other media relations issues

Media Handbook for California Court Professionals - a guide for those responsible for media relations in their court; contains examples of news releases, media coverage, media plans and policies, and more

DIRECTLY TO THE PUBLIC

Answer queries from the public - through our public website, e-mail, and phoneline

Public records requests - responding to requests for administrative records under California Rules of Court, rule 10.500 [2011: *Public Records Requests program responsibility now transferred to the Executive Office Programs Divisions' Administrative Unit—records requests from the media may still initially come through the PIO or Media Relations Team*]

WORKING GROUPS

Commission for Impartial Courts (CIC)—Task Force on Public Information and Education - staff support to one of the four task forces of CIC; task force's charge and recommendations dealt with strategies to improve civics education and to increase opportunities for public outreach

Bench Bar Media Group - staff support to first statewide bench-bar-media committee, which sunsetted December 2010; report to Judicial Council is due later this year and includes recommendations that would improve media access to court proceedings and records, enhance education about the roles and responsibilities of the courts and media, and help resolve media access conflicts in a manner that protects and promotes the administration of justice

Web Advisory Board – staff support to Web Advisory Board, which provides policy and strategic direction for judicial branch Web properties; areas of oversight include: accessibility standards; privacy policies; infrastructure resource allocation; web publishing policies; and trial court web site template development and distribution

PUBLICATIONS

Judicial Council Annual Report - summarizes Judicial Council achievements and court workload information for the fiscal year; achievements of the judicial branch are the result the court system's actions to improve the administration of justice and its continued cooperation with and assistance from California's executive and legislative branches of government

California Courts Review - quarterly magazine by, for, and about the state judicial branch; articles submitted by justices, judges, court executive officers, court staff, attorneys, and other judicial branch partners [suspended as a cost-saving measure—communications need partially addressed through other channels]

Court News Update - e-mail briefing on judicial administration in California sent statewide every Tuesday to Judicial Council members, council advisory committee chairs, justices, appellate court clerk/administrators, judges, commissioners, referees, court executive officers, and other interested court professionals

eNews - daily clipping service of news, editorials, and commentary that deal with or affect the state or federal court systems; E-News does not verify or endorse the accuracy or fairness of the news items, and the views expressed in the editorials and commentaries are those of the writers only

eNewsletters - some AOC divisions produce their own periodic newsletters that focus on their particular audiences; topics include the Phoenix Financial and Human Resources System, domestic violence, courthouse facilities and construction, legislative news (Capitol Connection)

Judicial Council Profile - online booklet that provides general information about the council's organization, structure, history, accomplishments, goals, and current challenges; also contains a roster of members who have served on the Judicial Council from 1926 to the present

Judicial Leadership Directory - provides contact information for key branch personnel, along with advisory committee and task force rosters, facts on the California courts, key dates for 2011, and superior court Web addresses

Fact sheets - online fact sheets on important issues affecting court administration.

Visitors Guides - online pamphlets that summarize the roles of the California Supreme Court, Courts of Appeal, and the Superior Courts

AOC Headlines - weekly e-mail briefing on news, events, and resources for AOC staff that helps coordinate and consolidate the agency's communications; ensures that AOC staff are aware of what's happening and where to find information so they can better serve the courts and the public

VIDEO/PHOTO

California Courts News - video stories exclusively posted online as they are produced, enabling timely publication and the ability to reach a broad audience; depending on the nature of the story and the target audience, CCN can post the videos on our websites for the AOC, the courts, and/or the public; individual courts may also post CCN videos on their own websites, as desired

Day in the Life of the Courts photo series - photo exhibits documenting the services of California's courts; exhibits are displayed outside the Judicial Council boardroom and rotate to other venues; also made available for viewing online on the California Courts public website [*suspended as a cost-saving measure*]

WEB/ONLINE

California Courts public website content management - manage day-to-day content for our public website; includes adding new information and making updates and improvements

Serranus website content management - manage day-to-day content for our website that is exclusively for courts and the AOC; includes adding new information and making updates and improvements

Listserve Central - facilitates communication among 19 communities of practice in the courts by offering group email discussion listserves; provides companion web pages on Serranus for posting resource materials

FactCheck - a resource section on Serranus for judges and court staff to provide context for branch issues, particularly those that have been misrepresented and require clarification. Initial topics include court closures, trailer bill legislation, AOC growth, and CCMS expenditures

Justice partner website content management - manage day-to-day content for our websites designed for courts, the AOC, and justice partners to share information; includes adding new information and making updates and improvements

AOC Business Intranet website content management - manage day-to-day content for the website that is for AOC staff; includes adding new information and making updates and improvements; ensures that AOC staff are aware of what's happening and where to find information so they can better serve the courts and the public

Judicial Branch Web Assessment and Redesign Project - improve the overall usability of all judicial branch websites and create a cohesive, scalable visual identity for branchwide web properties

Trial Court Web Assessment and Redesign Project - In November 2009, after completion of a comprehensive Trial Court Web User Assessment and in partnership with a working group of 10 trial courts, the AOC established a new voluntary set of Trial Court Web Templates designed to increase ease-of-use and improve overall user satisfaction

California Courts YouTube channel - expanding the reach of judicial branch videos, reducing costs, and enhancing capabilities (such as multi-lingual caption translations), we have established the "California Courts" Channel on YouTube

California Courts Twitter account - free microblogging platform that allows us to post short (140-character) messages known as "tweets" about news and information regarding the California court system

OTHER

AOC Internal Communications Program - provides AOC staff with access to information and tools necessary to do their jobs effectively; this access improves the communication, collaboration, climate, and productivity within the agency so it can better serve the courts and improve the administration of justice in California

Graphic Standards - ensure a consistent and professional look to Judicial Council and AOC publications and reports; helps recipients identify who produced the publication

Other Judicial Branch Goals Served

Goal I: Access, Fairness, and Diversity

Office of Communications support/service:

- Access to courts and the work of the Judicial Council is enhanced through better functioning websites. All judicial branch websites are designed to enhance accessibility to the courts and to the judicial branch by individuals with disabilities.

Goal III: Modernization of Management and Administration

Office of Communications support/service:

- It has been more than 10 years since a redesign of judicial branch websites was undertaken. The redesign will ensure that site visitors can easily find information and resources. The new Web Content Management System is helping to decentralize web publishing throughout the AOC, so that content can be posted in a timelier manner.
- We have contributed a Crisis Communication section to the judicial branch Continuity of Operations planning model.

Goal IV: Quality of Justice and Service to the Public

Office of Communications support/service:

- Access to the work of the Judicial Council, the AOC, and trial courts via the Web is a critical service to the public. The California Courts website provides the largest, most comprehensive online Self-Help center in the country. The site also provides educational and community outreach materials to help educators and students learn more about the third branch of state government. The Trial Court Web Redesign Project has also raised the profile of and access to jury services on participating trial court websites.
- The Bench Bar Media Committee continues to seek solutions to improve relationships, understanding, and cooperation between the judiciary, attorneys, and the media.
- The PubInfo phoneline and e-mail box provides access for the public to information on branch and court services and responses to their questions.

Goal V: Education for Branchwide Professional Excellence

Office of Communications support/service:

- One the key redesign goals of Serranus is to improve the delivery of educational materials for judges and justices. Serranus delivers the bulk of all court administration and judicial education courses, all accessible via a web browser.

- We also partner with the Education Division by providing faculty for the Institute of Court Management course on *Court Community Communications* to enable court professionals to become certified court managers at a reduced cost to the courts and the individuals involved.

Goal VI: Branchwide Infrastructure for Service Excellence

Office of Communications support/service:

- The implementation of a centralized Web Content Management System (WCMS) and the creation and delivery of Web templates represents a significant contribution to the enhancement of our administrative and technical infrastructure. Our Web communication apparatus is now more streamlined and is taking advantage of 21st century web technologies to connect the work of the judicial branch to all Californians.
- Listserve Central facilitates collaboration and information sharing throughout the judicial branch through communities of practice for those involved in specific court functions and services.
- Conducted YouTube Webinars with interested trial courts to share lessons learned from our experience in developing the California Courts YouTube Channel, share insights and tips, provide guidance for implementation, and answer court questions.

California Courts Connected

In February 2005 the Branchwide Communications Workgroup published the draft of a plan for branchwide communications infrastructure—California Courts Connected—containing protocols and procedures for increasing and improving communication within the judicial branch and identifying the tools necessary to ensure timely and accurate exchanges of information among the council, its advisory committees, the AOC, and the courts.

A collaborative workplan that created the infrastructure for more effective judicial branch communications. The 16-page plan establishes the infrastructure for more effective branch communications. It presents three models, proposes solutions to address identified needs, and clarifies the roles and responsibilities of each branch stakeholder in improving communications.

[Original] Branchwide Communications Workgroup:

- Judge Donna Hitchens, Superior Court of San Francisco County
- Judge Douglas Miller, Superior Court of Riverside County
- Judge J. Michael Welch, Superior Court of San Bernardino County
- Mr. Dwight Clark, Superior Court of Humboldt County
- Ms. Barbara Fox, Superior Court of Santa Cruz County
- Ms. Mary Beth Todd, Superior Court of Calaveras County

Services and service offering changes implemented by the Office of Communications as a result of the *California Courts Connected* process:

- Establish Court News Update (weekly e-mail briefing from the AOC to court leaders) as the preferred channel for AOC-to-courts communication; expand distribution to court administrators and communities of practice; consolidate print and electronic newsletters from the AOC.
- Create and maintain interactive Serranus Web site pages for all Judicial Council advisory committees and task forces
- Encourage greater use of branchwide media (as readers and viewers but also as sources and contributors) among court leaders.
- Establish multiple listserves and corresponding shared online resource centers for communities of practice (finance, human resources, technology, etc.) and for areas of court administration (access and fairness, family law, pro per assistance).
- Reorient Court News to a monthly online publication for more timely delivery of branch news and more universal distribution in the branch.
- Discontinue HR Connect and incorporate content into Court News, CCN, and other media.
- Develop branchwide publication: To fulfill need for print publication (authoritative source, forum for court leaders, for pass-along distribution within courts), develop quarterly newsmagazine distributed in bulk to court locations. [California Courts Review]
- Consolidate news clipping services emanating from the AOC within the Public Information Office.

Phase II—Services yet to be determined

After completion of phase one, a second phase of branchwide communication planning could focus on the timely and accurate dissemination of information outside the branch with primary stakeholders, including sister branches of government, law and justice partners, and other legal services providers.

California Courts Connected remains a clear guide and focus for the Office of Communications not only in the programs and services we manage but also in terms of our goals for effective branchwide communications. Combined with the goals, objectives, and desired outcomes of the Judicial Council's strategic and operational planning process they determine the focus, scope, and character of the Office of Communications service offerings.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

ACCOMPLISHMENTS

There have been many achievements since fiscal year 2005/2006 but five main accomplishments stand out as representing the range and scope of the work of the Office of Communications—they demonstrate the quality of our work and also have had the greatest impact for clients, audiences, and the judicial branch:

1. **Web Strategy and Redesigns**—Judicial Branch and Trial Court Projects
2. **Priority Program Support**—Judicial Branch Capital Construction and Facilities Management Communications Programs
3. **Judicial Branch** (Supreme Court, Chief Justice, Judicial Council, AOC) **and Local Court Media Relations/PIO Support Program**
4. **California Courts News/California Courts YouTube Channel** Video Strategy and Local Court Coverage Strategy
5. **AOC Internal Communications Program**

ACHIEVEMENTS

Summary of some of our achievements since 2005/2006:

2005

- **Celebration of the 100th Anniversary of the California Courts of Appeal** with the development of a video, educational exhibit panels, a historical booklet, logo and related materials.
- **The Statewide Judicial Branch Conference** in conjunction with the California Judges Association Annual Meeting and the 2005 State Bar of California Annual Meeting—informational materials were shared with the judicial branch and justice system partners during the conferences and at a special knowledge fair.
- **Supreme Court Arguments Broadcasts:**
 - To improve public understanding of the judiciary, the state high court held a special outreach session in Shasta County in October. More than 700 high school and college students from Lassen, Siskiyou, Tehama, Trinity, and Shasta Counties attended the arguments and participated in a question-and-answer session with the justices. The

arguments also were broadcast on the California Channel, a public affairs cable network that reaches 5.6 million viewers.

- The California Channel also broadcast live coverage of oral arguments in two cases heard in Los Angeles, one involving the constitutionality of the California Coastal Commission and the other involving the effect of two U.S. Supreme Court rulings on California's Determinate Sentencing Law, as well as three widely watched cases that were argued on the parental rights of same-sex partners.
- **On the Web:**
 - Working with the Judicial Service Advisory Committee, the Office of Communications launched a new "*Justices and Judges*" section on Serranus. Highlights include a "What's New" section to post timely announcements, news, and site updates; a new resource center with more than 70 links to news, information, associations, and judicial resources; main functional content areas to help make finding information easier; and the aggregation of numerous links into one, easy-to-use section.
 - The court experts, the Kelps Award Program, and the Office of Communications created another site on the California Courts Web site to enable courts to share innovative practices with court administrators statewide. The site provides information about recent winners of the Ralph N. Kleps Awards, which recognize contributions made by individual courts to the administration of justice.
 - On Serranus IS and the Office of Communications created a Web section to assist local courts in donating, selling, or exchanging surplus goods within the judicial branch. The site allows any judicial branch entity to post a list of available items, including computer equipment, furniture, and lighting fixtures. Interested parties may then directly contact the party who posted the information to arrange for a sale, a donation, or an exchange of goods.

2006

- **More Court Interpreters Recruited**—The Court Interpreters Program (CIP) and the Office of Communications teamed together in to launch a campaign to recruit qualified interpreters through the state's increasingly influential multilingual ethnic media. The campaign was coordinated through New America Media, an editorial and marketing association of more than 400 ethnic news organizations. The "One Law. Many Languages" recruitment campaign initiated a successful periodic recruitment program to increase awareness of court interpreter opportunities among targeted non-English speaking communities.
- **AOC Works to Improve Web Sites**—The Office of Communications undertook a comprehensive user assessment of all judicial branch Web sites to help lay the foundation for future improvements. The study analyzed the effectiveness of the California Courts public Web site, Center for Families, Children & the Courts Web site, the Serranus Web site, the Education Division/Center for Judicial Education and Research (CJER) portal, and COMET Web site. The results of the assessment concluded that while AOC Web sites do an excellent job of presenting audiences with necessary and useful information, opportunities for improvement exist in both visual design consistency and ease of use. The next step in addressing these issues will be a series of redesign initiatives that will commence in 2007. The Office of Communications is following the lead of State Chief Information Officer Clark Kelso and the California State Portal in transforming our own sites into more citizen-centric venues for sharing information, resources, and knowledge.
- **More Communities of Practice Connected**—The Office of Communications continued to expand the number of listserves that connect communities of practice across the branch. The AOC added four new listserves throughout 2006, including the EducationNetwork, procurementNetwork, PJ_APJNetwork, and SecurityNetwork. There are now a total of 10 listserves, with more to come. These easy to use group discussion forums facilitate the exchange of information and best practices across the state and allow a free-flowing dialogue among peers. *[There are currently 20 listserve communities of practice]*

- **Court Security Improvements Begun**—Continuity of operations (COOP) planning is designed to assist in recovery of court operations following a disaster. The AOC Office of Emergency Response and Security developed statewide court security standards that will provide a basis for determining which courts need assistance and the nature of the assistance needed to improve safety and security at their facilities. The Office of Communications contributed a crisis communications module to the program.

2007

- **Commission for Impartial Courts Formed**—In September 2007 the Commission for Impartial Courts was formed to study and recommend ways to ensure judicial impartiality and accountability for the benefit of Californians. The commission’s steering committee, headed by Supreme Court Associate Justice Ming W. Chin, began overseeing and coordinating the work of four task forces that are studying judicial selection and retention, judicial candidate campaign conduct, judicial campaign finance, and public information and education. The Office of Communications supported and promoted the work of the Commission and staffed the Task Force on Public Education and Outreach.

Number of Staff and Time Committed

2007-2009 Committee Term with occasional JC reporting in 2010 and 2011

Manager	200 hours
Sup. Court Services Analyst	2,000
CSA	120
Administrative Coordinator	70

- **Celebrating Jury Service**—The willingness of citizens to serve as jurors is absolutely essential in America’s system of justice. Courts throughout the state celebrated Juror Appreciation Week to recognize jurors for their vital role in the justice system and to show appreciation for their service. In 2007, the Office of Communications joined in the statewide celebration by distributing DVD copies of *Courts Illustrated*, a new one-hour video newsmagazine designed to be viewed in the waiting areas of court buildings. The video seeks to engage court users and members of the public who have answered the call to jury service and to educate them about the branch.

2008

- **Improving Communication With the Media**—Because the media perform a key function in explaining the role of independent courts to the public, in March 2008 the Judicial Council’s first Bench-Bar-Media Committee was appointed to foster understanding and working relationships among California judges, lawyers, and journalists who cover legal issues and the courts. The committee, was headed by then Supreme Court Associate Justice Carlos R. Moreno, and will work toward establishing bench-bar-media committees in all 58 California counties and will eventually discuss such topics as cameras in the courts and public access to court records.

Number of Staff and Time Committed

2009- 2010 (committee and four working groups)

Manager	300 hours
Sup. Court Services Analyst	2,000
Sr. Court Services Analyst	4,000
Administrative Coordinator	70

- **Awards**

2008
Gold Award
“Media Handbook”
Special Publications
State Information Officers Council (SIOC)

2008
Gold Award
“California Courts Review”
Magazine
State Information Officers Council (SIOC)

2009
American Inhouse Design Award
“California Courts Review, Fall 2007 – Winter 2008
Graphic Design USA

2009

- **Public Access Rules Adopted**—In December 2009, the Judicial Council adopted new rules to provide for public access to administrative records of the appellate and trial courts, the Judicial Council, and the AOC. The Office of Communications was initially responsible for designing a process and procedures to manage and process requests for the Judicial Council and AOC.

2010

- **Trial Court Web Resources Project**—The Office of Communications provides newly designed Trial Court Web Site templates based on research conducted on both judicial branch and local trial court Websites:
 - Ten courts are currently live with the new templates: Amador, Lake, Humboldt, Sonoma, Santa Clara, Santa Cruz, San Mateo, Merced, Riverside, Yuba
 - The following courts are in process: Calaveras, Napa, San Francisco, Tuolumne
 - The following courts have requested assistance (pending release/rollover of our unused FY10-11 TCIF funds): Stanislaus, San Mateo (migration to Drupal CMS), Tulare, Shasta, Santa Barbara

Ongoing

- **Office of Communications Impact and Evaluation Statistics and Metrics:**
 - Web:
 - More than 900,000 Californians visit Courts.ca.gov monthly
 - Approx 30,000 unique visitors a day who view more than 100,000 pages of Web content
 - Approximately 7,000,000 JC forms are downloaded annually
 - More than 2,000,000 visitors access Online Self-Help Center annually
 - Office of Communications manages and maintains more than 2,500 pages of web content supporting the Judicial Council, Supreme Court, Courts of Appeal, and the AOC.
 - Media Relations:
 - 75 – 105 media calls per week
 - Distributing 130 news releases and media advisories in an average year (2010 = 156)
 - *California Courts News* produced 30 videos in 2010 and 26 in 2009

III. Status of Current Projects and Initiatives

STATUS OF CURRENT PROJECTS/INITIATIVES

All of our projects and initiatives are considered ongoing—the focus and deliverables and focus may change but the roles, responsibilities, and services generally remain consistent. That being said, due to the fiscal crisis we have had to make a number of adjustments to our operations and programs.

The Office has been faced with resource limitations for some time with baseline budgets and special fund budgets being cut or eliminated and BCPs being put on hold or declined. Mid-year budget cuts have also been implemented with programs and activities being scaled back or alternatives being used. Therefore the unit has suspended, consolidated, or restructured functions and services:

The Office has suspended:

- Publications – *California Courts Review* newsmagazine (quarterly print publication), *Court News Online* (consultant produced monthly eNewsletter), *Court News* (bimonthly print newsletter)
- Events/Training – Statewide Public Information Officer Conference
- Begun the transition from WebTrends (fee service) to Google Analytics (free service)

Consolidated:

- The Public Information Office and the Office of Communications into a single unit to share resources (budget, administrative support) and expertise
- The Media Group into the Strategic Communications Group
- The Center for Families, Children, and the Courts public website into the new California Courts website
- Multiple project and partner sites into the new partner site on California Courts
- Chief Justice and Judicial Council Communications into the Office of Communications
- Begun the process of consolidating the existing Serranus website, Education Portal, and COMET sites into the new Serranus

Restructured:

- Converted *Court News* content into the weekly *Court News Update* with additional in depth coverage through Serranus
- *California Courts News* (CCN) from monthly video newsmagazine show to streaming video on demand
- *Annual Report* from print document to online PDF
- Budget function into the Administrative Coordinator role and responsibility
- Reduced travel for CCN and local-PIO projects
- Implemented YouTube video hosting with a view to reducing or eliminating third-party video hosting costs.
- eNews from a print service/article duplication format to an online service with direct links to content
- Knowledge sharing with the development of twenty listserves and development of guides and handbooks such as the *Media Handbook* and social media guidelines.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

OUTLOOK

Communications is activity that takes place all the time inside the judicial branch, with our justice system partners, and the public—so the outlook is always good for communicating—our desire is to enhance our communications, improving both operational and strategic communications. It is always our intent to try

and deliver services that more than satisfy but rather add value or exceed expectations—we would ideally like to be able to expand all existing services to be able to increase the scope, frequency, and range of the services we provide to all clients.

However, we believe Judicial Branch communications could benefit from additional resources in certain key areas and they are:

- **Increased local court Public Information Officer (PIO) support**—while our single roving PIO has been able to deliver effective results in supporting local courts, geographic and financial limitations prevent us from increasing the scope and frequency of the services we can provide.
- **Priority Program Support**—there are many important and worthwhile Judicial Council Programs that are being implemented in collaboration with many local courts, with our limited resources we cannot support every program or project to the level we would like.
- **Branch Web Development**—huge progress has been made with the redesign of the *California Courts* Website and the development of the Trial Court Web Templates but more work is necessary to integrate the next stage of the Web—social media and eServices—this requires more effective internal working relationships and external resources.
- **More proactive rather than reactive media relations**—handling 75 to 105 media calls in an average week and distributing 130 news releases and media advisories in an average years means that there is not a lot of bandwidth to be more proactive in our media relations or target other media outlets.
- **Enhanced support for the Judicial Branch Capital Construction and Facilities Management Priority Programs**—we estimate that we are at least understaffed by 1 FTE to properly support both programs that account for approximately \$6.5 billion.

PROSPECTIVE OPPORTUNITIES

Going forward we would like to see fresh consideration given to the *California Courts Connected—Creating the Infrastructure for More Effective Judicial Branch Communications* Plan developed by the Branchwide Communications Workgroup of judges and court administrators. This plan does outline various communications roles and responsibilities for all judicial branch stakeholders including the courts:

4.0 Roles and Responsibilities

All stakeholders have a role in effective branchwide communications

Judicial Officers

Presiding Judges

As heads of the superior courts and leaders within the branch, presiding judges have the responsibility to:

- *Encourage the multidirectional flow of information and dialogue between the court, the JC/AOC, and other courts;*
- *Make information about branch issues available to judicial officers, or make them aware of channels for this information;*
- *Encourage judicial officers to engage in branch leadership;*
- *Model effective communications practices.*

Judges

As judicial officers dedicated to ensuring the fair administration of justice, judges have the responsibility to:

- *Stay current on proposals that may affect rules or judicial branch issues;*
- *Take an active role in branch leadership, or engage in constructive dialogue with colleagues in those roles.*
- *Model effective communications practices.*

Court Administrators

Court Executives

As leaders of their courts, executive officers and clerk/administrators have the responsibility to:

- Encourage the multidirectional flow of information and dialogue between the court and the JC/AOC and also with other courts;
- Make information about branch issues available to court staff, or make them aware of channels for this information;
- Ensure that branch information is distributed as appropriate to court staff;
- Model effective communications practices;
- Ensure timely responses to requests for information.

Court Professionals

As representatives of the state judicial branch, it is the responsibility of court professionals (administrators and other court management staff) to:

- Stay current on judicial branch issues;
- Be familiar with branch resources;
- Share information and best practices with colleagues in other courts;
- Model effective communications practices;

Provide feedback on proposed rules, surveys, and form changes.

CHALLENGES

The unit management challenges are shared by many:

1. **Adequate funding:** both general and special funds to support staffing and implement projects.
2. **Layoffs and hiring freezes:** trying to maintain stable staffing and replace positions as a result of retirements or attrition.
3. **Staff Morale:** inspiring those who have committed to a career in public service to remain committed in the face of harsh and sometimes unfounded criticism

The program management opportunities relate to:

1. The evolution of social media tools within the judicial branch
2. The need for and benefits of increased online and eServices from the judicial branch

We encounter challenges on a daily basis in performing our functions but generally we can identify a Plan B, an alternative solution, or a change in direction to achieve the same ultimate goal. Some challenges however are beyond our control or sphere of influence:

1. Judicial Branch Unity—the need for shared strategy, goals, objectives, and priorities to truly be an independent coequal branch of government.
2. Judicial Branch Infrastructure—the need for an effective and efficient judicial branch (and AOC) administrative infrastructure, particularly technology, to enable us to be true innovators as a judicial branch in California and nationally.
3. Fiscal Crisis—stable funding and its proper allocation to support the positive evolution of the judicial branch, enhance the administration of justice, and deliver equal access to justice.

PENDING ISSUES FOR THE BRANCH

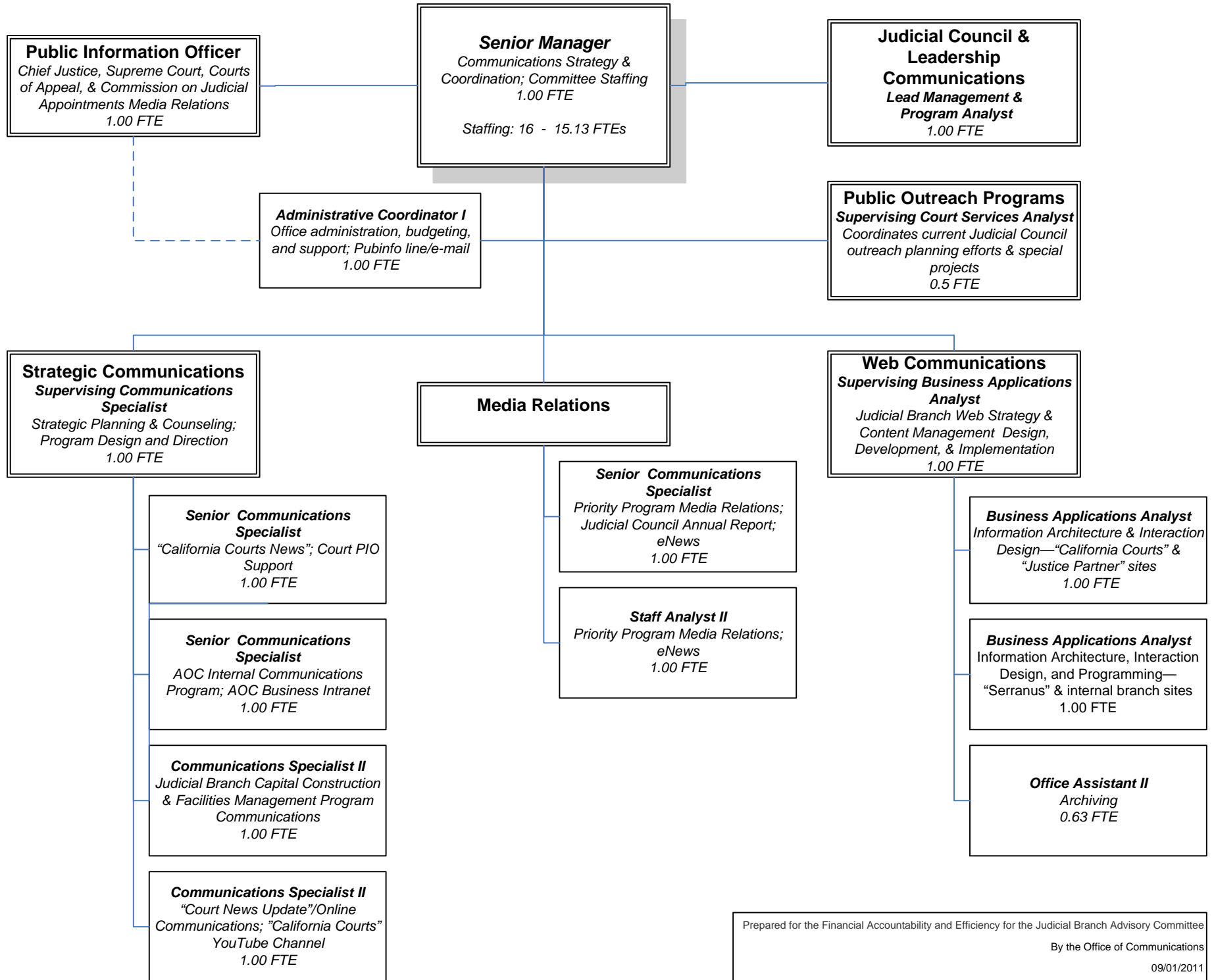
From a communications perspective we believe two new or evolving areas deserve close attention by the judicial branch:

1. **Social Media Channels**—we have begun using two social media channels (YouTube and Twitter) and are experimenting with other “share” options. Our approach has been a cautious one as has been the case with many other government agencies, particularly judicial agencies, which are deliberative not conversational by policy and practice. We are supporting a number of courts who are planning to enter the world of social media communications and are aware of others courts who have independently entered the social media world. We believe there is a need for

some branchwide discussions on the use, benefits, and risks of social media tools for the branch, courts, and particularly judicial officers.

2. **Online eServices**—as the public's expectations changes as to how they should be allowed to access any services they require, from either private businesses or government agencies, there is a growing demand from the public for online eServices to do their business. Courts have made some inroads into this area with eFiling, jury service look-up, and online payments, but we believe it deserves a consistent branchwide strategy to ensure equal access to services and justice statewide.

OFFICE OF COMMUNICATIONS



Office of Communications¹
Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ²	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Personal Services										
Salaries and Wages	\$ 1,367,368	\$ 1,591,878	16.4%	\$ 1,573,665	-1.1%	\$ 1,726,635	9.7%	\$ 1,310,274	-24.1%	-4.2%
Benefits	437,132	519,878	18.9%	527,476	1.5%	583,619	10.6%	469,358	-19.6%	7.4%
Subtotal Personal Services	\$ 1,804,500	\$ 2,111,757	17.0%	\$ 2,101,141	-0.5%	\$ 2,310,254	10.0%	\$ 1,779,631	-23.0%	-1.4%
Operating Expense & Equipment (OE&E)										
Rent	\$ 319,923	\$ 301,094	-5.9%	\$ 331,060	10.0%	\$ 313,553	-5.3%	\$ 339,774	8.4%	6.2%
OE&E (Excludes Rent)	190,917	137,762	-27.8%	215,402	56.4%	92,424	-57.1%	84,337	-8.7%	-55.8%
Subtotal OE&E	\$ 510,840	\$ 438,856	-14.1%	\$ 546,462	24.5%	\$ 405,977	-25.7%	\$ 424,111	4.5%	-17.0%
TOTAL EXPENDITURES	\$ 2,315,339	\$ 2,550,612	10.2%	\$ 2,647,602	3.8%	\$ 2,716,231	2.6%	\$ 2,203,743	-18.9%	-4.8%

Fund Source ²	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 2,315,339	\$ 2,550,612	10.2%	\$ 2,647,602	3.8%	\$ 2,716,231	2.6%	\$ 2,203,743	-18.9%	-4.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 2,315,339	\$ 2,550,612	10.2%	\$ 2,647,602	3.8%	\$ 2,716,231	2.6%	\$ 2,203,743	-18.9%	-4.8%

⁽¹⁾Excludes fiscal summary information for the Executive Office Programs Division. Effective October 1, 2011, Executive Office Programs was reorganized as the Court Program and Services Division. As part of the reorganization the Office of Communications unit was moved to the Executive Office.

⁽²⁾Source: AOC Financial Forecast Report, prior year actuals.

Office of Emergency Response and Security

Malcolm Franklin
Senior Manager

Overview of Administrative Office of the Courts Programs and Resources Office of Emergency Response and Security (OERS)

I. Organizational Structure of the Division and Services Provided

General Description of Structure and Services

1. The OERS was created in 2005 and is a small unit within the AOC Executive Office division. It currently has 9 employees (and one agency temp secretary). Because it is small, OERS is not divided into subgroups. Staff responsibilities overlap and are shifted as needed, to ensure the team is working together to handle its highest-priority work.
2. The OERS spearheads work on the Judicial Council's goal to ensure the safety and security of the courts and ensure continuity of operations planning (Goal III, Objective 3) and provides security expertise in support of the council's goal for facilities and technology infrastructure (Goal VI, Part A Objective 2 and Part B Objectives 3, 4, and 7).
3. The OERS provides specialist advice, expertise, programs, and services to the superior and appellate courts and to the Judicial Council, upon request, in three areas: Physical Security, Personal Security, and Emergency Planning. It also works on additional initiatives that provide significant out-of-sight services to support the courts, council, and AOC.
4. The majority of requests for OERS advice and assistance are from the superior (trial) courts. OERS administers programs to provide equipment and enhancements exclusively to the trial courts. OERS uses regional security coordinator assignments as the most effective way to address requests that usually require travel to and assessment of trial court facilities.
5. With the exception of entrance security screening equipment and critical security enhancements for the trial courts, OERS pays for program and service expenses through its general fund allocation. This covers costs related to court-requested consultations, trainings, badge supplies, emergency equipment, council advisory groups, and resources.

Additional Details of Programs and Services

Physical Security

The most essential core function of the unit is its physical security programs and services, as OERS provides assessments that the trial courts cannot easily get elsewhere and pays for critical court security enhancements and equipment. As an example:

- “On the ground” assessments and assistance to courts, including help with presentations.
- Court security plan guidance, templates, and tools to help trial courts meet requirements.
- Consultation on security related aspects of facility modification and construction projects.
- Program that pays for entrance security screening equipment replacement for trial courts.
- Program that pays for critical security enhancements and maintenance for trial courts.
- Management of statewide master agreements to save courts money on quality equipment.
- Subject matter expertise in the form of advice, publications, guides, best practices, etc.

Personal Security

The next most essential function is its personal security programs and services, as OERS advises judicial officers who are under threat and aids them in removing their home address and phone from major online data vendor websites. As an example:

- Remote and in-person consultation/evaluation for judicial officers who are under threat.
- Coordination of communication about threats and incidents with law enforcement.
- Program that helps judicial officers with online privacy protection (as noted above).
- Subject matter expertise in the form of advice, publications, guides, trainings, etc.

Emergency Planning

Following that is its emergency planning programs and services, as OERS provides a dedicated emergency planner, tools, training, and ongoing assistance to trial and appellate courts for continuity of operations. As an example:

- On call advice and support for court emergency planning, management, and response.
- Emergency and continuity of operations plan guidance, templates, and tools for courts.
- Program that pays for/provides training of court emergency planners on web-based tool.
- Management of statewide master agreements to save courts money on quality equipment.
- Subject matter expertise in the form of advice, publications, guides, trainings, etc.

Additional Initiatives

OERS also does significant work in addition to its high-profile programs and services for courts. As an example:

- Program that background checks AOC contractors and helps court subscribers to CLETS.
- Program for badges and access that enhances security in AOC offices for staff/visitors.
- Program for emergency response team to aid in safe evacuation of AOC staff/visitors.
- Program for emergency equipment to help meet legal requirements for a safe workplace.
- Subject matter expertise to advisory groups and work on reports to the Judicial Council.

II. Division Accomplishments/Achievements since Fiscal Year 2005–2006

General Description of Accomplishments

1. OERS began from scratch, evaluating 58 trial courts with over 450 facilities to assess requirements, centralization, and standardization in branch emergency and security matters. Based on needs identified by the council and courts, OERS created or took on programs and services that support the council's goal on safety and security in the courts.
2. OERS developed and maintained a web-based planning tool, free-of-charge to the courts, to simplify setup procedures, standardize formats, and create a single data repository—in addition to other work that supports council goal on technology infrastructure.
3. OERS provided subject matter expertise and created and implemented many contracts, tools, trainings, and educational materials for physical security, personal security, and emergency planning—work that supports the two council goals mentioned above as well as the council goal on facilities infrastructure. Additional details follow for each area.

Additional Details of Accomplishments

Physical Security

OERS has been asked for assistance by all 58 of the trial courts and 1 of the appellate courts, advising on issues ranging from general best practices to specific active shooter procedures and in one case, providing peace officer assistance at a high-profile trial at the request of a court. Work samples follow.

- *Court Security Assessments*—Provided approximately 400 total on-site facility security assessments at the trial courts’ requests, reporting observations and recommendations to the presiding judges and court executive officers on the areas of perimeter security, interior security, electronic security systems, and more.
- *Court Security Plan Assistance*—Developed and maintained guidance and a module for the OERS web-based planning tool to automate court security plan creation and help the trial courts comply with legislatively-mandated requirements, offered staff assistance to the courts, evaluated submissions for the AOC, and wrote annual reports for the council.
- *Courthouse Improvement Consultation*—Provided security expertise on court facility modification/construction projects from the Judicial Branch Five-Year Infrastructure Plan and its Trial Court Capital-Outlay Plan, assessing/reporting on security-related aspects of planning, design, construction, facility management, and risk management on projects such as the B.F Sisk Courthouse in Fresno and the Plumas/Sierra regional courthouse.
- *Screening Equipment*—Ran the Entrance Screening Equipment Replacement Program to help all trial courts get screening equipment and replace outdated/broken equipment, tracking and evaluating hundreds of pieces of screening equipment in the trial courts and purchasing over 650 x-ray and/or magnetometer units and over 230 extended service agreements for the courts to date using ongoing funds from the governor’s budget, which saved the courts hundreds of thousands of dollars in FY 2010–2011 alone.
- *Security Enhancement*—Administered the Trial Court Security Grant Program to help the trial courts with critical security enhancements to systems and equipment, purchasing and overseeing the installation/maintenance of over 130 duress alarm projects and over 100 access control and/or video surveillance projects, including work on integrated security systems for a pioneering “Future Courts Project” in Santa Cruz, using an allocation from a special fund that is restricted to trial court improvements.
- *Statewide Contracts*—Facilitated court access to high-quality, reasonably-priced security equipment that is vetted by specialists by managing statewide master agreements.
- *Subject Matter Expertise*— Created physical security related publications and templates, including self-assessment and best practices documents as well as innovative Radiation Protection Program guidance for courts to simplify complex registration, documentation, and training requirements for x-ray machines.

Personal Security

OERS has been asked for assistance by judicial officers in all 58 of the trial courts and all 7 of the appellate courts, advising judicial officers who are under threat and aiding them in removing their home address and telephone number information from major online data vendor websites. Work samples follow.

- *Consultation and Evaluation*—Provided dozens of remote and in-person consultations to judicial officers whose personal security was threatened, offering advice and assistance in evaluating incidents and collaborating with OERS team members to obtain assistance with security enhancements or get help with online privacy protection.
- *Threat/Incident Coordination*—Assisted with coordinating and creating a clear path of communication between the many agencies and jurisdictions involved in threats against judges (which are required to be reported to CHP), and with incidents in the courthouses that are a security concern but not currently required to be reported by law.
- *Internet Privacy Protection*—Provided and maintained guidance and services such as the Judicial Privacy Protection Opt Out Program, which has assisted over 2,000 California judicial officers and their families with privacy rights granted to them by law by having their home address and telephone number information removed from up to 15 major online data vendor websites that sell or share information with others.
- *Information and Strategies*—Developed and maintained publications, including inclusive Privacy Protection Guidance about online privacy issues and strategy, and created and provided trainings and broadcasts for court information and education, including training and presentation of programs and services at New Judge Orientations.

Emergency Planning

OERS has provided the trial and appellate courts with a dedicated emergency planner, tools, trainings, and ongoing assistance to aid them in emergency and continuity planning efforts. Work samples follow.

- *Guidance and Support*—Provided advice and support to the courts for emergency response issues and questions ranging from bomb threats to shelter in place practices and assisting with emergency management, sharing personal information received from facility managers and law enforcement. As AOC headquarters is housed in the same facility as the Supreme Court and Court of Appeal, First Appellate District, OERS also shares advice and support at tenant meetings with the courts and building management.
- *Planning Assistance*—Provided advice and expertise to the superior and appellate courts on request, and assisted them with the creation of emergency plans used to respond to any incident prior to the activation of a Continuity of Operations Plan (COOP), of COOP used to identify a chain of command and resources to continue critical operations and recover in an extended emergency situation, and of command and control plans that focus on emergency operations centers, instructions for senior leadership, and communications.

- *Training and Tools*—Developed and maintained a web-based planning tool for the courts to help ensure that mission critical functions continue in the event of a disaster, and administered the Continuity of Operations Planning Program to train court executives and court emergency planners upon request (to date, training on the web-based planning tool was provided to over 90 percent of the courts upon request, facilitating development of over 400 plans and providing ongoing assistance and evaluation to the courts).
- *Statewide Contracts*—Facilitated court access to high-quality, reasonably-priced emergency notification systems by managing a statewide master agreements.
- *Subject Matter Expertise*—Made expertise easily available to the courts by preparing and providing emergency planning publications, templates, tools, training, and other educational materials.

Additional Initiatives

OERS supplied other programs and services in addition to the high-profile work done for courts. Work samples follow.

- *Background Checks*—Helped trial court and branch subscribers to the California Law Enforcement Telecommunication System (CLETS) comply with Department of Justice requirements through the CLETS-Related Background Check Program by processing over 2,100 background check requests from AOC contacts for AOC contractors and by monitoring and maintaining badges for over 800 active contractors who currently supply services related to court facilities and the California Courts Technology Center.
- *Badges and Access*—Managed the AOC badge and access program to protect the AOC’s court visitors, staff, and work for the branch, maintaining badges for AOC employees, temporary staff, consultants, interns, and council and advising the courts upon request. As AOC headquarters is housed in the same facility as the Supreme Court and First Appellate District, OERS shared expertise and support and suggested a no-cost solution to provide the courts with greater transparency and control over their secure areas.
- *Emergency Response*—Managed the AOC Emergency Response Team, training over 100 volunteers to aid in guiding the AOC’s court visitors and staff to evacuate or shelter in place during emergencies in the AOC’s headquarters and regional offices. This requires coordination of over a dozen evacuation rendezvous points and shelter in place locations. As the AOC’s headquarters also houses the Judicial Council Board Room, the OERS works closely with the conference centers to protect the AOC’s visitors and staff.
- *Emergency Equipment*—Helped the AOC meet legal obligations to provide and maintain a safe workplace for staff by providing defibrillators, first aid kits, and emergency kits. OERS took on the Automated External Defibrillation Program per the AOC’s Illness and Injury Prevention Program to meet related training standards and program requirements. It also tracked and maintained hundreds of pieces of emergency equipment in the AOC’s headquarters and regional offices for the protection of the AOC’s court visitors and staff.

- *Subject Matter Expertise*—Provided expertise and information to many courts, advisory groups, and staff as well as other agencies nationwide, such as presenting security-related coursework as guest speakers at the California Judicial College, assisting the trial courts with security-related presentations to the sheriff and county board of supervisors, providing crime prevention courses to the courts, providing safety compliance courses for the AOC, acting as faculty member at National Center for State Courts events, and more.
- *Resources and Contacts*—Provided information and tools for the courts and AOC such as fact sheets, guidance, brochures, templates, and trainings. Shared and maintained these resources on websites such as Serranus and the AOC Intranet. Created a Fact Sheet and a Programs and Services Update to provide current, convenient sources of information for the judicial branch community about OERS offerings and how to get in touch with staff. Contacted court and AOC staff personally whenever possible to communicate.

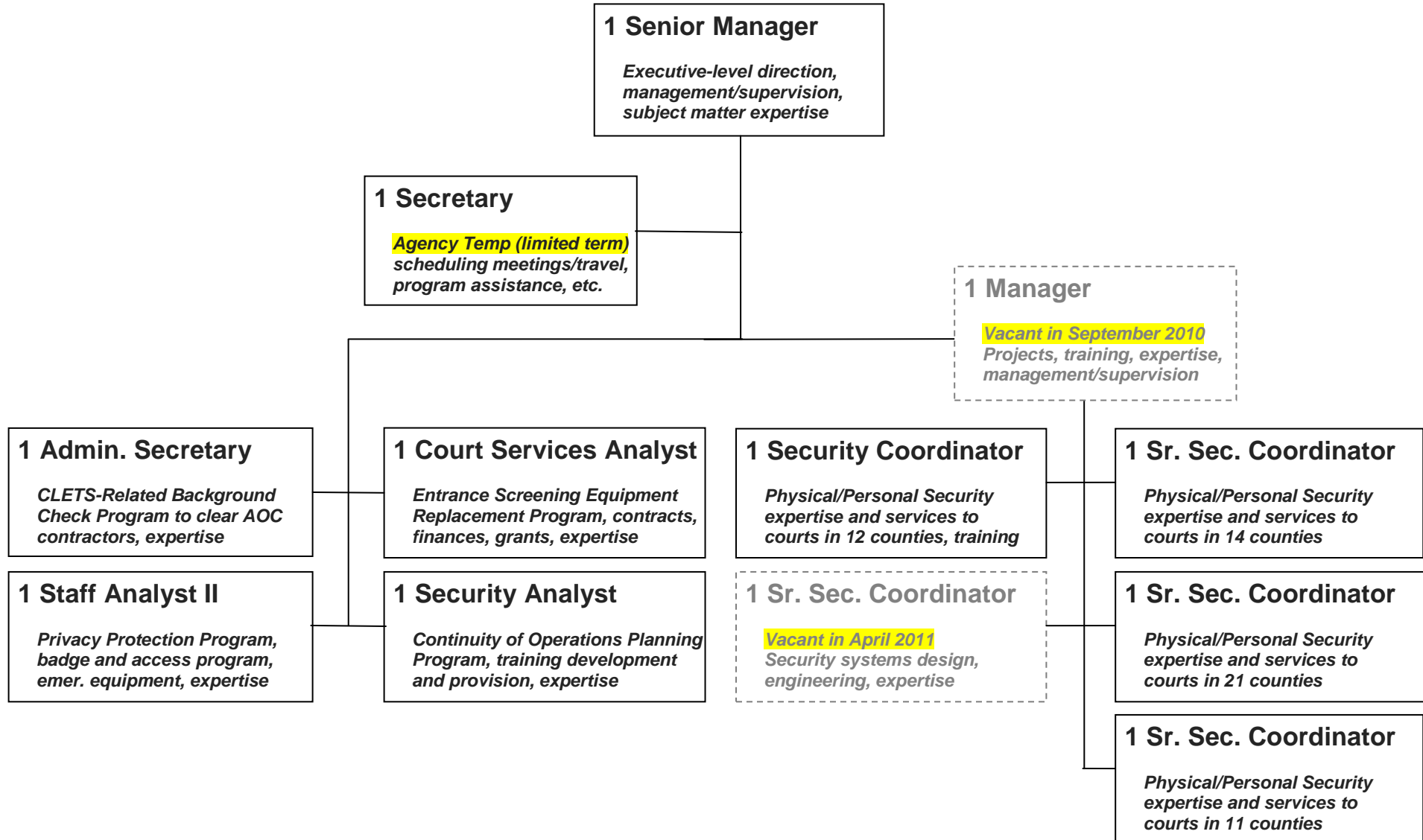
III. Status of Current Projects and Initiatives

1. All of the work summarized in the last five pages is ongoing and continues to require work on development, provision, management, and/or maintenance.
2. The OERS is at peak performance level—it has the capacity to cope with emergencies but has no spare capacity for additional tasks. By necessity, the focus of OERS must currently be on the continuation of existing programs and services.
3. The OERS is also trying to complete work on a few high-priority projects and initiatives to address court needs and requests for assistance in an effective manner. These include:
 - Training and guidance to help trial courts with complex x-ray machine registration and training requirements that they must follow by law and to protect court visitors and staff.
 - Changes to the way OERS handles the Judicial Privacy Protection Opt Out Program to make it more convenient for judicial officers, make it more effective, and streamline it.
 - Continued attempts to reduce conflicting workload demands where possible, to address sustained high workloads of OERS staff that handle many programs and services at once.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

1. As summarized in Sections I through III, the 9 members of the OERS team provide a great deal of advice, assistance, programs, services, trainings, tools, educational materials, and more—and the focus of the unit for the foreseeable future must be on maintaining those existing offerings.
2. The majority of requests for assistance are from the trial courts, and much of the work that OERS does supports the 30+ small courts that do not have subject matter experts in physical security, personal security, and emergency management. Interaction with the appellate courts is, however, limited due to lack of resources and if that changed in the future, OERS could be more involved.
3. The biggest challenges OERS has are maintaining the current level of service that we provide to the trial courts and consolidating services provided to the courts for cost and service efficiencies.

ADMINISTRATIVE OFFICE OF THE COURTS—EXECUTIVE OFFICE, OFFICE OF EMERGENCY RESPONSE AND SECURITY



Office of Emergency Response Services

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

October 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 463,004	\$ 637,622	37.7%	\$ 906,174	42.1%	\$ 972,290	7.3%	\$ 926,143	-4.7%	100.0%
Benefits	158,351	205,318	29.7%	291,559	42.0%	296,602	1.7%	309,898	4.5%	95.7%
Subtotal Personal Services	\$ 621,355	\$ 842,941	35.7%	\$ 1,197,734	42.1%	\$ 1,268,892	5.9%	\$ 1,236,041	-2.6%	98.9%
Operating Expense & Equipment (OE&E)										
Rent	\$ 91,237	\$ 133,932	46.8%	\$ 155,683	16.2%	\$ 155,520	-0.1%	\$ 167,217	7.5%	83.3%
OE&E (Excludes Rent)	741,501	242,504	-67.3%	192,762	-20.5%	261,199	35.5%	212,650	-18.6%	-71.3%
Subtotal OE&E	\$ 832,738	\$ 376,436	-54.8%	\$ 348,445	-7.4%	\$ 416,719	19.6%	\$ 379,867	-8.8%	-54.4%
TOTAL SUPPORT EXPENDITURES	\$ 1,454,093	\$ 1,219,377	-16.1%	\$ 1,546,179	26.8%	\$ 1,685,611	9.0%	\$ 1,615,908	-4.1%	11.1%
Local Assistance	2,693,422	6,784,682	151.9%	2,951,441	-56.5%	2,098,302	-28.9%	1,637,066	-22.0%	-39.2%
TOTAL EXPENDITURES	\$ 4,147,515	\$ 8,004,059	93.0%	\$ 4,497,620	-43.8%	\$ 3,783,913	-15.9%	\$ 3,252,974	-14.0%	-21.6%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 517,233	\$ 475,313	-8.1%	\$ 438,601	-7.7%	\$ 598,106	36.4%	\$ 505,837	-15.4%	-2.2%
State Court Facilities Trust Fund	735,563	744,064	1.2%	1,107,578	48.9%	1,087,504	-1.8%	1,110,072	2.1%	50.9%
Reimbursements	201,296	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Subtotal General Fund & Special Funds	\$ 1,454,092	\$ 1,219,377	-16.1%	\$ 1,546,179	26.8%	\$ 1,685,611	9.0%	\$ 1,615,909	-4.1%	11.1%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ²	\$ 1,855,839	\$ 6,784,682	265.6%	\$ 2,951,441	-56.5%	\$ 2,098,302	-28.9%	\$ 1,637,066	-22.0%	-11.8%
Trial Court Trust Fund ³	837,583	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Subtotal Local Assistance	\$ 2,693,422	\$ 6,784,682	151.9%	\$ 2,951,441	-56.5%	\$ 2,098,302	-28.9%	\$ 1,637,066	-22.0%	-39.2%
TOTAL EXPENDITURES - ALL FUNDS	\$ 4,147,514	\$ 8,004,059	93.0%	\$ 4,497,620	-43.8%	\$ 3,783,913	-15.9%	\$ 3,252,975	-14.0%	-21.6%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

Office of Emergency Response Services
Five-Year Local Assistance Fiscal Detail
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund</i>										
Trial Court Security Grants ¹	\$ 1,855,839	\$ 6,784,682	265.6%	\$ 2,951,441	-56.5%	\$ 2,098,302	-28.9%	\$ 1,637,066	-22.0%	-11.8%
<i>Subtotal, Trial Court Improvement Fund</i>	\$ 1,855,839	\$ 6,784,682	265.6%	\$ 2,951,441	-56.5%	\$ 2,098,302	-28.9%	\$ 1,637,066	-22.0%	-11.8%
<i>Trial Court Trust Fund</i> ²										
Screening Station Replacement Program	\$ 837,583	\$ -	-100.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	-100.0%
<i>Subtotal, Trial Court Trust Fund</i>	\$ 837,583	\$ -	-100.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	-100.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 2,693,422	\$ 6,784,682	151.9%	\$ 2,951,441	-56.5%	\$ 2,098,302	-28.9%	\$ 1,637,066	-22.0%	-39.2%

¹The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

²TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. After FY 2006-2007, this became a reimbursement program with the funds allocated to the courts.

Regional Office

Jody Patel

Regional Administrative Director

Overview of Administrative Office of the Courts Programs and Resources Regional Offices

The following provides information about the role and purpose of the three Regional Offices (Bay Area/Northern Coastal, Northern/Central, and Southern) during the past decade. It should be noted that effective November 1, 2011 the three separate regional office divisions were consolidated into one division under a single Regional Administrative Director. This new centralized management model allows the regional office to maintain its high level of local support while achieving salary savings and organizational efficiencies. The structure of the regional office will continue to be reassessed over the next few months.

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function and services provided, for each major functional area of the division.

The information provided below represents the joint responses of the three regional offices. Please see responses attached for information relevant to each regional office.

Organization Structure and Role

The three regional offices were created as part of the Judicial Council Strategic Plan to provide support services and improve access and responsiveness at the local level. Staff with expertise in court services, finance, legal, facilities, human resources, and emergency response and security, are stationed at the regional offices and work directly with the courts to improve court administration and operations, and to assist courts in implementing new policies and legislation.

Each regional office is composed of:

- a core regional office staff;
 - Bay Area/Northern Coastal consists of 4 core staff
 - Northern/Central consists of 5 core staff
 - Southern consists of 5 core staff
- a special program unit focusing on aspects of court operations (Community Corrections Program, Re-engineering Unit, and Enhanced Collections Unit);
- staff from other AOC divisions that provide direct services to the courts on a regional basis; and
- staff and contractors working on statewide initiatives.

The regional offices contribute to the establishment and maintenance of effective working relationships with the trial and appellate courts in order to accomplish the strategic and operational goals of the Judicial Council of California. The regional offices

are dedicated to building partnerships and committed to facilitating communication between the AOC and the courts.

Functions and Services

The functions and services provided by the core regional office staff include the following:

- Afford an opportunity for judges and trial court staff to share information and interact with AOC divisions through regular meetings and open communications.
- Assist courts in addressing internal governance, management, and operational issues, when requested.
- Provide guidance to the trial courts in implementing judicial branch policies and procedures and, as appropriate, transmit courts' feedback to the AOC divisions.
- Serve as the first point of contact for courts proposing to reduce court services under Government Code 68106.
- Resolve courts' issues related to AOC services in a prompt and thorough manner.
- Implement statewide and/or regional projects as directed by the Chief Justice, Judicial Council, or the Administrative Director of the Courts/Chief Deputy Director.
- Liaison between the trial courts and the AOC divisions for the implementation and administration of legislation and new/existing programs.
- Partner with the trial courts to improve access to AOC services.

Regional offices have experience working with and supporting the needs of the trial courts, and knowledge of state processes and AOC administrative functions. By providing ongoing communication between the AOC, the trial courts, and other state entities, the regional offices act as a facilitator in meeting the needs of their customers and stakeholders.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Describe the Division's major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division's inception if created after FY 2005–06.

The information provided below represents the joint responses of the three regional offices. Please see responses attached for information relevant to each regional office.

Regional Trial Court Opportunity Awards

- In FY 2005–2006 and 2006-2007, the three regional offices administered the Regional Trial Court Opportunity Awards Program, awarding a total of \$1,976,369.15.

- The grants supported trial court efforts to develop or expand services to ensure open and equal public access, and to improve the efficiency and effectiveness of court operations.
- Projects included improvements to self-help centers, enhancements to jury management systems, development of multiple-language signage, purchase of a document imaging system to provide public access to vital records currently only available in hard copy, interactive voice response/interactive web response software for after-hours jury communications, and support for self-represented litigant software.

Programs to Improve Court/AOC Culture

- In collaboration with the courts, developed a judicial roundtable forum in each region focusing on various aspects of trial court case types (e.g. criminal, civil, and family law).
- Initiated a course entitled “The AOC and the Courts: Building Positive and Collaborative Relationships” attended by 191 staff from across AOC divisions.
- Since 2003, facilitated approximately 225 AOC staff members participating in the AOC Staff Experience in the Trial Courts program in 25 different courts.

Courts-Regional Office Activities

- Conduct regional meetings three times per year.
- Coordinate Judicial Council Site Visits to the Courts and the Court Visits to the Judicial Council/Administrative Office of the Courts. This activity has temporarily been suspended as a result of the current fiscal environment.
- Host annual meetings of new judicial officers in each region to discuss statewide judicial administration issues. This activity has temporarily been suspended as a result of the current fiscal environment.
- Conduct court visits to meet with new presiding judges and executive officers
- Miscellaneous visits to the courts for judicial retirements, groundbreaking and dedication ceremonies, Kleps Award presentations, etc.

California Judicial Branch Staff Recognition Program

- The California Judicial Branch Staff Recognition Program was proposed at the Southern Regional Meeting in May 2006. SRO staff served as lead staff to a court committee that made recommendations for the creation of the program, which was launched in 2007. Since its inception, 25 court staff have received the award.

Regional Court Interpreter Cross Assignment Services

- Senate Bill 371 (2002) established the Trial Court Interpreter Employment and Labor Relations Act which set forth provisions and procedures governing the employment and compensation of certified trial court interpreters. The regional offices support the cross assignment process through Regional Court Interpreter Coordinators familiar

with the mandates contained in each unique regional court interpreter memorandum of understanding. In 2010 the Regional Court Interpreter Coordinators processed 16,347 requests from the courts for interpreter cross assignments.

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

The information provided below represents the joint regional office information. Please see responses attached for information relevant to each regional office.

Facilities

- One of the most significant infrastructure initiatives of the AOC and the trial courts is new courthouse construction.
- There are numerous occasions where the regional offices are asked to participate in different aspects/discussions/negotiations regarding these projects such as site selection, design, security, staffing, etc.
- As a show of support, courts typically request regional office representation at groundbreaking and dedication ceremonies. A courthouse truly represents the essence of the judicial system within a county, which is why the site selection, design and construction of these facilities is so critical to the court.

AOC and Courts Training

- AOC Regional Administrative Directors, along with a Court Executive Officer, facilitate an interactive course offered to AOC employees in all regions called “AOC and the Courts.” Participants learn the roles and operations of the California courts and the AOC, explore interactions and perceptions between the AOC and the courts, and identify best practices for building positive and collaborative relationships.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

Describe the Division’s outlook and opportunities for the future (i.e., where is the Division headed and what should you be doing?), as well as any challenges or pending issues.

The information provided below represents the joint responses of the three regional offices. Please see responses attached for information relevant to each regional office.

Opportunities

The regional offices have become a “one-stop” source for assistance in their respective regions. Due to their constant exposure to the same courts, staff are familiar with the

unique issues confronting their courts, thus making the AOC's delivery of service to the courts more effective.

Another benefit of the regional offices is that it allows the AOC to recruit qualified and talented individuals from around the state who can be housed at one of the three AOC locations and the pool of qualified candidates is not limited to one geographic region of the state.

Challenges

As with the rest of the Judicial Branch, the regional offices have been impacted by the current budget situation. In addition to maintaining vacant positions and reducing operating expenses, some programs that benefit the courts have been deferred. Such programs include the Judicial Council Site Visits, Court Visits to the Judicial Council/AOC, New Judge Meetings, regional roundtable forums, AOC Staff Experience in the Trial Courts, and Regional Trial Court Opportunity Grants. Resuming these programs will improve communication and provide an opportunity to foster positive relationships among the courts, the Judicial Council, and the AOC.

The regional offices are frequently requested to undertake special projects given their expansive knowledge of trial court operations, and understanding of the sensitive dynamics that exist between presiding judges, executive officers, and the AOC. Unfortunately, the regional offices are not provided with additional resources for these special projects. A challenge for the regional offices is to find the appropriate balance between the core ongoing functions of providing advocacy and support to the trial courts with the time spent on special projects. Given appropriate resources, the regional offices could play an expanded role in developing programs for courts to share resources, strengthen relationships with justice partners on a regional basis, improve collaboration among the courts and AOC divisions, and provide greater professional and technical assistance to the trial courts, when requested.

Overview of Administrative Office of the Courts Programs and Resources Bay Area/Northern Coastal Regional Office

I. Organizational Structure of the Division and Services Provided

The Bay Area/Northern Coastal Regional Office is comprised of the following core regional office staff:

1. Assistant Division Director
2. Court Services Analyst
3. Executive Secretary
4. Court Interpreter Coordinator

There is one dedicated unit within its organizational structure that includes:

Community Corrections Program

- The Community Corrections Program was formed by the Administrative Office of the Courts in late 2009, in order to manage recent court-related initiatives designed to promote public safety by reducing recidivism among adult felony probationers and parolees.
- BANCRO's Regional Administrative Director is the programs' executive director, has overall administrative responsibility, and acts as the division director over the community of practice, providing day-to-day supervision and guidance of staff when they are working within their roles on the community corrections programs. Roger Warren, provides subject matter expertise, and policy direction, and is active in the training of judges and probation officers across the state.
- Program staff consists of a one full-time project manager and one analyst, both grant-funded, limited-term positions located in the regional office. Two regional office staff members support the programs, along with other individuals from the AOC's Office of Court Research, Office of the General Counsel, and Center for Families, Children & the Courts.

II. BANCRO Accomplishments/Achievements Since Fiscal Year 2005-2006

Probate Conservatorship Task Force

- In January 2006, Chief Justice Ronald M. George appointed the Probate Conservatorship Task Force to review the entire probate conservatorship process in the state and charged the task force with making recommendations to the Judicial Council that would improve the management of conservatorship cases and better protect conservatees.
- BANCRO was assigned lead division staff on this project which also involved collaboration with several other AOC divisions including Office of Governmental Affairs, Office of the General Counsel, and Center for Children, Families & the Courts.

- In October 2007, the Judicial Council accepted the Final Report of the task force which contained 85 recommendations.
- Over twenty of the task force's recommendations have been incorporated into legislation. Others were implemented through adoption of new rules of court, changes in Judicial Council forms, or creation of new training programs, conferences, broadcasts, websites, or guidebooks. The remaining recommendations were essentially halted due to continued budget constraints.

Commission for Impartial Courts

- In September 2007, Chief Justice Ronald M. George established the Commission for Impartial Courts and charged it with studying and providing recommendations to the Judicial Council on ways to strengthen our court system, increase public trust and confidence in the judiciary, and ensure judicial impartiality and accountability for the benefit of all Californians.
- The 88-member commission was composed of a steering committee that oversaw and coordinated the work of four task forces:
 - Task Force on Judicial Candidate Campaign Conduct
 - Task Force on Judicial Campaign Finance
 - Task Force on Public Information and Education
 - Task Force on Judicial Selection and Retention
- BANCRO was assigned lead division staff to the Steering Committee. Task forces were staffed by individuals from the Office of the General Counsel and the Executive Office Programs Division.
- During the two-year terms, the steering committee and four task forces held approximately 25 meetings, two joint plenary sessions involving the entire commission membership, and one public forum.
- The Commission for Impartial Courts developed draft recommendations which were then sent out for public comment. In all, 413 comments were received from 119 persons and entities. The steering committee reviewed each submission and responded to all comments that were specific to the recommendations in the draft report.
- In December 2009, 71 recommendations were presented to the Judicial Council. These recommendations were designed to elevate standards of judicial candidate campaign conduct, tighten judicial finance regulations, improve our methods of judicial selection and retention, and increase transparency and better educate the public about the judicial branch.

AOC Staff Experience in the Trial Courts Program

- In order to foster work collaboration and better understanding between AOC and trial court operational staff, this program began as a pilot project in 2003 to give AOC staff direct experience in a trial court with the purpose of educating staff on the nuts and bolts of day to day trial court operations, and giving court staff the opportunity to develop face to face relationships with the AOC.

- AOC staff gain appreciation and knowledge of court operational issues, case management, judicial support services, and customer service responsibilities. This education enables AOC staff to work more effectively with trial courts and fosters collaboration between the AOC and the courts.
- Volunteer courts host up to four AOC staff for up to five consecutive days and provide opportunities to relate with court staff through public counter exposure, following one case type from beginning to end, and exposure to multiple court operations and responsibilities.
- From 2003–2008 over twenty BANCRO trial courts volunteered to host over one hundred fifty AOC staff participants in the program.
- In 2009, seventy-five AOC staff and ten BANCRO courts signed up to participate in the program. By midyear seven courts were filled with four or more AOC staff committed to participate.
- Unfortunately, due to fiscal uncertainty, the program (also available in the other regional offices) was canceled in June 2009 with an anticipated resurrection after budgetary conditions improve.

III. Status of Current Projects and Initiatives

Commission for Impartial Courts Implementation Committee

- In December 2009, the Commission for Impartial Courts was directed by the Judicial Council to present an implementation plan for its 71 recommendations and a prioritization of those recommendations.
- An Implementation Committee, chaired by Associate Justice Ming W. Chin, was formed in January 2010 and presented a proposed prioritization plan to the council in February which was approved.
- The committee is managing implementation efforts for the 71 recommendations related to judicial campaign conduct and campaign finance, public information and education, and judicial selection and retention presented to the council in December 2009. Half of the recommendations have been presented to date, and the committee plans to continue its implementation efforts, reprioritizing as necessary to adapt to current needs and fiscal limitations.

Community Corrections Program

- The Community Corrections Program was formed by the Administrative Office of the Courts in late 2009, in order to manage recent court-related initiatives designed to promote public safety by reducing recidivism among adult felony probationers and parolees.
 - California Risk Assessment Pilot Project—CalRAPP is a joint project of the Administrative Office of the Courts and the Chief Probation Officers of California, and is funded by the National Institute of Corrections and the State Justice Institute.

- Pilot projects in Napa, San Francisco, Santa Cruz and Yolo Counties are exploring the use by the courts of actuarial risk/needs assessment instruments to reduce recidivism and probation revocations among offenders aged 18–25 placed on felony probation.
- CalRAPP project scope of work includes education and technical assistance services to local justice partners including the courts, probation, defense counsel, and prosecution.
- Senate Bill 678/Evidence-Based Probation Supervision Program—Established a system for performance-based funding for county probation departments to support evidence-based practice for adult felon probation supervision. The act included a provision for counties to receive a portion of state General Fund savings based on their success in reducing the number of felony probationers going to state prison because of violating their terms of probation or committing new crimes.
 - Counties began this work with a \$45 million appropriation of federal Edward Byrne Memorial Justice Assistance Grant funds to be distributed over three years to all 58 California county probation departments.
 - The Administrative Office of the Courts (AOC) is working with probation departments to meet their requirements, evaluate the program, and provide reports to the Department of Finance, Legislature, and Governor.
 - Additionally, SB 678 requires the Judicial Council to consider the adoption of appropriate modifications to the Criminal Rules of Court and other judicial branch policies, procedures and programs to support the implementation of SB 678.
 - First year results show that 6,182 fewer adult felony probationers were sent to state prison in calendar year 2010 compared to the baseline years of 2006-08. The rate of probation failure declined to 6.1% from 7.9% in the baseline period, a 23% reduction.
- Parolee Reentry Courts, Corrections Reform Package (Sen. Bill X3 18), and 2009–2010 Budget Act—\$9.5 million available for courts to fund parolee reentry courts.
 - Parolees with a history of substance abuse or mental illness who violate a condition of parole may be referred by a parole officer to a reentry court. If the court admits the parolee into the program, the court has exclusive authority over the parolee’s supervision.
 - The project will be evaluated by comparing the revocation and reoffense rates of participants and those of similarly situated parolees who are not program participants. The evaluation will also consider different models of reentry courts.
 - The six participating courts in the parolee reentry program are: Alameda, Los Angeles, San Diego, San Francisco, San Joaquin, and Santa Clara.

California Protective Order Registry (CCPOR)

- BANCRO is the business manager of this project which resulted from a 2008 recommendation of the Judicial Council’s Domestic Violence Practice and Procedure Task Force. CCPOR will create a statewide protective order repository that will provide

more complete, accessible information on restraining and protective orders, automate exchange of information between the courts and the California Law Enforcement Telecommunications system (CLETS) and will be readily available to judges and law enforcement 24/7 in all 58 court jurisdictions and venues.

- Deployment of CCPOR and on-boarding of the first 20 California superior courts is provided by a grant from the California Office of Emergency Services.
- BANCRO provides guidance to the CCPOR team by consulting on various issues such as mutual communications, technical considerations, law enforcement involvement, court equipment needs, training, deployment and product feedback.
- CCPOR was successfully deployed to 21 counties in 2010. CCPOR has the ability to deploy the program to new counties and additional justice partners that have expressed interest in doing so. Due to current fiscal constraints, courts and justice partners in additional counties are no longer budgeted and those judicial branch deployments can only be accomplished if /when future funding becomes available.

AOC Personnel Policies and Procedures Working Group (PEPROW)

- To meet the changing needs of the AOC, the AOC Personnel Policies and Procedures Working Group (PEPROW) was formed and tasked with updating the current manual, last adopted in 2005 by the AOC, Appellate and Supreme Courts, as an AOC only state-of-the-art personnel manual.
- BANCRO's Assistant Division Director is Chair of the PEPROW working group which is comprised of twelve division representatives and four core team members working closely together to identify and draft new and revised AOC personnel policies with related definitions, forms, and web links.
- PEPROW re-drafted over 100 policies, vetting them through Human Resources, the Office of the General Counsel, and other division subject matter experts, linking related references, forms and definitions to produce an electronically formatted manual.
- The AOC Personnel Policies and Procedures Manual was approved and adopted by the Executive Team. A staff review period occurred during the month of June 2011 and the policies became effective as of July 1, 2011.
- The PEPROW working group was relieved of its' charge on May 5, 2011. The core team consisting of BANCRO's Assistant Division Director, an attorney from OGC's Labor and Employment Unit, and from HR, one Sr. Manager and one Sr.HR Analyst continues to be involved in matters related to manager and staff training on policy changes, working with the Information Services to post and update the manual on line, and fielding any continued issues or concerns that arise.

Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

- BANCRO's Assistant Division Director is lead staff to the newly constituted A & E Committee, chaired by Justice Richard D. Huffman.
- The A & E Committee is charged with making recommendations each year on any Budget change Proposals (BCPs) for funding of the AOC prior to submission to the State

Department of Finance; Making recommendations each year on any proposed changes in the annual compensation plan for the AOC; Reviewing all audit reports for the Judicial Branch, including appellate courts, trial courts and the AOC; Making recommendations on any practices that will promote efficiency and accountability in the Judicial Branch, and advising the Council on any other issues as requested by the Chief Justice, Judicial Council, or the Administrative Director of the Courts.

- The BANCRO staff provide administrative support for teleconferences, in person meetings, and communications for the Committee.

