



JUDICIAL COUNCIL  
OF CALIFORNIA

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TRIAL COURT BUDGET  
ADVISORY COMMITTEE

**TRIAL COURT BUDGET ADVISORY COMMITTEE  
REVENUE AND EXPENDITURE SUBCOMMITTEE**

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TRIAL COURT BUDGET  
ADVISORY COMMITTEE

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TRIAL COURT BUDGET ADVISORY COMMITTEE  
REVENUE & EXPENDITURE SUBCOMMITTEE

MINUTES OF OPEN MEETING

May 27, 2015

8:00 a.m. to 10:00 a.m.

Teleconference

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**Advisory Body Members Present:** Judges: Hon. Marsha Slough (Co-Chair), Hon. Elizabeth W. Johnson, Hon. Cynthia Ming-mei Lee, and Hon. Paul M. Marigonda.

Executive Officers: Ms. Sherri R. Carter (Co-Chair), Ms. Rebecca Fleming, Mr. José Octavio Guillén, Mr. Shawn C. Landry, Mr. Stephen H. Nash, Ms. Kim Turner, and Mr. David H. Yamasaki.

**Advisory Body Members Absent:** Hon. Dodie A. Harman and Hon. Winifred Young Smith

**Others Present:** Mr. Steven Chang, Ms. Lucy Fogarty, Mr. Colin Simpson, Mr. Curt Soderlund, and Mr. Zlatko Theodorovic

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OPEN MEETING

**Call to Order and Roll Call**

The meeting was called to order at 8:00 a.m. and roll was taken.

**Approval of Minutes**

The April 2, 2015 meeting minutes were approved unanimously.

**Public Comment**

No public comments were received.

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DISCUSSION AND ACTION ITEMS (ITEM 1)

**Item 1**

**Guidelines for the State Trial Court Improvement and Modernization Fund and Trial Court Trust Fund**

*Action: A motion was made, seconded, and approved unanimously to modify the 1.0 Summary and 8.0 Compliance Review sections of the guidelines to include "JCC Finance budget staff will prepare and submit to the TCBCAC's Revenue and Expenditure Subcommittee an annual report regarding the prior year expenditure and encumbrance of IMF and TCTF monies that includes by project or program: a) the*

allocation amount recommended by the TCBAC; b) the Judicial Council approved allocation amount; c) expenditures; and d) encumbrances. This report will be made available to the Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch for use in their compliance reviews of these two funds.”

*Action: A motion was made, seconded, and approved unanimously to add a footnote to the 4.2 State Trial Court Improvement and Modernization Fund Allowable Expenditures and 4.3 Trial Court Trust Fund Allowable Expenditures sections stating “Descriptions under “Program” and “Type” reflect descriptions and appropriation designations as provided in the Budget Act only and do not represent an endorsement by the TCBAC of their designation or description. The TCBAC will be revisiting these designations as part of the development of updated guidelines in FY 2016–2017.”*

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**ADJOURNMENT**

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There being no further business, the meeting was adjourned at 9:53 a.m.

Approved by the advisory body on [Date].

DRAFT

**Item 2**  
**2015–2016 Allocations from the State Trial Court Improvement and Modernization Fund**  
**(Action Item)**

The materials for Item 2 are the following:

- Attachment 2A –Report from the Ad Hoc Working Group.
- Attachment 2B – State Trial Court Improvement and Modernization Fund Allocations:  
Approved 2015-16 and Estimated 2016-17
- Attachment 2C – IMF Fund Condition Statement
- Attachment 2D – 2015–2016 Funding Augmentation for CCPOR

TO: Members of the Revenue and Expenditure Subcommittee of the Trial Court Budget Advisory Committee

FROM: Members of the Ad Hoc Working Group on Trial Court Revenues

DATE: July 7, 2015

SUBJECT: Report on Encumbrances in Three Programs Funded by the Improvement and Modernization Fund

Background and Issue Statement

In March 2015, the Revenue and Expenditure Subcommittee of the Trial Court Budget Advisory Committee met over two days to review programs funded through allocations from the Trial Court Trust Fund (TCTF) and the Improvement and Modernization Fund (IMF). The greatest challenge facing the Subcommittee was to develop recommendations to address an \$11.5 million anticipated funding shortfall in the IMF for Fiscal Year 2015-16. At this meeting, the Subcommittee members identified three programs -- Phoenix, California Courts Technology Center (CCTC), and Enterprise Policy/Planning (EPP) -- that required a more extensive and detailed review to assist the Subcommittee in understanding the staffing and other costs that comprise the proposed total expenditures for these programs. Judicial Council staff for these programs are proposing allocations of over \$28.2 million in 2015-16, including total planned expenditure increases exceeding \$2.85 million over FY 2013-14 expenditure levels. Given the total size of these allocations, and the complexity of the programs, the Subcommittee established an ad hoc working group to undertake a more detailed review of expenditures and planned allocations in these areas.

