



Judicial Council of California · Administrative Office of the Courts

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: August 31, 2012

Title	Agenda Item Type
Judicial Branch Administration: Report and Recommendations from the Judicial Council's Executive and Planning Committee Regarding the Strategic Evaluation Committee (SEC) Report	Action Required
	Effective Date
	August 31, 2012
	Date of Report
	August 27, 2012
Rules, Forms, Standards, or Statutes Affected	Contact
None	Hon. Douglas P. Miller douglasp.miller@jud.ca.gov
Recommended by	
Hon. Douglas P. Miller, Chair Executive and Planning Committee	

Executive Summary

Following careful review of the report from the Strategic Evaluation Committee (SEC) and comments on the report, the Executive and Planning Committee (E&P) recommends that the Judicial Council restructure the Administrative Office of the Courts (AOC). The specifics of its recommendations are outlined in Attachment 1, tracking the recommendations from the SEC. E&P has reorganized the recommendations to facilitate implementation. E&P also outlines in that attachment a timeline for the implementation of these structural changes. E&P recommends that the Judicial Council direct the Administrative Director of the Courts to keep E&P informed about implementation. The E&P chair will report regularly to the council on the progress of implementation.

Recommendation

The Executive and Planning Committee recommends that the Judicial Council approve the recommendations in Attachment 1, second column.

Previous Council Action

Chief Justice Tani G. Cantil-Sakauye appointed the Strategic Evaluation Committee (SEC) in March 2011, within a few months of becoming the 28th Chief Justice of California. She charged the SEC with conducting an in-depth review of the services, operations, and communications of the Administrative Office of the Courts (AOC). The SEC submitted its report on May 25, 2012. At its June 21, 2012, meeting, the council accepted the SEC report for consideration and assigned it to E&P for review and consideration of each recommendation. The council requested E&P to post the report and receive public comment on it for 30 days, evaluate and prioritize each SEC recommendation with the assistance of the three SEC members the Chief Justice had appointed to the Judicial Council effective September 15, 2012—Judge Charles D. Wachob, Presiding Judge Brian L. McCabe, and Presiding Judge Sherrill A. Ellsworth—and return to the council at its August 2012 meeting with the comments, a list of council priorities, and a proposed timeline.

Rationale for Recommendation

The SEC report reviewed the role, functions, organizational structure, methods of operations, and staffing of the AOC. The SEC made 151 recommendations to the Judicial Council, including four pertaining to the Judicial Council’s oversight of the AOC. The SEC report’s breadth is extensive: it addresses overarching agency-wide issues and themes as well as issues related to divisions.

E&P reviewed the SEC report and comments received on the report and reached these recommendations, with the assistance of three additional council members¹ as well as the three SEC members. During E&P’s review, it met with the Interim Administrative Director of the Courts and the Incoming Administrative Director of the Courts, who support the SEC report.

In Attachment 1, E&P provides its specific recommendations as they relate to each SEC recommendation and provides an implementation timeline, setting out E&P’s judgment on priorities, which necessarily balances the changes that are needed immediately with practicalities of time and resources. For example, E&P recommends that the Judicial Council immediately implement the recommendation that the council take an active role in overseeing and monitoring the AOC to ensure transparency, accountability, and efficiency in the AOC’s operations and practices. E&P’s timeline on this recommendation states: “For immediate implementation (On-going).” E&P, however, recognizes that conducting comprehensive classification and compensation studies is a substantial endeavor requiring considerable time, effort, and staff resources, and perhaps even considerable cost. Therefore, E&P is recommending that the Administrative Director of the Courts return to the council by February 2013 with a proposal with options for how these studies should be conducted, including analysis of the costs and benefits of using an outside entity.

¹ Judges Teri L. Jackson, Ira R. Kaufman, and David M. Rubin.

E&P organized its recommendations so that the Judicial Council can return to them during the implementation phase to monitor related items. For example, the E&P recommendations about Judicial Council oversight of the AOC (SEC Recommendations 4-1, 4-2, 4-3, and 4-4), and about the Administrative Director operating subject to the oversight of the Judicial Council (SEC Recommendation 7-1) are the first five on E&P's list of recommendations, despite coming from different parts of the SEC report.

E&P determined that certain of its recommendations about the AOC organizational structure should be premised upon a proposal from the Interim Administrative Director of the Courts, Jody Patel, and the incoming Administrative Director of the Courts, Judge Steven Jahr. They informed E&P that they value and agree with all of the SEC recommendations, but would like to provide input to shape and modify a few of them. E&P requested that they provide a proposal for the organizational structure of the AOC to the Judicial Council at the August 2012 meeting, in time for council action on E&P's recommendations.

In addition to those matters recommended by the Strategic Evaluation Committee, E&P intends to manage for the council the following four projects, in connection with E&P's recommendations on Judicial Council oversight of the AOC:

1. An assessment of the council's and the Administrative Director's advisory committees, task forces, working groups, and other advisory groups, for the purpose of improving the advisory group function and making it more efficient, cost-effective, transparent, and valuable for the council and the judicial branch.
2. An analysis of the council's delegations of authority to the Administrative Director of the Courts, with recommendations to the Judicial Council of which delegations should continue, which to modify, which to rescind, and which have ceased to have effect.
3. A review of the Judicial Council Governance Policies,² with recommendations to the council on revisions.
4. The development of the next strategic plan for the judicial branch.³ A strategic plan establishes a common purpose and a shared value system for the branch, provides a framework for orderly growth and progress, and ensures accountability and transparency.

Comments, Alternatives Considered, and Policy Implications

The SEC report was posted for public comment from June 22, 2012 through July 22, 2012, and comments are continuing to be accepted on the report. As of August 22, 2012, 529 comments have been received from 513 commentators. These comments include the written comments received for the June 20-22, 2012, council meeting. Of the comments, 30 were made on behalf of organizations; the remaining comments were made by individuals. Approximately 84 percent of

² The Judicial Council Governance Policies are Appendix D to the California Rules of Court, http://www.courts.ca.gov/documents/appendix_d.pdf.

³ After more than a year of collaboration with judges, court employees, the public, and justice system partners, the council approved in December 2006 "Justice in Focus: The Strategic Plan for California's Judicial Branch 2006-2012." <http://www.courts.ca.gov/3045.htm>

the commentators are judicial officers. All comments received on the report have been posted to the California Courts website at www.courts.ca.gov/18441.htm. Below are some of the themes from the comments.

- *Support for the SEC Recommendations:* A great number of the comments express support, without elaboration, for the report’s recommendations and their immediate implementation.
- *Implementation:* A number of commentators—although supporting the report’s observations and criticisms—express concern with implementing some recommendations without further analysis. Emphasis is given to the definition of “core” or “essential” functions versus “discretionary” and “non-essential” functions. Some commentators hold the opinion that a cost-benefit analysis would not necessarily yield the information necessary to make a policy decision that is in the best interest of the judicial branch and the public.
- *Culture:* Several commentators specifically state that they perceive the AOC as “controlling,” “dictating,” and “out of touch.” Many note that there exists a lack of trust between judges, the Judicial Council, and the AOC.
- *Access:* Several organizations, including legal aid and bar associations, as well as minority judges associations, recommend that the Judicial Council continue efforts to increase diversity in the judicial branch in order to gain the trust and support of the public. Many comments observe that improving the public’s access to the courts is a core function of the AOC. This, they contend, encompasses the AOC’s work on self-help centers, language access, diversity on the bench, and collaborative courts.
- *Smaller courts:* Some commentators express concern that some of the recommendations, if implemented without further study, would negatively impact smaller courts and the services they would be able to provide.
- *Appellate courts:* The Administrative Presiding Justices of the Courts of Appeal and the California Appellate Court Clerk/Administrators commented on the significant administrative support provided to the appellate courts by the AOC and that further AOC staff reductions related to the operations of the courts of review could potentially compromise essential services and severely implicate the delivery of justice.

Implementation Requirements, Costs, and Operational Impacts

The restructuring of the AOC may require some additional costs. However, these costs would be incurred to achieve the goals of efficiency and cost-effectiveness. For example, the classification and compensation studies will require considerable AOC staff effort and time; and if the council determines that any part of those studies should be conducted by an outside vendor, additional costs would be incurred. However, the need for such studies and the value they provide compel the conclusion that some cost for this result is reasonably incurred.

The operational impacts of implementing some of the recommendations could be considerable. Restructuring the AOC may well result in diminishing statewide administrative support for the courts in any number of areas—security, facilities, legal services, education, etc. Significant

implications for judges, court employees, and court users are very possible, although difficult to foresee. As the implications become clearer, in the implementation process, the council will have the ability to assess and, if needed, make further decisions.