Criminal Justice Realignment Act of 2011

- BANCRO's Assistant Division Director is coordinating the multi-divisional AOC activities to assist the courts as they prepare for the October 1, 2011 implementation of the Criminal Justice Realignment Act of 2011. This includes development of new forms and rules of court, budget allocations, frequently asked questions (FAQs), education and training, and website materials.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

Challenges facing the Community Corrections Programs:

- Working with all justice partners—The implementation of evidence based practice in community corrections will be most successful if all county justice partners are supportive of the effort. We are leveraging internal resources and repurposing grant funds to provide training and technical assistance to judges and other justice partners.
- Staff resources—There are 2 FTE funded by this program, but the work of the Community Corrections far exceeds 2 FTE. As noted above many divisions within the AOC are involved in the Community Corrections Program. This in-kind support is in addition to the existing responsibilities of the divisions. We are working with private foundations to support California efforts that will enhance the success of these programs and repurposing existing grant funds to make the program as successful as possible with very limited resources.

Overview of Administrative Office of the Courts Programs and Resources Northern/Central Regional Office

I. Organizational Structure of the Division and Services Provided

The Northern/Central Regional Office was created in 2001 by a Budget Change Proposal (BCP) to enable the AOC to be more responsive and accessible to the 31 courts in the region. The BCP created the following positions at the NCRO: Regional Administrative Director, Executive Secretary, and Senior Court Services Analyst.

The following positions currently comprise the core regional office staff:

1. Manager
2. Senior Court Services Analyst
3. Executive Secretary
4. Regional Court Interpreter Coordinator
5. Administrative Coordinator I (acts as receptionist for NCRO and OCCM and handles meeting and conference support for the conference center)

The NCRO also has the following dedicated unit within its organizational structure.

In addition to the core regional office staffing the NCRO has the following dedicated unit within its organizational structure.

Reengineering Unit (RU)

- This unit was established in September 2007 and focuses on reengineering trial court's business processes and systems to achieve improvement in business performance.
- Comprised of a Reengineering Manager and Senior Court Services Analyst who work with trial courts at the court's request to participate in this program.
- They assist courts throughout the state with primary emphasis on Northern/Central Regional Courts. In 2010, the RU completed its first project with a court in the Bay Area/Northern Coastal Region.
- They will travel to the trial courts to observe the trial courts workflow and business processes, to meet and collaborate with the Court Judicial Officers, executive management, management team, and line staff.
- They assist both Operational and Administrative Units within the courts.
- The end result is a reengineering report containing high-level observations and issues identified along with recommendations and related cost/benefit and workload estimates.
- In 2010, the RU expanded its customer base to include the AOC and analysis and recommendations regarding its internal business processes. The first operational

business process (the AOC contracts program) was analyzed and a draft report was provided to the AOC Executive Office in July 2011.

- With ongoing budget reductions anticipated in the next fiscal year, the RU has been asked to further expand its internal review efforts to now complete an internal review of all AOC divisions and respective functions to identify areas that may be appropriate for centralization for cost-saving purposes. These activities will be conducted in tandem with the trial court reengineering services traditionally provided by the unit.
- The RU has also been asked to partner with the Judicial Council's Court Executives Advisory Committee (CEAC) to promote an initiative that promotes the need for trial courts to focus on business process reengineering to cope with current and ongoing budget reductions. It is envisioned that this assistance will include training trial courts on business process reengineering principles and practices and resource assistance for the trial courts to provide expertise, guidance and oversight on business process reengineering projects.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Court Executive Officer Compensation Study

- In April 2009 the Judicial Council directed the AOC to conduct a study on Court Executive Officer compensation with the goal of ensuring appropriate accountability and transparency in setting, reviewing, and modifying executive officer compensation. The NCRO became the lead division on this project that involved collaboration with several AOC divisions.
- Two surveys were distributed by the Human Resources Division to all 58 trial courts seeking information regarding compensation and the processes courts utilized to establish and modify executive officer compensation. To ensure appropriate checks and balances on a statewide level it was imperative to ensure that all information submitted was accurate. This necessity to ensure accuracy made the verification of submitted data a labor intensive process for NCRO as well as the Human Resources Division.
- To address the political sensitivity of the project, an advisory group of Presiding Judges and Executive Officers was created to review the survey results and Judicial Council recommendations.
- An interim report was presented to the Judicial Council in December 2009. The interim report presented a recommendation to modify CRC 10.603, Authority and duties of presiding judge and a sample Human Resources policy, Court Executive Officer Compensation Program, that courts may utilize when establishing a policy on setting and modifying executive officer compensation.
- The final report was presented to the Judicial Council in April 2010 where CRC 10.603 was amended.

Local Judicial Benefits—Senate Bill X2 11

- In February 2009 Senate Bill X2 11 was enacted requiring the Judicial Council to study the history and inconsistencies of local judicial benefits and provide a report to the Legislature by December 31, 2009. This arose as a result of a recent case *Sturgeon v. County of Los Angeles* in which the Court of Appeal found that the local benefits provided to Los Angeles County judges was not sufficiently authorized.
- SBX2 11 preserves the status quo for existing local judicial benefits by authorizing counties and courts to provide the benefits on the same terms and conditions that were in effect on July 1, 2008.
- In September 2009 the NCRO was assigned this project and became the lead division with collaboration with several AOC divisions including Office of General Counsel, Office of Governmental Affairs, Executive Office Programs—Office of Court Research, and Human Resources.
- The Office of Court Research sent surveys to all 58 trial courts to determine the level of local judicial benefits that are offered by both the court and county to their judges. This required extensive staff resources and multiple conversations with the courts to ensure accuracy of the data.
- The AOC consulted with an advisory group of Presiding Judges regarding the report prior to its submission to the Judicial Council in December 2009.
- The report was presented to the Judicial Council in December 2009 where the council adopted the report for submission to the State Legislature. The report was submitted to the State Legislature on December 15, 2009.

Judicial Recruitment and Retention Working Group (JRRWG)

- In December 2009 a report on local judicial benefits was presented to the Judicial Council pursuant to Senate Bill X2 11. The report indicated that the AOC would continue to study the factors, both monetary and non-monetary, that affect judicial recruitment and retention.
- The JRRWG, chaired by Justice Brad Hill, was convened in April 2010 to initiate this study. The committee consists of 20 jurists and several AOC representatives from many divisions. A steering committee consisting of 10 members of the JRRWG was created to provide additional assistance to the AOC.
- In 2010, a survey was sent to all state court systems requesting information on retirement provisions for their judicial officers. Responses were received from 40 state court systems; this is a phenomenal response rate. This was a very labor intensive effort as the subject matter is complex and it required multiple follow-up with most state court systems to ensure accuracy in the data. The results of the survey were submitted to all responding court systems and they were appreciative the efforts in compiling the data.

- During a three-month period in 2010, over a hundred different Judges' Retirement System II (JRS II) reform scenarios, concentrating on how to motivate judges to remain on the bench and motivate attorneys to become judges, were analyzed.
- In the summer of 2010, the JRRWG Steering Committee decided to postpone advancement of any JRS II reform proposals in light of the fiscal crisis facing the State of California and the judicial branch.
- The JRRWG plans to initiate a survey of all California jurists and subordinate judicial officers, and a sampling of California attorneys to assist the committee in making recommendations regarding options for reforms so that the judicial branch can find an approach that would continue to attract the most qualified judicial candidates and maintain the excellence of California's judiciary. The surveys will gather information on factors that motivate judges to remain on the bench and factors that motivate attorneys to become judges.
- To assist with the survey distribution to attorneys, the NCRO contacted the State Bar and received authority to access the public email addresses for their membership. This will allow surveys to be sent in electronic format to the selected bar members.
- In the Fall of 2010, two pilot surveys were conducted with randomly selected judges, subordinate judicial officers, and attorneys.
- As a result of the pilot surveys, modifications were made to the survey tools as well as to the approach for the attorney survey. The Steering Committee decided to conduct attorney discussion group meetings to provide participants with a greater level of understanding of the benefits judges receive thus allowing attorneys to make a more informed decision on factors that would motivate them to become judges.

Phoenix

- Phoenix is the "brand name" given to the statewide infrastructure technology project to deploy financial and payroll systems to all the courts. The intent was to have a common system to improve the management of resources and to have improved ability to report expenditure and other management information to the Legislature and the Governor.
- The program started in 2002 with the deployment of the financial components of the system to the Stanislaus Court. In May of 2006, management of the project was consolidated in the Northern/Central Regional Office (NCRO) under the direction of the NCRO RAD to improve the coordination of this effort. Previously the program was being managed by the Finance, Human Resources, and Information Services Division.
- A significant change in the management of the program was made to improve communication and collaboration with the trial courts to facilitate their buy-in and support of the statewide deployment of Phoenix to all the trial courts.

- During the intervening years between 2002 and 2008, the financial system was deployed in “waves” to a cluster of courts, with staff of the AOC working with court representatives to ensure a smooth transition onto the Phoenix Financial System.
- By July of 2008, 57 of the 58 courts had the financial system successfully deployed, with only the Los Angeles Superior Court (LASC) as the remaining court awaiting deployment.
- The payroll system was first deployed to the Sacramento Superior Court in July of 2006. The courts of Stanislaus, Siskiyou, Riverside, Santa Cruz and Lake had the payroll system deployed in January of 2007.
- At that time, it became apparent that the AOC did not have sufficient resources to continue deployments, as well as having significant performance issues with the system integrator Bearingpoint.
- To mitigate these issues, both a budget change proposal was prepared and submitted to the Legislature and the Governor’s Office in the Fall of 2007, and a Request for Proposal to solicit additional/new system integrators was released in January of 2008, primarily for payroll deployment support. The contract with Bearingpoint was allowed to lapse, and a new system integrator (EPI-USE) successfully obtained the contract and initiated work in July 2008.
- Despite the initial success of the budget change proposal, funding cutbacks started to impact the program almost immediately during the 2008-09 Fiscal Year due to the status of the State Government budget.
- During this time, there was growth in the size of the staff dedicated to Phoenix as additional courts were added and service requirements increased. Recognizing this growth, a new division (Trial Court Administrative Services Division/TCAS) was created, and management of the program transferred from the NCRO to TCAS in December of 2008.

Re-Engineering

Analysis and preparation of business process recommendations for:

- Civil business process activities in Amador Superior Court – completed in December of 2009;
- Family law business processes in Fresno Superior Court – completed in January of 2010;
- Traffic business processes in Stanislaus Superior Court – completed in October of 2010;
- Finance Division business processes in San Mateo Superior Court – completed in December of 2010;
- Civil business process activities in El Dorado Superior Court – completed in December of 2010;
- Traffic business processes in San Joaquin Superior Court – completed in February of 2011;

- Civil Law and Motion and Default business processes in Placer Superior Court – completed in March of 2011;
- Contracts Reengineering Project for the AOC – review of internal AOC Contracting process across AOC divisions focusing on: reducing the overall timelines for the contract request, review, approval, and execution, monitoring and accountability process across AOC Divisions. Draft Final Report of Recommendations submitted to AOC Executive Office in July 2011.

Other activities:

- Analysis of Traffic business processes for Plumas and Sierra Courts in anticipation of the new regional courthouse that opened in December of 2009;
- Reengineering training sessions held in Baltimore, Maryland for the National Center for State Courts, Court Solutions Conference in September 2008, and at the Orange County Superior Court in January of 2009;
- Participation in working group formed in 2011 to review draft Judicial Branch Contracts Manual created as a result of new legislation now requiring judicial branch entities to adhere to Public Contract Code statutory requirements for contracting activities.

Psychotropic Medication Consultation Pilot Project

In late 2006 two Northern/Central region courts contacted the regional office regarding a desire to initiate a pilot project that would provide judicial officers' access to expert medical consultants to help them make informed decisions on requests for administration of psychotropic medication (JV-220) for juveniles that are declared a dependent child of the court. The regional office requested and received funding for a two-year pilot program that would provide courts with the ability to submit JV-220 filings to a psychiatrist for their review and provide the court with their expert medical opinion on the request for psychotropic medication.

In a little over six months the Northern/Central Regional Office (NCRO) was able to complete the following tasks to allow the pilot program to begin in July 2007:

- Communicated with trial courts, those with four or less judgeships, explaining the program and seeking interest in participation. As a result of that communication, six trial courts, encompassing all three regions, were selected to participate in the pilot program.
- Sought qualified psychiatrists that the pilot courts could utilize as needed for their JV-220 filings. This entailed contacting several medical associations to obtain their membership list and sending a request for qualification to potential consultants. Eventually, the trial courts selected three consultants for the pilot project.
- In collaboration with the two initial courts, developed a process that would be utilized by all courts participating in the pilot program.

- On behalf of the trial courts, developed contracts between the consultants and the pilot courts as well as Memorandum of Understandings between the AOC and the trial courts related to the funding of the program.

The trial courts indicate that the program has provided them with a significantly increased level of judicial confidence in reviewing applications for the administration of psychotropic medication to children. Due to the success of the program, two additional trial courts requested to participate in the pilot program; they were added in 2008 and 2009. Here are statistics for the program for fiscal year 2007–2008 and 2008–2009:

- 239 JV-220 filings were received by the pilot courts and the courts referred 157 (65.7%) of them to an expert medical consultant.
- For those 157 referred cases, the medical consultant did not agree with the requested medication in approximately 19 percent of the cases.

Based on the success of the program, ongoing funding for the program was transferred to the Center for Children, Family, and the Courts in July 2009 and they are now responsible for the management of this program.

Fiscal Oversight

Based upon the direction of the Judicial Council and the Administrative Director of the Courts, the Placer and Glenn Courts came under fiscal oversight responsibilities of the NCRO Regional Administrative Director (RAD) in April 2009. This action was taken pursuant to Government Code section 77206.1 which authorizes the council to appoint a person or entity to manage a trial court's expenditures when the trial court overspends its budget; this was the first time the Judicial Council took this type of action.

This became necessary due to the tenuous financial condition of these courts, although the circumstances concerning the deterioration of their fiscal status were significantly different. The primary role of the RAD was to work with the judicial officers and executive team to ensure necessary mitigation efforts were instituted to improve the financial condition of the court by controlling expenses, increasing revenue, and implementing administrative changes to create efficiencies within the court. Shortly after the RAD was appointed to these responsibilities, fiscal oversight duties for Glenn Superior Court were transferred to the Trial Court Administrative Services Director; however, the RAD continued having involvement on policy decisions for the court.

A summary of some of the key actions undertaken for Placer and Glenn Courts include:

Placer Superior Court

- From March to April 2009, the RAD was appointed as Acting CEO
- Court Executive Officer position filled permanently at the end of May 2009
- Established formal processes and documentation of delegations of authority consistent with California Rules of Court 10.603
- Developed new financial policies and procedures concerning such areas as purchasing and payments, cash handling and manual receipts, inventory control and asset management, travel and related reimbursement practices, and business meals
- Eliminated excess management positions and reduction in workforce of 37 staff positions
- Implemented court closure and furlough programs (total of 22 furlough days for unrepresented staff and 10 furlough days for represented staff in FY 2009/2010)
- Closed two courtrooms and reduced usage of the assigned judges program, with commensurate reductions in security and courtroom staff
- Discontinued financial participation in certain discretionary community programs
- Reduced the court security budget to match the allocation received from the Judicial Council (reduction of approximately \$475,000)
- Streamlined process for administering civil assessments on failures to appear and as a result increased annual revenue by more than \$350,000
- Implemented various reductions in goods and services, such as information technology purchases, resulting in cost-savings
- Entered the 2010-2011 Fiscal Year with the required Operating and Emergency Reserves (\$877,622) and a total positive fund balance of \$1,177,000

- Repayment of the deficiency advance of \$650,000 provided to the Placer Superior Court by the Judicial Council (within 16 months)

Glenn Superior Court

- Filled the vacant Court Executive Officer position at the beginning of January, 2010
- Participated in training to improve use of the Phoenix Financial System to improve the accuracy of revenue and expenditure projections
- Implemented court closure and furlough programs, and through collective bargaining activities deferred the implementation of a scheduled four percent cost-of-living adjustment for court employees
- Reduced participation in the Family Law Facilitator SHARP Program generating cost-savings
- Maintained vacancies for the Assistant Court Executive Officer and Fiscal Analyst positions
- Negotiated a reimbursement of funds from the County Court Construction Fund to the Trial Court Trust Fund of the Glenn Superior Court
- Streamlined various financial policies and procedures and worked with the AOC staff on improved revenue and expenditure analyses
- Entered the 2010-11 Fiscal Year with the required Operating and Emergency Reserves (\$135,949) and a total positive fund balance of approximately \$206,000
- Repayment of the deficiency advance of \$85,000 provided to the Glenn Superior Court by the Judicial Council (within 16 months)
- Repayment of an additional cash advance of \$296,000 related to the delay in reimbursement of federal grant funding causing cash flow problems

The Judicial Council removed Placer and Glenn Superior Courts from fiscal oversight in December 2010.

Judicial Administration Certificate Program — California State University, Sacramento

In 2005 a steering committee consisting of members from the AOC, Supreme Court, trial courts and California State University, Sacramento (CSUS) was formed with a charge of developing a Judicial Administration graduate program that would address the workforce planning needs of the judicial branch. The NCRO Regional Administrative Director (RAD) was the committee chair.

- In fiscal year 2006–2007 and fiscal year 2007–2008 the AOC, upon request of the NCRO RAD, provided funding that allowed for the development of program syllabi, development of judicial branch examples and materials to be included in the courses, and reimbursement of teaching-related expenses incurred by faculty selected from California court administrators.

- The Masters level program provides students with exposure to instructors and guest speakers that include judges, court executive officers, AOC directors and subject matter experts from appellate courts, trial courts, and the AOC.
- The program was launched in September 2007 with classes being held two days a month at the NCRO. The first class of students graduated in May 2009 and since then there have been two additional graduation ceremonies. Since its' inception, there have been three graduating students appointed as Court Executive Officers.
- In January 2009 the AOC was awarded a State Justice Institute Grant that has allowed the program to be refined and in September 2011 the program will be offered for the first time in the Southern Region.

Advocacy and Support for the Courts

Over the years, the regional office has successfully established positive and productive working relationships with the courts in the Northern/Central region. The regional office serves as an impartial advocate, liaison, and facilitator to improve communications, build partnerships, and assist in resolving issues at the local and statewide levels between the courts and the AOC.

While most AOC divisions have a specialized focus, the regional office has a broad understanding of all AOC programs as well as statewide issues that affect the judicial branch, in order to respond timely and expeditiously as the courts have come to expect this level of service from the regional office. Because of this acquired knowledge, the courts often seek the assistance of the regional office as the Regional Administrative Director (RAD) is typically familiar with the courts and can handle the issue with a sense of urgency.

The NCRO has successfully assisted the courts in its region on a variety of issues such as:

- Mediation assistance — courts contact the NCRO seeking advice regarding how to handle confidential discussions on judicial and/or employee issues. For instance, three two-judge courts sought mediation assistance related to judicial interactions and three other courts have requested assistance regarding performance issues of their executive officer.
- Executive officer recruitment activities — over the past three years the regional office has assisted seven courts with executive officer recruitment activities including development of a recruitment brochure; screening of applications; development of interview questions and materials; salary setting; RAD participation on the interview panel; and development of selection announcement. An additional five courts received assistance on limited portions of their recruitment (i.e., selection announcement, distribution of the recruitment brochure).
- Limited court closure notifications (Government Code section 68106) — the regional office has assisted eight Northern/Central Region courts with notifications since the government code was enacted in October 2010.

The regional office is also responsible for responding to all inquiries regarding court reporter and court interpreter matters for the Northern/Central Region, for example:

- Court reporter issues — the regional office worked with a trial court in resolving a concern from the California Court Reporter Association regarding improper use of electronic recording equipment for felony and family law proceedings in violation of Government Code Section 69957.
- Court interpreter issues — the Regional Court Interpreter Coordinator located in the Northern/Central Regional Office is present at the bargaining table as a subject matter expert in interpreter issues unique to courts in the Northern/Central region.

Case Management System Concerns

During fiscal year 2010-11, two NCRO courts contacted the regional office seeking assistance on how to request the AOCs evaluation of an interim case management system. The courts have legacy case management systems that are written in old code with the sole county support person preparing to retire and no back-up support person available to provide assistance in the event of system issues or modifications such as new filing fees.

- The regional office worked with the CCMS-Program Management Office, Information Systems Division, and Finance Division to evaluate interim case management system (ICMS) options as well as funding options that would be available to assist the courts with deployment costs. The regional office was successful in receiving Judicial Council approval for one court to receive approximately \$675,000 to deploy an interim case management system in fiscal year 2011-12. The regional office continues to work the second court on evaluation of an ICMS as well as funding options. The role of the regional office with these types of efforts is critical in ensuring courts have a timely response to their urgent needs.
- Additionally, in fiscal year 2007-08 the regional office advocated on behalf of another NCRO court seeking assistance on the assessment of interim case management options as well as securing the necessary funding. The regional office was successful in securing approximately \$1.2 million for the court to deploy Sustain Case Management System.

III. Status of Current Projects and Initiatives

Judicial Recruitment and Retention Working Group (JRRWG)

- As mentioned in section II, this working group is studying the factors, both monetary and non-monetary, that affect judicial recruitment and retention.
- In light of the fiscal crisis facing the State of California and the judicial branch, JRRWG has decided to postpone the release of the final surveys and attorney discussion groups. The working group will continue to monitor the situation to determine when the surveys may be released.

- JRRWG is also collaborating with the Office of Governmental Affairs and California Judges Association to monitor any possible impact of pension reform on JRS/JRSII.

When the efforts of the committee recommence full time, it will proceed as follows:

- A survey of all California jurists and subordinate judicial officers, and a sampling of California attorneys will be conducted to assist the committee in making recommendations regarding options for reforms so that the judicial branch can find an approach that would continue to attract the most qualified judicial candidates and maintain the excellence of California's judiciary.
- Work with the California State Bar, several specialized bar associations, and the NCSC to ensure that the attorney sampling from the 10,000 active bar members will provide us with a respondent pool that reflects the diversity of the state.
- The surveys will be sent electronically to all judges and subordinate judicial officers and we will select a random sampling of attorneys.
- Once the surveys are returned from the respondents the working group will work with NCSC in analyzing the responses to arrive at possible recommendations for the Judicial Council. We will be responsible for analyzing responses from thousands of respondents.
- JRRWG to issue a report on its finding to the Judicial Council.

Advocacy and Support for the Courts

One of the most important functions of the NCRO Regional Administrative Director (RAD) is to focus on assisting the 31 courts in the region. This requires building communication channels and establishing relationships with the court's Presiding Judge, Assistant Presiding Judge (if available), and the court Executive Officer and other executive staff as necessary.

- The regional office is both spokesperson and advocate for the region's particular needs and views, and is a trusted intermediary between the courts, the AOC, and the Judicial Council while representing the interests of the judicial branch and preserving local autonomy in the day-to-day operations of each trial court.
- This means having interactions with a minimum of at least 62 individuals (there are 31 courts in the NCRO).
- This also means understanding the culture, complexities, and needs of the 31 courts in the region.
- A Division Director must focus on all 58 courts; however, the RAD has the unique advantage of having a smaller segment of the courts that she interacts with on a regular basis. This smaller focus affords the RAD the ability to respond in a timelier manner to the 31 courts in the region.
- The Northern/Central region has a majority of the small and medium sized courts. Often these courts are resource constrained, not having the "bandwidth" of the larger courts to efficiently address various issues ranging from facilities, technology, labor,

human resources, budget, etc. and therefore seek assistance from the regional office. The courts reach out to the regional office as they are familiar with their individual court and their culture. Additionally, given her prior experience as a court executive officer the Regional Administrative Director (RAD) has proven credibility with the courts and as such is often called upon first when a question or concern arises related to a statewide initiative.

- One of the other obligations of the NCRO to ensure that adequate communication channels are maintained this includes engaging in site visits to each of the 31 courts; for a region the size of the NCRO which stretches from the King Superior Court in the south-central portion of the state to Siskiyou and Modoc Superior Courts in the northern part of the state along the Oregon border this can represent certain logistical, resource and time challenges.
- Confidential matters — courts frequently contact the RAD for guidance on personnel matters, as such, the RAD engages in highly confidential discussions with PJs and/or CEOs regarding human resources and management issues. Additionally, courts often contact the regional office seeking advice on how to handle sensitive and/or political matters either within their court, with another court, or an AOC division.
- Deficiency requests — the NCRO is currently partnering with courts in the region to address structural deficiencies in their budgets. The regional office collaborates with the courts and finance on such matters.

Case Management System Concerns

- The regional office is continuing their advocacy on behalf of the other trial court, mentioned in section II, and is awaiting a final assessment of interim case management options.
- The NCRO, as the Program Manager for an Intrabranh Agreement that was awarded in June 2011, is currently working in partnership with the court and the AOC Information Systems Division to ensure successful deployment of the interim case management system. Additionally, the NCRO will monitor and track the use of funds throughout the life of the Agreement.
- The regional office anticipates that this type of advocacy and support will continue to be vital as several of the NCRO small and medium sized courts have failing legacy case management systems and there is no firm timetable on CCMS deployment activities for these courts.

Court-Ordered Debt Task Force

- In 2010 Senate Bill 857 was enacted requiring the Judicial Council to establish a task force to evaluate criminal and traffic-related court-ordered debts imposed against adult and juvenile offenders and to evaluate and make recommendations to the Judicial Council and Legislature for consolidating and simplifying the imposition of criminal and traffic-related court-ordered debts, the distribution of the revenue, and

- priority in which court-ordered debt should be satisfied. The Task Force consists of representatives from courts, counties, cities, AOC, and executive branch agencies.
- The NCRO RAD is a task force member and in collaboration with the Trial Court Administrative Services Director, provides both executive and managerial support to the task force and serves as a subject matter expert, having spent a significant amount of years working in the criminal justice field on issues such as fees, fines, restitution, and the like. NCRO staff also provides support to the task force as necessary.
 - An interim report regarding the priority in which court-ordered debt should be satisfied was submitted to the Judicial Council and Legislature in June 2011. Due to the complexity of the legislative requirements, the Task Force will submit final recommendations to the Council and Legislature on or before December 31, 2013.

Facilities

- The NCRO is involved in a number of capital outlay projects at the request of either OCCM or the trial court. These projects take a considerable amount of time of the RAD as well as other regional office staff.
- The regional office conducts monthly calls with the three OCCM Design & Construction managers to ensure that the regional office is kept well informed on all projects. This communication allows the regional office to provide assistance to both the court and OCCM prior to escalation of issues or concerns.
- NCRO has 26 of the 50 current capital-outlay projects (SB 1732 and SB 1407).
- 11 of the 26 NCRO capital-outlay projects are in smaller courts, four or less judges, which do not have dedicated facility staffing; therefore, they tend to rely more on the regional office for guidance and assistance on issues related to their new facility.

Information Requests from Trial Courts

The NCRO occasionally receives inquiries from trial courts asking how other courts handle specific issues or how they are structured. When these requests are received the regional office will conduct a survey of similarly sized courts, usually 10-15 courts, and provide the requesting court with an analysis of the information received. This allows the court to contact one person as opposed to contacting 10-15 people for the information. Additionally, the small courts typically do not have analytical staff that can conduct an analysis of the information received.

Examples of some of the requests the regional office has received include:

- What is the courts organizational structure;
- How do courts handle calendar assignments;
- What is a courts process for informing the bench about their budget; and
- What is the courts governance structure.

For the court organizational structure requests, the regional office provides a recommended organizational structure based on information received from the surveyed courts and the knowledge base of the regional office staff.

Strategic Evaluation Committee Assistance

Two staff from the regional office is assigned to this committee as lead staff liaison to the chair and executive assistant.

Rural Courts Improvement Network

The Northern/Central Regional Office is assisting the Justice Management Institute (JMI) with the Rural Courts Improvement Network Initiative.

- The goal of the initiative is to strengthen the ability of state court systems and rural court leaders to improve court operations in rural areas by emphasizing the sharing of information and ideas about promising approaches and practices, and fostering peer-to-peer learning among court system leaders at the state and local levels.
- The initiative features a series of seminars for teams from states in a particular geographic region of the country to attend. The teams consist of a mix of state-level court leaders and trial court judges and administrators in each of the participating states.
- The regional office provided JMI with a listing of rural courts in California that have developed promising practices and/or programs that can be adopted by other jurisdictions.
- These courts will be participating in a Rural Courts Improvement Network Seminar, scheduled for October 2011 in Napa — NCRO staff will be onsite to assist JMI.

Re-Engineering

Merced Superior Court

- Review of Family Law and Traffic Infraction business processes to understand existing business processes and identify any additional areas for improvement and reengineering opportunities.
- Anticipated start date of August 30, 2011, with an anticipated completion date of December 2011.

AOC Contracts Program

- In support of recommendations regarding contracting resources needs contained in the draft report, the RU is currently working with Finance Division, Business Services Unit (BSU), to obtain timing and workload information to identify resource needs for BSU (unit that has primary responsibility for AOC contracting and procurement programs).

AOC Organization Review Project

Given the current economic climate it is imperative that the AOC continue to identify efficiencies and implement structural and organizational changes as necessary to ensure that the AOC can continue to provide needed services to both internal and external customers. To this end, the RU will perform a comprehensive organizational review focusing on various activities in AOC divisions that represent potential opportunities for consolidation or restructuring of functions and activities.

Although AOC divisions have been actively participating in conducting budget reduction drills, this would be a holistic review of the organizational structure and operational efficiency of the AOC.

CEAC Trial Court Business Process Reengineering Program

- Assistance provided to trial courts across the state in partnership with CEAC to provide training, resources and information on business process reengineering and assistance to trial courts with guidance, expertise, and oversight on business process reengineering projects.
- Program concept will be presented to the Judicial Council at the October 28, 2011, Judicial Council meeting.

IV. Division Outlook and Prospective Opportunities, Challenges Pending Issues

Opportunities

- The fiscal crisis is anticipated to impact the State of California for the next five fiscal years. There is an underlying opportunity for the regional office to be a clearinghouse of best practices and concepts that can be shared with the courts to help them weather the fiscal crisis to ensure the most efficient use of limited resources. As such, the regional office is uniquely positioned to suggest strategies to eliminate duplication of services, and to document and promote trial court successes that can be replicated in other court systems as best practices. Given the individual environment of each court, the regional office is in a position to best understand the culture of, and collaborate with, a particular court(s).
- Given the current fiscal climate, it is envisioned that there will be an increase in the number of trial courts requesting deficiency funding and with limited funding it will be important to ensure there is a consistent process for reviewing requests for funding. The regional office has proposed that the Judicial Council develop consistent criteria that would be used by the trial courts when requesting deficiency funding and used by the AOC as they review the requests. The criteria will consist of things the courts should consider implementing in an effort to achieve cost savings.
- With a hiring freeze in place at the AOC for several years, resources in all divisions are much stretched. As such, it is more important now more than ever that the regional offices work towards ensuring timely responses to the trial courts.

Challenges/Pending Issues

- Special projects. One challenge facing the Northern/Central Regional Office is finding the appropriate balance between the core ongoing function of the regional office, to provide advocacy and support for the courts, with the time spent on critical special projects that are assigned to the NCRO.
- Trial court fiscal concerns. There are several courts in the Northern/Central Region with limited fund balances. As a result, depending on budget reductions it is possible that courts may have insufficient budget allocations to pay their ongoing expenses and thus it may be necessary for the Judicial Council to place them under fiscal oversight which will impact the regional office.
- Executive Officer Recruitment/Terminations. Another issue of pending concern is the number of anticipated Court Executive Officer vacancies which will be occurring over the course of the next 2-3 fiscal years. It is typical for the NCRO to assist in the recruitment of these positions; finding qualified candidates is anticipated to be difficult as these vacancies occur.
- Limited Court Closure Notifications. Under Government Code section 68106, courts must provide written notice to the public and Judicial Council at least 60 days before instituting any plan to reduce costs by designating limited services days. The regional office is the main point of contact for trial courts that anticipate limiting service to the public.
 - The regional office reviews the proposed public notice with the trial court and Office of the General Counsel to ensure it meets the requirements as set forth in the government code and forwards to the appropriate individuals in the AOC for notification and posting to the public website.
 - It is anticipated that the number of courts requiring assistance in this area will increase as a result of the fiscal situation facing the judicial branch.

Reengineering

Opportunities

- Identify areas appropriate for streamlining and efficiencies for Merced Superior Court for two important operational areas to assist with cost savings for the court;
- Identify functions and activities within the AOC that may be appropriate for centralization to better serve AOC customers while realizing cost savings for the organization; and
- Promote the concept of business process reengineering to the balance of trial courts across the state through the CEAC Trial Court Business Process Reengineering Program to assist these courts in dealing with budgetary reductions.

Challenges

The challenges associated with these opportunities will be the ability for the Reengineering Unit (RU) staff to respond to the numerous requests for assistance that are anticipated once trial courts learn about business process reengineering and want to implement projects within their own courts in light of the limited size of the RU and the other important priorities and projects of the RU as stated above.

Overview of Administrative Office of the Courts Programs and Resources Southern Regional Office

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function and services provided, for each major functional area of the division.

Southern Regional Office

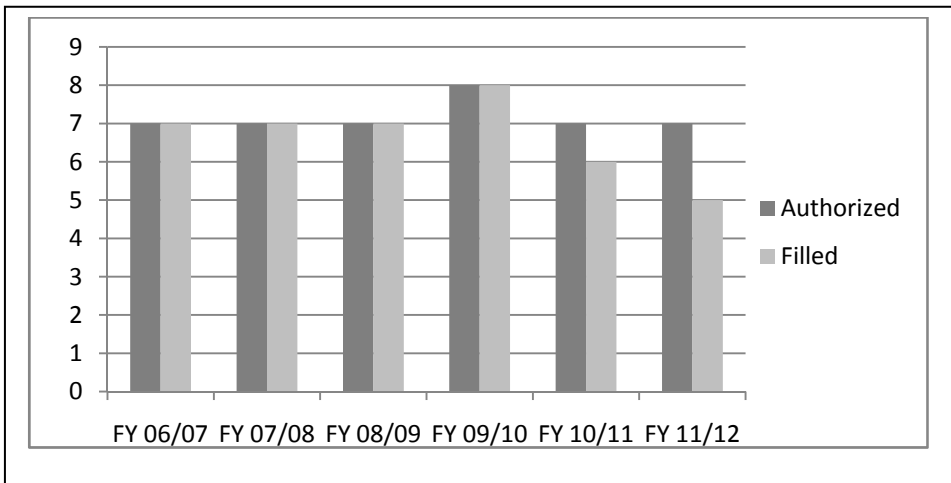
The Southern Regional Office was created in 2001 by a Budget Change Proposal (BCP) that was approved by the Judicial Council. Funding was recommended by the California Department of Finance, appropriated by the legislature and approved by the Governor as part of his the state budget. The BCP created the following positions at the SRO: Regional Administrative Director, Executive Secretary, Senior Court Services Analyst and one Attorney.

By pooling resources from different AOC divisions and assigning them to a regional office, a “one stop” source for assistance to the region was created with staff who were familiar with the special issues confronting their courts. The regional offices also created opportunities for courts to pool resources to take advantage of economies of scale. Reduced travel time and expense were realized by having the ability for statewide meetings to be held on a regional basis.

The following positions comprise the core regional office staff:

1. Assistant Division Director
2. Supervising Court Services Analyst
3. Executive Secretary
4. Court Interpreter Coordinator
5. Administrative Coordinator I (Meetings and Conferences)

The following chart is a graphical representation of the staffing trends for the core Southern Regional Office staff since fiscal year 2006/2007.



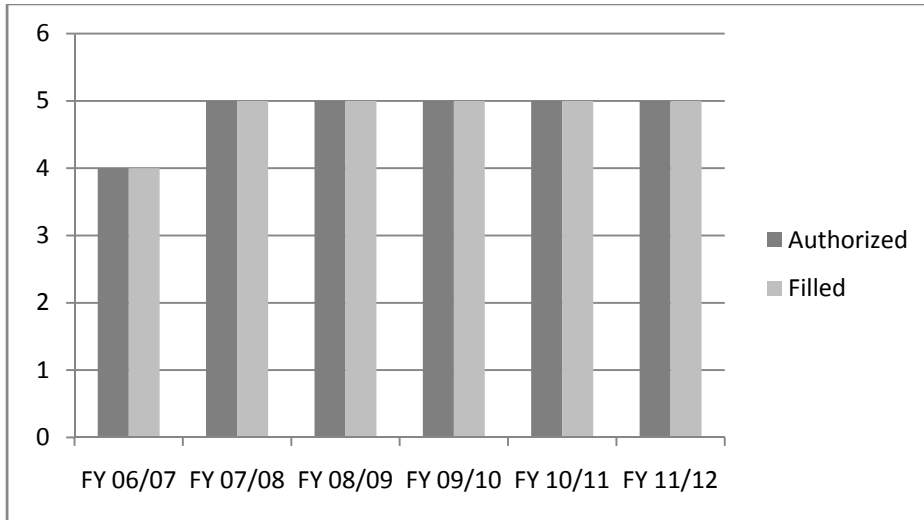
Enhanced Collections Unit

The Enhanced Collection Unit of the Southern Regional Office continues to lead efforts in its role of assisting courts and counties statewide in the area of collections in accordance with Penal Code 1463.010. The unit provides technical assistance to courts and counties in establishing or enhancing the collection of court-ordered debt. The unit collaborates with courts and counties on the development and implementation of statewide policies concerning the collection of delinquent court-ordered debt. The unit has also created collections guidelines including best practices, performance measures and benchmarks and annually reports to the legislature on the performance of the statewide collection of court-ordered debt based upon data provided by the court-county collection programs. The Enhanced Collections Unit is working on the implementation of a one-time Amnesty Program as authorized under Vehicle Code Section 420087. In collaboration with court and county collections programs, the unit is currently developing guidelines based on legislative changes relating to standards for cost-recovery under penal code section 1463.007, the ability for the courts to discharge un-collectable debt from accountability under government code section 25259.9, the ability to intercept cash property from the State Controller’s office for unpaid court-ordered debt under government code section 12419.10, and extending liens for more than 10 years for unpaid court-ordered debt.

The following positions currently comprise the Enhanced Collections Unit:

1. Senior Manager
2. Senior Court Services Analyst
3. Court Services Analyst
4. Court Services Analyst
5. Administrative Coordinator II

The following chart is a graphical representation of the staffing trends for the Enhanced Collections Unit since fiscal year 2006/2007.



II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Describe the Division’s major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division’s inception if created after FY 2005–06.

CCMS Program

In 1998, California voters approved Proposition 220, which enabled the consolidation of superior and municipal trial courts into a single superior court within each of the 58 counties. In a meeting of Chief Justice Malcolm Lucas, Associate Justice Ronald George, Governor Pete Wilson and Attorney General Dan Lungren, the Governor expressed his expectation that the branch must consolidate its technology platforms and improve the branch’s ability to exchange data with state and local justice partners. Over the next several years the CCMS program was established to develop and deploy a single unified case management system. Since November 1, 2010, CCMS is its own division and is not part of the Southern Regional Office reporting structure. Since 2005 the following milestones and accomplishments were achieved:

- 2006-The criminal and traffic product, V2, was deployed to the Superior Court of Fresno County.
- 2007-Civil, small claims, probate, and mental health modules were deployed. Some or all of these modules are in operation in the courts of Los Angeles, Orange, Sacramento, San Diego, San Joaquin, and Ventura Counties.
- 2007- Development began for family law, juvenile dependency and delinquency.
- 2007-More than 200 subject-matter experts and judicial officers from 29 courts participated in the design of CCMS.

- 2008-The Final Functional Design for the CCMS product was completed.
- 2009-Plans were completed for different options to deploy CCMS to all 58 Superior Courts.
- 2010 –The Final Functional Design validation was completed.
- 2010 – Deployment activities with the Early Adopter Courts (San Diego, Ventura, and San Luis Obispo) have started.
- Effective November 1, 2010, CCMS became its own division.

Enhanced Collections Unit

- Assisted 55 of the 58 courts and counties with establishing or enhancing programs for the collection of court-ordered debt.
- Assisted 15 courts with the implementation of a civil assessment program, resulting in 57 of the 58 courts utilizing the process.
- Developed Collections Guidelines and Standards, for delinquent court-ordered debt cost recovery and alternatives for the collection of court-ordered sanctions.
- Created and continue to update two collections Websites that provide collections-related information and tools.
- Created standard collections reporting templates as required by legislation and approved by the Judicial Council.
- Developed collections best practices, performance measures and benchmarks for approval by the Judicial Council as required by the Legislature.
- Assisted in the development of legislation to improve and expand permissible options for the collection of fines, fees, forfeitures, bail, penalties, and assessments.
- Established standard statewide master agreements for collection programs with private collection agencies for use by courts and counties, the State Bar, the Supreme Court, and the Appellate Court.
- Provided presentations and education on the imposition and collection of court-ordered debt, the role of the courts and counties in collection efforts and collection legislation to presiding judges, judicial officers, court executive officers, county administrative officers, state justice partners, state agencies, various states and countries.
- Initiated and disbursed the Comprehensive Collections Program Awards totaling \$3,590,000.00

Riverside Criminal Backlog Reduction Initiative

- In June 2007, Chief Justice Ronald M. George created the Riverside Criminal Backlog Reduction Task Force and assigned a strike team of experienced judges to reduce the backlog of criminal cases.
- The SRO provided professional and logistical support to the initiative.
- The SRO served as liaison to the Riverside County justice partners and Justice Richard Huffman and Sheila Calabro chaired meetings of the justice partners to develop and implement an improved case management plan for the court.
- Upon completion of the strike team of judges, ten years of backlogged criminal cases had been eliminated.

- In response to a virtual shutdown of civil trial courts, the SRO coordinated the efforts of multiple AOC divisions to assist the court in resuming civil trials. Within six months, 76% of civil cases (171 cases) pending for 54 months or longer had been adjudicated.
- A final report on the Riverside Criminal Backlog Task Force was submitted at the August 15, 2008 Judicial Council meeting.

Fee Waiver Working Group

- SRO staff served as lead staff to the Fee Waiver Working Group, which was charged with developing legislation, rules, and forms to assist judicial officers and staff in the approval or denial of fee waivers.
- The Fee Waiver Working Group report and recommendations for sponsorship of legislation was adopted by the Judicial Council on October 26, 2006.
- Assembly Bill 2448, adopting the Fee Waiver Working Group recommendations, was signed into law effective July 1, 2009.

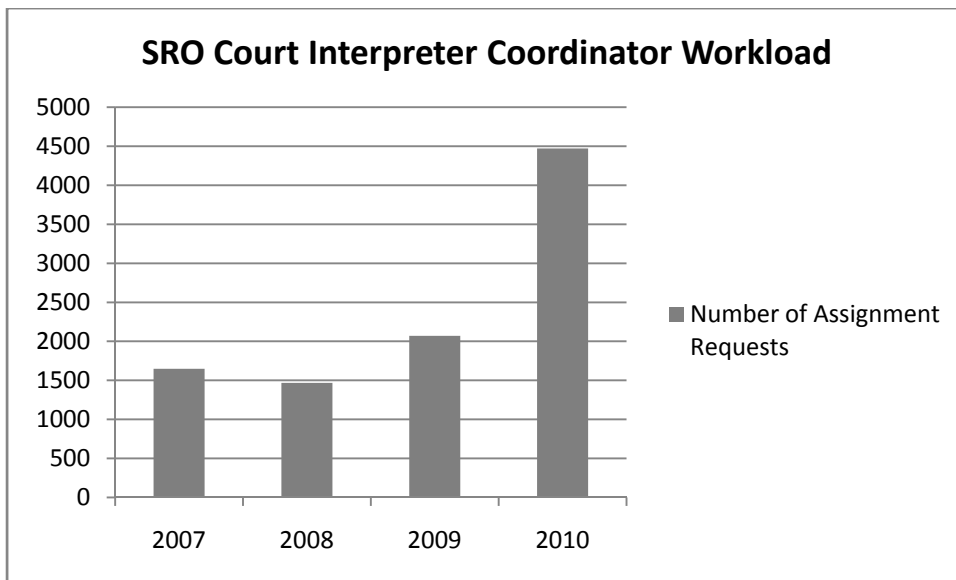
Staffing Judicial Branch Initiatives, Including the Following:

- Collaborative Court-County Working Group on Enhanced Collections
- Attorney General’s Criminal Justice Advisory Committee and chair of its subcommittee on Justice Integration
- State Bar’s California Commission on Access to Justice
- California Technology Advisory Committee
- Executive sponsor of the California Highway Patrol e-Citation Project
- CHP Traffic Records Coordinating Committee
- Court Facilities Maintenance Compensation Review Panel
- Selection Panel for the Courts’ Job Order Contracting Vendors
- California Judicial Branch Staff Recognition Proposal Development Committee
- Liaison to the Presiding Judges Advisory Committee
- Liaison to the Court Ordered Debt Task Force

Southern Regional Court Interpreter Coordinator Services

Since the creation of the regional coordinator in 2004, cross assignments of interpreters has become an important factor in addressing language needs and meeting the regional bargaining agreement and the requirements of this act. The regional court interpreter coordinator tracks, processes, and coordinates employee interpreters via the cross-assignment and non-cross assignment process. Since January 2011, the SRO regional court interpreter coordinator has assisted the local courts in the Region 1 and 4 by filling 61% of the Other than Spanish requests and 29% of the Spanish requests. In addition to the increased workload reflected below, the Southern Regional Court Interpreter Coordinator has assisted with the testing of the court interpreter module of CCMS.

The following chart is a graphical representation of the workload trends for the Southern Region Court Interpreter Coordinator since calendar year 2007.



Meeting and Conference Services

The Southern Regional Office supports the needs of the courts by providing conference facilities in Burbank that are used by the Judicial Council Advisory Committees, the courts, and justice system partners. During the last fiscal year there were 169 conferences, meetings and educational programs at the SRO attended by approximately 4,000 judicial officers, court administrators, court staff, and justice partners.

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

CCMS

- Effective November 1, 2010, CCMS became its own division.

Enhanced Collections Unit

- The Unit has created guidelines and standards to assist with a one-time statewide amnesty program which will occur between January 1, 2012 and June 30, 2012.
- The Unit is currently creating guidelines and standards based on legislative changes in cost recovery, the ability for the courts to discharge un-collectable debt from accountability, the ability to intercept cash property from the State Controller's office for unpaid court-ordered debt, and extending liens for the collection of unpaid criminal and traffic court-ordered debt for more than 10 years.
- The Unit is creating several Webinars and presentations for court and county, administrators, and staff charged with collection and revenue distribution

- responsibilities. Webinars will present information on the one-time amnesty program including eligibility, reporting requirements, revenue distribution, use of private vendors, frequently asked questions (FAQ's) and marketing strategies.
- The Unit continues to provide technical assistance to courts and counties to enhance or establish individual collection programs.
 - The unit is completing a Statewide Collections Manual to provide uniform collection practices for all 58 courts and counties.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

Describe the Division's outlook and opportunities for the future (i.e., where is the Division headed and what should you be doing?), as well as any challenges or pending issues.

Southern Regional Office

Challenges: The SRO operating expense and equipment (OE&E) budget has been reduced by \$23,871 (12%) and AOC management is considering further reductions of \$11,157 (6%). In addition to the reductions to the OE&E budget, two of the seven general fund positions at the SRO are vacant representing a 28% vacancy rate.

The regional offices are frequently requested to undertake special projects given their expansive knowledge of trial court operations, and understanding of the sensitive dynamics that exist between presiding judges, executive officers, and the AOC.

Unfortunately, the regional offices are not provided with additional resources for these special projects. A challenge for the regional offices is to find the appropriate balance between the core ongoing functions of providing advocacy and support to the trial courts with the time spent on special projects.

Opportunities: With the recent transition of the CCMS project to becoming a separate division, the SRO is in a position to assume an expanded role in developing programs for courts to share resources, strengthen relationships with justice partners on a regional basis, improve collaboration among the courts and AOC divisions, and provide greater professional and technical assistance to the trial courts, when requested.

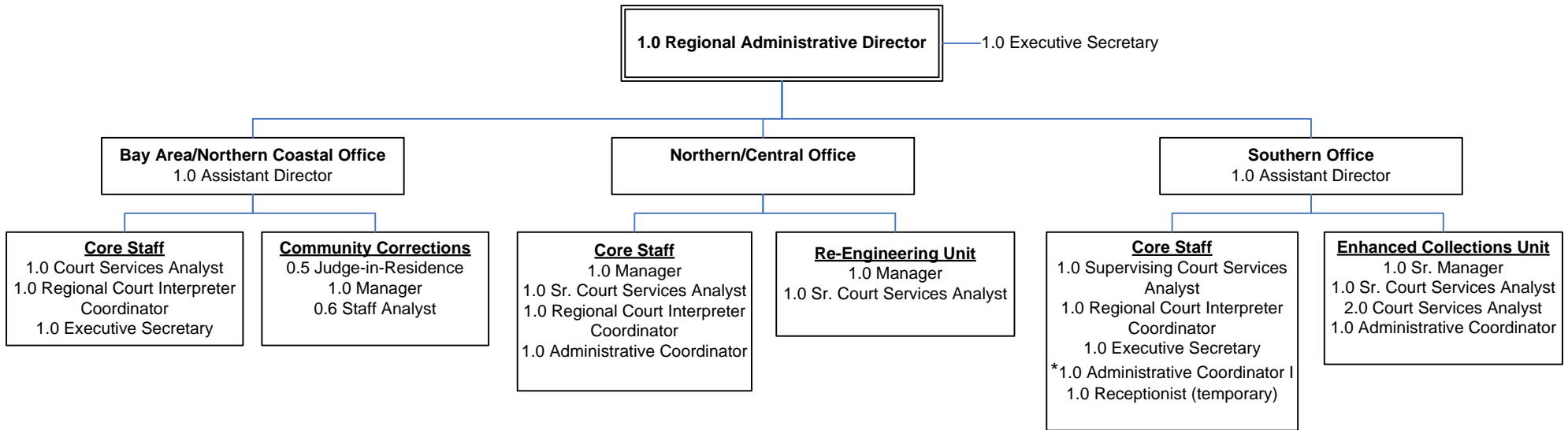
Enhanced Collections Unit

Future opportunities and challenges in the trial courts and counties have been considered when outlining our collections goals, with a focus on increasing efforts to improve statewide collection programs.

- The Enhanced Collections Unit will continue to assist court and county collection programs.

- The Annual Report to the Legislature is an opportunity to analyze each program's progress in meeting the established benchmarks, performance measures, and best practices.
- Pending approval of the proposed collections legislation and completion of the workshops, an opportunity exists for the outstanding debt to be collected, discharged and/or reduced.
- The unit's future focus will be on assisting courts to develop a pro-active process for the collection of debt before it becomes delinquent. Currently, the unit is creating a process for end-to-end processing of debt in traffic infraction and non-infraction cases.
- A challenge for the unit is that the AOC has no statutory authority over the collection of delinquent court-ordered debt, which is currently under the jurisdiction of the counties.

AOC Regional Office



* The Administrative Coordinator I position is currently vacant and until the Regional Office consolidation and review is completed, this position is suspended.

Bay Area Northern Coastal Regional Office

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10 ^{3,4}	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 537,958	\$ 515,567	-4.2%	\$ 554,645	7.6%	\$ 643,351	16.0%	\$ 768,528	19.5%	42.9%
Benefits	156,096	166,095	6.4%	178,055	7.2%	233,623	31.2%	260,073	11.3%	66.6%
Subtotal Personal Services	\$ 694,055	\$ 681,662	-1.8%	\$ 732,700	7.5%	\$ 876,973	19.7%	\$ 1,028,600	17.3%	48.2%
Operating Expense & Equipment (OE&E)										
Rent	\$ 76,031	\$ 59,503	-21.7%	\$ 74,605	25.4%	\$ 70,440	-5.6%	\$ 109,070	54.8%	43.5%
OE&E (Excludes Rent)	149,566	40,933	-72.6%	32,243	-21.2%	89,260	176.8%	210,382	135.7%	40.7%
Subtotal OE&E	\$ 225,597	\$ 100,436	-55.5%	\$ 106,848	6.4%	\$ 159,700	49.5%	\$ 319,452	100.0%	41.6%
TOTAL SUPPORT EXPENDITURES	\$ 919,652	\$ 782,098	-15.0%	\$ 839,548	7.3%	\$ 1,036,673	23.5%	\$ 1,348,053	30.0%	46.6%
Local Assistance	-	192,401	0.0%	77,149	-59.9%	3,222	-95.8%	-	-100.0%	0.0%
TOTAL EXPENDITURES	\$ 919,652	\$ 974,499	6.0%	\$ 916,697	-5.9%	\$ 1,039,895	13.4%	\$ 1,348,053	29.6%	46.6%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 919,652	\$ 782,098	-15.0%	\$ 835,663	6.8%	\$ 860,684	3.0%	\$ 850,322	-1.2%	-7.5%
Reimbursement	-	-	0.0%	3,885	0.0%	175,990	4429.7%	497,730	182.8%	0.0%
Subtotal General Fund & Special Funds	\$ 919,652	\$ 782,098	-15.0%	\$ 839,548	7.3%	\$ 1,036,673	23.5%	\$ 1,348,053	30.0%	46.6%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ^{2,3}										
Commission for Impartial Courts	\$ -	\$ 192,401	0.0%	\$ 77,149	-59.9%	\$ 3,222	-95.8%	\$ -	-100.0%	0.0%
Subtotal, Trial Court Improvement Fund	\$ -	\$ 192,401	0.0%	\$ 77,149	-59.9%	\$ 3,222	-95.8%	\$ -	-100.0%	0.0%
TOTAL EXPENDITURES - ALL FUNDS	\$ 919,652	\$ 974,499	6.0%	\$ 916,697	-5.9%	\$ 1,039,895	13.4%	\$ 1,348,053	29.6%	46.6%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾Excludes funding for Bay Area Northern Coastal Regional Office Grant.

⁽⁴⁾In FY 2009-2010 the Community Corrections Program, consisting of 1.6 FTE , was established.

Northern Central Regional Office
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07 ^{2,3}	FY 2007-08 ⁴	Annual Percentage Change	FY 2008-09 ⁵	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ^{6,7}	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
NCRO Administration										
Personal Services										
Salaries and Wages	\$ 518,830	\$ 725,360	39.8%	\$ 779,571	7.5%	\$ 779,099	-0.1%	\$ 679,577	-12.8%	31.0%
Benefits	166,524	248,081	49.0%	266,965	7.6%	296,127	10.9%	272,570	-8.0%	63.7%
<i>Subtotal NCRO Personal Services</i>	<i>\$ 685,354</i>	<i>\$ 973,441</i>	<i>42.0%</i>	<i>\$ 1,046,536</i>	<i>7.5%</i>	<i>\$ 1,075,226</i>	<i>2.7%</i>	<i>\$ 952,147</i>	<i>-11.4%</i>	<i>38.9%</i>
Operating Expense & Equipment (OE&E)										
Rent	\$ 39,214	\$ 86,258	120.0%	\$ 68,512	-20.6%	\$ 77,341	12.9%	\$ 90,315	16.8%	130.3%
OE&E (Excludes Rent)	2,496,911	76,061	-97.0%	62,299	-18.1%	142,882	129.3%	48,405	-66.1%	-98.1%
<i>Subtotal NCRO Administration OE&E</i>	<i>\$ 2,536,125</i>	<i>\$ 162,319</i>	<i>-93.6%</i>	<i>\$ 130,811</i>	<i>-19.4%</i>	<i>\$ 220,223</i>	<i>68.4%</i>	<i>\$ 138,720</i>	<i>-37.0%</i>	<i>-94.5%</i>
TOTAL NCRO SUPPORT EXPENDITURES	\$ 3,221,479	\$ 1,135,760	-64.7%	\$ 1,177,348	3.7%	\$ 1,295,449	10.0%	\$ 1,090,867	-15.8%	-66.1%
Phoenix Project										
Personal Services										
Salaries and Wages	\$ 4,066,379	\$ 6,122,458	50.6%	-	-100.0%	-	0.0%	\$ -	0.0%	-100.0%
Benefits	1,458,607	2,202,013	51.0%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
<i>Subtotal Phoenix Project Personal Services</i>	<i>5,524,987</i>	<i>\$ 8,324,470</i>	<i>50.7%</i>	<i>-</i>	<i>-100.0%</i>	<i>-</i>	<i>0.0%</i>	<i>-</i>	<i>0.0%</i>	<i>-100.0%</i>
Operating Expense & Equipment (OE&E)										
Rent	\$ 270,408	\$ 1,060,972	292.4%	\$ -	-100.0%	\$ -	0.0%	\$ -	0.0%	-100.0%
OE&E (Excludes Rent)	526,402	2,153,802	309.2%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
<i>Subtotal Phoenix Project OE&E</i>	<i>\$ 796,810</i>	<i>\$ 3,214,774</i>	<i>303.5%</i>	<i>\$ -</i>	<i>-100.0%</i>	<i>\$ -</i>	<i>0.0%</i>	<i>\$ -</i>	<i>0.0%</i>	<i>-100.0%</i>
Local Assistance (Support)	312,195	-	-100.0%	-	-	-	0.0%	-	0.0%	-100.0%
TOTAL PHOENIX SUPPORT EXPENDITURES	\$ 6,633,992	\$ 11,539,245	73.9%	\$ -	-100.0%	\$ -	0.0%	\$ -	0.0%	-100.0%
Local Assistance ⁸	586,613	25,137,375	4185.2%	-	-100.0%	-	0.0%	674,628	0.0%	15.0%
TOTAL EXPENDITURES	\$ 10,442,084	\$ 37,812,380	262.1%	\$ 1,177,348	-96.9%	\$ 1,295,449	10.0%	\$ 1,765,495	36.3%	-83.1%

Fund Source ¹	FY 2006-07 ²	FY 2007-08	Annual Percentage Change	FY 2008-09 ³	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ⁵	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 5,079,008	\$ 3,915,503	-22.9%	\$ 893,000	-77.2%	\$ 1,076,119	20.5%	\$ 1,000,695	-7.0%	-80.3%
Trial Court Improvement Fund	126,292	1,584,201	1154.4%	284,348	-82.1%	219,330	-22.9%	90,173	-58.9%	-28.6%
Trial Court Trust Fund	4,650,171	7,175,301	54.3%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
<i>Subtotal General Fund & Special Funds</i>	<i>\$ 9,855,471</i>	<i>\$ 12,675,005</i>	<i>28.6%</i>	<i>\$ 1,177,348</i>	<i>-90.7%</i>	<i>\$ 1,295,449</i>	<i>10.0%</i>	<i>\$ 1,090,868</i>	<i>-15.8%</i>	<i>-88.9%</i>
LOCAL ASSISTANCE										
Trial Court Improvement Fund ^{8,9}	\$ 565,053	\$ 18,184,470	3118.2%	\$ -	-100.0%	-	0.0%	\$ 674,628	0.0%	19.4%
Trial Court Trust Fund ¹⁰	-	4,028,905	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Modernization Fund ⁸	21,560	2,924,000	13462.2%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
<i>Subtotal Local Assistance</i>	<i>\$ 586,613</i>	<i>\$ 25,137,375</i>	<i>4185.2%</i>	<i>\$ -</i>	<i>-100.0%</i>	<i>\$ -</i>	<i>0.0%</i>	<i>\$ 674,628</i>	<i>0.0%</i>	<i>15.0%</i>
TOTAL EXPENDITURES - ALL FUNDS	\$ 10,442,084	\$ 37,812,380	262.1%	\$ 1,177,348	-96.9%	\$ 1,295,449	10.0%	\$ 1,765,496	36.3%	-83.1%

Northern Central Regional Office
Five-Year Fiscal Summary
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾In FY 2006-2007 the budget for the Court Accounting and Reporting System (CARS) project was transferred from the Finance Division budget to the Northern Central Region budget, for the Phoenix Project.

⁽³⁾In FY 2006-2007 \$2.41M was transferred from the Court Facilities Architectural Revolving Fund to the NCRO budget to fund Gateway Oaks Complex Tenant Improvements.

⁽⁴⁾In FY 2007-2008 the Reengineering Unit, consisting of two staff, was established.

⁽⁵⁾In FY 2008-09 the Phoenix Budget was transferred from the Northern Central Region budget to the newly created Trial Court Administrative Services Division budget.

⁽⁶⁾In FY 2010-11 the NCRO restructured for operational efficiency and Personal Services cost savings.

⁽⁷⁾In FY 2010-2011 local assistance reflects Trial Court Improvement Funds provided to Nevada Superior Court to deploy an interim case management system.

⁽⁸⁾The displayed numbers for all fiscal years are from the Oracle Financial, and included in the expenditures and encumbrances that are reported on the year-end financial statements.

⁽⁹⁾Excludes funding for Northern Central Regional Office Grant.

⁽¹⁰⁾TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Northern Central Regional Office
Five-Year Local Assistance Fiscal Detail
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 November 2011

Local Assistance Expenditures Budget Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund^{1, 2}</i>										
Phoenix Project - Financial	275,346	16,484,658	5886.9%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Phoenix Project - HR	189,707	1,699,812	796.0%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
ADP Services	100,000	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Interim Case Management System - Nevada	-	-	0.0%	-	0.0%	-	0.0%	674,628	0.0%	0.0%
Subtotal, Trial Court Improvement Fund	565,053	18,184,470	3118.2%	-	-100.0%	-	0.0%	674,628	0.0%	19.4%
<i>Trial Court Trust Fund³</i>										
Phoenix Project - Financial	-	4,028,905	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Subtotal, Trial Court Trust Fund	-	4,028,905	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
<i>Judicial Administration Efficiency and Modernization Fund¹</i>										
Authorization to Administer Psychotropic Medication	21,560	24,000	11.3%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Phoenix Project - FI	-	2,900,000	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Subtotal, Modernization Fund	21,560	2,924,000	13462.2%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 586,613	\$ 25,137,375	4185.2%	\$ -	-100.0%	\$ -	0.0%	\$ 674,628	0.0%	15.0%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes funding for Northern Central Regional Office Grant.

³ TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

**Southern Regional Office
Five-Year Fiscal Summary**

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November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ^{2,3}	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 1,889,954	\$ 2,195,500	16.2%	\$ 2,604,006	18.6%	\$ 2,988,012	14.7%	\$ 1,633,827	-45.3%	-13.6%
Benefits	615,065	727,098	18.2%	867,194	19.3%	997,407	15.0%	626,746	-37.2%	1.9%
Subtotal Personal Services	\$ 2,505,019	\$ 2,922,598	16.7%	\$ 3,471,200	18.8%	\$ 3,985,419	14.8%	\$ 2,260,573	-43.3%	-9.8%
Operating Expense & Equipment (OE&E)										
Rent	\$ 263,616	\$ 441,604	67.5%	\$ 499,539	13.1%	\$ 653,258	30.8%	\$ 367,874	-43.7%	39.5%
OE&E (Excludes Rent)	266,484	320,103	20.1%	660,701	106.4%	249,804	-62.2%	364,252	45.8%	36.7%
Subtotal OE&E	\$ 530,100	\$ 761,707	43.7%	\$ 1,160,240	52.3%	\$ 903,062	-22.2%	\$ 732,126	-18.9%	38.1%
TOTAL SUPPORT EXPENDITURES	\$ 3,035,119	\$ 3,684,305	21.4%	\$ 4,631,440	25.7%	\$ 4,888,481	5.5%	\$ 2,992,699	-38.8%	-1.4%
Local Assistance	53,591,568	69,026,872	28.8%	39,205,548	-43.2%	36,751,151	-6.3%	10,142,497	-72.4%	-81.1%
TOTAL EXPENDITURES	\$ 56,626,687	\$ 72,711,177	28.4%	\$ 43,836,988	-39.7%	\$ 41,639,632	-5.0%	\$ 13,135,196	-68.5%	-76.8%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ²	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 1,276,204	\$ 1,259,060	-1.3%	\$ 1,220,238	-3.1%	\$ 1,924,130	57.7%	\$ 1,148,628	-40.3%	-10.0%
Trial Court Improvement Fund	1,760,483	2,425,245	37.8%	3,411,202	40.7%	2,964,350	-13.1%	1,844,070	-37.8%	4.7%
Subtotal General Fund & Special Funds	\$ 3,036,687	\$ 3,684,305	21.3%	\$ 4,631,440	25.7%	\$ 4,888,480	5.5%	\$ 2,992,698	-38.8%	-1.4%
LOCAL ASSISTANCE										
Trial Court Trust Fund ⁶	\$ 50,000,000	\$ -	-100.0%	\$ 14,513,240	0.0%	\$ 25,805,039	77.8%	\$ 9,166,788	-64.5%	-81.7%
Modernization Fund ⁴	-	4,132,003	0.0%	4,974,330	20.4%	422,177	-91.5%	-	-100.0%	0.0%
Trial Court Improvement Fund ^{4,5}	3,590,000	64,894,869	1707.7%	19,717,978	-69.6%	10,523,935	-46.6%	975,709	-90.7%	-72.8%
Subtotal Local Assistance	\$ 53,590,000	\$ 69,026,872	28.8%	\$ 39,205,548	-43.2%	\$ 36,751,151	-6.3%	\$ 10,142,497	-72.4%	-81.1%
TOTAL EXPENDITURES - ALL FUNDS	\$ 56,626,687	\$ 72,711,177	28.4%	\$ 43,836,988	-39.7%	\$ 41,639,631	-5.0%	\$ 13,135,195	-68.5%	-76.8%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The Southern Regional Office budget for FY 2010-11, excluding CCMS, was \$1,862,200.

⁽³⁾In FY 2010-11 the California Case Management System Program Management Office (PMO) was developed. Authorized staff positions (29 FTEs) for the newly developed PMO were transferred from the Southern Regional Office.

⁽⁴⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽⁵⁾Excludes funding for Southern Regional Office Grant.

⁽⁶⁾TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

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<i>Trial Court Improvement Fund</i> ^{1,2}										
Comprehensive Collection Program	\$ 3,590,000	\$ 450,000	-87.5%	\$ -	-100.0%	\$ -	0.0%	\$ -	0.0%	-100.0%
California Case Management Systems	-	64,444,869	0.0%	19,623,602	-69.5%	10,424,767	-46.9%	874,541	-91.6%	0.0%
Consultant for Statewide Technology Initiatives	-	-	0.0%	94,376	0.0%	99,168	5.1%	101,168	2.0%	0.0%
Subtotal, Trial Court Improvement Fund	\$ 3,590,000	\$ 64,894,869	1707.7%	\$ 19,717,978	-69.6%	\$ 10,523,935	-46.6%	\$ 975,709	-90.7%	-72.8%
<i>Trial Court Trust Fund</i> ³										
California Case Management Systems	\$ 50,000,000	\$ -	-100.0%	\$ 14,513,240	0.0%	\$ 25,805,039	77.8%	\$ 9,166,788	-64.5%	-81.7%
Subtotal, Trial Court Trust Fund	\$ 50,000,000	\$ -	-100.0%	\$ 14,513,240	0.0%	\$ 25,805,039	77.8%	\$ 9,166,788	-64.5%	-81.7%
<i>Judicial Administration Efficiency and Modernization Fund</i> ¹										
California Case Management Systems	\$ -	\$ 4,132,003	0.0%	\$ 4,973,998	20.4%	\$ 422,177	-91.5%	\$ -	-100.0%	0.0%
SB 940 Working Group	\$ -	\$ -	0.0%	\$ 332	0.0%	\$ -	-100.0%	\$ -	0.0%	0.0%
Subtotal, Modernization Fund	\$ -	\$ 4,132,003	0.0%	\$ 4,974,330	20.4%	\$ 422,177	-91.5%	\$ -	-100.0%	0.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 53,590,000	\$ 69,026,872	28.8%	\$ 39,205,548	-43.2%	\$ 36,751,151	-6.3%	\$ 10,142,497	-72.4%	-81.1%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes funding for Southern Regional Office Grant.

³ TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Center for Families, Children, and the Courts

Diane Nunn
Division Director

Overview of Administrative Office of the Courts Programs and Resources
Center for Families, Children & the Courts
August 26, 2011

I. Organizational Structure of the Division and Services Provided

AOC's Center for Families, Children & the Courts (CFCC) was established in February 2000 with the merger of the Statewide Office of Family Court Services (SOFCS) and the Center for Children and the Courts (CCC), using existing budget and staff from these units, formerly housed in two separate divisions. The Statewide Office of Family Court Services was created by a 1984 legislative mandate to provide leadership, development, assistance, research, grants, education, and technical support to the state's family court services programs through direct services and community partnerships. The Center for Children and the Courts was created by the AOC in 1997 in response to the results of a statewide needs assessment of California juvenile dependency proceedings conducted by the National Center for State Courts. Since 2000, additional AOC employees have been transferred from other divisions for work supporting collaborative justice courts, domestic violence education, and effective response to mentally ill court users.

The formation of a specialized center within AOC's administrative structure institutionalized judicial branch commitment to improving outcomes for children and families. Court systems across the country have contacted AOC with interest in developing centers dedicated to family and juvenile issues.

Although it constitutes approximately one-fourth of CFCC financial support, ongoing general fund support remains a crucial financial and institutional resource of CFCC, making it possible to attract additional federal, state, and foundation funding to support Branch objectives and directives. General funds are supplemented by the Equal Access Fund; legislatively designated support from the family law trust fund; interagency agreements with California Department of Child Support Services, the California Department of Social Services, and the California Mental Health Services Fund; longstanding federal funding from the U.S. Department of Health and Human Services, Administration for Children and Families, the federal Office of Child Support Enforcement, and the Department of Justice Office of Violence Against Women; and numerous smaller grants for short term projects that advance specific council objectives and directives.

CFCC brings together a multidisciplinary group of subject matter experts in law, court administration, finance, education and training, management analysis and reporting, program evaluation, research, self help services, and others who work in service of a common goal: assisting courts to meet the diverse needs of children, youth, parents, families, and other users of the California courts. The division provides a wide range of services to support effective court

response to pervasive challenges associated with self representation, barriers to court access and case progress, limited English proficiency, domestic violence, substance abuse, and mentally ill court users. Our service areas are legal and court services; education; research and information for decision making; and financial assistance and administration, and publications. AOC is the designated judicial branch administrative entity for funding from several federal and state government agencies. Funding to courts that is administered by CFCC staff is detailed in the following sections of the report.

CFCC staffs standing Judicial Council Advisory Committees on Collaborative Justice Courts and Family and Juvenile Law. CFCC staffs the California Tribal Court/State Court Forum. CFCC also staffs Judicial Council advisory groups currently developing and implementing recommendations to improve the response of courts and their justice partners in several key areas. Recommendations focus on inter-branch and interagency coordination, access to justice, fair and efficient administration of justice, and improved safety, permanency, and well-being for children and families.

