

**2 Percent Funding Request Review Subcommittee Meeting  
Materials  
November 13, 2015**

**Attachment A:  
Superior Court of Humboldt County  
Application for Supplemental Funding  
*10 Pages***

**Attachment B:  
Superior Court of Tehama County  
Application for Supplemental Funding  
*15 Pages***

**2 Percent Funding Request Review Subcommittee Meeting  
Materials  
November 13, 2015**

**Attachment A:  
Superior Court of Humboldt County  
Application for Supplemental Funding  
*10 Pages***

## APPLICATION FOR SUPPLEMENTAL FUNDING FORM

Please check the type of funding that is being requested:

- CASH ADVANCE (Complete Section I only.)
- URGENT NEEDS (Complete Sections I through IV.)
- ONE-TIME DISTRIBUTION
- LOAN



## SECTION I: GENERAL INFORMATION

SUPERIOR COURT: Humboldt	PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer):  Christopher G. Wilson, Asst. Presiding Judge	
	CONTACT PERSON AND CONTACT INFO: Drew Lund 707-269-1260	
DATE OF SUBMISSION: 11/03/2015	DATE FUNDING IS NEEDED BY: 2/1/2016	REQUESTED AMOUNT: \$ 252,362.48

## REASON FOR REQUEST

(Please briefly summarize the reason for this funding request, including the factors that contributed to the need for funding. If your court is applying for a cash advance, please submit a cash flow statement when submitting this application. Please use attachments if additional space is needed.)

Historically, Humboldt has averaged eleven homicides per year. To date in 2015, 24 homicide cases have been filed and more are pending charging. Many of these do not have time waivers. In some of these high profile cases, daily transcripts have been ordered or are anticipated to be ordered. Additionally, the Court is converting its Jury Assembly Room into an additional Courtroom as well as requesting visiting judges to add to our current schedule. In addition there currently is a shortage of Court Reporters and at times a reporter cannot be provided for normal Court workload. Staffing an additional courtroom and providing the court ordered daily transcripts, an additional 2.5 FTE of contracted Court Reporter staff from November 1, 2015 through June 30, 2016 will be needed. Based on current recruiting experiences, these will likely have to come from out of county which will require payment of hotel costs and other expenses during the same period of time.

Section II through Section IV of this form is required to be completed if your court is applying for supplemental funding for urgent needs (unavoidable funding shortfall, unforeseen emergency or unanticipated expenses for existing programs). Please submit attachments to respond to Sections II through Section IV.

## SECTION II: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

A. What would be the consequence to the public and access to justice if your court did not receive the requested funding?

The Court will not be able to provide trials for defendants' numerous homicide, felony and misdemeanor cases that do not have time waivers. This may pressure the D.A. to make plea offers contrary to public safety or to dismiss cases. Public safety will be at risk because the Court is not able to timely adjudicate cases. Additionally, serious crimes will continue to increase because of the delayed adjudications. Additionally, this will impact judges' decisions when requests for daily transcripts in high profile homicide trials are requested. The aforementioned consequences will result in delays in justice to all parties, including the victims, and will compromise the integrity of the judicial process and system.

B. What would be the consequence to your court's operations if your court did not receive the requested funding?

The Court would not be able to open and staff a new courtroom for upcoming trials, which includes providing transcripts ordered by judges, and backlogs will increase. An already demoralized staff would have to accept the reality of denying their community a functioning justice system. We have diligent, hard-working staff who live in poverty and qualify for fee waivers. Our process clerks are paid below our comparator Courts. In order to reduce the high turnover and low morale, we have to start paying a livable wage and also create a career path

for clerks. We are beginning this process with our current union negotiations. If additional funding is not provided for the No Time Waiver Trial Crisis, costs will be paid from the Court's budget, and we would jeopardize not only the first COLA in seven years, but also a pay equity adjustment for our staff in poverty and the good will that is desperately needed. Having to use our current allocations would also mean we would continue losing staff to the local grocery stores.

Judges should not have to choose between providing justice to the public and being a fair employer.

**C. What measures will your court take to mitigate the consequences to access to justice and court operations if funding is not approved by the Judicial Council?**

The Court has already restructured its calendaring system to consolidate non-trial hearings into fewer courtrooms, with one criminal judge hearing double and sometimes triple calendars. The Court is pulling our lone civil judge to run jury trials into the foreseeable future. This will maximize the number of criminal courtrooms that can hear jury trials. In addition, Judges are also simultaneously conducting two trials daily, one in the morning and one in the afternoon. This is being done in an effort to reduce the likelihood that a No Time Waiver case will have to be dismissed due to a lapse of time. Additionally, conducting two trials daily will also be increasing jury costs as separate juries will be seated for each case and the trial length will be doubled.