Attachments

1. Executive and Planning Committee Recommendations to the Judicial Council
2. Cross-Reference of Strategic Evaluation Committee Recommendations to Executive and Planning Committee Recommendations

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Judicial Council Oversight and Governance			
1	The Administrative Director of the Courts operates subject to the oversight of the Judicial Council. E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report to E&P before each Judicial Council meeting on each item on this chart approved by the Judicial Council.	For immediate implementation (Ongoing)	7-1. The Administrative Director must operate subject to the oversight of the Judicial Council and will be charged with implementing the recommendations in this report if so directed.
2	E&P recommends that the Judicial Council take an active role in overseeing and monitoring the AOC to ensure transparency, accountability, and efficiency in the AOC's operations and practices.	For immediate implementation (Ongoing)	4-1. The Judicial Council must take an active role in overseeing and monitoring the AOC and demanding transparency, accountability, and efficiency in the AOC's operations and practices.
3	E&P recommends that the Judicial Council promote the primary role and orientation of the AOC as a service provider to the Judicial Council and the courts for the benefit of the public.	For immediate implementation (Ongoing)	4-2. The primary role and orientation of the AOC must be as a service provider to the Judicial Council and the courts.
4	E&P recommends that the Judicial Council, in exercising its independent and ultimate governance authority over the operations and practices of the AOC, must ensure that the AOC provide it with a comprehensive analysis, including a business case analysis, a full range of options and impacts and pros and cons, before undertaking any branch-wide project or initiative. In exercising its authority over committees, rules, grants, programs and projects, the Judicial Council must ensure that the AOC provide it with a full	For immediate implementation (Ongoing)	4-3. In exercising its independent and ultimate governance authority over the operations and practices of the AOC, the Judicial Council must demand that the AOC provide it with a business case analysis, including a full range of options and impacts, before undertaking any branch-wide project or initiative. In exercising its authority over committees, rules, grants, programs, and projects, the Judicial Council must demand that the AOC provide it with a full range of options and impacts, including fiscal, operational, and

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Judicial Council Oversight and Governance			
	range of options and impacts, including fiscal, operational, and other impacts on the courts.		other impacts on the courts.
5	E&P recommends that the Judicial Council conduct an annual review of the performance of the Administrative Director of the Courts (ADOC). The review must take into consideration input submitted by persons inside and outside the judicial branch.	For initiation October 2013	4-4. The Judicial Council must conduct periodic reviews of the performance of the Administrative Director of the Courts. These reviews must take into consideration input submitted by persons inside and outside the judicial branch.
6	E&P recommends that the Judicial Council direct the Rules and Projects Committee, consistent with its responsibility under rule 10.13 of the California Rules of Court, to establish and maintain a rule-making process that is understandable and accessible to justice system partners and the public, to consider SEC Recommendation 6-8 and report on any changes to the rule-making process to the Judicial Council.	RUPRO to propose a timeline to return to the council to present its recommendations.	6-8. The AOC must develop a process to better assess the fiscal and operational impacts of proposed rules on the courts, including seeking earlier input from the courts before proposed rules are submitted for formal review. The AOC should establish a process to survey judges and court executive officers about the fiscal and operational impacts of rules that are adopted, and recommend revisions to the rules where appropriate. The AOC should recommend changes in the rules process, for consideration by the Judicial Council, to limit the number of proposals for new rules, including by focusing on rule changes that are required by statutory changes.

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Judicial Council Oversight and Governance			
7	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to propose a procedure to seek the fully informed input and collaboration of the courts before undertaking significant projects or branchwide initiatives that affect the courts. The AOC should also seek the input of all stakeholder groups, including the State Bar.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-57. The AOC must seek the fully informed input and collaboration of the courts before undertaking significant projects or branch-wide initiatives that affect the courts.
8	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure to first employ a comprehensive analysis, including an appropriate business case analysis of the scope and direction of significant projects or initiatives, taking into account the range of fiscal, operational, and other impacts to the courts and stakeholders.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-58. The AOC must first employ an appropriate business case analysis of the scope and direction of significant projects or initiatives, taking into account the range of fiscal, operational, and other impacts to the courts.
9	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure for developing and communicating accurate cost estimates for projects, programs, and initiatives.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-59. The AOC must develop and communicate accurate cost estimates for projects, programs, and initiatives.
10	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure to apply proper cost and	ADOC to propose a procedure for	7-60. The AOC must apply proper cost and contract controls and monitoring, including independent assessment and verification, for

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Judicial Council Oversight and Governance			
	contract controls and monitoring, including independent assessment and verification, for significant projects and programs.	Judicial Council approval at the June 2013 council meeting.	significant projects and programs.
11	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure to maintain proper documentation and records of its decision making process for significant projects and programs.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-61. The AOC must maintain proper documentation and records of its decision making process for significant projects and programs.
12	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure to identify and secure sufficient funding and revenue streams necessary to support projects and programs, before undertaking them.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-62. The AOC must identify and secure sufficient funding and revenue streams necessary to support projects and programs, before undertaking them.
13	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop a procedure to accurately report and make available information on potential costs of projects and impacts on the courts.	ADOC to propose a procedure for Judicial Council approval at the June 2013 council meeting.	7-63. The AOC must accurately report and make available information on potential costs of projects and impacts on the courts.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
14	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to conduct a comprehensive review of the AOC position classification system as soon as possible. The focus of the review must be on identifying and correcting misallocated positions, particularly in managerial classes, and on achieving efficiencies by consolidating and reducing the number of classifications.	ADOC to report to the council at the February 2013 meeting on options to conduct the study.	6-5. The Executive Leadership Team must direct that a comprehensive review of the AOC position classification system begin as soon as possible. The focus of the review should be on identifying and correcting misallocated positions, particularly in managerial classes, and on achieving efficiencies by consolidating and reducing the number of classifications. The Chief Administrative Officer should be given lead responsibility for implementing this recommendation.
15	The Administrative Office of the Courts must also undertake a comprehensive review of the AOC compensation system as soon as possible. The AOC must review all compensation-related policies and procedures, including those contained in the <i>AOC Personnel Policies and Procedures Manual</i> .		6-6. The Executive Leadership Team must direct that a comprehensive review of the AOC compensation system be undertaken as soon as possible. All compensation-related policies and procedures must be reviewed, including those contained in the AOC personnel manual. AOC staff should be used to conduct this review to the extent possible. If outside consultants are required, such work could be combined with the classification review that is recommended above. The Chief Administrative Officer should be given lead responsibility for implementing this recommendation.

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Organization-wide Restructuring and Reforms			
	The AOC must overhaul current practices for its classification and compensation systems. The AOC must develop and consistently apply policies for classification and compensation of employees, by actions including the following:		7-35. The AOC must commit to overhauling current practices for its classification and compensation systems. The AOC then must develop and consistently apply policies for classification and compensation of employees by actions including the following:
16	(a) A comprehensive review of the classification and compensation systems should be undertaken as soon as possible, with the goal of consolidating and streamlining the classification system.		(a) A comprehensive review of the classification and compensation systems should be undertaken as soon as possible, with the goal of consolidating and streamlining the classification system.
17	(b) Priority should be placed on reviewing all positions classified as supervisors or managers, as well as all attorney positions, to identify misclassified positions and take appropriate corrective actions.		(b) Priority should be placed on reviewing all positions classified as supervisors or managers, as well as all attorney positions, to identify misclassified positions and take appropriate corrective actions.
18	(c) The manner in which the AOC applies its geographic salary differential policy (section 4.2 of the AOC Personnel Policies and Procedures Manual) should be reviewed and, if maintained, applied consistently.		(c) The manner in which the AOC applies its geographic salary differential policy (section 4.2 of the AOC personnel manual) should be reviewed and, if maintained, applied consistently.

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Organization-wide Restructuring and Reforms			
19	(d) Given current HR staffing and expertise levels, the Administrative Director of the Courts is directed to consider whether an outside entity should conduct these reviews and return to the Judicial Council with an analysis and a recommendation.		(d) Given current HR staffing and expertise levels, an outside entity should be considered to conduct these reviews.
20	E&P also recommends that the Judicial Council direct the Administrative Director of the Courts to assess the results of the compensation and classification studies to be completed and propose organizational changes that take into account the SEC recommendation 7-75 and the analysis of the classification and compensation studies.		7-75. The Administrative Director should make an AOC-wide assessment to determine whether attorneys employed across the various AOC divisions are being best leveraged to serve the priority legal needs of the organization and court users.
21	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to implement a formalized system of program and project planning and monitoring that includes, at minimum, a collaborative planning process that requires an analysis of impacts on the judicial branch at the outset of all projects; use of workload analyses where appropriate; and development of general performance metrics for key AOC programs that allow expected performance levels to be set and evaluated.	Completion by December 2013.	6-2. The AOC Executive Leadership Team must begin to implement a formalized system of program and project planning and monitoring that includes, at minimum, a collaborative planning process that requires an analysis of impacts on the judicial branch at the outset of all projects; use of workload analyses where appropriate; and development of general performance metrics for key AOC programs that allow expected performance levels to be set and evaluated.

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Organization-wide Restructuring and Reforms			
22	E&P recommends that the Judicial Council direct the AOC to renegotiate or terminate, if possible, its lease in Burbank. The lease for the Sacramento North spaces should be reviewed and, if possible, renegotiated to reflect actual usage of the office space. The AOC should explore lower cost lease options in San Francisco, recognizing that the State Department of General Services would have to find replacement tenants for its space.	ADOC recommendations to the council at the 10/26/12, council meeting.	10-1. The AOC should renegotiate or terminate its lease in Burbank. The lease for the Sacramento North spaces should be reviewed and renegotiated to reflect actual usage of the office space. The AOC should explore lower cost lease options in San Francisco, recognizing that DGS would have to find replacement tenants for its space.
23	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to identify legislative requirements that impose unnecessary reporting or other mandates on the courts and the AOC. Appropriate efforts should be made to revise or repeal such requirements.	ADOC report to E&P identifying legislative requirements by December 2013.	7-83. The Office of Governmental Affairs should be directed to identify legislative requirements that impose unnecessary reporting or other mandates on the AOC. Appropriate efforts should be made to revise or repeal such requirements.
24	On August 9, 2012, E&P directed the interim Administrative Director of the Courts and incoming Administrative Director of the Courts to consider the SEC recommendations on AOC organizational structure (recommendations 5-1-5-6, 6-1) and present their proposal for an organizational structure for the consideration of the full Judicial Council at the August 31, 2012, council meeting.	Interim and incoming ADOC to present proposed organizational chart and implementation proposal to the council for consideration at the 8/31/12,	5-1. The AOC should be reorganized. The organizational structure should consolidate programs and functions that primarily provide operational services within the Judicial and Court Operations Services Division. Those programs and functions that primarily provide administrative services should be consolidated within the Judicial and Court Administrative Services Division. Other programs and functions should be grouped within an Executive Office organizational unit. The Legal Services Office also should report directly to