- Task Force on Self-Represented Litigants
- Judicial Council Blue Ribbon Commission on Children in Foster Care
- Domestic Violence Practice and Procedure Task Force
- Elkins Family Law Task Force
- Task Force for Criminal Justice Collaboration on Mental Health Issues

II. Division Accomplishments are highlighted in Section III

III. Status of Current Projects and Initiatives *Current projects and initiatives are listed under each unit from the CFCC organizational chart. Underlined items are links to more information.*

Equal Access Program & Self Represented Litigants

Funding to Trial Courts and Justice Partners:

- \$11.2 million in funding for Self-Help Centers in every court system
- \$16 million in Equal Access grants to legal services agencies to provide legal services to indigent Californians. 10% goes to self-help services at local courts
- \$320,000 for Family Law Information Centers at three courts
- \$891,000 for five Model Self-Help Pilot Projects
- \$9.5 million for seven pilot projects under the Sergeant Shriver Civil Counsel Act (AB 590) starting July 1, 2011, to provide attorney representation and support for court innovations in housing, child custody, guardianship and conservatorship cases for low-income Californians
- \$1,750,000 to 45 courts for interpretation in civil domestic violence, family law, and elder abuse cases

Legal and Court Services:

- Technical assistance and materials for courts and court-based self-help programs, including videos, instructions, and computer programs
- Educational programs for court and self-help staff, legal services providers, and judicial officers on legal topics and new techniques for handling cases involving self-represented litigants
- Technology tools for courts: Domestic Assistance Self Help (DASH) for completing restraining order requests and responses; Family Court Case Tracking System (FACCTS); electronic production of minute orders and orders after hearing in real time in the court room; HotDocs programs and PDF form sets to assist self-help center staff
- Coordination of translation of statewide forms and information; support to courts in development of federally mandated plans for persons with Limited English Proficiency

Research:

- [Evaluation of the Effectiveness of 5 Pilot Self-help Centers](#)
- [Evaluation of the 99 Legal Services Programs Funded by the Equal Access Fund](#)
- Report to the California Legislature: California Courts Self-Help Centers
http://www.courts.ca.gov/documents/rpt_leg_self_help.pdf
- Evaluation of Family Law Information Center pilots
<http://www.courts.ca.gov/partners/documents/FLIC-full.pdf>

Resources for Litigants:

- (In collaboration with other divisions) California Courts Online Self-Help Center
<http://www.courts.ca.gov/selfhelp.htm>; Responsible for 4,000 pages of legal content and translation into Spanish

Public Inquiries Unit

- Responds to an annual 1800 public e-mail and telephone inquiries and requests for information
- Manages public input to and requests for information about special projects and Judicial Council advisory groups
- Fills requests for information and publications

Tribal Projects

Legal and Court Services:

- Staff the Statewide Tribal Court State Court Forum, which was established to discuss issues of mutual importance to tribal and state justice systems relating to the recognition and enforcement of court orders that cross jurisdictional lines, the determination of jurisdiction

for cases that might appear in either court system, and the sharing of services between jurisdictions

- Work with local self-help and legal aid programs to provide effective services to Native Americans in California
- Training and technical assistance for tribal court judges to support tribal justice development, including adaptation of Judicial Council forms, collaborative court principles, and tribal supervised visitation programs

Research and Public Information Products:

- Native American Communities Justice Project: Beginning the Dialogue: Domestic Violence, Sexual Assault, Stalking, & Teen-Dating Violence [Policy Paper](#), [Research Report](#);
- Research/Statistical Abstracts <http://www.courts.ca.gov/3066.htm>

Professional Resources:

- [Statewide Directory of Native American Services](#)
- [Tribal Grants](#) listing
- ICWA Resources: [ICWA Job Aids](#); [ICWA Expert Witness List](#); ICWA Laws, Rules, & Regulations (<http://www.courts.ca.gov/8709.htm>); ICWA Bench Handbook <http://www.courts.ca.gov/documents/ICWAHandbook2008.pdf>
- Educational Materials on Federal Indian Law <http://www.courts.ca.gov/8710.htm>

Family Violence Projects

Funding to Trial Courts and Justice Partners:

- Domestic Violence Safety Partnership Program for technical assistance and funding for training

Legal and Court Services:

- Legal and policy analysis requested by the council, family violence related rules of court and court forms, committee and council reports analyzing domestic violence issues, and mandated studies and reports to the Legislature and Governor
- Technical assistance to courts on implementing screening procedures to identify safety concerns and domestic violence prior to mediation
- Promising Practices Project provides support, technical assistance, and education for courts
- (In collaboration with BANCRO and ISD) California Courts Protective Orders Registry provides scanning of and access to restraining orders throughout the state and direct input into Department of Justice database for domestic violence restraining orders, and is developing read-only access for tribal courts issuing tribal court restraining orders
- Judicial Council Domestic Violence Practice and Procedure Task Force implementation projects

Education and Training:

- The Violence Against Women Education Project (VAWEP) provides the courts with information, educational materials, and training in responding to domestic violence, sexual assault, stalking, teen dating violence, elder abuse, and human trafficking cases

Professional Resources:

- Orientation and assessment tools for Family Court Services
- Intake forms for family court services mediators and evaluators

Family Law Programs

Legal and Court Services:

- Technical consultation in case management in family law, child custody, minor's counsel, and family law operations
- Elkins Family Law Task Force Implementation projects
- Family Resource Guidelines

Education:

- Family Law Summit (2010, 2011)

Professional Resources:

- Online information for family court services and family law facilitator and self-help staff

Collaborative Justice Programs

Funding to Trial Courts and Justice Partners:

- Drug Court Partnership Act/Comprehensive Drug Court Implementation Act funds (co-administered with California Department of Alcohol and Drug Programs) – nearly \$30 million annually is distributed to drug courts in 55 of California's 58 counties
- Collaborative Justice Substance Abuse Focus Grants – Approximately \$1.2 million annually in mini-grants is distributed to support adult and juvenile collaborative justice court programs that include a substance abuse focus, including drug, DUI, mental health, elder abuse, peer courts, as well as educational models, such as DUI prevention programs, and funding distributed to over 50 counties in support of over 80 collaborative justice programs
- Time-limited funding totaling over \$100,000 from private organizations (Archstone Foundation and the California Endowment) and state and federal agencies supported collaborative justice special projects, including funds distributed to the courts for a variety of innovative pilot projects, such as elder abuse courts, DUI court in the school program, and the expansion and evaluation of parolee reentry courts

Education and Training:

- Annual Youth Court Summit: [Youth Court Summit Announcement](#)
- Elder Court Roundtables: <http://www.courts.ca.gov/5981.htm#tab13006>
- [Applying Collaborative Justice Court Principles and Practices Faculty Guide, pages 1-114](#) (PDF, 7,517 KB); [Applying Collaborative Justice Court Principles and Practices Faculty Guide, pages 115-228](#) (PDF, 6,434 KB)
- Parolee Reentry Court training, roundtables, and technical assistance for reentry court pilot teams working
- Support the Veterans Court Working Group and materials for all court jurisdictions interested in establishing programs for veterans
- Collaborative Justice Courts: Resource Workbook: [Part One \(pp. 6-21\)](#) (PDF, 450 KB); [Part Two \(pp. 22-100\)](#) (PDF, 29 KB) education and training for judges and court staff and the recent launch of a law school externship program that partners law schools with collaborative justice courts
- Law school externship program that partners law schools with collaborative justice courts

Research:

- *California Drug Courts Cost Analysis Study* [Summary of the Study](#)
- *Collaborative Justice in Conventional Courts: Stakeholders' Perspectives*
- Parolee Reentry Court Evaluation
- California Collaborative Court Statewide Data Collection project

Professional Resources:

- Applying Collaborative Justice Court Principles and Practices Faculty Guide, [Applying Collaborative Justice Court Principles and Practices Faculty Guide, pages 1-114](#) (PDF, 7,517 KB); [Applying Collaborative Justice Court Principles and Practices Faculty Guide, pages 115-228](#) (PDF, 6,434 KB)
- California's Collaborative Justice Courts: Building a Problem-Solving Judiciary http://www.courtinfo.ca.gov/programs/collab/documents/California_Story.pdf

Mental Health Programs

Support Judicial Council Task Force for Criminal Justice Collaboration on Mental Health Issues

- Actively participate with state agencies and committees, such as the Council on Mentally Ill Offenders (COMIO), the National Alliance on Mental Illness (NAMI), the California Mental Health Directors Association (CMHDA), the Department of Mental Health Stigma and Discrimination Advisory Committee, and the Department of Public Health Statewide Screening Collaborative

Services to the Trial Courts:

- Job aids <http://www.courts.ca.gov/5982.htm> and technical assistance to over 40 adult and juvenile mental health court programs
- Listserv for mental and behavioral courts judges
- Site visits to model mental health and community court programs
- List of collaborative courts and other court programs that focus on mental health issues

Education and Training:

- Elder abuse reference guide for judicial officers which is in progress.
- Local symposia in the courts addressing mental health issues in various case types

Family Dispute Resolution Programs

Court Services:

- (With Education Division) Faculty Development Training for Family Court Services Professionals
- Regional Court Exchange Visits
- Monthly Directors, Managers, and Supervisors' conference calls
- Approval of outside training for child custody mediator, evaluator, or domestic violence training as required per rules of court

Mandated education for over 400 court-based child custody and juvenile dependency mediators, evaluators, and management:

- Family Dispute Resolution Statewide Educational Institute
- Family Dispute Resolution Regional Trainings
- Family Court Services Directors, Managers, and Supervisors Trainings
- Institute for New Court Professionals
- Webinars – with over 48 superior courts participating
- Ethics Trainings

Links to Education Rules of Court:

- Child Custody Mediators – [Rule 5.210 \(f\)](#); [Rule 5.215 \(j\)](#)
- Child Custody Evaluators – [Rule 5.225 \(d\)](#); [\(e\)](#); [\(i\)](#)
- Juvenile Dependency Mediators – [Rule 5.518 \(e\)](#); [\(g\)](#)
- Domestic Violence – [Rule 5.230 \(d\)](#); [Rule 5.215 \(j\)](#)

Child Support Commissioners & Family Law Facilitators Program

Funding to Trial Courts:

- \$55 million annually in federal and state grant funds to all California courts child support commissioners and family law facilitators to serve the approximately 1.5 million Title IV-D child support cases (AB 1058 [Stats. 1996, ch. 957])

Education and Training:

- Annual Statewide Training: [15th Annual Child Support Training Conference](#)
- Family Law Facilitator Midyear Training
- Child Support Commissioner Roundtable in conjunction with the CJER Family Law Institute
- AB 1058 Program Reporting Training (web-based training for court grant accounting staff)

Research:

- Federally mandated periodic review of uniform statewide child support guideline: [2010](#)
- Family Law Facilitator Database Public Information Products

Professional Resources:

- [Bench guide 203: AB 1058 Child Support Proceedings: Establishing Support](#)
- [\(In collaboration with the Education Division\) Bench guide 204: AB 1058 Child Support Proceedings: Enforcing Support](#)
- [New Child Support Commissioner Orientation Handbook](#)
- [New Family Law Facilitator Orientation Handbook](#)
- Bench guide 203: AB 1058 Child Support Proceedings: Establishing Support
- [\(In collaboration with the Education Division\) Bench guide 204: AB 1058 Child Support Proceedings: Enforcing Support](#)
- [New Child Support Commissioner Orientation Handbook](#)
- [New Family Law Facilitator Orientation Handbook](#)

Resources for Litigants:

- [The Basics of Child Support for Incarcerated Parents](#)

Access to Visitation Program

Funding to Trial Courts and Justice Partners:

- Access to Visitation Grant Program (U.S. Department of Health and Human Services, Administration for Children and Families, Office of Child Support Enforcement), approximately \$770,000 annually to 12 courts representing 28 counties and involving 32 local providers of supervised visitation and exchange, parent education, and group counseling services

Court Services:

- Site visits, training and education, focus group and roundtable meetings

Education:

- [Standard of Practice, 5.20](#) of the California Standards of Judicial Administration

Research:

- Access to Visitation Grant Program Data Collection and Reporting System

Public Information Products:

- [Access to Visitation Reports to the State Legislature](#)

Business Intelligence Services

Services to Trial Courts:

- Using funding from the federal Department of Health and Human Services and other sources, including the State Justice Institute, CFCC assists volunteer courts to generate and analyze reliable statistical reports that can be used for informed decision making
- Business intelligence reports for statewide case management system (Statewide Reporting Data Warehouse). CFCC consulted with courts and carried their needs forward into the design and construction of the family, juvenile, and collaborative justice law management reports
- With federal Court Improvement-Data (CIP-Data) three volunteer pilot courts are developing capacity to use case management system data for juvenile dependency performance measurement
- Completing delinquency court improvement projects in local courts
- Data exchange with partners for statewide case management system. CFCC worked closely with the California Department of Social Services, the California Department of Child Support Services, and court experts to define data exchange specifications that can be used in the California Court Case Management System, as well as the partner agency systems
- Child Welfare county profile reports disseminated to all juvenile court judicial officers, and posted to the CalDOG website and the UC Berkeley's Center for Social Science Research (CSSR) website
- Technical assistance to three local courts, in conjunction with the National Council of Juvenile and Family Court Judges, to define programs to assist juvenile delinquency court users

Research:

- [Juvenile Delinquency Court Performances Measures \(December 2011\)](#)

- [Child Welfare County Data Profiles for the Courts \(updated quarterly\)](#)

Juvenile Research

Services to the Trial Courts:

- Court Case Manager Pilot Study (CoCAMPS): San Joaquin Superior Court for a case manager and program assistant
- Pilot dependency drug court (DDC) performance measures in volunteer courts

Education and Training:

- Site visits to local courts and extensive consultation on the technical and legal issues surrounding sharing information on families and children in court with other partners, including child welfare and probation

Research:

- Caseflow in Juvenile Dependency: Findings from the Pilot Study
- Dependency Drug Court Performance Measure Implementation Guide (forthcoming)
- [AOC Briefing: Screenings and Assessments Used in the Juvenile Justice System - Evaluating Risks and Needs of Youth in the Juvenile Justice System \(2011\)](#)
- [AOC Briefing: Screenings and Assessments Used in the Juvenile Justice System - Juvenile Mental Health Screenings and Assessments \(2011\)](#)
- [Sharing Information About Children in Foster Care: Health Care \(2010\)](#)
- [Sharing Information About Children in Foster Care: Education \(2010\)](#)
- [Sharing Information About Children in Foster Care: Substance Abuse \(2010\)](#)
- [Sharing Information About Children in Foster Care: Mental Health \(2010\)](#)
- [Dependency Counsel Caseload Standards: A Report to the California Legislature \(April 2008\)](#)
- [California Juvenile Delinquency Court Assessment \(2008\)](#)
- [Dependency Counsel Caseload Standards: A Report to the California Legislature \(April 2008\)](#)
- [California Juvenile Dependency Court Improvement Program Reassessment, Full Report \(November 2005\)](#)
- [California Juvenile Dependency Court Improvement Program Reassessment, Summary \(December 2005\)](#)
- [Research Update: Background of Judicial Officers in Juvenile Dependency \(December 2005\)](#)
- [Draft Model Local Rules of Court](#)
- [Dual-Status Children: Protocols for Implementing Assembly Bill 129 – A Report to the California Legislature \(2007\)](#)
- [Research Update: California Juvenile Dependency Data \(2005\)](#)

- California Statistical Abstracts for Juvenile Dependency (2005)
[Chapter 1](#) [Chapter 2](#)

-

Family Research

Court Services:

- Orange County Superior Court pilot testing of family law business intelligence reports, CCMS Statewide Reporting Data Warehouse, and related measures of family law caseload and case processing
- CCMS Statewide Reporting Data Warehouse consulting on family law management reports and other data elements; coordination and consulting with California Department of Child Support Services and court experts to define data exchange specifications for CCMS
- Family Law Resource Guidelines Workload Study site visits to 13 courts, including technical assistance from court consultant
- Supported development of research-related recommendations for the Elkins Family Law Task Force

Education and Training:

- Briefings on Statewide Uniform Statistical Reporting System (mandated by Family Code §1850) at Beyond the Bench, Family Dispute Resolution (FDR) Statewide Educational Institute, FDR Directors' meetings and Web/teleconferencing

Research Studies and Publications:

- Family Law Resource Guidelines Workload Study and Family Law Baseline Data Collection (in progress)
- [2008 Statewide Uniform Statistical Reporting System/Snapshot Study on court-based child custody mediation](#) (one publication completed, two in progress)
- Publications in progress:
 - Family Court Services Profile
 - Domestic Violence in Court-Based Child Custody Mediation
- Judicial Workload Assessment and Resource Allocation Study (providing subject matter expertise to AOC Office of Court Research on family law matters)
- [AOC Briefing: Family-Based Treatment Models - Effective Practices for Treating Youth Who Have Antisocial and Delinquent Behaviors \(2009\)](#)
- [Snapshot Study 2008: Summary Findings](#)
- [Undue Influence: Definitions and Applications](#)
- [Research Update: 2006 Family Law Judicial Officer \(FLJO\) Survey: Judicial Officer Background, Judicial Resource Needs, and Challenges \(2009\)](#)
- [Effective Court Practice for Abused Elders, Main Report \(2008\)](#)
- [Effective Court Practice for Abused Elders, Appendixes \(2008\)](#)

- [Drug and Alcohol Testing in Child Custody Cases: Implementation of Family Code Section 3041.5, \(AB1108\), Final Report to the California Legislature](#)
- [United Courts for Families Program: Mentor Court Project, Final Evaluation Report \(2007\)](#)
- [Demographic Trends of Clients in Court-Based Child Custody Mediation \(2005\)](#)

Blue Ribbon Commission on Children in Foster Care

Legal and Court Services:

- Local Blue Ribbon Commissions: In 2008 and 2010, the division used funding from the federal Court Improvement Project, the Stuart Foundation, and other sources to convene multidisciplinary commissions from each court. The commissions promote local implementation of Blue Ribbon Commission recommendations. CFCC staff work with local teams that include judges, court executives, county directors of child welfare, chief probation officers, and directors of Court Appointed Special Advocate programs

Publications:

- [Foster Care Reform Update: A Briefing for County and Statewide Collaborations is an electronic newsletter efforts to improve juvenile dependency and foster care in California](#)
- [Fostering a New Future for California's Children \(2008\)](#), comprehensive recommendations for improving dependency court as well as safety, permanency, well-being, and fairness for children and families in the child welfare system
- [Building a Brighter Future for California's Children \(2010\)](#), a progress report on implementation of its recommendations

Court Appointed Special Advocates (CASA)

Funding to Trial Courts and Justice Partners:

- Annual grant of \$2,180,000 to 40 California CASA programs trained 7,000 community volunteers who serve as the “eyes and ears” of the local dependency judges and courts

Legal and Court Services:

- Site visits to all CASA programs and the local juvenile dependency court on a three-year cycle, Sample [CASA Program Report \(2009\)](#)

Education and Training:

- Two annual trainings to all CASA Directors and selected Board Members

Professional Resources:

- Through a grant from the Walter S. Johnson Foundation, CFCC has developed and provided a financial self-analysis tool for all programs.

Juvenile Court Assistance Team (JCAT)

Funding to the Courts:

- \$110 million in Court Appointed Counsel funds allocated to support appointed dependency counsel

Legal and Court Services:

- Dependency Representation Administration Funding and Training (DRAFT) Program: AOC administration of dependency counsel services for 20 courts voluntarily participating in the program.
- Dependency Counsel Collections: Assistance to the courts in implementing Assembly Bill 131, which went into effect January 1, 2010, and directs the Judicial Council to establish a collections program for dependency counsel services.

Education and Technical Assistance:

- JCAT attorney liaisons are directly responsible for providing juvenile dependency training, conducting federal Title IV-E file reviews, serving as legal and practice resources, supporting Local Blue Ribbon Commissions and special, court-identified dependency system improvement initiatives, for their assigned courts.
- The JCAT is also responsible for maintaining the California Dependency Online Guide (CalDOG) website, which provides up-to-date legal information and training resources for its over 1,200 juvenile dependency court professional subscribers.

Delinquency and Community Justice

Legal and Court Services:

- Evidence-Based Practices: CFCC received a multi-year grant in 2009, designed to support partnerships between identified courts and probation departments regarding implementation of evidence-based assessment, sentencing, and treatment practices.

Education:

- [Juvenile Delinquency Court Orientation Video](#)-designed to help youth, their parents, and victims of juvenile crime understand delinquency court. The video has been posted on YouTube and to date has been viewed over 10,000 times.

Research

- [Juvenile Delinquency Court Assessment 2008](#)

- [Dual-Status Children: Protocols for Implementing Assembly Bill 129 – A Report to the California Legislature \(2007\)](#)
- [California Probation Services Survey \(2006\)](#) (PDF)
- [Research Update: California Juvenile Delinquency Data \(2006\)](#) (PDF)
- [AOC Briefing: Family-Based Treatment Models](#)
- [Research Update: California Juvenile Delinquency Data \(2005\)](#) (PDF)
- [Intersection Between Juvenile Dependency and Delinquency: Available Research \(June 2005\)](#)
- California Statistical Abstracts for Juvenile Delinquency (2005)
[Chapter One: Juvenile Delinquency Data \(2005\)](#) (PDF)
[Chapter Two: Juvenile Dependency Data \(2005\)](#) (PDF)

Rules and Forms

Legal Services: Review and propose revision/amendment to rules to comply with legislation.

- [Rules and forms approved in Spring 2009 cycle](#)
- [Rules and forms approved in Winter 2010 cycle](#)

Judge in Residence

- At the request of courts, judges, and attorneys across the state, the Judge-in-Residence provides consultation, training, and technical assistance to the juvenile and family courts, writing articles that are designed to improve court operations, working with local Blue Ribbon Commissions, teaching, and presenting. Some of the videotaped presentations, posted on national websites, are used as teaching tools for judges and others around the state and country. In addition to these services to the court and legal communities, the Judge-in-Residence consults with CFCC attorneys on their projects, providing a judicial perspective.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

CFCC has a successful record of service to family, juvenile, and collaborative courts, assisting them in delivering efficient and effective services. In the past three years, CFCC has been particularly active in assisting courts to meet their commitment to families and children while adapting their business practices to new economic realities. Working directly with council advisory bodies, the division supports bench guides, management information, case management strategies, professional resources, and services to litigants, who, in increasing numbers, cannot afford representation. CFCC offers hands on technical assistance and has developed additional online, on-demand educational resources. As the Judicial Branch faces unprecedented ongoing budget reductions, we intend to work directly with courts to develop practical resources to support efficient and effective family, juvenile, and collaborative courts.

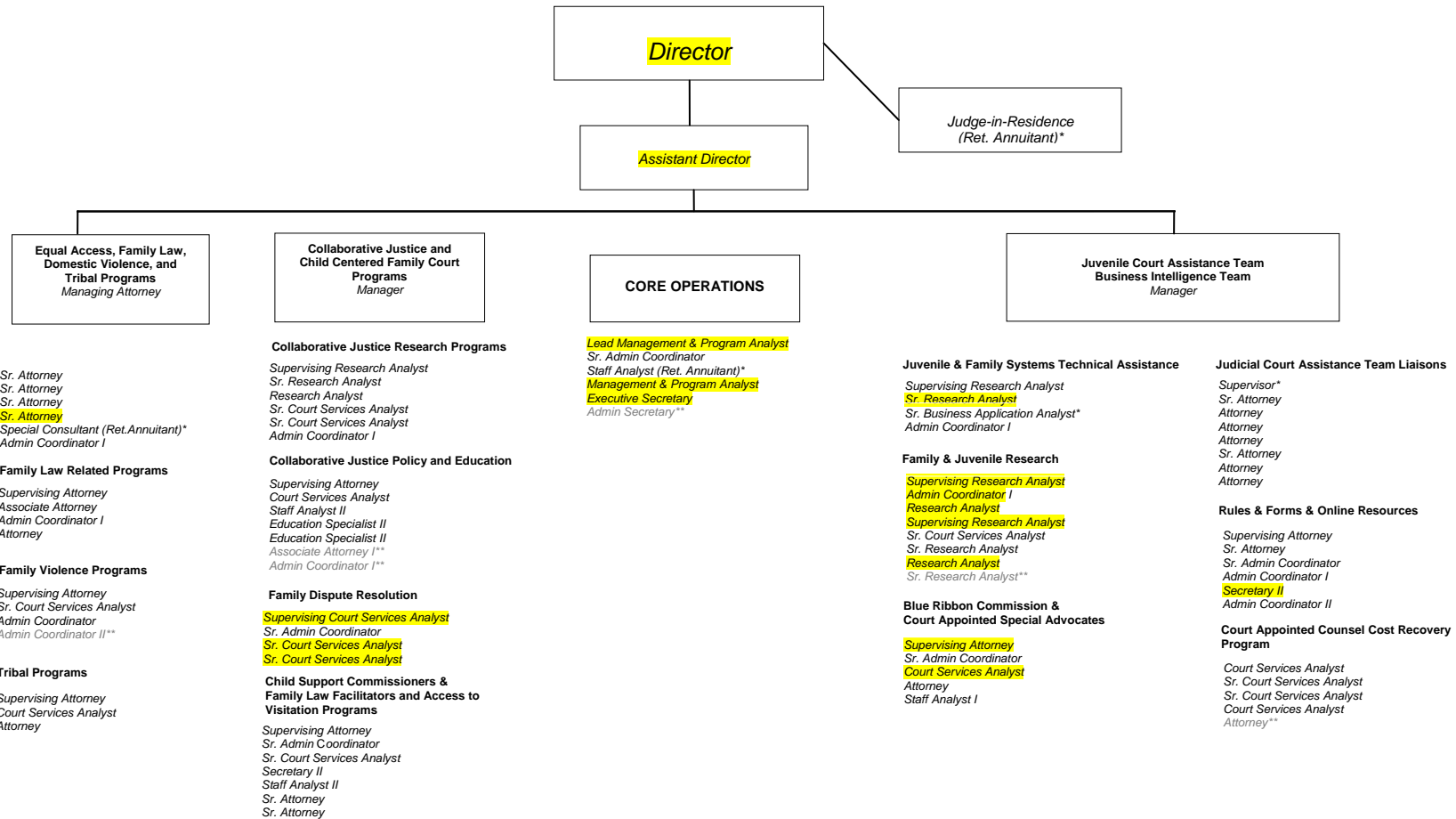
Center for Families, Children & the Courts

Over the past three years, CFCC has been managing declining division resources. CFCC maintains a highly regarded program for unpaid legal internships. Work with council advisory groups is done primarily through video or conference call. The division is transitioning from annual in-person educational events, using the successful self-help website and CalDOG website as models for online delivery of program and practice aids. Budget cuts have also forced a transition from print to online publications and information resources. Our technical assistance model has been adapted to cross train specialists who can offer a wider range of services in a single court visit. As we enter fiscal year 2011-12 we anticipate the loss of six employees and four positions that remained vacant during the hiring freeze. Nonetheless, we remain dedicated to working with the council and the courts to ensure that the well-being of children, youth, and families is a high priority within the California judicial branch.



ADMINISTRATIVE OFFICE OF THE COURTS

CENTER FOR FAMILIES, CHILDREN
& THE COURTS



* (5) 909 Positions

** Temporary agency help (AppleOne) – 5 grant funded; 1 funded by AOC general fund

Regular positions funded by general fund are highlighted in yellow

Data not reflected on chart:

- Vacancies
- Accounting positions funded by CFCC = 2 FTE

Center for Families Children and the Courts
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 October 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 7,214,026	\$ 8,664,767	20.1%	\$ 8,384,915	-3.2%	\$ 8,068,440	-3.8%	\$ 7,965,188	-1.3%	10.4%
Benefits	2,358,135	2,856,849	21.1%	2,766,007	-3.2%	2,633,320	-4.8%	2,958,808	12.4%	25.5%
Subtotal Personal Services	\$ 9,572,161	\$ 11,521,617	20.4%	\$ 11,150,922	-3.2%	10,701,760	-4.0%	10,923,996	2.1%	14.1%
Operating Expense & Equipment (OE&E)										
Rent	\$ 1,288,878	\$ 1,382,002	7.2%	\$ 1,494,661	8.2%	\$ 1,465,454	-2.0%	\$ 1,674,766	14.3%	29.9%
OE&E (Excludes Rent)	3,071,596	3,376,214	9.9%	2,710,304	-19.7%	3,305,418	22.0%	2,734,567	-17.3%	-11.0%
Subtotal OE&E	\$ 4,360,474	\$ 4,758,216	9.1%	\$ 4,204,965	-11.6%	4,770,872	13.5%	4,409,333	-7.6%	1.1%
TOTAL SUPPORT EXPENDITURES	\$ 13,932,635	\$ 16,279,833	16.8%	\$ 15,355,888	-5.7%	\$ 15,472,632	0.8%	\$ 15,333,328	-0.9%	10.1%
Local Assistance	58,930,105	63,926,044	8.5%	75,056,194	17.4%	89,300,927	19.0%	81,177,504	-9.1%	37.8%
TOTAL EXPENDITURES	\$ 72,862,740	\$ 80,205,877	10.1%	\$ 90,412,082	12.7%	\$ 104,773,558	15.9%	\$ 96,510,833	-7.9%	32.5%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 4,885,815	\$ 4,949,678	1.3%	\$ 4,537,738	-8.3%	\$ 4,897,265	7.9%	\$ 4,764,609	-2.7%	-2.5%
Federal Trust Fund	2,206,391	3,388,717	53.6%	2,965,360	-12.5%	3,045,919	2.7%	3,563,765	17.0%	61.5%
Trial Court Trust Fund ⁴	259,950	283,963	9.2%	315,569	11.1%	337,305	6.9%	318,367	-5.6%	22.5%
Mental Health Services Fund	-	-	0.0%	394,738	0.0%	998,756	153.0%	1,002,296	0.4%	0.0%
Family Law Trust Fund	2,779,586	2,709,768	-2.5%	2,320,981	-14.3%	1,903,050	-18.0%	1,967,281	3.4%	-29.2%
Reimbursements	3,800,894	4,947,707	30.2%	4,821,501	-2.6%	4,290,337	-11.0%	3,717,010	-13.4%	-2.2%
Subtotal General Fund & Special Funds	\$ 13,932,635	\$ 16,279,833	16.8%	\$ 15,355,888	-5.7%	\$ 15,472,632	0.8%	\$ 15,333,328	-0.9%	10.1%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ^{3,4}	\$ 839,886	\$ 982,147	16.9%	\$ 708,614	-27.9%	\$ 407,112	-42.5%	\$ 286,065	-29.7%	-65.9%
Trial Court Trust Fund ⁴	57,085,620	62,057,892	8.7%	73,274,984	18.1%	88,385,101	20.6%	80,549,423	-8.9%	41.1%
Modernization Fund ³	1,004,599	886,005	-11.8%	1,072,596	21.1%	508,714	-52.6%	342,016	-32.8%	-66.0%
Subtotal Local Assistance	\$ 58,930,105	\$ 63,926,044	8.5%	\$ 75,056,194	17.4%	\$ 89,300,927	19.0%	\$ 81,177,504	-9.1%	37.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 72,862,740	\$ 80,205,877	10.1%	\$ 90,412,082	12.7%	\$ 104,773,558	15.9%	\$ 96,510,833	-7.9%	32.5%

⁽¹⁾Source: Oracle Financials as of June 30, including Period 13.

⁽²⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾Excludes expenditures and encumbrances for Family Law Interpreter Program and Self-Help Center.

⁽⁴⁾TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded. Includes Court-Appointed Counsel budget for DRAFT courts, but excludes non-DRAFT courts' reimbursement allocation budget.

Center for Families Children and the Courts
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
October 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Trial Court Improvement Fund ^{1,2}										
Self-represented Litigants Statewide Support	\$ 359,582	\$ 300,230	-16.5%	\$ 303,339	1.0%	\$ 308,649	1.8%	\$ 286,065	-7.3%	-20.4%
Domestic Violence Order After Hearing	215,251	214,996	-0.1%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Effective Caseflow Management of Family Cases	104,603	95,845	-8.4%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
National Consortium - Pro Se Litigation	75,000	75,000	0.0%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Domestic Violence Practice & Procedure Task Force	83,421	47,086	-43.6%	79,672	69.2%	24,599	-69.1%	-	-100.0%	-100.0%
Snapshot 2008	-	174,511	0.0%	226,807	30.0%	4,365	-98.1%	-	-100.0%	0.0%
Tort Funds Liaison	-	74,479	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Elkins Family Law Task Force	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Quadrennial Review of Uniform Child Support Guideline	-	-	0.0%	-	0.0%	69,499	0.0%	-	-100.0%	0.0%
Juvenile Delinquency Court Assessment	-	-	0.0%	98,796	0.0%	-	-100.0%	-	0.0%	0.0%
CFCC Administration	2,029	-	-100.0%	-	0.0%	-	-	-	0.0%	-100.0%
Subtotal, Trial Court Improvement Fund	\$ 839,886	\$ 982,147	16.9%	\$ 708,614	-27.9%	\$ 407,112	-42.5%	\$ 286,065	-29.7%	-65.9%
Trial Court Trust Fund ³										
Court-Appointed Counsel Dependency Representation, Administration, Funding and Training (DRAFT) program	\$ 48,781,062	\$ 53,026,694	8.7%	\$ 63,539,680	19.8%	\$ 78,353,257	23.3%	\$ 71,049,529	-9.3%	45.6%
Court-Appointed Counsel Training	-	100,679	0.0%	100,007	-0.7%	-	-100.0%	-	0.0%	0.0%
Family Law Information Center	331,167	347,547	4.9%	357,369	2.8%	357,000	-0.1%	344,000	-3.6%	3.9%
Model Self-Help	916,091	963,864	5.2%	991,000	2.8%	991,000	0.0%	956,000	-3.5%	4.4%
Court-Appointed Special Advocates	2,118,250	2,223,820	5.0%	2,291,120	3.0%	2,275,046	-0.7%	2,219,800	-2.4%	4.8%
Equal Access program	4,939,050	5,395,288	9.2%	5,995,808	11.1%	6,408,798	6.9%	5,980,094	-6.7%	21.1%
Subtotal, Trial Court Trust Fund	\$ 57,085,620	\$ 62,057,892	8.7%	\$ 73,274,984	18.1%	\$ 88,385,101	20.6%	\$ 80,549,423	-8.9%	41.1%
Judicial Administration Efficiency and Modernization Fund ¹										
Self-help Videos for the Website	\$ 2,700	\$ 3,850	42.6%	\$ 5,850	51.9%	\$ 4,022	-31.2%	\$ 2,400	-40.3%	-11.1%
Interactive Software - Self-rep Electronic Forms	30,308	61,000	101.3%	59,900	-1.8%	45,590	-23.9%	60,500	32.7%	99.6%
Self Represented Litigant Forms	139,484	77	-99.9%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
CFCC Programs	172,438	186,283	8.0%	82,595	-55.7%	85,080	3.0%	155,860	83.2%	-9.6%
CA. Drug Court Cost Analysis	208,835	208,686	-0.1%	213,825	2.5%	-	-100.0%	-	0.0%	-100.0%
AB 1108 - Substance Testing in Child Custody Cases	22,334	-	-100.0%	45	0.0%	-	-100.0%	-	0.0%	-100.0%
Statewide Conference on Self-Represented Litigants	4,225	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Court-Appointed Counsel, Performance Database	126,873	-	-100.0%	187,871	0.0%	228,871	21.8%	-	-100.0%	-100.0%
Juvenile Court Forms Project	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Collaborative Justice Transferability Study	19,775	48,000	142.7%	46,025	-4.1%	35,000	-24.0%	-	-100.0%	-100.0%
Juvenile Delinquency Court Assessment	56,147	53,924	-4.0%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
CFCC Educational Program	49,360	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
CFCC Publications	143,961	93,940	-34.7%	135,820	44.6%	110,383	-18.7%	123,252	11.7%	-14.4%
Family Law Resource Guidelines	28,159	171,895	510.4%	198,635	15.6%	-	-100.0%	4	0.0%	-100.0%
Int'l Community Corrections Association Conference	-	32,963	0.0%	526	-98.4%	(232)	-144.1%	-	-100.0%	0.0%
Family Dispute Resolution Court Exchange Visits	-	14,423	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Blue Ribbon Commission Public Hearing	-	10,964	0.0%	141,504	1190.6%	-	-100.0%	-	0.0%	0.0%
Subtotal, Modernization Fund	\$ 1,004,599	\$ 886,005	-11.8%	\$ 1,072,596	21.1%	\$ 508,714	-52.6%	\$ 342,016	-32.8%	-66.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 58,930,105	\$ 63,926,044	8.5%	\$ 75,056,194	17.4%	\$ 89,300,927	19.0%	\$ 81,177,504	-9.1%	37.8%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes expenditures and encumbrances for Family Law Interpreter Program and Self-Help Center.

³ TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded. Includes Court-Appointed Counsel budget for DRAFT courts, but excludes non-DRAFT courts' reimbursement allocation budget.

FY10-11 Funds Supporting and Administered by CFCC
Revised October 2011

Direct Funding to Courts and Court-Connected Programs		Source
Substance Abuse Focus Grants	\$ 1,161,000	Allocations
Access Visitation	\$ 770,000	Allocations
Archstone	\$ 30,945	Contract Amount
CASA	\$ 2,648,900	Allocations
Court Improvement Grant	\$ 328,000	Allocations
DCSS Child Support Grant AB 1058	\$ 54,331,562	Contract Amount
Family Law Information Centers	\$ 344,000	Contract Amount
Model Self Help Pilot Programs	\$ 956,000	Contract Amount
Court Education & Training Recovery Act Prog.	\$ 11,206	Contract Amount
Domestic Violence Safety Partnerships	\$ 35,723	Expenditures
Equal Access	\$ 10,423,310	Contract Amount
Self Help Centers (TCIF)	\$ 5,000,000	Contract Amount
DV Family Law Interpreter Program (TCIF)	\$ 1,730,000	Contract Amount
Self Help Centers (TCTF)	\$ 6,200,000	Contract Amount
Equal Access (TCTF)	\$ 5,980,094	Contract Amount
Court Appointed Counsel-DRAFT courts (TCTF)	\$ 74,651,366	Expenditures
Grand Total	\$ 164,602,106	

Court Case Management System Project Management Office

Mark Moore
Division Director

Overview of Administrative Office of the Courts Programs and Resources Court Case Management System Program Management Office Division

I. Organizational Structure of the Division and Services Provided

The CCMS Project Management & Reporting (PMR) unit was established as part of the new CCMS PMO on November 1, 2010. After reviews by the Office of the State Chief Information Officer (OCIO), now the California Technology Agency (CTA) and the Bureau of State Audits (BSA), the Administrative Office of the Courts (AOC) recognized the need for a formal project management office that could manage and report the project according to best practices in software development and support.

The CCMS Program Management Office (PMO) is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, hosting, and e-business portfolio management. The PMO serves as staff to the executive committee and three advisory committees.

The CCMS Program Management Office includes the following units:

- **CCMS Project Management and Reporting (PMR)**

The Project Management & Reporting unit is responsible for financial management and reporting for the CCMS program portfolio. In that capacity, the unit produces reports, addresses inquiries and acts as the CCMS single point of contact to the State Technology Agency, AOC Project Review Board, Independent Verification and Validation (IV&V) vendor, and CCMS General Administrative Advisory Committee. The unit maintains the central repository for all CCMS program materials such as fact sheets, program reports to the stakeholders noted above, and reports to the legislature. The PMR also handles all the administrative functions (office support, human resources forms/processes, contract management and financial forecasts/reporting) for the division.

- **CCMS Product Development**

The Product Development Unit, working with the CCMS Governance Committees, has the overall responsibility for setting the CCMS product roadmap. The product roadmap sets forth the strategic direction of the CCMS product and results in the final features and functionality incorporated into the application. Included in this responsibility is identifying the required budget to support the strategy, supporting user's groups falling under the Operations Committee, identifying required legislative changes, working with the court and AOC subject matter experts to define business requirements, documenting requirements, participating in testing and supporting courts.

- **CCMS Product Assurance**

The Product Assurance unit is responsible for ensuring that the CCMS product meets the expected functionality as designed by the Product Development unit, developed by the vendor, and implemented by the deployment team at the courts. The unit performs distinct functions in these three phases: (1) During design, the unit begins to design and develops test scripts that will exercise functionality in the application to ensure that it works properly and in accordance with the function design specifications. (2) During development, they validate the application developer's own testing processes and results (integration test results). Following completion of the application developer testing, the unit performs Product Acceptance Testing using the test scripts created during the design phase. (3) During deployment activities at the court, the unit will provide test planning and operational support for the courts as they conduct their User Acceptance Testing. User acceptance testing ensures that the application works as designed within the local courts using the application configuration settings established for that court.

The Product Assurance unit complements the CCMS Trial Court Services unit by providing testing and automated resources to validate that new or modified CCMS configuration changes are technically sound before being delivered to the courts.

- **CCMS Trial Court Services**

The CCMS Trial Courts services unit was established to provide trial courts with essential Court Case Management System (CCMS) end user support, including central helpdesk, business process reengineering, training support, configuration management and maintenance, liaison to statewide justice partners and associations, trial court relationship management, and service level agreement management. This support is provided for those courts that are in production use of CCMS-V3 and additionally these required services will be delivered to the courts during CCMS-V4 deployment planning, deployment, go-lives, and production phases.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

CCMS Program Management Office (November 2010)

Effective November 1, 2010, in response to near completion of system development and the coming shift to deployment-focused activities, the governance of the CCMS program was altered. A new CCMS Program Management Office (PMO) was created within the AOC, under the leadership of an executive program director. The CCMS PMO is responsible for all aspects of the day-to-day management of the CCMS program, including application development, testing, trial court deployments, budget forecasts, project management reporting, ongoing CCMS maintenance, support, application hosting, and e-business portfolio management.

Augmented Governance Structure (November 2010)

The CCMS oversight and governance structure was augmented to provide overarching direction and guidance to the program and to help ensure successful implementation across the state. This new governance model consists of the CCMS Executive Committee and three advisory committees to help manage issues and make decisions related to administration, operations, and justice partner relationships. Chaired by an appellate court justice, the CCMS Executive Committee comprises 11 members, including 6 judicial officers and 3 court executives. Altogether, the executive committee and the advisory committees include representatives from 27 trial courts and 3 appellate courts, and are composed of 3 appellate justices, 19 trial court judges, 20 trial court executive officers, 2 appellate court clerk/administrators, and representatives of several state and local justice partners.

CCMS Cost-Benefit Analysis (February 2011)

AOC Finance Division selected Grant Thornton, LLP (GT) to perform a comprehensive cost-benefit analysis related to the statewide implementation of the CCMS. The CCMS PMO worked closely with the Information Services and Finance Divisions to complete the final report in February 2011.

Development Code Validation (February 2011)

In December 2009, during preliminary vendor testing of the CCMS core product, the AOC and the courts discovered numerous quality issues with the application code. As a result, the AOC required a rigorous and extensive effort be introduced to verify that the application code met the requirements of the final functional design. These quality issues resulted in a project delay of completion of the core product previously anticipated in November 2010 to April 2011. Additional AOC, court, and vendor resources were dedicated to a comprehensive review process that involved comparing developed code against the final functional design, a process that identified and resolved 50,000 issues prior to moving into vendor testing. The AOC and court SMEs were involved in the process and tested issue fixes in the application code to ensure readiness. The vendor is responsible for the costs associated with correcting the quality issues and any costs incurred by the branch as a result of the project's delay.

Core Product Acceptance (April 2011)

A testing team with 70+ participants, including current court staff, retired court staff, and professional software testers performed Product Acceptance Testing of the core product beginning February 14, 2011 and completing on April 29, 2011. The team executed over 11,000 test scripts and completed multiple cycles of testing until all level one and level two defects were corrected. Product acceptance testing on the external CCMS components, which includes the portals, statewide reporting data warehouse, data exchanges, and e-filing, is nearing completion. Formal acceptance of CCMS will occur after the independent quality review is completed and plans are in place to address any issues identified by the review.

III. Status of Current Projects and Initiatives

Court Case Management System (CCMS)

CCMS is a uniform, integrated case management system that will allow the courts to manage all case types with a single application. It is designed to be used by all 58 superior courts. The judicial branch owns the application source code for CCMS and will

not have to rely on costly vendor contracts to make functional and legislative enhancements.

CCMS will include:

- Support courts of different sizes and demographics;
- Efficiently manage system enhancements, including those that arise from legislative changes;
- Establish standard procedures that will make it easy for courts to use a common solution with minimum customization;
- Utilize a common approach for all case categories based on a best practices and contemporary technology;
- Create venue transparency, allowing judicial officers access to information, irrespective of jurisdiction; and
- Provide opportunity to implement shared services in the future through a single system that can be used at all courts.
- Support courts of different sizes and demographics;
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- Utilize a common approach for all case categories based on a best practices and contemporary technology;
- Create venue transparency, allowing judicial officers access to information, irrespective of jurisdiction; and
- Provide opportunity to implement shared services in the future through a single system that can be used at all courts.

The core product, which was accepted on April 30, 2011, includes support for all case types, forms, notices, and reports, interpreter scheduling, court reporter scheduling, Orders After Hearing functionality, and minute order codes. The external components including the Statewide Reporting Data Warehouse, E-filing, data exchanges, and a statewide portal are scheduled to be completed by the end of August 2011.

The full impact of the budget reductions are being assessed to determine what can be accomplished in FY 11/12 with the remaining funds.

Criminal & Traffic Case Management System (V2)

The interim criminal and traffic case management system is successfully deployed at the Superior Court of Fresno County replacing its failing COFACS criminal and traffic case management system. Maintenance and support transitioned from Deloitte to the AOC Information Services Division (ISD) on September 30, 2009. The AOC continues to work to consolidate and streamline the test environments for cost savings.

Civil, Small Claims, Probate, & Mental Health Case Management System (V3)

The interim civil case management system supports processing of civil, probate, small claims, and mental health functions within the courts. The product is currently deployed in six counties, including: Los Angeles; Orange; Sacramento; San Diego; San Joaquin; and Ventura. These installations represent approximately 25 percent of the state's civil court caseload. Three of the installations (Los Angeles, Orange, and San Diego) host their

own instances of both the application and the database. The rest of the counties use a shared system hosted at the California Courts Technology Center (CCTC), the AOC's data center. The application is currently in maintenance mode and future releases will address judicial branch requirements and legislative changes.

Support for the application is in the final stages of transition from Deloitte to the AOC and will be fully supported by the AOC in September of 2011. AOC resources have taken the lead on all court communications, issue triage, requirements gathering, and support requests. This will achieve a cost savings of approximately \$2.5 million in labor charges through fiscal year 13/14, while building in-house functional and technical knowledge to be used for future technical support of CCMS. Courts currently using V3 continue work with the AOC to evaluate and prioritize the contents for future software maintenance releases.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

- **Funding**

The biggest challenge for the CCMS Program is funding. The CCMS Program has participated in every budget reduction. In FY 2009/2010 there was a \$191.3M reduction ("life support"). In FY 2010/2011 the program took another \$7M reduction. And in the current FY 2011/2012 \$10M of the \$200M unallocated reduction was absorbed by the program. The current budget approved by the Judicial Council in July reduced the original budget by \$56,391,287. Currently, the funding is reduced to the level that puts the program at significant risk. These reductions will impact the rate at which CCMS can be deployed to the courts. The CCMS PMO is working to identify strategies that will minimize the impact of these reductions.

Further program delays will increase the overall cost to deploy CCMS because delays push project expenses into the future - they do not eliminate them. The cost of goods and services will increase over time. There is also substantial cost incurred whenever knowledgeable staff and contractors are released and later replaced with new resources requiring significant training.

Eliminating CCMS will not address the underlying problem, which was noted in the Grant Thornton cost benefit study. That problem is that approximately 46 trial courts will have to replace their case management systems within the next 5 years. If CCMS is not available due to budget constraints, it is reasonable to assume budget money will also not be available for other case management systems. Lastly, any commercial (off the shelf) system will not have the features and functions available in CCMS, which was specifically tailored to meet the California trial courts requirements.

- **Project Schedule**

A primary concern for the PMO is implementing CCMS in one or more courts while the application warranty is in effect. Our experience with V3 has shown how important having a valid warranty is during the initial implementation of CCMS. A warranty ensures that application defects identified during the initial implementation of the system are addressed at the vendor's expense – not at the expense of the branch.

- **Resources**

In order to implement new and more cost effective strategies for CCMS, it is

necessary to have sufficient program resources. For example, one initiative during fiscal year 2010/2011 was to transition maintenance and support of V3 from Deloitte to the AOC. This transition which will be completed next month, will achieve a cost savings of approximately \$2.5 million through fiscal year 2013/2014, while building in-house functional and technical knowledge to be used for future technical support of CCMS.

- **Deployment**

CCMS will be available for deployment in September 2011. San Luis Obispo and Ventura will be the first courts to deploy CCMS. Severe budget reductions will result in a slower deployment of CCMS. However, the need for CCMS remains great. As mentioned above, the Grant Thornton cost benefit analysis indicates that approximately 46 courts will need a new case management system within five years. CCMS is the solution. The challenge will be in securing the funding necessary to implement the system. The CCMS PMO is actively working on strategies to reduce the cost of deployment by reducing our reliance on third party vendors; leveraging advances in technology and data center operations to reduce application hosting costs; leveraging the skills within the trial courts and other AOC divisions to work as effectively as possible; creating deployment tools and repeatable processes to reduce the average cost per deployment; and, unbundling the delivery of CCMS so it can be delivered in modules (e.g., civil) as courts need the case management systems for specific case types.

- **CCMS**

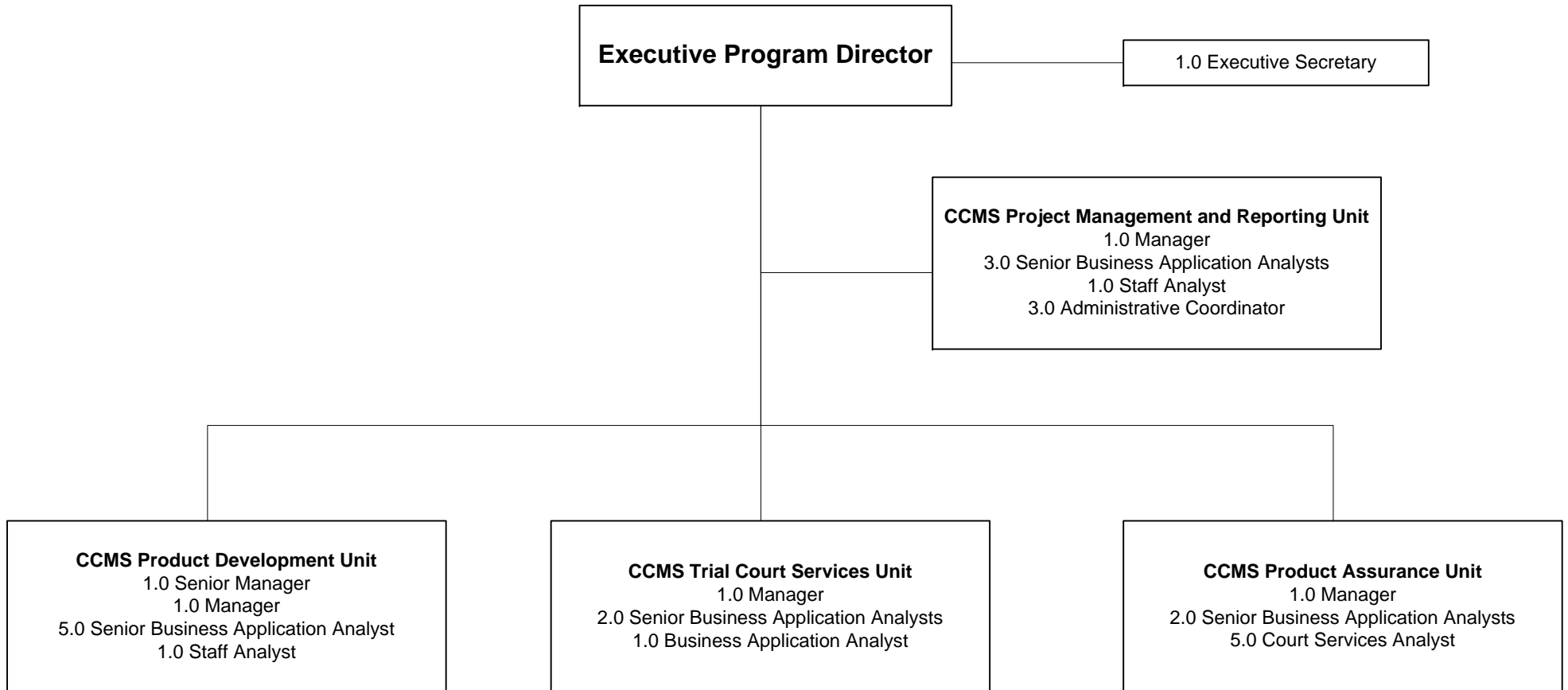
When CCMS is completed, the Judicial Branch will own the code, as well as the application. CCMS will be a resource for the Judicial Branch. The branch will then be able to deploy either all case types or a specific case type to courts with failing case management systems. Without CCMS, courts will incur the costs of maintaining and enhancing their current case management systems. Several courts will be forced to replace their case management systems with solutions other than CCMS.

The public, justice partners, and state agencies will have uniform access to the case information, e-filing, and data integration capabilities available in CCMS. The public will be able to access information “online” versus waiting in line at the courthouse. Many state agencies have selected and designed new systems that rely on the implementation of CCMS to exchange information. The legal community will realize the benefits of e-filing.

- **Governance**

The CCMS PMO is a new division. The AOC used industry standard best practices for program management offices as well as input from the State Technology Agency on the structure and operations of new division. The CCMS governance committees are also new and are working to define their roles. Having the CCMS PMO as staff to the governance committees ensures the CCMS PMO evolves in alignment with the needs and priorities of its constituency. The challenge for the CCMS governance committees will be to ensure the broadest representation of CCMS stakeholders while remaining as agile as possible. This may require changes in the structure and composition of the governance committees. The governance committee chairs are aware of this challenge.

COURT CASE MANAGEMENT SYSTEM PROGRAM MANAGEMENT OFFICE DIVISION



CCMS PMO Division total
FTEs = 30
vacancies = 10
Totals as of 7/31/11 PSR

**California Court Case Management System (CCMS)
Project, Ongoing Programs and Services, and Interim Case Management System
Funding and Expenses (amended October 14, 2011)**

	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	TOTAL
FUND SOURCES										
General Fund	\$ -	\$ 4,499,992	\$ 265,729	\$ 238,366	\$ 301,156	\$ 309,067	\$ 266,732	\$ 1,216,644	\$ 483,150	\$ 7,580,835
Modernization Fund	\$ -	\$ 4,364,781	\$ 13,198,412	\$ 2,549,915	\$ 11,133,122	\$ 8,651,394	\$ 13,365,966	\$ 18,952,989	\$ 142	\$ 72,216,721
Trial Court Trust Fund	\$ 20,516,563	\$ -	\$ -	\$ -	\$ 50,000,000	\$ -	\$ 19,770,874	\$ 26,375,479	\$ 57,702,475	\$ 174,365,392
Trial Court Improvement Fund	\$ -	\$ 1,447,738	\$ 4,494,679	\$ 24,121,932	\$ 39,162,716	\$ 73,026,650	\$ 33,758,146	\$ 19,482,417	\$ 2,719,672	\$ 198,213,950
Trial Court Reimbursements	\$ -	\$ -	\$ 200,000	\$ 1,647,987	\$ 3,948,790	\$ 3,396,790	\$ 1,875,435	\$ 1,878,995	\$ 1,314,947	\$ 14,262,944
Trial Court Expenditures (direct pay by court)	\$ -	\$ -	\$ -	\$ 20,760,508	\$ 20,590,630	\$ 8,080,415	\$ 190,654	\$ -	\$ -	\$ 49,622,207
TOTAL FUNDING	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 49,318,708	\$ 125,136,415	\$ 93,464,316	\$ 69,227,807	\$ 67,906,523	\$ 62,220,386	\$ 516,262,049
EXPENDITURES BY PROGRAM AREA										
CCMS Project Costs										
Civil, Small Claims, Probate, MH Development & Deployment (V3)	\$ 11,694,435	\$ 8,198,699	\$ 14,744,964	\$ 30,596,298	\$ 21,177,607	\$ 8,080,415	\$ 190,654	\$ -	\$ -	\$ 94,683,072
CCMS Development (V4)	\$ 4,285,582	\$ 1,638,143	\$ 556,999	\$ 237,791	\$ 64,781,131	\$ 48,599,380	\$ 34,052,323	\$ 44,800,446	\$ 20,769,446	\$ 219,721,240
CCMS Deployment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,680,113	\$ 13,513,093	\$ 17,193,207
Document Management System (DMS)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 703,903	\$ 703,903
TOTAL CCMS PROJECT	\$ 15,980,017	\$ 9,836,842	\$ 15,301,963	\$ 30,834,089	\$ 85,958,739	\$ 56,679,795	\$ 34,242,977	\$ 48,480,559	\$ 34,986,442	\$ 332,301,422
Ongoing Program & Services										
CCMS Operational Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,778,439	\$ 2,778,439
DMS Operational Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL OPERATIONAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,778,439	\$ 2,778,439
Interim Case Management Systems										
Criminal & Traffic Development (V2)	\$ 4,433,993	\$ 475,669	\$ 1,390,809	\$ 4,712,923	\$ 615,768	\$ 1,600,000	\$ 1,000,000	\$ -	\$ -	\$ 14,229,162
Criminal & Traffic Maintenance & Support (V2)	\$ 102,554	\$ -	\$ -	\$ 11,167,579	\$ 15,835,959	\$ 13,583,386	\$ 10,916,990	\$ 5,182,976	\$ 5,973,991	\$ 62,763,436
Civil, Small Claims, Probate, MH Maintenance & Support (V3)	\$ -	\$ -	\$ 1,466,049	\$ 2,604,117	\$ 22,725,949	\$ 21,601,136	\$ 23,067,840	\$ 14,242,987	\$ 18,481,513	\$ 104,189,591
TOTAL INTERIM CMS	\$ 4,536,546	\$ 475,669	\$ 2,856,858	\$ 18,484,619	\$ 39,177,677	\$ 36,784,521	\$ 34,984,830	\$ 19,425,963	\$ 24,455,504	\$ 181,182,188
TOTAL CCMS PROGRAM EXPENDITURES	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 49,318,708	\$ 125,136,415	\$ 93,464,316	\$ 69,227,807	\$ 67,906,522	\$ 62,220,386	\$ 516,262,049
EXPENDITURES BY DIVISION										
Total - Direct pay by Trial Court	\$ -	\$ -	\$ -	\$ 20,760,508	\$ 20,590,630	\$ 8,080,415	\$ 190,654	\$ -	\$ -	\$ 49,622,207
Total Southern Regional Office	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 71,742,871	\$ 41,989,528	\$ 39,823,041	\$ 11,216,072	\$ 164,771,512
Total Information Services Division	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 28,558,200	\$ 104,545,785	\$ 13,641,030	\$ 27,047,625	\$ 28,083,481	\$ 29,396,544	\$ 280,260,560
Total CCMS Program Management Office	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 21,607,770	\$ 21,607,770
TOTAL CCMS PROGRAM EXPENDITURES	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 49,318,708	\$ 125,136,415	\$ 93,464,316	\$ 69,227,807	\$ 67,906,522	\$ 62,220,386	\$ 516,262,049

Notes

Program was initially funded to Information Services Division from FY 2002-03 through 2006-07.

In FY 2007-08, funding was distributed between Information Services Division and the Southern Regional Office

Amounts through FY 2009-10 are as displayed in the Report to Legislature April 2011.

Amounts in FY 2008-09 and 2009-10 are currently being reconciled with current Oracle data. Minor adjustments should be anticipated due to contractual changes or unexpended fund:

In FY 2010-11, the CCMS Program Management Office was established as a separate division

CCMS Program Management Office

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ²	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Personal Services										
Salaries and Wages								\$ 1,398,051	0.0%	0.0%
Benefits								443,396	0.0%	0.0%
Subtotal Personal Services								\$ 1,841,447	0.0%	0.0%
Operating Expense & Equipment (OE&E)										
Rent								\$ 342,736	0.0%	0.0%
OE&E (Excludes Rent)								1,009,675	0.0%	0.0%
Subtotal OE&E								\$ 1,352,411	0.0%	0.0%
TOTAL EXPENDITURES								\$ 3,193,858	0.0%	0.0%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ²	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund								\$ 176,465	0.0%	0.0%
Trial Court Trust Fund ³								3,017,393	0.0%	0.0%
TOTAL EXPENDITURES - ALL FUNDS								\$ 3,193,858	0.0%	0.0%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾In FY 2010-11 the California Case Management System Program Management Office (PMO) was developed. Authorized staff positions (29.0 FTE) for the newly developed PMO were transferred from the Southern Regional Office. The newly appointed Division Director (1.0 FTE) was transferred from the Information Services Division.

⁽³⁾TCTF expenditures related to direct distributions to the trial courts are excluded.

Court Programs and Services

Chad Finke
Division Director

**Overview of Administrative Office of the Courts Programs and Resources
Court Programs and Services Division**

I. ORGANIZATIONAL STRUCTURE OF THE DIVISION AND SERVICES PROVIDED

The Court Programs and Services (CPAS) Division was formed effective September 1, 2011, through a merger of the Appellate and Trial Court Judicial Services (ATCJS) Division and much of the Executive Office Programs (EOP) Division. The merger was designed to promote efficiencies within the AOC (through, among other things, the elimination of one Director position) and to create a division with the specific and focused mission of serving the direct administrative, operational, and programmatic needs of the appellate and trial courts. The latter is recognized in the division's recently adopted mission statement:

The Court Programs and Services Division provides direct services, resources, and program support to the California courts to facilitate access to justice for the people of the state.

CPAS comprises eight primary units:

- Administration and Planning
- Assigned Judges Program
- Court Interpreters Program
- Divisional Budgeting/Appellate Court Services
- Editing and Graphics Group
- Office of Court Research
- Promising and Effective Programs
- Trial Court Leadership Services (formerly Court Programs Services)

As reflected in the division's mission statement, the primary objective of CPAS is to serve the public by providing direct services and support to the appellate and trial courts. The division accomplishes that objective by, among other things:

- Providing lead staff support to appellate and trial court leadership governance groups (Administrative Presiding Justices Advisory Committee; Trial Court Presiding Judges Advisory Committee; California Appellate Court Clerks Association; Court Executives Advisory Committee);
- Administering the Chief Justice's Assigned Judges Program, which provides critical support to the courts in dealing with California's significant shortage of judgeships;
- Collecting and conducting quality control on trial and appellate court operational data and reporting this to the Legislature, Governor, and public in the Court Statistics Report;
- Conducting long-term, strategic research to document the workload and performance of the trial courts, including the Judicial Workload Assessment and the Resource Allocation Study (RAS);
- Administering the appellate-level Court-Appointed Counsel program, which includes providing fiscal oversight through the daily review of compensation claims and serving as lead staff to the Appellate Indigent Defense Oversight Advisory Committee (AIDOAC);
- Serving as the lead division for organizing and coordinating all statewide appellate-level continuing education conferences;

- Offering comprehensive research services and strategic planning assistance to the courts, the Judicial Council, and the AOC;
- Promoting innovative and effective practices in the courts through program development and evaluation, grants administration support, and serving as lead staff to the Kleps Award Committee;
- Ensuring accurate and complete California Rules of Court and Judicial Council forms for courts and court users via a thorough review of these materials and their related council reports; and
- Working to improve the public's understanding of the role of the courts and the judicial system.

Each of the division's units is described in detail below.

Administration and Planning

The Administration and Planning unit was created to provide comprehensive analytical and high-level planning support to the Judicial Council and other stakeholders through, among other things, providing lead staff to the branch's recurring efforts to create strategic and operational plans. To that end, staff has recently begun working with the council's Executive and Planning Committee to launch the branch's next Operational Plan, and is already planning for the inception of the branch's next Strategic Plan effort in 2012.

The unit also assists in the overall administration of the division and undertakes special projects as directed by the Judicial Council or the AOC Executive Office. For example, the unit has been charged with the AOC-wide responsibility for administering the agency's Public Access to Judicial Administrative Records (PAJAR) process, which itself was necessitated by the enactment of rule 10.500 of the California Rules of Court. In that role, unit staff responds to inquiries from the public, analyzes the fiscal and operational impact of rule 10.500, develops efficient processes for the implementation of rule 10.500, interfaces with the appellate and trial court on access requests of branchwide interest, and fosters accountability, transparency and responsiveness to improve the public's trust and confidence in the branch. The unit is also responsible for fulfilling the mandate set forth in Code of Civil Procedure section 425.16 regarding SLAPP actions by, among other things, entering SLAPP data into a dedicated database and filing and retaining hardcopy records as required by statute

Assigned Judges Program (AJP)

The AJP arises out of the Chief Justice's authority—conferred by article VI, section 6(e) of the California Constitution—to determine the eligibility of judges, including retired judges, for assignment and assign them to the courts statewide as needed. The AJP plays a vital role in enabling the judiciary to perform its work effectively and expeditiously, and within the last several years has experienced marked change and growth. Currently, there are approximately 400 retired judges serving in the AJP. Staff to the program manages over 4000 assignment requests per year for active and retired judges, providing the equivalent of approximately 140 full-time judgeships in fiscal year 2010-2011. Between fiscal years 2007-08 and 2008-09, days of service to the courts steadily increased, rising to a record high use of 41,000 days. Although program funds have been at reduced levels for the last two fiscal years, judicial need remains high. By filings information, the state remains over 300 judicial positions short of its need.

The Judicial Assignments Unit, which administers the AJP, was formed to assist the Chief Justice in the exercise of his or her constitutional assignment authority and to administer the day-to-day functioning of

the AJP. Staff is familiar with the courts' assignment needs and with the availability and experience of both active and retired judges who can assist the courts. The tasks performed by staff (including the Division Director) in the course of administering the AJP include the following:

- Receiving assignment requests from the courts;
- Working with the courts to determine whether assignment requests are best filled by active or retired judges, how long an assignment will be, what case types will be heard, and other issues that affect which judge to recommend for assignment;
- Preparing draft assignment orders for review and signature by the Chief Justice;
- Reviewing and making recommendations to the Chief Justice regarding new applications by retired judges for admission into the AJP;
- Processing compensation and travel claims of retired judges in the AJP;
- Working with retired judges in the AJP to ensure that their minimum continuing education requirements are met; and
- Evaluating and, where appropriate, making recommendations to the Chief Justice regarding complaints and negative presiding judge evaluations received about retired judges serving in the AJP.

Court Interpreters Program (CIP)

The CIP works to ensure access to the courts for persons with limited English proficiency or those who are deaf or hard-of-hearing by developing programs and practices that enhance the quality of interpretation and increase the availability of qualified interpreters in the courts.

Trends in court interpreter service days for spoken languages suggest a sizeable and growing demand for interpretation in California courts. During the period 2004–2008, the state's courts provided more than 1 million days of spoken language interpretative services in 147 languages, with the total number of service days for mandated proceedings increasing 14 percent over that period. To meet the needs of growing interpreter demands and to fulfill the mandate of the state Constitution, the CIP unit's core function is the development, maintenance, and analysis of court interpreter services in mandated proceedings in the California courts.

Specifically, the CIP unit manages the recruitment, orientation to the profession, and certification of individuals seeking to become court interpreters, which includes test administration for approximately 1500-1800 candidates per year. The CIP unit also oversees mandatory training for newly qualified interpreters and oversees the continuing education and compliance requirements of interpreters in California's courts. The CIP maintains a statewide registry (Judicial Council Master List) of over 1700 California certified and registered interpreters. Additionally, the CIP unit oversees the collection of statewide data on court interpreters and manages a five-year study of language use and need in the courts in accordance with Government Code section 68563. Lastly, CIP staff serves as staff to the Judicial Council's Court Interpreters Advisory Panel (CIAP).

Divisional Budgeting/Appellate Court Services

Although small, the Divisional Budgeting/Appellate Court Services is responsible for numerous functional areas and oversight of multiple programs.

Divisional Budgeting. Staff serves as the lead managers of the division's internal budget, as well as the budgets earmarked for appellate court network technology, appellate court continuing education conferences, and the Court-Appointed Counsel program.

Support for the Administrative Presiding Justices and Clerk/Administrators. The Division Director serves as lead staff to the Administrative Presiding Justices Advisory Committee (APJAC), which is formally established as a Judicial Council advisory committee by rule 10.52 of the California Rules of Court. Staff also serves as liaison to the appellate court Clerk/Administrators, research attorneys, and librarians, and as staff to the California Appellate Court Clerks Association (CACCA). In these support roles, staff assists in identifying and resolving administrative, budget, and training issues at the staff level in the Courts of Appeal.

Management of Court-Appointed Counsel (CAC) Program. Unit staff oversees the numerous aspects of California's Court-Appointed Counsel Program, including budgeting, financial and cost-benefit analysis, contracting with the state's five Appellate Projects, caseload forecasting, and the processing of daily compensation claims submitted by the state's approximately 800 panel attorneys. The CAC program budget is \$66 million for both capital and non-capital cases. The division's CAC-related work is complementary to the work of the Appellate Indigent Defense Oversight Advisory Committee, discussed below.

Appellate Indigent Defense Oversight Advisory Committee (AIDOAC). Staff serves as administrative staff to the Appellate Indigent Defense Oversight Advisory Committee (AIDOAC). AIDOAC was appointed as a special committee of the Chief Justice in late 1990, and its current form and composition were established in April 1994. The primary function of AIDOAC is to perform quarterly, post-payment audits on a selection of compensation claims submitted by court-appointed counsel for indigent criminal appellants. In connection with its role vis-à-vis AIDOAC, CPAS staff plans the quarterly meetings; prepare quarterly reports on caseload trends, panel attorney rankings, cost-per-page analysis, and other metrics; and select and process the random sample of claims to be audited, among other functions.

Appellate Court Educational Institutes and Programs. Staff supports all statewide continuing education programs for the appellate courts. In addition, staff provides ongoing training and educational services by researching, identifying, and recommending specialized educational trainings and/or conferences for justices and court staff.

Editing and Graphics Group

Despite having a small staff, the Editing and Graphics Group (EGG) is responsible for assisting all AOC divisions with creating and publishing materials that are used by the courts and the public—and which support Judicial Council initiatives—and the unit also provides complete editorial and graphic design services and consultation on design, graphic standards, and printing. Its work ensures the production of high-quality judicial branch materials such as California Rules of Court, forms for use by the public, Judicial Council reports, California Courts and Serranus website pages, jury instructions, materials for the Court Interpreters Program, Supreme Court booklets and brochures, and special reports such as the *Court Statistics Report* and responses to Bureau of State Auditor requests.

Office of Court Research (OCR)

The OCR comprises a number of sub-groups with different areas of expertise.

Statistics & Information Unit (SIU). The SIU is responsible for data collection, data management and data quality control over trial and appellate court operational data. Trial court data is reported monthly by all 58 superior courts and retained in the Judicial Branch Statistical Information System (JBSIS) data warehouse. The Judicial Council adopted JBSIS data standards in 1998, and SIU staff review data submissions for completeness and accuracy, and provide technical assistance to the trial courts to assist with the mapping and reporting of data. SIU staff also produces the annual Court Statistics Report (CSR), which is the official source of information on judicial branch operational data.

Research & Evaluation Unit. This unit's principal function is the development and maintenance of the Judicial Workload Assessment and the trial court staff workload assessment (Resource Allocation Study, or RAS). The Judicial Workload Assessment was approved by the Judicial Council in 2001 as the model for assessing statewide judicial need and prioritizing that need across courts. In 2006, SB 56 incorporated the Judicial Workload Assessment into Government Code section 69614, requiring the AOC to update the Judicial Workload Assessment every two years in a report to the Legislature. The Research & Evaluation Unit also staffs the SB 56 Working Group, which works to address another mandate found in Government Code section 69614—reporting to the Legislature on standards and measures of judicial administration “that promote the fair and efficient administration of justice.”

Additionally, the trial court staff workload assessment (RAS) model was approved by the Judicial Council in 2005 for use in allocating trial court budgets. From 2005 through 2007, approximately \$32 million in supplemental funding was directed to historically under-funded courts using the RAS model. Research & Evaluation staff updates the model annually for the Trial Court Budget Working Group.

Judicial Administration Library. The library, which serves as a resource for all judicial branch entities, maintains a collection of core legal materials consisting of documents produced by the Judicial Council and the AOC—as well as those covering state and national research—in the areas of law, court/judicial branch administration, public administration, criminal justice, community-focused courts, and related areas of interest. The library serves as a state depository for State Justice Institute (SJI) and National Center for State Courts (NCSC) materials, and conducts research for the appellate and trial courts, the Judicial Council, AOC staff, and other designated constituencies.

Promising and Effective Programs (PEP)

The PEP Unit is responsible for a number of programs that connect resources, information, and services to judicial officers and court staff, as well as to important public stakeholders such as jurors, self-represented litigants, and educators. The current programs within PEP that fulfill these functions are described below.