**D. Please provide five years of filing and termination numbers.**

<u>Year</u>	<u>Filings</u>	<u>Dispositions</u>
FY 14-15	Not Yet Available	Not Yet Available
FY 13-14	29,317	27,915
FY 12-13	27,183	26,400
FY 11-12	29,363	31,864
FY 10-11	33,431	34,100

**APPLICATION FOR SUPPLEMENTAL FUNDING FORM (Continued)**

**SECTION III: REVENUE ENHANCEMENT AND COST CONTROL MEASURES**

**A. If supplemental funding was received in prior year, please identify amount received and explain why additional funding is again needed in the current fiscal year.**

N/A

**B. If the request for supplemental funding is not for a one-time concern, the court must include an expenditure/revenue enhancement plan that identifies how the court will resolve its ongoing funding issue.**

N/A

**C. What has your court done in the past three fiscal years in terms of revenue enhancement and/or expenditure reductions, including layoffs, furloughs, reduced hours, and court closures?**

The Court has focused on our process relating to FTAs and FTPs which has caused Civil Assessment revenue to increase each year. The Court continues to hold almost 10% of its needed positions vacant, even though 5% of staff are on some form of Leave of Absence. The Court continued a freeze on Cost of Living Adjustments for seven straight years. The Court is restructuring and reducing management positions in order to afford a COLA in FY15-16. The Court continues to operate under reduced hours of public service. The clerk's office is currently only open from 9:00am to 2:00pm.

**D. Please describe the employee compensation changes (e.g. cost of living adjustments and benefit employee contributions) and staffing levels for past five fiscal years for the court.**

Since FY08-09:

- No cost of living adjustments & no salary increases from FY08-09 to FY14-15.
- One-time special pay in FY13-14 of \$2,500 per employee (Fund Balance Reduction).
- FY15-16: 2.5% Pay Equity for process clerks & 3.5% - 4% COLA for all staff.

- The Court pays NONE of the employee portion of retirement costs.
- Monthly Dental Ins. Contribution increase from \$ 42.60 per employee to \$ 45.00 per employee.
- Monthly Health Ins. Contribution increase as follows:
  - Employee Only from \$ 455.00 to \$ 602.00
  - Employee +1 from \$ 650.00 to \$ 843.00
  - Employee +>1 from \$ 760.00 to \$ 988.00
- Instituted a pre-paid medical Cafeteria 125 plan for ≈ \$900 per year.

**SECTION IV: FINANCIAL INFORMATION**

Please provide the following:

**A. Current detailed budget projections/estimates for the current fiscal year, budget year and budget year plus one (e.g., if current fiscal year is FY 2012-2013, then budget year would be FY 2013-2014 and budget year plus one would be FY 2014-2015).**

	<u>FY 15-16</u>	<u>FY16-17</u>	<u>FY17-18</u>
Beginning Balance	\$ 407,731	(\$ 973)	(\$ 276,654)
Restricted Revenue Balance	<u>\$ 240,213</u>	<u>\$ 240,213</u>	<u>\$ 240,213</u>
<b>Beginning Available</b>	<b>\$ 167,518</b>	<b>(\$ 241,186)</b>	<b>(\$ 516,867)</b>
Total Revenue	\$ 8,310,383	\$ 8,310,383	\$ 8,310,383
Total Expenses	<u>(\$ 8,719,087)</u>	<u>(\$ 8,586,064)</u>	<u>(\$ 8,586,064)</u>
<b>Ending Available</b>	<b>(\$ 241,186)</b>	<b>(\$ 516,867)</b>	<b>(\$ 792,548)</b>
Available	(\$ 241,186)	(\$ 516,867)	(\$ 792,548)
Restricted Revenue	<u>\$ 240,213</u>	<u>\$ 240,213</u>	<u>\$ 240,213</u>
Ending Balance	(\$ 973)	(\$ 276,654)	(\$ 552,335)

**B. Current status of your court's fund balance.**

	<u>July 1, 2015</u>	<u>September 31, 2015</u>
Fund Balance	\$ 407,731	\$ 493,116
Restricted Revenue	<u>\$ 240,213</u>	<u>\$ 240,213</u>
<b>Available</b>	<b>\$ 167,518</b>	<b>\$ 252,903</b>
Breakdown of Available Amounts:		
Against our 1% Cap	\$ 60,062	\$ 145,446
Encumbrances	\$ 24,213	\$ 24,213
Pre-paid Expenses	<u>\$ 83,244</u>	<u>\$ 83,244</u>
Available	\$ 167,518	\$ 214,459

**C. Three-year history of your court's year-end fund balances, revenues, and expenditures.**

	<u>FY 12-13</u>	<u>FY13-14</u>	<u>FY14-15</u>
<b>Beginning Balance</b>	<b>\$ 1,518,758</b>	<b>\$ 1,295,437</b>	<b>\$ 572,076</b>
Total Revenue	\$ 7,427,076	\$ 7,693,603	\$ 8,186,592
Total Expenses	<u>(\$ 7,650,397)</u>	<u>(\$ 8,416,964)</u>	<u>(\$ 8,350,936)</u>
<b>Ending Balance</b>	<b>\$ 1,295,437</b>	<b>\$ 572,076</b>	<b>\$ 407,731</b>

**Note: Increase in expenses is due largely to increased retirement rates (17.718% in FY08-09 to 23.625% in FY15-16) and not to an increase in salaries.**