The members of the Ad Hoc Working Group on Trial Court Revenues are Judge Dodie Harman, Presiding Judge of San Luis Obispo Superior Court; Stephen Nash, Court Executive Officer, Contra Costa Superior Court; Kim Turner, Court Executive Officer, Marin Superior Court; David Yamasaki, Court Executive Officer, Santa Clara Superior Court; and Shawn Landry, Court Executive Officer, Yolo Superior Court.

The Working Group met in person with Judicial Council staff on May 21, 2015. The Working Group also met by phone on June 1<sup>st</sup> to review additional information obtained from Judicial Council staff and to develop preliminary findings and recommendations. The Working Group met again by phone on June 23<sup>rd</sup> to develop a course of action, based on information it reviewed regarding these three programs. As a result of these meetings, the Working Group has developed recommendations that involve policy issues and potential modifications to prior allocation decisions that would require Judicial Council consideration for approval.

The first issue is whether Judicial Council should direct staff to prepare semi-annual encumbrance reports and submit them to the TCBAC to assist the TCBAC in its annual review of expenditures on all programs that support the trial courts. The second issue is whether, in light of significant encumbrances in these programs, the Council should reduce previously approved allocations to Phoenix, CCTC and EPP. If such reductions are authorized, the third issue is whether TCBAC should (1) reconsider previously approved recommendations related to FY 2015-16 allocation reductions pertaining to other programs funded by the IMF or (2) delay

action on these funds to a future date or (3) leave the freed up funds in the IMF in order to offset future projected shortfalls.

### Findings

Annual encumbrances for the Phoenix, CCTC and EPP programs have been significant in recent years and comprise millions of dollars for services that support the trial courts. While some of these amounts relate to pending invoices for services actually delivered during the Fiscal Years in which the funds are encumbered, some of the encumbered funds reportedly relate to ‘forward funding’ of future year services. These encumbrances of funds related to future costs are funded through accumulated prior year savings. Under the current format for information provided to the TCBAC, these encumbrances have not been clearly identified in reports provided to the TCBAC, which has hampered the ability of the advisory committee to evaluate ongoing funding needs and to make appropriate funding recommendations to the Council.

- For Phoenix, encumbrances of more than \$1.2 million carried over from Fiscal Year 2013-14 to 2014-15 (11.3% of total expended). Judicial Council staff indicated that \$618,385 of funds encumbered this Fiscal Year are identified to ‘forward fund’ Phoenix technology into the 2015-16 Fiscal Year.
- For CCTC, \$5.208 million was encumbered at year end in Fiscal Year 2012-13 (60.4% of total expended) and \$5.723 million (61.0% of total expended) was encumbered at year end in Fiscal Year 2013-14. Based upon information provided by Judicial Council staff, the Working Group has determined that \$2,485,193 of the current year encumbrances are earmarked to ‘forward fund’ technology contracts through September 2015.
- For EPP, \$2.974 million was encumbered at year end in Fiscal Year 2012-13 (58.3% of total expended) and \$2.959 million (also 58.3% of total expended) was encumbered at year end in Fiscal Year 2013-14. Again, reflective of staff-provided information, the Working Group has determined that \$2,433,333 of the current year encumbrances are designated to ‘forward fund’ the annual cost of Oracle licenses and other contracts through November 2015.
- The total ‘forward funded’ current year encumbrances for these three programs is \$5,536,911.

Because services and other deliverables associated with contracts can span Fiscal Years, encumbering funds to ensure payment of such services is technically allowable, and is even advisable in some situations. In addition, in past years, the State Budget has often been significantly delayed, sometimes into August or later. Under these circumstances, encumbrance of funds related to ongoing services that crossed over Fiscal Years was often a prudent means to ensure that there were no lapses in funding to sustain contracts and services. However, after recent changes to the State Constitution as well as other political developments, the likelihood of substantially late state budgets has declined. Consequently, the need to continue encumbrance practices of earlier years has diminished. In addition, in prior years, when the TCTF and IMF carried larger ending reserve balances, the impact of these encumbrances upon cash management and allocation decisions was inconsequential. In the current fiscal environment, however, with both funds projecting negative or negligible fund balances, there is a need for careful review of

all encumbrances of funds between Fiscal Years to ensure that adequate cash reserves and liquidity are maintained.