Jury Improvement Program. The Jury Improvement Program undertakes statewide improvements related to jury management by working with trial court jury managers on projects such as improved juror utilization and failure to appear guidelines. Staff also provides guidance to court staff on jury rules of court related to one-day or one-trial jury service and jury service excusals, and assists members of the

public, the media, and government entities with inquiries about jury service.

Fund Development Group. The Fund Development Group assists personnel in the courts and the AOC—as well as justice partners such as the California Appellate Projects—by researching and announcing current federal, state, and private grant opportunities; providing training on grant-seeking and applying for grants; and assisting in reporting on grant expenditures and program performance reporting.

Ralph N. Kleps Award Program/Innovations in the Courts. The Ralph N. Kleps Award Program is a rigorous, competitive program honoring innovative court administration programs throughout the state. Over the last 20 years, the Kleps Award has been one of the only organized means within the branch that identifies and evaluates programs for being innovative and doing business better and smarter. The Kleps Award Advisory Committee evaluates and recommends programs to the Judicial Council for awards; the coveted award is respected as true mark of outstanding thinking and best practice. The program maintains information on past honoree programs and also works with courts statewide to replicate recognized programs in a cost-effective fashion, thus facilitating the sharing of innovative and efficient practices statewide.

JusticeCorps Program. JusticeCorps is a court-based program in which college students of diverse backgrounds are placed in self-help centers to assist self-represented litigants and, in turn, learn about the workings of the legal system. JusticeCorps student members bolster the number of customers who receive one-on-one assistance at legal self-help centers—and thereby alleviate the burden on the staffs of those centers—by explaining court processes, helping to fill in and file legal forms, and providing referrals for other assistance. With this assistance, court self-help staff is freed to address more complex tasks. In addition, many members are bilingual and are able to enhance services provided to non-English-speaking customers. The JusticeCorps program annually places over 300 students in courts in the Bay Area, Los Angeles, San Diego, and most recently the Capitol Region.

Public Trust and Confidence Program /Procedural Fairness Initiative. The Public Trust and Confidence Program studies the opinions of the public and other key stakeholders in California’s judicial system in order to identify areas of court administration and judicial practice that can lead to improved trust and confidence in our courts and the state justice system. The Procedural Fairness Initiative arose from the 2005–2006 public trust and confidence assessment, and was designed to focus on strategies to ensure that the public perceives the highest standards of fairness and quality treatment in court procedures by educating court personnel on the principles of procedural fairness and assisting individual courts in assessing the public’s perceptions of access and fairness in court processes.

Civics Education Program/California On My Honor (COMH). The Civics Education Program works to fulfill recommendations of the Commission for Impartial Courts—appointed by Chief Justice Ronald M. George in 2007—to foster greater student knowledge of the key role the judicial branch plays in our democracy. Working under the guidance of the Leadership Group for Civics Education and Public Outreach, the program works to encourage improved K-12 civics education through legislation and policy development in collaboration with educational organization partners. COMH—an intensive five-day teacher development institute held between 2006 and 2011—focused on developing high quality, engaging curricula for students in the area of civics education, with a focus on the judicial branch. Although funding for COMH is currently suspended, staff is continues to develop web site and other

technological solutions to leverage the teacher resources and curricula that have already been developed through the program.

Trial Court Leadership Services (formerly Court Programs Services)

Trial Court Leadership Services is primarily responsible for staffing both the Trial Court Presiding Judges Advisory Committee (TCPJAC) and the Court Executives Advisory Committee (CEAC). Those committees fulfill a vital role, in that they provide a forum for trial court leaders to share information and best practices with one another. Further, the committees serve as a governance vehicle for ensuring that the voice of trial court leadership is heard on issues of branchwide significance, i.e., they facilitate the participation of the trial courts in the Judicial Council's decisionmaking process. Both TCPJAC and CEAC have been highly effective in bringing their members' combined talent and knowledge to bear in the review of proposed rules, forms, legislation and policies.

Other Programs/Services

In addition to the major service areas discussed above, CPAS staff is responsible for the following functions:

Civil Case Coordination. Coordination is the procedural process in which complex civil actions pending in more than one court, and having similar issues of law and facts, are combined for all purposes. All administrative functions in coordination proceedings are performed at the direction of the Chief Justice. This includes communicating with the courts and judges assigned by the Chief Justice to hear complex coordinated matters, working with attorneys in the Office of the General Counsel on memoranda to the Chief Justice, and processing an assigned court's claim for reimbursement of costs associated with managing coordinated cases.

Liaison to Habeas Corpus Resource Center (HCRC). The CPAS Director serves as the primary point-of-contact for regular communications between the HCRC and the AOC, including communications regarding the services to be provided by the AOC under agreement. In addition, the Division Director meets regularly with capital appeals stakeholders, including the Executive Director of the HCRC, the Executive Director of the California Appellate Project – San Francisco (CAP-SF), and personnel from the Office of the State Public Defender.

Vexatious Litigants. Under Code of Civil Procedure section 391.7(e), the Judicial Council maintains a record of vexatious litigants who are subject to prefiling orders and annually disseminates a list of such persons to the court clerks. CPAS staff is responsible for that function.

Subordinate Judicial Officer (SJO) Conversion. The Research & Analysis Unit of the Office of Court Research adapted the Judicial Workload Assessment model to quantify the need for the conversion of 162 subordinate judicial officers (SJOs) to judgeships in 25 courts. Staff continues to serve as the principal liaison to the trial courts and to the Executive & Planning Committee for implementing SJO conversions.

Community Corrections Initiative (SB 678). Staff from the Office of Court Research are currently assigned to assist with the implementation of the California Community Corrections Performance Incentives Act of 2009 (Sen. Bill 678) and to design and conduct the research for the California Risk

Assessment Pilot Project (CalRAPP), a joint project of the AOC and the Chief Probation Officers of California to explore the use by courts of actuarial risk/needs assessment instruments to reduce recidivism and probation revocations among offenders aged 18–25 placed on felony probation. In this role, OCR staff work with departments of probation, the California Department of Finance, and the Department of Corrections and Rehabilitation to establish performance-based funding for county probation departments to support evidence-based practice for adult felon probation supervision.

II. DIVISION ACCOMPLISHMENTS/ACHIEVEMENTS SINCE FY 2005-06

Administration and Planning Unit

- Developed and implemented Judicial Branch planning workshops in preparation for both strategic and operational planning. In conjunction with the council’s Executive and Planning Committee, developed, oversaw adoption, and published the *Strategic Plan for California’s Judicial Branch 2006-2012: Justice in Focus* and the *Operational Plan for California’s Judicial Branch 2008-2011*.
- Received and processed nearly 5500 SLAPP orders and improved the public’s access to SLAPP information by increasing the frequency of posting information to the branch website, revising the filing system, and amending and updating the public web interface.
- Developed and administered the process to fulfill the mandates of rule 10.500 of the California Rules of Court, rule 10.500, “public access to judicial administrative records,” including assisting in the development of the rule in 2009; continually refining procedures to implement the rule within the AOC and the branch generally; receiving, processing and managing more than 400 complex requests for information since January 1, 2010, and more than 300 general requests for information in that same time period; and developing a computer database to track and report on the effectiveness of implementation of Rule 10.500.
- Assuming the lead role in drafting and presenting the forthcoming (December 2011) report to the Judicial Council detailing the success of and impediments to the implementation of rule 10.500.

Assigned Judges Program

- Oversaw the operation of the Riverside Strike Team, formed by the Chief Justice to assist the Superior Court of Riverside County with more than 1,500 backlogged misdemeanor and felony trials through more than 1,600 days of assistance.
- Established the Assigned Judges Program Conference, a triannual continuing educational conference comprising ethics training and substantive workshops.
- Assisted in the creation of the Assigned Judges Program ListServe, which allows assigned judges across the state to communicate privately with each other in a professional exchange network.
- Implemented the Trial Court Research Attorney Project, which provides research attorney assistance for both active and assigned judges in 15 smaller courts in California that do not have a dedicated research attorney on staff.
- Developed a new fund allocation policy and a set of protocols to shift resources over the course of the year to meet statewide needs.
- Worked extensively with trial court leadership in FY 2010-11 to end the year with the program’s budget in the black for the first time in a number of years while at the same time ensuring that the trial courts’ critical assignment needs were met.

Court Interpreters Program (CIP)

- Facilitated Judicial Council approval of 32 recommended knowledge, skills, and abilities (KSAs) as essential measures of a qualified court interpreter and designation of 26 of these as the basis for California's court interpreter testing program. The identification of KSAs is a significant contribution to the professional literature in the field of interpreting.
- Effectuated a full certification process for Eastern Armenian, Western Armenian, Mandarin, and Russian. Following three consecutive grace periods for registered interpreters in these languages to meet requirements and language-specific training, the number of certified interpreters in these languages increased and included 40 percent of all interpreter candidates who participated in the AOC-sponsored training.
- Sponsored language-specific training and implemented certification process and grace period for registered interpreters of Punjabi and Khmer.
- Recommended approval of the 2010 Language Need and Interpreter Use Study for submission to the Legislature. The CIP provided oversight on research and analysis included in this thorough report, which recommended consideration of particular languages for designation, as well as improvements to statewide data collection to meet the mandate in Government Code section 68563.
- Expanded and improved data collection and reporting in order to gain greater insight into language need and interpreter use in California's trial courts and to increase accountability for expenditures. The yearly expenditure reports to the Legislature show how allotted monies were spent in direct service delivery. Improvement has occurred in the Court Interpreters Data Collection System (CIDCS), which tracks interpreter assignment and language data and stores individual interpreter profile information used by the courts and AOC.
- Developed a court interpreter candidate pipeline model, including transition of recruitment from an out-sourced campaign to an internally managed targeted program; collaborated with statewide interpreter education providers; provided language-specific trainings in 8 languages; and created a suite of multi-use videos which have improved communications for interpreters, interpreter candidates, and interpreter education providers. Candidate development efforts have produced approximately a 4% increase in the pool of available certified and registered court interpreters within one year.

Divisional Budgeting/Appellate Court Services

- Collaborated with the Information Services Division and Supreme Court staff on the design, development, and deployment of a new Supreme Court Case Management System for the Capital Court Appointed Counsel Program.
- Collaborated with the Information Services Division to begin designing the new District Court of Appeals Court-Appointed Counsel System (DCACS) for non-capital appeals.
- In conjunction with the Finance Division, Office of Governmental Affairs, and Executive Office, continued to successfully lobby the California Department of Finance (DOF) and Legislature year after year for millions of dollars in additional funding for the Court-Appointed Counsel (CAC) Program for the Courts of Appeal. This funding offsets the funding deficit that is structurally inherent in the program; currently, that deficit is estimated to be approximately \$4M.
- Worked with staff from the Education Division and the Courts of Appeal to revise the Third Edition of the California Court of Appeal *Judicial Attorney Manual*.

Editing and Graphics Group

- Since 2005, edited and designed more than 8300 separate projects for use by the courts, the public, and the Judicial Council, including reports, web pages, brochures, and booklets.
- Revised the *AOC Style and Correspondence Guide*, a major upgrade of a resource for AOC writers that helps them produce high-quality materials for public and internal use.
- Assisted in Judicial Council report overhaul and training (in cooperation with Secretariat). The new council report format is designed to allow more concise, better organized reports.

Office of Court Research (OCR)

- Updated the Judicial Needs Assessment in 2007, 2008 and 2010. The 2007 update was used by the Legislature to create 50 new judgeships (funded) in SB 56 and another 50 (funding deferred) in AB 159.
- Completed the Resource Allocation Study (RAS) in 2005 and received Judicial Council approval to use the model in the allocation of trial court budgets. Updated the RAS model annually to assist the AOC Finance Division with the budget process including three years in which the RAS model was used to allocate over \$32 million in baseline funding to historically underfunded courts.
- Completed time studies of judicial officers in 15 trial courts and staff in 24 trial courts to update judicial and staff case weights.
- Conducted site visits to 12 workload-study courts to evaluate case processing.
- Modified the Judicial Workload Assessment methodology to quantify the need for the conversion of 162 Subordinate Judicial Officers (SJOs) in 25 courts.
- Implemented the conversion of 76 SJO positions to date pursuant to Government Code section 69615.
- Provided data management and analysis in support of the Riverside Strike Force, including analysis of age of active, pending caseload, number of hearings per case, trial rate, trial outcome, and other measures to diagnose the problem and evaluate the impact of the Strike Force's efforts.
- Developed data reporting standards with Chief Probation Officers of California (CPOC) as required under SB 678.
- Designed and implemented evaluation component of the California Risk Assessment Pilot Project (CalRAPP) to evaluate the impact of providing judges with risk-needs information of offenders at sentencing in four pilot jurisdictions.
- Completed the first two reports in the Study of California Class Action Litigation, producing the most comprehensive information on the incidence and nature of class action lawsuits in California.
- Received a grant from the National Institute of Justice to study the effectiveness of Batterer Intervention Systems. The largest study of its kind, the project collected data on more than 1,000 domestic violence offenders in six jurisdictions and examined the impact of court review hearings, Batterer Intervention Programs, and probation practices on recidivism.
- Produced annual mandated studies including the Court Statistics Report and the Report on Criminal Sentencing by Race and Ethnicity of Defendant.
- Through the Judicial Administration Library, assisted with 1,000 major research projects and 500 legislative, regulatory, or rule histories.

Promising and Effective Programs

- Completed and disseminated the web-based Juror Failure to Appear (FTA) Toolkit to address those jurors who fail to appear for service when summoned. The FTA Toolkit provided materials to help courts increase the number of people appearing for jury duty, deter the numbers of jurors who fail to

appear, prevent repeated FTAs by delinquent jurors, and educate potential and delinquent jurors about the importance of jury service. In addition, provided juror orientation information to the approximately 10 million potential jurors who receive a summons annually; oversaw the *Juror Utilization Study* which resulted in recommendations to increase efficiencies, reduce the number of jurors summoned, and streamline court processes, with the potential to achieve significant cost savings to the courts and to the public; and compiled the annual Jury Data Survey, the results of which help guide jury policies of the courts and the Legislature.

- Provided critical training and technical assistance to grant seekers in the judicial branch with regard to the approximately \$55 million in federal and state funds that annually pass through to the courts and the \$10 million directly managed by the AOC.
- Honored 38 programs in both the superior and appellate courts with the Ralph N. Kleps Award, representing creative solutions to problems faced by many courts throughout the state. Produced three volumes of *Innovations in the California Courts*, profiling not just awardees but also tracking statewide improvement programs. In addition, hosted multiple WebEx trainings to facilitate program replication so as to promote the use of innovative and efficient programs statewide, disseminated information about the awarded programs, and archived past programs into a searchable online resource.
- Developed, oversaw, and supported the JusticeCorps program in nine superior courts—Alameda, Los Angeles, San Diego, San Francisco, San Mateo, Santa Clara, Sacramento, Placer, and Yolo—in which college students were trained and provided services to self-represented litigants. Over the past 5 years, the student members have assisted 194,600 self-represented litigants in up to 24 different languages, filed 130,300 legal documents, provided over 122,500 referrals, and completed more than 238,500 hours of service. The program now has over 1000 alumni and has been acknowledged by the State Bar as a “Model Diversity Pipeline Program” and been featured as a model program in the National Center for State Court’s “2011 Future Trends in State Courts.”
- Surveyed 2500 California residents and 500 attorneys, and conducted 15 focus groups in 3 different languages for the 2005-2006 Public Trust and Confidence studies that assessed levels of trust and confidence in the state courts and obtained information concerning public expectations and opinions on access to justice.
- Completed and disseminated *Procedural Fairness in California: Initiatives, Challenges, and Recommendations*, a report informed by more than 20 site visits and nearly 50 interviews with judges, bench officers, attorneys, court administrators, justice partners, and other stakeholders in California. The report described initiatives underway; makes further recommendations on how California courts can improve public perceptions of procedural fairness, ensure fair processes, and promote quality treatment of all court users; and includes a brief self-assessment tool that court administrators can use to examine procedural fairness in their local jurisdictions.
- Reached K-12 students with meaningful and effective civic education projects by teachers who have participated in the California On My Honor (COMH) institute and local workshops. Since 2006, trained 150 teachers in 22 jurisdictions; these teachers in turn reached an estimated 48,000 students. In addition, teacher-leaders whose skills were developed through the institutes collaborated with six superior courts to hold local one-day Court Connection Workshops for more than 120 local teachers.

Trial Court Leadership Services (formerly Court Programs Services)

- Implemented the TCPJAC/CEAC Joint Working Group on Rules operational impact assessment process for California Rules of Court proposals. This in turn facilitates trial court input and perspectives on the comprehensive fiscal and operational impacts of proposed rules of court, and the perspectives and trial court leadership are shared with subject matter committee staff for inclusion in their Judicial Council staff reports.
- Co-managed the CEAC Assembly Bill 1926 initiative to amend Government Code sections 61850 and 61851, which modernized the creation, maintenance, and preservation of trial court records. Proposed rules and standards changes to authorize the AOC, in collaboration with the trial courts, to prepare, maintain, and distribute a manual providing standards and guidelines on the creation, maintenance, and retention of trial court records. Circulated the draft Trial Court Records Manual as the companion piece to proposed amendments to Government Code sections 61850 and 61851 and new rules 10.850 and 10.851 of the California Rules of Court.
- Completed the interim report by the TCPJAC/CEAC Presiding Judges/Court Executive Officers Rules and Roles Analysis Working Group to consider modifications to rules 10.603 and 10.610, which outline the duties and responsibilities of PJs and CEOs.
- Managed the CEAC Working Group on Court Administration Ethics project to revise the Code of Ethics for judicial branch court employees of California. Revisions were adopted by the Judicial Council in October, 2009. Companion amendments to rule 10.743 were adopted in 2010.

III. STATUS OF CURRENT PROJECTS AND INITIATIVES

Judicial Branch Operational Planning

Judicial Branch operational planning for 2012-2014 is underway. In June 2011 the council met to begin group deliberations regarding how best to continue achieving the goals set forth in *The Strategic Plan for California's Judicial Branch 2006-2011*. Over the next 18 months the Judicial Council and its justice partners will continue this effort. The new operational plan is scheduled to be adopted by Judicial Council in December 2012.

Ongoing Efforts to Secure Adequate Funding for Court-Appointed Counsel

CPAS and AOC Finance staff continue to analyze the CAC program's expenditures and workload changes, provide timely and complete projections on the program's funding needs, and educate both the DOF and the Legislature on the program and its mandate to provide indigent appellants in California courts with adequate representation as mandated by the constitution.

New Continuing Education Requirements for Retired Assigned Judges

At the direction of the Chief Justice, staff has been working with both the AOC's Education Division and the Assigned Judges Program Advisory Committee to review and make recommendations to the Chief Justice regarding the need to overhaul the continuing education requirements for retired judges in the AJP. Staff's final recommendations are likely to include changes not only in the number of continuing education hours required, but also in the content of the required education and the acceptable methods of delivery (e.g., in-person, internet-based, etc.). The recommendations will also address the costs associated with retired assigned judges' education, including travel and per diems.

Public Access to Judicial Administrative Records (PAJAR) Project

In the face of growing public, press, and stakeholder interest in the functioning of the AOC and the branch generally, staff responsible for the PAJAR process continues to implement the requirements of rule 10.500 of the California Rules of Court on a daily basis. Staff also works on an ongoing basis to develop new policies and procedures to increase the effectiveness and efficiency of responding to requests for information and documents; for example, staff is currently working with the chairs of both the TCPJAC and CEAC to ensure that trial court leadership will be aware of, and have an opportunity to provide input on, information requests of concern to the trial courts generally. Staff is also in the process of preparing the mandated report to the Judicial Council on the implementation of the rule and its impact.

Update to the Judicial and Staff Workload Assessments

With the guidance and support of the SB 56 Working Group, the Office of Court Research has finalized a set of new, draft case weights for judicial officers. These case weights will be presented to the SB 56 Working Group in September 2011 and modified as necessary before going to the Judicial Council for approval in October, 2011. The judicial officer case weights will comply with the Legislature's requirement for a special assessment of the need for judicial officers in family and juvenile cases. Following the final report on new judicial officer case weights, Office of Court Research staff will begin evaluating modifications to the staff workload model by evaluating the method for converting FTE need to budget, the service level reflected in different case weights across courts, and the efficiency of case processing reflected in different case weights across courts.

Court Interpreter/ Language Access Initiatives

While the recruitment, testing, and training of court interpreters for mandated proceedings have remained core functions of the Court Interpreters Program, there have been increasing demands to provide court interpreters and language services in all civil court proceedings and court operations. This has required CIP unit staff to broaden the scope of their work. For example, in recent months the CIP's workload has incorporated the preparation of requests for outside grant funding, the planning for expanded interpretation and language access services, and the management of responses and requests for information from the Department of Justice.

In addition to the ongoing programs for which it is responsible, CIP also is currently working on efforts to increase language access services in the courts, including the pilot use of video remote interpretation for ASL, which will result in CIAP-developed guidelines for the use of remote technology for ASL proceedings; and the implementation of a bilingual testing model, which will help ensure that registered interpreters of non-designated languages have bilingual speaking skills. Courts and justice partners may also use bilingual oral proficiency exams to assess bilingual staff and bilingual specialists for language assistance work in appropriate locations outside of court proceedings.

CCMS Data Warehouse Testing of JBSIS Reports

Staff in the Office of Court Research continues to work closely with subject matter experts in the courts, the CCMS project management team, and Deloitte to map, troubleshoot, and test the JBSIS reports for the CCMS data warehouse. A new deadline for finalization of JBSIS reports has been established—late October, 2011—and OCR staff will be needed thereafter for deployment of CCMS to ensure proper configuration and standardization of the system.

Strategic Lawsuit Against Public Participation (SLAPP) Project

The process and procedures were upgraded in 2010 to provide more comprehensive and timely service to the public and compliance with applicable statute. The intervals between postings were quartered, data entry was increased from weekly to daily, unprocessed document backlog was eliminated, and the filing system was reorganized.

Ongoing Technology Enhancement Efforts

CPAS staff continues to work with staff from the AOC's Information Services Division on a number of ongoing technology efforts, including the completion of the Supreme Court CAC system; the development of the District Courts of Appeal system, which will interface with the Appellate Court Case Management System (ACCMS); the automation of the Civil Case Coordination Program; and a significant overhaul of the Assignment Tracking System (ATS), the database used to facilitate the Chief Justice's assignment of retired judges across the state. As discussed below, lack of funding remains an impediment to the successful completion of these projects.

Development of Self-Education Models to Facilitate Jury Improvement

Online self-education modules related to the results and recommendations of the *Juror Utilization Study* are being completed. These modules will assist judges and court staff in techniques to reduce the number of jurors summoned for jury duty through the use of historical data and trend analysis. Staff will continue efforts to disseminate the information in as cost-effective a way as possible while providing what hands-on technical assistance can be provided within budget constraints.

Final Report of the Study of Procedural Fairness in Small Claims Study

The Study of Procedural Fairness and Effective Court Practices in Small Claims followed from the findings of the 2005 statewide survey of public trust and confidence in the courts, which found that litigants lacked confidence in the courts' handling of small claims matters. Thereafter, the Judicial Council directed staff to conduct further research in this area. The Study of Procedural Fairness in Small Claims examines the challenges that self-represented litigants face in small claims cases and includes information on litigants' understanding of their cases, the sources of information and assistance that they used, how they prepared for court, and how they rated the court. The final report of the Study of Procedural Fairness in Small Claims will be released in October, 2011.

IV. DIVISION OUTLOOK AND PROSPECTIVE OPPORTUNITIES, CHALLENGES, AND PENDING ISSUES

As a brand new division, the outlook for CPAS is very good, and the merger of the former ATCJS and EOP divisions offers many exciting opportunities. For example, with the creation of CPAS, primary responsibility for staffing and supporting the governance bodies of appellate court leadership (Administrative Presiding Justices Advisory Committee, California Appellate Court Clerks Association) and trial court leadership (Trial Court Presiding Judges Advisory Committee, Court Executives Advisory Committee) will lie within the same division for the first time. We anticipate that this will facilitate enhanced communications between the trial and appellate courts, and we are very excited to work with the chairs of the affected groups to look for synergies and efficiencies that may have gone unnoticed before now. Internally, the merger will also present both component divisions with a chance to further

streamline internal operations and look for opportunities that would not have existed before (e.g., cross-training employees in multiple functional areas to reduce silo-ing and to spread knowledge and skill sets).

This is not to say, however, that there will not be challenges. Some of the issues discussed below are specific to the CPAS division, while others are challenges faced by most if not all of the agency.

Budgetary Needs of the Court-Appointed Counsel Program

As noted, the appellate-level Court-Appointed Counsel program runs at a deficit of approximately \$4M per year. This is an inherent structural deficit, and it is based on factors outside of staff control, such as the number of criminal filings, the complexity of the cases, changes in controlling law, and increases in the statutory compensation rate of court-appointed counsel. Each year, CPAS staff, working with AOC Finance, is required to expend significant amounts of time and energy on BCPs and/or requests for deficiency funding. While these efforts have been successful to some degree in the past, the ideal solution would be for the Legislature and the Department of Finance to permanently increase the base funding of the program to an appropriate level.

Increased Workload in a Time of Staff and Resource Reductions

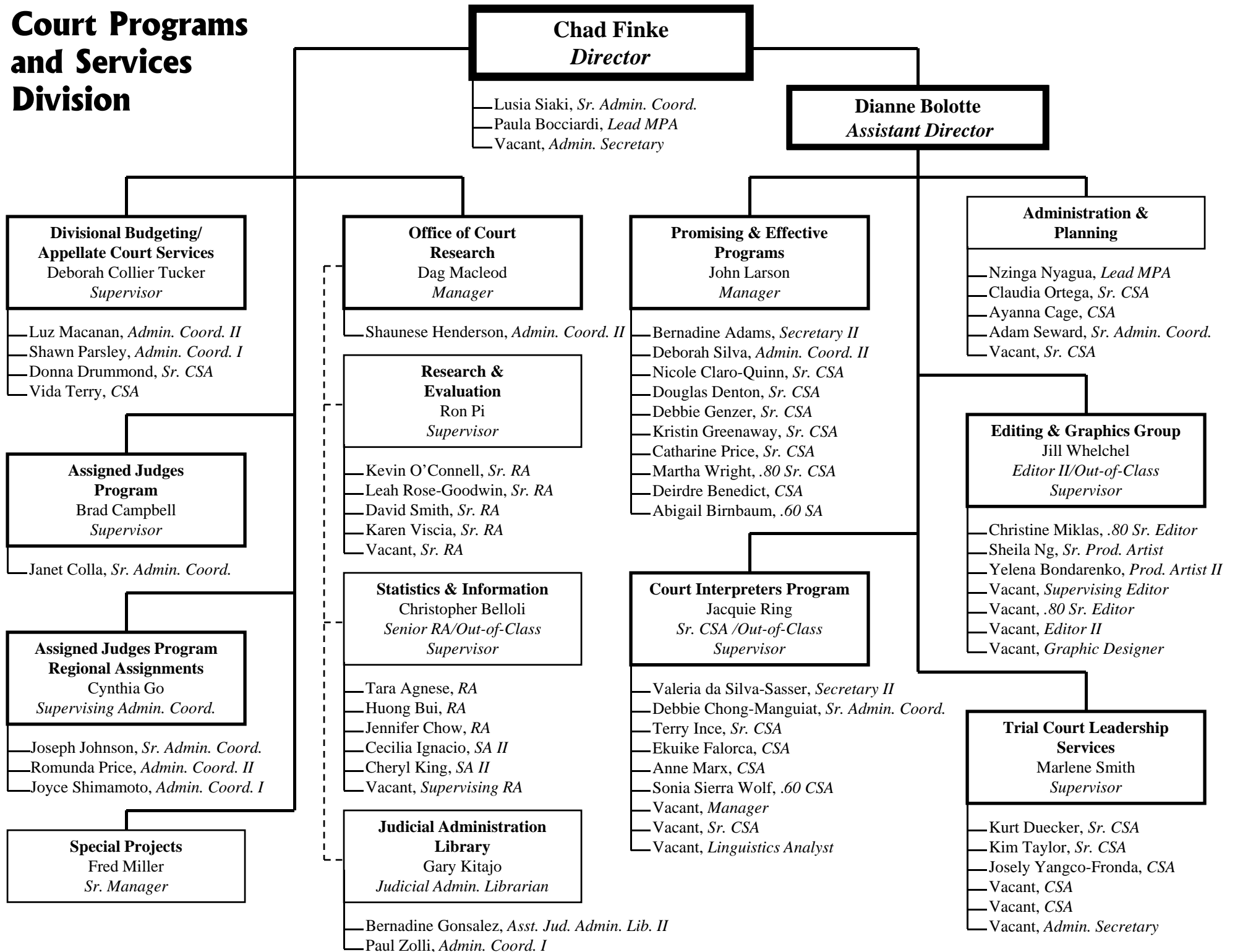
The ongoing responsibilities of CPAS are largely mandated by the California Constitution, statute, rules of court, and Judicial Council directive based on the branch's strategic and operational plans. New responsibilities—including program oversight and new functional areas—are continually added, including by the Legislature, and CPAS functions as an implementation gateway for many new and unique projects within the branch that end up having a life span of several years. In addition, the AOC is currently engaged in efforts to shrink its overall workforce to address the recent staggering budget cuts that have affected the judicial branch.

While staff welcomes these new opportunities and looks forward to putting their education and skill sets to work on new endeavors to benefit the courts and the public, it must be acknowledged that it can be challenging to appropriately staff and support new ventures when special fund funding is being cut across the board and vacant staff positions are not being filled (and indeed, many are being permanently eliminated). Across multiple programs, we eventually will reach a tipping point beyond which we will be unable to provide an appropriate level of support without increased funding or the ability to fill those critical positions that remain vacant.

Addressing Staff Morale in Difficult Fiscal Times

The AOC is now entering its third year without any but the most critical promotions. Further, step increases in employee pay were on hold for some time, and were only reinstated in FY 2010-11. It is unknown whether step increases will once again be halted in the current fiscal year; even if step increases continue, many of the employees in the agency are at the top of their pay ranges and thus see no benefit from step increases. And of course, all of this is occurring against the rising cost of housing, utilities, and other necessities of life. Sooner or later, the lack of professional and financial advancement will begin to take its toll on the morale of even the hardest and most loyal employees. The situation is not helped by the near-constant criticism of the AOC that seems to be the order of the day. Thus, it will remain a challenge for agency, divisional, and unit leaders to keep employee morale up and to keep staff focused on and committed to the excellent work they do on behalf of the courts and the public.

Court Programs and Services Division



Appellate Trial Court Judicial Services

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09 ⁴	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 1,081,805	\$ 1,178,260	8.9%	\$ 1,193,356	1.3%	\$ 1,106,614	-7.3%	\$ 1,080,933	-2.3%	-0.1%
Benefits	382,904	408,198	6.6%	407,700	-0.1%	387,457	-5.0%	418,523	8.0%	9.3%
Subtotal Personal Services	\$ 1,464,710	\$ 1,586,459	8.3%	\$ 1,601,057	0.9%	\$ 1,494,070	-6.7%	\$ 1,499,456	0.4%	2.4%
Operating Expense & Equipment (OE&E)										
Rent	\$ 225,051	\$ 223,136	-0.9%	\$ 223,816	0.3%	\$ 211,591	-5.5%	\$ 219,464	3.7%	-2.5%
OE&E (Excludes Rent)	487,533	402,459	-17.4%	1,123,608	179.2%	970,425	-13.6%	1,012,196	4.3%	107.6%
Subtotal OE&E	\$ 712,584	\$ 625,595	-12.2%	\$ 1,347,424	115.4%	\$ 1,182,016	-12.3%	\$ 1,231,660	4.2%	72.8%
Special Items of Expense ²	\$ 13,000	-	0.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
TOTAL SUPPORT EXPENDITURES	\$ 2,190,294	\$ 2,212,054	1.0%	\$ 2,948,480	33.3%	\$ 2,676,086	-9.2%	\$ 2,731,115	2.1%	24.7%
Local Assistance ³	25,544,554	31,878,808	24.8%	31,260,788	-1.9%	27,419,407	-12.3%	26,016,632	-5.1%	1.8%
TOTAL EXPENDITURES	\$ 27,734,848	\$ 34,090,862	22.9%	\$ 34,209,268	0.3%	\$ 30,095,494	-12.0%	\$ 28,747,748	-4.5%	3.7%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 2,190,294	\$ 2,212,054	1.0%	\$ 2,948,480	33.3%	\$ 2,676,086	-9.2%	\$ 2,731,115	2.1%	24.7%
LOCAL ASSISTANCE										
Trial Court Trust Fund ^{3,5}	\$ 25,544,554	\$ 31,878,808	24.8%	\$ 31,260,788	-1.9%	\$ 27,419,407	-12.3%	\$ 26,016,632	-5.1%	1.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 27,734,848	\$ 34,090,862	22.9%	\$ 34,209,268	0.3%	\$ 30,095,494	-12.0%	\$ 28,747,748	-4.5%	3.7%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾Year-End Posting Error – The \$13,000 expenditure was posted in error. The \$13,000 should be posted against the Courts of Appeal Court-Appointed Counsel Program. ATCJS does not have any Special Items of Expense charges.

⁽³⁾All TCTF funds support the Assigned Judges Program and the Civil Case Coordination Program. The 24.8% increase in TCTF expenditures for FY 2007–08 was required to cover the increased cost in the Assigned Judges Program as a result of an overall increase in the statewide requests and the Riverside Task Force activity.

⁽⁴⁾The 179.2% increase in FY2008–09 expenditures for OE&E (excluding Rent) in General Funds reflects expending new funds (\$100,000) transferred to the Appellate and Trial Court Services Division from Courts of Appeal to cover

⁽⁵⁾TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

**Appellate Trial Court Judicial Services
Five-Year Local Assistance Fiscal Detail**

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Trust Fund¹</i>										
Assigned Judges Program ²	\$ 24,920,773	\$ 31,304,682	25.6%	\$ 30,866,375	-1.4%	\$ 26,998,481	-12.5%	\$ 25,664,809	-4.9%	3.0%
Civil Case Coordination Program	623,781	574,126	-8.0%	394,412	-31.3%	420,927	6.7%	351,823	-16.4%	-43.6%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 25,544,554	\$ 31,878,808	24.8%	\$ 31,260,788	-1.9%	\$ 27,419,407	-12.3%	\$ 26,016,632	-5.1%	1.8%

¹ TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

² All TCTF funds support the Assigned Judges Program and the Civil Case Coordination Program. The 25.6% increase in TCTF expenditures for FY 2007–08 was required to cover the increased cost in the Assigned Judges Program as a result of an overall increase in the statewide requests and the Riverside Task Force activity.

Executive Office Programs¹
Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ²	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 3,737,070	\$ 3,959,792	6.0%	\$ 4,198,158	6.0%	\$ 4,436,287	5.7%	\$ 4,606,771	3.8%	23.3%
Benefits	1,261,735	1,343,108	6.4%	1,459,796	8.7%	1,547,264	6.0%	1,777,675	14.9%	40.9%
Subtotal Personal Services	\$ 4,998,806	\$ 5,302,901	6.1%	\$ 5,657,953	6.7%	\$ 5,983,551	5.8%	\$ 6,384,446	6.7%	27.7%
Operating Expense & Equipment (OE&E)										
Rent	\$ 890,957	\$ 889,567	-0.2%	\$ 922,120	3.7%	\$ 884,088	-4.1%	\$ 944,593	6.8%	6.0%
OE&E (Excludes Rent)	1,154,354	1,035,647	-10.3%	884,284	-14.6%	457,638	-48.2%	767,361	67.7%	-33.5%
Subtotal OE&E	\$ 2,045,311	\$ 1,925,213	-5.9%	\$ 1,806,404	-6.2%	\$ 1,341,726	-25.7%	\$ 1,711,954	27.6%	-16.3%
TOTAL SUPPORT EXPENDITURES	\$ 7,044,117	\$ 7,228,114	2.6%	\$ 7,464,357	3.3%	\$ 7,325,277	-1.9%	\$ 8,096,400	10.5%	14.9%
Local Assistance	2,841,657	2,831,107	-0.4%	2,745,925	-3.0%	1,380,334	-49.7%	1,085,287	-21.4%	-61.8%
TOTAL EXPENDITURES	\$ 9,885,774	\$ 10,059,221	1.8%	\$ 10,210,282	1.5%	\$ 8,705,611	-14.7%	\$ 9,181,687	5.5%	-7.1%

Fund Source ²	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 6,750,003	\$ 7,011,923	3.9%	\$ 7,232,307	3.1%	\$ 7,130,785	-1.4%	\$ 7,853,490	10.1%	16.3%
Court Interpreter's Fund	154,094	154,969	0.6%	154,500	-0.3%	144,875	-6.2%	148,694	2.6%	-3.5%
Federal Trust Fund	128,170	46,534	-63.7%	3,088	-93.4%	-	-100.0%	-	0.0%	-100.0%
Reimbursements	11,850	14,688	24.0%	74,463	407.0%	49,617	-33.4%	94,217	89.9%	695.1%
Subtotal General Fund & Special Funds	\$ 7,044,117	\$ 7,228,114	2.6%	\$ 7,464,358	3.3%	\$ 7,325,277	-1.9%	\$ 8,096,400	10.5%	14.9%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ³	\$ 508,969	\$ 823,000	61.7%	\$ 492,335	-40.2%	\$ 340,134	-30.9%	\$ 139,758	-58.9%	-72.5%
Modernization Fund ³	2,332,688	2,008,107	-13.9%	2,253,590	12.2%	1,040,200	-53.8%	945,529	-9.1%	-59.5%
Subtotal Local Assistance	\$ 2,841,657	\$ 2,831,107	-0.4%	\$ 2,745,925	-3.0%	\$ 1,380,334	-49.7%	\$ 1,085,287	-21.4%	-61.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 9,885,774	\$ 10,059,221	1.8%	\$ 10,210,283	1.5%	\$ 8,705,611	-14.7%	\$ 9,181,687	5.5%	-7.1%

⁽¹⁾Excludes fiscal summary information for the Office of Communications (OOC). Effective October 1, 2011, Executive Office Programs was reorganized as the Court Program and Services Division. As part of the reorganization the OCC unit was moved to the Executive Office.

⁽²⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽³⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

Court Programs and Services (Formerly Executive Office Programs)

Five-Year Local Assistance Fiscal Detail

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund</i>¹										
Branchwide Strategic and Operational Planning	\$ 331,924	\$ 319,669	-3.7%	\$ 168,115	-47.4%	\$ 44,029	-73.8%	\$ -	-100.0%	-100.0%
One Law, Many Languages Recruitment Campaign	8,562	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
California Courts: Connecting with Constituencies	168,483	385,331	128.7%	324,220	-15.9%	296,105	-8.7%	89,758	-69.7%	-46.7%
Riverside Criminal Cases Processing Evaluation	-	118,000	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Jury System Improvement Projects	-	-	0.0%	-	0.0%	-	0.0%	50,000	0.0%	0.0%
Subtotal, Trial Court Improvement Fund	\$ 508,969	\$ 823,000	61.7%	\$ 492,335	-40.2%	\$ 340,134	-30.9%	\$ 139,758	-58.9%	-72.5%
<i>Judicial Administration Efficiency and Modernization Fund</i>¹										
Presiding Judges and Court Executives Meetings	\$ 186,251	\$ 179,562	-3.6%	\$ 204,517	13.9%	\$ 123,575	-39.6%	\$ (140)	-100.1%	-100.1%
Kleps Award Program	59,022	73,356	24.3%	45,791	-37.6%	12,275	-73.2%	41,301	236.5%	-30.0%
Jury Management and Improvement Initiatives	268,956	214,874	-20.1%	267,245	24.4%	-	-100.0%	12	0.0%	-100.0%
Remote Interpretive Services	32,935	97	-99.7%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Reporting of the Record Task Force	-	-	0.0%	77	0.0%	-	-100.0%	-	0.0%	0.0%
Branchwide Communications (CCRIP)	57,599	104,511	81.4%	55,772	-46.6%	111,076	99.2%	20,603	-81.5%	-64.2%
Institutionalization of the JC Strategic Planning	1,854	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Promising Knowledge Practices	374,176	369,214	-1.3%	371,800	0.7%	338,355	-9.0%	535,474	58.3%	43.1%
Trial Court Performance Measures Study	286,862	258,451	-9.9%	279,328	8.1%	175,311	-37.2%	61,360	-65.0%	-78.6%
Resource Allocation Study	-	7	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
High Priority Media Relations Projects	52,253	38,939	-25.5%	6,653	-82.9%	684	-89.7%	-	-100.0%	-100.0%
Innovative and Effective Practices	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Orientation and Education for JC Advisory Chairs	1,963	-	-100.0%	1,556	0.0%	-	-100.0%	-	0.0%	-100.0%
Trial Court Outreach - Visits to Council and AOC	43,834	41,550	-5.2%	31,195	-24.9%	1,394	-95.5%	-	-100.0%	-100.0%
New Judicial Officer Regional Meeting for JB Policies	532	885	66.4%	4,789	441.1%	-	-100.0%	-	0.0%	-100.0%
Branch Online Communications	503,010	333,541	-33.7%	300,000	-10.1%	-	-100.0%	-	0.0%	-100.0%
Court Interpreters' Program - Testing and Development	463,441	231,302	-50.1%	598,926	158.9%	209,241	-65.1%	281,705	34.6%	-39.2%
California Courthouses Book	-	26,707	0.0%	-	-100.0%	300	0.0%	-	-100.0%	0.0%
JC Orientation and Branchwide Planning	-	10,111	0.0%	47,926	374.0%	3,086	-93.6%	-	-100.0%	0.0%
Interpreter Recruitment Campaign	-	125,000	0.0%	38,015	-69.6%	64,903	70.7%	5,214	-92.0%	0.0%
Subtotal, Modernization Fund	\$ 2,332,688	\$ 2,008,107	-13.9%	\$ 2,253,590	12.2%	\$ 1,040,200	-53.8%	\$ 945,529	-9.1%	-59.5%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 2,841,657	\$ 2,831,107	-0.4%	\$ 2,745,925	-3.0%	\$ 1,380,334	-49.7%	\$ 1,085,287	-21.4%	-61.8%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

Education Division/Center for Judicial Education and Research

Diane Cowdrey
Division Director

Overview of Administrative Office of the Courts Programs and Resources

Education Division/CJER

I. Organizational Structure of the Division and Services Provided

The Education Division/CJER constitutes the educational arm of the state judicial branch. It provides a comprehensive program of education and training for justices, judges, commissioners, referees, court executive officers, managers, supervisors, court staff members, and Administrative Office of the Courts' staff members. The Education Division/CJER's offerings include a year-round series of educational programs, products, and services for judges and other judicial officers, including orientation programs for new justices and judges, continuing education, broadcasts, judges' benchbooks and practice tools, online courses, video presentations, and other educational resources. The offerings also include programming and services for court staff and AOC staff, which are delivered live, via broadcast, via video-conferencing, and via online courses, in areas such as orientation, management and supervision, leadership, case processing, and customer service. The Education Division/CJER is organized into the following five units:

Curriculum and Course Development Unit

This unit consists of three departments, listed below. Staff work with Curriculum Committees appointed by the CJER Governing Committee and with workgroups to identify and to develop the curricula for all of the judicial branch audiences.

Judicial Education

- Develop the curricula pertaining to judicial based audiences, including justices, judges, commissioners, referees, and both trial and appellate judicial attorneys.

Administrative Branch Education

- Develop the curricula pertaining to trial and appellate court staff (counter and courtroom) in the major bench assignments, trial court human resource professionals, and AOC employees.

California Court Case Management System Training

- Provide initial and ongoing training for courts where the California Case Management System will be deployed. Also, the unit develops curriculum for court leadership.

Production, Delivery, and Educational Technologies Unit

This unit develops programs and products for the delivery of education to judicial branch audiences as well as supports Judicial Council initiatives. It consists of the following four departments.

Media Production Services

- Produce satellite broadcast TV production;
- Produce video production for education faculty and for learners;
- Produce web site and online courses for the Education Division;
- Produce video for AOC and judicial branch communications;

- Produce video for the Supreme Court associated with public outreach and the Committee on Judicial Appointments;
- Support web-based streaming media (audio and video) support for the Judicial Council and other AOC Divisions and for education.

Audio Visual Systems Development and Integration

- Operate and maintain AV equipment and infrastructure for the SF Civic Center Complex, and other AOC facilities statewide;
- Maintain AOC broadcast television studio, and satellite downlink network at 300 court locations;
- Review AV low voltage technical infrastructure on working drawings of all new court facilities. Ongoing consulting on standards development and application;
- Operate and maintain videoconferencing for the AOC and the appellate courts.

Audio Visual Support Services

- Support use of AV and video equipment in AOC conference and meeting facilities;
- Support and provide state-owned AV equipment for offsite events for education, communications, and public outreach events;
- Operate and maintain audio & video resource center for education, including media content management, audio and video duplication, and product dissemination.

Course and Faculty Services

- Provide project management and direct support for live education events: Implement logistics for offsite and onsite programs, including scheduling, site selection, faculty support, and faculty and student materials creation; and coordinate the work of other departments or staff responsible for participant registration, publicity, calendaring, web materials development etc.
- Develop business requirements for software development, and test, operate, and maintain the PeopleSoft learning management system (LMS) module for the AOC's internal education program (in collaboration with IS Division).
- Develop, coordinate, and implement publicity channels for all education events and products;
- Coordinate work associated with maintaining and updating the two-year Education Plan for delivery of all education products to the courts.

Publications and Resources Unit

This unit develops and updates publications for judicial officers and court staff, provides those publications in accessible electronic format, and develops online courses for judicial officers and court staff.

- Manage, research, write, and update as needed, 59 judicial publications;
- Manage granted-funded project revising and updating six volume Civil Proceedings Benchbooks;
- Manage the bi-annual creation of CD-ROM with all judicial publications;
- Edit, review and produce monthly interactive judicial articles;

- Manage, write, and update 18 judicial courses providing 40.5 of education hours in civil, small claims, unlawful detainer, criminal, domestic violence, family, and juvenile dependency and delinquency;
- Provide editing for all judicial publications and online courses, including online courses produced by other units. Edit all program announcements and associated text for online registrations.

Design and Consulting Unit

The Design and Consulting Unit is responsible for providing expertise within the Education Division/CJER and the AOC on design processes for education and associated materials and products, via both live and distance education. The unit also oversees faculty development within the branch, including specialized courses for distance education, as well as professional development for division staff, and works with training coordinators in each court, maintaining a calendar and a clearinghouse of local court training materials and resources. Another area of focus is the development and maintenance of partnerships with colleges and universities for the expansion of programs that meet the needs of current and future court employees.

Administrative Services Unit

ASU functions as an internal service organization under the direction of the Education Division. It provides services to all divisions in the AOC in the following areas.

Records, Production and Mail Services

- Provide digital printing and bindery services, processing an average of over 225 jobs per month to all divisions;
- Provide mail services, including the processing of internal mail and monthly addressing and posting of over 5000 pieces of outgoing mail;
- Provide shipping and receiving services includes processing of over 500 outgoing packages monthly;
- Provide records management (including archive management & shredding) and oversight of over 2500 cubic feet of records in retention;
- Maintain the judicial database (CAPS);
- Manage storeroom locations for the AOC;
- Provide Fleet maintenance (in collaboration with Business Services).

Reception

- Greet visitors and notify appropriate staff on all floors occupied by AOC staff;
- Answer and directs incoming calls;
- Provide miscellaneous clerical assistance, as requested by the various divisions on each floor.

Conference Services

- Manage registration for a total of 105 events varying in level of complexity and with between 12–1,200 participants each, including site selection, contract negotiations, and budget;

- Oversee a monthly average of 200+ meetings and 30+ catering orders, within 2 floors and over 26,000 square feet of conference space. Also provide local ground transportation services;
- Handle approximately 100 event-related contracts totaling over \$1,300,000.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Curriculum and Course Development Unit

- Provided ongoing orientation and continuing education programs for justices, judges, court staff, and AOC staff;
- 2005 and 2007 Science and the Law Institutes. Increased the "science literacy" of judges in neurobiology, genetics, and other emerging technology fields and to explore how these issues may impact the courts and judicial ethics;
- 2005 and 2007 Statewide Bench Bar Biennial Conferences. The California Judicial Branch, the California State Bar, and the California Judges Association developed and met at a multi-day statewide conference for education, programs, and meaningful interaction between judges, attorneys, and other justice system stakeholders;
- 2008 Western States Court Leadership Academy. Over 80 non-judicial court leaders attended from California, Utah, and Arizona attended this week-long academy which was co-sponsored by the National Center for State Courts;
- Statewide Conferences on Fairness and Women of Color in the Courts (2005–2008);
- Provide nationally accredited court management courses in partnership with the National Center for State Courts, Institute for Court Management (ICM), at a nominal fee, offered regionally within California.

Production, Delivery, and Educational Technologies Unit

- Development of alternative delivery mechanisms for branch education;
- Developed a statewide satellite broadcast network, designed and implemented standards for installation and support, delivered about 100 broadcast education programs each year;
- Implemented live audio web casting (including online captioning) for Judicial Council meetings;
- Implemented IP (over the computer network) videoconferencing for the AOC and the appellate courts in collaboration with the IS Division;
- Designed and built a training room for videoconference-based education and implemented distance education using videoconferencing for the AOC and appellate courts;
- Developed a web-based approach for delivery and archiving of education program materials associated with live programs, broadcasts and other events for ongoing use by judges statewide (event detail pages on Serranus);

- Designed and built (in collaboration with OCCM) training room and AV low voltage systems for training rooms in multiple AOC facilities statewide. Continue to operate and maintain AOC training facilities;
- Developed and implemented work processes for working drawing review of new court facilities in support of OCCM. Reviewed design drawing and provided consulting on AV low voltage;
- Researched and provided input into low voltage standards for the Trial Court Facility Standards;
- Developed standards for conference and training spaces in AOC;
- Coordinated numerous live programs with associated web pages; approximately 346 live events for various audiences;
- Produced 205 new broadcasts;
- Produced 40 interactive articles;
- Produced 189 tape productions;
- Produced 51 web productions.

Publications and Resources Unit

- Updated 59 judicial publications multiple times;
- Added 10 new titles to judicial publication library;
- Tripled the number of judicial online courses, including family law series of six courses, unlawful detainer, small claims series, criminal law series, and annual updates to all the courses;
- Produced several updates of CD-ROM product that included updated and new judicial publications;
- Made many online courses and publications available to local courts for temporary judge training.

Design and Consulting Unit

- Developed partnerships with institutions of higher education:
 - AA degree in Judicial Studies in conjunction with San Jose City College,
 - Judicial Administration Certificate Program with Sacramento State,
 - Graduate Certificate in Judicial Administration with Sacramento State,
 - Masters in Public Administration (Judicial Administration) with Golden Gate University;
- Piloted the new two-part course, Faculty Development Fundamentals, for judicial and non-judicial faculty resulting in new courses offered locally beginning in 2009; to date, approximately 60 new faculty have completed the program;
- Provided a 3-day Faculty Development Fundamental programs for prospective court faculty for Center for Families, Children, and the Courts;
- Offered new Faculty Development courses regionally, including facilitation, learning styles, and facilitating learning;
- Created a new E-Bulletin for Judicial Faculty in 2010 titled *Faculty Focus*;

- Created a new quarterly E-Bulletin for Training Coordinators titled *The Training Coordinator Connection*;
- Replaced the annual live Training Coordinator Business meeting with quarterly Webinar meetings for training coordinators to reduce costs.

Executive and Operations Unit

- Rules of Court on Education. In 2007 and 2008, after nearly two years of effort initiated by the CJER Governing Committee and worked on by the Education Division/CJER, the Judicial Council adopted the Rules on Minimum Education Requirements and Expectations for the Supreme Court, the Courts of Appeal, the trial courts and judicial branch employees, and conducted an evaluation of the impact of those rules for the Judicial Council;
- ADA Coordinators Conference, presented regularly for appellate and trial court ADA coordinators;
- 2006 Summit of Judicial Leaders; Disaster Planning and Recovery and Judicial Elections;
- 2007 California Judicial Symposium on Public Safety, Sentencing, and Corrections;
- 2008 Summit of Judicial Leader, focusing on public safety, sentencing, and community corrections challenges.

Administrative Services Unit

- Implemented model solution for Conference Center(s) space reservation and management;
- Expanded the types of conferences that could be held in-house at AOC facilities to reduce costs, and therefore have been able to provide the Domestic Violence Institute, ICM Consortium Faculty Training and Primary Assignment Orientations, all of which are larger, longer and more complex than what had previously been possible;
- In collaboration with Event Coordinating Committee, successfully developed and implemented AOC-wide solution of Tentative Meeting Schedule which now works in conjunction with the Master Calendar. These calendars work together to help planning staff avoid audience conflicts and keep branch employees advised of important meeting and training opportunities;
- Made the Judicial Council Conference Center “green” with the use of water coolers instead of bottled water, and placement of one-bin recycling in every meeting room;
- Implemented full conference services agency-wide;
- Centralized agency-wide reception;
- Obtained a 17 passenger bus that enables transport of greater number of meeting attendees;
- Upgraded the print shop to produce materials at a higher quality and lower cost than buying from outside vendors;
- Implemented a high-speed scanning facility to digitize AOC records and materials;
- Implemented ability to digitize and securely control and print courthouse design plans, architectural drawings, and records.

III. Status of Current Projects and Initiatives

- The CJER Governing Committee adopted a new education development model this fiscal year, which was a goal included in the Annual Agenda for 2010. The new model includes the restructure of the former Education Committees into nine different Curriculum Committees whose primary role is to develop a two-year Judicial Branch Education Plan for their respective audiences. The plan includes the content (what should be taught) and delivery method (how it should be delivered). The two-year education plan was reviewed and approved by the CJER Governing Committee in November 2010. The new model provides for greater oversight by the Governing Committee, allows for more strategic planning for the Education Division/CJER and creates more flexibility and repurposing of educational programs and resources for a greater number of people. Each program and product included in the approved two-year Education Plan has a work group assigned to implement the program or product.
- An integral component of this new model is the ability for the Education Division/CJER to support the development of new programs and products identified by the Curriculum Committees. The Design and Consulting Unit has the educational expertise to do this, and is expanding their services to include design for distance education as well. We have developed new courses on instructional design for distance delivery as well as new faculty development courses.
- Last year, the Education Division/CJER created a newsletter to better support and inform the many justices, judges, commissioners and referees who serve as faculty throughout the year. This online newsletter highlights information, resources, and faculty development opportunities for this group of individuals who give so much to serve the educational needs of the judicial branch. The newsletter has been well-received and feedback has been very positive.
- The Education Division/CJER has several partnerships with national judicial organizations. These have provided additional resources for judicial education and have offered opportunities to work with national experts. We collaborated successfully with the National Judicial College (NJC) on several recent projects in the area of criminal law judicial education. The courses we chose for collaboration were those in which a national perspective and federal constitutional study were beneficial to the courtroom practice of California judges. In June 2009, we hosted a course funded by NJC entitled “Managing the Capital Case in California.” This four day course incorporated CJER’s standard 2-day “Death Penalty Trials” course curriculum with NJC’s curriculum federal curriculum. In October 2010, we hosted another course funded by NJC entitled “Handling Sex Assault Cases and Sentencing Sex Offenders.” Again, this course was a blend of standard CJER programming with national trends. In preparation for these courses, NJC funded train-the-trainer programs to California judicial faculty. And, we worked closely with the National Association of Women Judges to assist them with their annual Conference held in October 2010 in San Francisco.

- California is part of a seven state Consortium with ICM (Institute for Court Management) at the National Center for State Courts and since 2008, has worked on reviewing and developing a set of classes for court leaders. Twelve classes were developed, based on the National Association of Court Managers (NACM) Core Competencies. These have been offered to California judicial branch employees, in accordance with the terms of our agreement with the National Center for State Courts, for a nominal fee and will lead to a certificate in court management from ICM. Over 300 individuals from the courts have participated in ICM programs, and in many cases that includes participation in multiple courses. We are fortunate that many leaders from the courts and the AOC are serving as faculty for these national classes.
- As an alternative to providing in-person education due to reduced funding for judicial branch education, the Education Division/CJER partnered with local courts to offer cost-effective, timely, and convenient education. *The Judicial Education Course Catalog* contains close to 100 different courses offered at local courts and the Education Division/CJER have paid for faculty to travel to the courts and paid for the preparation of educational materials. Local courts organize registration and logistics and benefit by offering a high quality educational program locally, which has reduced judicial travel and expense. The program has been ongoing and in 2010, and over 75 courses have been held in local courts. The course catalog is sent to all Presiding Judges and Administrative Presiding Justices, and new courses are continually added to the catalog.
- The Education Division/CJER has led an interdivisional effort to expand webinars in response to a need for the AOC to offer education and meetings via distance. Last year we developed business and technical requirements and an RFP to select a stable vendor. WebEx was secured in June, 2010 as an interim solution and was implemented in the few months that followed. It supports other AOC web meetings and allowed for increased use of this technology. WebEx meetings are currently scheduled through the AOC's master calendar of meetings, which has reduced staff and software costs.
- The Education Division worked with OCCM to ensure that training room standards were updated and that training in those facilities would be considered during the design phase of each new court construction or facility modification project. This led to a new iteration of the trial court facility standards. Additionally, the Education Division/CJER led a small workgroup that included CEOs and Training Coordinators, to craft recommended standards for training rooms in new or modified court facilities. The *Training Room Standards* developed by this workgroup were approved by CEAC in 2011.
- In collaboration with Information Services, ASU is a large stakeholder in the continued development of the new CLIK system that will replace the current CAPS database, which holds all contact information for members of the judicial branch. This improved system will facilitate greater communication throughout the branch, and streamline judicial record keeping, reporting and public access to judicial information.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

The Education Division/CJER is staff to the Judicial Council's CJER Governing Committee, which is responsible for developing education for the Judicial Branch. As staff to this Advisory Committee, we are tasked to develop and provide a comprehensive program of educational services that enhances the ability of all individuals serving in the judicial branch to achieve high standards of professionalism, ethics, and performance.

Dealing with Budget Reductions

Due to the ongoing financial crisis, the Education Division is increasingly required to implement useful and cost effective methods for alternative delivery of education events and products. In an effort to meet this challenge, the division continues to propose and pilot innovative delivery methods and select those that are most effective and cost efficient. Inexorably linked with these technology efforts is the need to have an effective web-based presence and to that end we worked with a judicial user group to redesign the branch web sites, making them more accessible and user friendly. Other efforts to reduce our development overhead cost included renegotiating contracts for satellite broadcasting, reducing transmission costs based on new opportunities to switch satellites. We created additional on-line courses, a process to deliver courses to local courts. We also videotaped additional live programs and several programs in the studio, and explored WebEx courses.

New Education Development Model

Our most immediate and far reaching responsibility was the implementation of the Governing Committee's adoption of a new education development model. In an effort to more effectively meet the educational needs of the judicial branch, the Governing Committee restructured how judicial branch education is identified, developed, and ultimately delivered. It retired more than 20 program and audience specific education committees and appointed nine broad-based curriculum committees who encompassed all of the judicial branch audiences we serve. These committees worked in conjunction with staff developed a draft education plan for these stakeholder audiences who not only identified the educational content for these audiences but also recommended specific and varied delivery models. This new development model brought together multiple perspectives to each substantive area, which, in turn, enriched the curriculum for that area.

Physical and Technological Infrastructure

The Education Division/CJER recently completed a project in collaboration with OCCM that involved coordination between the CJER Governing Committee and CEAC to develop standards for training spaces in court facilities. The work will ensure discussion of education at the initial phases of facility design, and enable us to influence the actual design and construction of effective education and training spaces in trial and appellate courts as they are built or modified. In addition, we hope to, at some appropriate point, influence the development of standards for the transmission of video over the emerging technical infrastructure of the judicial branch and so enable future network-based delivery of educational video products.

Evaluation of Education Rules

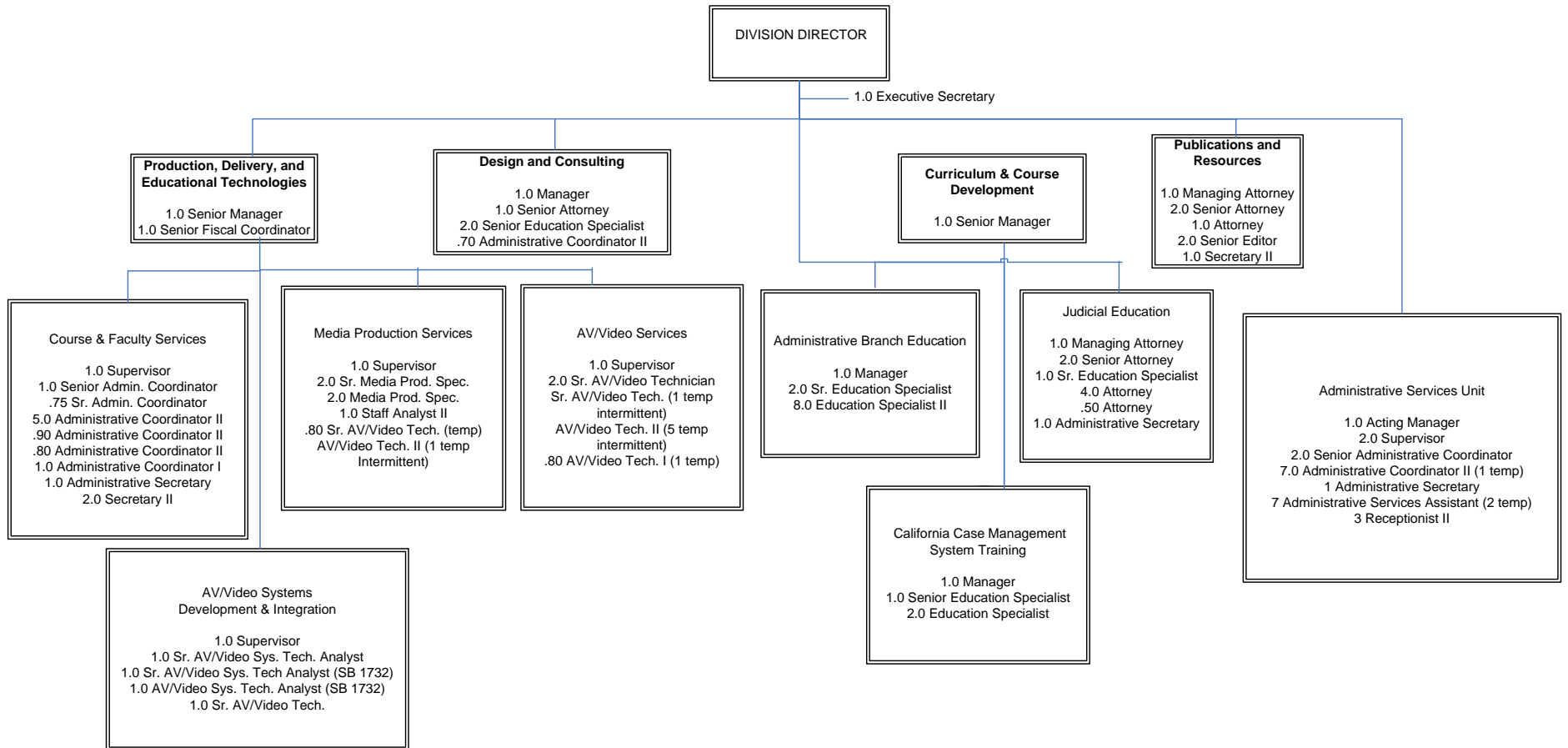
The CJER Governing Committee provided a report to the Judicial Council regarding the implementation of the first reporting period of the new education rules. To prepare for this report, the Education Division/CJER sent out a survey to all justices and judges requesting their feedback on the rules and the impact of mandatory or required judicial education on the branch. An additional survey was sent to presiding judges, administrative presiding justices, court executive officers, and appellate administrators.

Expand Distance Education Opportunities and Redesign Serranus

The Education Division/CJER is continuing to develop online courses. This year, we will complete our criminal law series. Our work in criminal, juvenile, family, small claims, and unlawful detainer provides a resource for judges having those assignments to get immediate training rather than having to wait for a live program. Additional online courses will be developed, based on the two-year Education Plan, approved by the CJER Governing Committee. During the past year, the Education Division/CJER put together a small working group of judges to provide input who provided input on the Serranus webpage on how to organize the many resources and online courses, job aids, and publications to most effectively serve our audiences.

Education Division/CJER

Administrative Office of the Courts



Education
Five-Year Fiscal Summary
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 6,533,371	\$ 7,583,802	16.1%	\$ 7,467,672	-1.5%	\$ 7,320,271	-2.0%	\$ 7,172,574	-2.0%	9.8%
Benefits	2,158,352	2,492,732	15.5%	2,546,538	2.2%	2,599,347	2.1%	2,725,026	4.8%	26.3%
Subtotal Personal Services	\$ 8,691,723	\$ 10,076,535	15.9%	\$ 10,014,210	-0.6%	\$ 9,919,618	-0.9%	\$ 9,897,600	-0.2%	13.9%
Operating Expense & Equipment (OE&E)										
Rent	\$ 1,481,332	\$ 1,609,551	8.7%	\$ 1,639,434	1.9%	\$ 1,504,026	-8.3%	\$ 1,671,470	11.1%	12.8%
OE&E (Excludes Rent)	2,126,533	1,608,965	-24.3%	1,534,479	-4.6%	1,225,572	-20.1%	995,163	-18.8%	-53.2%
Subtotal OE&E	\$ 3,607,865	\$ 3,218,516	-10.8%	\$ 3,173,913	-1.4%	\$ 2,729,598	-14.0%	\$ 2,666,633	-2.3%	-26.1%
TOTAL SUPPORT EXPENDITURES	\$ 12,299,588	\$ 13,295,050	8.1%	\$ 13,188,123	-0.8%	\$ 12,649,216	-4.1%	\$ 12,564,233	-0.7%	2.2%
Local Assistance	2,475,633	2,802,480	13.2%	2,417,858	-13.7%	2,053,789	-15.1%	1,858,011	-9.5%	-24.9%
TOTAL EXPENDITURES	\$ 14,775,221	\$ 16,097,530	8.9%	\$ 15,605,981	-3.1%	\$ 14,703,005	-5.8%	\$ 14,422,244	-1.9%	-2.4%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 11,850,927	\$ 12,905,808	8.9%	\$ 12,747,215	-1.2%	\$ 12,385,407	-2.8%	\$ 12,261,383	-1.0%	3.5%
State Court Facilities Construction Fund	243,090	278,814	14.7%	252,647	-9.4%	132,995	-47.4%	139,127	4.6%	-42.8%
Reimbursements	205,572	110,428	-46.3%	188,261	70.5%	130,814	-30.5%	163,723	25.2%	-20.4%
Subtotal General Fund & Special Funds	\$ 12,299,589	\$ 13,295,050	8.1%	\$ 13,188,123	-0.8%	\$ 12,649,216	-4.1%	\$ 12,564,233	-0.7%	2.2%
LOCAL ASSISTANCE²										
Trial Court Improvement Fund ²	\$ 18,278	\$ 24,195	32.4%	\$ 17,005	-29.7%	\$ 1,901	-88.8%	\$ 344	-81.9%	-98.1%
Modernization Fund ²	2,457,355	2,778,285	13.1%	2,400,853	-13.6%	2,051,888	-14.5%	1,857,667	-9.5%	-24.4%
Subtotal Local Assistance	\$ 2,475,633	\$ 2,802,480	13.2%	\$ 2,417,858	-13.7%	\$ 2,053,789	-15.1%	\$ 1,858,011	-9.5%	-24.9%
TOTAL EXPENDITURES - ALL FUNDS	\$ 14,775,222	\$ 16,097,530	8.9%	\$ 15,605,981	-3.1%	\$ 14,703,005	-5.8%	\$ 14,422,244	-1.9%	-2.4%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

Education
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund</i>¹										
On-line Training	\$ 18,278	\$ 24,195	32.4%	\$ 17,005	-29.7%	\$ 1,901	-88.8%	\$ 344	-81.9%	-98.1%
Subtotal, Trial Court Improvement Fund	\$ 18,278	\$ 24,195	32.4%	\$ 17,005	-29.7%	\$ 1,901	-88.8%	\$ 344	-81.9%	-98.1%
<i>Judicial Administration Efficiency and Modernization Fund</i>¹										
Orientation for New Court Judges	\$ 109,090	\$ 109,691	0.6%	\$ 131,261	19.7%	\$ 106,289	-19.0%	\$ 105,366	-0.9%	-3.4%
B.E. Witkin Judicial College of California	175,337	220,456	25.7%	103	-100.0%	304,592	295620.4%	265,783	-12.7%	51.6%
Family Law Assignment Education	65,314	62,675	-4.0%	53,023	-15.4%	14,512	-72.6%	35,674	145.8%	-45.4%
Juvenile Law Assignment Education	42,927	55,302	28.8%	36,079	-34.8%		-100.0%	16,288	0.0%	-62.1%
Ethics Training for Judges	300		-100.0%	95	0.0%		-100.0%		0.0%	-100.0%
Summer Continuing Judicial Studies Program (CJSP)	83,588		-100.0%	87,708	0.0%		-100.0%		0.0%	-100.0%
Fall CJSP (Advanced Edu. for Experienced Judges)	57,931	34	-99.9%	106,802	314023.5%		-100.0%	22,130	0.0%	-61.8%
Criminal Law and Procedure Institute	16,748	19,470	16.3%	20,498	5.3%	25,408	24.0%		-100.0%	-100.0%
Cow County Judges Institute	25,490	32,277	26.6%	18,989	-41.2%		-100.0%	24,575	0.0%	-3.6%
Statewide Fairness Conference (Spring CJSP)	45	291	546.7%	44,142	15069.1%		-100.0%		0.0%	-100.0%
Winter Continuing Judicial Studies Program (CJSP)	116,858	159,703	36.7%	170,344	6.7%	235,370	38.2%		-100.0%	-100.0%
Probate and Mental Health Institute	25,389	46,180	81.9%	32,327	-30.0%		-100.0%	40,320	0.0%	58.8%
Computer Class for Judges			0.0%		0.0%		0.0%		0.0%	0.0%
Civil Law and Procedure Institute	13,426	45,107	236.0%	22,018	-51.2%		-100.0%	26,688	0.0%	98.8%
Science and the Law Institute	14,424		-100.0%		0.0%		0.0%		0.0%	-100.0%
Traffic Law Institute	19,920		-100.0%		0.0%		0.0%	1,110	0.0%	-94.4%
Overview Courses		112,877	0.0%	127,745	13.2%	122,965	-3.7%	216,900	76.4%	0.0%
Probate Conservatorship Institute			0.0%	34,114	0.0%	36,640	7.4%		-100.0%	0.0%
Court Management Course (Fall CJSP)	32,596	68,416	109.9%	49,743	-27.3%	117,101	135.4%	87,244	-25.5%	167.7%
California Judicial Administration Conference	11,318	229,174	1924.9%		-100.0%		0.0%	2,329	0.0%	-79.4%
Technical Assistance to Local Courts	295,056	183,440	-37.8%	102,490	-44.1%	200,164	95.3%	199,483	-0.3%	-32.4%
Train the Trainers - Faculty Development	160,387	140,348	-12.5%	127,391	-9.2%	95,105	-25.3%	107,529	13.1%	-33.0%
Training Coordinators Conference	9,942	13,354	34.3%	7,320	-45.2%	169	-97.7%		-100.0%	-100.0%
Trial Court Faculty (Statewide Education Programs)	350,264	417,549	19.2%	434,081	4.0%	290,180	-33.2%	274,193	-5.5%	-21.7%
Fall Leadership Conf - Summit of Judicial Leaders	127,697		-100.0%	39,948	0.0%		-100.0%	12,253	0.0%	-90.4%
Judicial Administration Graduate program	20,000	50,000	150.0%		-100.0%		0.0%		0.0%	-100.0%
Court Management Curriculum		33,333	0.0%	33,333	0.0%	33,333	0.0%		-100.0%	0.0%
Western States Court Leadership Academy			0.0%	65,014	0.0%		-100.0%		0.0%	0.0%
Mid-level Management Conferences	72,647	39,201	-46.0%	43,311	10.5%	33,529	-22.6%	60,373	80.1%	-16.9%
Court Clerk Training Institute	157,108	320,800	104.2%	299,818	-6.5%	150,104	-49.9%	109,063	-27.3%	-30.6%
Distance Learning (Satellite Broadcast)	448,550	353,031	-21.3%	226,423	-35.9%	231,664	2.3%	250,366	8.1%	-44.2%
Court Staff Training		13,999	0.0%	3,981	-71.6%		-100.0%		0.0%	0.0%
TC Judicial Attorney Institute		47,654	0.0%	48,257	1.3%	54,749	13.5%		-100.0%	0.0%
HR Staff Training (Transfer from HR's Budget)	5,003	3,923	-21.6%	34,495	779.3%	14	-100.0%		-100.0%	-100.0%
Subtotal, Modernization Fund	\$ 2,457,355	\$ 2,778,285	13.1%	\$ 2,400,853	-13.6%	\$ 2,051,888	-14.5%	\$ 1,857,667	-9.5%	-24.4%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 2,475,633	\$ 2,802,480	13.2%	\$ 2,417,858	-13.7%	\$ 2,053,789	-15.1%	\$ 1,858,011	-9.5%	-24.9%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

Finance Division

Zlatko Theodorovic
Division Director

Overview of Administrative Office of the Courts Programs and Resources Finance Division

I. Organizational Structure of the Division and Services Provided

The Finance Division supports all aspects of the development, administration, and allocation of the judiciary's \$3.6 billion budget. The division provides an integrated program of budget planning, auditing and treasury services to the entire judicial branch, and provides accounting, procurement, and contract services for the appellate courts and the Administrative Office of the Courts.

