



JUDICIAL COUNCIL
OF CALIFORNIA

TRIAL COURT BUDGET
ADVISORY COMMITTEE

TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

MATERIALS APRIL 20, 2018

Meeting Contents

Agenda	1
Minutes	
Draft Minutes from the April 5, 2018 Meeting.....	3
Discussion and Possible Action Items	
Item 1 – Trial Court Trust Fund (TCTF) Funds Held on Behalf of the Trial Courts Requests (Action Item).....	5
Attachment A: Summary of <i>New</i> Requests	7
Attachment B: Application—Request for Placer Superior Court (New)	8
Attachment C: Application—Request for Yuba Superior Court (New)	11
Attachment D: Application—Request for San Mateo Superior Court (New)	12
Attachment E: Summary of <i>Amended</i> Requests	19
Attachment F: Application—Request for Alameda Superior Court (Amended)	20
Attachment G: Application—Request for Glenn Superior Court (Amended)	23
Attachment H: <i>Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Funds Balance Held on Behalf of the Courts</i>	27



JUDICIAL COUNCIL OF CALIFORNIA

TRIAL COURT BUDGET
ADVISORY COMMITTEE

www.courts.ca.gov/tcbac.htm
tcbac@jud.ca.gov

Request for ADA accommodations
should be made at least three business
days before the meeting and directed to:
JCCAccessCoordinator@jud.ca.gov

TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

NOTICE AND AGENDA OF OPEN MEETING

Open to the Public (Cal. Rules of Court, rule 10.75(c)(1) and (e)(1))

THIS MEETING IS BEING CONDUCTED BY ELECTRONIC MEANS

THIS MEETING IS BEING RECORDED

Date: April 20, 2018
Time: 12:00 p.m. - 1:00 p.m.
Public Call-in Number: 1-877-820-7831, Pass Code: 1884843 (listen only)

Meeting materials will be posted on the advisory body web page on the California Courts website at least three business days before the meeting.

Members of the public seeking to make an audio recording of the meeting must submit a written request at least two business days before the meeting. Requests can be e-mailed to tcbac@jud.ca.gov.

Agenda items are numbered for identification purposes only and will not necessarily be considered in the indicated order.

I. OPEN MEETING (CAL. RULES OF COURT, RULE 10.75(C)(1))

Call to Order and Roll Call

Approval of Minutes

Approve minutes of the April 5, 2018, Fiscal Planning Subcommittee meeting.

II. PUBLIC COMMENT (CAL. RULES OF COURT, RULE 10.75(K)(1))

This meeting will be conducted by electronic means with a listen only conference line available for the public. As such, the public may submit comments for this meeting only in writing. In accordance with California Rules of Court, rule 10.75(k)(1), written comments pertaining to any agenda item of a regularly noticed open meeting can be submitted up to one complete business day before the meeting. For this specific meeting, comments should be e-mailed to tcbac@jud.ca.gov or mailed or delivered to Judicial Council of California, 2850 Gateway Oaks Drive, Sacramento, CA 95833, attention: Mr. Catrayel Wood. Only written comments received by 12:00 p.m. on April 19, 2018 will be provided to advisory body members prior to the start of the meeting.

III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEM 1)

Item 1

Trial Court Trust Fund (TCTF) Funds Held on Behalf of the Trial Courts Requests (Action Item)

Consideration of whether to recommend that the Judicial Council approve TCTF funds to be held on behalf of the trial courts in response to three new requests and two amended requests from a total of five trial courts.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin, Chair, Fiscal Planning Subcommittee; Mr. Catrayel Wood, Senior Budget Analyst, Judicial Council Budget Services

IV. INFORMATION ONLY ITEMS (NO ACTION REQUIRED)

None

V. ADJOURNMENT

Adjourn



JUDICIAL COUNCIL
OF CALIFORNIA

TRIAL COURT BUDGET
ADVISORY COMMITTEE

www.courts.ca.gov/tcbac.htm
tcbac@jud.ca.gov

TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

MINUTES OF OPEN MEETING

April 5, 2018

2:00 p.m. – 3:00 p.m.

Call in Number: 1-877-820-7831, Pass Code: 1884843 (listen only)

Advisory Body Members Present: Judges: Hon. Jonathan B. Conklin (Chair) and Hon. Charles Margines.
Executive Officers: Mr. Chad Finke, Ms. Kimberly Flener, Mr. Kevin Harrigan, Mr. Michael D. Planet, Ms. Linda Romero-Soles, Mr. Brian Taylor, and Mr. David Yamasaki.