The issue for the TCBAC is that the amount of funds being carried over from year to year is significant at a time when many difficult funding decisions must be made. Had the TCBAC understood the 'forward funding' component of some of these encumbrances during its review in March 2015, it might have delayed, reduced, or avoided altogether, reduction recommendations for various IMF-funded programs that were subsequently approved by the Judicial Council in April 2015. Although, as part of this current effort, the Working Group only reviewed encumbrances in the three program areas above, in the future it will be important that the TCBAC be apprised of all outstanding encumbrances for all program areas that are funded from the TCTF and IMF, monies intended to support the trial courts.

#### Recommendations for consideration of the Revenue & Expenditure Committee

1. Recommend that the Judicial Council direct staff to provide an annual report by September 30<sup>th</sup> of each year to TCBAC of outstanding encumbrances for all programs funded from the TCTF or IMF that support the trial courts. The report should identify the amount of each encumbrance, the purpose of the encumbrance, the name of the vendor/contractor for which the funds are encumbered, the equipment or services related to each encumbrance, and estimated timeframes for expenditure or disencumbrance.
2. Recommend that the Judicial Council direct staff to provide an updated encumbrance report by March 31<sup>st</sup> of each year to TCBAC, containing the same information as the September report. This report should update the TCBAC on the status of encumbrances contained in the September report as well as any new encumbrances that have occurred since the previous September. This updated information will be considered by the TCBAC as it undertakes its review of funds available to support trial court activities in the next Fiscal Year.
3. Recommend that the Judicial Council modify its previously approved funding allocations for Fiscal Year 2015-16 for Phoenix, CCTC and EPP to reduce such allocations by the amount of 'forward funding' in each program, totaling \$5,336,911. These cuts are recommended to be one-time allocation reductions to these programs.
4. Recommend that Judicial Council reconsider actions taken in April 2015 that reduced or eliminated programs funded by the IMF, following a subsequent review of the Revenue and Expenditure Subcommittee of IMF-funded programs and submission of revised recommendations from the TCBAC to the Council.

#### Alternative Actions to Consider

There are no alternative actions proposed for Recommendations 1 and 2 above, as these reports are critical to ensure that the TCBAC is able to fulfill its responsibilities, as articulated in the

Chief Justice's charge to this committee, and there is no known argument against the provision of this information.

Alternatives for Recommendation 3 include (1) not reducing current year allocations for these programs despite the availability of significant carryover encumbered funds; and (2) not reducing forward funded amounts that relate to services that will be completed by July 31, 2015, thus leaving one month of forward funded encumbrances. With regard to Alternative (1), given the amount of funds that have rolled forward each year for these programs and given the severe reductions to, and complete elimination of, many worthy IMF-funded programs and the continued anticipated shortfall in the IMF fund in Fiscal Year 2015-16, we believe that there is a strong need to recapture some of the encumbered funding that could be available for allocation to other critical programs. Regarding Alternative (2), leaving one month of encumbered funds would maintain a small additional cushion for these ongoing programs. The need for such a cushion in the current year is not clear, though, with a timely state budget in place and no indication from program staff that there is a likelihood of cost increases pending.

Regarding Recommendation 4, an alternative action would be that the TCBAC not reconsider any program reduction or elimination decisions already authorized by the Council and not recommend restoration of funding to any programs that were reduced or eliminated by the Council in April 2015. If the Council approves budget reductions in Phoenix, CCTC and EPP, as recommended above, these funds would remain in the IMF to be allocated in future years or to offset future shortfalls in the IMF.



**Attachment 2B: State Trial Court Improvement and Modernization Fund Allocations: Approved 2015-16 and Estimated 2016-17**