Executive and Planning Committee Recommendations to the Judicial Council

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Organization-wide Restructuring and Reforms			
		<p>council meeting.</p> <p>With council approval, an organizational design will be implemented by October 2012.</p>	<p>the Executive Office but no longer should be accorded divisional status.</p> <p>5-2. The Chief Operating Officer should manage and direct the Judicial and Court Operations Services Division, consisting of functions located in the Court Operations Special Services Office; the Center for Families, Children and the Courts; the Education Office/Center for Judicial Education and Research; and the Office of Court Construction and Facilities Management.</p> <p>5-3. The Chief Administrative Officer should manage and direct the Judicial and Court Administrative Services Division, consisting of functions located in the Fiscal Services Office, the Human Resources Services Office, the Trial Court Administrative Services Office, and the Information and Technology Services Office.</p> <p>5-4. Other important programs and functions should be consolidated within an Executive Office organizational unit under the direction of a Chief of Staff. Those functions and units include such functions as the coordination of AOC support of the Judicial Council, Trial</p>

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Organization-wide Restructuring and Reforms			
			<p>Court Support and Liaison Services, the Office of Governmental Affairs, the Office of Communications, and a Special Programs and Projects Office.</p> <p>5-5. The Chief Counsel, manager of the Legal Services Office (formerly the Office of the General Counsel) should report directly to the Administrative Director depending on the specific issue under consideration and depending on the preferences of the Administrative Director.</p> <p>5-6. The Chief Deputy Administrative Director position must be eliminated. If the absence of the Administrative Director necessitates the designation of an Acting Administrative Director, the Chief Operating Officer should be so designated.</p> <p>6-1. The Administrative Director, the Chief Operations Officer, the Chief Administrative Officer, and the Chief of Staff should be designated as the AOC Executive Leadership Team, the primary decision making group in the organization.</p>

Executive and Planning Committee Recommendations to the Judicial Council

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Organization-wide Restructuring and Reforms			
25	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require immediate compliance with the requirements and policies in the <i>AOC Personnel Policies and Procedures Manual</i> , including formal performance reviews of all employees on an annual basis; compliance with the rules limiting telecommuting; and appropriate utilization of the discipline system.	Interim update from ADOC by April 2013. Formal performance reviews to begin after completion of the classification and compensation study.	6-3. The AOC Executive Leadership Team must order immediate compliance with the requirements and policies in the AOC personnel manual, including formal performance reviews of all employees on an annual basis; compliance with the rules limiting telecommuting; and appropriate utilization of the discipline system.
26	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure that the AOC adheres to its telecommuting policy consistently and identifies and corrects all existing deviations and violations of the existing policy. The Administrative Director of the Courts must review the AOC telecommuting policy and provide the council with a report proposing any recommendations on amendments to the policy, by the December 13-14, 2012, council meeting.	ADOC report to the council by the 12/14/12 meeting.	7-40. The AOC must adhere to its telecommuting policy (Section 8.9 of the AOC personnel manual). It must apply the policy consistently and must identify and correct all existing deviations and violations of the existing policy.

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Organization-wide Restructuring and Reforms			
27	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure that, with an appropriate individual employee performance planning and appraisal system in place, the AOC utilizes the flexibility provided by its at-will employment policy to address employee performance issues. The AOC’s at-will employment policy provides management with maximum hiring and firing flexibility, and should be exercised when appropriate.	ADOC report to the council at the April 2013 meeting.	<p>6-4. With an appropriate individual employee performance planning and appraisal system in place, the AOC must utilize the flexibility provided by its at-will employment policy to address serious employee performance issues.</p> <p>7-36. The AOC’s at-will employment policy provides management with maximum hiring and firing flexibility, and should be exercised when appropriate.</p>
28	E&P recommends that the Judicial Council direct that the Administrative Director of the Courts require compliance with the AOC’s existing policy calling for annual performance appraisals of all AOC employees (<i>AOC Personnel Policies and Procedures Manual</i> , section 3.9) and that performance appraisals are uniformly implemented throughout the AOC as soon as possible.	Ongoing Interim update from ADOC by April 2013. Formal performance reviews to begin after completion of the classification and compensation study.	7-37. The AOC’s existing policy calling for annual performance appraisals of all AOC employees (<i>AOC personnel manual</i> , section 3.9) must be implemented uniformly throughout the AOC as soon as possible.

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Organization-wide Restructuring and Reforms			
29	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to develop an employment discipline policy to be implemented consistently across the entire AOC that provides for performance improvement plans and for the actual utilization of progressive discipline.	Completion in April 2013.	7-38. A consistent employment discipline policy must accompany the employee performance appraisal system. Section 8.1B of the AOC personnel manual discusses disciplinary action, but is inadequate. A policy that provides for performance improvement plans and for the actual utilization of progressive discipline should be developed and implemented consistently across the entire AOC.
30	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to utilize the AOC's layoff process to provide management with a proactive way to deal with significant reductions in resources.	Revised policy adopted May 18, 2012.	7-39. The AOC must utilize its layoff process to provide management with a proactive way to deal with significant reductions in resources.
31	E&P recommends that the Judicial Council direct that the Administrative Director of the Courts require the AOC leadership to develop, maintain, and support implementation of effective and efficient human resources policies and practices uniformly throughout the AOC.	Annual status report to be included in the ADOC's annual performance review.	7-33. The AOC leadership must recommit itself to developing and maintaining effective and efficient HR policies and practices. The new Administrative Director, among other priority actions, must reestablish the AOC's commitment to implement sound HR policies and practices.

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Organization-wide Restructuring and Reforms			
32	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that a gradual, prioritized review of all HR policies and practices, including all those incorporated in the <i>AOC Personnel Policies and Procedures Manual</i> , should be undertaken to ensure they are appropriate and are being applied effectively and consistently throughout the AOC.	Annual status report to be included in the ADOC’s annual performance review.	7-41. A gradual, prioritized review of all HR policies and practices, including all those incorporated in the AOC personnel manual should be undertaken to ensure they are appropriate and are being applied effectively and consistently throughout the AOC.
33	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report back on the budget and fiscal management measures implemented by the AOC to ensure that the AOC’s fiscal and budget processes are transparent. The Administrative Director of the Courts should develop and make public a description of the AOC fiscal and budget process, including a calendar clearly describing how and when fiscal and budget decisions are made. The AOC should produce a comprehensive, publicly available midyear budget report, including budget projections for the remainder of the fiscal year and anticipated resource issues for the coming year.	Interim report to the council on the changes in progress by the February 2013 council meeting. Final report on measures taken to implement a new approach to the budget process by June 2013.	6-7. The AOC’s fiscal and budget processes must be transparent. The Executive Leadership Team should require the Fiscal Services Office to immediately develop and make public a description of the fiscal and budget process, including a calendar clearly describing how and when fiscal and budget decisions are made. The Fiscal Services Office should be required to produce a comprehensive, publicly available midyear budget report, including budget projections for the remainder of the fiscal year and anticipated resource issues for the coming year. The Chief Administrative Officer should be given lead responsibility for developing and implementing an entirely new approach to fiscal processes and fiscal information for the AOC.