- D. If the trial courts' application is for one-time supplemental funding, please explain why a loan would not be appropriate.**

**Considering the information in item A above, repayment of a loan is not feasible and would place an unmanageable burden on the Court. It would force the Court to reduce staff and further reduce services to the public beyond what has occurred throughout the financial crisis. The Court is barely functional at current staffing and operating levels. Repayment of a loan would have a negative impact on the community's already reduced level of access to justice and public safety will be at further risk.**

- E. The most recent audit findings of fiscal issues and the remediation measures taken to address them.**

**The State Controller's Office audit completed in 2015 found no substantive exceptions. The Court is currently being audited by JCC. Findings have not yet been reported.**

<b>Calendar year</b>	<b>Number of homicide cases filed</b>	<b>Cases with substantive allegations that may increase maximum confinement time</b>	<b>Status of case</b>
2010	13 homicide filings	5 with allegations	All cases disposed
2011	10 homicide filings	4 with allegations	All cases disposed
2012	7 homicide filings	2 with allegations	All cases disposed
2013	13 homicide filings	4 with allegations	2 cases remain outstanding and are currently in on-going JT's
2014	11 homicide filings	7 with allegations	4 cases remain outstanding
2015 (as of 11-3-15)	24 homicide filings	4 with allegations and 5 that are too early in the proceedings to determine whether allegations will be added	21 cases remain outstanding



## Cost of Hiring Contract Reporters from Outside the County

Dec 1, 2015 through June 30, 2016 = 30 Weeks.

30 x 5 = 150. 150 - 7 holidays = 143.

Hourly Rate	\$ 30.99	8	\$ 247.92	
Breakfast	\$ 8.00			
Lunch	\$ 12.00			
Dinner	\$ 20.00			
Incidentals	\$ 6.00			
			\$ 46.00	
Hotel @ \$110 / night	\$ 110.00			
Occupancy Tax	\$ 10.00			
Tourism Tax	\$ 2.00			
			\$ 122.00	
			<u>\$ 415.92</u>	
<b>143 Days x \$293.92 =</b>				<b>\$ 59,476.56</b>
Mileage from Redding to Eureka		150	\$ 86.25	
Mileage from Eureka to Redding		150	\$ 86.25	
			<u>\$ 172.50</u>	
<b>1 Trip per week. 30 weeks x \$172.50 =</b>				<b>\$ 5,175.00</b>
<b>Cost of 1 Court Reporter</b>				<u><b>\$ 64,651.56</b></u>
<b>Cost of 2 Reporters</b>				<u><u><b>\$ 129,303.12</b></u></u>



## Cost of Additional Bailiff

**Dec 1, 2015 through June 30, 2016 = 30 Weeks.**

**30 x 5 = 150. 150 - 7 holidays = 143.**

Hourly Rate                      \$    84.44            8            \$    675.52

**143 Days x \$675.52 =                      \$ 96,599.36**

Note: This rate was estimated by JCC Facilities Staff.

## Local Revenue Exempt from 1% Carryover Cap

<b>One-Time Local Revenue:</b>		<b>FY 13-14</b>	<b>FY 14-15</b>	<b>Balance</b>
		<hr/>	<hr/>	<hr/>
812167	TCTF - 2% Automation	\$ 48,160.00	\$ 48,152.00	\$ 96,312.00
812151	TCTF-10-VISIT-MEDIAT	\$ 2,636.00	\$ 2,150.00	\$ 4,786.00
821183	PC1463.22A INS CONV	\$ 21,142.11	\$ 17,143.13	\$ 38,285.24
821191	VC40508.6 DMV HISTORY/PRIORS	\$ 50,995.36	\$ 42,772.15	\$ 93,767.51
841010	SMALL CLAIMS ADVISORY	\$ 3,370.00	\$ 3,692.00	\$ 7,062.00
<b>Total:</b>		<hr/> <b>\$ 126,303.47</b>	<hr/> <b>\$ 113,909.28</b>	<hr/> <b>\$ 240,212.75</b>

FY13-14 Budget Trailer Bill allows these revenues to be omitted from 1% FBA calculation (see GC 77203(b)).

DL 7-27-15

**2 Percent Funding Request Review Subcommittee Meeting  
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**Attachment B:  
Superior Court of Tehama County  
Application for Supplemental Funding  
*15 Pages***

## AMENDED APPLICATION FOR SUPPLEMENTAL FUNDING FORM

<p>Please check the type of funding that is being requested:</p> <p><input type="checkbox"/> <b>CASH ADVANCE</b> (Complete Section I only.)</p> <p><input checked="" type="checkbox"/> <b>URGENT NEEDS</b> (Complete Sections I through IV.)</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> <b>ONE-TIME DISTRIBUTION</b></p> <p style="padding-left: 20px;"><input type="checkbox"/> <b>LOAN</b></p>	
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### SECTION I: GENERAL INFORMATION

<b>SUPERIOR COURT:</b> Tehama	<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): Caryn A. Downing, Court Executive Officer	
<b>CONTACT PERSON AND CONTACT INFO: 530-527-6198</b>		
<b>DATE OF SUBMISSION:</b> 11/3/2015	<b>DATE FUNDING IS NEEDED BY:</b> 12/15/2015	<b>REQUESTED AMOUNT:</b> \$498,558.01

### REASON FOR REQUEST

(Please briefly summarize the reason for this funding request, including the factors that contributed to the need for funding. If your court is applying for a cash advance, please submit a cash flow statement when submitting this application. Please use attachments if additional space is needed.)