Functional Areas

Office of Budget Management

The Office of Budget Management consists of five units that are divided into two functional areas: Fiscal Administration and Budget Development Services and Trial Court Budget and Technical Support Services.

Fiscal Administration and Budget Development Services

Fiscal Administration and Budget Development Services consists of two units: Budget Development & Capital Outlay Fiscal Support, and Administrative Budget Management. The staff in these two units provide direct fiscal support to the Supreme Court, Courts of Appeal (COA), Habeas Corpus Resource Center (HCRC), and the Administrative Office of the Courts (AOC). The primary function of Fiscal Administration and Budget Development Services is to:

- Develop and present the annual state judicial budget;
- Monitor the budget performance of the Supreme Court, Courts of Appeal (COA), Habeas Corpus Resource Center (HCRC), Administrative Office of the Courts (AOC) and Office of Court Construction and Management (OCCM);
- Prepare monthly financial reports for the Supreme Court, COA, HCRC, AOC and OCCM;
- Track and forecast State Court Facilities Construction Fund and Court Facilities Trust Fund revenues;
- Perform fiscal, policy, legislative, and program analysis, as requested; and
- Provide direct technical assistance and training to the appellate courts, HCRC, AOC and OCCM in developing and managing budgets.

Trial Court Budget and Technical Support Services

Trial Court Budget and Technical Support Services consists of three units: Budget, Data, and Technical Support, Trial Court Regional Budget Support, and Trial Court Budget Program and Policy. The staff in these units provide direct fiscal support to the trial

courts. The primary functions of Trial Court Budget and Technical Support Services is to:

- Administer trial court special funds and the various trial court financial and budgetary schedules;
- Provide budget and other support to the Regional Administrative Directors and the trial courts; and
- Provide program and policy support in various areas, including security, operating costs for facilities, retirement, and court interpreters.

Office of Accounting and Business Services

The Office of Accounting and Business Services consists of two functional areas: Accounting Services and Business Services.

Accounting Services

Accounting Services consists of four sections; Accounts Payable, General Ledger, Grant Accounting and Property Management. These sections are responsible for the consistent, timely and accurate recording and reporting of financial information for the Judicial Council/AOC, appellate courts, HCRC, trial courts (allocations and AOC-administered spending, and Commission on Judicial Performance (by agreement).

The primary function of Accounting Services is to:

- Process all invoices and travel expense claims for the Judicial Branch entities mentioned above. On average approximately 10,000 of these documents are processed each month.
- Oversee and ensure the accuracy of the financial records of the Judicial Branch entities mentioned above.
- Reconcile financial information with the State Controller and resolve any differences with that agency.
- Perform financial administration for a number of grant programs, the majority of which pass through to the trial courts. The grant funding sources are from other state agencies, the federal government, and nonprofit organizations. Currently, responsible for administering 11 federal grants for \$9,174,369 and 24 state grants totaling \$62,393,776.
- Process all contract documents and invoices for Fixed Asset acquisitions which are tracked, recorded, and reported in strict accordance with accounting and financial regulations.
- Reconcile fixed asset balances in all funds along with reconciliation of and coordination for all projects managed through the Court Facilities Architectural Revolving Fund.

- Invoice and collect facility related revenue, reimbursement for facility costs and other facility fees due to AOC through the Accounts Receivable system. Currently this section oversees 533 buildings.

Business Services

The function of the Business Services Unit is the acquisition of goods and services for the AOC (and, to a lesser extent the Supreme Court, First Appellate District Court of Appeal, and HCRC), through the use of purchase orders and contracts. The unit also provides procurement and telecommunication consultation to the trial and appellate courts, and contracts with or on behalf of the trial courts for funds administered by the AOC.

The role of the Business Services Unit is to ensure that AOC's acquisition of goods and services is conducted economically and expeditiously, under fair competition, and in accordance with sound procurement practice. Services provided by the Business Services Unit include:

- Consultation with clients to determine acquisition needs and strategies;
- Drafting and facilitation of solicitations through negotiation and award;
- Issuance of purchase orders; and
- Drafting of contracts and amendments.

Trial Court Trust and Treasury Services

The centralized treasury system offers a broad spectrum of banking services to enable the courts to maximize their return on investments by pooling invested funds on a statewide basis. Daily cash management and short-term investment strategies are included in the array of services offered by the statewide treasury function.

Treasury Services provides the following financial services for the trial courts:

- Support banking services for all trial court bank accounts and all credit/debit card acceptance merchant accounts established under the AOC's master banking agreement. Currently, Treasury Services manages 107 bank accounts for the 58 trial courts, and credit/debit card acceptance processing services for 30 trial courts.
- Uniform Civil Fee collection and distribution. Each month the trial courts deposit and report to Treasury Services Uniform Civil Fee (UCF) cash collections in the amount of \$45 million, on average. These UCF collections are reported and distributed by Treasury Services to the State and local agencies within 45 days after the month of their collection, in accordance with statute. Court deposits of UCF fees are made to 58 individual UCF sub-depository bank accounts

established for each trial court, which are concentrated daily to the single UCF master depository bank account.

- Review the daily operating cash position for the 58 trial courts to determine any additions to, or redemptions of, the Local Agency Investment Fund (LAIF) investment and to monitor each court's operating liquidity. Operating cash remaining after any LAIF investment activity, in addition to cash balances in trust and other agency fund bank accounts are invested in various money market funds and interest bearing bank deposits. The total government and agency funds invested, as of June 30, 2010, was \$580 million.

Internal Audit Services

Internal Audit Services (IAS) was established in 2001 to provide internal audit services to the judicial branch. IAS currently has as its primary focus, and the highest risk area of the branch, the superior courts. Its audits of the superior courts encompass reviews of financial, operational, compliance, and performance activities. These audits are of the 58 superior courts on a cycle of approximately every four years. IAS also conducts attestation work, consulting services or reviews, and special investigations.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

The top five accomplishments for the division include:

- Development of a fair and equitable process for distributing new funding to the trial courts provided through the State Appropriations Limit process (this funding process began in FY 2005-06, but was discontinued last year when all formula based funding adjustment processes for state entities) as well as utilization of Resource Allocation Study funding analysis to allocate funding to the most under-resourced courts.
- The Finance Division led the effort to implement an Information Technology Investment Management process in FY 2007-2008. Phase I of this effort included the development of cost estimates for major projects, surveying for other IT projects and estimating cost to completion for these projects, and establishing project budgets and estimated funding needs for future fiscal years. Phase II has included developing the process for ongoing cost reporting, and retrofitting the major projects to the new cost reporting standards. Staff now complete Executive Status Reports and submit them to the Project Review Board (PRB), which meets on a monthly basis. This enables the PRB—which includes the AOC Deputy Director, AOC Finance Director, and AOC ISD Director—to closely monitor the progress of the Statewide Administrative Infrastructure Initiatives and to respond to project issues.

- The division provided critical leadership and support of fiscal matters over the past few years to the Judicial Council and numerous advisory groups, including the Committee on Financial Accountability and Efficiency for the Judicial Branch, Enterprise-wide Infrastructure Governance Committee, Trial Court Budget Working Group, Working Group on Court Security, and the Collaborative Trial Court Employee Working Group, among others. In addition, staff dedicated countless hours to advocating and supporting advocacy efforts to mitigate the impact of the state fiscal crisis on the judicial branch budget.
- Development of facilities-specific services in accounting, audits, and business services to support the ongoing activities relating to courthouse construction and management.
- The consolidation of trial court bank accounts resulting in significant per annum savings to the branch as well as implementation of a system to support the centralized reporting and distribution of uniform civil fees.

More specific examples include:

Accounting Services

- Completed a project to determine the present value of each of the trial courts retirement health care liability as required by the Governmental Accounting Standards Board. The information is required biennially, and is included in the year-end State Comprehensive Annual Financial Report.
- Upgraded the ADP payroll system and launched Direct Deposit to better serve Assigned Judges and Court Appointed Council customers.
- Developed a process to upload large volumes of payable information from external documents into the Oracle Accounts Payable Module.
- Upgraded the Oracle Financial System, and added two new modules: Fixed Assets and Accounts Receivable. Both modules were added due to the tremendous increase in transactions in these two areas because of our new facility responsibilities.
- The General Ledger section continues to receive certificates of recognition each year from the State Controller's Office for their exemplary work on the year-end financial reports.

Trial Court Trust and Treasury Services

- Uniform Civil Fee Collection and Distribution – In July 2005, the Legislature mandated by Government Code section 68085.1(b) that the Administrative Office of the Courts is responsible for the reporting and remittance of Uniform Civil Fee (UCF) cash collections, effective January 1, 2006. Beginning in November 2005, an individual Uniform Civil Fee Depository bank account (UCF Depository) was

established by Treasury Services for each of the 58 trial courts for the deposit of Uniform Civil Fees. In addition, the Uniform Civil Fees System (UCFS) was developed by Treasury Services and the Budget Office to support the centralized reporting and distribution of UCF. The Information Services Division gathered the requirements for UCFS in November 2005 and began actual development of the system in December 2005. The initial system was implemented in early March 2006, in time for the first reporting deadline of March 15, 2006.

The UCFS is used by the Treasury Services to calculate the correct distribution of 163 UCF fee types collected by the superior courts. The fees are distributed to up to 22 different State and local funds or entities. The distributions vary, based on the court, the fee, and the entity receiving the monies. The system generates reports for the State Controller's Office and the various local entities that receive the distributed funds. Treasury Services distributes the cash monthly via electronic funds transfer from Bank of America to the various State and local entities.

- Bank Account Consolidation – Completed August 1, 2010, consolidated the structure of AOC-administered bank accounts, creating cost savings opportunities for courts, and simplifying the cash management process. The collective cost savings for all court bank accounts established under the Bank of America master agreement is estimated to be approximately \$500,000 per year. Implementation of this effort began on February 1, 2010 with four pilot courts: Contra Costa, Sacramento, Marin and Ventura.

The Bank Account Consolidation reduces fixed banking service fees by consolidating these AOC-administered bank accounts: Operations, Uniform Civil Fee (UCF) Depository, General Disbursement, and, in the case of courts using Phoenix Payroll services, the Phoenix payroll accounts. The fees on court trust accounts will also be reduced by moving the issuance of trust checks to the Master General Disbursement account, consolidating all fixed check reconciliation service fees within the Master General Disbursement Account.

- Master Merchant Card Agreement – During 2005 Treasury Services established the Master Merchant Card Agreement under the Bank of America (BoA) Master Banking agreement, to allow participating courts to accept credit and debit card payments either at their cashiering counters or via the web or phone. Under the master contract BoA's authorization and settlement service fees are less than any prior agreement courts may have had with BoA on an individual basis. For example, The Los Angeles court has migrated their traffic credit/debit card activity, formerly under a long-standing agreement negotiated with BoA by the court, to the BoA Master Merchant Services contract as of December 2009 to reduce their authorization and settlement fees by approximately \$100,000 per

annum. The agreement also includes Hewlett Packard (HP) as a partner which provides for credit/card acceptance via an HP hosted website or interactive voice recognition gateway for card-not-present transactions. The contract currently has 30 trial court participants with total annual credit/debit card acceptance estimated for calendar year 2010 of \$290 million, representing over 1.6 million transactions annually.

Trial Court Audits and Consultations

Internal Audit Services (IAS) is on an approximate four year cycle of audits of the superior courts. Prior to three years ago, IAS conducted “Pre-CARS (Phoenix) Readiness Reviews” of each of the superior courts to assist the courts in moving onto the Phoenix Financial System (fiscal year 2002 through 2008). Since being established, IAS has also been involved in numerous special consultative engagements, including the following:

- Placer Superior Court – Review of Executive Compensation and Other Related Matters (2009)
- Fresno Superior Court – Review of Sheriff Department Billings for Security Services (2009)
- San Mateo Superior Court – Audit Report on Budgeting Practices (2009)
- Marin Superior Court – Investigation Report: Destruction of Family Court Mediator Working Files (2010)
- Merced Superior Court – Limited Review of the New Downtown Courthouse Construction Costs and Other Related Matters (2010)
- Santa Clara: Consultative engagement re Juvenile Dependency Services Contract
- CCMS – Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) Monthly Status Reports (monthly since 2007)
- Sustain CMS Model Courts - Accounting Configuration Analysis and Repair Project (2005-2006)
- Local Courthouse Construction Funds – Accounting and Fund Revenue and Expenditure Review

Other Accomplishments/Achievements

- Trial Court Financial Policy and Procedures Manual established to provide courts comprehensive business guidance related to all aspects of operations. The 8th edition of the manual is in the process of being developed.
- Implemented enhancements to the budget allocation and forecast processes and revised the financial report structure for the appellate courts, HCRC, AOC and OCCM. The enhancements resulted in refinement of the methodology upon which allocations and forecasts are developed; an improved understanding of budget allocations; and more user friendly reports.

- In conjunction with the Office of the General Counsel and other AOC divisions worked to develop a legislative proposal to create uniform civil filing fees across the state.
- Developed the model that helped determine the uniform first paper filing fee for different jurisdictional levels that would maintain overall fee revenue neutrality.
- Developed and conducted training for courts on AB 145 (UCF) and SB 1407 fee/fine changes – The enactment of AB 145 and SB 1407 required courts to make changes to various fees, fines, and penalties, as well as changes to the distribution of those fees, fines, and penalties. Provided web-based training to courts on all the changes that are required of courts to comply with AB 145 and SB 1407.
- Negotiated buyout of counties' civil assessment and AB 233 fee revenue.

III. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

From a division-level perspective, these include:

- Opportunity to improve the level of confidence by our stakeholders in work that we do through continued self-evaluation, process refinement, development of greater expertise, and a better understanding of the political world that we work in.
- Prioritizing workload and staffing structure to best meet the goals and objectives of the branch.
- Further balancing and clarifying the role of providing services versus the role oversight, particularly vis-à-vis the trial courts.

More specific examples include:

Office of Budget Management

- Develop an approach and methodology for identifying and measuring the sufficiency of court funding.
- Maximize the use of available information technology resources (Oracle, Discoverer, ADI) to facilitate budget allocation and forecast development, review and analysis;
- Review current budget allocation and forecast development processes and procedures to identify opportunities for automation;
- Expand the level of fiscal review and analysis performed for the appellate courts, HCRC, AOC and OCCM;
- Enhance staff development, retention and succession planning.

Office of Accounting and Business Services

Business Services Unit anticipates an increase in current work load levels. For example, additional support will be needed for Office of Court and Construction Management projects and other programs, such as Dependency Representation Administration Funding and Training (DRAFT) Program. It is the intent of Business Services Unit to continue to develop additional contract and solicitation templates, as well as training or contracting tools for clientele in the future, pending availability of resources.

Trial Court Trust and Treasury Services

Implementation of the CCMS V4 system on a statewide basis will provide huge financial efficiencies by allowing the more complete automation of the accounting of all trial court bank deposits, making possible the reconciliation of the trial courts' cashiering activity to the Phoenix financial reporting system. The recent implementation of SAP's electronic bank statements as part of the bank account consolidation project can be leveraged to more fully automate the financial entry in Phoenix of all trial court bank deposits including bank deposits made to Trust and Distribution bank accounts used for the deposit of civil/criminal bail trust and criminal cash receipts respectively.

The CCMS V4 implementation will also provide the ability to obtain state-wide information on types of payments accepted by the trial courts, i.e. cash, checks, credit/debit card types, other forms of payment, which will be very valuable in negotiating bank services and merchant card contracts in the future.

Internal Audit Services

Internal Audit Services continues to maintain its four year cycle of 'comprehensive' superior court audits with an ultimate goal of a three year cycle. Legislative changes effective in fiscal year 2011-12 require the AOC to initiate a process with the State Controller's Office that will lead to an Executive Branch agency auditing all 58 trial courts on a regular four year cycle beginning in 2013. (Note: Trial courts will be required to reimburse the state agency conducting the audits. The AOC currently provides comprehensive audit services to the courts at no cost.)



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Finance Division
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07 ²	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ³	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 7,621,779	\$ 8,047,213	5.6%	\$ 8,302,207	3.2%	\$ 7,965,793	-4.1%	\$ 7,582,450	-4.8%	-0.5%
Benefits	\$ 2,572,020	2,749,845	6.9%	2,858,031	3.9%	2,797,421	-2.1%	2,796,248	0.0%	8.7%
Subtotal Personal Services	\$ 10,193,798	\$ 10,797,058	5.9%	\$ 11,160,237	3.4%	\$ 10,763,214	-3.6%	\$ 10,378,699	-3.6%	1.8%
Operating Expense & Equipment (OE&E)										
Rent	\$ 1,984,047	\$ 1,497,362	-24.5%	\$ 1,597,626	6.7%	\$ 1,535,836	-3.9%	\$ 1,478,225	-3.8%	-25.5%
OE&E (Excludes Rent)	1,516,878	5,575,437	267.6%	6,794,918	21.9%	3,669,138	-46.0%	8,560,275	133.3%	464.3%
Subtotal OE&E	\$ 3,500,925	\$ 7,072,798	102.0%	\$ 8,392,544	18.7%	\$ 5,204,974	-38.0%	\$ 10,038,500	92.9%	186.7%
Local Assistant (Support)	1,725	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Special Items of Expense	-	4,006	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
TOTAL SUPPORT EXPENDITURES	\$ 13,696,448	\$ 17,873,863	30.5%	\$ 19,552,782	9.4%	\$ 15,968,188	-18.3%	\$ 20,417,199	27.9%	49.1%
Local Assistance	928,543	1,772,613	90.9%	752,357	-57.6%	231,521	-69.2%	749,824	223.9%	-19.2%
TOTAL EXPENDITURES	\$ 14,624,991	\$ 19,646,476	34.3%	\$ 20,305,139	3.4%	\$ 16,199,709	-20.2%	\$ 21,167,023	30.7%	44.7%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ³	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 11,762,950	\$ 14,579,233	23.9%	\$ 16,033,109	10.0%	\$ 13,279,681	-17.2%	\$ 17,607,963	32.6%	49.7%
Trial Court Improvement Fund	292,031	829,218	183.9%	816,297	-1.6%	617,023	-24.4%	921,840	49.4%	215.7%
Trial Court Trust Fund	741,740	851,428	14.8%	857,972	0.8%	593,001	-30.9%	36,128	-93.9%	-95.1%
State Court Facilities Construction Fund	899,727	1,613,984	79.4%	1,845,404	14.3%	1,478,483	-19.9%	1,851,267	25.2%	105.8%
Subtotal General Fund & Special Funds	\$ 13,696,448	\$ 17,873,863	30.5%	\$ 19,552,782	9.4%	\$ 15,968,188	-18.3%	\$ 20,417,199	27.9%	49.1%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ⁽³⁾⁽⁴⁾	\$ 845,542	\$ 1,750,000	107.0%	\$ 750,000	-57.1%	\$ 219,846	-70.7%	\$ 719,954	227.5%	-14.9%
Modernization Fund ⁽³⁾	83,001	22,613	-72.8%	2,357	-89.6%	11,675	395.3%	29,870	155.8%	-64.0%
Subtotal Local Assistance	\$ 928,543	\$ 1,772,613	90.9%	\$ 752,357	-57.6%	\$ 231,521	-69.2%	\$ 749,824	223.9%	-19.2%
TOTAL EXPENDITURES - ALL FUNDS	\$ 14,624,991	\$ 19,646,476	34.3%	\$ 20,305,139	3.4%	\$ 16,199,709	-20.2%	\$ 21,167,023	30.7%	44.7%

⁽¹⁾Source: Oracle Financials as of June 30, including Period 13.

⁽²⁾In FY 2006-2007 the budget for the Court Accounting and Reporting System (CARS) project was transferred from the Finance Division budget to the Northern Central Region budget for the Phoenix Project.

⁽³⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽⁴⁾Excludes funding Trial Court Distribution from 50-50 Excess Split Revenue, Emergency Funding and Conservatorship and Guardianship Distribution to Trial Courts, and Reimbursements to Trial Courts for Public Access of Non-Judicial

Finance
Five-Year Local Assistance Fiscal Detail
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund</i> ^{1,2}										
Audit Contract	\$ 750,000	\$ 1,100,000	46.7%	\$ 750,000	-31.8%	\$ -	-100.0%	\$ 450,000	0.0%	-40.0%
CARS - Fiscal Assistance	\$ 502		-100.0%		0.0%		0.0%		0.0%	-100.0%
UCF Enhancement Cost	95,040		-100.0%		0.0%		0.0%		0.0%	-100.0%
Mercer Consulting Contract (OPEB Valuation Report)		650,000	0.0%		-100.0%	219,846	0.0%	269,954	22.8%	0.0%
Subtotal, Trial Court Improvement Fund	\$ 845,542	\$ 1,750,000	107.0%	\$ 750,000	-57.1%	\$ 219,846	-70.7%	\$ 719,954	227.5%	-14.9%
<i>Judicial Administration Efficiency and Modernization Fund</i> ¹										
Trial Court Financial Report Training	\$ 1,794	\$ 3,199	78.3%	\$ 2,357	-26.3%	\$ -	-100.0%	\$ -	0.0%	-100.0%
Trial Court Procurement Training	21,507	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Audit Contract	59,700	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
Commission on Civil Fees Meeting	-	1,456	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Budget Focused Training and Meetings	-	17,958	0.0%	-	-100.0%	11,675	0.0%	29,870	155.8%	0.0%
Subtotal, Modernization Fund	\$ 83,001	\$ 22,613	-72.8%	\$ 2,357	-89.6%	\$ 11,675	395.3%	\$ 29,870	155.8%	-64.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 928,543	\$ 1,772,613	90.9%	\$ 752,357	-57.6%	\$ 231,521	-69.2%	\$ 749,824	223.9%	-19.2%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes funding Trial Court Distribution from 50-50 Excess Split Revenue, Emergency Funding and Conservatorship and Guardianship Distribution to Trial Courts, and Reimbursements to Trial Courts for Public Access of Non-Judicial Records.

Human Resources Division

Ernesto Fuentes
Division Director

Overview of Administrative Office of the Courts Programs and Resources Human Resources Division

I. Organizational Structure of the Division and Services Provided

Human Resources Division

The Human Resources (HR) Division provides a full range of fundamental HR services to employees of the Supreme Court, Courts of Appeal, the Administrative Office of the Courts (AOC), the Habeas Corpus Resource Center (HCRC), and the Commission on Judicial Performance (CJP). The division provides payroll and benefits administration services to approximately 1,667 judicial officers throughout the state.

The division provides comprehensive statewide human resources infrastructure support to the trial courts.

The division's core function is a two-faceted service approach.

Facet one is to provide comprehensive infrastructure support programs for justices and employees of the Supreme Court, Courts of Appeal, HCRC, CJP and AOC. This includes pay and benefits, workers' compensation, integrated disability management, employee relations, pension and health benefits administration, policy development, HR information systems, classification and compensation, recruitment and workforce management.

Facet two is to provide high quality program service to the trial courts, including judicial officers, in specifically identified subject areas. This includes a statutorily required workers' compensation program.

The division's services to trial courts include a labor and employee relations program; labor and human resources training; judicial services; workforce management; and payroll programs. All participant courts use the services at their discretion.

The division's strategy is to maximize returns on human capital investments within the organization and minimize financial risk and liability to the branch. The division seeks to achieve this by aligning the supply of skilled and qualified staff and the capabilities of the current workforce with the branch's ongoing and future goals, objectives, and business plan. The division supports this function by developing, implementing, and administering policies and programs to supplement the employee work experience by having a sound human resources infrastructure in place.

Human Resources Mission

The HR mission is to provide timely, responsive, and professional HR services that reflect best practices to California judicial branch employees and judicial officers. The overarching goal is to develop and maintain the California judicial branch as an employer of choice.

Human Resources Vision

Our vision is to become an HR center of excellence in the services that we provide to the largest judicial branch system in the nation.

The division is comprised of the following units:

The Directors' Office – The unit develops, recommends and implements divisional goals and programs that support Judicial Council policies and priorities. The unit provides consultative services to the executive office. The unit oversees budget, communications, complex and analytical support on special projects, management reporting, and confidential divisional administrative services. The unit guides the strategic goals of the other divisional units.

Pay and Benefits Unit – The unit provides a full range of payroll and benefits services to the employees of the Supreme Court, Courts of Appeal, AOC, the HCRC, and CJP. Unit staff is responsible for managing, administering, and implementing pay and benefit programs that include pay and benefit related transactions, position management, management reporting and employee on-boarding and off-boarding. This unit handles requests from other state and local agencies and courts regarding salary garnishments, unemployment claims, and requests for employment verification. The unit facilitates benefits fairs, EAP training and webinars for all AOC employees.

Labor and Employee Relations Unit (LERU) – LERU provides the trial courts with labor negotiation services, advice in administering labor contracts and support with various labor issues. As requested by the courts, the unit sends staff to the courts to act as lead negotiators in collective bargaining (meet and confer) with labor unions. The unit continues to assist when the bargaining proceeds to mediation or implementation. It performs multiple services including labor negotiations; contract interpretation and administration; responding to union grievances; HR best practices; and responding to Public Employment Relations Board and Department of Fair Employment and Housing charges. The unit also provides the branch with a broad range of employee relations services related to employee performance management, discipline, accommodations, and complaint investigation and resolution. The LERU delivers HR's signature annual events: a Labor Relations Forum each fall and two Labor Relations Academies each spring. The sessions provide varying levels of discussion, education, and training that is based upon the needs and input of the trial courts. These activities are extremely well attended by the trial courts.

Workers' Compensation and Integrated Disability Management Unit (WCIDM) – The Workers' Compensation unit serves as the program administrator for the Judicial Branch Workers Compensation Program (JBWCP). In accord with rule 10.350 of the California Rules of Court, the administrator provides support to all program participants on all aspects of workers' compensation and Integrated Disabilities Management (IDM). The program consists of three constituent groups: (1) trial court employees, (2) trial court judges; and (3) the Judiciary (the employees and justices of the Supreme and Appellate Courts, AOC, the Judicial Administration Library, the HCRC, and CJP).

The JBWCP unit provides a full range of workers' compensation services to approximately 21,000 employees throughout the judicial branch. Only the employees of Los Angeles and Mono do not participate in the JBWCP. Unit staff provides liaison support to all members of the program and staff the JBWCP Oversight Committee. Staff maintains close communication with the Chair and the Co-Chair of the committee. The committee meets formally twice per year to discuss the achievements and to identify opportunities for improvement. The committee makes recommendations to the Trial Court Budget Working Group (TCBWG) and the Judicial Council for appropriate financial allocations and rebalancing of activities. The program is financially self-sufficient being supported by premiums distributed to each of the three constituent groups.

The Integrated Disability Management (IDM) unit oversees the design, development, and implementation of an IDM program that coordinates all disability issues for employees of the Supreme Court, Courts of Appeal, AOC, the HCRC, Judicial Administration Library, and the CJP. Unit staff assists employees with workers' compensation claims, non-industrial disability, and return-to-work matters. The unit is responsible for safety and injury/illness prevention programs. The unit ensures adherence with state and federal laws.

Infrastructure & Workforce Planning Unit (IWP) – The unit was established to develop the division's Strategic and Action Plans to support the Judicial Council's Strategic and Operational Plans. IWP partners with other HR units and AOC divisions to develop or refine programs that support the employee lifecycle. Projects include an employee on-boarding/off-boarding process, performance management, awards and recognition, employee engagement programs, knowledge management tools, and succession planning programs. The unit assists courts with the development or administration of such programs upon request. The unit manages all efforts for the annual staff meetings on behalf of the Administrative Director. The unit works with the other HR units to reengineer its processes to ensure efficiencies within the division's operations and infrastructure.

Human Resources Management Information Systems Unit (HRMIS) and the Human Resource and Education Management System (HREMS) – The unit supports Enterprise Resource Planning (ERP) systems for the AOC, Supreme Court, Appellate Courts, HCRC and CJP and manages a trial court payroll system for 25 courts and 4,371 employees.

The unit manages and updates a Human Resources and Education Management System (HREMS) to capture the full benefits of automation and data management for the judicial branch and to enhance HR and Education services to judicial branch employees and judicial officers. The unit provides system functionality for position management, employee records, recruitment, and training for the employees of the Supreme Court, Courts of Appeal, AOC, the HCRC, and the CJP. Automated workflow and Manager/Employee Self Service ensure current real-time access to information and online processing.

The unit also manages a trial court payroll system through a master agreement. The following types of services are supported by this program: payroll, general ledger, benefits, and a leave accounting system to 25 courts.

The unit manages two listservs on the branch's extranet, "Serranus: HRNetwork" and "ADPNetwork." A listserv is an e-mail-based discussion forum for sharing news, experiences, and best practices, as well as for asking questions or raising issues for discussion. HRNetwork serves as a knowledge and resource-sharing tool for court professionals in human resources roles or with responsibility for human resources functions. The listserv currently has 227 members and has representation from each of the 58 trial courts. It is the second most active listserv in the agency.

Judicial Services Unit (JSU) – The unit provides a full range of payroll and benefits services to Judicial Officers of the Supreme Court, Courts of Appeal, and trial courts.

The unit manages bench officer and position transactions to ensure correct payroll, position management, employee status, and reporting. Unit subject matter experts serve as the contact center for concerns and questions related to judicial officer compensation, benefits, financial planning, wellness, issues related to the quality of life, and retirement.

The unit manages a Judicial Officer's Assistance Program (JOAP) through a vendor contract with Managed Health Network. The JOAP is a no cost confidential service to judicial officers for assistance with life's challenges and opportunities.

The unit coordinates a judicial recognition program, formulating a resolution upon retirement, which highlight a judge's career and expresses appreciation for service, and sends out condolence letters to the families of deceased judicial officers. The unit provides staff and support to the Judicial Recruitment and Retention Working Group as necessary.

Regional Human Resources Support – The unit has a representative in each of the three regional offices. It provides guidance, consultation, training, research, and analysis to HR management and executive staff in the trial courts. Similar assistance is provided to the Appellate Courts in each district. Services are commonly provided in the areas of classification, compensation and benefits, employee relations, recruitment and selection, organizational development, performance management, policy development and training. The unit partners with the Labor and Employee Relations Unit to assist with negotiations and investigations as required.

Policy Development Unit – The unit develops comprehensive legally compliant personnel policies for the AOC and assists the Supreme Court and Appellate Courts in policy development and implementation. The most essential core function of the unit is to ensure judicial branch policies are in compliance with the law and follow best human resources practices. The unit maintains the AOC Personnel Policies and Procedures Manual which contains personnel policies applicable to all AOC employees. The unit provides expertise and guidance to the AOC Executive Team and management on development of internal guidelines and compliance with existing branch policies and procedures. The unit provides guidance for management and staff of the AOC on policy

interpretation. The unit also provides assistance on policy development and best practices to the Supreme, Appellate and Trial Courts, upon request.

Classification and Compensation – The unit conducts classification and compensation reviews for the judicial branch, recommends allocation of positions to appropriate classifications, and researches and recommends salary ranges to ensure that positions are properly compensated based on duties performed. The unit maintains and periodically updates the Uniform Model Classification Plan for the Trial Courts, and the salary listings and register of classification specifications for the remainder of the branch. Unit staff provides consultation, training, and advice to the trial courts on classification and compensation issues. The unit reviews and recommends action on requests for reclassifications or promotions and assists stakeholders in preparing job descriptions that comply with assigned classifications. The unit also advises staff and management on the application of classification and compensation related policies and provides training to AOC management and trial court staff.

Recruitment – While recruitment activities are largely inactive at this time, the division normally develops and implements recruitment strategies, assembles qualified candidate pools, and provides HR recruitment and selection consultation and guidance to the AOC, the Supreme Court, the Courts of Appeal, the HCRC, CJP, and Judicial Administration Library.

The division manages the AOC's Internship Program and temporary employee management system.

II. Division Accomplishments/Achievements since Fiscal Year 2005–2006

Labor and Employee Relations Services – The division successfully provided a full-range of HR support services for 45 trial courts including labor negotiations, investigations, personnel policy development, Memorandum of Understanding (MOU) reviews, addressing employee performance issues, and consulting on employee reasonable accommodations and protected leaves. The LERU provided expertise and guidance to AOC divisions, the appellate courts and the Supreme Court in the areas of investigations and employee performance.

Judicial Branch Workers' Compensation Program (JBWCP) –The division has reduced costs to the program by \$3.2 million dollars over the past five years resulting in a zero increase in premiums to the program continuants for fiscal year 2011–2012. The unit continuously reviewed the program's successes and needs and implemented strategic changes to ensure the cost effectiveness of the program for all members. As a result of this effort, the total liability of the program has been reduced by \$5 million and the current reserve for the program is at approximately \$40 million. Substantial improvements in financial stewardship and cost containment, administrative efficiency, and strategic program oversight have led to significant savings including but not limited to the following:

- In 2011-12, excess workers' compensation insurance renewal, achieved a premium savings of \$96,000 while increasing the policy limit from \$25 million to \$50 million;
- From 2006 to 2011, despite a 25% increase in exposure base (\$193,062,680 increase in payroll), delivered a 56% reduction in premium spending (five year savings of \$667,672);
- During data gathering for the 2010 actuarial study, research uncovered historical policy retentions for some of the member courts resulting with the long term workers' compensation liability being reduced by \$10 million and the amount allocated in 2010 among the JBWCP member courts being reduced by \$2.4 million;
- On entry into the JBWCP in July 2011, Yuba Court achieved an approximate savings of \$50,000 (Under the CSAC program, Yuba Court's allocation would have been \$105,960; Under the JBWCP, that allocation dropped to \$56,003 this year);
- AOC negotiated a change in medical billing methodology from "per bill" charges to "per line," achieving anticipated savings of at least \$36,000 annually; and
- As a result of last year's audit, negotiated a reimbursement from CorVel of approximately \$12,000 in nurse case management fees.

Judicial Services – The division secured Retiree Health Benefit Vesting for Judicial Branch Employees. CalPERS Office of Employer & Member Health Service agreed with JSU's interpretation of the Public Employees Medical and Hospital Care Act to ensure that AOC employees (AOC, Appellate Courts, etc.) have full vesting after 10 years of state service and that such "state service" can include other public agencies with CalPERS covered service, i.e., schools or city or county service. HR collaborated with OGC, OGA, CalPERS and JRS to ensure passage of AB 545, which allows CalPERS to process applications for the purchase of military service credit for JRS II members. The division has revised newly appointed or elected bench officer enrollment packets to be more comprehensive and user-friendly. The division introduced telephonic or onsite orientations for new bench officers, spouses/partners and/or court liaisons upon request.

Classification and Compensation Services – The division completed an entire program of 17 classification and compensation studies for the trial courts. The studies varied in size from single incumbent reclassification requests to full court-wide classification and compensation reviews and assisted the courts with determining appropriate Fair Labor Standards Act designations. Staff provided the Supreme Court, the Appellate Courts, the HCRC, and the AOC with a full range of classification and compensation services. The division led the efforts to expand the geographic pay regions from a structure that identified only nine cities as belonging to any pay region, to a structure that covers all of California. HR staff researched and analyzed data from multiple sources to develop a proposal. The division developed a proposal that followed the federal government's

locality pay areas in California and maintained the areas previously identified by the Judicial Council. The proposal was subsequently approved by the Chief Justice and adopted for the AOC on January 1, 2009. HR staff participated in the 2009 court executive officer compensation survey, collecting, confirming and compiling all the information reported by the trial courts. The survey results were made public in November 2009. In 2010, the staff worked in conjunction with the National Center for State Courts (NCSC) to conduct a national survey of judicial retirement systems. The NCSC distributed the questionnaire and unit staff compiled, confirmed and analyzed the retirement program information. The State Survey of Retirement Programs for Intermediate Appellate Court and General Jurisdiction Trial Court Judges has been posted on NCSC's website as the most comprehensive comparative judicial retirement information currently available.

HR Management Information Systems and the Human Resources & Education Management System

–The division upgraded the Human Resources and Education Management System to a fully web-enabled system. The system is designed to capture the full benefits of automation and data management for the branch and provides web-enabled current access to vital information and eliminates unnecessary HR workflow. The application maintains and manages the employee data of the Supreme Court, Courts of Appeal, the AOC, HCRC, and CJP. Self-Service was implemented for employees and managers to automate recruitment processes and personnel changes and track training enrollments and requirements. HR staff developed reports that are used across courts and business units to inform management decisions. The reports provided were used to support labor force analysis and the preparation of mandated reports, such as Federal Equal Employment Opportunity reports, federal grant reports, and census reports.

Most recently, the division completed the upgrade of the Human Resources and Education Management System to the most up-to-date product version. In collaboration with the IS and Education Divisions, HR upgraded the system to enhance the self-service capabilities for employees, applicants, and managers in the areas of employment data, recruitment, training and development, and to automate personnel actions requests (including workforce planning activities).

The division facilitated the implementation of a payroll system for 32 courts. The 3 most recent implementations occurred in 2008-2011, with Fresno Court signing on to the payroll system in 2011.

AOC Internship Program – The division developed the AOC Unpaid Internship Program and has placed 61 interns since 2008. The program has supported the resource needs of the AOC in a cost-effective manner and has mentored upcoming talent and promoted the Judicial Branch as an employer of choice across campuses. The program has educated the law school and non-law school interns on how they can contribute and utilize their skills in the Judicial Branch.

Applicant Tracking System (ATS) RFP – The division worked with the trial courts in the selection of a vendor to provide an applicant tracking system that automates the courts recruitment processes. Courts may voluntarily participate in a master agreement to utilize services.

Ergonomics Program – The division performed 111 ergonomic evaluations for Fresno Court, Monterey Court, San Mateo Court, El Dorado Court, and employees of the AOC, Supreme Court and Courts of Appeal. In addition, as a cost savings measure, to reduce the future cost of providing for the Occupational Safety and Health Administration (OSHA) mandated ergonomic work environment, the division discontinued contracting out for these services and provided for the training and OSHA certification of three HR employees to perform ergonomics services within the AOC.

AOC Green Team – The division was the catalyst in formulating an AOC Green Team. The team encourages environmentally responsible best practices and behaviors to conserve natural and fiscal resources throughout the agency, while supporting the judicial branch's strategic goals. The team is comprised of approximately 35 volunteer employees.

HR Summit and Institute – The division held a statewide HR Summit & Institute in partnership with the Education Division. The Summit served approximately 100 trial/appellate court administrators and HR professionals. Following careful consideration and consultation with trial court partners, the 2011 event was cancelled due to budgetary constraints. It is the hope of the HR staff and trial court partners that the funding will become available again in the future to conduct this quality training program and continuing education opportunity.

AOC Creative Connections – The division, in partnership with Executive Office Programs, spearheaded efforts to establish Creative Connections. Creative Connections is an outlet for staff to link creative opportunities to interested colleagues in order to meet AOC business unit needs. The division manages continued efforts on the program.

CourTools: Court Employee Satisfaction Survey – The division worked with two trial courts to administer an employee satisfaction survey using the National Center for State Courts CourTools survey instrument. Staff analyzed the results, provided an executive summary to court management which identified opportunities for growth or enhancement, and offered consultative services based on the survey results.

Job Description Tool – The division developed an online job description tool and is in the process of creating a performance management program that courts may use. The project will commence in September 2011.

Injury and Illness Prevention Program (IIPP) – The division established a safety committee to develop an Injury and Illness Prevention Program (IIPP). The AOC provides and maintains a safe and healthy work environment for its employees through a comprehensive safety and health program. The IIPP is intended to minimize or eliminate health and safety hazards in the AOC's operations in compliance with the California Code of Regulations, title 8, section 3203. HR, in collaboration with the Office of Court Construction and Management (OCCM), ensures that the program includes the following elements: code of safe work practices; guidelines on emergency communication and hazard assessment; investigation protocol for accidents or exposures; hazard correction; safety training; record keeping and compliance requirements. HR serves as the chair of the AOC working group.

Source HR Upgrade – The division upgraded Source HR (formerly the Trial Court Outlet) to provide a sophisticated search engine on Serranus to facilitate easy access to all court memoranda of understanding and personnel policies. The division partnered with the Information Systems, Office of Communications and Trial Court Administrative Services (TCAS) divisions to make advanced navigation changes to Source HR.

HR Reengineering Projects – The division reengineered 15+ processes to increase the division's efficiency. Processes include: the electronic distribution of the Position Status Report (PSR); AOC Employee Ergonomic Assessments; Judicial Retirement Resolutions; Judicial Pay Affidavit reconciliation; and HR invoice reconciliation.

Awards and Recognition Program – The division refined the non-monetary employee recognition program to increase utilization and align the nomination criteria with the organization's values. The division worked with a cross-divisional committee to develop the program.

HR Budget Services – The division introduced an automated purchasing process via Oracle IPurchase to support unit programs by providing fiscal analysis on statewide HR initiatives.

Annual Events – The division managed AOC-wide annual events, such as Bring Our Children to Work Day and All-Staff Meetings, to promote employee engagement and provide organization-wide information.

Supervisors' Group – The division, in partnership with Executive Office Programs, spearheaded efforts to form an AOC supervisors' group to create an environment where supervisors have an opportunity to exchange information and discuss common challenges while networking during quarterly meetings. The division oversees continued efforts for the group.

CEO Compensation Survey – In partnership with the Northern Central Regional Office (NCRO), the division initiated a survey to collect compensation data from all court executive officers. HR collected and compiled the data for judicial council review and comment. This data was presented on April 23, 2010.

Center for Families, Children & the Courts (CFCC) Succession Planning and Recruitment – The division formulated Succession Planning and Recruitment strategies for family law mediators and coordinators and conducted training for CFCC.

Continuity of Operations Plan (COOP) – The division completed a disaster recovery program in alignment with organizational best practices. The program is called COOP. The division provided training to staff to ensure preparedness in the event of an emergency or natural disaster.

Court Interpreters Labor Guidance – The division regularly provides guidance and support to the Court Interpreter Region Chairs and helps to resolve grievances and other labor-related issues.

Court Interpreter Recruitment Campaign – The division developed a recruitment campaign in conjunction with Executive Office Programs to attract prospective interpreters to the profession of court interpreting. HR staff realized significant cost-savings by identifying internal talent to pose for promotional materials.

High Level Recruitments – The division managed the recruitment process for executive and high level recruitments on behalf of multiple courts as requested.

HR Intranet – The division formulated enhanced Intranet pages to allow users to easily access critical HR data.

HR Strategic Plan – The division revised the existing strategic plan and implemented a new plan that directly aligns with judicial branch strategic and operational plan goals.

Personnel Policies and Procedures Working Group (PEPROW) – The division developed and implemented the new AOC Personnel Policies and Procedures Manual effective July 1, 2011, for all AOC employees at the direction of the Administrative Director of the Courts.

Performance Management – The division refined the AOC performance management system to enhance the employee and supervisor/manager experience and increase utilization. The division partnered with a cross-divisional committee on this program.

Training – The division facilitated multiple training programs for AOC and court management employees, including: Classification and Compensation for deputy clerks and judicial assistants; Labor Relations Academies and Forums; IDM; Family and Medical Leaves of Absence; Workers' Compensation and Return-to-Work; Reasonable Accommodations; IIPP; General Labor and Employment Issues; Sexual Harassment Prevention; Workplace Investigations; New Manager and Supervisor Orientation; “Skelly” Trainings; HR Summit and Institute; Social Networking and Employee Performance; Train-the-Trainer: Ergonomics; Court Professionalism; Safety in the Workplace; and Managing Human Resources (through the Institute of Court Management). The division partners with Executive Office Programs on an annual basis to deliver a presentation to JusticeCorps regarding job searching, resume building, and interview skills.

Recruitment – The division managed and facilitated the hiring process for the Supreme Court, Appellate Courts, HCRC, and AOC. In 2008, the AOC implemented a hiring freeze and required that recruitments go through an exemption process to ensure the criticality of the position. For those positions that are deemed critical, essential, and urgently needed to perform work that cannot be deferred or otherwise addressed, an exemption process exists that requires review by the Finance Director and approval by the Chief Deputy Director of the AOC. The below chart reflects the number of successful new hire or promotional recruitment campaigns that HR specifically managed per year, for the Supreme Court, the six Appellate Courts, HCRC, and AOC:

Year:	2005	2006	2007	2008	2009	2010
Positions Unit Filled:*	245	326	318	202	134	24

** includes promotions and/or new hires*

The division effectively managed the temporary agency and internship programs, placing over 100 agency temps and 61 interns.

III. Status of Current Projects and Initiatives

Labor Negotiations – The division continues to provide negotiation assistance to the trial courts despite staffing shortages. Presently, we are assisting 18 courts. During previous years, we have served up to 30 courts. To maintain this high quality, cost-effective service to the trial courts, the unit has assigned members of HR leadership with prior bargaining experience to serve as lead negotiators on behalf of the trial courts. Staff handling negotiations in 2009 and 2010 included the Assistant Director of the HR Division, a Senior Manager, a Senior Labor and Employee Relations Officer, and a retired annuitant. In order to support this initiative during the hiring freeze, HR has hired agency temporary employees with negotiating experience and placed talented employees in training and development roles as labor negotiators, providing them both classroom and on-the-job training opportunities. The division is utilizing the AOC Training and Development policy to develop skilled labor negotiators internally.

21st Century Project: Upgrade of the State Controller’s Office (SCO) Payroll System – The division is currently integrating the new SCO payroll system. This is being done in conjunction with the SCO’s deployment of their own new payroll system. It is known as the “21st Century Project”. The planned rollout for the judicial branch is October 2012.

Trial Court Payroll Systems – Currently, 25 courts with a total of 4,371 employees participate in an outsourced payroll system sponsored by the AOC. Fresno Court is the most recent court to join the program. With the suspension of the Phoenix system, many courts have expressed interest in this payroll provider. HR staff provides analyses, projections, and vendor contacts for the interested courts. The division is currently in the process of negotiating the extension of the contract without an associated price increase to the courts. HR staff is working with AOC Treasury Services to streamline the cash flow for the participating courts.

Judicial Branch Operational Planning – The division is partnering with Executive Office Programs and the Executive and Planning Committee to revise the Judicial Branch operational plan by December 2012.

Judicial Officer Assistance Program and Wellness – The division is examining national and local health and wellness benefits, including vicarious trauma support for judicial officers to refine the existing Judicial Officer Assistance Program. The division is sponsoring a program entitled Creating Work/Life Balance for Commissioners at the September Annual AB 1058 Conference in partnership with Managed Health Network.

Judicial Officer Outreach – The division represents at New Judicial Officer Orientation and other judicial functions as staffing and budget permits to provide onsite consultative pay, benefits, and retirement services.

Human Resources and Education Management System (HREMS) – The division is implementing new HREMS modules to automate the Performance Management Program, provide online reporting for all employees and increase employee/manager self-service usage for tracking training requirements in the courts. Additionally, information from various sources such as contingency worker data (agency temps, consultants, interns, etc), office phone numbers, cubicle assignments, employee photos, organizational charts, biographies and languages spoken will be consolidated in to the Human Resources and Education Management System to make it the “System of Record” for the AOC.

Off-boarding – The division is reengineering the AOC employee off-boarding process. The planned launch date for the new tools/process is October 2011.

Performance Management Program – The division is revising the AOC performance management program. The target program introduction date is December 2011. Once piloted, evaluated, and refined, the unit will develop a performance management program toolkit to share with the courts.

AOC Personnel Policies and Procedures Manual – The division is assisting the Second District Court of Appeal in updating their personnel policy manual. The court is using the AOC’s Personnel Policies and Procedures Manual as a model.

Judicial Branch Trial Court Workers’ Compensation Allocation –The division manages the Judicial Branch Workers’ Compensation Program. As state employers, California trial courts are exempt from the requirement to purchase commercial workers’ compensation insurance or secure a certificate of consent to self-insure from the Director of Industrial Relations. The courts are required to provide workers’ compensation coverage for court employees under a program established, selected and approved by the AOC. The Workers’ Compensation Oversight Committee continues to monitor the Judicial Branch Workers’ Compensation Program cost allocation model and review the program for best practice application to ensure the viability of the program.

Trial Court Ergonomics Program – The ergonomics program the division developed is being used as a model for the trial courts. HR is in the process of securing a vendor that will provide training and certification to staff in the courts to enable them to conduct basic ergonomic assessments internally as a cost saving measure.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

The Human Resources Division regularly reviews state and national trends, stakeholder expectations, and other forces that shape the human resources environment. National

trends and key stakeholders indicate that HR service providers must be strategic partners that are expected to contribute to long-term objectives and help drive results through the effective execution of fundamental HR support, workforce planning, employee engagement and alignment, and organizational development. California trends indicate that workforce planning in the public sector is an important HR initiative that needs development, since approximately 40% percent of the workforce will become eligible for retirement in the next five years.

HR strives to sustain a well-qualified, high-performing workforce by reengineering and modernizing systems that support the recruitment, development, and retention of a highly skilled and diverse employee base. AOC HR develops effective resources, tools, programs, and consultative services that support similar court efforts and ensure a branch-wide high-performing workforce with sustainable succession planning.

The HR division's current challenges include:

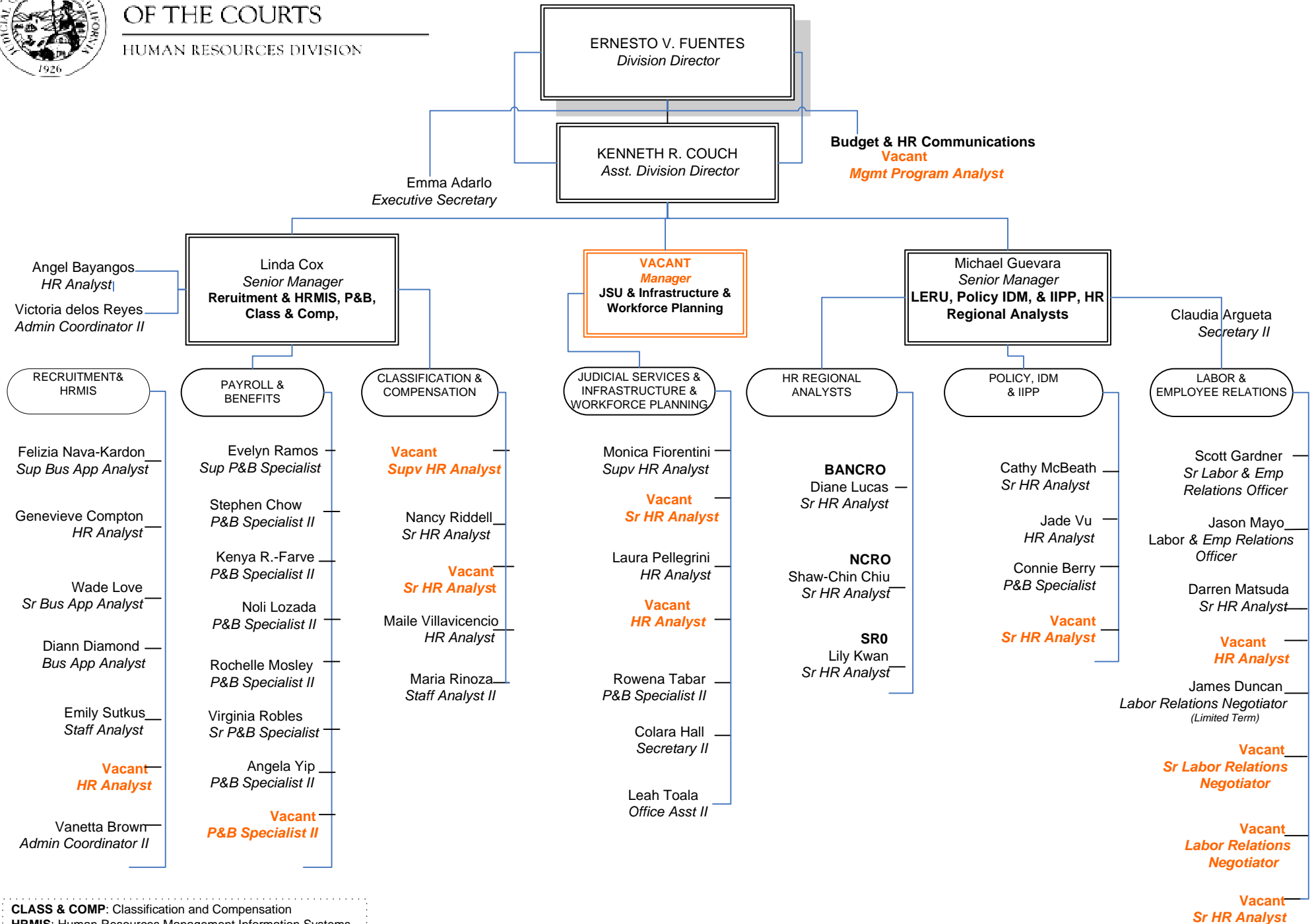
Budget Constraints: Reduced Staffing and Funding – The division strives to identify ways to advance HR initiatives such as employee engagement and career-pathing programs within current budgetary restraints and with a 23.53% vacancy rate. HR has been employing a Matrix Management Model for approximately three years to meet business needs. The Matrix Management Model is a management approach by which staff with complementary skills are pooled for work assignments. For example, HR staff are allocated to different projects across unit lines and report to the respective project manager, while continuing to perform their roles in their home units. Therefore, each employee may have to work under various supervisors/managers to perform their work. The model has allowed team members to share information more readily across task boundaries. While the Matrix Management Model has sustained our ability to complete high-priority efforts and critical transactions, this model has limits to its effectiveness. If resources continue to diminish we will need to determine which activities to curtail.

Employee Engagement and Morale – The division balances employee engagement and morale challenges with HR programs and services while meeting branch goals. High employee morale typically leads to increased employee productivity and retention. HR can mitigate the substantial risk of losing institutional knowledge in the next decade by implementing systems to attract and retain qualified applicants and developing leadership at all levels within the judicial branch.



ADMINISTRATIVE OFFICE OF THE COURTS

HUMAN RESOURCES DIVISION



CLASS & COMP: Classification and Compensation
HRMIS: Human Resources Management Information Systems
IIPP: Injury & Illness Prevention Program
IDM: Industrial Disability Management
JSU: Judicial Services Unit
LERU: Labor & Employee Relations Unit

Human Resources Division

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch

November 2011

Expenditure Summary ^{1,2}	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 4,086,948	\$ 4,028,610	-1.4%	\$ 3,773,220	-6.3%	\$ 3,640,972	-3.5%	\$ 3,433,952	-5.7%	-16.0%
Benefits	2,102,005	2,101,692	0.0%	2,131,784	1.4%	2,208,374	3.6%	2,171,031	-1.7%	3.3%
Subtotal Personal Services	\$ 6,188,953	\$ 6,130,302	-0.9%	\$ 5,905,004	-3.7%	\$ 5,849,345	-0.9%	\$ 5,604,983	-4.2%	-9.4%
Operating Expense & Equipment (OE&E)										
Rent	\$ 955,626	\$ 917,789	-4.0%	\$ 890,067	-3.0%	\$ 861,263	-3.2%	\$ 781,016	-9.3%	-18.3%
OE&E (Excludes Rent)	2,947,370	1,376,351	-53.3%	3,769,051	173.8%	3,685,378	-2.2%	4,192,502	13.8%	42.2%
Subtotal OE&E	\$ 3,902,996	\$ 2,294,140	-41.2%	\$ 4,659,118	103.1%	\$ 4,546,641	-2.4%	\$ 4,973,519	9.4%	27.4%
Special Items of Expense	-	\$ 21,800	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
TOTAL SUPPORT EXPENDITURES	\$ 10,091,949	\$ 8,446,242	-16.3%	\$ 10,564,122	25.1%	\$ 10,395,987	-1.6%	\$ 10,578,502	1.8%	4.8%
Local Assistance	436,350	1,095,017	150.9%	1,135,860	3.7%	378,108	-66.7%	233,691	-38.2%	-46.4%
TOTAL EXPENDITURES	\$ 10,528,299	\$ 9,541,259	-9.4%	\$ 11,699,982	22.6%	\$ 10,774,095	-7.9%	\$ 10,812,193	0.4%	2.7%

Fund Source ^{1,2}	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 9,504,425	\$ 7,698,689	-19.0%	\$ 9,698,668	26.0%	\$ 9,288,782	-4.2%	\$ 9,783,100	5.3%	2.9%
State Court Facilities Construction Fund	357,711	462,205	29.2%	545,786	18.1%	808,230	48.1%	512,371	-36.6%	43.2%
Judicial Branch Workers' Compensation Fund	229,812	285,348	24.2%	319,668	12.0%	298,975	-6.5%	283,031	-5.3%	23.2%
Subtotal General Fund & Special Funds	\$ 10,091,948	\$ 8,446,242	-16.3%	\$ 10,564,122	25.1%	\$ 10,395,987	-1.6%	\$ 10,578,502	1.8%	4.8%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ⁽³⁾⁽⁴⁾	\$ 436,350	\$ 1,095,017	150.9%	\$ 1,120,456	2.3%	\$ 354,252	-68.4%	\$ 230,000	-35.1%	-47.3%
Modernization Fund ⁽³⁾	-	-	0.0%	15,404	0.0%	23,856	54.9%	3,691	-84.5%	0.0%
Subtotal Local Assistance	\$ 436,350	\$ 1,095,017	150.9%	\$ 1,135,860	3.7%	\$ 378,108	-66.7%	\$ 233,691	-38.2%	-46.4%
TOTAL EXPENDITURES - ALL FUNDS	\$ 10,528,298	\$ 9,541,259	-9.4%	\$ 11,699,982	22.6%	\$ 10,774,095	-7.9%	\$ 10,812,193	0.4%	2.7%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The Human Resources budget includes amounts for the AOC transit subsidy as well as the agency temporary contract. These funds are housed in the HR budget, but are not HR only expenditures.

⁽³⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽⁴⁾Excludes funding for Workers' Compensation Program Reserve for Tail Claims.

Human Resources
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund^{1,2}</i>										
EAP for Bench Officers	\$ 62,083	\$ 51,950	-16.3%	\$ 73,456	41.4%	\$ 85,000	15.7%	\$ 100,000	17.6%	61.1%
Trial Court Healthcare Reserve Account	170,000	277,000	62.9%	397,000	43.3%	198,500	-50.0%	-	-100.0%	-100.0%
Trial Court Benefits Program - TPA	154,267	551,067	257.2%	500,000	-9.3%	-	-100.0%	-	0.0%	-100.0%
Trial Court Benefits Program - Legal Advice	50,000	115,000	130.0%	150,000	30.4%	70,752	-52.8%	80,000	13.1%	60.0%
ADP Master Contract	-	100,000	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Human Resources - Court Investigation	-	-	0.0%	-	0.0%	-	0.0%	50,000	0.0%	0.0%
<i>Subtotal, Trial Court Improvement Fund</i>	\$ 436,350	\$ 1,095,017	150.9%	\$ 1,120,456	2.3%	\$ 354,252	-68.4%	\$ 230,000	-35.1%	-47.3%
<i>Judicial Administration Efficiency and Modernization Fund¹</i>										
CA Judicial Branch HR Conference	\$ -	\$ -	0.0%	\$ 15,404	0.0%	\$ -	-100.0%	\$ -	0.0%	0.0%
Labor Relations Academy	\$ -	\$ -	0.0%	-	0.0%	23,856	0.0%	3,691	-84.5%	0.0%
<i>Subtotal, Modernization Fund</i>	\$ -	\$ -	0.0%	\$ 15,404	0.0%	\$ 23,856	54.9%	\$ 3,691	-84.5%	0.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 436,350	\$ 1,095,017	150.9%	\$ 1,135,860	3.7%	\$ 378,108	-66.7%	\$ 233,691	-38.2%	-46.4%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes funding for Workers' Compensation Program Reserve for Tail Claims.

³ TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Information Services Division

Mark Dusman
Division Director

Overview of Administrative Office of the Courts Programs and Resources Information Services Division

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function and services provided, for each major functional area of the division.

Information Services Division

AOC's Information Services Division (ISD) Charter is to provide selected computer-based applications services, supporting technology infrastructure and technical expertise to enable the Judicial Branch to fulfill its responsibilities effectively and efficiently. In fulfilling this charter, ISD's key goal is to provide full technology life cycle services, such as planning, design, development, procurement, implementation, deployment and ongoing customer service support for these applications and requisite infrastructure, while optimizing operational core services through standardization and efficiencies, protecting technology assets through timely cost-effective technological enhancements and solutions, and controlling costs and increasing productivity through improvement of work processes.

Information Services Division Organizational Structure

ISD includes the following major units:

- Case Management Systems
- Enterprise Resource Planning (ERP) and ISD Administration
- Data Integration (DI)/ CCMS Deployment
- Technical Infrastructure and User Support
- California Courts Technology Center (CCTC)/Shared Services

Case Management Systems Development and Support

The Case Management Systems unit was established in 2006, based on a consolidation of case management system services intended to address the needs of the appellate and trial courts. Prior to 2006, the primary focus for services was the appellate courts and the AOC. Expansion of the unit to include the trial courts changed the structure of the unit and the strategic direction, shifting it to more of an enterprise model, which would leverage technology across the entire branch. The core function of the unit is to support case management systems and all the ancillary support systems, including database administration, Web properties, reporting, and process methodology and application infrastructure.

This unit currently provides services in multiple areas of judicial administration including:

- Design, development, and deployment support for the Appellate Courts Case Management System (ACCMS).
- Design, development, deployment and support for the California Courts Protective Order Registry (CCPOR).
- V2 - Criminal and Traffic Case Management – Maintenance and support transition.
- V3 - Civil, Small Claims, Probate and Mental Health – maintenance and support transition.
- Interim Case Management Systems - Program management support. (ICMS)

- CCMS Development - Technical oversight of the CCMS development effort, future ongoing support.
- The Enterprise Methodology and Process (EMP) - Includes the Enterprise Architecture (EA) team and Community of Practice (COP), implements formal governance and process methodologies to maintain standard technology development, implementation and support processes.
- Enterprise Test Management Suite - Provides support in quality assurance methods and tools.
- Web Development and Database Administration - Provides technical implementation and support for branch web sites.
- Document Management System project supports the branch in establishment enterprise standards for document management solutions.

Enterprise Resource Planning

The Enterprise Resource Planning Unit (ERP) was established as a part of the ISD organization to develop and support business applications. The ERP unit supports systems for business areas, including: finance and accounting; procurement; human resources; payroll; training; and specialized judicial administration applications. These systems support the business for the AOC, appellate courts, and trial courts. This unit includes ISD administrative services, which coordinates budget, procurement, accounting, and position tracking for ISD.

Ten ERP production applications are supported by this team. Some applications have multiple specialized modules, providing technology to manage complex business processes. The unit follows the Software Development Life Cycle Services including planning, business analysis, design, development, test, train, implement, deploy, and ongoing support. Ongoing support includes system upgrades, enhancements, production break/fix and user support.

Applications supported by the ERP Unit include:

- Phoenix – Trial Court Financials and HR/Payroll (SAP)
- CAFM – Computer-Aided Facilities Management System (Tririga)
- Administrative Systems Development - systems include:
 - AOC Financials – Accounting and procurement (Oracle)
 - UCF – Uniform Civil Fee System (Cold Fusion, Oracle DB)
 - HREMS - AOC Human Resources and Education Management System (PeopleSoft)
 - AJTS – Assigned Judges Tracking System (Cold Fusion, Oracle DB)
 - SCAC – Supreme Court - Court Appointed Counsel (Cold Fusion, Oracle DB)
 - CAPS – Contact and Positions System (Cold Fusion, Oracle DB)
 - ACAC / DCAC – District Courts of Appeal – Court Appointed Counsel (Cold Fusion, Oracle DB)

Data Integration/CCMS Deployment

This unit provides management and oversight for (a) deployment of the California Case Management System (CCMS), a phased project to implement a single case management system for all case types in the California superior courts; and (b) for the Data Integration (DI) program which consists of three major areas—an integration center of excellence, tools and services, and data integration projects between courts and their state and local justice partners.

Prior to January 2010, ISD had separate, dedicated units for both DI and Justice Partner Outreach (which included e-filing initiatives). In order to leverage synergy between existing ISD subdivisions and to reduce costs, DI and JP Outreach were combined with CCMS Deployment into one unit. While each sub-unit's mission has remained essentially the same, an amalgamated unit allows for an increasingly holistic approach to deployment, which is essential for effective implementation of a centrally integrated middleware program for the branch and the evolution of deployment activities. Consolidating and combining the functions of these departments has the added benefit of increased collaboration, eliminating redundancy and duplicative efforts, discerning risks and gaps otherwise undiscovered when working under separate management, and reducing costs.

Major sub-units include:

- The CCMS Deployment and Delivery team builds project plans and executes these plans from inception to implementation.
- The Data Integration Program currently provides services that enable the efficient exchange of information between the courts and their integration partners.
- The Justice Partner Outreach unit supports the integration of electronic data sharing between the superior courts and their state and local justice partners.

Technical Infrastructure and User Support

This unit provides the underlying network, hosting and operational support for services and applications deployed by other programs within ISD, and for branchwide connectivity between the courts and the California Courts Technology Center (CCTC). The unit consists of four groups in two functional areas:

- The Technical, Desktop, and User Support Groups provides network, server, email, file and print services to the Judicial Council, Supreme Court, District Courts of Appeal, AOC, Regional Offices, and Office of Government Affairs. In addition, this group provides help desk and desktop support to the Judicial Council, AOC, Regional Offices, and Office of Government Affairs
- The Network Infrastructure and Security Architecture Services Group, which works with all 58 trial courts to refresh end of life networking equipment; provides consolidated maintenance for local and wide area network equipment; defines, maintains and updates network standards; maintains a branch-wide security monitoring program for the trial courts, and provides training for court network support staff.

California Courts Technology Center (CCTC)/Shared Services

The CCTC is an important cornerstone of enterprise technology for the California judicial branch. The CCTC supports the Judicial Council goal of branchwide standardization of hardware and software platforms, databases, business applications and support, and is consistent with the council's strategic plan. The centralized technology center model is also consistent with the business model that the branch has put in place as trial courts become a more integrated part of the state judiciary.

Today, the CCTC hosts some level of services for most of the 58 California superior courts, all the Courts of Appeal and the Supreme Court, with over 10,000 supported users. Major installations in the CCTC include the Appellate Court Case Management System (ACCMS),

California Court Protective Order Registry (CCPOR), SAP financial and human resources system, (called the Phoenix Program), Sustain Interim Case Management System (ICMS), Computer-Aided Facilities Management (CAFM) system, California Courts Case Management Systems (CCMS), California Law Enforcement Telecommunications System (CLETS), and the Integration Services Backbone (ISB).

The CCTC conducts disaster recovery exercises to ensure that branch information systems hosted in the CCTC can be restored in the event of a disaster. The seventh annual DR exercise was successfully completed in July 2011.

Shared Services organization's primary roles is to manage the outsourcing relationship to ensure the outsource contract objectives are being met. Key roles and responsibilities include:

- Manage the outsource contract, including service levels and invoices, which are reviewed monthly.
- Review the Shared Services and the outsourcing budget on a quarterly basis.
- Oversee day-to-day outsource provider's operations.
- Communicate project services issues and changes.
- Work with the user community, including the trial courts and Information Services Division, to ensure that project services match business needs.
- Communicate steady-state services status, issues, and changes.
- Work with application groups to ensure appropriate CCTC requirements are taken into account on a timely basis.
- Monitor data center audits and compliance.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006
Describe the Division's major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division's inception if created after FY 2005–06.

Case Management Systems Development and Support

For details about CCMS please refer to the CCMS Project Management Office report.

- Sustain Interim Case System was deployed to 15 courts. (2003-2010); 3 courts deployed (2005-1010).
- Appellate Court Case Management System installed in all the Courts of Appeal and the Supreme Court. (2009) Appellate Court Case Management System processed 10,325 filings and 98 dispositions by written opinion in the Supreme Court; and 25,017 filings and 10,329 dispositions by written opinion in the Courts of Appeal. (FY 2010–2011)
- V2 Criminal and Traffic system maintenance and support brought in house to AOC. (2009).
- V3 Civil, Small Claims, Probate and Mental Health system transition to in-house AOC maintenance and support began (2011).
- California Courts Protective Order Registry (CCPOR) deployed to 22 courts (2011). Three tribal courts installing CCPOR in August 2011.
- Web Services supports 14.4 million Web visits per year, with 87.5 million pages viewed per year (based on full year of statistics from August 24, 2010 to August 23, 2011).

Enterprise Resource Planning

For additional details about the Phoenix Program please refer to the Northern Central Regional Offices - TCAS report.