Advisory Body Members Absent: None

Others Present: Ms. Brandy Sanborn, Ms. Michele Allan, Ms. Suzanne Blihovde, and Mr. Catrayel Wood.

OPEN MEETING

Call to Order and Roll Call

The chair called the meeting to order at 2:00 p.m. and roll was called.

Approval of Minutes

The advisory body reviewed and approved the minutes of the December 4, 2017 Fiscal Planning Subcommittee meeting.

DISCUSSION AND ACTION ITEMS (ITEM 1)

Item 1 – Trial Court Trust Fund (TCTF) Funds Held on Behalf of the Trial Courts Requests (Action Item)

Consideration of whether to recommend that the Judicial Council approve TCTF funds to be held on behalf of the trial courts in response to six amended requests from six trial courts.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin, Chair, Fiscal Planning Subcommittee;
Ms. Suzanne Blihovde, Senior Budget Analyst, Judicial Council Budget Services

Action: The Fiscal Planning Subcommittee approved six amended TCTF Funds Held on Behalf requests in a vote as follows:

- Yes: 8

- *No: 0*
- *Abstain: 1*

ADJOURNMENT

There being no further business, the meeting was adjourned at 2:05 p.m.

Approved by the advisory body on enter date.

DRAFT

JUDICIAL COUNCIL OF CALIFORNIA
BUDGET SERVICES
Trial Court Budget Advisory Committee
Report to the Fiscal Planning Subcommittee

(Item 1)

Title: Trial Court Trust Fund (TCTF) Funds Held on Behalf of the Trial Courts Requests

Date: 4/20/2018

Contact: Catrayel Wood, Senior Budget Analyst, Judicial Council Budget Services
916-643-7008 | catrayel.wood@jud.ca.gov

Issue

Consideration of whether to recommend that the Judicial Council approve TCTF funds to be held on behalf of the trial courts in response to the three new requests and two amended requests from a total of five trial courts.

Background

At the Judicial Council’s April 15, 2016 business meeting, the council approved the Trial Court Budget Advisory Committee (TCBAC) recommended process, criteria, and required information for trial courts to request TCTF reduced allocations, related to the 1% fund balance cap, be retained in the TCTF as restricted fund balance for the benefit of those courts (Attachment H).

Categories or activities for which funds can be requested to be held include, but are not limited to:

- Projects that extend beyond the original planned three-year process such as delayed deployment of information systems;
- Technology improvements or infrastructure such as a new case management system;
- Facilities maintenance or repair allowed under rule 10.810 of the California Rule of Court;
- Court efficiencies such as online and smart forms for court users; and
- Other court infrastructure projects such as vehicle replacement or copy machine replacement.

TCTF Funds Held on Behalf Requests

The TCTF funds held on behalf of the trial courts process requires that courts submit their requests at least 40 business days before the Judicial Council business meeting. Five courts have submitted requests within this time frame to be considered for the Judicial Council’s May 24, 2018 business meeting.

Attachment A summarizes the new TCTF funds held on behalf requests totaling \$301,759; Attachment E summarizes the amended requests totaling \$742,693, a reduction of \$145,510 from

JUDICIAL COUNCIL OF CALIFORNIA
BUDGET SERVICES
Trial Court Budget Advisory Committee
Report to the Fiscal Planning Subcommittee

the previously approved total for these two courts of \$888,203. Greater detail on each courts' request is provided in the attachments listed below.

Attachments


- Attachment A:** Summary of Requests for TCTF Funds to be Held on Behalf of the Court (New Requests)
- Attachment B:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Placer County (New Request)
- Attachment C:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Yuba County (New Request)
- Attachment D:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of San Mateo County (New Request)
- Attachment E:** Summary of Requests for TCTF Funds to be Held on Behalf of the Court (Amended Request)
- Attachment F:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Alameda County (Amended Request)
- Attachment G:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Glenn County (Amended Request)
- Attachment H:** *Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Funds Balance Held on Behalf of the Courts*

Summary of Requests for Trial Court Trust Fund Funds to be Held on Behalf of the Court (New Requests)