On July 1, 2015, The Superior Court of California, County of Tehama began this fiscal year with a positive fund balance. This Court has a history and record of good stewardship and being fiscally prudent. The intentional data deletion that occurred on July 3, 2015, caused the Court to incur extraordinary expenses in excess of \$498,558.01. Had this incident not occurred, the Court would have a balanced budget for FY15-16.

In early June of this year the Tehama Superior Court was made aware of certain suspicious activity in its computer and telephone systems. AT&T's Security Incident Response and Forensic Solutions Department was engaged by the Court on June 5, 2015, to act in the capacity of a trusted advisor to evaluate the Court's concerns. On June 10<sup>th</sup>, AT&T's Lead Investigator arrived at the courthouse and began an initial vulnerability assessment. On June 12<sup>th</sup> three members of AT&T's team arrived at the Court and started a forensic analysis of the Court's infrastructure. Subsequently, the Court's IT Director was placed on Paid Administrative Leave pending an investigation as to actions involving the Court's computer network. After escorting him out of the building, he took an HP SAN (storage device) out of his vehicle, handed it over to the bailiff and indicated it was court property. It was later determined this piece of equipment was non-operational due to missing hardware. AT&T was able to secure the Court's infrastructure to a certain degree and continued to work on securing the system in its entirety. However, due to the lack of administrative passwords and inaccurate IT documentation, the Court's infrastructure remained vulnerable to the individual who had intricate knowledge of the administrative passwords.

On June 26, 2015, the Court's IT Director was terminated.

On June 29, 2015, the Court engaged NWN Corporation for staffing augmentation and specialty services.

On July 3, 2015, at approximately 1:58 p.m. someone logged in with the Administrator account and deleted all the pertinent data contained within the IT infrastructure, including any back-up. These affirmative, intentional, nefarious actions rendered the Court's case management system, telephones, exchange server, jury system, shared and individual drives and website non-operational.

Between July 3<sup>rd</sup> and July 8<sup>th</sup> AT&T, NWN and an IT staff member from Judicial Council began troubleshooting the Court's IT environment to determine why the Court's entire system was non-functional.

On July 9, 2015, it was determined that specific and targeted commands were executed during the July 3, 2015, intrusion to perform the data deletion, the investigation and review of logging sources did not indicate reconnaissance activities were performed hereby indicating the nefarious actor had intricate knowledge of the administrative

credentials, configurations and topology of the IT systems to carry out the activities. As a result of this discovery, law enforcement was contacted.

On July 10, 2015, the Court contracted with Kroll Ontrack Data Recovery to evaluate and examine the feasibility of being able to rebuild and recover the logical volumes containing the Court's infrastructure. Eight hard drives were sent to them for evaluation. Kroll used proprietary tools to access the devices, rebuild the logical volumes and recovered 3760.84 GB of data which contained the Court's case management system dating back to March 17, 2015, the active directory structure, telephones, jury and key card systems. Upon receiving the external hard drives, the Court began the process of transferring the data back into the server environment. Staff must now endure the tedious process of re-entering all unrecoverable information including payments, citations, new cases, filings, etc. back into the case management system while continuing to maintain their current workload. Additionally, 991+ hours of time devoted to configuration, and code mapping for the Court's new case management system was lost requiring staff to re-enter this information. The data loss has added increased expenses to the Court.

During the service of a search warrant on July 14, 2015, at the former IT Director's home, 8 hard drives belonging to the Tehama Superior Court were seized. The drives were subsequently returned to the Court and after a forensic evaluation it was determined 6 out of the 8 drives were non-operational.

On July 10, 2015, the Tehama Superior Court filed a civil complaint against its former IT Director for Intentional Tort and General Negligence. In addition, the Court also requested and obtained a Temporary Restraining Order. On August 6, 2015, the Court filed a First Amended Complaint for Cyber Fraud/Deceit, Civil Claim Under PC 1502 (e), Breach of Duty of Loyalty to Employer, Invasion of Privacy, Conversion, Trespass, Negligence, Violation of LC 2865, Violation of LC 2854. All proceedings have currently been stayed pending the criminal investigation.

As of the date of this application, the following services have been restored: case management system, jury system, telephones, active directory, exchange, file sharing for user and common drives, limited website, printing, on-site nightly back-ups, off-site weekly back-ups, building key card system, FLFED data base, AT&T web filtering, and security cameras. The following services have been added for enhanced security and optimization: AT&T Threat Manager, Help Desk ticketing system, network monitoring system, and AT&T e-mail filtering. The Court continues to work diligently to restore public access to the following services: the online case and calendar index on its website, and wireless internet.