#	Project/Program Title	Office	2014-15				Estimated 2016-2017		2016-17			
			Judicial Council Allocation	Adjustment	% of 2014-15 Allocation	Council-Approved 2015-16 Allocation	Low Estimate	High Estimate	Court Pay	Eliminate Funding	Move to Other Fund	Possible Cost Recovery
			A	B	B1	C (A+B)	D	E	F	G	H	I
1	CFCC Educational Programs	CFCC	90,000	(23,000)	-25.6%	67,000	67,000	67,000				
2	Interactive Software - Self-Rep Electronic Forms	CFCC	60,000	0	0.0%	60,000	60,000	60,000				
3	CFCC Publications	CFCC	20,000	0	0.0%	20,000		20,000				Y
4	Domestic Violence - Family Law Interpreter Program	CFCC	20,000	(3,000)	-15.0%	17,000		20,000			JC decision	
5	Self-Help Center	CFCC	5,000,000	0	0.0%	5,000,000	5,000,000	5,000,000				
6	Self-represented Litigants Statewide Support	CFCC	100,000	0	0.0%	100,000	100,000	100,000				
7	Distance Learning	CJER	147,000	(22,000)	-15.0%	125,000	125,000	125,000				
8	Essential/Other Education for Court Management	CJER	46,000	(7,000)	-15.2%	39,000	39,000	39,000				
9	Essential/Other Education for Court Personnel	CJER	92,000	(14,000)	-15.2%	78,000	78,000	78,000				
10	Faculty and Curriculum Development	CJER	288,000	(43,000)	-14.9%	245,000	245,000	245,000				
11	Mandated, Essential & Other Education for JOs	CJER	841,000	(126,000)	-15.0%	715,000	715,000	715,000				
13	CIP - Testing, Development, Recruitment and Education	COSSO	168,000	(25,000)	-14.9%	143,000		143,000			JC decision	
14	JusticeCorps (Court Access and Education)	COSSO	347,600	0	0.0%	347,600			Y	Y	Y	
15	Trial Court Performance Measures Study	COSSO	13,000	0	0.0%	13,000	13,000	13,000				
16	Trial Court Security Grants	COSSO	1,200,000	(1,200,000)	-100.0%	0	0	0			Y	
17	Budget Focused Training and Meetings	Finance	50,000	0	0.0%	50,000	50,000	50,000				
18	Treasury Services - Cash Management	Finance	238,000	0	0.0%	238,000		238,000			JC decision	
19	Trial Court Procurement	Finance	244,000	(122,000)	-50.0%	122,000	122,000	122,000				
20	Human Resources - Court Investigation	HR	94,500	(94,500)	-100.0%	0	0	0				
21	Trial Court Labor Relations Academies and Forums	HR	34,700	(9,000)	-25.9%	25,700	25,700	25,700				
22	Workers' Compensation Reserve	HR	1,231,000	(1,231,000)	-100.0%	0	0	0				
23	Audit Contract	AS	150,000	(150,000)	-100.0%	0	0	0				
24	Audit Services	AS	660,000	0	0.0%	660,000		660,000			JC decision	
25	CLETS Services/Integration	IT	433,400	(433,400)	-100.0%	0	0	0				
26	Data Integration	IT	3,903,600	(54,000)	-1.4%	3,849,600	3,681,342	3,849,600				
27	Justice Partner Outreach / e-Services	IT	200,700	(200,700)	-100.0%	0	0	0				
28	Adobe LiveCycle Reader Service Extension	IT	133,700	7,300	5.5%	141,000	141,000	145,000				
29	California Courts Technology Center (CCTC)	IT	10,487,200	0	0.0%	10,487,200	10,487,200	10,604,029				
30	CCPOR (ROM)	IT	585,600	130,000	22.2%	715,600		1,056,918				Y

#	Project/Program Title	Office	2014-15				Estimated 2016-2017		2016-17			
			Judicial Council Allocation	Adjustment	% of 2014-15 Allocation	Council-Approved 2015-16 Allocation	Low Estimate	High Estimate	Court Pay	Eliminate Funding	Move to Other Fund	Possible Cost Recovery
			A	B	B1	C (A+B)	D	E	F	G	H	I
31	Civil, Small Claims, Probate and Mental Health (V3) CMS	IT	5,658,137	0	0.0%	5,658,100	5,658,100	5,824,651				
32	Enterprise Policy/Planning (Statewide Development)	IT	5,268,500	(48,000)	-0.9%	5,220,500	5,220,500	5,366,953				
33	Interim Case Management Systems	IT	1,246,800	0	0.0%	1,246,800	1,246,800	1,917,950				
34	Jury Management System	IT	0	465,000	n/a	465,000	465,000	465,000				
35	Telecommunications Support	IT	11,705,000	(1,055,000)	-9.0%	10,650,000	11,705,000	30,484,269				
36	Testing Tools - Enterprise Test Management Suite	IT	624,300	(624,300)	-100.0%	0	624,300	647,945				
37	Uniform Civil Fees	IT	343,000	23,000	6.7%	366,000	0	366,000			JC decision	
38	Alternative Dispute Resolution Centers	LSO	75,000	(75,000)	-100.0%	0	0	0				
39	Complex Civil Litigation Program	LSO	4,001,000	(4,001,000)	-100.0%	0	0	0				
40	Judicial Performance Defense Insurance	LSO	966,600	0	0.0%	966,600	966,600	966,600				
41	Jury System Improvement Projects	LSO	19,000	0	0.0%	19,000	19,000	19,000				
42	Litigation Management Program	LSO	4,500,000	(500,000)	-11.1%	4,000,000	4,000,000	4,000,000				
43	Regional Office Assistance Group	LSO	1,460,000	0	0.0%	1,460,000	0	1,460,000			JC decision	
44	Subscription Costs - Judicial Conduct Reporter	LSO	17,100	(17,100)	-100.0%	0	0	0				
45	Trial Courts Transactional Assistance Program	LSO	451,000	0	0.0%	451,000		451,000	Pending	Pending	Pending	
46	Court-Ordered Debt Task Force	TCAS	25,000	(6,000)	-24.0%	19,000	19,000	19,000				
47	Phoenix Program	TCAS	13,885,300	(1,389,000)	-10.0%	12,496,300	13,885,300	13,885,300				
48	<b>Total</b>		<b>71,466,600</b>	<b>(10,847,700)</b>	<b>-15.2%</b>	<b>66,277,000</b>	<b>64,758,842</b>	<b>89,249,915</b>				