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Organization-wide Restructuring and Reforms			
34	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that all fiscal information must come from one source within the AOC, and that single source should be what is currently known as the Finance Division.	Immediate implementation with ADOC report to the council at the 10/26/2012, meeting.	8-1. All fiscal information must come from one source within the AOC, and that single source should be what is currently known as the Finance Division (to become the Fiscal Services Office under the recommendations in this report).
35	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that budget and fiscal tracking systems be in place so that timely and accurate information on resources available and expenditures to date are readily available.	ADOC interim report to the council at the February 2013 meeting and final report at the June 2013 council meeting.	8-2. Tracking systems need to be in place so that timely and accurate information on resources available and expenditures to date are readily available. Managers need this information so they do not spend beyond their allotments.
36	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that budget and fiscal information displays be streamlined and simplified so they are clearly understandable.	ADOC interim report to the council at the February 2013 meeting and final report at the June 2013 council meeting.	8-3. Information displays need to be streamlined and simplified so they are clearly understandable.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
37	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that the Finance Division track appropriations and expenditures by fund, and keep a historical record of both so that easy year-to-year comparisons can be made. This can be done by unit, division, or by program, whichever provides the most informed and accurate picture of the budget.	ADOC interim report to the council at the February 2013 meeting and final report at the June 2013 meeting.	8-4. The Finance Division (Fiscal Services Office) should track appropriations and expenditures by fund, and keep a historical record of both so that easy year-to-year comparisons can be made. This can be done by unit, division or by program — whichever provides the audience with the most informed and accurate picture of the budget.
38	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that expenditures be split into those for state operations and local assistance (funds that go to the trial courts) so it is clear which entity benefits from the resources. State operations figures must be further broken down as support for the Supreme Court and Appellate Courts. The AOC should adopt the methodology of distributing the administrative costs among programs.	ADOC interim report to the council at the February 2013 meeting and final report at the June 2013 meeting	8-5. Expenditures should be split into those for state operations and local assistance (funds that go to the trial courts) so it is clear which entity benefits from the resources. State operations figures should be further broken down as support for the Supreme Court and Appellate Courts. In most state departments, administrative costs are distributed among programs. The AOC should adopt this methodology.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
39	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that the AOC schedule its budget development and budget administration around the time frames used by all state entities.	Immediate implementation ADOC interim report to the council at the February 2013 council meeting.	8-6. The AOC should schedule its budget development and budget administration around the time frames used by all state entities. Assuming the budget for any fiscal year is enacted by July 1, the AOC should immediately allocate its budgeted resources by fund among programs, divisions, units.
40	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that requests for additional resources be presented to the Judicial Council at its August meeting, identify the increased resources requested, and be accompanied by clear statements of the need and use of the resources and the impact on the AOC, as well as the impact on the judicial branch, if any. A cost-benefit analysis should be part of any request and there should be a system to prioritize requests.	Immediate implementation	8-7. Requests for additional resources are presented to the Judicial Council at its August meeting. These requests identify increased resources requested and should be accompanied by clear statements of need and use of the resources and the impact on the AOC, as well as the impact on the judicial branch, if any. A cost-benefit analysis should be part of any request, and there should be a system to prioritize requests.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
41	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that, after the Governor’s Budget is released in January, the AOC should present a midyear update of the judicial branch budget at the next scheduled Judicial Council meeting. All figures provided by the AOC should tie back to the Governor's Budget or be explained in footnotes.	Immediate implementation ADOC report to the council at the February 2013 council meeting.	8-8. After the Governor’s Budget is released in January, the AOC should present a midyear update of the judicial branch budget at the next scheduled Judicial Council meeting. This presentation should tie to the figures in the Governor's Budget so that everyone has the same understanding of the budget.
42	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that, except for budget changes that must be made to comply with time requirements in the state budget process, the AOC not change the numbers in the budget statements it presents. All figures provided by the AOC must tie back to the Governor's budget or be explained in footnotes.	Immediate implementation (Ongoing)	8-9. Except for changes that must be made to comply with time requirements in the state budget process, the AOC should not change the numbers it presents – continual changes in the numbers, or new displays, add to confusion about the budget.
43	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to perform internal audits upon completion of the restructuring of the AOC.	ADOC to report to the council with an implementation proposal at the June 2013 council meeting.	8-10. The AOC must perform internal audits. This will allow the leadership team and the Judicial Council to know how a particular unit or program is performing. An audit can be both fiscal and programmatic so that resources are tied to performance in meeting program goals and objectives.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
44	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that the leadership team must develop and employ budget review techniques so that the budget of an individual unit is aligned with its program responsibilities.	ADOC to report back to the council on the budget review technique adopted at the February 2013 council meeting.	8-11. As part of the reorganization and downsizing of the AOC, the leadership team should employ budget review techniques (such as zero-based budgeting) so that the budget of an individual unit is aligned with its program responsibilities. In the future, there should be periodic reviews of units and or programs to make sure funding is consistent with mandated requirements.
45	<p>E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the total staff size of the AOC must be reduced significantly and must not exceed the total number of authorized positions. The consolidation of divisions, elimination of unnecessary and overlapping positions, and other organizational changes should reduce the number of positions.</p> <p>E&P recommends that the Judicial Council direct the Administrative Director of the Courts to require that staffing levels of the AOC be made more transparent and understandable. Information on staffing levels must be made readily available, including posting the information online. All categories of staffing — including, but not limited to, authorized positions, “909” staff, employment agency temporary employees</p>	<p>Immediate implementation</p> <p>(Ongoing)</p>	<p>9-1. The total staff size of the AOC should be reduced significantly.</p> <p>9-2. The total staff size of the AOC must be reduced significantly and should not exceed the total number of authorized positions. The current number of authorized positions is 880. The consolidation of divisions, elimination of unnecessary and overlapping positions and other organizational changes recommended in this report should reduce the number of positions by an additional 100 to 200, bringing the staff level to approximately 680 to 780.</p> <p>9-5. The staffing levels of the AOC must be made more transparent and understandable.</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
	and contract staff — must be accounted for in a manner understandable to the public.		Information on staffing levels must be made readily available, including posting the information online. All categories of staffing—including, but not limited to, authorized positions, “909” staff, employment agency temporary employees and contract staff—must be accounted for in a manner understandable to the public.
46	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report to the Judicial Council vacant authorized positions if they have remained unfilled for six months.	(Ongoing) ADOC to provide updates to the council for each council meeting.	9-3. Vacant authorized positions should be eliminated if they have remained unfilled for six months.
47	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure that the employment of temporary or other staff to circumvent a hiring freeze is not permitted. The Administrative Director must review all temporary staff assignments and eliminate those that are being used to replace positions subject to the hiring freeze. Temporary employees should be limited to periods not exceeding six months and should be used only in limited circumstances of demonstrated need, such as	Completion by June 2013	9-4. Employment of temporary or other staff to circumvent a hiring freeze should not be permitted. The Executive Leadership Team should immediately review all temporary staff assignments and eliminate those that are being used to replace positions subject to the hiring freeze. Temporary employees should be limited to periods not exceeding six months and should be used only in limited circumstances of demonstrated need, such in the case of an