- Computer-Aided Facilities Management (CAFM) deployment and upgrade. (2008)
- As a cost saving measure, the Administrative Services unit implemented a division-wide 10% reduction for independent contractor contracts, resulting in approximately \$200,000 savings (2008).
- Developed and standardized an annual IS Division five-year budget process and tools (2008).
- Phoenix Financial system deployed in all 58 courts (2009).
- Phoenix Human Resources and Payroll (SAP) deployed in 7 trial courts (2010).
- Supreme Court-Court Appointed Counsel System deployed and supported. (2010)
- Major SAP upgrade for the Phoenix system in progress. (2011)
- Uniform Civil Fees System supports all trial courts in 58 counties and the AOC Treasury with an average of \$53 million processed monthly.
- Computer-Aided Facilities Management System supported facilities management for 533 buildings statewide, in 51 trial courts and 1,277 active users. In 2010, approximately 7,850 work orders were processed per month. (2010)

Data Integration/CCMS Deployment

- Deployed the integration services backbone software suite of tools in the California Courts Technology Center to enable data transfers and exchanges. (2008)
- As part of the CCMS project, 121 data exchanges were developed, servicing all case types, and posted to the partner Web site. (2010)
- Working with CCMS implementation team to manage completion of data exchange development in the Integration Services Backbone (ISB), and support planning and preparations for product acceptance testing by state justice partners. (2011)
- Web site go-live with tools and information to prepare for CCMS. (2010)
- Work under way to deploy a statewide Electronic Business Services (SEBS) E-Filing Traffic Citation Electronic Filing (eCitation) to four pilot courts. (2009-2011)

Technical Infrastructure and User Support

- 55 courts completed basic telecommunications upgrades and established 24/7 security network monitoring. (2006)
- A telecommunications equipment “refresh” program helped courts maintain up to date equipment through ongoing network equipment upgrades. (2006-2010)
- Launched development for a branch network information security policy framework. (2008-current)
- Enhanced a court managed network intrusion detection system program. (2009)
- Introduced a server virtualization infrastructure that allowed a significant consolidation of existing infrastructure. (2009)
- Completed installation of Wi-Fi in jury waiting rooms and judicial council conference facilities; 35 courts participated. (2009)
- Negotiated a multi-year branchwide network equipment and services program with Cisco and AT&T. A 35% savings in network equipment and services costs is expected. (2010)

- Four technical refreshes were completed since the initial telecommunications project was offered in 2002.
- For the fifth technical refresh cycle, network evaluation and design is complete for 53 participating courts. (2011) Deployment began in May 2011 for 18 courts. Mariposa Superior Court will kick off participation in the LAN/WAN project in August. Mono and Orange are upgrading their network security devices under the program and are currently underway.
- Provided support, maintenance and enhancements to over 80 applications, including both commercial off the shelf software, and internally developed applications that perform a wide array of functions ranging from accounting, case management, to office productivity and resource management. (2011)
- Managed, operated, and supported over 5,000 individual hardware components, consisting of network, server, desktop, printing devices and monitoring equipment with a hardware value of approximately \$20 million. (2011)

California Courts Technology Center (CCTC)/Shared Services

- AOC and courts transition to the new CCTC/shared services vendor, Science Application International Corporation (SAIC). (2008)
- The AOC and SAIC completed a network diversity project to improve the network model for 39 courts. (2010)
- Completed the seventh annual disaster recovery exercise. (2011)
- A data center refresh is under way to replace servers to maximize asset utilization and achieve cost savings. (2010-2011)

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

Case Management Systems Development and Support

Appellate Court Case Management System (ACCMS)

ACCMS is the primary business system for the Supreme Court and the District Courts of Appeal (a total of 10 different court locations) to track and manage case processing. The ACCMS team provides primary production support for this centralized application and develops court-requested enhancements and defect fixes which are deployed through quarterly releases and critical patches. The team supports day-to-day court operations by assisting the appellate courts with modification of configurable automation rules for court business processes; maintenance of shared reference information; and development of customized data reports. All Courts of Appeal and the Supreme Court have deployed this system. The ACCMS team implements enhancements, based on a quarterly release schedule.

Web Development and Database Administration

The primary function of this group is technical implementation of the branch's web sites. The group designs and develops database-driven web-based applications for the branch public site (www.courts.ca.gov); the Branch's extranet, Serranus (Serranus.courtinfo.ca.gov); and the

AOC's intranet. Additionally, the group implemented, tunes, troubleshoots, and maintains the web content management system used in the recent public site redesign. For much of Serranus and parts of the intranet, content is published on these sites by the Web Development group, since only the public site is currently being managed by the web content management system. The Web Development team completed the Web redesign for the public site; work is underway for the extranet and Serranus.

CCMS Development

The CCMS Development team is responsible for technical oversight of the CCMS development effort. Under the direction of the CCMS Program Management Office (PMO), the development team engages in all aspects of the development process, serving as a point of contact for the CCMS technical design and infrastructure. The CCMS development effort began in 2007 and is currently in the last phase of development, product acceptance testing.

Interim Case Management System

The ICMS group provides program management support to 15 courts using the Sustain Justice Edition (SJE) case management system as an interim solution while awaiting CCMS deployment. Ten courts are hosted in the California Courts Technology Center (CCTC), while five are hosted locally. The Sierra court processes their traffic citations using the Plumas Court's SJE installation.

ICMS resources provide technical expertise for the CCTC-hosted courts. This support includes maintenance and operational activities such as implementation of legislative updates, application upgrades, production support, disaster recovery services, CCTC infrastructure upgrades and patch management. This technical support includes interfaces with the DMV, DOJ, JBSIS, FTB COD collections, IVR – IWR processing, Issuance of Warrants, Traffic Collections, FTA-FTP collections and Web Portal interfaces. Locally hosted SJE courts utilize the ICMS program resources, as needed, for legislative updates and SJE support. ICMS resources also perform high-level assessments for those courts requesting assistance from the AOC and who have a failing legacy case management system, while awaiting deployment of CCMS. Examples of courts that have recently reached out to the AOC include Sonoma County, Nevada County and Kings County.

V2 - Criminal and Traffic Maintenance and Support

The V2 team is responsible for production support and full-lifecycle development for all required changes to the V2 Criminal and Traffic Interim Case Management System used by the Superior Court of Fresno County. Production Support includes research into incidents reported by Fresno; fulfillment of service requests, such as configuration solutions and updates to SQL queries; and data fixes. Development projects include legislative updates, defect remediation, software stack upgrades to maintain vendor support, and testing of infrastructure changes required by the CCTC data center.

V3 Civil, Small Claims, Probate and Mental Health

The V3 team is responsible for production support and architecture and development for all required changes to the V3 Civil and Small Claims, Probate and Mental Health Case Management System. The V3 product, developed by a systems integrator, is currently deployed

in six counties, including: Los Angeles, Orange, Sacramento, San Diego, San Joaquin, and Ventura. These installations represent approximately 25 percent of the state's court civil caseload. Three installations (Los Angeles, Orange, and San Diego) host their own instances of both the application and the database. The rest of the counties use a shared system hosted at the CCTC. Transition of the maintenance and support to an in-house AOC team will be complete in September.

California Courts Protective Order Registry (CCPOR)

The California Courts Protective Order Registry is a new program deployed to 21 counties in 2010 and one county in 2011; also deployment is in progress in three Tribal Courts as a pilot. CCPOR improves public and officer safety by providing access to data and scanned images of restraining and protective orders across courts locations and counties. The CCPOR team provides primary production support for this centralized application and develops court-requested enhancements and defect fixes which are typically deployed monthly, as well as system changes required by legislative changes and corresponding modifications to the Department of Justice's California Restraining and Protective Order System (CARPOS). The application won a "Best in California" award as a Best Application Serving an Agency's Business Needs from the Center for Digital Government, a national research and advisory institute for information technology policies and best practices in state and local government. CCPOR also received a NASCIO 2011 Recognition Award finalist in the Data, Information, and Knowledge Management category.

Enterprise Testing

The Enterprise Test Management Suite team is responsible for providing subject matter expertise in the areas of quality assurance and in the use of the selected quality assurance tools which comprise the Enterprise Test Management Suite (IBM Rational). Additionally, the group configures, maintains, and deploys the ETMS Software to application groups within the Administrative Office of the Courts. The suite of software tools includes defect and enhancement tracking, requirements, test management, automated functional testing, automated performance testing and software version control. Groups across Information Services Division use the ETMS tool suite.

Enterprise Resource Planning

Phoenix

For additional details about the Phoenix Program please refer to the Northern Central Regional Offices - TCAS report.

ISD provides system enhancements and ongoing productions support for the Phoenix program with over 5,500 users statewide. This program is a statewide technology initiative that provides transition assistance to the courts moving from county stewardship to the judicial branch's financial and human resources systems as a result of the Lockyer-Isenberg Trial Court Funding Act of 1997 (Assembly Bill 233). The first court went live on the new system in 2002. Currently, all 58 trial courts are on the financial and accounting modules, based on the SAP application. In addition, there are seven trial courts on the HR/Payroll modules of Phoenix.

ERP Applications Services - Administrative Services Development

The key goal of ERP Applications Services is to provide applications life cycle services, to meet Judicial Council, AOC, Supreme Court, Courts of Appeal, HCRC and Superior Court business requirements efficiently while optimizing costs and protecting technology assets. Primary areas of support are business operations and administrative systems, such as finance and human resources, for the AOC, Appellate Courts, HCRC and Superior Courts. It is critical for teams to collaborate closely with business partners to understand changing business requirements and adjust applications to meet the new needs of the business. There 10 ERP production applications supported by this team.

Computer-Aided Facilities Management (CAFM) System

CAFM is a Web-based software application that manages 20 million square feet and 533 transferred court facilities. CAFM assists with management of the full facilities life cycle, from needs analysis through acquisition, project development, construction, occupancy, operation and maintenance. CAFM is utilized by AOC staff, court personnel, and third-party service providers with access to real-time data on court facility information such as project management, maintenance and repairs, lease administration, and portfolio administration. CAFM has over 1,300 active users, including users in 51 trial courts. More than 202,000 service work orders have been entered to date. The CAFM application is preparing for a system upgrade to be completed in fall 2011 to deploy functionality to support three new third-party facilities maintenance service providers, including new costs models.

Administrative Services

This unit is responsible for coordinating, training and administering the annual five-year budget development process. The unit also reviews, monitors and tracks all procurement and invoices for the entire ISD organization. Additional responsibility is administering and preparing all personnel related paperwork for the division, including monthly vacancy reporting, Personnel Action Requests (PARs), exemptions, temp help requests and extensions, and organizational charts.

Data Integration Program/CCMS Deployment

CCMS Deployment and Delivery

The CCMS Deployment and Delivery team builds project plans and executes these plans from inception to implementation. Deployment and delivery successfully launch systems, services and applications to the courts by coordinating various teams' activities to ensuring all deliverables are met. Deployment is also responsible for change management entry and approvals for all deployment related activities as well as AOC and court management reporting related to deployment and delivery. Delivery is accountable to court leadership for ensuring that the provided infrastructure and applications needed for court operations is performing at the minimum Service Level Agreement (SLA) standards. This necessary role ensures that all stakeholders (courts, partners, vendors, and the AOC) perform all aspects of deployment according to approved project plans to successfully deliver the technology to the court for use.

Data Integration

The Data Integration Program currently provides services that enable the efficient exchange of information between the courts and their integration partners. Funding for the Data Integration Program enables the technical infrastructure and support necessary to facilitate this integration.

The technical infrastructure includes hardware and software hosted at the California Courts CCTC which comprises the Integration Services Backbone (ISB). The ISB is a leveraged, enterprise-class platform for exchanging information within the Judicial Branch, and between the Judicial Branch and its integration partners. The ISB facilitates important production interfaces for V3, Sustain, the interim case management system, the Phoenix Financial and Human Resources Program, the California Courts Protective Order Registry (CCPOR), and the Judicial Branch Statistical Information System (JBSIS). The ISB is also the foundation for the 121 data exchanges built for CCMS, which will enable interfaces between CCMS and all future integration partners. The ISB will host an early deployment of the CCMS data exchange for citation initiation, which is a critical component of the eCitation project. This data exchange will go live with the CHP and three courts later this year, enabling a significant business process improvement for citation case initiation.

Justice Partner Outreach

The Justice Partner Outreach unit supports the integration of electronic data sharing between the superior courts and their state and local justice partners. Frequent communication with justice partners is the central method applied by the unit to ensure business needs are successfully and accurately addressed during deployment of CCMS). The JP Outreach unit ensures that partners are benefitted with: standardized exchanges with the courts, a reliable, efficient submission and access to information with the courts, a way to manage technological incompatibilities, direct querying capabilities via the Web Portal and improved information quality and increased efficiencies.

Technical Infrastructure and User Support

This unit was established to provide and support hardware, operating systems, and application software for the Supreme Court, the six District Courts of Appeal, and the Administrative Office of the Courts and the Judicial Council. In addition, the unit was chartered to support statewide videoconferencing services and network services for the California Supreme Court, First District Court of Appeal, Office of Government Affairs and the AOC. The unit consists of two sub-units:

User, Technical and Desktop Support

This unit provides day to day technology support to the AOC. Information Services provides systems support and coordinates training for systems administrators in the appellate courts. They provide support to the AOC in the networking installation, maintenance, and application of technology. This support includes managing the AOC computer complex, providing technical support to the systems administrators at each appellate court site, installing and providing training in the use of all new and upgraded standard software products, and providing day-to-day systems network support to the AOC.

Network Infrastructure and Security Architecture Support

LAN/WAN Program

The LAN/WAN program was developed by the AOC for the trial courts beginning in 2002, in response to court needs for a secure telecommunications network as they logically began to separate from county support; and to provide a foundation for new technology systems. The network is compliant with regulatory requirements for data protection, confidentiality, integrity, and availability, helps improve the user experience for all courts and the public and the network infrastructure is ready to support new technologies and enterprise system applications. To date, 55 superior courts have completed LAN/WAN upgrades; three courts elected not to participate. An ongoing equipment “refresh” program helps courts maintain up to date equipment. A branch information security policy framework is in development. A managed intrusion detection system program for the courts has been enhanced. A new multi-year network equipment and services strategy is expected to result in a 35% savings in network equipment and service costs to the branch.

California Courts Technology Center (CCTC)

The California Courts Technology Center (CCTC), established in 2003, is a centralized data center for the Judicial Branch hosting new, mission-critical court computer systems. CCTC is a high-performance, energy efficient, Tier 3 facility that is secure, environmentally efficient, and provides enhanced backup and disaster recovery capabilities. Today the CCTC hosts some level of services for most of the 58 California superior courts, all the Courts of Appeal and the Supreme Court, with over 10,000 supported users. CCTC supports data exchanges, Microsoft Exchange email, infrastructure and security, and major applications such as the centralized court case management systems, the Computer-Aided Facilities Management, the Phoenix Financial and Human Resources program, the California Court Protective Order Registry. CCTC completed its seventh annual disaster recovery exercise in July 2011, successfully demonstrating that infrastructure, network services, and applications can be safely and securely backed-up, redirected, and restored at a secondary CCTC.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

- Our greatest single challenge is availability of resources. Given sufficient resources, there are opportunities to implement technology for the courts to reduce resource requirements and create cost efficiencies.
- Staffing and funding are major issues for ISD. The job market for technical staff is cyclical. The AOC is competing with large corporate entities for skilled staff. It is challenging to recruit and retain staff, and opportunities to promote staff are limited in this economy where the technology sector recovery has occurred much more rapidly than the general economy.
- Another significant challenge is the question of local court vs. state control of key information technology initiatives. For any number of technology initiatives, efforts can become caught up in a philosophical debate between local courts versus state interests.

- The result of this dynamic is that not only is the Judicial Council responsible for oversight of these projects, but the AOC now has special reporting responsibility to the California Technology Agency, the Bureau of State Audits, Judicial Council committees, and to the legislature on large AOC and court technology projects. This implies that the AOC has access to local court information related to these projects, which is not currently the case.
- Fiscal uncertainty and resource constraints (limited funding and hiring freeze) will result in broad-reaching obstacles for Information Services.
- Examples include specific programs and processes:
 - Legislative updates and changes in local court policies and procedures will continue. Our ability to respond, given decreased resources, will be a challenge. The level of effort for our projects is generally based on the work required and available resources. With planned reductions in the budget for contractors, updates and enhancements will be slowed.
 - Aging technology platforms can be costly to replace. Aging technology systems carry risks of breaking down or becoming incompatible with changing software and hardware. Support for aging systems can become a problem when staff is no longer available due to changes in employment. For example, our ICMS team, which supports the Sustain product, has worked with multiple courts existing on legacy software and at risk for failure. Aging systems often prohibit the use of the new, more efficient processes, dependant on more current technology.
 - Delays lead to a circumvention of best practices for defining strategy and project planning to meet immediate demands of trial courts.
 - Technology is constantly changing, requiring upgrades, patches and application changes to keep current; provide efficiencies; functional enhancements; and cost savings. Limited funding has ended staff training and participation in specialized technology training, impacting the ability to rely upon in-house staff for upgrades and enhancements.
 - Shortages of project resources and court expertise will be impacted as a result of court project delays.
 - Loss of leverage with vendor partners may result in an inability to enter into and execute contracts.
 - The ability to start new projects and sustain existing projects will be a challenge in the next five years if the current trends in budgetary constraints continue. If funding is not available for research into new more cost effective solutions, opportunities for savings may be lost.
 - Justice Partners are confronting similar challenges. The ability to be aligned with business partners from a technology perspective is a true advantage. If justice partners are unable to meet the demands of new technology it becomes a challenge to integrate with them and exchange information in the most efficient and effective way.
 - ISD's primary goal is to support business entities in the Judicial Branch in meeting their goals. The key to successful technology projects is relationships. It is essential to maintain these relationships, to keep current on changing business requirements and to adapt the technology.
 - There are many new committees that each have different requirements to communicate on projects and programs. Information technology has new reporting requirements to the California Technology Agency; Bureau of State Audits, the Legislature and various

Judicial Branch committees. It is difficult to comply with all these requests with competing deadlines and variable reporting formats.

Examples of specific programs that are impacted by fiscal uncertainty and budget shortfalls:

- The CCPOR program has suspended deployments due to fund reductions. Other courts have expressed interest in the protective order registry program but due to limited budget, further work is cost prohibitive. The team is operating in a maintenance and support mode only.
- Appellate Court e-Filing will be delayed as the budget for further development has been reduced. Further development at this time cannot be supported.
- Web development support will be slowed as software licenses are suspended. The team will seek other more cost neutral solutions but there will be a time-delay as they transition to a new software platform.
- Division-wide, database analysis will be slowed due to the elimination of licensing of a common analysis tool. The need to learn new tools that are more cost neutral will require more time and result in corresponding delays in throughput for deliverables.
- Delays in delivery of a replacement system for the Themis system due to funding shortfalls will result in an increased risk of a significant business interruption of operating the system in an unsupported technical environment. This application contains critical contact data for Judicial Branch judges, committees, and court executives. It is also the source of information for the Assigned Judges program to identify and pay retired judges to support case loads in the courts.
- Full delivery of the District Court of Appeals – Court Appointed Counsel System DCACS system will be delayed due to a funding shortfall. This application is to replace ACACS that is at risk of a significant business interruption due to operating the system in an aging technical environment.
- Loss of contractor support resources for the Supreme Court – Court Appointed Counsel System will lead to a limited ability to provide significant enhancements to the SCACS system for legislative or business process changes.
- The Phoenix unit is currently understaffed and reliant on supplementary consulting services to perform many day to day operational functions. The complex environment requires coordination with staff in 58 Superior Courts; CCTC; external vendors (e.g. SAP); third party service providers (for example: Bank of America, Healthnet, ING, and county retirement programs); other applications, such as UCFS, Integration Services Backbone (ISB); and infrastructure support (network, security, authentication tools). Phoenix enhancements requests include legislative updates, a learning solution, e-recruitment functionality, and enhanced reporting.
- Inability to provide sufficient technology support to the Office of Court Construction and Management.
- The HREMS (PeopleSoft) application will be at risk as a result of insufficient funding for software vendor maintenance support.
- ISD Administrative Services will be impacted by shortfalls as workload increases and volume (processing 100 contracts/amendments and 3,000 invoices/year) is distributed to fewer staff and therefore takes longer to process.
- Loss of leverage with vendor partners and an inability to enter into and execute contracts, especially branchwide contracts.

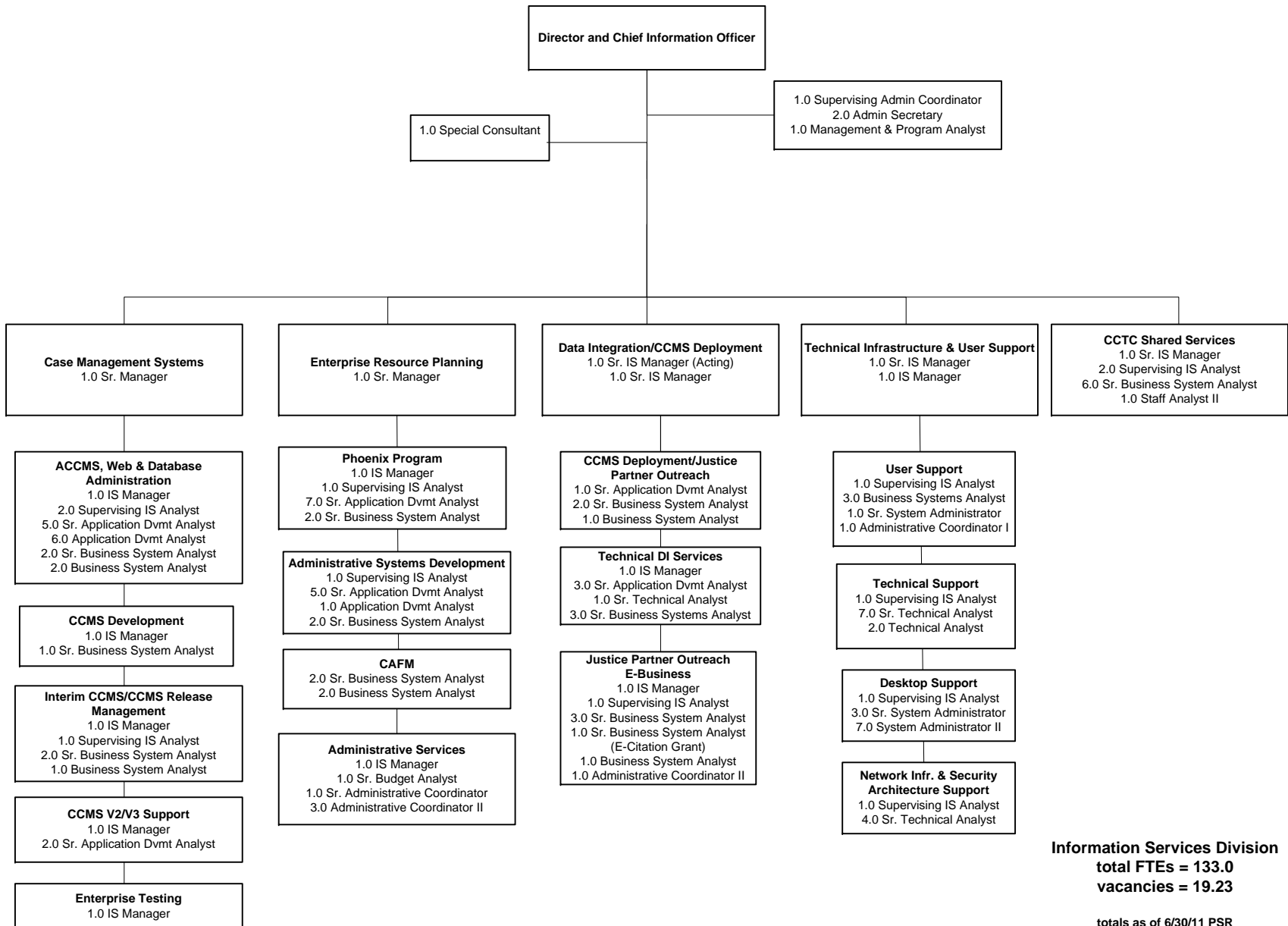
- The ACCMS team has been without a key developer for an extended period of time. A contractor was brought on to support the team but recent budget reductions will eliminate this support. The result will be a reduction in services to the appellate courts.
- Statewide technology assets (hardware and software) are at risk of failure if funding is not provided for timely replacement and upgrade.
- The Telecommunication LAN/WAN funding reduction of 50% already has caused the deferral of this year's hardware refresh, which would result in increased costs in future refresh years. Not completing the refresh cycle by FY 2015-16 would delay the refresh of 500 network devices as they reach end-of-life support cycles. These network devices are the backbone of the branch providing connectivity to every court user, court systems such as case management, e-mail, finance, external justice partners, and the public.
- The trial courts are building new courthouses with smart building technologies, deploying voice over IP and video over IP, and integrating new technologies. Our unit must keep up, if not move ahead of the demand for highly efficient and cost-saving technologies. The program's network standards and technology refresh will become an even more important foundation for all future court operations and efficiencies. The demand for our unit support is at an all-time high. Any long-term reduction will seriously impact the future technological efficiency of the entire branch.

Opportunities

- Consolidation of technology, e.g. fewer physical computers through the use of virtualization; fewer tools and applications through the elimination of competing standards or exceptions to standards; IP convergence to allow better leverage our investment in our Ethernet network to support other systems such security and building automation control systems (vs. historical practice of maintaining separate, independent networks for each system).
- As economic constraints continue to present a challenge for the branch, Information Services will continue to strive to meet the needs of our constituents. A number of factors will determine the success of the branch technology program:
 - Adapting the best of public and private sector business practices will lead to a modern judicial branch business model.
 - In IT vendor relationships there are ongoing opportunities to consolidate buying power to achieve services at competitive prices for the branch.
 - Limited resources will challenge the judicial branch IT program over the next five years. Some programs are being curtailed or cut could have provided potential cost savings.
 - Staffing models that balance permanent staff with IT consultants "on demand" to create the right mix of skills at the right time required for a lower cost and with more efficiency.
 - Eliminate inefficiency by standardizing on uniform branchwide systems, processes, procedures and business practices in the courts allow for a standard technology approach, method and solution to be implemented.
- ISD has adopted an organization development initiative, with four key efforts: a program management community of practice, an enterprise architecture team and applications services management program, and a solutions development life cycle, Information Services can expect results in these areas:
 - New common processes across ISD, including financial management, project management, development, testing, governance and application support.

- A renewed focus on the court business, with enhanced quality and value in ISD performance.
- Decreased dependency on third party vendors to streamline costs, increase internal expertise, and limit vendor usage to key areas of expertise.
- Development of new five- to ten-year technology road maps for the branch will define future technology initiatives to provide efficiencies, cost savings, and to protect the current investments.
- We anticipate that over the next few years, as CCMS comes to fruition, the branch will achieve major business benefits through a variety of e-services. The organization will move from the past, with manual, decentralized disparate services, to a future where technology serves the courts and constituents directly and consistently. This is the promise of government 2.0, the promise that technology holds for making government more efficient, transparent, and responsive to its citizens.
- Despite resource limitations, staff is providing exemplary services -- consistently, working beyond normal business hours to support the applications and infrastructure initiatives. Without additional funding, the ISD cannot conduct strategic planning to keep up with constantly changing technology.

INFORMATION SERVICES DIVISION



Information Services Division
total FTEs = 133.0
vacancies = 19.23

totals as of 6/30/11 PSR

Note: Following the 2010/11 budget reductions, most vacant positions will no longer be funded.

Information Services Division
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11 ²	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 9,487,966	\$ 10,882,485	14.7%	\$ 11,602,383	6.6%	\$ 12,287,764	5.9%	\$ 11,733,935	-4.5%	23.7%
Benefits	3,041,530	3,509,718	15.4%	3,860,833	10.0%	4,156,802	7.7%	4,215,842	1.4%	38.6%
Subtotal Personal Services	\$ 12,529,496	\$ 14,392,203	14.9%	\$ 15,463,216	7.4%	\$ 16,444,566	6.3%	\$ 15,949,777	-3.0%	27.3%
Operating Expense & Equipment (OE&E)										
Rent	\$ 2,131,561	\$ 2,469,926	15.9%	\$ 2,449,592	-0.8%	\$ 2,469,439	0.8%	\$ 2,117,451	-14.3%	-0.7%
OE&E (Excludes Rent)	12,748,802	10,008,769	-21.5%	10,437,566	4.3%	9,030,151	-13.5%	7,513,177	-16.8%	-41.1%
Subtotal OE&E	\$ 14,880,363	\$ 12,478,695	-16.1%	\$ 12,887,158	3.3%	\$ 11,499,590	-10.8%	\$ 9,630,629	-16.3%	-35.3%
TOTAL SUPPORT EXPENDITURES	\$ 27,409,858	\$ 26,870,898	-2.0%	\$ 28,350,374	5.5%	\$ 27,944,156	-1.4%	\$ 25,580,406	-8.5%	-6.7%
Local Assistance	99,923,423	64,031,371	-35.9%	81,952,055	28.0%	81,200,513	-0.9%	76,693,725	-5.6%	-23.2%
TOTAL EXPENDITURES	\$ 127,333,282	\$ 90,902,269	-28.6%	\$ 110,302,429	21.3%	\$ 109,144,669	-1.0%	\$ 102,274,131	-6.3%	-19.7%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 23,248,375	\$ 20,932,293	-10.0%	\$ 20,468,232	-2.2%	\$ 20,913,585	2.2%	\$ 17,599,565	-15.8%	-24.3%
Trial Court Improvement Fund	2,240,201	3,977,905	77.6%	5,693,977	43.1%	4,551,711	-20.1%	3,417,178	-24.9%	52.5%
Federal Trust Fund	-	-	0.0%	-	0.0%	-	0.0%	4,357	0.0%	0.0%
Trial Court Trust Fund	-	-	0.0%	65,470	0.0%	570,421	771.3%	3,110,173	445.2%	0.0%
State Court Facilities Construction Fund	1,708,205	1,715,462	0.4%	1,412,046	-17.7%	1,266,517	-10.3%	1,177,379	-7.0%	-31.1%
Reimbursements	213,078	245,237	15.1%	537,487	119.2%	641,922	19.4%	271,753	-57.7%	27.5%
Modernization Fund	-	-	0.0%	173,162	0.0%	-	-100.0%	-	0.0%	0.0%
Subtotal General Fund & Special Funds	\$ 27,409,859	\$ 26,870,897	-2.0%	\$ 28,350,375	5.5%	\$ 27,944,156	-1.4%	\$ 25,580,405	-8.5%	-6.7%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ²	\$ 71,041,166	\$ 39,629,062	-44.2%	\$ 54,479,462	37.5%	\$ 35,553,185	-34.7%	\$ 20,578,742	-42.1%	-71.0%
Trial Court Trust Fund ³	-	1,244,645	0.0%	5,196,058	317.5%	10,753,530	107.0%	23,430,160	117.9%	0.0%
Modernization Fund ²	24,699,226	19,334,267	-21.7%	16,771,743	-13.3%	29,786,134	77.6%	27,728,659	-6.9%	12.3%
Reimbursements ³	4,183,031	3,823,397	-8.6%	5,504,793	44.0%	5,107,664	-7.2%	4,956,164	-3.0%	18.5%
Subtotal Local Assistance	\$ 99,923,423	\$ 64,031,371	-35.9%	\$ 81,952,055	28.0%	\$ 81,200,513	-0.9%	\$ 76,693,725	-5.6%	-23.2%
TOTAL EXPENDITURES - ALL FUNDS	\$ 127,333,282	\$ 90,902,269	-28.6%	\$ 110,302,430	21.3%	\$ 109,144,669	-1.0%	\$ 102,274,131	-6.3%	-19.7%

⁽¹⁾Source: Oracle Financials as of June 30, including Period 13.

⁽²⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾TCTF and Reimbursement local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Information Services
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Trial Court Improvement Fund ¹										
TCIF ISD Administration	-	-	0.0%	-	0.0%	\$ 16	0.0%	\$ -	-100.0%	0.0%
California Case Management System - CCMS	\$ 37,593,518	\$ 6,083,153	-83.8%	\$ 9,672,558	59.0%	\$ 4,971,647	-48.6%	\$ 703,904	-85.8%	-98.1%
IT Infrastructure-Telecommunications	8,119,077	11,837,680	45.8%	12,685,130	7.2%	14,701,754	15.9%	-	-100.0%	-100.0%
IT Infrastructure-Asset Replacement	-	1,890	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
IT Technology Center	5,712	196,376	3338.1%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
ERP -Court Accounting & Reporting System - CARS	7,674,114	1,881,003	-75.5%	2,229,422	18.5%	2,597,247	16.5%	4,305,638	65.8%	-43.9%
Statewide Planning and Development Support	198,906	4,789,319	2307.8%	8,943,854	86.7%	1,415,604	-84.2%	-	-100.0%	-100.0%
ERP -Court HR Information System - CHRIS	4,062,286	613,379	-84.9%	4,523,463	637.5%	4,522,970	0.0%	-	-100.0%	-100.0%
Interim Case Management Systems	315,545	2,514,787	697.0%	2,319,976	-7.7%	749,241	-67.7%	4,877,854	551.0%	1445.9%
Data Integration	5,094,440	3,814,234	-25.1%	3,081,840	-19.2%	2,275,209	-26.2%	-	-100.0%	-100.0%
IT Infrastructure - CA Courts Technology Center	7,955,744	5,116,799	-35.7%	3,595,455	-29.7%	768,396	-78.6%	9,645,047	1155.2%	21.2%
Jury Management Systems	21,825	-	-100.0%	-	0.0%	-	0.0%	-	0.0%	-100.0%
CCTC - Re-hosting	-	2,348,347	0.0%	5,659,381	141.0%	548,292	-90.3%	-	-100.0%	0.0%
Wan Update - Miscellaneous	-	432,095	0.0%	14,992	-96.5%	-	-100.0%	-	0.0%	0.0%
Wan Update - So Cal.	-	-	0.0%	322,162	0.0%	-	-100.0%	-	0.0%	0.0%
e-Filing for Self-represented Litigants	-	-	0.0%	616,818	0.0%	1,087,646	76.3%	257,574	-76.3%	0.0%
CLETS Services	-	-	0.0%	-	0.0%	3	0.0%	-	-100.0%	0.0%
CCPOR (ROM)	-	-	0.0%	624,390	0.0%	41,265	-93.4%	-	-100.0%	0.0%
Testing Tools	-	-	0.0%	190,021	0.0%	1,873,895	886.2%	788,725	-57.9%	0.0%
Subtotal, Trial Court Improvement Fund	\$ 71,041,166	\$ 39,629,062	-44.2%	\$ 54,479,462	37.5%	\$ 35,553,185	-34.7%	\$ 20,578,742	-42.1%	-71.0%
Trial Court Trust Fund ²										
California Court Case Management System	\$ -	\$ -	0.0%	\$ 5,137,558	0.0%	\$ -	-100.0%	\$ 23,430,160	0.0%	0.0%
California Courts Technology Center (CCTC)	-	-	0.0%	-	0.0%	8,103,243	0.0%	-	-100.0%	0.0%
ICMS - Sustain	\$ -	\$ -	0.0%	\$ -	0.0%	\$ 2,535,247	0.0%	\$ -	-100.0%	0.0%
Interim Case Management System (ICMS) - Plumas Sustain Project	\$ -	\$ 1,244,645	0.0%	\$ 58,500	-95.3%	\$ -	-100.0%	\$ -	0.0%	0.0%
ICMS - Plumas Sierra Sustain Project	-	-	0.0%	-	0.0%	115,040	0.0%	-	-100.0%	0.0%
Subtotal, Trial Court Trust Fund	\$ -	\$ 1,244,645	0.0%	\$ 5,196,058	317.5%	\$ 10,753,530	107.0%	\$ 23,430,160	117.9%	0.0%
Reimbursements ²										
California Court Case Management System - CCTC	3,948,790	3,466,762	-12.2%	1,948,396	-43.8%	1,878,995	-3.6%	1,878,995	0.0%	-52.4%
CCTC - Network Operations & Equipment Support	33,235	33,235	0.0%	1,910,845	5649.5%	1,135,345	-40.6%	1,806,573	59.1%	5335.7%
CCTC - Local Network Equipment Support	-	-	0.0%	-	0.0%	3,000	0.0%	-	-100.0%	0.0%

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 November 2011

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CCTC - Exchange Services and Equipment	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
CCTC - Help Desk Operations	-	-	0.0%	-	0.0%	816,903	0.0%	-	-100.0%	0.0%
Phoenix Financial - CCTC	201,006	323,400	60.9%	367,732	13.7%	-	-100.0%	-	0.0%	-100.0%
Phoenix HR - CCTC	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
ICMS - Application Support & On-site Services	-	-	0.0%	1,099,440	0.0%	1,273,421	15.8%	1,270,596	-0.2%	0.0%
ICMS - SIS Staging & Production	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
ICMS - Citrix Licenses	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Professional Services	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Integration Services Backbone	-	-	0.0%	178,380	0.0%	-	-100.0%	-	0.0%	0.0%
Subtotal, Reimbursements	\$ 4,183,031	\$ 3,823,397	-8.6%	\$ 5,504,793	44.0%	\$ 5,107,664	-7.2%	\$ 4,956,164	-3.0%	18.5%

Information Services
Five-Year Local Assistance Fiscal Detail
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 November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
Judicial Administration Efficiency and Modernization Fund¹										
Statewide Planning and Deployment Support	\$ 173,455	\$ 696,591	301.6%	\$ -	-100.0%	\$ 2,758,563	0.0%	\$ 6,668,782	141.7%	3744.7%
Court HR Information System (CHRIS)	1,406,835	610,542	-56.6%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Jury Management Systems	578,175	494,891	-14.4%	454,836	-8.1%	-	-100.0%	-	0.0%	-100.0%
Fiscal Management Systems / CARS	23,169	610,542	2535.2%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
IT Infrastructure - Court Technology Staff	-	271,490	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
IT Infrastructure - Telecommunications	83,512	-	-100.0%	-	0.0%	-	0.0%	13,811,166	0.0%	16437.9%
Data Integration Standards	1,895,696	4,841,849	155.4%	1,136,172	-76.5%	4,345,603	282.5%	5,934,433	36.6%	213.0%
Interim Case Management Systems	3,622,648	2,227,654	-38.5%	1,545,450	-30.6%	2,498,770	61.7%	125,486	-95.0%	-96.5%
CCMS	11,167,881	4,689,315	-58.0%	8,454,747	80.3%	18,530,812	119.2%	142	-100.0%	-100.0%
Tech Center (Model Court Svc Bureau Project)	5,535,196	4,257,223	-23.1%	4,201,748	-1.3%	277,212	-93.4%	-	-100.0%	-100.0%
CA Court Protective Order Registry (Approved on 5/16/07)	212,659	-	-100.0%	1,060	0.0%	639,114	60193.8%	481,000	-24.7%	126.2%
CCTC - Re-hosting	-	634,170	0.0%	4,045	-99.4%	10	-99.8%	-	-100.0%	0.0%
Uniform Fees	-	-	0.0%	486,311	0.0%	188,460	-61.2%	266,901	41.6%	0.0%
Security Program	-	-	0.0%	69,450	0.0%	-	-100.0%	-	0.0%	0.0%
JBSIS Reconstructions e-Filing Service Provider	-	-	0.0%	109,891	0.0%	-	-100.0%	-	0.0%	0.0%
e-Filing Service Provider	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Wireless Standards	-	-	0.0%	222,380	0.0%	-	-100.0%	-	0.0%	0.0%
VOIP Standards and Pilot	-	-	0.0%	81,485	0.0%	-	-100.0%	-	0.0%	0.0%
XML Legal Vendor	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Datamax / DOJ	-	-	0.0%	4,168	0.0%	-	-100.0%	-	0.0%	0.0%
CLIK System Project	-	-	0.0%	-	0.0%	547,590	0.0%	440,749	-19.5%	0.0%
Subtotal, Modernization Fund	\$ 24,699,226	\$ 19,334,267	-21.7%	\$ 16,771,743	-13.3%	\$ 29,786,134	77.6%	\$ 27,728,659	-6.9%	12.3%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 99,923,423	\$ 64,031,371	-35.9%	\$ 81,952,055	28.0%	\$ 81,200,513	-0.9%	\$ 76,693,725	-5.6%	-23.2%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² TCTF and Reimbursement local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Office of Court Construction and Management

Lee Willoughby
Division Director

Overview of Administrative Office of the Courts Programs and Resources Office of Court Construction and Management (OCCM) Division

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function and services provided, for each major functional area of the division.

Office of Court Construction and Management consists of four major units, the underlying units within them, and the division management that oversees these units:

1. Business and Planning – Robert Emerson
 - a. Business and Finance
 - b. Planning
2. Design and Construction – S. Ernest Swickard
3. Real Estate and Asset Management – Burt Hirschfeld
 - a. Environmental
 - b. Facilities Management
 - c. Portfolio Administration
 - d. Real Estate
4. Risk Management – James Mullen

Below are functions and services provided by these units:

1. Business and Planning

- a. Recommends policy for council adoption on statewide planning initiatives, including prioritization of trial court capital outlay projects, facility modifications for trial and appellate courts, and use of funds for facility improvements.
- b. Develops the annual Judicial Branch Five-Year Infrastructure Plan and related funding requests for capital outlay projects.
- c. Develops facility master plans for each superior court.
- d. Coordinates the budget process for capital outlay requests in collaboration with the Finance Division.
- e. Functions as the lead agency liaison to the State Department of Finance and the Legislative Analyst's Office on capital outlay funding requests.

- f. Provides fiscal management and oversight of the Judicial Branch Facilities Program.
- g. Develops funding requests to address shortfalls in program support
- h. Manages preparation of architectural programs on each capital project.
- i. Actively involved in design process on each capital project to help ensure the design is complete in accordance with the authorized scope and square footage.

2. Design and Construction

- a. Oversees design and construction of all trial and appellate court capital projects and major facility modifications, with project managers who lead consulting teams and direct the project activities required to implement projects within the authorized scope, schedule, and budget, and applicable laws and regulations.
- b. Provides statewide design and construction management for the facility modifications program.
- c. Inspects all capital and facility modifications projects construction for conformance to the project's contract documents, required codes, and other applicable regulatory standards.
- d. Defines and maintains design standards for trial court and appellate court projects.

3. Risk Management

- a. Supports transfer process with answers to questions concerning insurance, indemnity, shared costs, property loss claims, and CFP payments.
- b. Supports other AOC divisions and OCCM units with subject matter advice on risk management issues.
- c. Implements an effective AOC wide Injury and Illness Prevention Program
- d. Implements a court facility related risk financing program within the limited resources available
- e. Supports the state courts of appeal and superior court entities with risk management, and life, health, and safety assistance as needed.
- f. Develops and implements a construction project risk management program to support new and renovation construction projects, including the administration of an owner controlled insurance program.
- g. Develops, implements, and administers a program of labor compliance for all capital projects, and facility modifications for court facility construction projects.
- h. Establishes a local outreach program that allows local communities to benefit from capital construction projects within an economic zone.

4. Real Estate and Asset Management

a. Environmental Analysis and Compliance

- i. Performs environmental due diligence in support of capital acquisitions, such as Phase I and II environmental site assessments, and complies with state regulatory requirements, such as the California Environmental Quality Act (CEQA) and Storm Water Pollution Prevention Program (SWPPP). Manages compliance with state and county regulatory requirements, such as business plans for hazardous materials management and management of permitted building equipment.
- ii. Investigates and assists in preparation and implementation of mitigation plans as required under CEQA.

b. Portfolio Administration

- i. Administers over 500 leases, licenses, MOUS and other occupancy agreements representing over \$300 million in contractual obligations, administers and maintains rent rolls, notifications on time-sensitive lease actions, and interprets lease clauses. Manages the Computer Aided Facilities Management (CAFM) application, used by over 1,300 registered court employees, AOC staff and OCCM service providers to request services, dispatch work orders, schedule preventative maintenance, administer rent payments, utility bills and administers capital projects budgets.

c. Real Estate

- i. Managed the transfer of over 500 facilities from the counties to the Judicial Council under Senate Bill 1732; lead responsibility for site selection and property acquisition, exchange agreements, equity purchases, under SB 1732 and SB 1407;
- ii. Negotiates leases, licenses, MOUs and other occupancy agreements, as lessee, lessor and licensor. Renegotiates leases (as lessee) to decrease rental expenses when market conditions can be leveraged.
- iii. Manages disposition program, utilizing sales, leases, terminations, equity and lease buyouts. Negotiates fees for the use of facilities by third parties, such as commercial film production companies, and licenses for the use of rooftops for placement of telecommunications equipment.

d. Facilities Management

- i. Responsible for the operation, maintenance, repair and modification of over 500 court facilities within 20 million SF of space, customer service, field staff, and contractors in the AOC's three administrative regions;
- ii. Manages a 24/7 call center which receives over 100,000 contacts per year.
- iii. Manages assets with revenue potential, such as parking lots and structures.

5. OCCM Division Management

- a. The OCCM executive team, comprised of the Director, the three Assistant Directors and the Risk Manager meet on a regular basis to plan for the immediate future and take action on key issues.
- b. The OCCM executive team meets on a semiannual basis to review progress on strategic plans goals and objectives, take appropriate action as necessary to ensure goals are met, and evaluate long term challenges and required actions.
- c. The OCCM director and executive management team communicate regularly with the OCCM managers and staff to ensure consistent directions, and encouragement and motivation to continue to deliver the facilities program as one of the best in California and the nation.
- d. OCCM director and executive management team meet regularly with the AOC Executive Office members to report progress, key issues and plans for resolution.
- e. OCCM executive team works closely with all other AOC divisions and Regional Administrators to help ensure the timely, effective delivery of the facilities program.
- f. OCCM managers meet on a regular basis to share information, identify systemic problems, agree on solutions and implement action plans.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Describe the Division's major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division's inception if created after FY 2005–06.

1. Transfers

SB 1732 (Chapter 1082, Statutes of 2002), also known as the Trial Court Facilities Act of 2002 was enacted for the purpose of transferring the responsibility for appellate and trial court facilities to the Judicial Council. The initial legislation called for the transfer of all trial court facilities from the counties to the state by June 30, 2007. However, as of that date, only 113 facility transfers had occurred. Subsequently, SB 10 addressed the primary obstacle to progress on transfers by amending the terms for liability for facilities assessed with certain seismic ratings. On April 23, 2008, AB 1491 (Chapter 9, Statutes of 2008) was enacted which extended the final transfer date from June 30, 2007, to December 31, 2009.

In December 2009, California's judicial branch reached a historic milestone: completion of the transfer of 532 court facilities from local to state jurisdiction. This monumental, multiyear effort constituted one of the largest real estate transactions in California history. The transfer of court facilities to state responsibility fulfills a significant structural reform that creates a single, comprehensive court facilities infrastructure, which is expected to increase efficiency in court operations, enhance court safety, and help ensure equal access to justice for all Californians. The transfer process was an extensive, multi-year effort led by OCCM, with contributions from every

unit of the division and with collaboration by others in the AOC, the courts, the counties, and partners in the executive and legislative branches.

2. Capital Program Planning

a. Senate Bill 1732 – Trial Court Facilities Act

The Trial Court Facilities Act enacted in 2002 established special revenues to begin the courthouse construction program. These revenues are dedicated to funding new construction projects. Over a three-year period beginning in FY 2005–2006, the division secured authorization of 15 capital projects funded from SB 1732 revenues.

b. Senate Bill 1407 (SB 1407)

Passage of SB 1407 in 2008 was a landmark accomplishment for the entire judicial branch. This legislation significantly increased funding available for courthouse construction, authorizing up to \$5 billion in lease-revenue bonds to finance new construction and renovation projects, funded from court fees, penalties, and assessments. OCCM prepared, for the Judicial Council's approval, a list of 41 projects in 34 counties to be funded by SB 1407. Please refer to Attachment 1 – Status of All Funded Judicial Branch Capital Projects for list of capital projects.

c. Trial Court Capital Outlay Plan and Judicial Branch AB 1473 Five-Year Infrastructure Plan

On June 1, 2005, the Judicial Council approved the first Judicial Branch AB 1473 Five-Year Infrastructure Plan for the improvement of California's court facilities. The five-year infrastructure plan incorporates the Trial Court Capital Outlay Plan, which consolidated findings from facility master plans, completed in 2003, of the 58 superior courts. Projects were identified from the master plans and scored according to security, over-crowding, physical condition, and access to court services. The projects were then divided into five priority levels: immediate, critical, high, medium, and low. Annual updates have occurred in accordance with submission of the Five-Year Infrastructure Plan.

d. Project Feasibility Reports

The Project Feasibility Report defines the underlying need for each capital project undertaken by OCCM. This document is required to accompany initial capital outlay budget requests submitted to the Department of Finance for approval. OCCM has completed more than 50 feasibility reports over the last five years.

3. Capital Program Implementation

a. Funded by Senate Bill 1732 – Trial Court Facilities Act (15 projects, \$5.9 million)

- i. SB 1732 projects completed during this period included:

- Juvenile Delinquency Court, County of Fresno, summer 2009 – this project came into being through a unique partnership between the court, Fresno County, and the AOC. The county and the AOC are sharing the project in a lease-purchase transaction.
 - Merced Courthouse, Merced, spring 2007. This courthouse was the first new court facility to be constructed in Merced since 1950.
 - Plumas/Sierra, Portola/Loyalton Courthouse, winter 2009. This is the first trial court to be fully financed and managed from start to finish by the AOC.
 - Richard E. Arnason Justice Center, County of Contra Costa, fall 2010 – This is the first midsize, 7 courtroom facility completed by the AOC.
 - B.F. Sisk Courthouse, County of Fresno, fall 2010 – Major renovation and conversion of a federal courthouse to a trial court facility. Selected by the Western Council of Construction Consumers 2011 distinguished project award competition to receive the 2011 Notable Achievement Award.
- ii. Currently there are two projects under construction, five projects pending issuance of lease revenue bonds to finance and begin construction, and two projects in design in the SB 1732 program.

b. Court of Appeal – Capital Projects

- i. Fifth Appellate District Courthouse, Fresno, summer 2007. The Western Council of Construction Consumers (WCCC) awarded the Outstanding Achievement award to this project. This was a cooperative partnership between the Department of General Services and the AOC.
- ii. Fourth Appellate District, Division Three, Santa Ana, fall 2009. This was the first court of appeal project managed from start to finish by the AOC. This project was completed on time and under budget despite having to stop work briefly due to state cash flow issues through the Pooled Money Investment Board. This project won an Award of Merit in the Government/Public category of California Construction's Best of 2009.

c. Funded by Senate Bill 1407 (41 projects, \$5 billion)

- i. All 41 projects to be funded by SB 1407 are now moving forward. Securing authorization for all 41 projects in fiscal year 2009-2010 was also a significant accomplishment for the division.
- ii. As a result of funding redirections and loans totaling more than \$1.126 billion from both construction funds supporting the capital program there will be unexpected SB 1407 capital project schedule delays due to lack of available resources in FY 2011–2012. The Court Facilities Working Group will determine which projects will proceed on schedule in FY 2011-2011, and which projects will experience delays due to lack of funding.

4. Facilities Management Program

- a. As court facilities transferred to the judicial branch, OCCM took on responsibility for managing day-to-day operations and maintenance, emergency repairs, and planned facility modifications. Creating a responsive, efficient statewide infrastructure for courthouse maintenance was a major division accomplishment over the last five years.
 - i. Developed a team of management, professionals and support personnel to direct contracted resources in the operation, maintenance, and modification of judicial branch facilities throughout the state.
 - ii. Established processes and procedures to manage a rapidly growing volume of operations and maintenance requests. To date, the Customer Support Center has fielded more than 100,000 service requests.
 - iii. Completed more than 2,600 facility modifications (planned repairs and replacements costing between \$1,000 and \$2 million) since program inception.

5. Infrastructure Development

a. Policies and Procedures

- i. Developed and obtained Judicial Council approval, and implemented Trial Court Facilities Standards published in April 21, 2006, and now universally used on all capital projects.
- ii. Developed, recommended, and received Judicial Council approval of the Court Facilities Contracting Policies and Procedures. These policies guide the AOC in a qualifications-based selection process for providing the judicial branch with the best value in products and services during the acquisition and development of court facilities, including design and construction.
- iii. Developed, obtained Judicial Council approval, and implemented other policies, including those governing prioritization methodologies for capital projects and facility modifications, site selection for capital projects, use of courthouses, courthouse naming, and seismic safety.
- iv. Developed and published a program management plan, organizational overview for the SB 1407 program. This document defines the roles and responsibilities of the key positions responsible for the program.
- v. Over 30 items taken to the Judicial Council for action.

b. Computer Aided Facilities Management (CAFM)

- i. Designed and implemented the CAFM application to provide real-time service support to 1,300 court users and management support to AOC units in finance, portfolio and contract administration, project management, facilities management, utilities reports and permit compliance. This is a fully integrated facilities management system that includes the entire portfolio, capital projects, and leases.

c. Risk Management

- i. Developed template site safety and security and insurance language for project design and construction documents, as well as for other contracts required to complete the work of the OCCM and the AOC.
- ii. Reviewed all contracts involving the OCCM before execution to ensure appropriate insurance, safety, and indemnification language.
- iii. Developed and implemented a business property insurance and crime insurance programs for the trial courts that is available on an elective basis to insure each court's furniture, fixtures and equipment, and commercial crime exposures. Currently 46 of the 58 trial courts and two courts of appeal participate in the programs.
- iv. In cooperation with the AOC Human Resources Division, developed an Injury and Illness Prevention Program (IIPP) for the AOC, and worked to implement the program through an IIPP Advisory Committee.
- v. Established an incident report tracking and investigation system to identify trends in court related injury and illness events.
- vi. Established a system of receiving, researching, and resolving requests from risk management assistance from within the OCCM, and the AOC and trial courts in general.
- vii. Investigated and made recommendation for court operations safety during major forest fires in Northern California.

6. Fiscal Management

- a. Established extensive fiscal procedures and processes to implement the facilities program. These included an account code structure, reimbursement authority and a process to collect county facility payments and disburse reimbursement of expenditures from counties, processes in accordance with the Joint Occupancy Agreements to issue or receive payments, notification processes, fund transfer processes, and financial tracking and reporting procedures.
- b. Sought and received approval for various support budget requests (budget change proposals) to address mission and goals of the judicial branch facilities program.
- c. Prepared annual reports to the legislature on the status of the review of the local courthouse construction funds and outstanding bonded indebtedness.
- d. Prepared internal fund condition statements (cash flow summaries) to analyze resources in construction funds to ensure ability to meet future debt service requirements given size and complexity of construction program. These fund condition statements also used to provide management a tool to understand the impact of funding redirections and loans from our program.

7. Energy Fiscal Management

- a. Established a database for utilities to track usage and costs
- b. Developed a program with State Controller's Office and AOC Accounting to improve payment processing time, and streamline process.
- c. Submitted 32 rebate applications (21 complete, 11 in progress)
- d. Collected \$224,000 in energy rebates

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

1. Facility Management

- a. OCCM is now responsible for managing a facilities portfolio of more than 20 million square feet. OCCM handles day-to-day maintenance needs and allocates a statewide pool of facility modification funds to repair and update trial court facilities so that they are more accessible, safe, secure, and function more efficiently. A facility modification is typically a repair costing between \$2,000 and \$2 million. Facility modifications can be planned projects or emergency repairs and can include projects that address life safety, security, serious seismic issues, and ADA accessibility. Current initiatives include:
 - i. Managing a budget created through county facilities payments totaling over \$90 million annually, which fund trial court facility operations costs including operations and maintenance, utilities, leases, and insurance. Funding level was fixed at time of transfer and has not been augmented for inflation or expansion of facilities. Ongoing.
 - ii. Contract signed and facility modifications projects underway using Job Order Contracting model; contracts signed for regional operations and maintenance services (to commence September 29, 2011) and RFP for a comprehensive study on long-term (2014+) operational model for delivery of facility management services. Scheduled to be issued: September 2011.
 - iii. Transitioning delegated management role for the last group of Los Angeles facilities back to AOC management. Estimated completion: 2011.
 - iv. Developing a Parking Operations Program. Estimated completion: 2011
 - v. Court Delegation Working Group established to consider options for the AOC to delegate responsibilities for ongoing operation and management of court facilities under California Rule of Court 10.182. Kick-off meeting was held July, 2011. Objective is to implement one or more tiers of delegation on a 3-year pilot basis, commencing the first quarter of 2012.

- b. Outstanding issues for the facility management program include efficiently managing the growth in the portfolio and dealing with a legacy of neglect--the poor condition of the buildings inherited from the counties. OCCM is still assessing the buildings, but what has become obvious is that there is significant deferred maintenance in the portfolio, estimated to be over \$1 billion. Limited funding for operations and maintenance and facility modifications means that, increasingly only the most urgent, high-priority repairs will be approved.

2. Capital Program

- a. OCCM's capital program is addressing the most critical needs for new and renovated courthouses statewide. More than 50 projects are underway that will improve access to justice, and protect the safety and security of the public, litigants, jurors and families use the courts. These projects will benefit 43 counties.
 - i. Four projects are currently in construction: Lassen County--Susanville, Mono County Mammoth Lakes, Los Angeles--Long beach and Third Appellate District of the Court of Appeal.
 - ii. Two SB 1732 projects are in the design phase.
 - iii. All SB1732 projects are anticipated to be completed by winter 2013.
 - iv. Currently 29 SB 1407 projects are in the site selection and acquisition stage. All have been approved by the State Public Works Board (SPWB) for continuous appropriation, enabling OCCM to proceed with site selection, acquisition, and preliminary plans.
 - v. 11 SB 1407 projects are the design phase.
 - vi. One SB 1407 project, confirm delivery method.
 - vii. All SB1407 projects are anticipated to be completed by spring of 2018.

- b. Outstanding issues for the capital program include:
 - i. Securing required funding authorizations in a timely way through the state's annual budget process to keep projects on schedule. Preparing all new and continuation capital outlay budget change proposals (COBCPs) as authorized by the Judicial Council for submission to the Department of Finance and the Legislature.
 - ii. Continuing to prepare and submit the annual Judicial Branch AB 1473 Five-Year Infrastructure Plan, including the Trial Court Capital-Outlay Plan to the Judicial Council.
 - iii. Adequately staffing the program to manage the large increase in project volume brought on by rapid implementation of SB 1407.
 - iv. Maintaining strong and effective working relationships with executive branch partners who approve OCCM's work at various stages to avoid costly delays.
 - v. Continuing to develop an integrated, consistent, programmatic approach to capital projects, through such efforts as continuing development of the Trial Court Facilities

Standards, a project procedures manual, and a program management plan that defines roles and cross-functional relationships to more effectively deliver the capital program.

- vi. Designing and implementing, possibly with the assistance of the California Department of General Services, an effective local, small business, and DVBE outreach program to ensure that new court construction projects benefit a significant cross-section of California construction contractors.

3. Court-Funded Requests

- a. In addition to capital projects that OCCM manages, the division also manages court-funded requests, which are specific court-initiated and court-funded requests to lease space and undertake small facility modification projects. This effort enables the courts to renovate or add to current space more efficiently.

4. Court Facilities Working Group

A Court Facilities Working Group was established in July 2011 to provide ongoing oversight of the judicial branch program that manages new construction, renovations, facilities operations, maintenance, and real estate for trial and appellate courts throughout the state. The Working Group, with staff support from OCCM, will oversee the work of the AOC in its management of court facilities statewide and in its effort to implement the judicial branch's capital improvement program. The Working Group will be a standing committee of the Judicial Council of California (Judicial Council), charged with the following responsibilities concerning courthouse facilities:

- Provide ongoing oversight of policy issues, business practices, and budget monitoring and control.
 - Provide recommendations and determinations as necessary to the Judicial Council.
 - Advise on issues related to the Working Group charge as requested by the Chief Justice, the Judicial Council, and the Administrative Director of the Courts.
- a. The

5. Computer Aided Facilities Management (CAFM)

- a. OCCM continues to develop and implement CAFM as a central database for design and construction activities of the entire program. Additional components of the program that will complement and support the project management process (analysis and reports) are being defined and implemented. Outstanding issues include:
 - i. Implementing coordinated payment process with the State Controller's Office. Estimated completion: FY 2011-2012
 - ii. Expanding CAFM functionality to include environmental and risk management modules, enhanced management reporting; scheduling platform and application upgrades. Estimated completion: FY 2011-2012.

6. Risk Management

- a. Numerous initiatives are underway, including:
 - i. Designing and implementing an owner-controlled insurance program for all new courthouse construction projects.
 - ii. Working with the California Department of Industrial Relations to implement the wage and labor compliance program on bond-funded construction projects as required by the provisions of SBX2-9.
 - iii. Designing and implementing a structured risk financing program to effectively finance the risk of fortuitous loss resulting from court building operations
 - iv. Designing and implementing a facility safety management plan that will ensure that all court facilities are designed, constructed, and operated according to appropriate site safety and security guidelines, and are compliant with all federal, state and local statutes, rules, regulations, and ordinances.
 - v. Establishing guidance documents for fire protection systems and maintenance in all court buildings.
 - vi. Working with the State Dept. of General Services to establish a local contractor outreach program that allows local communities to benefit from capital construction projects within an economic zone.

7. Environmental

- a. Developed cross-unit coordination committee for the management of facilities, with representation from facilities management, risk management, environmental analysis and compliance, and emergency response and security.
- b. Developing comprehensive environmental business plans for use by facilities management staff and vendors.

8. Real Estate

- a. Completing conveyance of title to under one-half dozen facilities under AOC responsibility. Estimated completion: 2011.
- b. Negotiating equity transactions, new leases, lease renewals and terminations from a portfolio of more than 500 leased and owned facilities, 325 leases, licenses and occupancy agreements. On-going.
- c. Renegotiating leases where possible to realize reduction in annual rent expense. On-going.
- d. Relocation policy for owners and occupants of state-acquired real estate adopted by Judicial Council.
- e. Developing a new property disposition program.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

Describe the Division's outlook and opportunities for the future (i.e., where is the Division headed and what should you be doing?), as well as any challenges or pending issues.

In keeping with its mission, to create and maintain court buildings that reflect the highest standards of excellence, OCCM has an unparalleled opportunity to improve access to justice throughout California by improving and maintaining facilities infrastructure. Achieving this opportunity requires us to continue developing a strong program infrastructure, strong ongoing management, and excellence in execution.

Both the capital program and the facility management program present significant management challenges. Recent rapid growth in the number projects under development, their rapid schedules, and related staffing and consultant support requirements create significant challenges, which include:

- a. Continuing to attract excellent firms for design, construction management, general contracting, and subcontracting. Our goal is to be the "Owner of Choice" in the industry.
- b. Selecting and hiring qualified and experienced consultants to support the program management, project management, and construction management of the program.
- c. Maintaining program-level and industry wide dialogue to record and incorporate industry best practices and lessons learned.
- d. Hiring and keeping sufficient, qualified, motivated employees to manage and implement the program. There are 214 positions authorized to support the program (165 positions within OCCM and 49 positions in other AOC divisions). However, there are over 60 vacancies in the program, and the AOC hiring freeze is still in place. Understaffing creates not only risks of delay in our projects, but creates gaps in timely oversight and review of program activities.
- e. Continuing to develop and implement efficient internal processes and procedures.
- f. Maintaining constructive and collaborative working relationships with the Department of Finance (DOF), State Fire Marshall, Division of State Architect, Corrections Standard Authority, Legislative Analyst's Office, and other stakeholders.
- g. Continuing to work with DOF and Department of General Services to streamline the State Public Works Board (SPWB) approval process.
- h. Completing all projects with no sustained legal action.
- i. Staying focused on delivering the program in spite of state budget challenges.
- j. Complete the capital projects during the current "window of opportunity" for reduced construction costs.

Funding Challenges

- a. Retaining sufficient reserves in the State Court Facilities Construction Fund and the Immediate and Critical Needs Account is a high priority of the division.
- b. The Trial Court Capital Outlay Plan, included in the Judicial Branch AB 1473 Five-Year Infrastructure Plan, identifies over 100 unfunded projects.
- c. Periodic updates to the fund conditions/cash flow summaries are critical to ensuring sufficient resources are available for the capital projects and planned support needs. Due to the many variables associated with construction projects, actual long-term are unknown, and are provided as best estimates based upon current market and historic trends.
- d. As noted earlier, significant deferred maintenance in the building portfolio has been identified that is well beyond our current funding capacity.
- e. Once constructed, the challenge moves to securing funding to support the ongoing operations of the new facilities. The new facilities will provide approximately 50% growth in square footage. An Operating Cost Working Group has been established to evaluate ongoing facility operating costs as a result of new construction.
- f. County facilities payments fund operations and maintenance, utilities, insurance and lease costs for the trial court facilities transferred to the state. It was the intent of SB 1732 that all inflationary costs would be the responsibility of the state, however, in FY 2009–2010 the state has suspended the funding to cover these inflationary costs, and it is unknown at this time how long that suspension will continue.

If we do not meet these challenges successfully, we face slowing of the implementation of the program, resulting in additional costs in construction and other areas of the program, and delays in implementing critically needed facility improvements for the courts and for the public we serve.

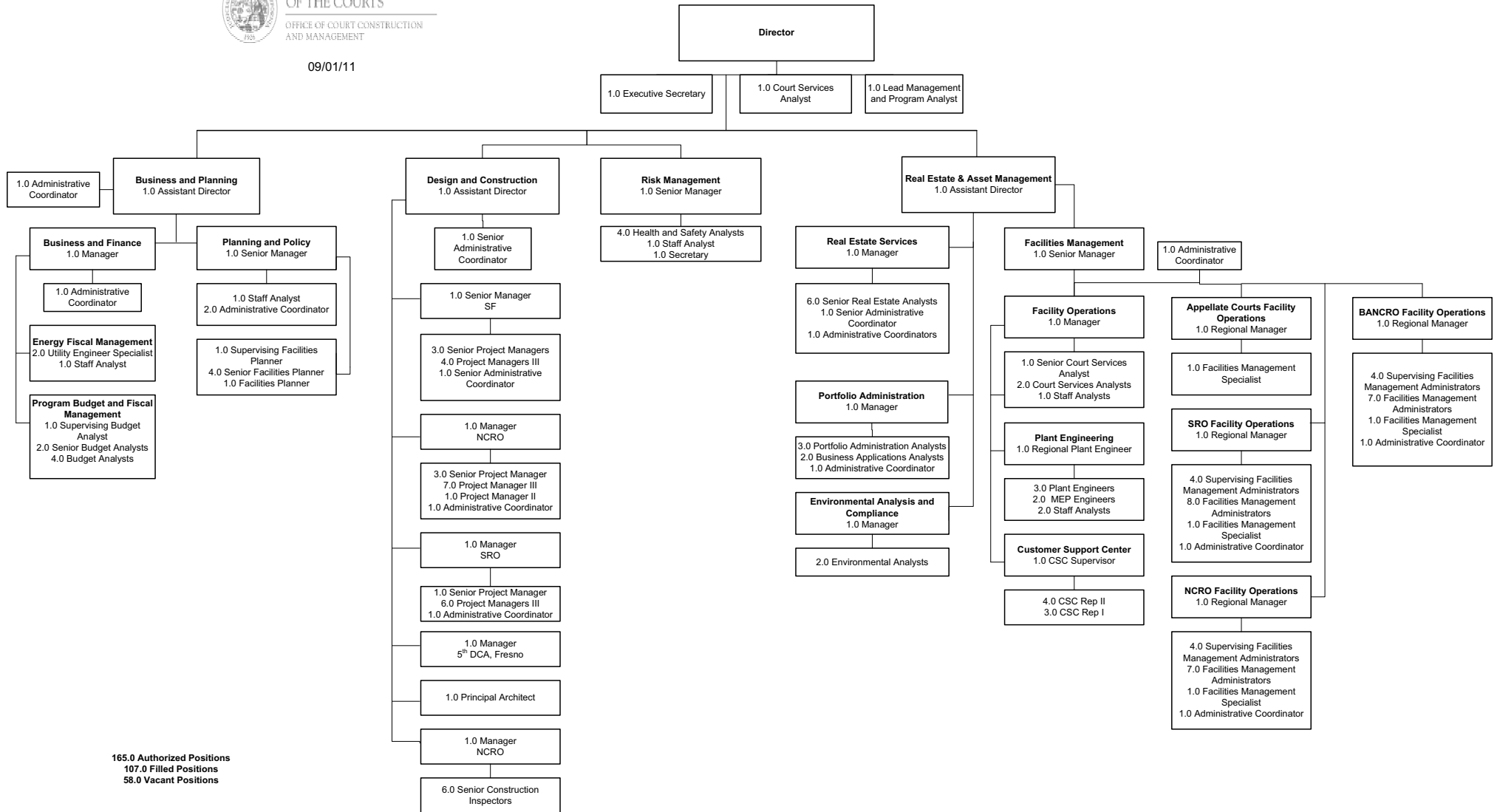


ADMINISTRATIVE OFFICE
OF THE COURTS

OFFICE OF COURT CONSTRUCTION
AND MANAGEMENT

09/01/11

OFFICE OF COURT CONSTRUCTION
AND MANAGEMENT



165.0 Authorized Positions
107.0 Filled Positions
58.0 Vacant Positions

Office of Court Construction Management

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditures ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 5,643,000	\$ 6,602,000	17.0%	\$ 8,566,000	29.7%	\$ 9,922,040	15.8%	\$ 9,660,504	-2.6%	71.2%
Benefits	1,862,000	2,196,000	17.9%	2,904,000	32.2%	3,392,614	16.8%	3,618,154	6.6%	94.3%
Subtotal Personal Services	\$ 7,505,000	\$ 8,798,000	17.2%	\$ 11,470,000	30.4%	\$ 13,314,654	16.1%	\$ 13,278,658	-0.3%	76.9%
Operating Expense & Equipment (OE&E)										
Rent	\$ 3,062,545	\$ 4,760,435	55.4%	\$ 8,913,639	87.2%	\$ 17,996,942	101.9%	\$ 27,110,132	50.6%	785.2%
OE&E (Excludes Rent)	23,441,455	36,406,565	55.3%	88,629,361	143.4%	140,636,404	58.7%	160,503,106	14.1%	584.7%
Subtotal OE&E	\$ 26,504,000	\$ 41,167,000	55.3%	\$ 97,543,000	136.9%	\$ 158,633,346	62.6%	\$ 187,613,238	18.3%	607.9%
Special Items of Expense								\$ 53,638		
TOTAL SUPPORT EXPENDITURES	\$ 34,009,000	\$ 49,965,000	46.9%	\$ 109,013,000	118.2%	\$ 171,948,000	57.7%	\$ 200,945,534	16.9%	490.9%
Local Assistance	2,120,309	13,815,494	551.6%	14,057,965	1.8%	16,713,187	18.9%	8,349,883	-50.0%	293.8%
TOTAL EXPENDITURES	\$ 36,129,309	\$ 63,780,494	76.5%	\$ 123,070,965	93.0%	\$ 188,661,187	53.3%	\$ 209,295,418	10.9%	479.3%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund ²	\$ 1,999,000	\$ 7,363,000	268.3%	\$ 4,481,000	-39.1%	\$ 6,926,000	54.6%	\$ 9,183,831	32.6%	359.4%
State Court Facilities Construction Fund	29,521,000	28,569,000	-3.2%	47,600,000	66.6%	54,553,000	14.6%	52,012,148	-4.7%	76.2%
Court Facilities Trust Fund	2,365,000	11,193,000	373.3%	53,022,000	373.7%	94,799,000	78.8%	97,441,890	2.8%	4020.2%
Immediate and Critical Needs Account	-	-	0.0%	-	0.0%	10,000,000	0.0%	24,362,703	143.6%	0.0%
Reimbursements	124,000	2,840,000	2190.3%	3,910,000	37.7%	5,670,000	45.0%	17,944,962	216.5%	14371.7%
Subtotal General Fund & Special Funds	\$ 34,009,000	\$ 49,965,000	46.9%	\$ 109,013,000	118.2%	\$ 171,948,000	57.7%	\$ 200,945,534	16.9%	490.9%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ^{2,3}	\$ 150,000	\$ 416,000	177.3%	\$ 429,000	3.1%	\$ -	-100.0%	\$ -	0.0%	0.0%
Reimbursements ⁴	1,970,309	11,672,356	492.4%	12,499,686	7.1%	15,532,200	24.3%	8,349,883	-46.2%	323.8%
Trial Court Trust Fund ⁴	-	1,727,139	0.0%	1,129,279	-34.6%	1,180,987	4.6%	-	-100.0%	0.0%
Subtotal Local Assistance	\$ 2,120,309	\$ 13,815,494	551.6%	\$ 14,057,965	1.8%	\$ 16,713,187	18.9%	\$ 8,349,883	-50.0%	393.8%
TOTAL EXPENDITURES - ALL FUNDS	\$ 36,129,309	\$ 63,780,494	76.5%	\$ 123,070,965	93.0%	\$ 188,661,187	53.3%	\$ 209,295,417	10.9%	579.3%

⁽¹⁾ Source: FY 2006-07 to FY 2008-09 Governor's Budget Prior Year Actuals. FY 2009-10 and FY 2010-11 Oracle Financials.