**Attachment 2C: IMF -- Fund Condition Statement**  
(revised June 30, 2015)

#	Description	Estimated 2016-17					
		2012-2013 (Year-end Financial Statement)	2013-2014 (Year-end Financial Statement)	Estimated 2014-15 (May Revision Revenue Estimates)	Estimated 2015-16 (May Revision Revenue Estimates)	Scenario 1	Scenario 2
		A	B	C	D	E	F
1	Beginning Balance	48,128,575	44,827,741	26,207,006	6,548,505	476,324	476,324
2	Prior-Year Adjustments	11,547,967	4,410,172	3,632,666			
3	<b>Adjusted Beginning Balance</b>	<b>59,676,542</b>	<b>49,237,913</b>	<b>29,839,672</b>	<b>6,548,505</b>	<b>476,324</b>	<b>476,324</b>
4	<b>Revenues</b>						
5	50/50 Excess Fines Split Revenue	31,920,133	26,873,351	23,202,658	21,526,146	21,526,146	21,526,146
6	2% Automation Fund Revenue	15,753,200	15,242,700	14,730,023	14,143,701	14,143,701	14,143,701
7	Jury Instructions Royalties	518,617	445,365	484,063	484,063	484,063	484,063
8	Interest from SMIF	201,201	124,878	115,000	100,000	100,000	100,000
9	Other Revenues/SCO Adjustments	2,875	24,476	24,221	-	-	-
10	<b>Transfers</b>						
11	From State General Fund	38,709,000	38,709,000	38,709,000	38,709,000	38,709,000	38,709,000
12	To Trial Court Trust Fund (Budget Act)	(23,594,000)	(20,594,000)	(20,594,000)	(594,000)	(594,000)	(594,000)
13	To TCTF (GC 77209(k))	(13,397,000)	(13,397,000)	(13,397,000)	(13,397,000)	(13,397,000)	(13,397,000)
14	<b>Net Revenues and Transfers</b>	<b>50,114,026</b>	<b>47,428,770</b>	<b>43,273,965</b>	<b>60,971,910</b>	<b>60,971,910</b>	<b>60,971,910</b>
15	<b>Total Resources</b>	<b>109,790,568</b>	<b>96,666,683</b>	<b>73,113,637</b>	<b>67,520,415</b>	<b>61,448,234</b>	<b>61,448,234</b>
16	<b>Expenditures</b>						
17	Allocation	71,923,000	73,961,680	71,466,600	66,277,000	64,758,842	89,249,915
18	Less: Unused Allocation	(7,123,067)	(4,082,985)	(5,199,049)	-	-	-
19	Pro Rata and Other Adjustments	162,894	580,982	297,581	767,091	767,091	767,091
20	<b>Total Expenditures</b>	<b>64,962,827</b>	<b>70,459,677</b>	<b>66,565,132</b>	<b>67,044,091</b>	<b>65,525,933</b>	<b>90,017,006</b>
21	<b>Fund Balance</b>	<b>44,827,741</b>	<b>26,207,006</b>	<b>6,548,505</b>	<b>476,324</b>	<b>(4,077,699)</b>	<b>(28,568,772)</b>
22	Revenue/Transfers Over/(Under) Exp	(14,848,801)	(23,030,907)	(23,291,167)	(6,072,181)	(4,554,023)	(29,045,096)