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Organization-wide Restructuring and Reforms			
	in the case of an emergency or to provide a critical skill set not available through the use of authorized employees.		emergency or to provide a critical skill set not available through the use of authorized employees.
48	E&P recommends that the Judicial Council direct the Administrative Director of the Courts, as part of the council’s long-term strategic planning, to evaluate the location of the AOC main offices based on a cost-benefit analysis and other considerations.	For long term consideration	10-2. As part of its long-term planning, the AOC should consider relocation of its main offices, based on a cost-benefit analysis of doing so.
49	E&P recommends that the Judicial Council support SEC Recommendation 7-2 with no further action. The AOC has terminated special consultants hired on a continuous basis.	Completed	7-2. The practice of employing a special consultant on a continuous basis should be reevaluated and considered for termination taking into account the relative costs, benefits, and other available resources.
Center for Families, Children & the Courts			
50	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-3 and implement the necessary organizational changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	Interim and incoming ADOC to present a proposal to the council, at the 8/31/12,	7-3. The Center for Families, Children and the Courts should be an office reporting to the Chief Operating Officer in the AOC’s Judicial and Court Operations Services Division, rather than a stand-alone division. The CFCC manager position should be compensated at its current level.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Center for Families, Children & the Courts			
		meeting. Compensation and classification study will follow.	
51	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-4(a) and implement the necessary organizational and staffing changes, taking into account the results of the classification and compensation studies to be completed.	ADOC to report to the council on the results and status of AOC restructuring at the February 2013 council meeting.	7-4. CFCC’s current number of authorized positions should be reduced. To achieve the reduction, these areas should be reviewed and considered, and appropriate actions taken: (a) CFCC has a one-over-one management structure with a Division Director and an Assistant Division Director position. The Assistant Division Director position should be eliminated.
52	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-4(b) and (c) and implement the necessary organizational and staffing changes, taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study.	(b) There are nearly 30 attorney positions in CFCC, including 7 attorneys who act as Judicial Court Assistance Team Liaisons. All attorney position allocations should be reviewed with a goal of reducing their numbers and/or reallocating them to nonattorney classifications.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Center for Families, Children & the Courts			
		ADOC to report to the council on the results and status of AOC restructuring at the February 2013 council meeting.	(c) The CFCC has numerous grant-funded positions, including five in its Rules and Forms Unit. Implementation of our recommendations for the AOC’s Grants and Rule-making Processes could result in some reductions in these positions.
53	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-4(d) and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC.	ADOC to report to the council on the results and status of AOC restructuring at the February 2013 council meeting.	(d) The CFCC has a number of positions devoted to research programs, as do other offices to be placed within the Judicial and Court Operations Services Division, presenting opportunities for efficiencies by consolidating divisional research efforts.
54	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed	To follow the classification and compensation sturdy and E&Ps review of all council advisory bodies	(e) CFCC staff members provide support to a number of Judicial Council committees and task forces. The recommended consolidation of this support function under the direction of the Chief of Staff will present opportunities for efficiencies and resource reduction.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Center for Families, Children & the Courts			
55	E&P recommends that the Judicial Council support SEC Recommendation 7-4(f) with no further action, as these administrative and grant support functions have been consolidated through the AOC’s initiatives to reduce costs and downsize its workforce and operations.	Completed	(f) The CFCC maintains a Core Operations Unit, which is essentially an administrative and grant support unit. The consolidation of administrative functions and resources within the Judicial and Court Administrative Services Division should lead to the downsizing of this unit.
56	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider reducing or eliminating various publications produced by the Center for Families, Children, & the Courts.	ADOC to report to the council at the February 2013 council meeting.	(g) CFCC staff members produce various publications. They should be considered for reduction or elimination
57	E&P recommends that the Judicial Council support SEC Recommendation 7-4(h) with no further action. The Judge-in Residence is now volunteering time to fulfill this responsibility.	Completed	(h) The Judge-in-Residence position in this division should be eliminated.
58	E&P recommends that the Judicial Council support SEC Recommendation 7-4(i) with no further action, as the positions related to CCMS have been eliminated through the AOC’s initiatives to reduce costs and downsize its workforce and operations.	Completed	(i) Positions related to CCMS should be eliminated.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Center for Families, Children & the Courts			
59	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to propose an organizational plan for the Center for Families, Children, & the Courts that allows for reasonable servicing of the diverse programs mandated by statute and assigned to this division.	ADOC to report to the council at the February 2013 council meeting.	(j) Although staffing reductions in this division are feasible, any reorganization or downsizing of this division must continue to allow for reasonable servicing of the diverse programs mandated by statute and assigned to this division, including such programs as the Tribal Project program.
60	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider maximizing and combining self-help resources with resources from similar subject programs, including resources provided through the Justice Corps and the Sargent Shriver Civil Counsel program, and return to the council with an assessment and proposal.	ADOC to propose a plan for implementation to the council at the February 2013 meeting.	7-9. Self-represented litigants in small claims, collection matters, foreclosures, and landlord-tenant matters are frequent users of court self-help centers. A majority of self-help clients seek assistance in family law matters. Consideration should be given to maximizing and combining self-help resources with resources from similar subject programs, including resources provided through the Justice Corps and the Sargent Shriver Civil Counsel program.
61	E&P recommends to the Judicial Council that any legislative proposals generated by the AOC must follow the process established by the Policy Coordination and Liaison Committee.	Immediate implementation (Ongoing)	7-6. Consistent with recommendations in this report calling for a review of AOC's rule-making process, legislative proposals generated through this division should be limited to those required by court decisions and statutory mandates and approved by the Judicial Council Advisory Committees.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Center for Families, Children & the Courts			
62	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that a systems review of the manner in which AOC staff review trial court records should be conducted to streamline Judicial Review and Technical Assistance audits, if possible, and to lessen the impact on court resources.	ADOC to report to the council on the audit process at the June 2013 council meeting.	7-7. A systems review of the manner in which trial court records are reviewed should be conducted to streamline audits, if possible, and to lessen the impact on court resources.
63	With the exception of assigned judges, AOC staff must not investigate complaints from litigants about judicial officers.	Ongoing	7-8. The CFCC should discontinue investigating and responding to complaints from litigants about judicial officers who handle family law matters, as such matters are handled by other entities.
Court Programs and Services			
64	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-10 and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	Interim and incoming ADOC organizational proposal to be presented for council consideration at the 8/31/12, council meeting.	7-10. The Court Operations Special Services Office (COSSO), formerly CPAS, should be an office reporting to the Chief Operating Officer within the AOC’s Judicial and Court Operations Services Division, rather than a stand-alone division. The COSSO manager position should be at the Senior Manager level.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
65	<p>E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-12 and implement the necessary organizational changes, contingent upon the council’s approval of an organizational structure for the AOC.</p> <p>E&P recommends that the Judicial Council support SEC Recommendation 7-12(a) with no further action, due to the temporary suspension of the Kleps Program initiated to reduce branch costs.</p>	<p>Interim and incoming ADOC organizational proposal to be presented for council consideration at the 8/31/12, council meeting.</p> <p>Completed</p>	<p>7-12. The Promising and Effective Programs Unit functions are largely discretionary and should be considered for reduction or elimination, resulting in position savings. Consideration should be given to the following.</p> <p>(a) To save resources, the Kleps Award Program should be suspended temporarily.</p>
66	<p>E&P recommends that the Judicial Council defer a decision on SEC Recommendation 7-12(b), pending a recommendation from the Trial Court Budget Working Group.</p>		<p>(b) The Justice Corps Program should be maintained, with AOC’s involvement limited to procuring and distributing funding to the courts.</p>
67	<p>E&P recommends that the Judicial Council support SEC Recommendation 7-12(c) with no further action as the Procedural Fairness/Public Trust and Confidence program has been eliminated through the</p>	<p>Completed</p>	<p>(c) Since funding for the Procedural Fairness/Public Trust and Confidence program has ceased, it should be eliminated.</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
	AOC's initiatives to reduce costs and downsize its workforce and operations.		
68	E&P recommends that the Judicial Council consider whether to continue support for the Civics Education Program after the conclusion of the 2013 summit. The California On My Honor Program has been suspended for 2 years due to the lack of funding.	ADOC to report to the council at the April 2013 council meeting.	(d) Once the 2013 summit has concluded, the Administrative Director and Judicial Council should evaluate continuing support for the Civics Education Program/California On My Honor program.
69	E&P recommends that the Judicial Council direct the ADOC to evaluate the extent to which financial and personnel support for the Jury Improvement Project should be maintained, recognizing the high value of the project to the judicial branch, especially because jury service represents the single largest point of contact between citizens and the courts.	ADOC to report to the council at the 10/26/12, council meeting.	<p>(e) The Jury Improvement Project is of high value to the judicial branch, especially as jury service represents the single largest point of contact between citizens and the courts. The Judicial Council should evaluate the extent to which financial and personnel support for the project should be maintained.</p> <p>(f) See recommendation 145 for Fund Development Group recommendation.</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
70	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to study the budget and operational components of the Court Interpreters Program to determine whether greater efficiencies can be implemented to deliver interpreter services to the courts. The Finance Division should not act as an impediment in the delivery of interpreter services to the courts.	ADOC to report to the council at the April 2013 council meeting.	(g) The Administrative Director and Judicial Council should study the budget and operational components of Court Interpreters Program to determine whether greater efficiencies can be implemented to deliver interpreter services to the courts. Internally, the Finance Division should not act as an impediment in the delivery of interpreter services to the courts.
71	E&P recommends that the Judicial Council support SEC Recommendation 7-16 with no further action as the Judicial Administration Library has been eliminated through the AOC's initiatives to reduce costs and downsize its workforce and operations.	Completed	7-16. The Judicial Administration Library should be consolidated with the Supreme Court Library.
72	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendations 7-11(a) and (b) and 7-14 and implement the necessary organizational and staffing changes, contingent upon the council's approval of	ADOC to report to the council on the results and status of AOC restructuring at	7-11. COSSO's current level of approximately 74 positions (including those reassigned from the former regional offices as recommended in this report) should be reduced. To achieve the reduction the areas listed below should be reviewed and considered, and appropriate actions taken. (a) COSSO should have a management structure that includes a Unit Manager, but the Assistant Division Director position should be eliminated.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
	an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	the February 2013 council meeting.	(b) The research functions and units of COSSO should be reviewed for possible consolidation with other research programs in the Judicial and Court Operations Services Division, presenting opportunities for efficiencies and position reductions.
		Incoming ADOC's organizational proposal to be presented for council consideration at the 8/31/12, council meeting.	7-14. A significant number of COSSO staff members, such as those in the Administration and Planning unit, are assigned to various functions in support of the Judicial Council. The recommended consolidation of Judicial Council support activities under the direction of the Chief of Staff will present opportunities for efficiencies and resource reductions.
73	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-13 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC organizational proposal to be presented for council	7-13. The Editing and Graphics Group, with half of its eight positions currently vacant, should be considered for elimination.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
		consideration at the 8/31/12, council meeting.	
74	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that activities related to the education and training of Appellate Court Justices should be consolidated with the Education Division/CJER.	Completion by June 2013.	7-15. Some COSSO staff are engaged in activities relating to the education and training of Appellate Court Justices. These functions should be consolidated with the Education Division/CJER.
75	E&P recommends that the Judicial Council support SEC Recommendation 7-17(a) with no further action as the Assigned Judges Program and Assigned Judges Program Regional Assignment Units have merged through the AOC’s initiatives to reduce costs and downsize its workforce and operations.	Completed	7-17. Modifications to the Assigned Judges Program should be considered, including the following: (a) The Assigned Judges Program and Assigned Judges Program Regional Assignments units should be merged, resulting in the elimination of a unit supervisor position.
76	E&P recommends that SEC Recommendations 7-17(b), (c), and (d) be referred to the Chief Justice for consideration. The AOC’s Assigned Judges Program provides support to the Chief Justice in the assignment of judges under California Constitution Article VI, Section 6(e).		(b) The program’s travel and expense policies should be reviewed to mitigate adverse impacts on the availability of assigned judges to smaller and rural courts. (c) Consideration should be given to a pilot program to allow half-day assignments of

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Court Programs and Services			
			<p>judges, taking into account the probable inability of small, rural courts to attract judges on this basis.</p> <p>(d) Consideration should be given to development of an Assigned Commissioner Program to assist courts with such matters as AB1058 child support cases.</p>
77	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-18 and implement the necessary organizational changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC organizational proposal to be presented for council consideration at the 8/31/12, meeting.	7-18. The functions of the Trial Court Leadership Service unit should be moved under the auspices of the new Executive Office, as matters of policy emanating from the Trial Court Presiding Judges Advisory Committee and Court Executives Advisory Committee often relate to branch-wide policies.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Education Division/Center for Judicial Education and Research			
78	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-19 and implement the necessary organizational changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC organizational proposal to be presented for council consideration at the 8/31/12, council meeting.	7-19. The Education Division should be an office within the Judicial and Court Operations Services Division, under the direction of the Chief Operating Officer, rather than a stand-alone division. The Education Division/CJER manager position should be compensated at its current level.
79	E&P recommends that the Judicial Council direct the Rules and Projects Committee to evaluate relaxation of mandatory education requirements to allow the Administrative Director of the Courts and Court Executive Officers greater discretion and flexibility in utilizing their workforces during times of budget constraints.	RUPRO to propose a time-line to return to the council to present its recommendations.	7-23. As to training currently required of AOC staff and court personnel, the Judicial Council should examine and consider a relaxation of current mandatory requirements to allow the Administrative Director of the AOC and/or court executive officers greater discretion and flexibility in utilizing their workforces during times of budget constraints.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Education Division/Center for Judicial Education and Research			
80	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate the efficiencies identified by the working group reviewing all education for new judges to ensure that education is provided in the most effective and efficient way possible.	In progress	<p>7-20. The Education Division’s current staffing level is one of the highest in the AOC and should be reduced. To achieve the reduction, the following areas should be reviewed and considered, and appropriate actions taken:</p> <p>(a) A workgroup has been formed to review all education for new judges to ensure that it is being provided in the most effective and efficient way possible. The efficiencies identified by this working group may present opportunities for reductions.</p>
81	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-20(b), taking into account the results of the classification and compensation studies to be completed.	Interim and incoming ADOC to present a proposal to the council, at the 8/31/12, meeting. Compensation and classification study will follow.	<p>(b) There are in excess of a dozen attorney positions in the Education Division in units such as Design and Consulting, and Publications and Resources, in addition to the Judicial Education unit. All attorney position allocations should be reviewed with a goal of reducing their numbers and/or reallocating them to nonattorney classifications. In particular, education specialist positions are staffed by attorneys, a staffing practice that appears unnecessary.</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Education Division/Center for Judicial Education and Research			
82	E&P recommends that the Judicial Council support SEC Recommendation 7-20(c) with no further action, as the positions and activities related to the Court Case Management System in the Education Division have been eliminated, through the AOC’s initiatives to reduce costs and downsize its workforce and operations.	Completed	(c) The Court Case Management System training unit and any other positions engaged in CCMS-related activities should be eliminated in light of the Judicial Council’s decision to cancel the full deployment of the CCMS system.
83	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate the impacts of a reduction in the size of the Production, Delivery, and Educational Technologies Unit and the reduction in services that would result, and provide the findings and recommendations to the Judicial Council.	ADOC to report to council with recommendations at the June 2013 council meeting.	(d) The Production, Delivery and Educational Technologies unit has grown to more than 25 positions plus several temporary staff. The number of staff in this unit should be reduced in light of the difficult fiscal environment.
84	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate and consider reducing the positions assigned to develop training for AOC Staff in the Curriculum and Course Development Unit, especially if training requirements are relaxed.	ADOC to report to council with recommendations following recommendations from RUPRO on training requirements.	(e) The Curriculum and Course Development unit includes several positions assigned to develop training for AOC staff. This activity should be evaluated and reduced, especially if training requirements are relaxed.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Education Division/Center for Judicial Education and Research			
85	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate the impacts of a reduction in the size of the Administrative Services Unit and the reduction in services that would result, and provide the findings and recommendations to the Judicial Council.	ADOC to report to council with recommendations at the June 2013 council meeting.	(f) The Administrative Services unit contains more than 20 staff engaged in support activities such as records management, printing and copying, scheduling and planning training delivery, and coordinating logistics for all AOC events. The number of staff in this unit should be evaluated and reduced commensurate with the reduction in the number of live programs and events, and reflecting a reduction in the number of employees AOC-wide.
86	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Education Division should conduct true cost benefit analyses in determining the types of training and education it provides for new judicial officers and others, and to report to the council on the results. Analyses should include types, lengths, locations of programs, delivery methods, and the costs to courts.	ADOC to provide recommendations on the process at 12/14/12, council meeting with a final report at the April 2013 meeting.	7-21. The Education Division should conduct true cost-benefit analyses — and not rely only on its own preferences — in determining the types of training and education it provides, including types, lengths, and locations of programs, delivery methods, and the costs to courts. This type of analysis should apply to training and education programs for new judicial officers.
87	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the AOC should support and provide requested assistance to those courts that collaborate with other regional courts in providing judicial education and staff	Ongoing	7-22. The Education Division should support and provide requested assistance to those courts that collaborate with other regional courts in providing judicial education and staff training or that request support in