⁽²⁾ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾ The funding of \$1.3 million for the New South Justice Center Courthouse was approved in Jun-2007. This is an one-time funding with three year carry-over. \$150,000 was expended in FY 2006-07, \$416,000 was expended in FY 2007-08, \$429,000 was expended in FY 2008-09. Unexpended allocation was \$305,000.

⁽⁴⁾ TCTF and Reimbursement local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Office of Court Construction and Management
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund</i>¹										
New South Justice Center Courthouse Project ²	\$ 150,000	\$ 416,000	177.3%	\$ 429,000	3.1%	\$ -	-100.0%	\$ -	0.0%	-100.0%
<i>Subtotal, Trial Court Improvement Fund</i>	\$ 150,000	\$ 416,000	177.3%	\$ 429,000	3.1%	\$ -	-100.0%	\$ -	0.0%	-100.0%
<i>Reimbursements</i>³										
Superior Court "Allowable" Facility Operations	\$ 1,970,309	\$ 11,672,356	492.4%	\$ 12,499,686	7.1%	\$ 15,532,200	24.3%	\$ 8,349,883	-46.2%	323.8%
<i>Subtotal, Reimbursements</i>	\$ 1,970,309	\$ 11,672,356	492.4%	\$ 12,499,686	7.1%	\$ 15,532,200	24.3%	\$ 8,349,883	-46.2%	323.8%
<i>Trial Court Trust Fund</i>³										
SB 56 New Judgeship Facilities	\$ -	\$ 1,727,139	0.0%	\$ 1,129,279	-34.6%	\$ 1,180,987	4.6%	\$ -	-100.0%	0.0%
<i>Subtotal, Trial Court Trust Fund</i>	\$ -	\$ 1,727,139	0.0%	\$ 1,129,279	-34.6%	\$ 1,180,987	4.6%	\$ -	-100.0%	0.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 2,120,309	\$ 13,815,494	551.6%	\$ 14,057,965	1.8%	\$ 16,713,187	18.9%	\$ 8,349,883	-50.0%	293.8%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² The funding of \$1.3 million for the New South Justice Center Courthouse was approved in Jun-2007. This is an one-time funding with three year carry-over. \$150,000 was expended in FY 2006-07, \$416,000 was expended in FY 2007-08, \$429,000 was expended in FY 2008-09. Unexpended allocation was \$305,000.

³ TCTF and Reimbursement local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Office of the General Counsel

Mary Roberts
General Counsel

Overview of the Administrative Office of the Courts Programs and Resources

Office of the General Counsel

I. Organizational Structure of the Division and Services Provided

Describe the division's organizational structure, including the role, function and services provided, for each major functional area of the division.

The mission of the Office of the General Counsel (OGC) is to provide quality, timely, and ethical legal advice and services to the Chief Justice, the Judicial Council, council advisory committees and task forces, the appellate and trial courts, and the AOC. The OGC has two major functions: house counsel and Judicial Council services.

The OGC executes its house counsel function through its legal services units:

- Labor and Employment
- Litigation Management (which also staffs the council's Litigation Management Committee)
- Legal Opinions
- Real Estate
- Transactions and Business Operations

The OGC supports Judicial Council services through its Rules and Projects Unit and the Secretariat Unit. The Rules and Projects Unit provides primary staff support to the council's Rules and Projects Committee (RUPRO) and to several council advisory committees (Access and Fairness, Appellate, Civil and Small Claims, Civil and Criminal Jury Instructions, Criminal Law, Probate and Mental Health, and Traffic) and task forces, and staffs other projects designed to improve court proceedings. The Secretariat Unit provides support for Judicial Council meetings, the council's Executive and Planning Committee (E&P), and the council's California Case Management Committee (CCMS Internal Committee).

Currently, OGC has 69 filled positions: 50 attorney staff (including management and supervisory attorneys) and 19 support staff (including one supervisory position, court services analysts, administrative coordinators, and secretarial staff). Effective September 1, 2011, the 5-person Secretariat Unit (one Senior Attorney, 2 CSAs, and 2 administrative coordinators) will become part of OGC.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Describe the Division's major accomplishments and/or achievements (i.e., major projects/initiatives completed) since FY 2005–06, or since the Division's inception if created after FY 2005–06.

In the last 5 years, major accomplishments of the OGC include the following:

1. OGC's expanded legal support for the Judicial Council and its programs and activities, especially given the number, nature, and significance of many of the issues presented for review.
2. OGC's legal guidance on a variety of issues through which court leaders are provided clear, legally sound, and useful information. (Statewide legal opinions are available on Serranus at <http://serranus.courtinfo.ca.gov/programs/ogc/lol/state.htm>.)
3. OGC's essential work implementing—with no additional resources—significant new legal requirements imposed on the judicial branch, as illustrated by:
 - a. Demographic data on California's judiciary posted at <http://www.courts.ca.gov/documents/2011DemographicReport.pdf>. OGC developed and continues to implement the system for annual reporting of demographic data in compliance with statute (Gov. Code, §12011.5(n)), enacted in 2006.
 - b. Judicial Council's adoption effective January 1, 2010, of rule 10.500 of the California Rules of Court [Public Access to Judicial Administrative Records, implementing Gov. Code, § 68106.2(g)]. Working closely with OGA, OGC drafted, vetted, and finalized the new rules that the council adopted. OGC continues to assist in responding to numerous requests for information received from news media, judges and judges' organizations, legislators, and the public. All work was/is being done without additional/new resources.
 - c. Work ongoing since March 2011 when the Legislature enacted the California Judicial Branch Contract Law as part of the budget bill (SB 78), imposing numerous new requirements on courts, the council, the AOC, and the Habeas Corpus Resource Center under the Public Contract Code. Work includes developing, in consultation with court working group, a Judicial Branch Contracting Manual that was recently adopted by the council, and tools to assist judicial branch entities in implementing the new law.
4. OGC's provision of excellent legal representation to the courts, judges, and court personnel through the Judicial Council's Litigation Management Program. In managing hundreds of claims and lawsuits each year, OGC is also contributing to the positive development of substantive law (see, e.g., *Wills v. Orange County Superior Court*; *E.T. v. Cantil-Sakauye*, et al.). OGC also made significant contributions in a litigation matter affecting the judicial branch (i.e., litigation over the sale of state buildings, which resulted in the Governor stopping the sale of state buildings, including those occupied by the Supreme Court and the Court of Appeal, First and Second Appellate Districts).
5. OGC provided excellent staff support to the Commission for Impartial Courts established in 2007 by former Chief Justice Ronald M. George, serving as lead staff to 3 of the 4 task forces (on Judicial Candidate Campaign Conduct, Judicial Campaign Finance, and Judicial Selection and Retention) and as primary drafter of the commission's interim and final reports. This major accomplishment is of special interest because the subject matter involves issues vital to the institution of courts as a branch of government.

6. OGC's provision of legal services to transfer over 500 trial court facilities from the counties to the state under the Trial Court Facilities Act of 2002. In coordination with AOC's Office of Court Construction and Management, OGC and our outside counsel worked with representatives of the 58 counties and local courts, CSAC, DOF, among many other entities, to complete the transfers in 2009, capping several years of work. Also in the court facilities area, the legal services that contributed to the successful launching of the Public-Private-Partnership for the Long Beach Courthouse represent a major accomplishment, given the complexity and novelty (for California) of the business model.
7. The work by the Secretariat Unit (formerly of the Executive Office Programs Division) in designing and implementing a process for the Judicial Council to review and update its 1998 Judicial Council Governance Policies, which included education sessions with Dr. John Carver, a board governance authority, and supported the Judicial Council in drafting and implementing updated governance policies.

The above are examples. The overarching accomplishments of OGC over the past several years are the development of an outstanding cadre of lawyers and staff dedicated to supporting the Judicial Council and providing excellent legal services to our judicial branch clients and the establishment of an infrastructure to retain and expand institutional knowledge and expertise for the benefit of the courts and the public we serve.

The Labor and Employment Unit (LEU) since FY 2005-2006 has:

- Provided advice and counseling on numerous labor and employment matters for the courts and the AOC, averaging 500 advice matter requests per year.
- Participated as principal drafter in 2-year project requiring review and revision of all AOC personnel policies and procedures.
- Participated as faculty on hundreds of educational and training programs for the courts and AOC on subject matters including discrimination and sex harassment prevention, basic training for supervisors and managers, handling employee leaves of absence under the Family and Medical Leave Act and similar state law.
- Researched and prepared annual Legal Updates summarizing important labor and employment decisions, newly-enacted statutes and other legal developments over the preceding year, for distribution to court leadership and Human Resources personnel.
- Managed the representation of the courts and the AOC in several hundred administrative proceedings, arbitrations, lawsuits, unemployment hearings, and PERB proceedings.
- Overseen and participated in internal investigations of claims of discrimination, harassment and retaliation made against the trial and appellate courts and the AOC.
- Advised and assisted in drafting legislation affecting employment issues in the courts, including court closure legislation and the judicial branch whistleblower protection act.

The Litigation Management Unit (LMU)

The Litigation Management Program was established by the Judicial Council effective January 2000 to ensure adequate funding to respond to litigation arising out of trial court operations and to provide an efficient, accountable way to manage such litigation. By July 2001, claims and litigation against all 58 trial courts were managed by four OGC attorneys. The six Courts of Appeal and the Supreme Court came under the program effective January 2003.

The OGC resolves over 200 claims against the trial courts each year. Although the majority involves no court liability, others are efficiently settled at the claim level without litigation, thus saving hundreds of thousands of dollars in attorney fees. The OGC manages, on average, 250 lawsuits against the trial courts each year, including approximately 40 employment-related lawsuits. The OGC also provides assistance to trial court employees and judicial officers in responding to an average of 140 subpoenas and 75 attempted disqualifications each year. In addition, the OGC annually manages an average of 10 lawsuits against the Supreme Court and 15 lawsuits against the Courts of Appeal.

By partnering with outside counsel and actively directing their work, the OGC litigation and employment attorneys resolve litigation in a highly cost-effective manner, expending only \$3.6 million in fees on average annually. The OGC attorneys also work directly with the courts, strategizing on ways to minimize the risk of claims and lawsuits, thus improving service to the public while also reducing expenditures.

The Legal Opinion Unit (LOU)

The LOU provides written and oral legal guidance to the trial and appellate courts, the Judicial Council, the Chief Justice of the Supreme Court, as chair of the Judicial Council, and the AOC on court and judicial administration issues. Guidance is provided in response to specific questions presented by those entities, as well as proactively. The LOU is also primarily responsible for assisting the Office of Governmental Affairs with legislative drafting and analysis. Areas of subject matter expertise within the LOU include court-county collections and justice services interface, court records retention, ADA compliance, court security, grand jury process, Judicial Council governance, judicial appointments and elections, judicial benefits, court filing fees, and trial court funding.

The LOU has been increasing its value to judicial entities, as witnessed by the steadily increasing number of requests for legal guidance it has received. For example, over the last three fiscal years, requests for LOU services grew as follows: in 2007/08, it received 347 requests; in 2008/09 it received 478 requests; and in 2009/10, it received 537 requests.

The LOU continues to issue statewide legal guidance to all trial courts and presently has 38 such opinions posted on the AOC Serranus website, where they are readily accessible by court management as part of LOU's on-line legal library. Examples include guidance on election day issues, court closures, providing prisoners with access to the courts, promulgations of local policies and standing orders, small

claims legislation, imposition of restitution fines, payment for court-ordered forensic examinations, acceptance of gifts and donations, authority of commissioners and traffic referees, vexatious litigants, judicial education and training, and traffic court matters.

The LOU's legal library presently contains 108 legal opinions of general interest to the courts, likewise readily available to court management for guidance through Serranus.

The Real Estate Unit (REU)

From 2003 through 2009, the REU's primary focus was on accomplishing transfers of 532 court facilities from counties to state judicial branch responsibility. After the transfers of trial court facilities were largely completed at the end of 2009, the REU's focus shifted to two main areas of effort: (1) activities associated with management of a large portfolio of real estate that includes both owned and leased facilities, and (2) support for the courthouse construction and renovation projects set forth in the Judicial Branch Five-Year Infrastructure Plan. Work associated with item (1) includes follow-up work to document the transfers (such as obtaining State Public Works Board approval of title transfers), leasing and licensing activities, handling issues that arise with respect to shared-use facilities (where court and county jointly occupy facilities), and issues related to facilities maintenance contracting. Work associated with item (2) includes negotiation and drafting of acquisition agreements, providing advice regarding environmental (e.g., CEQA) compliance, and assisting with construction bidding, contracting, and contract close-out.

In the past five years, the REU has:

1. Assisted with the transfer of responsibility for 451 trial court facilities from the 58 counties to the state.
2. Worked with OCCM to gain State Public Works Board acquisition approval for 26 sites for the construction of new courthouses.
3. Worked with OCCM to complete seven courthouse construction projects.
4. Provided legal support for the management of a real estate portfolio of more than 20 million square feet (500+ buildings).
5. Assisted courts with innovative methods of financing, acquisition, and construction of new courthouses and facility renovation projects (such as the Long Beach public-private partnership and the collaborative development of the Fresno Juvenile Delinquency Court).]

The Rules and Projects Unit (RPU)

- The work of this unit is the most varied within OGC. The unit:
- Provides legal counsel and support to the Judicial Council's Rules and Projects Committee.

- Provides legal counsel and support to the following Judicial Council Advisory Committees and bodies:
 - Access and Fairness Advisory Committee;
 - Appellate Advisory Committee;
 - Civil and Small Claims Advisory Committee;
 - Criminal Law Advisory Committee;
 - Family and Juvenile Law Advisory Committee (CFCC provides lead staff support);
 - Probate and Mental Health Advisory Committee;
 - Traffic Advisory Committee;
 - Advisory Committee on Civil Jury Instructions; and
 - Advisory Committee on Criminal Jury Instructions.

- Provides legal counsel to the following Judicial Council advisory bodies:
 - Judicial Council Parliamentary Process Working Group;
 - Commission for Impartial Courts (CIC) Implementation Committee;
 - Trial Court Presiding Judges Advisory Committee;
 - Court Executives Advisory Committee;
 - Court Technology Advisory Committee;
 - Probate Conservatorship Task Force;
 - Working Groups on Court Security (Gov. Code, sec. 69927 (a); Rule of Court, rules 10.170, 10.171);
 - Court Emergency Response and Security Task Force.

- Provides legal counsel to the Supreme Court Advisory Committee on the Code of Judicial Ethics and as co-staff, to the California State-Federal Judicial Council.

- Provided legal counsel to the following Judicial Council, Supreme Court, and AOC advisory bodies:
 - Commission for Impartial Courts;
 - Implementation Committee for the Supreme Court Committee on Judicial Ethics Opinions;
 - Judicial Recruitment and Retention Working Group;
 - E-Access Working Group;
 - Supreme Court Advisory Committee on Rules for Publication of Court of Appeal Opinions.

- As legal counsel for the AOC, proposed reorganization of the entire body of the Rules of Court and Standards of Judicial Administration into appropriate titles that generally follow the progress of cases from filing through trial and post-trial, effective January 1, 2007.

Below are selected accomplishments from each of the subject matter areas and advisory committees staffed by the RPU:

- Access and Fairness
 - Working with the advisory committee, drafted rules, standards, and forms relating to nondiscrimination in court appointments; disabilities accommodations; grand juror demographic information database; and jury voir dire questions.

- In 2006, supported the Judicial Council in cosponsoring a summit on diversity in the judiciary with the California State Bar's Diversity Pipeline Task Force's Subcommittee on Government and the Public Sector; currently supporting the Judicial Council in cosponsoring the 2011 Summit on Diversity in the Judiciary.
 - Working jointly with the advisory committee and the Education Division, held statewide conferences on issues affecting women of color in the courts.
 - In collaboration with the advisory committee, developed a resource guide for jury commissioners and managers to assist them in recruiting representative civil grand juries.
 - In collaboration with the advisory committee, developed a toolkit that contains programs that the courts can replicate that are designed to increase the diversity of applicants for judicial appointment in California.
 - In collaboration with the advisory committee, developed bench reference guides that provide bench officers with information regarding lesbian, gay, bisexual, transgender, and questioning (LGBTQ) youth who may appear in their courts and information on handling in-session disability accommodations requests.
- Alternative Dispute Resolution (ADR)
 - Managed grant programs that have awarded nearly 150 grants totaling approximately \$7.5 million (since 2004) to support trial court ADR programs for civil cases and to help self-represented litigants effectively access and participate in those programs and provide technical assistance to help the courts carry out these projects (2004–2011).
 - Prepared and collaborated in preparing educational materials regarding ADR for civil cases for judges, court administrators, and court staff.
 - Developed, compiled, and disseminated information and materials about the availability, potential benefits, and successful use of court ADR programs for litigants (including self-represented litigants) and the general public, through ADR pages on the California Courts website, news releases, and other means.
 - Working with the advisory committee, developed proposals for amending the statutes and rules governing the judicial arbitration program to encourage settlement of cases assigned to that program (2010 and 2011).
 - Facilitated collaborations of court staff that assisted in developing and testing ADR functionality in the California Case Management System (2007–2011).
 - Facilitated collaborations of court staff that developed post-mediation surveys that are suitable for statewide use in court-connected mediation programs (2008–2011).
 - Facilitated a collaboration of court staff that developed videos, suitable for statewide use, to encourage and facilitate self-represented litigants' participation in court-connected mediation programs for small claims and unlawful detainer cases (2008–2009).
 - Facilitated a collaboration of court staff that developed best practices and materials, suitable for statewide use, for court-connected mediation programs for civil harassment cases (2009–2010).
 - Working with the advisory committee, developed statewide rules and model standards regarding the qualifications of mediators in court-connected mediation programs for general civil cases (2010).
 - Working with the advisory committee, developed statewide rules establishing standards of conduct for mediators in court-connected mediation programs for general civil cases (2002), and statewide rules and model procedures for addressing complaints that mediators have violated those standards (2009).

- Working with the advisory committee, developed changes to the rules of court to promote public access to proceedings conducted by temporary judges and referees and to the records of these proceedings (2009).
- Appellate Law
 - As staff to the advisory committee, annually consider an average of 50 suggestions for changes to rules and forms relating to appellate courts and procedure.
 - Working with the advisory committee, completely rewrote and reorganized all of the Rules of Court relating to the proceedings in the Supreme Court and Courts of Appeal, originally drafted in 1942-1943, to clarify their meanings and facilitate their use by practitioners, parties, and court personnel (2000-2005).
 - Working with the advisory committee, completely rewrote all of the Rules of Court relating to the superior court appellate divisions and developed new forms designed to assist litigants, particularly self-represented litigants understand and effectively participate in these proceedings. This effort included drafting 148 rules and 25 forms (2003 - 2008).
 - Working with the advisory committee, developed rules to permit the use of videoconferencing for oral argument in the superior court appellate divisions (2009).
 - Working with the advisory committee, assisted in revising and reorganizing the rules relating to appeals and writ proceedings in juvenile delinquency and dependency proceedings (2009).
 - Working with the Court Technology Advisory Committee, assisted in developing rules authorizing pilot program to test electronic filing in the Court of Appeal, Second Appellate District (2009).
 - Working with the advisory committee, amended the rules relating to transfer of cases within the appellate jurisdiction of the superior court appellate division to the Court of Appeal to make these rules clearer and easier to follow and to improve the administration of these proceedings (2010).
- Civil and Small Claims (accomplishments of staff working with the advisory committee)
 - Protective Orders: Revised all civil protective order forms to reflect changes in the laws relating to protective orders and to coordinate formats with.
 - Uniform Rules: Developed uniform civil rules for adoption by Judicial Council, including service of papers, case management, and discovery.
 - Civil Forms: Developed civil forms to assist parties, including self-represented litigants, in many areas including filing pleadings, discovery, small claims, and limited scope representation.
 - Expedited Jury Trials: Developed legislation authorizing and rules of court implementing procedures for civil expedited jury trials, an alternative, streamlined method for handling civil actions to promote the speedy and economical resolution of cases and conserve judicial resources.
 - Uniform Civil Fees: Provided legal counsel to development of statewide uniform civil fees, which replaced 58 different local fee schedules with a standard fee schedule. (AB 145 (Committee on Budget).)
 - Fees Waivers: Provided legal counsel to the Fee Waiver Working Group and developed legislation, rules, and forms regarding fee waivers. (AB 2448 (Feuer)).

- Telephone Appearances: Developed legislation and rules to promote access and reduce costs for litigants by authorizing telephone appearances in many types of civil proceedings. (AB 500 (Lieu).)
 - Electronic discovery: Developed legislation and rules to modernize civil discovery to deal with electronically stored information. (AB 5 (Evans).)
 - Electronic access: Provided legal, procedural, and technical expertise and work with advisory committees to develop and amend rules related to e-filing and remote access to electronic court records.
 - Improved Civil Procedure: Provided legal counsel to explore best practices and to recommend improvements in court procedures in important areas of civil practice including asbestos, collection cases, and smaller civil cases.
- Criminal Law
 - Sentencing Reform: In response to the ruling of the United States Supreme Court in *Cunningham v. California*, which deemed California's determinate sentencing laws constitutionally flawed, (a) collaborated with legislative staff to Senator Gloria Romero to revise California's sentencing statutes, (b) advised the Legislature regarding implementation of sentencing reform, and (c) as staff to the advisory committee, proposed revisions to the Rules of Court to ensure the constitutionality of California's sentencing laws.
 - Change of Venue: Working with the advisory committee, developed rules of court prescribing a uniform statewide change of venue procedure for criminal cases, including detailed guidelines for reimbursement of costs.
 - Habeas Corpus: Working with the advisory committee, developed rules of court to standardize habeas corpus procedure, including filing and deadline requirements.
 - Inter-county Probation Transfers: Collaborated with the Chief Probation Officers of California to revise the statute that governs inter-county probation transfers, a major public safety issue of statewide importance.
 - California Risk Assessment Pilot Project: Assisted in the implementation of a new pilot program in which trial courts use risk assessment information and evidence-based practices in sentencing and probation proceedings to demonstrate their effectiveness in reducing recidivism and holding offenders accountable.
 - Reviewed the impact of court closures on criminal proceedings and considered recommendations to ensure timely processing of cases.
- Coordination of Complex Actions
 - AOC staff attorneys, at the direction of the Chair of the Judicial Council, process petitions for coordination of complex actions pending in different superior courts and perform administrative functions in connection with petitions for coordination.
- Ethics-related Legal Services
 - Provide legal counsel to the Supreme Court Advisory Committee on the Code of Judicial Ethics, which currently is reviewing and considering amendments to the Code of Judicial Ethics based on the ABA Model Code of Judicial Conduct.
 - Provide legal counsel to the Judicial Council's Parliamentary Process Working Group.
 - Provided legal counsel to the Implementation Committee for the Supreme Court Committee on Judicial Ethics Opinions, which developed a rule of court for the creation of the committee.

- On an ongoing basis, respond to approximately 500 ethics-related inquiries per year, including requests for opinions or advice from (1) the Supreme Court about conflicts of interest, (2) presiding judges, court executive officers, and AOC employees/divisions about various ethics issues, and (3) other states looking for information about how the California judiciary handles certain ethics issues.
- Assist the Education Division in developing ethics training that all judicial officers must take once every three years and in providing ethics-related classes, including courses on handling complaints about subordinate judicial officers, and judicial ethics for judges and staff (both AOC and court administration).
- Oversee the Commission on Judicial Performance defense insurance program.
- Jury Instructions
 - Collected approximately \$500,000 per year in royalties from the Judicial Council's copyrighted instructions to be used to fund jury improvement projects.
 - Researched new cases and statutes to maintain currency of official civil and criminal jury instructions.
 - Drafted new and revised proposed jury instructions and worked with the advisory committees to propose jury instructions to the Judicial Council.
 - Advisory Committee on Civil Jury Instructions
 - Judicial Council originally published California Civil Jury instructions (CACI) in September 2003.
 - CACI currently includes over 941 instructions. A new two-volume soft-cover edition of CACI is published every year in January. An annual supplement is issued in June.
 - Advisory Committee on Criminal Jury Instructions
 - Judicial Council originally published California Criminal Jury Instructions (CALCRIM) in August 2005.
 - CALCRIM currently includes over 718 instructions. The most recent edition of CALCRIM is the April 2011 supplement.
- Probate and Mental Health (accomplishments of staff working with the advisory committee and the Chief Justice's Probate Conservatorship Task Force)
 - During the period 1998–2005, working with the advisory committee and its predecessor task force, drafted the first comprehensive set of statewide rules of practice in probate matters, including decedents' estates, conservatorships, guardianships, and proceedings concerning the internal affairs of and trusts.
 - Drafted foundational set of Judicial Council forms for use in decedents' estates, guardianship, and conservatorship practice.
 - Wrote and oversaw the printing and distribution to the courts of two editions of the *Handbook for Conservators*, publication providing valuable information to professional and nonprofessional conservators, concerning their fiduciary duties, to satisfy the requirements of Probate Code section 1835.
 - In 2005, working with the advisory committee, in response to legislative direction, drafted the first comprehensive statewide requirements for experience, education, training, and registration of private professional conservators and guardians.
 - In 2005 and 2006, helped draft legislation that became part of the Omnibus Conservatorship and Guardianship Reform Act of 2006, the most significant legislative reform of conservatorship law and practice since 1979.

- During the period 2006–2007, provided legal expertise to the Chief Justice’s Probate Conservatorship Task Force, including the development of 86 recommendations accepted by the Judicial Council in October of 2007.
 - In 2008 and 2009, working with the advisory committee, helped the Judicial Council adopt and implement a majority of the Probate Conservatorship Task Force’s recommendations.
 - In 2009, working with a group of members of the advisory committee and the Civil and Small Claims Advisory Committee, including leading plaintiffs’ and insurance defense attorneys, developed a complete revision of the forms and rules of court applicable to the presentation of proposed compromises or settlements of claims and actions of minors and disabled adults for court consideration and approval.
 - During the period from 2006 through 2010, working with the advisory committee, developed 27 new and amended rules of court and 89 new and revised Judicial Council forms used in probate practice.
- Traffic (funded by the Motor Vehicle Account, State Transportation Fund)
 - Working with the advisory committee, developed rules and forms for traffic-related matters, including installment payment of traffic bail, appellate procedures for traffic cases, eligibility to attend traffic violator school programs, and trial by written declaration.
 - Legislation: researched and drafted legislation to amend statutes, including provisions for notice to appear citation forms, civil assessments for failure to appear at court, court assistance programs, traffic violator schools, fees for night and weekend court sessions, processing of traffic citations, and installment payment plans for traffic bail.
 - Uniform Bail and Penalty Schedules: working with the advisory committee, annually prepare statutorily-required statewide uniform bail and penalty schedules for traffic infractions and misdemeanors.
 - Training for Judicial Officers and Court Staff: Prepared and updated public outreach materials regarding traffic violation issues for judicial officers to use in presentations to community and school groups.

The Secretariat Unit

- Provides staff support to the Chief Justice and the Judicial Council by preparing the council for and executing formal and informal meetings.
- Provides staff support to the Executive and Planning Committee.
- Designed and implemented a process for the Judicial Council to review and update its 1998 Judicial Council Governance Policies.
- Designed and implemented improvements to the annual agenda review process by which the Judicial Council oversees and interacts with its advisory committees and task forces.
- Collaborated with the Executive Office Programs’ Editing and Graphics Group to develop and implement a new council report structure, including the creation of a comprehensive report writing manual with samples, and design and deliver training for AOC staff.
- Proposed amendments to the California Rules of Court to conform to the 2008 updated Judicial Council Governance Policies.

- Drafted and annually update the Judicial Council Policy Reference Manual, a quick overview of the evolution of significant judicial administration topics from a policy perspective, which includes topics organized under the 6 branch goals.
- Executed leadership meetings for advisory committee and task force chairs and vice chairs in February 2009 and February 2011, to provide information about the role and responsibility of advisory committees and chairs under the updated governance policies.

Transactions and Business Operations Unit (TBOU)

- Completed difficult and protracted negotiations with foreign capital and equity participants in Long Beach Courthouse PBI, the first Public Private Partnership of its kind in California.
- Assisted participating courts in renegotiation of ISD case management services agreements.
- Amended the CCMS (Deloitte) V4 Development Agreement to take account of development delays.
- Drafted and negotiated numerous agreements between courts and dependency counsel.
- Developed and drafted new rule of court 10.500 providing public access to records held by the courts and AOC. Drafted educational materials to assist courts and AOC in responding to requests in a timely and complete manner. Provided legal staff to assist with responses to public access requests.
- Drafted and negotiated \$91 million agreement for management of the CCTC (technology center) using a new technique of requiring clarification sessions in the pre-BAFO stage to drive competition between vendors prior to selection and contract negotiation.
- Drafted and negotiated agreements with Deloitte and other vendors re California Case Management System.
- Structured, identified legal issues, advised on legal risk, and prepared documentation related to the development of a Public Private Partnership delivery method for capital improvements (e.g., Long Beach courthouse project—currently in final negotiations).
- Developed contract templates for AOC and court use.
- Assisted and advised almost all of the 58 trial courts and the majority of the appellate courts and have handled over the past 5 years over 1,400 contracts and significant business issues requiring legal assistance and advice.
- Assisted with the negotiation of a settlement of TRIRIGA claims for payment for facilities management software maintenance and support.
- Resolved potential dispute regarding amounts owed for maintenance and support for Integration backbone software (ISB) maintenance and support under branch-wide license:
- Developed data security policy along with outside consultant and ISD.
- Attorney hours providing advice: approximately 7,600 per year.
- Attorney hours drafting and negotiating contracts and other instruments: approximately 8,000 per year.
- During the past five years TBOU has completed drafting and negotiation of over 50 Memoranda of Understanding between trial courts and counties covering such services as security, mediation, and building maintenance.

- Following the March 2011 enactment of the new California Judicial Branch Contract Law, drafted and developed the mandated Judicial Branch Contracting Manual adopted by the Judicial Council at its August 26, 2011, meeting; the Manual addresses contracting and procurement for all 58 trial courts, the appellate courts, the AOC, and the Habeas Corpus resource Center.

III. Status of Current Projects and Initiatives

Describe major projects or initiatives the Division is currently undertaking and/or supporting and the status of each; including background/purpose; outstanding issues, if any; and timetable or anticipated completion, if applicable.

Labor and Employment Unit (LEU)

The LEU has developed and is continuing to expand curriculum and materials for a full-day training in labor law to be made available to the trial courts and covering such topics as history and overview of the Trial Court Employment Protection and Governance Act, union representation in the public sector, collective bargaining, Skelly and Weingarten rights in the context of discipline and termination, and issues of particular current interest such as court management during budget crises, court closures and mandatory furloughs.

Real Estate Unit (REU)

- Ongoing real estate legal services, including support for 57 court construction projects. Legal support on capital projects includes negotiation and drafting of site acquisition agreements, architectural and engineering agreements, and construction contracts, as well as monitoring and providing advice on environmental review under the California Environmental Quality Act (CEQA).
- Advice and contract development for ongoing maintenance activities in the approximately 20 million square feet of real estate assets that are under judicial branch management.
- Formal and informal legal opinions regarding facility-related issues.

Rules and Projects Unit (RPU)

Ongoing responsibilities include:

- Providing legal counsel and staff to the council's Rules and Projects Committee, several of the council's advisory committees and task forces, and to Supreme Court advisory committees;
- Providing subject matter expertise on rules of court, Judicial Council forms, jury instructions, and legislation;
- Providing legal advice on ethics inquiries involving court administration and ethics-related training;
- Working with staff in the Office of Governmental Affairs to draft council-sponsored legislation and to achieve the council's legislative agenda; and
- Administering programs in the courts, such as the alternative dispute resolution and complex civil litigation programs.

Secretariat Unit

Ongoing responsibilities include supporting the Chief Justice and the Judicial Council by, among other things:

- Providing staff support to all council members;
- Supporting two of the council's internal committees: the Executive and Planning Committee and California Case Management System Committee;
- Preparing the council for and executing formal and informal meetings;
- Preparing agendas and minutes for council meetings;
- Managing the public comment process for the Judicial Council meetings;
- Continuously updating the California Courts website with current materials for Judicial Council meetings, including agendas, reports, unedited transcripts, audio recordings, media releases, and other media material;
- Providing coaching and assistance to AOC staff in preparing reports (oral and written) to the council.
- Providing timely information to the public before and after meetings;
- Facilitating real-time audio and text streaming during meetings;
- Developing and executing annual orientations of council members; and
- Managing the solicitation and review of nominations for the positions on the council, its advisory committees, and some of its working groups and task forces.

Transactions and Business Operations Unit (TBOU)

- Leading branchwide implementation of new California Judicial Branch Contract Law (2011);
- Instituting review of Finance's RFP procedures to unify and normalize RFP process;
- Providing timely legal opinions and advice regarding contracting and court business related issues; and
- Continuing development of public access assistance to assure compliance with Rule of Court 10.500.

IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

Describe the Division's outlook and opportunities for the future (i.e., where is the Division headed and what should you be doing?), as well as any challenges or pending issues.

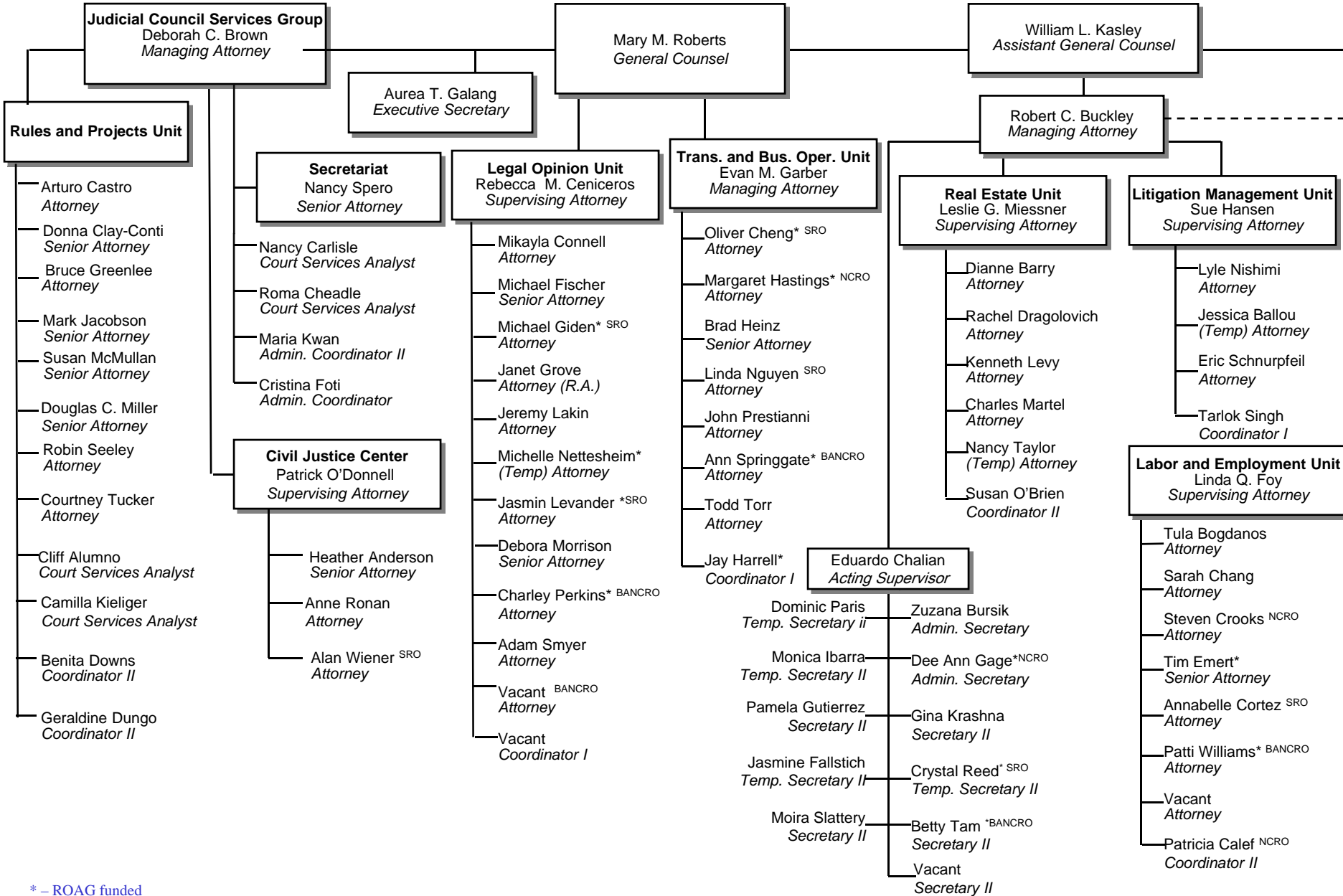
The OGC will continue to provide the broad array of legal and Judicial Council services described above. The primary challenge the OGC faces is the reality of resource limitations in the face of expanding need for services.



ADMINISTRATIVE OFFICE
OF THE COURTS

OFFICE OF THE GENERAL COUNSEL

CURRENT



* – ROAG funded
R.A. –Retired Annuitant

Office of General Counsel
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 7,050,284	\$ 7,765,915	10.2%	\$ 7,656,532	-1.4%	\$ 7,514,146	-1.9%	\$ 7,148,019	-4.9%	1.4%
Benefits	2,205,583	2,445,214	10.9%	2,416,445	-1.2%	2,416,395	0.0%	2,468,440	2.2%	11.9%
Subtotal Personal Services	\$ 9,255,867	\$ 10,211,128	10.3%	\$ 10,072,977	-1.4%	9,930,542	-1.4%	9,616,458	-3.2%	3.9%
Operating Expense & Equipment (OE&E)										
Rent	\$ 1,056,829	\$ 1,155,132	9.3%	\$ 1,171,413	1.4%	\$ 1,131,968	-3.4%	\$ 1,164,774	2.9%	10.2%
OE&E (Excludes Rent)	2,063,973	1,702,978	-17.5%	1,540,660	-9.5%	1,584,971	2.9%	1,039,377	-34.4%	-49.6%
Subtotal OE&E	\$ 3,120,802	\$ 2,858,110	-8.4%	\$ 2,712,072	-5.1%	\$ 2,716,939	0.2%	\$ 2,204,150	-18.9%	-29.4%
Special Items of Expense	4,992	-	-100.0%	49,500	0.0%	33,782	-31.8%	2,000	-94.1%	-59.9%
TOTAL SUPPORT EXPENDITURES	\$ 12,381,661	\$ 13,069,238	5.6%	\$ 12,834,549	-1.8%	\$ 12,681,263	-1.2%	\$ 11,822,609	-6.8%	-4.5%
Local Assistance	6,844,524	6,914,763	1.0%	5,988,702	-13.4%	5,351,581	-10.6%	5,097,559	-4.7%	-25.5%
TOTAL EXPENDITURES	\$ 19,226,185	\$ 19,984,001	3.9%	\$ 18,823,251	-5.8%	\$ 18,032,844	-4.2%	\$ 16,920,168	-6.2%	-12.0%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ 8,660,114	\$ 9,192,678	6.1%	\$ 8,793,164	-4.3%	\$ 8,954,911	1.8%	\$ 8,498,555	-5.1%	-1.9%
Motor Vehicle Account, State Transportation Fund	140,991	141,269	0.2%	185,014	31.0%	175,123	-5.3%	185,370	5.9%	31.5%
Trial Court Improvement Fund	1,543,783	1,521,771	-1.4%	1,599,812	5.1%	1,254,933	-21.6%	1,561,958	24.5%	1.2%
State Court Facilities Construction Fund	2,036,773	2,213,519	8.7%	2,256,559	1.9%	2,296,296	1.8%	1,576,726	-31.3%	-22.6%
Subtotal General Fund & Special Funds	\$ 12,381,662	\$ 13,069,238	5.6%	\$ 12,834,549	-1.8%	\$ 12,681,263	-1.2%	\$ 11,822,609	-6.8%	-4.5%
LOCAL ASSISTANCE										
Trial Court Improvement Fund ³	\$ 6,769,524	\$ 6,699,763	-1.0%	\$ 5,913,702	-11.7%	\$ 5,351,581	-9.5%	\$ 5,097,559	-4.7%	-24.7%
Modernization Fund ^{2,3}	75,000	215,000	186.7%	75,000	-65.1%	-	-100.0%	-	0.0%	-100.0%
Subtotal Local Assistance	\$ 6,844,524	\$ 6,914,763	1.0%	\$ 5,988,702	-13.4%	\$ 5,351,581	-10.6%	\$ 5,097,559	-4.7%	-25.5%
TOTAL EXPENDITURES - ALL FUNDS	\$ 19,226,186	\$ 19,984,001	3.9%	\$ 18,823,251	-5.8%	\$ 18,032,844	-4.2%	\$ 16,920,168	-6.2%	-12.0%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾ Excludes funding for Alternative Dispute Resolution and Civil Complex Litigation Management.

Office of the General Counsel
Five-Year Local Assistance Fiscal Detail
Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund¹</i>										
Litigation Management Program	\$ 5,063,841	\$ 4,607,435	-9.0%	\$ 3,729,346	-19.1%	\$ 4,059,403	8.9%	\$ 4,067,810	0.2%	-19.7%
Judicial Performance Defense Insurance	753,165	780,193	3.6%	761,395	-2.4%	762,134	0.1%	761,773	0.0%	1.1%
Subscription Cost for Judicial Conduct Reporter	28,770	28,770	0.0%	21,610	-24.9%	19,725	-8.7%	19,725	0.0%	-31.4%
Trial Court Transactional Assistance Program	593,748	739,069	24.5%	763,921	3.4%	510,319	-33.2%	248,250	-51.4%	-58.2%
Settlement Support Services for Unrepresented Litigants	330,000	330,000	0.0%	330,000	0.0%	-	-100.0%	-	0.0%	-100.0%
Regional Office Assistance Group - Support	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Legal Services for P3 Agreement	-	200,000	0.0%	300,000	50.0%	-	-100.0%	-	0.0%	0.0%
E-Access Working Group Meeting	-	12,423	0.0%	7,223	-41.9%	-	-100.0%	-	0.0%	0.0%
Working Group on Personal Information/Court Outsourcing	-	1,873	0.0%	(91.00)	-104.9%	-	-100.0%	-	0.0%	0.0%
Jury System Improvement Projects	-	-	0.0%	-	0.0%	-	0.0%	-	0.0%	0.0%
Litigation Management Program	-	-	0.0%	273.00	0.0%	-	-100.0%	1.00	0.0%	0.0%
OGC Administration	-	-	0.0%	25.00	0.0%	-	-100.0%	-	0.0%	0.0%
Subtotal, Trial Court Improvement Fund	\$ 6,769,524	\$ 6,699,763	-1.0%	\$ 5,913,702	-11.7%	\$ 5,351,581	-9.5%	\$ 5,097,559	-4.7%	-24.7%
<i>Judicial Administration Efficiency and Modernization Fund^{1,2}</i>										
Plain and Foreign Language Translation	\$ 75,000	\$ 75,000	0.0%	\$ 75,000	0.0%	\$ -	-100.0%	\$ -	0.0%	-100.0%
Ten Years later - Achieving Equal Justice for Women and Men	-	140,000	0.0%	-	-100.0%	-	0.0%	-	0.0%	0.0%
Subtotal, Modernization Fund	\$ 75,000	\$ 215,000	186.7%	\$ 75,000	-65.1%	\$ -	-100.0%	\$ -	0.0%	-100.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ 6,844,524	\$ 6,914,763	1.0%	\$ 5,988,702	-13.4%	\$ 5,351,581	-10.6%	\$ 5,097,559	-4.7%	-25.5%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² Excludes funding for Alternative Dispute Resolution and Civil Complex Litigation Management.

Office of Governmental Affairs

Curtis Child
Division Director

Overview of Administrative Office of the Courts Programs and Resources Office of Governmental Affairs (OGA)

I. Organizational Structure of the Division and Services Provided

On behalf of the judicial branch, the AOC's Office of Governmental Affairs (OGA) represents and advocates for the Judicial Council on legislative, policy, and budget matters. In furtherance of a strong, independent, and efficient court system, the office coordinates the development of Judicial Council-sponsored legislation.

In addition to developing legislation for sponsorship and advocating on that legislation, OGA analyzes all legislation to identify bills of interest to the judicial branch, and assists the council's Policy Coordination and Liaison Committee (PCLC) in formulating positions on bills. OGA works with the various Judicial Council advisory committees to develop recommendations from the committee for PCLC consideration for positions on legislation. OGA participates in legislative proceedings, including committee hearings and meetings with legislators, staff, and interested parties, to effectively advocate adopted legislative positions. The office also works extensively on the judicial branch budget and related matters, meeting with legislators, committees, committee and leadership staff, as well as staff for the Governor and the state Department of Finance. OGA presents before budget committees when appropriate and makes every effort to be involved in the drafting of budget trailer bill legislation affecting the judicial branch. OGA provides staff support to court-related organizations and networks in support of judicial branch legislative activities, and promotes effective communications within the judiciary and with groups such as the State Bar, local, specialty and minority bars, legal services organizations, and the California Judges Association.

OGA serves as staff to the Bench-Bar Coalition, coordinating bench, bar, and legal services leaders to advocate in support of the needs of the judiciary. The Bench Bar Coalition conducts Day in Sacramento events each year as well as meeting with legislators in their district offices, and seeks to establish relationships with legislators to serve as a resource for them and to provide legislators with periodic updates on issues that impact the judiciary. OGA is also responsible for coordinating the logistics of the Chief Justice's State of the Judiciary Address and the forum that follows with legislators, constitutional officers, and others.

OGA is responsible for arranging and coordinating liaison activities with the Chief Justice and key justice system partners. This coordination involves establishing the agenda of issues of mutual concern/interest and briefing the Chief Justice and other judicial branch attendees on those issues. Key justice system partners with whom the Chief Justice has conducted such liaison meetings with in the past include: civil plaintiff and defense bar, the district attorney's association, public and private criminal defense bar, state sheriffs, county supervisors, the State Bar, the Attorney General, and others.

OGA also coordinates with legislative oversight committees and participates in hearings of such committees on judicial branch issues. Examples include hearings of the Assembly Committee on Accountability and Administrative Review in 2009 and 2010 on CCMS and court facilities operations and maintenance and hearings of the Joint Legislative Audit Committee.

The office also identifies legislative mandates for the branch and tracks implementation of the legislative mandates on the Judicial Council and the AOC (i.e., required reports to the Legislature, Rules of Court, and new and revised forms). OGA reviews every statutorily mandated report submitted to the Legislature on behalf of the Judicial Council to ensure compliance with the statutory requirement, appropriate message and tone, consistency with prior reports submitted and prior messages delivered, as well as to ensure appropriate distribution within the Legislature. In addition, OGA conducts annual New Laws Workshops for court staff, providing a forum for understanding the statutory changes that will impact the court in the coming year, and for discussing strategies for implementing those legislative changes. In 2009 and 2010 these workshops were delivered as webinars to reduce the cost of the training and also to limit the time away from the court for court staff.

OGA has also worked with the National Center of State Courts in supporting federal legislation impacting the judicial branch, and monitored and advocated support for some federal legislation that will specifically benefit the judicial branch in California. Now, with limited resources available (including the cessation of a contract with a consulting firm in Washington, DC), OGA will not be able to continue this work on a regular basis.

The Office of Governmental Affairs has 13 authorized staff positions (11.85 filled), and divides up its work by subject matter rather than dividing the division into sub-units.

II. Division Accomplishments/Achievements Since Fiscal Year 2005–2006

Because of the unique nature of the work performed by OGA, answers to this and the following questions may differ significantly from other divisions. OGA's major accomplishments and achievements are, for the most part, pieces of legislation that were enacted, or successfully opposed, or successfully changed to meet the needs of the judiciary. Accomplishments and achievements are also reflected in budget successes, or avoidance of budget reductions impacting the judicial branch. Listed below are a few examples of important legislation OGA was successful in getting enacted.

AB 145 (Committee on Budget, Stats. 2005, ch.75) – Creating uniform civil filing fees.

SB 56 (Dunn, Stats. 2006, ch.390) – Authorizing the first set of 50 new judgeships. All 50 judgeships were funded and appointed.

SB 10 (Dunn, Stats. 2006, ch.444) – Allowing significant acceleration in progress on the transfer of court facilities from the counties to the state by revising the Trial Court Facilities Act to allow buildings with a seismic Level V rating to transfer to the state so long as liability for earthquake-related damage, replacement, injury, and loss remains with the counties to the same extent they would have been liable if the responsibility for court facilities had not transferred to the state.

AB 159 (Jones, Stats. 2007, ch.722) – Authorizing the second set of 50 new judgeships, authorizing the conversion of 162 subordinate judicial officer (SJOs) positions to judgeships upon vacancy, at the rate of up to 16 per year. Funding for the judgeships was initially contained

in the 2007-08 budget, but due to fiscal circumstances the funding was delayed and has not yet been provided. With regard to the SJO conversions, 16 positions have been converted for each of the four fiscal years since the enactment of this legislation (2007-08, 2008-09, 2009-10, and 2010-11). To date, 11 conversions for 2011-12 have taken place. (OGA secures authorization for the 16 conversions each fiscal year as part of the budget act.)

AB 1491 (Jones, Stats. 2008, ch.9) – Reviving and extending the deadline for transfer of court facilities from counties to the state. The authorization to transfer facilities expired June 30, 2007. AB 1491 extended that deadline to December 31, 2009. All 532 facilities transferred by that date.

AB 2448 (Feuer, Stats. 2008, ch.462) – Revising the existing statute governing court fee waivers to ensure that indigent litigants have an opportunity to access the courts in a timely manner, and to provide for recovery of those fees in those cases in which it is appropriate. This legislation was the product of a working group that determined that it would be beneficial to incorporate the existing statute and rules of court that govern fee waivers into a new statutory structure that would ensure that fee waiver applications are processed in a consistent manner that promotes timely access to the courts. In addition, the working group worked to develop enhanced provisions for the recovery of waived fees in order to fulfill the obligation of the court to be fiscally responsible in seeking to collect waived fees in appropriate circumstances.

SB 1407 (Perata, Stats. 2008, ch.311) – Authorizing the Judicial Council to initiate a \$5 billion capital outlay program for the renovation, rehabilitation, and replacement of California's courthouses. The bill enacted a combination of increases to filing fees for civil and probate cases, increases to assessments on criminal convictions, traffic infractions and violator school fees, and parking tickets to support debt service payments on revenue bonds to be issued in the future. This bill provided the resources to start the crucial renovation and construction of the most immediate and critical need courthouses in California without committing any state General Fund to these projects. Although in prior years legislation was sought to secure general obligation bonds to fund courthouse construction, as it was the Judicial Council's position that state court infrastructure should be funded by the state, and not by fees and fines, the state of economy made it necessary to instead provide revenue bonds funded by court users.

SBX2 11 (Steinberg, Stats. 2009-10 2nd Ex. Sess., ch.9) – Preserving supplemental local judicial benefits for those judges that had received them prior to July 1, 2008. This bill was a narrow measure needed to correct a constitutional defect with these benefits identified by the Court of Appeal in *Sturgeon v. County of Los Angeles*, 167 Cal. App.4th 630. The court in *Sturgeon* held that language included in the Trial Court Funding Act of 1997 did not validly delegate the authority of the Legislature to prescribe the compensation for a judge to the counties, rendering the existing Los Angeles County supplemental judicial benefits program unconstitutional. SBX2 11 provided valid authority for the continued provision of these benefits in any county in which local supplemental benefits had been offered, and establish disciplinary immunity for the judges who received the benefits in the past.

SBX2 12 (Steinberg, Stats. 2009-10 2nd Ex. Sess., ch.10) – Allowing the Judicial Council to expedite the construction of court facilities funded by SB 1407 by eliminating unnecessary delays in moving from one project phase to the next, and allowing the council to begin the process immediately. The bill gave the Judicial Council the needed flexibility to take advantage of local land donations or other opportunities that will further streamline the construction process and minimizing project costs.

AB 12 (Beall, Stats. 2010, ch. 559) – Implementing at the state level two new optional federal foster care programs to: (1) replace the existing state Kinship-Guardianship Assistance Program (Kin-GAP) with a federally subsidized relative guardianship program as a route to exit dependency and foster care; and (2) access federal funds to provide transitional foster care services for dependent youth ages 18 to 20. This bill included recommendations from the Judicial Council’s Blue Ribbon Commission on Children in Foster Care convened by the Chief Justice of California.

AB 1926 (Evans, Stats. 2010, ch. 167) – Authorizing courts to create, maintain, and preserve records in any form or forms—including paper, optical, electronic, magnetic, micrographic, or photographic media or other technology—that satisfies standards or guidelines.

AB 2284 (Evans, Stats. 2010, ch.674) – Establishing the Expedited Jury Trials Act, which among other things, defines expedited jury trial as a binding jury trial before a reduced jury panel and judicial officer.

AB 2499 (Portantino, Stats. 2010, ch.599) – Consolidating all traffic violator school programs under the licensing authority of the Department of Motor Vehicles rather than having the courts responsible for regulation of online traffic violator schools.

AB 2763 (Committee on Judiciary, Stats. 2010, ch.690) –Authorizing the Judicial Council to convert up to an additional 10 subordinate judicial officer positions to judgeships each year, upon annual ratification by the Legislature, if the conversion of these additional positions results in a judge being assigned to a family or juvenile law assignment previously presided over by a subordinate judicial officer.

A top priority of the Judicial Council for the 2010 and 2011 legislative sessions was to advocate for sufficient resources to allow courts to remain open and fund the courts at an appropriate level so that the public’s access to justice is not denied. As a result of these efforts, the 2010-11 budget included the following sources of revenue to support court operations:

- (1) First paper civil filing fee increase - \$40, for 3 years
- (2) Increase in the court security fee of \$10 (imposed on conviction) – for 2 years, plus elimination of the sunset date on the \$10 increase in this fee approved as part of last year’s budget
- (3) \$3 increase in parking penalties
- (4) \$20 fee incorporated into the telephonic appearance fee that will go to support court operations. As part of this fee increase, the language will direct the AOC to establish

statewide master agreements with vendors of telephonic appearances to provide a uniform fee statewide and eliminate the need for courts to contract individually with vendors and do separate RFPs, etc.

- (5) Increase in the filing fee for a summary judgment motion (from current fee of \$200 to \$500)
- (6) Increase in the filing fee for appearing pro hac vice (from current fee of \$250 to \$500, plus adding a \$500 annual renewal fee)

The 2011-12 budget included a few provisions (in legislation awaiting the Governor's signature) to help mitigate, in even a small way, the \$350 million reduction to the judicial branch budget for this fiscal year:

- (1) Deleting language that would have triggered reductions in existing civil filing fees because the Budget Act of 2011 decreased the General Fund transfer to the Trial Court Trust Fund in excess of 10 percent from the amount appropriated in the 2010-2011 fiscal year. This amendment prevents an additional loss of \$6.9 million in funding for trial courts resulting from the budget reductions.
- (2) Creating a responsive filing fee of \$325 for appeals and appellate writs. This is projected to generate approximately \$731,000 annually, and will provide a much-needed cushion to the Courts of Appeal and Supreme Court, which have few discretionary functions and expected budget reductions of approximately \$15 million in fiscal year 2011-2012.
- (3) Narrowing the types of cases for which courts must send sentencing transcripts to the California Department of Corrections and Rehabilitation (CDCR). This amendment updates a provision enacted in 1976 to conform to the current-day needs of CDCR for sentencing transcripts from the courts, for a savings of approximately \$300,000 annually.
- (4) Delaying until September 30, 2013, a statutorily required study on the "default prove-up" process pertaining to collections cases. Rather than expending resources on a study at this time, key stakeholders are currently working on the substantive issues underlying the study.

Also, in 2011, OGA worked closely and extensively with the administration on the amendments to the Criminal Justice Realignment Act, contained in AB 116 (Stats. 2011, ch. 136) to narrow the role of the judiciary in parole revocation hearings.

In addition, as a result of the Judicial Council's direction, and OGA advocacy, along with that of the Chief Justice, Executive Office, and Finance Division, the past couple of budgets have included negotiated redirections of funds to support court operations. In the 2010-11 budget, the budget act contained a negotiated redirection of \$130 million in redirections:

- (1) \$31.6 million from the Trial Court Trust Fund, Trial Court Improvement Fund, or Judicial Administration, Modernization, and Efficiency Fund to the Trial Court Trust Fund for the support of court operations;
- (2) \$73.4 million from the Immediate and Critical Needs Account of the State Court Facilities Construction Fund to the Trial Court Trust Fund for the support of court operations; and

- (3) \$25 million from the State Court Facilities Construction Fund to the Trial Court Trust Fund for the support of court operations.

The 2011-12 budget contained negotiated redirections to address the trial court share of the first \$200 million reduction, and general language to ensure that the additional \$150 million reduction was spread across the judiciary, because this additional reduction was scheduled in the budget bill entirely for the support of court operations. The itemized redirections contained in the budget bill (all to the Trial Court Trust Fund for the support of trial court operations) were:

- (1) \$130 million from the State Court Facilities Construction Fund and the Immediate and Critical Needs Account, with the division between those funds to be determined by the Judicial Council;
- (2) Redirection of \$10 million from the State Court Facilities Construction Fund and \$10 million from the Immediate and Critical Needs Account from funds planned for facility modifications;
- (3) Redirection of \$20 million from the Judicial Administration, Modernization, and Efficiency Fund; and
- (4) Redirection of \$10 million from planned California Court Case Management System (CCMS) expenditures. Budget bill language also provides the intent of the Legislature that the redirection of funding and any other available court funding, including local reserves, be used to prevent court closures or reductions in court service hours.

The above is just a sampling of pieces of legislation on which OGA worked over the past several years. Not listed here are achievements in limiting budget reductions or bills which OGA was successful in defeating or amending in such a way as to make them workable or beneficial for the judicial branch. Also not described is the growth in participation in the Bench-Bar Coalition events, especially the Day in Sacramento activities and the initiation of and improvement in the delivery of New Laws Workshop training to court staff.

III. Status of Current Projects and Initiatives

The work of the Office of Governmental Affairs is primarily structured around and responsive to the timelines of the legislative session. Major projects or initiatives the Division is currently undertaking include:

Judicial Council-sponsored legislation:

AB 458 (Atkins) - Prohibits a court from appointing a minor's parent as a guardian of the person of the minor, except as specified. Establishes requirements for transferring a proceeding to another court in circumstances in which a proceeding that concerns custody or visitation of a minor child is pending in one or more counties at the time the petition for guardianship is filed, and specifies circumstances under which the court in a guardianship proceeding would maintain exclusive jurisdiction to determine issues of custody or visitation. Requires the court in which a

guardianship proceeding is filed to communicate with each court where a custody or visitation proceeding is pending prior to making a determination on maintaining or transferring the guardianship proceeding. (Status: This bill was recently signed into law)

AB 1405 (Committee on Judiciary) - Authorizes the third set of 50 critically needed new trial court judgeships. (Status: This is a 2-year bill.)

SB 405 (Corbett) - Ratifies the authority of the Judicial Council to convert 10 additional subordinate judicial officer positions to judgeships in the 2011–12 fiscal year where the conversion will result in a judge being assigned to a family law or juvenile law assignment previously presided over by a subordinate judicial officer. (Status: Approved by the Assembly Appropriations Committee 8/25/11.)

SB 503 (Vargas) - Amends the Judges' Retirement System II (JRS II) statutes to allow JRS II members who previously served as subordinate judicial officers (SJOs) to purchase JRS II service credit for a fraction of their SJO years. Clarifies that proposed time restrictions on a return to service for members of public retirement systems would not apply to those taking judicial office or specified SJOs. (Status: Amendments are being taken in response to opposition in the Senate to limit the bill to the provision relating to purchase of service credits.)

SB 731 (Committee on Judiciary) - Makes various changes to improve the handling of judicial arbitration awards, and streamlines the procedures governing vexatious litigants. (Status: This bill was recently signed into law.)

Other key pieces of legislation the Division is involved with (but not Judicial Council-sponsored) which are currently pending include:

AB 141 (Fuentes) – Requires the court, when admonishing the jury against conversing about a trial, to clearly explain, as part of the admonishment, that the prohibition applies to all forms of communication, research, and dissemination of information, including electronic and wireless devices. Requires the officer in charge of a jury to prevent any form of electronic or wireless communication. Provides that violation of this admonishment constitutes criminal and civil contempt of court. JC position: Support. (Status: This bill was recently signed into law.)

AB 618 (Furutani) - Enacts the California Language Access Bill of Rights. Requires the court to provide separate interpreters for defendants and witnesses, and for co-defendants in specified proceedings. Requires the court to determine the competency of an interpreter at any time during a proceeding if the court finds good cause to question whether the interests of justice or administrative efficiency would be harmed by the continuing service of the interpreter. Prohibits any non-interpreter staff person of the court, sheriff, probation, or specified other local government entities from providing interpreter services unless the court uses existing mechanisms for qualifying a non-certified interpreter. JC position: Oppose. (Status: This bill was held in the Senate Appropriations Committee on 8/25/11.)

AB 973 (Campos) – Requires each trial court, prior to adopting a baseline budget plan for the fiscal year, to provide the public notice of, and an opportunity for input on, the trial court's proposed budget plan, either by conducting a public hearing or accepting of written comments. Makes the public hearing mandatory as of January 2015. JC position: Neutral as amended.

(Status: This bill was approved by Senate Appropriations Committee on 8/25/11 with the following amendments: (1) eliminate the obligation to conduct public hearings as of January 2015, maintaining the discretion of the court to either hold a public hearing or accept written comment; and (2) sunset the bill as of January 1, 2017.)

SB 221 (Simitian) – Increases small claims court jurisdiction for actions brought by natural persons from \$7,500 to \$10,000. Delays, until January 1, 2015, operation of jurisdictional increase for bodily injury claims resulting from vehicle accidents. JC position: Support. (Status: This bill was recently signed into law.)

SB 326 (Yee) - Requires the Judicial Council to adopt a rule of court requiring courts to provide same day access to specified civil and criminal case initiating documents. JC position: Oppose as introduced; neutral as amended May 10; oppose as amended August 22. (Status: This bill was held in the Assembly Appropriations Committee on 8/25/11.)

The division is also actively involved in budget and legislative issues arising from the July 22, 2011, Judicial Council budget allocations to the trial courts, and the impact those reductions will have on courts' abilities to provide appropriate and constitutionally required services to the public. The division has also started preparing for mid-year and 2012-2013 budget discussions and negotiations.

The division also continues its extensive involvement in clean up and implementation of the criminal justice realignment. This activity currently requires nearly the fulltime commitment of a senior attorney from OGA. Finally (although this listing is far from comprehensive), OGA is involved in continuing discussions, negotiations, and implementation issues regarding the realignment of court security funding.

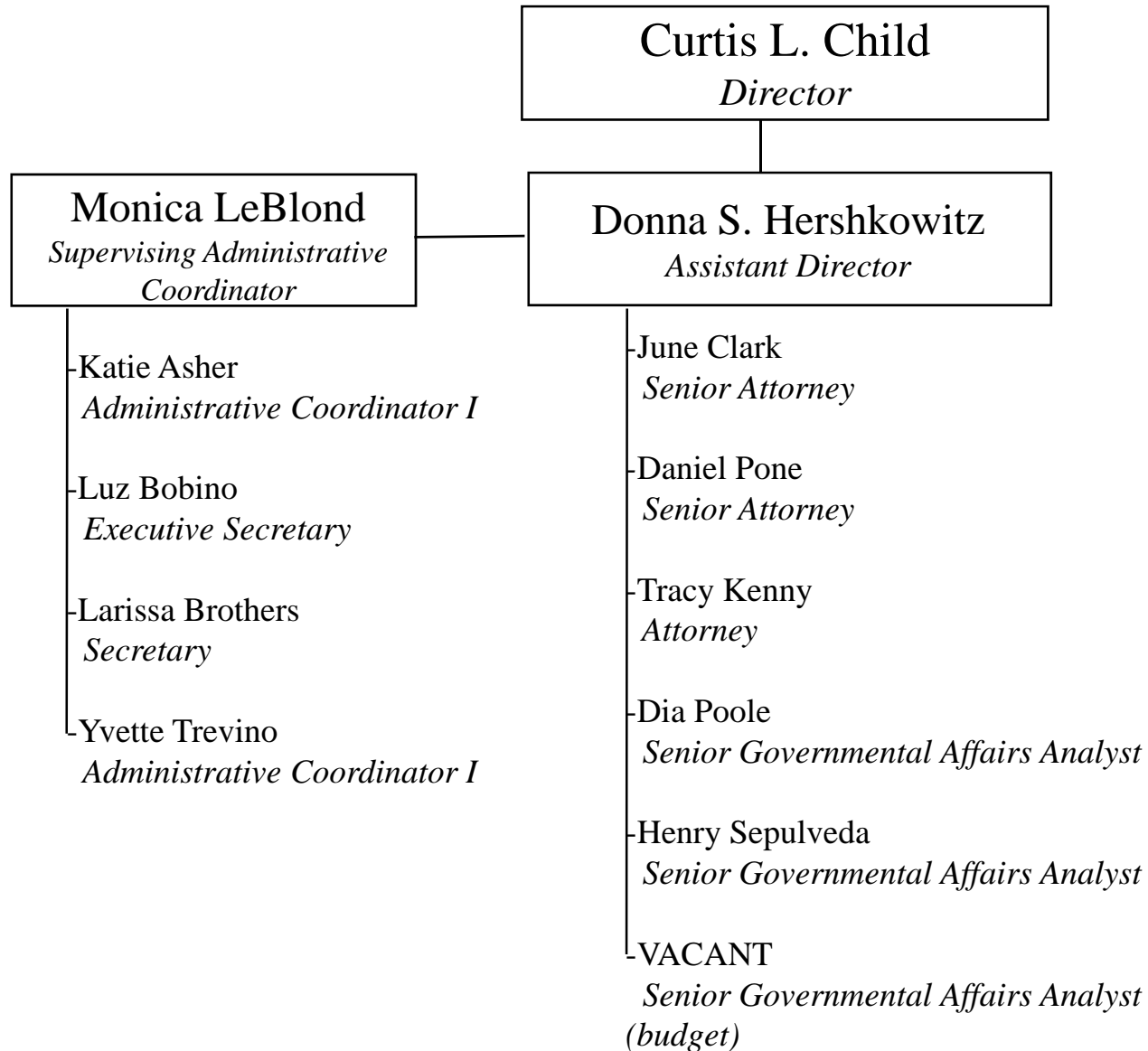
IV. Division Outlook and Prospective Opportunities, Challenges and Pending Issues

As noted above, OGA's work is driven in large part by the actions of the state Legislature. With regard to Judicial Council-sponsored legislation, OGA brings recommendations to PCLC in October for Judicial Council-sponsored legislation. With PCLC approval, those items are brought to the Judicial Council at the December meeting. OGA anticipates continuing Judicial Council sponsorship of legislation to provide for the third set of 50 new judgeships and to secure funding for the second set of 50 judgeships enacted in 2007 but not yet funded. OGA also anticipates spending significant time in 2012 on the judicial branch budget for 2012-13, with the goal of securing adequate resources to keep courts open and beginning to restore some of the reductions taken in prior years which have impacted the ability of the branch to serve the public (if so directed by the Judicial Council). When resources are short, we will continue to encounter opposition to spending on large infrastructure projects and interest from a variety of stakeholders interested in being involved in how courts will be funded.

With regard to large infrastructure projects, OGA anticipates that there will continue to be discussions with the Legislature about court construction funds and CCMS.

The independent assessment of CCMS, directed by SB 78 (Committee on Budget and Fiscal Review, Stats. 2011, ch. 10, a budget trailer bill), is scheduled to be completed in August. Additionally, the AOC continue to provide status reports to the Bureau of State Audits on the progress in implementing the recommendations included in BSA's audit of CCMS. It is anticipated that the Joint Legislative Audit Committee and the budget subcommittees responsible for the judicial branch budget may be interested in hold hearings in response to these documents and status updates.

AOC OFFICE OF GOVERNMENTAL AFFAIRS



Office of Governmental Affairs
Five-Year Fiscal Summary
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages	\$ 1,149,120	\$ 1,201,876	4.6%	\$ 1,154,700	-3.9%	\$ 1,193,024	3.3%	\$ 1,156,922	-3.0%	0.7%
Benefits	397,458	436,286	9.8%	449,727	3.1%	428,525	-4.7%	442,592	3.3%	11.4%
Subtotal Personal Services	\$ 1,546,577	\$ 1,638,162	5.9%	\$ 1,604,427	-2.1%	1,621,548	1.1%	1,599,515	-1.4%	3.4%
Operating Expense & Equipment (OE&E)										
Rent	\$ 265,063	\$ 259,760	-2.0%	\$ 252,384	-2.8%	\$ 258,694	2.5%	\$ 265,005	2.4%	0.0%
OE&E (Excludes Rent)	205,700	143,039	-30.5%	138,162	-3.4%	200,762	45.3%	232,755	15.9%	13.2%
Subtotal OE&E	\$ 470,763	\$ 402,799	-14.4%	\$ 390,546	-3.0%	\$ 459,455	17.6%	\$ 497,760	8.3%	5.7%
TOTAL SUPPORT EXPENDITURES	\$ 2,017,341	\$ 2,040,962	1.2%	\$ 1,994,973	-2.3%	\$ 2,081,004	4.3%	\$ 2,097,274	0.8%	4.0%
Local Assistance	-	-	0.0%	2,621	0.0%	-	-100.0%	-	0.0%	0.0%
TOTAL EXPENDITURES	\$ 2,017,341	\$ 2,040,962	1.2%	\$ 1,997,594	-2.1%	\$ 2,081,004	4.2%	\$ 2,097,274	0.8%	4.0%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
General Fund	\$ 1,984,341	\$ 2,038,962	2.8%	\$ 1,994,973	-2.2%	\$ 2,081,004	4.3%	\$ 2,097,274	0.8%	5.7%
State Court Facilities Construction Fund	33,000	2,000	-93.9%	-	-100.0%	-	0.0%	-	0.0%	-100.0%
Subtotal General Fund & Special Funds	\$ 2,017,341	\$ 2,040,962	1.2%	\$ 1,994,973	-2.3%	\$ 2,081,004	4.3%	\$ 2,097,274	0.8%	4.0%
LOCAL ASSISTANCE										
Trial Court Improvement Fund										
<i>Small Civil Cases Working Group Meeting</i> ²	\$ -	\$ -	0.0%	\$ 2,621	0.0%	\$ -	-100.0%	\$ -	0.0%	0.0%
Subtotal Local Assistance	\$ -	\$ -	0.0%	\$ 2,621	0.0%	\$ -	-100.0%	\$ -	0.0%	0.0%
TOTAL EXPENDITURES - ALL FUNDS	\$ 2,017,341	\$ 2,040,962	1.2%	\$ 1,997,594	-2.1%	\$ 2,081,004	4.2%	\$ 2,097,274	0.8%	4.0%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The displayed number for FY 2008-09 is from the Oracle Financial, and includes the expenditures and encumbrances that are reported on the year-end financial statements.

Trial Court Administrative Services

Curt Soderlund
Division Director

Overview of Administrative Office of the Courts Programs and Resources Trial Court Administrative Services Division

I. ORGANIZATIONAL STRUCTURE OF THE DIVISION AND SERVICES PROVIDED

Summary

The Trial Court Administrative Services (TCAS) Division was created in December 2008 in recognition of the growth in Financial and HR/Payroll responsibilities and services provided to the trial courts. TCAS was formed through the transfer of resources from the Northern Central Regional Office (NCRO). Prior to the formation of TCAS, the NCRO and other AOC divisions assisted the courts in transition from county stewardship to the judicial branch's financial and human resources computer system, known as Phoenix. All 58 courts are using the financial functionality of Phoenix, and 7 courts are using the HR/Payroll functionality of Phoenix. The Phoenix System is hosted at the California Courts Technology Center (CCTC) on an SAP technology platform.