# Trial Court Revenue and Expenditure Subcommittee Meeting July 7, 2015

California Courts Protective Order  
Registry Request

# California Case Protective Order Registry (CCPOR)

## Background:

- CCPOR is currently deployed to 43 courts and 13 tribal courts.
- CCPOR leverages the California Law Enforcement Terminal System (CLETS) infrastructure at the California Courts Technology Center (CCTC).
- CCPOR sends Restraining Protective Orders to the Department of Justice (DOJ) California Restraining Protective Order System using CLETS infrastructure.
- **Without the infrastructure for CLETS, CCPOR cannot exchange data with the California DOJ.** There is no other mechanism or alternative.
- Participating CLETS courts have not agreed to fund the CLETS program.
- Without funding for CLETS infrastructure, JCIT will need to inform 43 courts, 13 tribal courts, and justice partners that the program will be decommissioned during FY 15/16.

# California Case Protective Order Registry (CCPOR)

## Timeline:

- At the March 10, 2015 Trial Court Budget Advisory Committee (TCBAC) Revenue and Expenditure Subcommittee meeting, the committee recommended elimination of CLETS funding. Dependence of CCPOR on CLETS was highlighted by the JCIT Director.
- At the March 23, 2015 TCBAC meeting the recommendation to eliminate CLETS funding was adopted.
- At the March 23, 2015 TCBAC meeting the committee also directed JCIT to survey courts to determine feasibility of cost recovery for CCPOR through justice partners and report back in October 2015.
- At the May 18, 2015 TCBAC meeting, the JCIT Director again shared the dependence of CCPOR on CLETS. The Chair asked the JCIT Director to return in July 2015 with an update on the CLETS courts ability to fund the program.

# California Case Protective Order Registry (CCPOR)

## Funding Request:

- Given the CLETS courts have not agreed to fund CLETS, the CCPOR program needs ongoing, annual funding of \$145,560 beginning FY15/16 for CLETS Software and Infrastructure. **Without this CCPOR cannot continue operations.**
- Analysis of the CLETS environment to determine essential components for CCPOR resulted in the following.

Component Description	Annual Cost
CCTC CLETS Infrastructure	\$77,000.00
DOJ Telecommunications	\$10,214.00
DataMax/Omnixx CLETS Support	\$58,346.00
<b>Total</b>	<b>\$145,560.00</b>

# Trial Court Telecommunications Program

- The "LAN/WAN" Program -

- Scope
- Timeline
- Process
- Budget





# LAN/WAN Program Scope

- Network Hardware Refresh
- Network Hardware Annual Maintenance
- Network Hardware Implementation
- Security Monitoring
- CISCO Training for Court IT Staff
- Equipment Trade-In Program

# LAN/WAN Hardware Refresh

- **In Scope:**
  - Routers
  - Switches (both core and access layer)
  - Wireless Networks
  - Security Devices  
(Firewalls, VPN Concentrators, IPS Appliances)
- **Out of Scope:**
  - Telephony Infrastructure (PBX/VOIP)
  - Electrical Upgrades
  - Structured Cabling
  - Building Security Systems

# Tech Refresh Annual Process

## Phase 1

- **9-12 months prior to implementation, Judicial Council Project Managers facilitate:**
  - Network Design Engineers review Cisco's list of equipment slated for End of Support (EoS)
  - Identify specific devices at specific courts targeted for replacement
  - Review each court's inventory list and network diagrams to determine preliminary types and quantities of equipment to be procured.
  - Select preliminary replacement equipment based on: Cisco product migration recommendations, JCC LAN/WAN standards and known court business and technical requirements.
  - An annual refresh budgetary estimate is generated.