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Education Division/Center for Judicial Education and Research			
	training or that request support in providing their own programs.		providing their own programs.
88	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report to the council on a review of the content of training courses offered to AOC managers, supervisors, and employees, the number and location of courses offered, and the means by which courses and training are delivered. Training opportunities should include greater orientation and development of understanding of court functions.	ADOC report to the council at the 12/14/12, council meeting.	7-24. As to training currently required of AOC managers, supervisors, and employees, the Administrative Director should order a review of the content of training courses offered, the number and location of courses offered, and the means by which courses and training are delivered. Training opportunities should include greater orientation and development of understanding of court functions.
Finance Division			
89	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-25 and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC.	Interim and incoming ADOC to present organizational proposal the council at the 8/31/12, meeting.	7-25. The functions performed by the Finance Division should be placed in the Judicial and Court Administrative Services Division. The Finance Division should be renamed the Fiscal Services Office, reporting to the Chief Administrative Officer. The Fiscal Services Office Manager position should be at the Senior Manager level.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Finance Division			
90	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-26 and implement the necessary organizational and staffing changes, taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study.	7-26. The number of managers and supervisors should be reduced.
91	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure through the budget and fiscal management measures implemented by the AOC that the AOC's Finance Division is involved in all phases of fiscal planning and budgeting, especially with regard to large-scale or branch-wide projects or initiatives.	ADOC interim report to the council at the February 2013 council meeting and final report at the meeting in June 2013.	7-27. The AOC must improve its fiscal decision making processes. The AOC must make a commitment to involve the Fiscal Services Office in all phases of fiscal planning and budgeting, especially with regard to large-scale or branch-wide projects or initiatives.
92	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report back on the budget and fiscal management measures implemented by the AOC to ensure that the AOC's fiscal and budget processes are more transparent.	ADOC interim report to the council at the February 2013 meeting and final report at the June 2013 meeting.	7-28. The budgeting process must become more transparent. Budget information must be readily available to the public, including online. Budget documents must provide understandable explanations and detail concerning revenue sources, fund transfers, and expenditures.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Finance Division			
93	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure that the budget and fiscal management measures implemented by the AOC enable the Finance Division to improve the timeliness of processing contracts to better serve courts, contractors, vendors, and others.	Interim report to the council on the changes in progress by the February 2013 council meeting. Final report on measures taken to implement a new approach to the budget process, by June 2013 council meeting.	7-29. This division must make a commitment to processing contracts in more timely fashion, with an eye toward better serving courts, contractors, vendors, and others.
94	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Finance Division must assess its workload needs, especially in light of legislation on court security and auditing functions being assumed by the State Controller’s Office, so that any necessary adjustments in staffing positions can be made.	ADOC to report to the council at the June 2013 council meeting.	7-30. The Finance Division must assess its workload needs, especially in light of legislation on court security and auditing functions being assumed by the State Controller’s Office, so that any necessary adjustments in staffing positions can be made.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Finance Division			
95	E&P recommends that the Judicial Council support SEC Recommendation 7-31 with no further action as the unit has been eliminated through the AOC's initiatives to reduce costs and downsize its workforce and operations.	Completed	7-31. The need for a Strategic Policy, Communication, and Administration Unit should be reevaluated by the Chief Administrative Officer and, most likely, be eliminated.
Human Resources			
96	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-32 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC to present organizational proposal the council at the 8/31/12, meeting.	7-32. Consistent with recent consolidation of this division, the HR function should no longer be assigned stand-alone division status in the AOC organizational structure and should be combined with other administrative functions, reporting to the Chief Administrative Officer in the AOC's Administrative Services Division.
97	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-34 and implement the necessary organizational and staffing changes,	Completed	7-34. The current number of higher-level positions in the HR Division should be reduced, as follows: (a) The Division Director position should be permanently eliminated as the HR function should no longer be a stand-alone division.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Human Resources			
	contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study. Completed This Division has 2 senior manager positions.	(b) The number of manager positions should be reduced from five to three, with some of the resulting resources allocated to line HR functions. (c) One of the three Senior Manager positions is vacant, a vacancy that should be made permanent by reallocating managerial responsibilities to the two filled Senior Manager positions.
98	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to report back on the progress and results of staffing changes being implemented in the Human Resources unit as part of the AOC’s internal restructuring process.	ADOC to report to the council on the results and status of AOC restructuring at the February 2013 council meeting.	(d) With the elimination of the positions discussed above, consideration should be given to redirecting the resources from those positions to support vacant HR analyst positions that can be assigned work needed to help reestablish effective HR policies and practices in the AOC.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Human Resources			
99	E&P recommends that the Judicial Council support SEC Recommendation 7-42 with no further action, as the issues have been resolved.	Completed	7-42. The Administrative Director should resolve any remaining issues that have existed between the HR Division and Office of General Counsel, including by redefining respective roles relating to employee discipline or other HR functions.
Information Services			
100	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-43 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC to present a proposal to the council, at 8/31/12, meeting.	7-43. The committee recommends that the functions of this division be placed under a unit titled Information and Technology Services Office, combined with any remaining functions of CCMS. The office should report to the Chief Administrative Officer of the Judicial and Court Administrative Services Division. The IS Manager position should be compensated at its current level.
101	E&P recommends that the Judicial Council support SEC Recommendation 7-44 and direct the council's Technology Committee to reexamine technology policies in the judicial branch to formulate any new branch-wide technology policies or standards, based	The Technology Committee to propose a timeline to return to the	7-44. A reexamination of technology policies in the judicial branch must occur now that CCMS does not represent the technology vision for all courts. Formulation of any new branch-wide technology policies or standards

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Information Services			
	on the input, needs, and experiences of the courts and court users, and including cost-benefit analysis.	council to present its recommendations.	must be based on the input, needs, and experiences of the courts, and including cost-benefit analysis.
102	E&P recommends that the Judicial Council support SEC Recommendation 7-45(a) with no further action, as the recommended staff reductions have occurred through the AOC’s initiatives to reduce costs and downsize its workforce and operations.	Completed	7-45. Especially with CCMS not being fully deployed, staff reductions in this division are in order, including: (a) Unnecessary CCMS positions should be eliminated.
103	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-45(b) and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study.	(b) The total number of senior managers should be reduced.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Information Services			
104	E&P recommends that the Judicial Council direct that the Administrative Director of the Courts should review and reduce accordingly the use of temporary employees, consultants, and contractors.	ADOC to report to the council at the June 2013 council mtg.	(c) The use of temporary employees, consultants, and contractors should be reviewed and reductions made accordingly.
105	E&P recommends that the Judicial Council support SEC Recommendation 7-46 and direct the Administrative Director of the Courts, as part of AOC long term planning, to conduct a review and audit of all technology currently used in the AOC, including an identification of efficiencies and cost savings from the use of a single platform, and return to the council with a progress report on the findings.	ADOC interim report to the council by the December 2013 council meeting.	7-46. Different divisions in AOC operate from different technology platforms, including SAP used for the Phoenix system, Oracle, and CCMS. As part of a long range plan for the use of technology in AOC operations, the AOC should conduct a review and audit of all technology currently used in the AOC. Efficiencies and cost savings could result from the use of a single platform.
Office of the General Counsel			
106	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-71 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC to present a proposal to the council, at 8/31/12, meeting.	7-71. The Office of General Counsel should be renamed Legal Services Office, consistent with its past designation, and should be a stand-alone office reporting to the Administrative Director of the Courts. The Legal Services Office manager position should be compensated at its current level. The Legal Services Office should not be at the same divisional level as the Judicial and Court Operations Services Division or the Judicial