Table 1: New Requests for May 24, 2018 Judicial Council Meeting

Court	Request Number	Amount Requested	2017-18	2018-19+	Category	High Level Summary
Placer	31-18-01	50,350		50,350	CMS project	Replace an aged case management system
Yuba	58-18-01	1,409		1,409	CMS project	Replace an aged case management system
San Mateo	41-18-01	250,000	250,000		Building repairs	Repair and/or replace up to approximately 230,000 square feet of worn and damaged 30-year-old flooring and carpeting
		301,759	250,000	51,759		
			301,759			

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input checked="" type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: Placer		PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> <i>Joseph J. [Signature] Acting CEO</i>
		CONTACT PERSON AND CONTACT INFO: Julie Kelly
DATE OF SUBMISSION: 3/28/2018	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 15/16 & FY 18/19	REQUESTED AMOUNT: \$50,350.00
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i> <p>The court requests the total amount of \$50,350 be held by the Judicial Council for an overage of the 1% fund balance from FY15/16 for our CMS project in which the final completion will be delayed beyond the three year encumbrance term: In FY15/16 the court encumbered \$50,350 for costs related to the development and installation of a new case management system for the court. This project has been delayed beyond the 3 year encumbrance period. The court requests \$50,350 be held on behalf of the court with expenditure expected to be made during FY18/19.</p>		
SECTION II: AMENDED REQUEST CHANGES		
<p>A. Identify sections and answers amended.</p> <p>B. Provide a summary of the changes to the request.</p>		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
<p>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</p> <p>The court continued its effort to replace an aged case management system. The court has completed deployment for the traffic case type, June 2014, achieved implementation for the criminal case type in May 2016 and deployed civil case type in August 2017. As of the end of FY17/18, the family law and juvenile case types may still remain to be deployed. Deployment activities for the remaining case types are expected to begin in May 2017, but could be delayed until the beginning of FY 18/19.</p>		

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

The new case management system provides the public and justice partners with a public portal or website to access case related information such as documents, court dates, and payment information. The new system will also include automated workflows, automatic generation of documents, time standard expiration which will result in staff operational efficiencies. The new system will also enable the capture and use of a fully electronic case record, including e-filing, significantly reducing staff time and improving access to the court system.

C. If a cost efficiency, please provide cost comparison (table template provided).

As a result of the recession earlier this decade, the court has reduced from 186 filled positions to roughly 110 positions. Efficiencies gained from the new system are expected to support the remaining staff's ability to timely process incoming work and more effectively meet the needs of the public.

D. Describe the consequences to the court's operations if the court request is not approved.

Deployment of future case types may be significantly delayed or cancelled. The court will need to run two case management systems leading to additional costs for licenses and maintenance.

E. Describe the consequences to the public and access to justice if the court request is not approved.

The current case management system will not allow for e-filing nor a public website for public and justice partner access to case related information. The system is built on three-decade old programming language that also severely limits or precludes electronic integration with local and state justice partners.

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

The court has not identified any alternatives. The court plans on completing the projects and liquidating the encumbrances within the next two fiscal years, so it is the court's preference that these funds be held in the TCTF to avoid further delay in improving court efficiency and public access

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*):

A. Three-year history of year-end fund balances, revenues, and expenditures
N/A

B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf
N/A

C. Identification of all costs, by category and amount, needed to fully implement the project
N/A

D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year
N/A

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

 NEW REQUEST (Complete Section I, III, and IV only.) **AMENDED REQUEST** (Complete Sections I through IV.)**SECTION I: GENERAL INFORMATION****SUPERIOR COURT:**~~Click here to enter court~~ Yuba**PERSON AUTHORIZING REQUEST** (Presiding Judge or Court Executive Officer):Bonnie Sloan CEO **CONTACT PERSON AND CONTACT INFO:**Steven Lewis CFO (530) 740-1630**DATE OF SUBMISSION:**

Click here to enter a date.

3/29/2018**TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:** FY 15/16-FY18/19**REQUESTED AMOUNT:**\$1,409.00**REASON FOR REQUEST** (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):

In FY 15/16 the Court entered an agreement with Tyler Technologies and the Superior Court of California County of Sutter for the deployment of Odyssey Clerk's Edition. Yuba Superior Court and Sutter Superior Court agreed to deploy Clerk's Edition at the same time in order to garner certain cost savings. The timeline for deployment of Clerk's Edition has changed several times since the Courts went live on the Odyssey CMS.


SECTION II: AMENDED REQUEST CHANGES FOR**A. Identify sections and answers amended.****B. Provide a summary of the changes to the request.****SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE****A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.**

Yuba and Sutter Superior Courts intended to deploy Clerk's Edition in FY 17/18. Nevertheless, Tyler Technologies cannot provide a team to deploy Clerk's Edition until July 2018, FY 18/19.