In addition to supporting the Phoenix computer system with assistance from the AOC ISD Division, TCAS provides a diverse range of services, including a centralized treasury system, accounting and financial services, trust accounting services, procurement services, human capital management services, and Financial/HR/Payroll business analysis, end-user training, and support.

Phoenix enables the courts to produce a standardized and uniform set of monthly, quarterly, and annual financial statements that comply with existing statutes and Generally Accepted Accounting Principles (GAAP), rules, and regulations. These reports are used by the courts to plan and manage their budgets, as well as, by the Judicial Council and State Legislature in evaluating the needs of the trial courts. The processes and results of the courts' financial and procurement transactions in Phoenix are the primary focus of AOC and State audits.

For the courts using the HR/Payroll functionality in Phoenix, all of their employee payroll and benefit information is maintained in the system. Employee paychecks and automatic deposits are generated by Phoenix, as well as, the payments to third party benefit providers. Some judges are paid through Phoenix. All of the payroll financial information for the courts on Phoenix HR/Payroll is automatically reflected in the financial records of Phoenix. For courts not on Phoenix, their payroll financial information must be uploaded from other sources.

TCAS is the equivalent of the Executive Branch's State Controller's Office, Department of Finance, and Department of Personnel Administration. Through the Phoenix Program, the Administrative Office of the Courts (AOC) has already implemented what the Executive Branch is trying to implement with their 21st Century and Fi\$Cal projects.

Major Sections

SHARED SERVICES CENTER

The Shared Services Center provides centralized administrative services to the trial courts on the Phoenix System and promotes best practices and operational consistency statewide. The center provides a diverse range of Financial and Human Capital management services on a daily basis.

Overview

The Shared Services Center (SSC) is the central point of contact for trial courts using the *Phoenix System*. Financial Services provided by the SSC include: trust and treasury, procurement, jury payment, accounting for payroll expenses, payment of vendor invoices, and production of a standardized set of monthly, quarterly, and annual financial statements that comply with existing statutes, rules, and regulations, prepared in accordance to Generally Accepted Accounting Principles (GAAP).

Human Resources/Payroll Services provided by the SSC include: HR Structure, Personnel Administration, Organizational Management, Benefits, Time Management, Payroll, and Employee and Manager Self-Service.

Goals

- Ensure uniformity of financial records.
- Provide consistency of accounting and financial data.
- Produce trial court monthly, quarterly, and annual financial statements.
- Ensure compliance with existing statutes, rules, and regulations.
- Monitor process compliance with service level agreements.

Organization

The Shared Services Center is comprised of two major sections:

- Phoenix Financial Services
 - Trust Accounting Unit
 - Phoenix Purchasing Support Services Unit
 - General Ledger and Reports Unit
 - Accounts Payable Unit
- Phoenix Human Resources Services
 - Payroll Financial Services Unit
 - Payroll Services Unit

SHARED SERVICES CENTER – Accounts Payable Unit

The Phoenix Accounts Payable (AP) unit is staffed by a group of five Accounting Technicians, two Staff Accountants, and a Supervising Accountant. The unit supports the Accounts Payable module of the Phoenix system and provides a variety of accounts payable services to the trial courts. A description of the specific services follows:

Invoice Processing

The AP unit provides invoice processing service to courts that require additional support. Currently, there are three courts (Modoc, San Benito, and Siskiyou) that do not have sufficient accounting staff to provide proper segregation of duties. These courts send their approved invoices containing Phoenix coding information to the AP staff for input into the Phoenix System.

The other 55 courts are considered “self-input” courts and provide their own invoice processing. AP staff will on occasion process AP invoices for these courts due to temporary court staffing shortages (vacations, illness, etc.).

Of the 58 courts, 49 use the Phoenix System to issue juror payments. These courts forward a file to the AP unit that is created by their jury management system containing juror payment details. Staff format and upload the files into Phoenix, then print and mail the checks. The frequency of jury file processing varies from courts sending files weekly to courts sending files on a monthly basis.

AP staff performs the processing of all AP vendor garnishments. AP receives garnishment orders from the Internal Revenue Service, State Franchise Tax Board, State Employment Development Department, and the State Disbursement Unit. When notified of a vendor garnishment, staff notifies the courts that do business with the vendor and a vendor block is placed in Phoenix to ensure that future payments comply with the garnishment orders. Courts doing business with garnished vendors must send invoices and coding strips to AP staff for processing. Payments made to garnished vendors are reduced per the terms of the garnishment order, the amount withheld is sent to the garnishing agency and the balance is paid to the vendor. AP continues to process invoices for a garnished vendor until the garnishment order is fulfilled or expires.

Payment Processing

AP staff performs check processing for vendor invoices, trust payments, juror payments, and payments that require special handling. Check processing involves creating payment proposals (listing of payments to be processed), clearing payments on an exception report (error report), generating check registers (assigning checks numbers), check printing, and preparing the checks for the mail. The checks that require special handling commonly include overnight delivery, send with attachments, mail to a third party, or mail back to the court. In addition, staff performs Automated Clearing House

(ACH) payment processing for vendor invoices. ACH processing follows the same steps as the check process, except funds are electronically transferred to the vendor's bank account, and remittance advices are printed and mailed to vendors instead of checks.

AP provides emergency payment processing upon request. An emergency payment request must be submitted by Court management and approved by Phoenix management.

Check Research

AP staff assists court staff and vendors with questions on payments issued. Staff uses a Bank of America tool referred to as "Positive Pay" to protect the courts from check fraud by only allowing the check to be negotiated if the check number, date, and amount match the information provided in a file sent to the bank when the check was issued. Positive Pay exceptions are researched to determine if the exception is due to fraud. Fraudulent checks are rejected and the funds are not taken from the court's bank accounts. Staff processes requests from the court to void checks, issue stop payments, and re-issue checks. A listing of undeliverable check returned by the Post Office is prepared and sent to the courts. AP and court staff research the returned checks for a correct address. The checks are resent once a correct address is found.

Other Activities

AP staff are the subject matter experts for the AP module of the Phoenix financial system. Staff assists with problem resolution, provides consultation, and provides training support for court staff and the Phoenix training unit. Staff assists with the remittance of California Use Tax to the State Board of Equalization and provides independent contractor reporting to the Employment Development Department. Staff prepares and distributes the Internal Revenue Service Tax Form 1099-MISC to court vendors that are subject to reporting. For vendors subject to federal and state backup withholding, staff records, remits, and reports backup withholding to the Internal Revenue Service and the State Franchise Tax Board.

Accomplishments & Metrics

- Initiated Mail Solution Project to take advantage of reduced postage rate by pre-sorting the check mailing
- Posted 253,000 payments in fiscal year (FY) 2009–2010
- Issued 239,000 operations and trust checks in FY 2009–2010
- Issued 277,000 jury checks issued in FY 2009–2010
- Issued 15,800 electronic payments in FY 2009–2010
- Issued Approximately \$2.5 billion of accounts payable in FY 2009–2010
- Issued 5,500 IRS Tax Form 1099-MISC to court vendors for tax year 2010

SHARED SERVICES CENTER – General Ledger Unit

The General Ledger (GL) unit acts as liaison to the 58 trial courts providing ongoing support for all court financial matters. GL staff consult with the courts to ensure consistency and uniformity of accounting. The unit provides daily assistance to small courts that lack the necessary personnel and/or expertise to handle day to day operations and maintain internal controls necessary for an accounting office. The unit reviews the court's data to ensure validity and works with the trial court staff to resolve reporting problems and discrepancies. The GL unit is responsible for monitoring over 90 general, special revenue, grant, capital project and fiduciary funds, and over 880 general ledger accounts for the 58 trial courts. The GL unit provides critical guidance to the courts during year-end closing activities, including but not limited to, uploading all accrual entries into the Phoenix system, and assisting with account reconciliations. The GL unit conducts periodic reviews of court records for consistency and uniformity, and assists with cleanup.

In addition to court consultation, the GL unit also performs various functions on the courts behalf:

Reconciliation, Review and Posting of Financial Data

The GL Unit performs reviews of all general ledger balance sheet revenue and expenditure accounts to verify consistency and uniformity. They provide ongoing support to the courts by preparing various account analyses and reporting, including fund condition reports and monthly and quarterly reviews.

Prepare Bank Reconciliations

The General Ledger unit prepares the bank reconciliations for Bank of America Operations, Trust, Distribution and UCF accounts. The reconciliations are prepared 7 days after the month-end close process has been performed. GL staff assist the courts with clearing any outstanding reconciling items from month to month to provide accurate information regarding account balances and cash availability.

Posts AOC Monthly Allocations

GL staff prepare and submit to the court for review and approval a journal entry to post AOC monthly allocations within 3 days of the bank transaction. The staff then posts the allocation into the Phoenix System.

Post Journal Entries

GL unit posts journal entries submitted by the court for reclassification, or adjusting entries, within 3 days of submission and within the appropriate fiscal month. If necessary, the GL unit also assists the courts with allocation of court administrative overhead costs, and helps to process the transactions to allocate overhead within 15 days after the quarter closes.

Annual Budgets/Budget Modifications

GL staff review and upload annual budgets on behalf of the courts within 20 days after the final review from the AOC budget office. The GL unit reviews and processes budget modifications submitted by the court, usually within 24 hours of submission. The GL review is purely technical to ensure proper coding. The GL unit has no input on how the courts allocate their budgets.

Provides Training on Accounting and/or Phoenix Processes

The GL unit provides training and assistance for year-end closing and accounting processes, as well as, training on Phoenix processes and reporting.

Prepares Comprehensive Annual Financial Report (CAFR) to State Controller's Office (SCO)

GL staff prepare year-end reports for inclusion in the CAFR on behalf of the courts and provide instructions and worksheets for court responsible reports as identified each fiscal year in the CAFR instructions.

Accomplishments & Metrics

- Conversion of 58 courts to Phoenix SAP system (GL was tasked with reconciliation and upload of trial balances. Worked with courts to clean up old outstanding items in accounts prior to upload.)
- Conversion of more than 65 general ledgers accounts to Open Item Managed accounts. This allows the courts and GL staff to clear line items that are associated so that when reviewing the balance in the account user has the option of displaying the only items that make up that balance.
- Assisted 5 courts with streamlining organization/costing structures in Phoenix, thus requiring the need for fewer cost centers and reporting units.
- Worked with Alameda court to clear up over 4,780 lines of data totaling \$868,000 in payroll liability accounts.
- Reconciled Plumas court's case management system and established procedures for future reconciliations.
- Clean up courts Due to/Due from general ledgers accounts which had not been reconciled for years.
- Posts over 15,000 journal entries annually for the courts
- Created and maintains accounting fact sheets for all 58 courts.

In addition, the GL unit also works with the Payroll, Trust and Treasury, Materials Management, and Phoenix Support units to resolve issues and suggest and work on enhancements to the Phoenix System for ease of court operations.

SHARED SERVICES CENTER – Phoenix Purchasing Support Unit

The Phoenix Purchasing Support unit (PPS) is the court's primary contact, subject matter expert and support resource for anything related to the Phoenix Materials Management (MM) module and purchasing related topics. PPS provides direct assistance to the trial courts and other units within the Phoenix Program, including development of MM specific training, MM trouble shooting and MM system testing. PPS is also responsible for maintenance of all Phoenix Vendor Master Data and the Virtual Buyer Program.

Phoenix System - Materials Management Module

Provide support as subject matter experts for the MM module, including system diagnostics, testing and updates to related training material. Courts are assigned a Contract or Procurement Specialist that is their first point of contact for all MM related questions. Staff coordinates with other units to respond to the courts' needs, including providing direct support when court purchasing staff is out of office or on vacation. PPS performs the purchase order review and release function for courts that do not have release authority and staff can act as a substitute reviewer for court purchasing staff when requested.

Vendor Master Data Maintenance

Maintain vendor master data for 58 trial courts in the Phoenix System, including new vendor set up, vendor changes, garnishments, withholdings, and ensuring forms and processes comply with federal and state laws.

Virtual Buyer Program

The Virtual Buyer Program provides direct purchasing support to courts that have minimal procurement staff. The program was started in 2003 with one court and has included as many as 22 courts. Currently, staff are providing Virtual Buyer assistance to 19 courts. The program provides not only savings in labor costs to the courts and they benefit from our knowledge and expertise, but also generates savings through the competitive bid and RFP processes.

Phoenix Materials Management Training

Provide ongoing individualized training support to court users, including a monthly WebEx that provides updates and tips on how to use the MM module.

Monthly Phoenix Materials Management Conference Call

Facilitate a monthly state-wide trial court conference call for purchasing related topics which was first introduced in February 2004; the call continues to be a primary source of information for MM users.

Fiscal Year End Coordination

Provide year-end closing support for purchasing activities to the courts, as well as, coordinate fiscal year-end communications and training activities within Phoenix Shared Services to ensure consistency and single point of contact to the courts for related questions.

Surplus Materials Website

Maintain the Surplus Material website on Serranus which provides the ability for the courts to post surplus items and to acquire surplus items from other courts. The website also provides an easy method for the trial courts to comply with Rule of Court 10.830 and *Trial Court Financial Policies and Procedures Manual* FIN 9.01 (Fixed Asset Management) which sets specific requirements for the disposal of technology equipment acquired on, or after, July 1, 2000.

Trial Court Financial Policies and Procedures

Designated subject matter experts by the AOC for review and input of procurement related *Trial Court Financial Policies and Procedures*.

Accomplishments & Metrics

- Created 13,260 new purchase orders for the courts with a value of \$371,197,405 in the Phoenix System during Fiscal Year 2009–2010¹.
- Maintained over 50,000 vendor master data records in the Phoenix System and completed an average of 463 new requests each month.²
- Provided subject matter expertise and support for Phoenix Material Management Go-Live phase of all 58 Courts.
- Processed an average of 107 Vendor Master Data requests (new and changes) each week.
- Processes an average of 23 vendor garnishments each month³.
- Created 321 purchase orders in Fiscal Year 2009–2010 with a dollar value of \$5.6M⁴ on behalf of the courts participating in the Virtual Buyer Program and 309 purchase orders with a value of \$8.2M from July 2010 through April 2011.
- Coordinated the Purchase Order Release Program and provided training materials and training for the 12 participating courts.
- Facilitated the cost- and time-saving transition from live year-end training to web-conference training for all modules at the end of the 2008–2009 fiscal year.
- Established ongoing customized and court-wide training options for Phoenix Material Management users.

¹ Based on data from SAP report MCE1 for FY 09/10.

² Average based on incoming requests for a random four weeks selected from December 2010 through February 2011, averaged over a 12 month period.

³ Based on data from December 2010 through March 2011.

⁴ Based on data from SAP report MCE1 for period 7/1/2009 through 6/30/2010.

- Developed and continue to maintain the Surplus Material website to allow all courts to post surplus items and make them available to other courts. Information about the website is available on Serranus.
 - 50 courts/judicial branch entities have posted nearly 52,000 items⁵.
 - Average of 32 postings each month.
- Developed the Procurement ListServe which is a service that allows court buyers to subscribe and communicate amongst each other via e-mail.

SHARED SERVICES CENTER – Trust Services Unit

The Phoenix Trust Unit provides accounting support and training to all trial courts for the systematic recording of cash and banking transactions. This includes the recording of operating, trust, distribution and uniform civil fee deposits, trust disbursements, monthly interest allocation, daily cash reporting, fiduciary fund analysis, general ledger reconciliation, system input for 20 trial courts, user acceptance testing, and on-going training. Currently, all 58 courts have implemented Phoenix SAP and 38 have transitioned their trust to Phoenix SAP.

Courts may choose full service processing by the trust unit, known as non-self-input courts or they may choose to enter their own deposits and trust disbursements, know as self-input courts. Each trust lead is assigned to a specific group of courts. Of 38 courts with Trust on SAP, 24 of the courts are self-input (enter their own data in Phoenix).

Aside from routine operations, the trust unit works with the trial courts to understand changing business needs, develop new accounting procedures and assist in new trust or distribution implementations.

Daily Cash Reports

Daily Cash Reports provide accurate daily cash balances to the courts each morning for each of their Bank of America bank accounts under the Bank of America Master Agreement. The electronic bank statement is downloaded from Bank of America each morning to provide all prior day transactions for the report. During the upload of the electronic bank statement in SAP, all cash balances are immediately updated with the actual cash balances. Daily Cash Reports for all 58 courts are reviewed each morning by the trust lead assigned to a specific court. The trust leads review the report for variances and discrepancies and make adjustments as needed. Email confirmations are sent to each court by 11:00 am to indicate the report has been reviewed and reconciled.

⁵ Numbers based on all postings from the Surplus Materials website on April 2011.

Post Trust Deposits or Clear Trust Deposits

Court staff initiate deposits upon receiving operations, trust, distribution or uniform civil fee deposits. The court prepares deposit slips for bank deposits. Self-input courts record deposits directly in Phoenix SAP to an in-transit general ledger account. Once the trust lead confirms that the deposit has been credited to the bank, they post a journal entry to move the deposit from the in-transit general ledger account to the cash general ledger account.

Non-self-input courts complete a journal entry template on an excel spreadsheet and e-mail it to their respective trust lead to review and upload it in Phoenix. The trust lead confirms that the deposit has been credited to the bank and then proceeds with the deposit entry in Phoenix. The trust lead reviews the deposit for proper account coding and formatting.

Trust Disbursements

Trust refers to case related money held in trust in a fiduciary relationship until a court order determines disbursement of civil, traffic, and criminal deposits.

Non-self-input courts complete a journal entry template on an excel spreadsheet and e-mail it to their respective trust lead to review and upload it in Phoenix. If the court maintains their trust at the detail level, the trust lead is responsible for verifying that the case for which disbursement is being requested has the proper amount of funds remaining. It is preferable for Courts to show trust transactions at the detail level, so the court and the trust lead may review trust liabilities by case number to ensure that courts do not make duplicate disbursements on the same case, or disbursements on cases with insufficient funds.

Self-input courts may post their trust disbursements directly in Phoenix. However, the court is still responsible for verifying the proper funds exist prior to disbursement. Trust leads review trust disbursements of self-input courts on a random sampling basis for proper formatting and coding.

Interest-Bearing Trust Disbursements

The trust lead is responsible for calculating and recording interest to be disbursed on civil interest-bearing trust disbursements. This may be different than the estimate calculated by the court because it is based on the actual day the check will be cut, which is affected by the request processing time within the court. The court requests a disbursement by submitting a trust disbursement request on an excel spreadsheet to their trust lead. The trust lead calculates the interest payable and enters the trust disbursement with interest in Phoenix.

Allocate and Post Monthly Interest Received

Interest is received on a monthly basis in the Operations, Trust, Distribution and Uniform Civil Fee bank accounts. Monthly interest received is allocated and recorded for all AOC maintained

Bank of America Bank Accounts. On a monthly basis, trust leads allocate interest earned on each bank account to either interest revenue or interest payable for each court. At year-end, the trust leads accrues year-end interest earned, but not received until July.

Electronic Fund Transfers

Electronic fund transfers to third parties or between court bank accounts, as requested by the court, are processed by the trust lead using the Bank of America Direct internet based balance reporting and electronic funds transfer system. The trust lead is also responsible for posting the related journal entry transaction in Phoenix.

1099-INT Reporting

The Supervising Trust Accountant prepares the annual 1099-INT forms and electronic reporting file to report individuals who received more than \$10 in interest from their trust deposits. The electronic reporting file is provided to the Internal Revenue Service and the 1099-INT forms are mailed to the recipients.

Daily Audit of Trust and Distribution Transactions

Each afternoon, the trust lead reviews fiduciary fund transactions posted by the court. The purpose of this review is to ensure that recommended journal entry formatting and account coding is followed. The recommended journal entry formatting and account coding promotes automated clearing of transactions and reduces the possibility of duplicate trust disbursements. This review includes ensuring: trust disbursements are made from the appropriate trust account; automated clearing house (bank-to-bank) transfers processed in Phoenix are parked and posted by different individuals for appropriate segregation of duties; and that proper account coding is being used so that funds are transferred as intended.

Fiduciary Fund Review and Reconciliation

The trust leads perform trial balance review and reconciliation of the fiduciary fund (Trust fund, Distribution fund and Uniform Civil Fee fund). The trial balance is reviewed for abnormal balances, improper general ledger account usage, fund balance issues and other similar issues. General ledger account reconciliations may include reconciliation of the Due to/ Due from accounts, trust liability accounts, clearing accounts, and other accounts as needed. This review ensures standardization and accurate financial records.

Court Customer Support

Trust leads provide customer support services to the courts every day. These services may include assistance with trust deposit research, journal entry assistance, on-going training, policies and procedure updates, as needed, and special projects. The Trust Supervising Accountant provides annual year-end training to the courts.

Accomplishments & Metrics

- Provided support for Phoenix SAP implementation to 58 courts
- Standardized statewide trust accounting process for 38 courts
- Streamlined calculation of interest on civil interest bearing trust disbursements
- Developed fiduciary fund (trust, distribution and uniform civil fee) procedures and best practices
- Automated Daily Cash Report process during Bank Account Consolidation project
- Created efficiency and bank fee savings by developing process and court training to enable courts to enter their own bank account transfers directly in Phoenix SAP using the automated clearinghouse (ACH).
- Developed fiduciary fund and general ledger accounting
- Developed training courses for trial courts
 - Distribution fund training and reconciliation
 - Bank account consolidation training
 - Trust Accounting (SAP PSCD) training
 - Year-end training
- Supported several improvement projects to enhance court administration and finances
 - Integral part of Bank Account Consolidation effort
 - Developed on-line work instructions
 - Developed Training Materials
 - Coordination between CCMS V4 and Phoenix SAP in an effort to automate the posting and reconciliation of the trial courts' cashiering activity to the Phoenix SAP financial accounting system.
- Metrics 2009–2010 Fiscal Year
 - Reconcile over 55,086 deposits totaling more than \$3.8 billion
 - Reconcile and post over 8,173 non-sufficient fund transactions and bank adjustments
 - Review and reconcile the Daily Cash Report for each of the 58 trial courts providing cash balances for all Bank of America bank accounts.
 - Process 12,300 trust and interest disbursements totaling almost \$38 million
 - Process 1,232 electronic fund transfers
 - Respond to approximately 35 accounting and operational inquiries daily

SHARED SERVICES – Payroll Financial Services

Payroll expenses generally account for more than 50 percent of an employer's operating expenses. The Payroll Financial Services unit's responsibility is to directly support the trial courts in their day-to-day processing of financial and payroll activities. There are different payroll solutions used by the trial courts. Currently, 7 trial courts process payroll with Phoenix, 26 trial courts contract with Automatic Data Processing, Inc (ADP), 24 trial courts continue to use their County services, and 4 trial courts contract with other payroll service providers. Although the trial courts use a variety of payroll solutions, the Payroll Financial Services unit assists all 58 trial courts with payroll analysis, banking, payment and tax services, liability account maintenance, and health benefit reconciliations.

The Payroll Financial Services unit is distinguished from the Phoenix Human Resources Services unit because they handle all the accounting and benefit provider reimbursement that results from payroll being processed. The Phoenix Human Resources Services unit ensures that all position, salary, benefits, tax, and time entry data for each court employee is properly entered and maintained, so that payroll runs correctly.

Payroll Reconciliation and Recording

Payroll reconciliation and recording tasks are performed in conjunction with all 58 trial courts. This includes preparing, reviewing, and reconciling payroll journals and/or postings. Detailed reconciliation and proper recording in the general ledger accounts provides for accurate financial reporting.

Payroll Payment Distribution

Payroll payment distribution service is provided to the 7 Phoenix HR/Payroll trial courts for each bi-weekly, monthly, and off cycle generated employee payment. This service includes printing and distribution of employee payroll checks and remittance advice, and payroll related vendor payments.

Banking Services

Payroll Financial Services provides banking services for the 7 Phoenix HR/Payroll trial courts. The responsibility encompasses monitoring and verifying payroll banking transactions, researching payroll related payment discrepancies, and working with Bank of America, the trial court, and internal staff to promptly resolve all issues.

Payroll Liability Account Maintenance and Benefit Reconciliation

Payroll Liability Account Maintenance is comprised of analysis, research, and account clearing of payroll postings, vendor payments, and adjustments. This also includes Benefit Reconciliation. Currently, the Benefit Reconciliation service is utilized by two Phoenix HR/Payroll trial courts with a monthly volume of 25 benefit plans for 1100+ employees. These tasks are complex, time-consuming and require on-going communication with the trial court and vendors. In addition, the Payroll Financial Service unit is available to assist all trial courts in researching and preparing benefit reconciliations necessary for payroll liability accounts maintenance.

Tax Services

The Payroll Financial Services unit is responsible for providing Tax Services to the seven Phoenix HR/Payroll trial courts. Each payroll requires a reconciliation and deposit. Federal and State tax reports are submitted quarterly and annually. This includes monthly reconciliation,

printing, and distribution of employee Wage and Tax Statements (W-2). These activities are complex and time sensitive.

Other

Payroll Financial Services is involved in testing and validation of changes and enhancement of the Phoenix System, developing and facilitating on-going training to trial court payroll and finance staff, and providing support required on special projects relating to payroll data.

Accomplishments & Metrics

- Provided assistance and support in implementation of Phoenix HR/Payroll system to 7 trial courts
- Standardize Statewide Payroll Accounting process
- Successfully managed payroll year end activities
- Reviewed, identified, and implemented payroll business process improvements
- Developed payroll training courses for trial courts
 - Benefit Reconciliation
 - Payroll Calculation
 - Wage and Tax Statement Validation
 - Payroll Fund Accounting
- Supported system improvement projects
 - Bank Account Consolidation
 - Stabilization
 - On-line Work Instructions
 - Training Curriculum
- Provided assistance and support in implementation of Phoenix FI system to 58 trial courts
- Metrics 09/10 Fiscal Year
 - Payroll reconciliations and recordings – 1,600
 - Checks and Remuneration Statements for – 77,020
 - Payroll vendor payments – 18,000
 - Benefit Reconciliations – 370
 - Payroll Quarterly Tax Filings - 55
 - Wage and Tax Statement Reconciliations – 33,600
 - Wage and Tax Statement distribution – 2,800

SHARED SERVICES CENTER – Phoenix Human Resources Services

The Phoenix Human Resources (HR) Services Unit provides human resource and payroll support to the 7 courts that currently use the Phoenix HR Payroll System. Staff assists the courts with maintaining employee data, entering time, maintaining position control and salary scales, reviewing payrolls including taxes and benefits, and preparing reconciliations for retirement and benefit files. The staff process payroll files weekly which includes creating the files to generate the paychecks and print the remittance statements. The payroll process also generates the files to post the payroll to the General Ledger, and vendor accounts.

Staff also works with the Maintenance and Operations unit to support changes to the Phoenix System. System enhancements and changes are requested by the court, as well as, by internal Phoenix staff. The HR staff work in collaboration with the courts to define the request, identify the requirements, and ultimately test the changes in the system configuration. Typical changes include benefit plan or rate changes, salary scale or cost of living adjustments, and changes resulting from changes in employment contracts. HR staff is involved in testing the changes to validate the system, checking the results on pay, benefits and taxes. Once changes are implemented, staff conducts training sessions with the courts on the production of new reports, and changes in the processes, procedures, and workflows.

The Phoenix HR Services unit is divided into 7 areas of responsibility as follows:

Organizational Management and Master Data Configuration Changes

Staff maintains position control, salary scales, and updates to master data configuration changes for the courts. They are responsible for training the court staff on organization structure. They research issues, perform system testing on changes and enhancements to the Organizational Management module in Phoenix.

Retirement and Benefits

Staff reconciles the retirement and deferred compensation interface files to the general ledger postings to ensure that the amounts deducted from employees pay is the amount scheduled to be paid to the benefit provider. The benefit demographic files are reconciled with Master Data to validate that the information being sent to the provider is accurate. They provide testing for changes to benefits or providers and work with the courts to research and resolve issues, process corrections, and train the court employees on how to read and calculate the benefit files. Staff works together with the M & O team to develop configuration changes in benefit rates and plans.

Payroll and Time

The Phoenix HR Services staff assist the courts throughout the payroll process. They research all problems and issues regarding master data and time and leave entries on the timesheets. They verify and validate the payrolls with the court by preparing reports and reviewing them in

collaboration with court staff. They train court staff on inputting master data, entering time and leave, understanding wage types, running reports and reading the payroll results, and reconciling taxes and deductions. Staff tests all master data and time configuration changes.

Running Payrolls

Staff process master payrolls, on demand pay due to termination or adjustments, reversals and re-issues due to lost or stolen checks, and stop payments. Phoenix HR Services staff releases the check generating files to the Payroll Financial Services unit for processing. They also perform system testing on configuration changes.

Taxes

Phoenix HR Services staff work together with Payroll Financial Services staff to reconcile payroll taxes and make adjustments. At year end, staff reconciles the information that will appear on the court employee W2s. Staff also tests configuration changes for State and Federal rules, regulations and tax rates.

Garnishments

Phoenix HR Services staff receives and processes garnishment requests for court employees. They notify the employee of the effective date of the garnishment and enter the garnishment into the Phoenix System. Staff researches all applicable rules and regulations regarding garnishments and tax levies, answer questions from the court, employer and garnishing entity. They adjust garnishment payments amounts and terms as appropriate, and provide system testing for any changes to the configuration related to garnishments.

Employee Self Service and Management Self Service (ESS/MSS)

Employee Self Service allows employees of the courts to view their payroll information in the Phoenix System. They are able to print a remittance statement, input time, submit leave requests, view real time leave accruals, change Federal and State tax withholdings, enroll or change deferred compensation deductions, and change mailing address and phone numbers. In addition, added functionality for the San Bernardino Superior Court allows employees to enroll in their health, dental, vision, life insurance, and long and short term disability insurance during open enrollment periods. Future enhancement of the system will extend this functionality to all courts on Phoenix HR/Payroll.

Management Self Service provides managers of court employees to approve leave requests, timesheets, review employee leave balances, emergency contact, compensation information, and Family/Medical Leave Act time.

Staff in the Phoenix HR Services research and answer questions from court employees and management related to ESS and MSS. Staff conducts testing of any new or changing configuration of the Phoenix ESS and MSS module.

Accomplishments & Metrics

- Supported the deployment and maintenance of the Phoenix HR/Payroll System to 7 courts
- Developed standard processes and procedures for the 7 courts
- Supported the deployment of the stabilization project of the SAP HR/Payroll system to the 6 courts
- Developed training material for deployed courts
- Developed training material and established a communication with the HR courts in a monthly WebEx
- Supported the development and maintenance of the SAP Productivity Pak on-line repository to house instructional materials
- Assisted a court from a full service court to a self-sufficient payroll court

- *Other metrics in the 2010 calendar year (includes the San Bernardino Superior Court)*
 - Tested 1,159 system changes
 - Conducted continuous trainings and advance trainings, approximately 79
 - Provided 176 main payrolls for the 7 HR courts
 - Produced 77,020 annual payroll payments
 - Issued approximately 540 checks
 - Responded to approximately 15,000 inquiries from a combination of e-mails and phone calls
 - Processed payroll for 118 assigned judges each year

CENTER OF EXCELLENCE

Overview

The COE performs complex studies of accounting processes, business procedures, and court administrative operations. It also assists in formulation of new or revised policies and/or procedures to meet court administrative and business operations needs and implements automated processes where possible.

Goals

- Design, develop and maintain quality integrated system of financial, human capital, and payroll processes within the Phoenix System.
- Continually improve AOC staff knowledge, skills, and abilities, as well as, review processes and configuration, to reduce the cost of delivering an integrated finance/HR/payroll system for the trial courts.

- Design and develop training curriculum to support the trial court financial and human resources system.
- Provide timely response to all system trouble tickets, and enhancement requests.

Organization

The Center of Excellence is comprised of two major sections:

- Project Support Unit
 - Business Process Management
 - Human Resources/Payroll Production Support
 - Education Support
 - Human Resources Process Analysis
- Production Support Unit
 - Application Support
 - Finance Production Support

Processes

The Phoenix System runs on SAP Enterprise Resource Planning (ERP) software that integrates accounting, procurement, accounts payable, budgeting, human resource management, and payroll processing. This integration provides extreme efficiencies because accounting postings and personnel actions are automated based on industry and judicial branch standards. While this efficiency is recognized by all the trial courts, it does require the coordination of many skill sets to properly configure the system. Experts with knowledge in accounting, HR/payroll, SAP functional configuration, and technical development/architecture all need to exist within the COE.

Besides performing routine maintenance and adjustment of Phoenix System configuration, COE analysts liaise with AOC and court stakeholders to understand new or changing business requirements. The analysts implement this functionality employing SAP's proprietary AcceleratedSAP (ASAP) system development methodology. The COE analysts perform under COE management oversight according to the following structure as dictated by the ASAP approach:

Project Preparation

The COE works with stakeholders to understand issues, impacts, alternatives and the level of effort required for each alternative. Formal Change Request documentation is prepared and reviewed by the Phoenix Change Control Review Board (CCRB), which is made up of the Trial Court Administrative Services Division Director and management team. The CCRB approves the best alternative and works with Phoenix Project/COE Management and stakeholders to assign appropriate resources and set expectations for delivery of the solution.

Business Blueprint

The COE reviews all existing business process requirement documentation and either updates or creates new documents, as required. Detailed requirements are gathered and plans refined for what development and configuration will be performed to complete the solution. Prototypes are developed for “proof-of-concept” in the Phoenix sandbox system. All process and requirement documentation is completed in standard templates and stored in the SAP document repository which is called Solution Manager.

Realization

The COE performs development and configuration required to complete the solution. The requirement is “played back” with business owners and the solution is unit and integration tested. All technical documentation is completed in standard templates and stored in the Solution Manager document repository.

Final Preparation

The COE works with the Phoenix Shared Services Center and the courts to coordinate User Acceptance Testing to record and complete any final adjustments that may be required. End User Training material is created or updated and any impacts are formally communicated. Finally, the new solution is implemented in the Phoenix production system according to a specific cutover plan that is managed for each change.

Go-Live and Support

Once a solution is deployed into production, it is monitored for a period of time, then the issue is closed in the issue tracking database. Depending on the significance and level of effort involved with developing a solution, feedback is requested of the courts, and occasionally, formal lessons learned sessions and documentation are produced.

Every change performed in the Phoenix System generally follows this process, but the process is adjusted as required due to the differences in sensitivity, complexity or overall level of effort for each change required.

Accomplishments & Metrics

- Deployed Phoenix SAP FI system to 58 courts
- Deployed Phoenix SAP HR/Payroll system to 7 courts
- Developed detailed deployment toolkit to accelerate future HR deployments
 - Presentations
 - Document Templates
 - 600 Test Scripts and data sheets
 - Developed 96 standard HR/Payroll processes and configuration
- Managed several improvement projects to enhance court finance and procurement administration:

- Trust accounting - Solution for courts to track money in trust that was not being managed well by case management system
- Bank account consolidation – Saved over \$700,000 in annual bank fees for courts
- Interpreter Program expense tracking by language
- Case Management System (CMS) expense reporting
- On-line automation of Purchase Order approvals
- Redesigned and deployed several changes to HR/Payroll solution to create efficiencies for courts
- Enhanced automated interfaces to meet requirements of larger courts L.A. and Orange
- Implemented on-line ticketing system to track and manage user requests and issues
- In Fiscal Year 2009–2010, closed 2,999 tickets opened for issues ranging from adding users to major configuration changes, such as, those listed in the improvement projects above.
- Developed and deployed data warehouse and associated suite of reporting tools
- Implemented Comprehensive Financial Statements for all courts
- Major upgrade of SAP to version ECC 6.0 with enhanced Public Sector functionality for grant accounting and budget management
- Developed and populated HR/Payroll Business Rules database for all 58 courts
 - Data maintained includes facts and figures related to court employee contracts, including COLAs, equity adjustments, furlough programs, etc.
 - Document inventory of 377 court MOUs, Side Letters, Personnel Policies
- Implemented SAP Productivity Pak on-line repository to house instructional materials
- Designed, developed and delivered full Phoenix FI and HR end-user training program to support deployments and continuing education needs:
 - Thirteen Web-based and 38 Instructor-led courses including 275 finance process steps documented and delivered to over 700 end users.
 - Sixteen instructor-led HR/payroll courses including 344 process steps documented and delivered to approximately 30 core end users in Phoenix HR courts.
 - Over 3,000 end users trained via on-line training tools on Employee and Manager Self Service Functions.
- Implemented and executed formal communication process
 - Direct communications affect all 58 courts, channeled through 268 main court contacts
 - Over 100 written communications
 - 32 in-person events
 - 27 Web-ex presentations

CENTER OF EXCELLENCE –Business Process Management

The Business Process Management (BPM) unit of the Phoenix COE works closely with system integrators and Phoenix Super Users to understand business requirements, implement, pilot, and finally roll new solutions out to the courts. Since 2002, staff in these units has been instrumental in implementing and deploying Phoenix Financials to all 58 courts, piloting new trust accounting and comprehensive reporting tools. Most recently, we have introduced cost-saving banking solutions across the state while also working to reengineer key areas of the Phoenix Human Capital Management (HCM) solution and simultaneously successfully deploy HR and payroll services to the Superior Court of San Bernardino County.

CENTER OF EXCELLENCE – HR Production Support

The HR Production Support Unit of the Phoenix Program, also known as HR Maintenance and Operations (M&O), monitors, fixes, and modifies the Human Capital Management portion of the Phoenix System. Support calls are tracked and assigned to HR Production Support Staff in an automated SAP module. Support calls for HR may result in additional training to users, changes to the system, changes to a process, or simple updates to configuration tables in the system. HR Production Support works closely with the HR Process Analysis and Business Process Management Units to ensure system changes resulting from deployments, new functionality projects, or significant HR process changes in the courts, are properly integrated into the existing system. HR Production Support works closely with FI Production support on issues of integration between the HR/Payroll component and Finance component of the system. HR Production Support also works closely with the AOC's Information Services Division to ensure the user experience with the Phoenix System is adequately supported by the technical infrastructure.

CENTER OF EXCELLENCE –Education Support

The Education Support unit is a relatively new component of the Phoenix Program's COE. Since 2008, the Education group have been responsible for maintaining a complete catalog of Phoenix System processes; developing a comprehensive system training plan and materials; delivering training (instructor-led and web-based) to thousands of end users in Phoenix HCM, Finance and Employee-Self Service functions; and managing an effective statewide communication strategy to gather input and keep system users aware of program plans and key changes.

CENTER OF EXCELLENCE –HR Process Analysis

The HR Process Analysis Unit is a relatively new component of the Phoenix Program's COE. Since 2009, the HR Process Analysis Unit has been gathering human resource and payroll information from courts by compiling their memorandums of understanding with employee unions, and their internal policies and procedures for HR/Payroll. By compiling and analyzing this information, Phoenix configuration decisions can be made holistically to account for various differences in trial court HR/Payroll operations.

CENTER OF EXCELLENCE – FI Production Support

The FI Production Support Unit of the Phoenix Program, also known as Maintenance and Operations (M&O), monitors, fixes, and modifies the Finance portion of the system. Support calls are tracked and assigned in an automated SAP module. Support calls may result in additional training to courts, changes to the system, changes to a process, or simple updates to configuration tables in the system. FI Production Support works closely with the Business Process Management Unit to ensure system changes resulting from deployments or new functionality projects are properly integrated into the existing system. FI Production Support works closely with HR Production support on issues of integration between the HR/Payroll component and Finance component of the system. FI Production Support also works closely with the AOC's Information Services Division to ensure the user experience with the Phoenix System is adequately supported by the technical infrastructure.

CENTER OF EXCELLENCE – Phoenix Application Support

The Phoenix Application Support Unit manages the Phoenix Service Desk where users call for help with the Phoenix System. This unit monitors the support call tracking system to make sure calls are assigned, tracked, and eventually closed. This unit handles calls related to user security and liaisons with the court technology center for security requests, and to promote to the production instance of Phoenix changes completed by the FI and HR Production Support units.

CENTER OF EXCELLENCE – Information Services Enterprise Resource Program

The Enterprise Resource Program (ERP) team is an integral part of the Phoenix Program and partners with each of the TCAS functional units to provide technical support. The ERP team:

- Provides Phoenix System application support in the areas of programming, break-fix troubleshooting, system enhancements, system upgrades, and deployment;
- Hosts the data center for the Phoenix System and supports the development, testing, training, staging, and production components; and

- Provides network support specific to user authentication, intrusion detection, and security.

ADMINISTRATIVE SERVICES UNIT

The TCAS Administrative Services Unit (ASU) centralizes the division's wide-range of administrative functions to maximize efficiency and uniformity, ensures consistency in internal customer service, and establishes a centralized pool of clerical staff to provide general administrative support, essentially providing vital infrastructure to 120 authorized positions located in Sacramento that do not have the benefit of the support structure provided to those located at headquarters in San Francisco.

Overview

ASU provides the division with centralized support services including analytical support, communications, budget and contracts management, position control, inventory control, records management, interdivisional liaison functions, mail services, and general administrative support.

PHOENIX PROGRAM HISTORY

The Phoenix Program was originally split into two projects: the Court Accounting and Reports System (CARS), and the Court Human Resources Information System (CHRIS). This separation, as well as other management problems, forced a fundamental change in project management in 2006. Originally, the project was guided under the co-equal direction by the Finance, Information Services, and Human Resources Divisions. This led to multiple problems, stagnation, and the project was floundering. In the spring of 2006, the project and responsibility was transferred in its entirety to the Northern/Central Regional Office (NCRO) Regional Administrative Director. The split projects were merged forming the Phoenix Program. Resources and staff were reassigned from the original three divisions to the NCRO at that point in time.

The financial deployments resumed with few issues, ending with the deployment to the Los Angeles Superior Court in 2009. The first payroll deployment occurred in June 2006 to the Sacramento Superior Court. In January 2007, five additional courts were added to the payroll system, with one deployment (Riverside) having various problems for a multitude of reasons, some the fault of the court, and some the fault of the AOC. These problems were rectified over time, but it became apparent that the AOC did not have sufficient resources for additional payroll deployments, and there were significant issues with the then-system integrator (BearingPoint). The decision was made to suspend additional payroll deployments pending acquisition of additional resources from the submission of a budget change proposal (BCP), and to release a Request for Proposal (RFP) to acquire a new system integrator. The BCP was approved by the legislature in Fiscal Year 2008–2009 and a new system integrator (EPI-USE America, Inc.) was contracted.

As additional responsibilities and services were added, the decision was made to create a new division that would oversee the Phoenix Program. The Trial Court Administrative Services Division (TCAS) emerged with staff and resources being transferred from NCRO to TCAS in December 2009.

The Phoenix System

The Phoenix Financial System and the Phoenix Human Resources System originally derived from integrating various accounting and reporting systems and human resources information system programs in the courts. They provide end users with a coordinated system that allows seamless interaction between input and retrieval of financial information and support for human resources.

The **Phoenix Financial System** enables the courts to produce a standardized set of monthly, quarterly, and annual financial statements that comply with existing statutes, rules, and regulations, prepared in accordance with generally accepted accounting principles (GAAP).

Deployment of the Phoenix Financial System began in 2002, starting with the Stanislaus Court. After the initial deployment, additional courts were added to the Phoenix Financial System in “waves,” with multiple courts typically included in a wave. The last court added was Los Angeles in 2009. The AOC has been providing professional accounting and business services for all 58 courts using the Phoenix Financial System as of July 2009. The Phoenix Financial System provides immediate access to data, enabling courts to make informed business decisions and improving day-to-day operations.

The **Phoenix Human Resources System** provides a comprehensive information system infrastructure that supports trial court human resources management and payroll needs. The combination of HR and Payroll management is also known as Human Capital Management. Designed for integration with the Phoenix Financial System and first deployed in July 2006, the system offers new, standardized technology for human resources administration and payroll processing, provides consistent reporting, ensures compliance with state and federal labor laws, collects data at the source, provides central processing, and provides manager and employee self-service functions to the courts. The Phoenix Human Resources System has been deployed to seven courts.

II. DIVISION ACCOMPLISHMENTS/ACHIEVEMENTS SINCE FY 2005/2006

Since its inception in 2008, the Trial Court Administrative Services Division has continued the mission of the Phoenix Program as originally established by the Northern Central Regional Office. Itemized below are some of the achievements of the division to date.

Los Angeles Superior Court System Deployment

Concurrent with the Phoenix System Upgrade Project, deployment of the Phoenix Financial System was launched in the Los Angeles Superior Court in July 2009. This final deployment marked the attainment of the Judicial Council’s goal of standardization and uniformity in financial practices in all 58 trial courts. This particular deployment represented approximately two years of effort, significantly longer than any other deployment as a result of the size and complexity of the Los Angeles Superior Court.

System Upgrade

In July 2009, TCAS completed a statewide “upgrade” of the Phoenix SAP system in the 58 courts previously on the Phoenix Financial System. This was a significant, year-long effort that was successfully accomplished with literally no issues. The upgrade was a significant change in user experience and functionality, similar to Microsoft Windows upgrading from Windows 98 to Windows XP, and included substantial coordination and communication with each court.

SECUDE

At the time of the Upgrade Project, it was identified that the security of the Phoenix System was not up to the strictest standards of the AOC network security policies. The policies require that data traveling on the network be encrypted, and thereby, not be readable in the event of a network breach. To accomplish this, a tool called SECUDE was chosen. From the end of the 2008-2009 and into the 2009–2010 fiscal years, with the assistance of the AOC’s Information Services Division and technology personnel in the trial courts, SECUDE was installed on the computers of the approximately 2,500 trial court core users for the finance, procurement, and payroll functions in all 58 courts.

Fiscal Oversight Assistance

Throughout the year, the Shared Services Center works with the trial courts in the form of providing fiscal advice and assistance. Near the conclusion of Fiscal Year 2008–2009, the TCAS Director was given the responsibility of fiscal oversight over two courts, Glenn and Placer, who were in tenuous fiscal condition and in need of assistance as provided in Government Code section 77206.1. In this capacity, TCAS worked with the NCRO Regional Administrative Director, the Presiding Judges, and the court’s executive/fiscal staff to improve the financial condition of the court by controlling expenses, increasing revenue, and implementing administrative improvements. In December 2010, a recommendation was made to the Administrative Director of the Courts and the Judicial Council to eliminate the fiscal oversight responsibilities at the end of the current calendar year.

Change Control Review Board

TCAS established a Change Control Review Board (CCRB) to review all change requests for the Phoenix System to ensure cost/benefit and supportability. The Phoenix SAP application is never static. Changes occur naturally that must be configured within the application. In the technology vernacular, this effort is defined as “maintenance and operations.” Examples of these adjustments are changes in collective bargaining agreements, benefit plans, tax changes, procurement workflow adjustments, modifications to the General Ledger for reporting and financial compliance, etc. There are also configuration changes that emanate from the courts, the Shared Services Center, Production Support, or from the Business Process Management Unit. All of these configuration adjustments must be incorporated into the Phoenix System to stay current. Since 2008, there have been slightly over 1,000 adjustments made to configuration.

GASB 54

TCAS and the Finance Division recently collaborated to present to the Trial Court Budget Working Group modifications in how court reserves are categorized, consistent with the requirements of the Governmental Auditing Standards Board (GASB) 54. These modifications provide more clarity with regard to reserve balances and their uses, and will have an impact at

the end of the current fiscal year. TCAS is working with the courts to ensure that the GASB requirement is implemented correctly.

Human Resources Database

During the course of the Fiscal Years 2008–2009 and 2009–2010, TCAS created a human resources data base within the Phoenix System, capturing the pertinent provisions of 125 collective bargaining unit agreements and numerous human resources policies impacting both represented staff and unrepresented staff in the 58 trial courts. This information was used in the Stabilization Project to implement changes that will work for all courts, and allows TCAS to work with both the AOC’s Human Resources and Finance Divisions on various analytics concerning pay increases, merit salary adjustments, retirement plans, health, dental and various other benefit plans within the trial courts.

Furlough Savings Methodology

TCAS developed a methodology within the Phoenix System to track trial court savings attributable to the furloughs. The methodology was quickly put into place and distributed to the courts statewide, enabling them to capture this data almost immediately.

Budget-to-Actual Reports

The creation of “budget-to-actual” reports for the courts use improved the manner in which courts manage their respective budgets. Structured test scripts and testing scenarios were created from the “ground up,” improving the quality, timeliness, and re-usability of these tools so they do not have to be recreated from “scratch” for every change request.

Bank Account Consolidation

The Bank Account Consolidation effort was a significant project in Fiscal Year 2009–2010. August 2010 marked the conclusion of efforts centered on the consolidation of over 300 separate bank accounts statewide for the 58 trial courts in an effort to seek a more cost-effective approach for the management of court resources. Working in conjunction with each of the courts, and specifically at the request of the California Trial Courts Consortium, TCAS and the AOC’s Finance Division engaged in a program to reduce/consolidate these bank accounts by roughly two-thirds, thereby saving the trial courts’ operating budgets approximately \$700,000 annually.

Best Practices Guidelines

During the second half of the 2009–2010 fiscal year, TCAS worked with the Phoenix Steering Committee (comprised of Court Executive Officers from Sacramento, San Bernardino, Contra Costa, Butte, Santa Cruz, San Diego, Stanislaus, Siskiyou, and San Joaquin serving in an advisory capacity) to adopt “best practices guidelines” for various functions related to financial operations and payroll. This will be an iterative, ongoing effort with the intent of adopting as

many common or standard practices as possible, thereby, lowering the cost of maintenance and operations and limiting custom configuration to the Phoenix System to the extent possible.

San Bernardino Superior Court System Deployment

In August 2010, TCAS successfully deployed the Phoenix Human Resources System to the San Bernardino Superior Court. This represented the culmination of work during Fiscal Year 2009–2010, adding a large court onto the payroll system. Currently, there are 7 courts (Sacramento, Siskiyou, Lake, Stanislaus, Santa Cruz, Riverside, and San Bernardino) on the Phoenix payroll system, with three considered large courts.

Payroll Human Resources Model

The most significant aspect regarding the successful deployment of payroll to the San Bernardino Superior Court has been the development of a model template for all future payroll deployments. All of the plans, processes, and documentation that were developed and utilized for the San Bernardino deployment have been optimized and developed into templates, so they are reusable for the remainder of the courts. A comprehensive strategy has been developed to leverage the work from the San Bernardino deployment, so that future deployments can be done more quickly, focusing on any specific needs of a court, rather than on the project tools and base configuration of the system. Using these templates and optimizing them after every future deployment will aid in the anticipation of questions and issues in advance.

Phoenix System Stabilization

During Fiscal Year 2009–2010, TCAS was engaged with improving the existing functionality within both the financial and payroll components of the Phoenix System. This initial effort was branded as “Stabilization,” and was part of the TCAS effort for continuous improvement of the Phoenix System for the benefit of the trial courts. Specifically, the Stabilization effort represented 37 significant changes in configuration to make the system more efficient and easier to maintain. These changes were necessary to advance the system to a state that would be supportable with the deployment of the Human Resources/Payroll functionality to all 58 courts.

Phoenix Trial Court Networks

During the course of the Stabilization Project, TCAS created networks of over 100 trial court subject matter experts to assist in confirming, testing, and otherwise validating Phoenix System requirements. This very inclusive effort for the improvement of the system’s overall functionality has been met with positive observations from the courts.

Phoenix On-line Training

Also related to both the Stabilization Project and the San Bernardino Superior Court’s payroll system deployment were the successful efforts to provide on-line process and training documentation for nearly all transactions within the financial and payroll components of the

Phoenix System. This means trial court users have instant access to assistance in the performance of their jobs.

Standardized Remuneration Statement

As part of the deployment effort, TCAS was able to develop a presentation that compared the Phoenix remuneration statement with the legacy remuneration statement of the San Bernardino legacy EMAC's system online, providing every employee of the court the ability to compare and contrast each, with full explanations of any differences in the two systems. The success of the technical aspects of the deployment can largely be attributed to the proactive manner in which questions and issues were anticipated in advance and proactively addressed.

Purchase Order Release Program

The Purchase Order Release Program was initiated as a pilot with five participating courts in 2007 and 2008. In 2009, the program was made available to all courts. A selection of four workflow options was designed to meet the courts' requirements and provide a reasonable balance for ongoing maintenance and support of the various workflow strategies. The program has greatly improved procurement purchase requisition and purchase order workflow options for the trial courts, allowing each to choose the "model" which best suited their business needs. The implementation was an internal collaboration with the Phoenix Purchasing Support unit and Phoenix Production Support unit and was completed with no external assistance.

CCMS Data/Phoenix

During the investigation phase of the Bureau of State Audits (BSA) audit, BSA inquired about the possibility of identifying and tracking costs associated with all phases of CCMS, as well as CMS within the Phoenix system. Phoenix Program staff was able to quickly develop project codes that could capture these expenditures in the manner requested by the BSA. At the same time, the project codes were established for the case management systems, and project codes by court were also created for Phoenix trial court expenditures. To date, 57 of the 58 courts are using the coding structure within Phoenix to identify and track these costs.

III. STATUS OF CURRENT PROJECTS AND INITIATIVES

Resources Reduction Impact to the Phoenix Program

- Additional deployments of the Phoenix payroll system and any additional functionality have been suspended indefinitely since TCAS suffered a substantial budget reduction. The reduction in funding is such that the system integrator, EPI-USE America, Inc., will have only a marginal presence on the project and essentially will only be able to perform basic maintenance and operations activities.
- The need to support the courts on the Phoenix financial and payroll systems is continuous. It is anticipated that change requests that are submitted to the CCRB will not diminish. Resources are still required to keep the Phoenix System current to meet the

needs of the courts, although obviously the “bandwidth” to address these adjustments to the system has been negatively impacted and undoubtedly will increase the required time to develop, configure, test, and move in production.

Continuing Initiatives

- TCAS will be proposing a change to the charge back methodology to be brought first before the Phoenix Steering Committee and the Court Executive Advisory Committee (CEAC) in Fall 2011. The “historic” methodology had based charges on the number of employees of the court; this approach has certain flaws or inequities which TCAS is hoping to mitigate with a simple flat rate based upon the generic size of the court, i.e., all courts defined as small would be billed a specific amount, all courts defined as medium would be billed a specific amount, etc. TCAS does not have a cost-accounting system or a “billable hours” system similar to a legal firm, and workload fluctuates with courts year to year. This approach would also include a feature similar to how statewide prorata is calculated in the Executive Branch, which allows for a “true-up” of charges with each fiscal year such that TCAS would always be at a “breakeven” point.

Court-Ordered Debt Task Force

- This initiative is mandated by Penal Code Section 1463.02, and requires the establishment of the Court-Ordered Debt Task Force (Task Force). The statute identifies the composition and goals and objectives of the Task Force, with reporting requirements to the Judicial Council and the Legislature concerning options to streamline the imposition and administration of the criminal fine and fee structure and processes, examining revenue and expenditure streams, making recommendations regarding the priority in how court-ordered debt is satisfied, and examination of comprehensive collection programs. A partial list of the Task Force membership includes 2 judges as chair and co-chair, 2 court executive officers, a member of the Senate and Assembly, representatives from various state agencies and local government. This effort is expected to require roughly 2.5 years to complete.

Phoenix Baseline Implementation

- The deployment of the payroll system to the San Bernardino Superior Court created an opportunity to set new and improved “standards” for payroll and financial administration. Towards this end, TCAS is replicating these improvements in the original payroll deployments composed of the Sacramento, Stanislaus, Santa Cruz, Siskiyou, Riverside, and Lake Superior Courts. To date, these improvements are impacting a number of processes, reports, data management, creating improved efficiencies which have been well-received by these participating courts. It is anticipated this “special effort” will be concluded during the 2011-2012 fiscal year.

Court Interpreter Data Collection

- The Phoenix System is undergoing configuration changes that will enable it to capture court interpreter language and perhaps session type data and their associated costs, including mileage and per diem rates. This information will enhance the courts' ability to manage resources and will also be used for planning purposes such as accommodating language trends and forecasting costs. Coordinating with the Court Interpreters Program, the Superior Courts of San Diego, Stanislaus, Ventura, San Francisco, and Marin Counties have agreed to participate with TCAS in a pilot project for this effort. It is anticipated that TCAS will report back to the Court Executives' Advisory Committee (CEAC) in the next 4 to 6 weeks with an assessment of the pilot. A successful pilot will prompt the implementation of the configuration modifications in waves statewide, which is anticipated to be initiated near the start of the 2011-12 fiscal year. Historically, attempts to collect this type of information at different intervals had been through the use of consultants conducting surveys; it is anticipated that having at least some of this information captured in the Phoenix System will reduce consultant costs by some degree in the future.

Comprehensive Payment Solution

- Treasury Services and the Trial Court Administrative Services Division are currently reviewing the advantages of implementing Bank of America's (BoA) Commercial Credit Card payment product during the 2010/2011 fiscal year. This payment product will convert certain trial court accounts payable vendor payments from paper check payments to electronic payments. BoA's Commercial Credit Card payment product uses the VISA credit/debit card settlement process without the issuance of a plastic credit card. BoA will share a portion of the fees paid by vendors accepting payment via the Commercial Credit Card product in the form of a quarterly "rebate" based on the total amount of vendor payments made through the product during the quarter. There are no transaction fees paid by the trial courts for making payments using the product. The rebate based on an estimate of enrollment of certain trial court vendors into the program is estimated at \$1.0 million per annum. Any rebate paid by BoA will be returned to the trial courts according to the amount paid by court through the product. In general, trial court vendors currently accepting VISA or Master Card payments from other customers, or trial court vendors currently enrolled in BoA's Commercial Credit Card payment network will be prime candidates for the program. TCAS proposes to present the proposal to CEAC in the near future, with the target of launching a pilot program with several trial courts at the start of the 2011-12 Fiscal Year. It is anticipated this effort will require 12 to 18 months to fully implement.

IV. DIVISION OUTLOOK AND PROSPECTIVE OPPORTUNITIES, CHALLENGES AND PENDING ISSUES

The Judicial Council's goal is to provide a uniform process of financial management and human resources services to all of the trial courts in California. Although the deployment of the Phoenix Financial System has been completed, the deployment of the Phoenix HR System is still in its early stages, with implementation in a total of seven trial courts to date. Additional deployments were suspended in Fiscal Year 2010–2011 due to the state's budget crisis. The biggest challenge facing the Trial Court Administrative Services Division is the fundamental lack of resources to continue the Phoenix HR System deployments to the remaining 51 courts.

- TCAS, with the assistance of EPI-USE, has made substantial improvements in the payroll deployment processes. The unprecedented level of collaboration between TCAS and EPI-USE resulted in a powerful momentum that could successfully continue to deploy payroll in view of the fact that a repeatable process with standard templates has now been developed using the San Bernardino deployment as the first proven example of how payroll deployments *should* be done. This momentum is now compromised due to lack of resources.
- Unfortunately, the funding augmentation necessary for payroll deployments was initially reduced by 50 percent in Fiscal Year 2007–2008. Each succeeding year, the Phoenix Program suffered significant reductions to the point that in the 2010–2011 fiscal year, the total reduction amounted to \$11 million, or fully one-third of the total TCAS budget.
- Due to the funding reductions, future payroll deployments after San Bernardino have been indefinitely suspended. While EPI-USE is still under contract for maintenance and operations support, an overwhelming number of consultants have already been reassigned to other projects outside of the Phoenix Program. This is a substantial loss given that this project had the commitment of the top consultants in EPI-USE. We believe EPI-USE is an outstanding system integrator and we anticipate success when we are finally free to reengage; however, the ramp up time may be greatly extended by factors such as new consultants unfamiliar with our process and system.
- The delay in deployments will cause future deployments to be more expensive than originally planned due to the loss of momentum, because our contract with EPI-USE will expire, and we will have to undertake the entire rebid process for future system integration efforts. There will be additional cost increase due to the added risk the vendor community will undoubtedly perceive due to the budget reductions applied to the Phoenix Program.
- The elimination of approximately forty Phoenix Program positions (30 percent of current staffing levels) from the program's budget due to the state's poor economic conditions

did not allow the program to be adequately staffed, greatly impeding the ability for knowledge transfer from the system integrator to AOC staff. The knowledge transfer is essential to eventually phase out reliance on higher paid consultants. Currently, staffing levels are so thin that in a number of functional and technical areas, only one position/employee is capable of performing certain duties and there are no back-ups.

TCAS is optimistic that it will resume system deployments once additional resources are secured, finally achieving a fully integrated administrative system statewide. Moreover, as the State of California's executive branch transitions onto the same SAP software platform for its financial and payroll needs, namely the 21st Century Project and the FISCAL project (also anticipated to be awarded to SAP), TCAS supports the eventual transition of the remaining judicial branch entities onto the Phoenix System, ensuring a more cost-effective integration with executive branch control agencies.

TRIAL COURT ADMINISTRATIVE SERVICES DIVISION

1.0 TCAS Division Director
(Phoenix Program Director)

ADMINISTRATIVE SERVICES UNIT
1.0 Senior Court Services Analyst
2.0 Court Services Analysts
1.0 Administrative Coordinator II
1.0 Administrative Coordinator I
1.0 Receptionist II

SHARED SERVICES CENTER
1.0 Senior Manager

CENTER OF EXCELLENCE

TC Trust & Treasury Services
1.0 Manager

Treasury
1.0 Senior Accountant
1.0 Accountant
1.0 Staff Accountant
1.0 Accounting Tech

Trust Accounting
1.0 Supervising Accountant
1.0 Senior Accountant
2.0 Accountants
5.0 Staff Accountant
5.0 Accounting Techs

Financial Services

Phoenix Purchasing Support Services
1.0 Supervising Contract Specialist
1.0 Procurement Specialist
3.0 Contract Specialist

General Ledger & Reports
1.0 Supervising Accountant
4.0 Senior Accountants
9.0 Accountants

Accounts Payable
1.0 Supervising Accountant
2.0 Staff Accountants
5.0 Accounting Technicians

Human Resources Services

Payroll Financial Services
1.0 Supervising Accountant
5.0 Staff Accountants
4.0 Accounting Techs

Payroll Services
1.0 Sup Pay & Benefits Specialist
1.0 Business Applications Analyst
6.0 Payroll & Benefits Spec II
4.0 Payroll & Benefits Spec I

Project Support
1.0 Senior Manager

Education Support
1.0 Manager
1.0 Senior Business Applications Analyst
1.0 Senior Accountant
1.0 Accountant
1.0 Staff Accountant
1.0 Staff Analyst I

HR Process Analysis
1.0 Manager

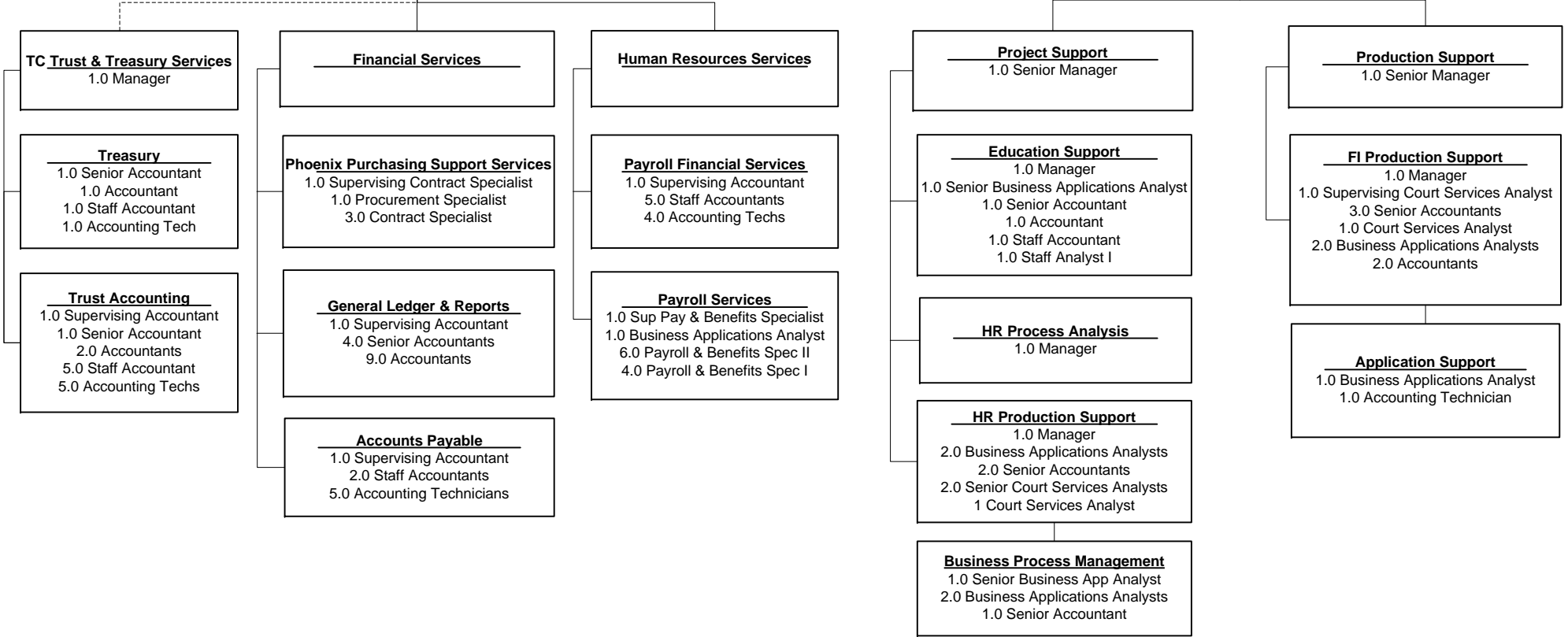
HR Production Support
1.0 Manager
2.0 Business Applications Analysts
2.0 Senior Accountants
2.0 Senior Court Services Analysts
1 Court Services Analyst

Business Process Management
1.0 Senior Business App Analyst
2.0 Business Applications Analysts
1.0 Senior Accountant

Production Support
1.0 Senior Manager

FI Production Support
1.0 Manager
1.0 Supervising Court Services Analyst
3.0 Senior Accountants
1.0 Court Services Analyst
2.0 Business Applications Analysts
2.0 Accountants

Application Support
1.0 Business Applications Analyst
1.0 Accounting Technician



Trial Court Administrative Services Division

Five-Year Fiscal Summary

Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
November 2011

Expenditure Summary ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
SUPPORT EXPENDITURES										
Personal Services										
Salaries and Wages				\$ 5,883,280	0.0%	\$ 7,102,906	21%	\$ 6,984,074	-2%	0.0%
Benefits				2,201,507	0.0%	2,620,017	19%	2,832,095	8%	0.0%
Subtotal Personal Services				\$ 8,084,786	0.0%	\$ 9,722,923	20%	\$ 9,816,169	1%	0.0%
Operating Expense & Equipment (OE&E)										
Rent				\$ 930,606	0.0%	\$ 893,170	-4.0%	\$ 868,800	-2.7%	0.0%
OE&E (Excludes Rent)				537,157	0.0%	5,339,383	894%	3,205,748	-40%	0.0%
Subtotal OE&E				\$ 1,467,763	0.0%	\$ 6,232,554	325%	\$ 4,074,548	-35%	0.0%
Special Items of Expense				3,108	0.0%	-	-100%	-	0%	0.0%
TOTAL SUPPORT EXPENDITURES				\$ 9,555,657	0.0%	\$ 15,955,477	67%	\$ 13,890,717	-13%	0.0%
Local Assistance				16,827,061	0.0%	7,242,463	-57%	2,653,710	-63%	0.0%
TOTAL EXPENDITURES				\$ 26,382,718	0.0%	\$ 23,197,940	-12%	\$ 16,544,427	-29%	0.0%

Fund Source ¹	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
GENERAL FUND & SPECIAL FUNDS										
General Fund	\$ -	\$ -		\$ 2,099,205	0.0%	\$ 8,323,914	296.5%	\$ 5,990,190	-28.0%	0.0%
Trial Court Trust Fund	-	-		7,446,199	0.0%	7,631,563	2.5%	7,900,526	3.5%	0.0%
Trial Court Improvement Fund	-	-		10,253	0.0%	-	-100.0%	-	0.0%	0.0%
Subtotal General Fund & Special Funds	\$ -	\$ -		\$ 9,555,657	0.0%	\$ 15,955,477	67.0%	\$ 13,890,717	-12.9%	0.0%
LOCAL ASSISTANCE										
Trial Court Trust Fund ³	\$ -	\$ -		\$ 12,092,150	0.0%	\$ 4,657,863	-61.5%	\$ 5,000	-99.9%	0.0%
Trial Court Improvement Fund ²	-	-		1,965,926	0.0%	2,584,600	31.5%	2,118,710	-18.0%	0.0%
Modernization Fund	-	-		2,768,985	0.0%	-	-100.0%	530,000	0.0%	0.0%
Subtotal Local Assistance	\$ -	\$ -		\$ 16,827,061	0.0%	\$ 7,242,463	-57.0%	\$ 2,653,710	-63.4%	0.0%
TOTAL EXPENDITURES - ALL FUNDS	\$ -	\$ -		\$ 26,382,718	0.0%	\$ 23,197,940	-12.1%	\$ 16,544,427	-28.7%	0.0%

⁽¹⁾Source: AOC Financial Forecast Report, prior year actuals.

⁽²⁾The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

⁽³⁾TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.

Trial Court Administrative Services
Five-Year Local Assistance Fiscal Detail
 Prepared for the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
 November 2011

Local Assistance Expenditures Detail by Fund Source and Program/Project	FY 2006-07	FY 2007-08	Annual Percentage Change	FY 2008-09	Annual Percentage Change	FY 2009-10	Annual Percentage Change	FY 2010-11	Annual Percentage Change	Percentage Change FY 2006-07 to FY 2010-11
<i>Trial Court Improvement Fund¹</i>										
Phoenix FI	-	-	0.0%	\$ 895,940	0.0%	\$ 1,518,712	69.5%	\$ 1,037,365	-31.7%	0.0%
Phoenix HR	-	-	0.0%	1,069,986	0.0%	1,065,888	-0.4%	1,081,345	1.5%	0.0%
<i>Subtotal, Trial Court Improvement Fund</i>	\$ -	\$ -	0.0%	\$ 1,965,926	0.0%	\$ 2,584,600	31.5%	\$ 2,118,710	-18.0%	0.0%
<i>Trial Court Trust Fund²</i>										
Phoenix FI			0.0%	\$ 12,092,150	0.0%	\$ 4,657,863	-61.5%	\$ 5,000	-99.9%	0.0%
<i>Subtotal, Trial Court Trust Fund</i>	\$ -	\$ -	0.0%	\$ 12,092,150	0.0%	\$ 4,657,863	-61.5%	\$ 5,000	-99.9%	0.0%
<i>Judicial Administration Efficiency and Modernization Fund¹</i>										
Phoenix FI			0.0%	\$ 1,579,762	0.0%	\$ -	-100.0%	\$ -	0.0%	0.0%
Phoenix HR			0.0%	1,189,223	0.0%	\$ -	-100.0%	530,000	0.0%	0.0%
<i>Subtotal, Modernization Fund</i>	\$ -	\$ -	0.0%	\$ 2,768,985	0.0%	\$ -	-100.0%	\$ 530,000	0.0%	0.0%
TOTAL LOCAL ASSISTANCE FUNDING	\$ -	\$ -	0.0%	\$ 16,827,061	0.0%	\$ 7,242,463	-57.0%	\$ 2,653,710	-63.4%	0.0%

¹ The displayed numbers for all fiscal years are from the Oracle Financial, and include the expenditures and encumbrances that are reported on the year-end financial statements.

² TCTF local assistance reflects year-end expenditures and encumbrances recorded in Oracle. Programs related to direct distributions to the trial courts are excluded.