In closing, the Court would ask that you consider approving our request for supplemental funding in the amount of \$498,558.01. This would restore the Court's fund balance back to where it was prior to this unforeseen emergency. The Court has a primary objective of fiscal responsibility and has budgeted accordingly for long term planning, entering into extended contracts and new Courthouse relocation costs. Restoring the court's fund balance to zero will negatively impact our future operations. Thank you for this opportunity.

(Tab B)

Section II through Section IV of this form is required to be completed if your court is applying for supplemental funding for urgent needs (unavoidable funding shortfall, unforeseen emergency or unanticipated expenses for existing programs). Please submit attachments to respond to Sections II through Section IV.

## **SECTION II: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**

### **A. What would be the consequence to the public and access to justice if your court did not receive the requested funding?**

With layoffs and/or position eliminations the public and access to justice would be significantly impacted. The Court would seek to further reduce its public counters and telephone hours or even possibly eliminate telephone access all together. Except as required by law, in civil, probate and family law cases, the services of an official court reporter may not be available, making it more challenging for self-represented litigants to prepare orders, etc. The processing of non-priority work (filing, copies, ex parte communications and correspondences, records management and non-priority dispositions) would be delayed. Requests for criminal records searches would also be delayed, affecting those needing the search for prospective employers. Mandated reporting to DMV (including the lifting of drivers and registration holds) and DOJ (conviction reporting) would be prolonged, diminishing the public's confidence in the Court and possibly having adverse action taken against compliant defendants. The Courts new case management system and e-filing would not be implemented preventing the Court from expanding online access to the public.

**B. What would be the consequence to your court's operations if your court did not receive the requested funding?**

Approximately \$485,000.00 in savings would be required for a balanced budget. In order to achieve this, the Court would layoff and/or eliminate 7 positions. Restructuring the duties of these positions would drastically impact the effectiveness of operations and would have a negative effect on the entire court system. The continued work on creating efficiencies and streamlining processes would be delayed. The scheduling of non-priority cases would be prolonged. The Court would be unable to dedicate resources to the collection of court investigation fees, the timely processing of refunds and the referrals of delinquent court ordered debt. Staff training and travel would be eliminated. The Court would be unable to fund its IWR Interactive Web Response and Self-Check-in Module Project for its jury system. The project is a grant reimbursement program that the Court would no longer be able to participate in.

(Tab C)

**C. What measures will your court take to mitigate the consequences to access to justice and court operations if funding is not approved by the Judicial Council?**

The Mission Statement of the Tehama Superior Court is, "To ensure the prompt and fair adjudication of all cases and to improve public confidence in the Court's through accessibility, communication and education. To that extent, we would strive to stay consistent with our objectives. In order to function without the supplemental funding, the Court would prioritize its needs and those of the public. The Court would begin communications with the union for the use of volunteers and reach out to our justice partners for possible assistance. Explore the options for alternative payment locations for those needing to pay after business hours.

**D. Please provide five years of filing and termination numbers.**

Fiscal Year	Filings	Dispositions
*FY 14/15	26,222	15,036
FY 13/14	20,870	11,883
FY 12/13	18,284	11,867
FY 11/12	19,796	14,066
FY 10/11	20,795	15,446

\* The data reported is up through March 2015. Unfortunately, the data deletion that occurred on July 3, 2015, has hindered the Court's ability to enter information from April 2015, forward. The Court is striving to submit this information within the next 120 days.

**APPLICATION FOR SUPPLEMENTAL FUNDING FORM (Continued)**

**SECTION III: REVENUE ENHANCEMENT AND COST CONTROL MEASURES**

**A. If supplemental funding was received in prior year, please identify amount received and explain why additional funding is again needed in the current fiscal year.**

N/A

**B. If the request for supplemental funding is not for a one-time concern, the court must include an expenditure/revenue enhancement plan that identifies how the court will resolve its ongoing funding issue.**

**C. What has your court done in the past three fiscal years in terms of revenue enhancement and/or expenditure reductions, including layoffs, furloughs, reduced hours, and court closures?**

**2011**

- Implemented a 39 hour work week for all employees except two managers
- Deferred Comp. match eliminated for line-staff

**2012**

- Deferred Comp. match eliminated for managers
- Started paying full 7% employee contribution towards retirement
- All employees received a step decrease (this was equivalent to a 5% pay decrease)
- The Court entered in an Agreement with Shasta Collections for the collection of court ordered delinquent debt
- Eliminated longevity pay

**2013**

- Self-Help Center was relocated to the Historic Courthouse improving public access and eliminating the rental agreement
- Closed the Corning Branch Court
- Office and telephone hours were reduced to Monday through Friday from 10:00 a.m. – 2:00 p.m.