The total cost to Yuba Superior for Clerk's Edition is \$33,000 and the expense was budgeted and encumbered in FY15/16. The encumbrance will lapse in on July 1, 2018. Yuba Superior has open 1% cap totaling \$31,591.00 for FY 15/16. The Court faces an allocation reduction of \$1,409.00 if this application is not approved.

In short, these funds do not fit into the Court's operational budget process for FY 15/16 because our open cap is \$31,591 and the expenditure is \$33,000. The expenditure did not fall within the three year encumbrance term because of the unpredictability of deploying new case management systems.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input checked="" type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: San Mateo	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Rodina Catalano, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Steven Chang, 650-261-5046, stevenchang@sanmateocourt.org	
DATE OF SUBMISSION: 3/27/2018	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JULY 2018 TO JUNE 2024	REQUESTED AMOUNT: The total amount of fund balance that exceeds the 1% cap in fiscal years 2016-17 and 2017-2018, estimated to be about \$250,000.
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i>		
<p>The Court would like to accumulate savings in the most fiscally prudent and operationally sound manner that will allow it to repair and/or replace up to approximately 230,000 square feet of worn and damaged 30-year-old flooring and carpeting, which pose increasing health and safety risks, throughout the Court's Hall of Justice facility in Redwood City. In addition, when carpet or flooring is replaced, the Court will be replacing/relocating loose wiring to accommodate the increased use of computer equipment in the courtroom, as the Court transitions to paperless, electronic processes. Given the need to temporarily move/relocate a large number of staff, judicial officers and furniture, and in order to minimize or prevent significant disruptions to Court operations, both in the courtrooms and various Court divisions, the project must be done in phases. Therefore, we anticipate that the project could take as long as six years to complete from start to finish.</p>		
SECTION II: AMENDED REQUEST CHANGES		
<p style="text-align: center;">Identify sections and answers amended.</p> <p>A. Provide a summary of the changes to the request.</p>		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
<p>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</p> <p>Given logistical, financial, and operational constraints, the entire project could take up to six years to complete. In 2017-18, the only way the Court could have accumulated fund balance that amounted to the total estimated cost of the project would have been to, unnecessarily, cut back on other critical operating costs. Accumulating savings across multiple fiscal years allows the Court to avoid harmful and unnecessary budgetary reductions.</p>		

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**

By replacing old and worn out flooring and carpeting, the Court will improve the environment, by making it safer and healthier, for the public in general, including jurors and litigants, court staff, and judicial officers. As noted above, the Court is also replacing/relocating loose wiring to better accommodate current and future equipment needs and to eliminate tripping hazards resulting from the increased use of computer equipment in the courtroom and the staff offices.

C. If a cost efficiency, please provide cost comparison (table template provided).**D. Describe the consequences to the court's operations if the court request is not approved.**

The Court might have to postpone replacing or repairing any other flooring or carpeting for the foreseeable future or make significant cuts in other needed operating costs, unless discretionary funding dramatically increases. The health and safety risks to the public, judicial officers, and court staff will increase due to continued damage and wear to carpeting and flooring.

E. Describe the consequences to the public and access to justice if the court request is not approved.

The 30-year-old flooring is deteriorating rapidly, which has led to health and tripping hazards throughout the facility. Electrical upgrades are necessary to support the increased technological needs of the Court and its justice partners. Currently power and data cords are temporarily installed and exposed across the floor, creating uneven surfaces, and other hazards, which puts the public, court staff, and judicial officers at a higher risk of injury from tripping and falling in the courtrooms. The Court could be at risk of litigation due to these unsafe, unsightly, and unsanitary conditions. These conditions undermine the dignity of the Court as well.

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

If the request is not approved, the Court will either postpone replacing or repairing the much needed flooring for the foreseeable future or implement it sooner, but in a way that would be financially and operationally riskier than if monies were held in reserve within the TCTF. Holding reserve funds in the TCTF affords the Court greater latitude in implementing a logistically and operationally challenging multi-year project.