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
			and Court Administrative Services Division. The Chief Counsel, manager of the Legal Services Office, should not be a member of the Executive Leadership Team.
107	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-72(a) and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study.	<p>7-72. The Legal Services Office’s current level of approximately 75 positions, including more than 50 attorney positions, should be reduced. To achieve the reduction, the following areas should be reviewed and considered, and appropriate actions taken:</p> <p>(a) In addition to the General Counsel, there are nine management level attorney positions in the Legal Services Office, including the Assistant General Counsel, three Managing Attorneys, and five Supervising Attorneys. This is an excessive number of management positions, which should be reduced. The position of Assistant General Counsel position could be eliminated. One managing attorney could be assigned to manage each of the two major functional components of the division, house counsel, and Judicial Council services, with each managing attorney reporting directly to the Chief Counsel.</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
108	E&P recommends that the Judicial Council support SEC Recommendation 7-72(b) and direct the Administrative Director of the Courts to direct implementation of fundamental management practices to address underperformance of staff members and provide better supervision and allocation of work.	ADOC interim report to the council on the changes in progress by the February 2013 council meeting.	(b) Despite the large number of management positions, management systems and processes are particularly lacking in the Legal Services Office. Implementing fundamental management practices to address the underperformance of staff members and provide better supervision and allocation of work should produce efficiencies that can result in reductions.
109	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-72(c) and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	Interim and incoming ADOC organizational proposal to be presented to the council at the 8/31/12, meeting.	(c) A large number of Legal Services Office positions are dedicated to supporting the Judicial Council and its various committees and task forces. Assigning responsibility for coordinating the AOC's Judicial Council support activities to the Executive Office under the direction of the Chief of Staff will lead to efficiencies that should result in reductions of Legal Services Office positions dedicated to these activities.
110	E&P recommends that the Judicial Council support SEC Recommendation 7-72(d) and direct the Administrative Director of the Courts to report to the council on measures to streamline and improve the AOC's contracting processes and reduce contract-related work performed by this office.	Final report to the council at June 2013 meeting.	(d) Implementation of the recommendations designed to streamline and improve the AOC's contracting processes should reduce contract-related work performed by the Legal Services Office.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
111	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-72 (e) and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed	ADOC to make a proposal based on the classification and compensation study.	(e) The Legal Services Office has promoted and contributed to the “lawyerizing” of numerous activities and functions in the AOC. There are opportunities for work currently performed by attorneys in the Rules and Projects, Transactions and Business Operations, Real Estate, and Labor and Employment units to be performed by nonattorneys, resulting in efficiencies and possible staff reductions.
112	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-72(f) and implement the necessary organizational and staffing changes, contingent upon the council’s approval of an organizational structure for the AOC and taking into account the results of the classification and compensation studies to be completed.	ADOC to make a proposal based on the classification and compensation study.	(f) Development and use of paralegal classifications, as found elsewhere in legal services throughout both the public and private sectors, could lead to the reduction of attorney positions in the Legal Services Office.
113	E&P recommends that the Judicial Council support SEC Recommendation 7-73 with no further action. The telecommuting status of one position has ended and, as of September 7, 2012, the telecommuting status of the second position will end.	ADOC to report to the council with proposal for a revised policy at the 12/14/12,	7-73. There currently are at least two positions in the Legal Services Office that violate the AOC’s telecommuting policy. These should be terminated immediately, resulting in reductions. Nor should telecommuting be permitted for supervising attorneys in this division.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
		council meeting.	
114	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate the costs and benefits of allocating staff attorneys and resources to various advisory committees, task forces, and working groups.	On completion of the classification and compensation study and E&P’s review of all council advisory bodies.	7-74. As recommended elsewhere, the Judicial Council should assess the costs and benefits of allocating staff attorneys and resources to various advisory committees, task forces, and working groups.
115	E&P recommends that the Judicial Council direct the Administrative Director of the Courts, as part of the review of the AOC organizational structure, to review current responsibilities and clearly define the role of the Chief Counsel.	ADOC to make recommendations to the council at the February 2013 council meeting.	7-76. The role of the Chief Counsel should be redefined to reflect the primary role of providing legal advice and services, as opposed to developing policy for the judicial branch.
116	E&P recommends that the Judicial Council support SEC Recommendation 7-77(a) and (d), and direct the Administrative Director of the Courts that the	ADOC to report back to the council at.	7-77. This office must place greater emphasis on being a service provider and in improving how it provides services, including as follows: (a) Most fundamentally, this division should employ and emphasize a customer service model of operation — recognizing a primary

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
	Office of the General Counsel should employ and emphasize a customer service model of operation, recognizing a primary goal of providing timely service and advice to its clients, including to internal clients in the AOC and to those courts that request legal advice or services from this office.	the February 2013 council meeting	goal of providing timely service and advice to its clients, including to internal clients in the AOC and to those courts that request legal advice or services from this office.
117	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to adopt an operations model whereby attorneys generally are housed at one location with flexibility to adjust as necessary to meet court needs regionally, including regional demand for additional attorney support and smaller courts that have fewer staff for research and other legal services. The location where attorneys report to work should ensure proper supervision.	ADOC to report back to the council at the February 2013 council meeting.	(b) This office should adopt an operations model whereby its attorneys generally are housed at one location. This would eliminate nonsupervision of some attorneys, promote better and more regular supervision of staff attorneys, and promote better utilization of available skills.
118	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Office of the General Counsel service model should emphasize that time is of the essence when it comes to delivering advice and opinions to the courts; that recommendations and advice to courts should include a full range of options available to the courts; and that there must be a greater recognition that the AOC's interests may conflict with the specific interests of the courts. Clearer procedures should be put in place to safeguard the interests of	ADOC to report back to the council at the February 2013 council meeting.	(c) The service model should emphasize that time is of the essence when it comes to delivering advice and opinions to the courts; that recommendations and advice to courts should include a full range of options available to the courts; and that there must be a greater recognition that the AOC's interests may conflict with the specific interests of the courts. Clearer procedures should be put in place to safeguard the interests of individual courts in those instances when legitimate

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
	individual courts in those instances when legitimate conflicts arise.		conflicts arise.
119	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to place emphasis on reducing bottlenecks for advice, contracts, and other projects. More effective tickler and tracking systems for opinions, contracts, and other documents should be put in place.	ADOC to report back to the council at the June 2013 council meeting.	(d) Emphasis must be placed on reducing bottlenecks for advice, contracts, and other projects. More effective tickler and tracking systems for opinions, contracts, and other documents should be put in place.
120	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that court users of legal services should be surveyed periodically to determine if such services are performed in a timely and satisfactory manner.	ADOC to report back to the council at the June 2013 council meeting.	(e) Court users of legal services should be surveyed periodically to determine if such services are performed in a timely and satisfactory manner.
121	E&P recommends that the Judicial Council support SEC Recommendation 7-78 with no further action, as the issues have been resolved.	Completed	7-78. The Administrative Director should resolve issues that have existed between the HR Division and OGC, including by redefining respective roles relating to employee discipline or other HR functions.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of the General Counsel			
122	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to order an independent review of the Office of General Counsel’s use, selection, and management of outside legal counsel to determine whether outside counsel is being utilized in a cost effective manner. Before initiating the independent review, the Administrative Director of the Courts must provide a proposal with options for conducting the review, including the associated costs.	ADOC to present a proposal with options to the council by the February 2013 council meeting, with a final report at the December 2013 meeting.	7-79. The Judicial Council and/or Administrative Director should order an independent review of this office’s use, selection, and management of outside legal counsel to determine whether outside counsel is being utilized in a cost-effective manner.
Office of Communications			
123	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-52 and implement the necessary organizational changes, contingent upon the council’s approval of an organizational structure for the AOC.	Interim and incoming ADOC to present organizational proposal to the council at the 8/31/12, council mtg.	7-52. The Office of Communications should remain in the Executive Office and under the direction of a Chief of Staff. The Office of Communications manager position should be placed at the Senior Manager level.
124	E&P recommends that the Judicial Council direct the Administrative Director of the Courts, to the extent that resources are available, that Office of Communication resources, including the Public Information Officer, should be made more available to furnish increased media relations services to	ADOC to report to the council on the restructuring changes to this office at the	7-53. The resources of this office, including the Public Information Officer, should be made more available to furnish increased media relations services to courts requesting such assistance.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of Emergency Response and Security			
	courts requesting such assistance	February 2013 council meeting.	
125	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to return to the Judicial Council with an analysis, defining the necessary emergency response and security functions for the branch and a recommendation on the organizational plan for council approval.	ADOC to provide an organizational analysis to the council at the 12/14/12, council meeting.	<p>7-54. There is no need for a stand-alone Office of Emergency Response and Security. Most necessary functions performed by the office can be reassigned and absorbed by existing units in the Judicial and Court Operations Services Division.</p> <p>7-55. The functions of this office should be refocused and limited to those reasonably required by statute or by the Rules of Court, primarily including review of security plans for new and existing facilities; review of court security equipment, if requested by the courts; and review of emergency plans.</p> <p>7-56. Reductions in this office are feasible. The office cannot effectively provide branch-wide judicial security and online protection for all judicial officers. Positions allocated for such functions should be eliminated. The Administrative Director should evaluate whether some activities undertaken by this office are cost effective, such as judicial</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of Emergency Response and Security			
			security and online protection functions.
Regional Offices			
126	E&P recommends that the Judicial Council support SEC Recommendation 7-84 with no further action, as the Bay Area, Northern Central, and Southern Regional Offices no longer have any direct regional office staff. The Northern Central Regional Office has been reorganized as the Trial Court Liaison Office reporting to the Executive Office.	Completed ADOC to report to the council on specific actions taken.	7-84. The regional offices should cease to exist as a separate division within AOC. The BANCRO and SRO offices should close. Advocacy and liaison services provided to the trial courts should be provided through the office of Trial Court Support and Liaison in the new Executive Office.
127	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to renegotiate or terminate, if possible, the leases for space utilized by SRO and BANCRO. To the extent AOC staff from other divisions is assigned to work at leased space at the regional offices, the need for locating such staff in currently leased space should be reevaluated.	Completed ADOC to update the council on the status of the leases at the 10/26/12, council meeting.	7-85. Leases for space utilized by SRO and BANCRO should be renegotiated or terminated, if possible, as such lease costs cannot be justified. To the extent AOC staff from other divisions is assigned to work at leased space at the regional offices, the need for locating such staff in currently leased space should be reevaluated.