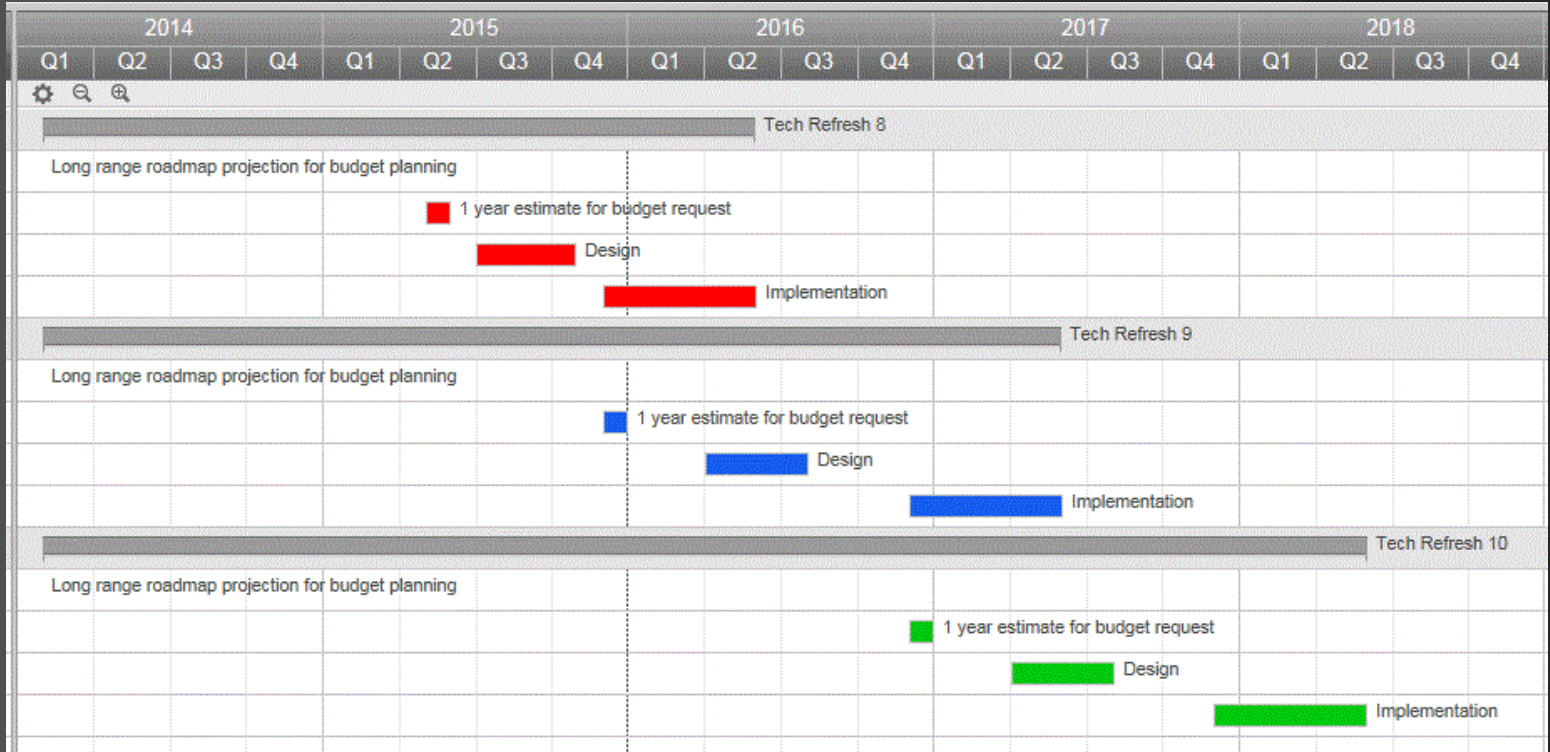
# Tech Refresh Annual Process

## Phase 2

- **6 months prior to implementation, AT&T, CISCO, and Judicial Council engineers and program staff:**
  - Work directly with each court's IT staff to confirm inventory and identify changes to the court's network
  - Review new business or technical requirements (new courthouses, site consolidations, closures, local network upgrades).
  - Identify specific replacement equipment Bills of Material (BoM) and review with the court.
  - Obtain Court approval prior to placing equipment order.



# Tech Refresh: Fiscal Year Timeline



# Challenges

- Iterative process, facilitated by Judicial Council LAN/WAN Project Managers
- Can take as many as 60 days, working with each court to produce a final approved Bill of Materials (BoM).
- Primary constraint is the availability of court staff to participate in this process.
- Once completed and approved by the court, purchase orders are submitted using each court's specifically approved BoMs.

# Tech Refresh Budget

- There are 3 intervals at which a given year's Tech Refresh budget is projected, each increasing in accuracy:
  - 5 year roadmap (started in 2013).
  - Annual projected budget estimate (based on known court inventory)
  - Design Phase 2: 2-4 months prior to implementation: cost estimates based on final Bills of Material.
- Variances can occur based on:
  - Changes to court network or local inventory
  - New technical or business requirements specified by the court (e.g. delay of court house construction)
  - New technology introduced by Cisco.

# Tech Refresh: Budget Management

- When actual cost exceeds projected budget, projects are scaled back.
  - **Delay** some equipment purchases to a **later** Tech Refresh cycle
  - **Delay** in the **same** cycle, if funds are made available (discovery during implementations such as newly identified site closures or reduced requirements)
- When actual cost is less than projected budget, expand equipment procurement.
  - Early replacement of equipment slated for a future tech refresh to smooth annual budget fluctuations



# Telecommunications Program: FY15-16 BCP Request

The budget request summary from the BCP states:

- “This program was expanded from 54 courts to all 58 courts and includes the Superior Courts of Alpine, Los Angeles, Orange, and San Diego. The additional funds, along with existing ongoing baseline funding would support the refresh and maintenance of network technology. Network security services, local court IT staff training, and funding for five consultant resources required for project management, implementation, and coordination with courts and vendors.”