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*): see attached templates

A. Three-year history of year-end fund balances, revenues, and expenditures**B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf****C. Identification of all costs, by category and amount, needed to fully implement the project****D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year**

Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2014-15	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	2,774,656	1,980,187						4,754,843
Revenues	38,724,146	1,118,676	787,639					40,630,461
Expenditures	38,767,339	1,646,986	929,811					41,344,136
Operating Transfers In (Out)	(181,591)	39,419	142,172					-
Ending Fund Balance	2,549,872	1,491,296	-	-	-	-	-	4,041,168

FY 2015-16	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	2,549,872	1,491,296						4,041,168
Revenues	40,471,299	989,482	1,024,440					42,485,221
Expenditures	42,018,078	1,259,364	1,158,236					44,435,678
Operating Transfers In (Out)	(244,194)	110,399	133,796					1
Ending Fund Balance	758,899	1,331,813	-	-	-	-	-	2,090,712

FY 2016-17	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	758,899	1,331,813						2,090,712
Revenues	41,076,050	909,295	974,471					42,959,816
Expenditures	39,940,964	939,620	1,110,183					41,990,767
Operating Transfers In (Out)	(435,648)	299,936	135,712					-
Ending Fund Balance	1,458,338	1,601,423	-	-	-	-	-	3,059,761

Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the cc

	FY 2016-17		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
REVENUES									
State Financing Sources								-	
Grants								-	
Other Financing Sources								-	
TOTAL REVENUES	-	-	-	-	-	-	-	-	
EXPENDITURES									
Salaries								-	
Staff Benefits								-	
General Expense								-	
Printing								-	
Telecommunications								-	
Postage								-	
Insurance								-	
Travel in State								-	
Travel Out of State								-	
Training								-	
Security								-	
Facilities Operations								-	
Utilities								-	
Contracted Services								-	
Consulting and Professional Services - County Provided								-	
Information Technology (IT)								-	
Major Equipment								-	
Other Items of Expense								-	
Juror Costs								-	
Other								-	
Debt Service								-	
Court Construction								-	
Distributed Administration & Allocation								-	
Prior Year Expense Adjustment								-	
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-	
Operating Transfers In (Out)								-	
Fund Balance (Deficit)									
Beginning Balance (Deficit)	1,458,338	1,601,423						3,059,761	
Ending Balance (Deficit)	1,458,338	1,601,423	-	-	-	-	-	3,059,761	

Current detailed budget projection on court's behalf

	FY 2017-18		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	40,048,471	1,418,409						41,466,880
Grants			1,731,024					1,731,024
Other Financing Sources								-
TOTAL REVENUES	40,048,471	1,418,409	1,731,024	-	-	-	-	43,197,904
EXPENDITURES								
Salaries	22,620,252	725,843	749,970					24,096,065
Staff Benefits	11,698,206	161,924	391,512					12,251,642
General Expense	741,737		8,928					750,665
Printing	80,080							80,080
Telecommunications	568,850							568,850
Postage	202,630							202,630
Insurance	8,830							8,830
Travel in State	56,640		13,768					70,408
Travel Out of State								-
Training	25,280							25,280
Security	448,277							448,277
Facilities Operations	80,316							80,316
Utilities								-
Contracted Services	1,369,856	392,813	561,846					2,324,515
Consulting and Professional Services - County Provided	658,436	140,800						799,236
Information Technology (IT)	1,143,242	607,041	5,000					1,755,283
Major Equipment	282,520							282,520
Other Items of Expense	9,280							9,280
Juror Costs	320,670							320,670
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	40,315,102	2,028,421	1,731,024	-	-	-	-	44,074,547
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,458,338	1,601,423	-	-	-	-	-	3,059,761
Ending Balance (Deficit)	1,191,707	991,411	-	-	-	-	-	2,183,118

Identification of all costs, by category and amount, needed to fully implement the project

Expenses Category		Amount
GL Account	Description	
900000	Salaries	
910000	Staff Benefits	
920001	General Expense	
924000	Printing	
925000	Telecommunications	
926000	Postage	
928000	Insurance	
929000	Travel in State	
931000	Travel Out of State	
933000	Training	
934000	Security	
935000	Facilities Operations	
936000	Utilities	
938000	Contracted Services	2,000,000
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	
945000	Major Equipment	
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
Total		2,000,000

A specific funding and expenditure schedule identifying the amounts related to the proposal to be contributed and expended, by fiscal year


Description	FY 2017-18 ▼	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	FY 2021-22 ▼	FY 2022-23 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	250,000	250,000	150,000	50,000	50,000	50,000			800,000
Expenditures		200,000	250,000	150,000	100,000	100,000			800,000
Cumulative Balance	250,000	300,000	200,000	100,000	50,000	-	-	-	1,600,000