Executive and Planning Committee Recommendations to the Judicial Council

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Regional Offices			
128	E&P recommends that the Judicial Council support SEC Recommendation 7-86 and direct the Administrative Director of the Courts to provide the council with an update on organizational changes made with the elimination of the regional office staff.	Completed ADOC to update the council on the status of the leases at the 10/26/12, council meeting.	7-86. While responsibility for essential services currently provided to courts through regional offices should be consolidated and placed under the direction of Trial Court Support and Liaison Services in the Executive Office, a physical office should be maintained in the Northern California Region area to provide some services to courts in the region.
129	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider placing the significant special projects previously assigned to the regional offices under the direction of the Chief of Staff in the Executive Office, contingent upon council approval of the organizational structure for the AOC.	Interim and incoming ADOC to present organizational proposal to the council at the 8/31/12, council meeting.	7-87. The significant special projects previously assigned to the regional offices should be placed under the direction of the Chief of Staff in the Executive Office.
Trial Court Administrative Services			
130	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-47 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	ADOC to present organizational proposal to the council at the 8/31/12,	7-47. TCAS should be made a unit under the Judicial and Court Administrative Services Division, reporting to the Chief Administrative Officer. The TCAS Manager position should be at the Senior Manager level.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Trial Court Administrative Services			
		council meeting.	
131	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that, subject to available resources, trial court use of the Phoenix HR/Payroll functionality should remain optional to individual trial courts.	Ongoing	7-48. The Phoenix Financial System is in place in all 58 superior courts; however, trial court use of the Phoenix HR/Payroll functionality should remain optional to individual trial courts.
132	E&P recommends that the Judicial Council determine whether to continue with the charge-back model whereby courts reimburse the AOC from their Trial Court Trust Fund allocations for the courts’ use of the Phoenix financial system; and whether the Los Angeles court will be required to reimburse the AOC for use of the Phoenix financial system.	Trial Court Budget Working Group to propose a timeline to return to the council to present its recommendations.	7-49. As policy matters, it is recommended that the Judicial Council determine whether to continue with the charge-back model whereby courts reimburse the AOC from their Trial Court Trust Fund allocations for the courts’ use of the Phoenix financial system; and whether the Los Angeles court will be required to reimburse the AOC for use of the Phoenix financial system.
133	E&P recommends that the Judicial Council support SEC Recommendation 7-50 and direct the Administrative Director of the Courts, as part of AOC long term planning, to conduct a review and audit of all technology currently used in the AOC, including an identification of efficiencies and cost savings from the use of a single platform, and return to the council with a progress report on the findings.	ADOC interim report to the council at the December 2013 council meeting.	7-50. As with the Information Services Division, the AOC should determine whether to continue use of multiple or overlapping technologies for similar functions, as using a single technology could result in efficiencies and savings, both operationally and in personnel cost.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Trial Court Administrative Services			
134	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Trial Court Administrative Services division should continue to provide clear service-level agreements with respect to services provided to the courts.	Immediate implementation (Ongoing)-	7-51. TCAS should continue to provide clear service-level agreements with respect to services provided to the courts.
Office of Court Construction and Management			
135	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-64 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC to present a proposal to the council, at 8/31/12, meeting.	7-64. The OCCM should be renamed Office of Court Construction and Facilities Management Services. The functions of this unit should be placed under the Judicial and Court Operations Services Division and reporting to the Chief Operating Officer. The manager of this unit should be compensated at the same level.
136	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to evaluate and propose an approach to evaluate cost effectiveness for the entire scope of Office of Court Construction and Management operations.	ADOC interim update to the council at the June 2013 council meeting and final report at the December 2013 meeting.	7-65. A cost-benefit analysis of the entire scope of OCCM operations is needed.
137	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-66 and, once	ADOC interim update to the council at the	7-66. The current facilities maintenance program appears inefficient and unnecessarily costly. The consultant report is necessary and

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of Court Construction and Management			
	organizational changes are made as approved by the Judicial Council, evaluate and make recommendations to the council on facilities maintenance program efficiencies, including broadening courts' responsibilities for maintenance of court facilities and for smaller scale projects.	June 2013 council meeting and final report at the December 2013 meeting.	should be considered part of a necessary reevaluation of the program. Courts should be given the option to assume responsibility for maintenance of court facilities and for smaller-scale projects.
138	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-67 and, once organizational changes are made as approved by the Judicial Council, evaluate and make recommendations to the Judicial Council regarding fiscal planning for facilities maintenance for new and existing facilities and revenue streams to fund increased costs for maintenance of court facilities.	ADOC interim update to the council at the June 2013 council meeting and final report at the December 2013 meeting.	7-67. Fiscal planning for facilities maintenance for new and existing facilities needs to become an immediate priority, and revenue streams to fund increased costs for maintenance of court facilities must be identified and obtained.
139	E&P recommends that the Judicial Council direct the Administrative Director of the Courts, once organizational changes are made as approved by the Judicial Council, to evaluate and make recommendations regarding staff reductions.	ADOC interim report on restructuring at the February 2013 council meeting.	7-68. Staff reductions appear feasible in light of the slowdown in new court construction and should be made accordingly. The Chief Operating Officer should be charged with implementing necessary reductions.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of Court Construction and Management			
140	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to ensure that the employment of temporary or other staff to circumvent a hiring freeze is not permitted. The Administrative Director must review all temporary staff assignments and eliminate those that are being used to replace positions subject to the hiring freeze. Temporary employees should be limited to periods not exceeding six months and should be used only in limited circumstances of demonstrated need, such as in the case of an emergency or to provide a critical skill set not available through the use of authorized employees.	Completion by June 2013	7-69. The use of temporary or other staff to circumvent the hiring freeze should cease.
141	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to review, as part of the AOC-wide review of its contracting processes, the contracting process utilized by the Office of Court Construction and Management.	Completion by June 2013.	7-70. The contracting process utilized by OCCM needs to be improved. This process should be reviewed as part of the AOC-wide review of its contracting processes.
Office of Governmental Affairs			
142	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to consider SEC Recommendation 7-80 and implement the necessary organizational and staffing changes, contingent upon the council's approval of an organizational structure for the AOC.	Interim and incoming ADOC to present a proposal to the council, at	7-80. The Office of Governmental Affairs should be placed in the Executive Office, under the direction of the Chief of Staff. The OGA Manager position should be at the Senior Manager level.

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Office of Governmental Affairs			
		8/31/12, meeting.	
143	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that the Office of Governmental Affairs (OGA) should represent the interests of the judicial branch on the clear direction of the Judicial Council and its Policy Coordination and Liaison Committee (PCLC), and take steps to ensure that the PCLC is apprised fully of varying viewpoints of the courts, court executive officers, and judges before determining legislation positions or proposals.	Ongoing	7-81. The OGA should represent the interests of the judicial branch on the clear direction of the Judicial Council and its Policy Coordination and Liaison Committee. The Chief of Staff should take steps to ensure that the PCLC is apprised fully of varying viewpoints of the courts, court executive officers, and judges before determining legislation positions or proposals.
144	E&P recommends that the Judicial Council direct the Administrative Director of the Courts that attorney resources in the AOC be utilized to best leverage and draw on subject matter expertise, which may assist OGA as legislative demands may require.	Completed. ADOC will continue to monitor the deployment of expertise.	7-82. The Administrative Director should direct that attorney resources in the AOC be utilized to best leverage and draw on subject matter expertise, which may assist OGA as legislative demands may require.
Grants Related			
145	E&P recommends that the Judicial Council direct the Administrative Director of the Courts to propose to the council a process and policies for pursuing grants. The process should mandate a detailed impact analysis for every grant proposal, including consideration of all anticipated impacts on the workload and resources of the courts and the	ADOC to recommend to the council a process and policies for pursuing appropriate grants by	6-9. The Executive Leadership Team must develop and make public a description of the AOC's process for determining which grants to pursue. The process should mandate a detailed impact analysis for every grant proposal, including consideration of all anticipated impacts on the workload and resources of the courts and the

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Grants Related			
	<p>impacts to the AOC as a whole. Until a process of review and oversight is finalized, the Administrative Director of the Courts must approve the AOC’s engagement in all grant proposals and agreements.</p>	<p>June 2013.</p>	<p>impacts to the AOC as a whole. Only after such analysis should the Executive Leadership Team make a determination whether the AOC should pursue grant funding.</p> <p>7-5. The Judicial Council should exercise oversight to assure that grant-funded programs are undertaken only when consistent with predetermined, branch-wide policy and plans. The fiscal and operational impacts of grant-funded programs on the courts should be considered as part of the fiscal planning process.</p> <p>7-12. The Promising and Effective Programs Unit functions are largely discretionary and should be considered for reduction or elimination, resulting in position savings. Consideration should be given to the following.</p> <p><i>Excerpt:</i></p> <p>(f) The Fund Development Group concerns itself with training to obtain grants, seeking grants, and grant reporting. As is the case with other divisions in the AOC, grants should be sought in accordance with well-articulated AOC-wide priorities, as established by the Judicial Council. The Administrative Director and the Judicial</p>

Executive and Planning Committee Recommendations to the Judicial Council

Number	E&P Recommendation	Proposed Timeline	Corresponding Strategic Evaluation Committee (SEC) Report Recommendation
Grants Related			
			Council should develop written policies and guidelines that control the pursuit and acceptance of grants and other funding, including utilizing a cost-benefit analysis.

**Cross-Reference of Strategic Evaluation Committee Recommendations
to Executive and Planning Committee Recommendations**

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