**D. Please describe the employee compensation changes (e.g. cost of living adjustments and benefit employee contributions) and staffing levels for past five fiscal years for the court.**

Fiscal Year	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	3 <sup>rd</sup> Quarter	4 <sup>th</sup> Quarter
2010-2011	44.34			39.34
Detailed information is unavailable				
2011-2012	40.84	37.34	36.34	36.34
Assistant CEO position eliminated				
2012-2013	38.0	36.0	39.84	39.84
No position additions or deletions				
2013-2014	39.84	41.84	41.84	41.84
Reclassified two positions to reflect actual job duties, created IT Director position, eliminated System Analyst position				
2014-2015	42.50	43.50	43.50	44.50
Added Accounting Technician and Assistant CEO/Human Resources Manager positions				

Year	Business Unit	Item
2011	All Represented Employees	Began paying employee's full share of 7% toward retirement
	All Unrepresented Employees	Began paying employee's full share of 7% toward retirement
2012	All Represented Employees	2.5% COLA
	All Unrepresented Employees	2.5% COLA
2013	All Represented Employees	One-time \$500.00 stipend
	All Unrepresented Employees	One-time \$500.00 stipend
	All Represented Employees	Return to a 40 hour workweek
2014	All Unrepresented Employees	Return to a 40 hour workweek
	All Represented Employees	2.5% COLA
	All Unrepresented Employees	3.0% COLA
	All Represented Employees	One-time \$250.00 Stipend

	All Unrepresented Employees	One-time \$250.00 Stipend
<b>Year</b>	<b>Business Unit</b>	<b>Item</b>
<b>2014</b>		
	All Represented Employees	Additional \$75.00 per month towards health insurance
	All Unrepresented Employees	Additional \$75.00 per month towards health insurance
<b>2015</b>	All Represented Employees	2.5% COLA
	All Unrepresented Employees	3.0% COLA
	All Represented Employees	Additional \$75.00 per month towards health insurance
	All Unrepresented Employees	Additional \$75.00 per month towards health insurance

**SECTION IV: FINANCIAL INFORMATION**

**Please provide the following:**

**A. Current detailed budget projections/estimates for the current fiscal year, budget year and budget year plus one (e.g., if current fiscal year is FY 2012-2013, then budget year would be FY 2013-2014 and budget year plus one would be FY 2014-2015).**

(Tab D)

**B. Current status of your court's fund balance.**

As of September 23, 2015, the Court had a positive fund balance. At the end of the fiscal year, if the Court does not receive the requested funding, the Court will have to take the necessary action to avoid a negative fund balance of approximately \$129,397.00.

(Tab E)

**C. Three-year history of your court's year-end fund balances, revenues, and expenditures.**

(Tab F)

**D. If the trial courts' application is for one-time supplemental funding, please explain why a loan would not be appropriate.**

The statutorily imposed 1% cap on fund balances does not allow Courts to prepare and budget for unforeseen emergencies, such as the devastation the Tehama Superior Court experienced. A loan would not be an appropriate remedy because this incident was not the result of the Court's inefficiencies, inadequate planning or poor fiduciary practices but an unforeseen act of sabotage.

**E. The most recent audit findings of fiscal issues and the remediation measures taken to address them.**

(Tab G)

# APPLICATION FOR SUPPLEMENTAL FUNDING FORM

## Superior Court of California, County of Tehama

Amendment I: Section II: Trial Court Operations and Access to Justice, Item: D

Fiscal Year	Filings	Dispositions
*FY 14/15	26,222	15,036
FY 13/14	20,870	11,883
FY 12/13	18,284	11,867
FY 11/12	19,796	14,066
FY 10/11	20,795	15,446

\* The data reported is up through March 2015. Unfortunately, the data deletion that occurred on July 3, 2015, has hindered the Court's ability to enter information from April 2015, forward. The Court is striving to submit this information within the next 120 days.



**52 Tehama, Superior Court of  
Consolidated Fund Condition Report**

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	Estimated FY 2015	Estimated FY 2016
<b>Beginning Fund Balance</b>	\$ -1,769,707.79	\$ -1,300,059.75	\$ -2,104,370.64	\$ -846,574.49	\$ -455,025.63	\$ -739,654.5	129,397
Trial Court Revenue Sources	\$ -4,173,298.99	\$ -4,330,332.39	\$ -2,396,188.21	\$ -3,368,716.28	\$ -3,542,393.72		
Trial Court Reimbursements	\$ -487,593.28	\$ -492,026.35	\$ -448,637.31	\$ -620,300.14	\$ -1,241,614.15		
Prior Year Revenue	\$ -4,489.00				\$ -1,092.47		
<b>Revenue Total</b>	\$ -4,665,381.27	\$ -4,822,358.74	\$ -2,844,825.52	\$ -3,989,016.42	\$ -4,785,100.34	\$ -4,988,260	\$ -5,014,776
Personal Services	\$ 3,506,198.21	\$ 3,178,896.44	\$ 3,168,966.15	\$ 3,264,231.52	\$ 3,189,990.61	\$ 3,841,565	\$ 3,983,643
Operating Expenses and Equipment	\$ 1,621,624.07	\$ 837,365.55	\$ 925,413.07	\$ 1,112,170.42	\$ 1,302,843.98	\$ 2,015,747	\$ 1,575,756
Special Items of Expense	\$ 7,207.03	\$ 4,920.04	\$ 4,566.28	\$ 4,163.44	\$ 2,956.46		
Internal Cost Recovery	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		
Prior Year Expense Adjustments		\$ -3,134.18	\$ 3,676.17	\$ -0.10	\$ 4,680.41		
<b>Expense Total</b>	\$ 5,135,029.31	\$ 4,018,047.85	\$ 4,102,621.67	\$ 4,380,565.28	\$ 4,500,471.46	\$ 5,857,312	\$ 5,559,399
Operating Transfers In	\$ -75,225.21	\$ -72,587.31	\$ -69,236.06	\$ -543,754.96	\$ -18,318.01		
Operating Transfers Out	\$ 75,225.21	\$ 72,587.31	\$ 69,236.06	\$ 543,754.96	\$ 18,318.01		
<b>Other Financial Sources Total</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		
<b>Ending Fund Balance</b>	\$ -1,300,059.75	\$ -2,104,370.64	\$ -846,574.49	\$ -455,025.63	\$ -739,654.51	129,397	674,021