# Telecommunications Program: FY15-16 BCP Request

- The BCP estimates were created using data from FY 12-13
- \$5.5 million BCP request was based on the average of projected costs of Technology Refreshes 7 through 11 (FY 12-13 through FY 16-17), divided by 5 years.
- Baseline funding of \$11.7 million was anticipated (*since cut to \$10.65 million*)
- A request was made by TCBAC to 'smooth out budget spikes year-to-year'. This could be accomplished by **delaying** some equipment refreshes and/or moving some refreshes ahead of schedule.
- This supports the expansion of the program to all 58 courts (adding Los Angeles, Orange, San Diego, and Alpine)
- Additional LAN/WAN project managers and network engineers to balance the workload.



# BCP: FY 15/16 Budget Request

BCP Budget Request	Annual	
Hardware Refresh	3,984,354	Network hardware refresh at the courts
Contract Services (IT Consultants)	1,125,000	Requires up to 5 additional consultants to fully staff the program and absorb the additional workload resulting from the expansion of the program from 54 courts to 58 courts.
Network Maintenance	400,000	Hardware maintenance cost based on average 10% of hardware purchase cost.
<b>BCP Total</b>	<b>5,509,354</b>	
<b>Note:</b> BCP request assumed on-going annual LAN/WAN budget: \$11,705,000		



**Annual Expenditures and Encumbrances  
Based on Information Provided by JC staff**

**PHOENIX**

<b>Fiscal Year</b>	<b>Exp/Enc</b>	<b>Encumbrances</b>	<b>% of Funding Encumbered *</b>
2012-13 *	\$11,835,976	\$920,911	7.8%
2013-14	\$10,824,916	\$1,226,519	11.3%

**EPP**

<b>Fiscal Year</b>	<b>Exp/Enc</b>	<b>Encumbrances</b>	<b>% of Funding Encumbered *</b>
2012-13	\$5,102,258	\$2,974,037	58.3%
2013-14	\$5,072,766	\$2,959,922	58.3%

**CCTC**

<b>Fiscal Year</b>	<b>Exp/Enc</b>	<b>Encumbrances</b>	<b>% of Funding Encumbered *</b>
2012-13	\$8,629,067	\$5,208,794	60.4%
2013-14	\$9,382,315	\$5,723,270	61.0%

\* NOTE: Phoenix 2012-2013 Encumbrance amounts displayed may not represent all encumbrances as of 6/30/13.

**Forward Funding Analysis - Amounts Available for Offset in FY 2015-16**  
**Prepared by AHWG June 15, 2015 \***

<b>Project</b>	<b>Total Planned for Encumbrance</b>	<b>Less: Cost of Services provided in 2014-15</b>	<b>Amount available for offset from FY 2015-16 Allocation</b>
Phoenix	\$618,385	\$0	\$618,385
CCTC	\$3,400,000	-\$914,807	\$2,485,193
EPP	\$5,000,000	-\$2,566,667	\$2,433,333
total			<u>\$5,536,911</u>

**\* Note: Analysis based upon information provided by JC staff**

**Forward Funding Analysis - Amounts Available for Offset in FY 2015-16**  
**Prepared by AHWG July 2, 2015 \***

<b>Project</b>	<b>Amount Being Reverted / Disencumbered</b>	<b>Total Planned for Encumbrance</b>	<b>Less: Cost of Services provided in 2014-15</b>	<b>Amount available for offset from FY 2015-16 Allocation **</b>	<b>Alt. 1 - Amount Available if 1 month Forward Funded **</b>
<b>Phoenix</b>	\$460,934	\$375,186	\$0	\$375,186	\$250,124
<b>CCTC</b>		\$3,396,745	-\$914,807	\$1,952,231	\$1,301,487
<b>EPP</b>		\$5,024,546	-\$2,670,758	\$2,353,788	\$1,883,031
<i>total</i>				\$4,681,205	\$3,434,642
	<u>\$460,934</u>			\$460,934	\$460,934
<i>total IMF fund balance increase w/ disencumbrance</i>				<u>\$5,142,139</u>	<u>\$3,895,576</u>

\* Note: Analysis based upon information provided by JC staff

\*\* Staff indicated that there are pending work orders in CCTC amount for 2015-16 that reduce amts available for offset