Summary of Requests for Trial Court Trust Fund Funds to be Held on Behalf of the Court (Amended Requests)

Table 2: Amended Requests for May 24, 2018 Judicial Council Meeting

Court	Request Number	Last Approved Amount	Does Request Change \$\$ Amount?	If Yes - \$\$ Change +/-	Last Approved Expenditures by Fiscal Year		Amended Expenditures by Fiscal Year		Category	High-Level Summary
					2017-18	2018-19 +	2017-18	2018-19 +		
Alameda	01-18-01-A2	859,203	Yes	(145,510)	859,203		-	713,693	Contract dispute	Pending litigation and the financial obligation to the Court remains unresolved at this time
Glenn	11-18-01-A2	29,000	No	-	29,000		-	29,000	Contract extension	Delayed implementation of "The NorCal Project"
		888,203		(145,510)	888,203	-	-	742,693		
					888,203			742,693		

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input checked="" type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: Alameda	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Chad Finke, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Melanie Jones, Finance Director 510-891-6038, mjones@alameda.courts.ca.gov	
DATE OF SUBMISSION: 3/29/2018	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JULY 1, 2018 – JUNE 30, 2019	REQUESTED AMOUNT: \$713,692.96
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i>		
<p>The Court entered into a contract with Tyler Technologies, Inc. (Tyler) to provide a new case management system for criminal, juvenile, civil, and family law case types. The original go-live date was December 2015; however project delays required an extension of the go-live date. Thus work will be extending beyond the three-year contract term. The planned work and related expenditures are expected to be completed have been completed.</p> <p>On September 28, 2016, the Court terminated our contract with Tyler for Phase II of Odyssey. Currently, the Court and Tyler are in litigation and we are unable to spend the funds in FY17-18. The Court is requesting that the funds be reserved until the pending litigation is finalized.</p>		
SECTION II: AMENDED REQUEST CHANGES		
A. Identify sections and answers amended.		
Section IIIA, revised.		
B. Provide a summary of the changes to the request.		
The Court terminated our contract with Tyler and the parties are in litigation. For this reason, the Court is unable to spend down the funds as anticipated in FY17-18, and we are requesting to have the funds held until the litigation is finalized.		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.		
<p>The funds set aside for Phase I of this project were encumbered in FY 2013-2014 and the work has extended beyond the original project completion date due to project delays. There is pending litigation and the financial obligation to the Court remains unresolved at this time.</p> <p>Our court balanced the budget this fiscal year by various court-wide cost savings measures, which include but are not limited to, elimination of employee positions and temporary staffing, hiring freeze, furlough, and cost reduction in discretionary expenses. While the budget outlook for FY18-19 seems promising, it is unknown at this time what the Court's budget will be.</p>		

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

Currently, there is a lack of consistency as there are different case management systems used for each case type. The current systems are outdated and will require significant investments to upgrade. Additionally, existing CMS products only store information rather than manage court and case information. The Odyssey case management system is a fully integrated case and financial management system; thus allowing staff the ability to manage complete case histories, process documents and handle cash/bond transactions, all the while benefitting from comprehensive security and auditing functions. Additionally, Odyssey has the capability to interface with justice partner systems. With Odyssey the Court will be able to:

- Manage all aspects of court administration.
- Locate case information and attach multiple file types.
- Create and view dockets in various ways.
- Generate forms, letters and a variety of reports with advanced tools.
- Calculate fees, fines and distribute payments automatically.
- Search data fast using many different criteria.

C. If a cost efficiency, please provide cost comparison (table template provided).

N/A

D. Describe the consequences to the court's operations if the court request is not approved.

The Court will have to reduce staffing and operating expenses which will result in reduction of services in order to make payment for Tyler.

E. Describe the consequences to the public and access to justice if the court request is not approved.

The Court may decide to hold positions vacant for an extended period time or abolish vacant positions altogether. If that happens, already understaffed public counters will be further compromised making wait times for the public longer. If courtroom staffing is unavailable it may mean longer times to get matters calendared. In both cases there will be a negative impact to the public, thus denying litigants' access to justice.

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

Holding the funds in the TCTF is the preferred alternative so that the Court can maintain the ability to fund budgeted costs during the fiscal year and maintain appropriate staffing levels to meet the needs of the public and ensure access to justice for court users within the county.