# Amendment IV: Budget to Actuals

## Budget to Actual

Last Data Update:

11/02/2015 01:17:52

## Static Filters

Funds Center TEHAMA COURT  
 REVENUE; EXPENSES; OTHER  
 FINANCIAL SOUR  
 Commitment item Z1  
 Fiscal Year Variant California Trial Courts  
 FM area

## Dynamic Filters

Fiscal year 2015  
 Business area 52 Tehama  
 Funds Center 520000 - 529999

## Variables

Budget Version 0  
 Period To 13  
 Funds Center Hierarchy TEHAMA COURT  
 Posting period(Fixed at Period #

List of Exceptions  
 No exceptions defined

List of Conditions  
 No conditions are defined

Commitment item	Original Budget	Budget Revisions	Budget Transfers	Current Budget	Actuals	Funds Reservations	Encumbrances	Total Activity	Balance	% Used
701100	-103,387			-103,387					\$ -103,387	
701200	103,387			103,387					103,387	
812110	-3,380,028			-3,380,028	-2,124,547			-2,124,547	-1,255,481	63
812140	-2,800			-2,800	-105			-105	-2,695	4





925106	LEASED LINES	12,000				12,000	1,984			1,984	10,016	17
925118	TELECOM SERVICE	30,000				30,000	7,781		250	8,031	21,969	27
926099	POSTAGE	24,000				24,000					24,000	
926102	EXPRESS DELIVERY	2,000				2,000	549			549	1,451	27
926302	POSTAGE METER SPLY	1,200				1,200	141			141	1,059	12
926399	POSTAGE METER	5,500				5,500	2,396			2,396	3,104	44
928801	INSURANCE	4,200				4,200	988			988	3,212	24
929201	IN-STATE TRAVEL EXP	10,000				10,000	2,016			2,016	7,984	20
929205	PER-DIEM - JUDICIAL	2,000				2,000					2,000	
933102	TUITION REIMBRSMNT	3,000				3,000					3,000	
933103	REGIST FEES-TRAINING	2,000				2,000	800			800	1,200	40
935202	RENT/LEASE NON STATE	7,200				7,200	2,460		3,075	5,535	1,665	77
935203	STORAGE	5,300				5,300	432			432	4,868	8
935301	JANITORIAL SERVICES	22,740				22,740	5,685		17,055	22,740	0	100
935303	JANITORIAL SUPPLIES	500				500	19		0	19	481	4
935408	HARDWARE ITEMS	250				250	146			146	104	58
938199	CONTRACTED SERVICES	437,590				437,590	22,642		15,802	38,444	399,146	9
938404	ADMINISTRATIVE SVC	7,000				7,000	999			999	6,001	14
938502	COURT INT - TRAVEL	14,500				14,500	1,502			1,502	12,998	10
938503	COURT INT - REGISTRD	3,500				3,500					3,500	
938504	COURT INT - CERT	8,700				8,700	1,299			1,299	7,401	15
938505	COURT INT - NONREG	500				500	19			19	481	4
938506	COURT INT - NONCERT	1,000				1,000					1,000	
938507	COURT INT - ASL	500				500	282			282	218	56
938601	COURT REPORTERS	48,000				48,000	8,556			8,556	39,444	18
938605	COURT RPTR - MILEAGE	8,700				8,700	1,749			1,749	6,951	20
938701	COURT TRANSCRIPTS	34,000				34,000	4,143			4,143	29,857	12
938801	DEPEND COUNSEL-CHILD	81,930				81,930	16,205		15,177	31,382	50,548	38
938802	DEPEND COUNSEL-PARNT	81,930				81,930	16,205		15,177	31,382	50,548	38
938905	FINGERPRINT PRCSNG	500				500	226			226	274	45
939002	PSYCH EVALUATIONS	42,000				42,000	23,431			23,431	18,569	56
939003	CRT-ORD PRO SVC	500				500					500	
939101	MEDIATORS/ARBITRATOR	54,766				54,766	40,195		14,571	54,766	0	100
941101	SHERIFF-REIMB-AB2030	700				700	195			195	505	28
941199	SHERIFF	300				300	180			180	120	60
942301	NTY - FISCAL SERV	10,000				10,000	2,545			2,545	7,455	25
942501	NTY - H/R SERV	20,000				20,000	4,934			4,934	15,066	25
943201	IT MAINTENANCE	80,000				80,000	69,355			69,355	10,645	87

943301	IT COMMERCIAL CONTR	571,170				236,933	292,238	529,171	41,999	93
943599	IT REPAIRS/SUPPLIC	93,805			1,462			1,462	92,343	2
945204	WEAPON SCREEN EQUIP	40,500							40,500	
945205	MAJOR EQUIP-VEHICLE				23,449		0	23,449	-23,449	X
952401	FUEL FOR VEHICLES	1,000			38			38	962	4
952404	WASHING	200							200	
952599	CASHIER SHORTAGES	200							200	
965101	JURORS - FEES	2,500			615			615	1,885	25
965102	JURORS - MILEAGE	500			179			179	321	36
992001	DEPT INDIRECT ALLOC	0			0			0	0	X
	Overall Result	910,608			-783,828		406,112	-377,716	1,288,324	-41

**Amendment V: 2% Automation**

Description	Amount/Estimated Amount
Balance	\$89,271.00
Dell P2314H Black 23" Monitors	-\$13,262.00
Dell Optiplex 9020 Desktops	-\$29,925.80
Dell Inspiron 23" All In One Computer	-\$1,328.99
Dell Mono Multifunction Printer - B2375DFW	-\$10,844.70
Dell Mono Printer - B3460DN	-\$7,199.26
	\$26,710.25

The remaining balance of the 2% Automation will be used for Court Calendar Display Boards at the new courthouse. These costs are not covered in the construction budget.

<http://www.infax.com/website/solutions-judicial-docketcall.html>

## Fund Condition Statement

	General - TCTF	General - Non-TCTF	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Project	Debt Service	Proprietary	Total
<b>Financing Sources</b>									
Beginning Balance	621,906	35,511	657,417	82,237	-	-	-	-	739,655
<b>Current Year Financing Sources</b>									
Revenue	3,703,952	5,500	3,709,452	184,900	-	-	-	-	3,894,352
Reimbursements	572,657	-	572,657	-	521,251	-	-	-	1,093,908
Interfund Transfers	(21,363)	(41,012)	(62,375)	-	62,375	-	-	-	-
Prior Year Revenue Adjustment	-	-	-	-	-	-	-	-	-
<b>Total Current Year Financing Sources</b>	<b>4,255,246</b>	<b>(35,512)</b>	<b>4,219,734</b>	<b>184,900</b>	<b>583,626</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,988,260</b>
<b>Total Financing Sources</b>	<b>4,877,152</b>	<b>(1)</b>	<b>4,877,151</b>	<b>267,137</b>	<b>583,626</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5,727,915</b>
<b>Expenditures</b>									
Personal Services	3,625,791	-	3,625,791	131,900	168,878	-	-	-	3,926,569
Operating Expenses & Equipment	1,583,805	-	1,583,805	-	385,494	-	-	-	1,969,299
Special Items of Expense	3,000	-	3,000	-	-	-	-	-	3,000
Capital Costs	-	-	-	-	-	-	-	-	-
Internal Cost Recovery	(54,254)	-	(54,254)	25,000	29,254	-	-	-	-
Prior Year Expense Adjustments	-	-	-	-	-	-	-	-	-
<b>Total Expenditures</b>	<b>5,158,342</b>	<b>-</b>	<b>5,158,342</b>	<b>156,900</b>	<b>583,626</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5,898,868</b>
<b>Fund Balance</b>	<b>(281,190)</b>	<b>(1)</b>	<b>(281,191)</b>	<b>110,237</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(170,953)</b>
<b>Fund Balance Classifications</b>									
Nonspendable	-	-	-	-	-	-	-	-	-
Restricted	-	-	-	110,237	-	-	-	-	110,237
Committed	-	-	-	-	-	-	-	-	-
Assigned	-	-	-	-	-	-	-	-	-
Unassigned	(281,190)	(1)	(281,191)	0	-	-	-	-	(281,190)
<b>Total Fund Balance</b>	<b>(281,190)</b>	<b>(1)</b>	<b>(281,191)</b>	<b>110,237</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(170,953)</b>
Changes from original submittal									
Addtl Salary Savings vacant positios 10/1/15 - 12/1/15			65,000						65,000
Rebudget Court Vehicle Encumbrance (missed originally)			(23,449)						(23,449)
									-
									-
<b>New projected Fund Balance at 6/30/16</b>			(239,640)	110,237	-	-	-	-	(129,402)

NOTE : All of 2% Automation monies (\$110,237) will be used for items not covered in new courthouse in the 16-17 budget year.