SECTION IV: FINANCIAL INFORMATION



Superior Court of California, County of Glenn

Cindia Martinez
Interim Court Executive Officer • Jury Commissioner

March 28, 2018

Director Martin Hoshino
Judicial Council of California
455 Golden Gate Avenue
San Francisco, CA 94102-3688

Dear Director Hoshino,

We respectfully submit for consideration Glenn Court's amended request to continue to hold TCTF funds on behalf of the court. Please see the attached application.

Our case management project continues to experience delays which has now pushed our go-live date into FY 18-19.

Please let us know if there are any questions.

Respectfully,

Cindia Martinez
Interim Court Executive Officer
Glenn Superior Court

cc: Honorable Presiding Judge Donald Byrd

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

- NEW REQUEST** (Complete Section I, III, and IV only.)
- AMENDED REQUEST** (Complete Sections I through IV.)

**SECTION I: GENERAL INFORMATION**

SUPERIOR COURT: Glenn	PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer): Hon. Donald Cole Byrd, Presiding Judge	
	CONTACT PERSON AND CONTACT INFO: Cindia Martinez, Interim CEO	
DATE OF SUBMISSION: 3/21/2018	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JUNE 30, 2018 TO FY 2018-2019	REQUESTED AMOUNT: \$ 29,000

REASON FOR REQUEST (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):

Glenn is a participant in the "NorCal Project" which was a group of seven trial courts that joined together to share efforts and achieve cost savings related to the Tyler/Odyssey Case Management System. Glenn Superior Court previously encumbered \$194,000 at the end of the 2013-2014 fiscal year at which time the expiration date associated with the encumbrance was June 30, 2016. Glenn Court then successfully utilized this process at the end of the 2015-2016 fiscal year when it asked that \$90,000.00 be held on its behalf to allow sufficient time for the new system to be implemented. There was additional progress in FY 2016-2017 however the body of work to complete for a successful go-live was vast, so the Court was successful in encumbering \$29,000 with the anticipation of a go-live date in FY 2017-2018. Glenn was unable to make enough progress in FY 2017-2018 to feel comfortable in a go-live date, assuring a successful conversion, due in part to lack of staff resources, change in CEO leadership and other court priorities, but we do anticipate setting a go-live date in early to mid FY 2018-2019, which should allow our vendor more time to improve the traffic module and other remaining issues, supporting a successful launch of all case types. We are therefore requesting that the \$29,000 remaining balance be held on its behalf into fiscal year 2018-2019. Upon approval of this application, the Court intends to utilize the previously set aside funds to pay the vendor for each remaining deliverable upon successful completion.

SECTION II: AMENDED REQUEST CHANGES

- A. Identify sections and answers amended.**
Section I and Section III, D, E and F have been amended.
- B. Provide a summary of the changes to the request.**
Glenn needs to amend the time period of expending the remaining \$29,000 of the project to FY 2018-2019 since the project will not be completed in FY 2017-2018.

- A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.

Ongoing maintenance and service of the software is within the court's annual operational budget. However, the burden of implementation costs are too large for our small court and far exceed the 1% cap on fund balance.

The three-year encumbrance term will be exceeded due to a variety of delays during the very difficult and complex implementation process. Further, Glenn Superior Court has been in the process of moving its entire operation to a temporary facility leading up to a major expansion and renovation project in the Willows Historic Courthouse. All of which is being completed with fewer staff on hand now than five years ago.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

Glenn's current case management system (Ciber) is well over 20 years old. Once operational, the new system will allow for e-filing, paper on demand, and improved interfaces with other government agencies and justice partners, among many other additional improved features when compared to the current system in use. Further, it will provide increased access to justice to the public by utilizing web-based access.

- C. If a cost efficiency, please provide cost comparison (table template provided). N/A

- D. Describe the consequences to the court's operations if the court request is not approved.

The Court is testing system functionality and developing business processes for the new system. Upon successful completion of this step, end-user training should commence just prior to go-live. If the request is not approved, the Glenn Superior Court would need to find a way to cut \$29k from its budget next year in order to pay for the remaining deliverables during a time of underfunding, or continue to delay this time-sensitive project. The Court receives approximately \$2 million dollars in Program 10 monies, \$29k is substantial to Glenn, approximately 1.5% of its annual TCTF allocation. As experienced in other courts the Odyssey Case Management System, while more robust and updated to provide improved electronic access, comes at a cost of additional staff to enter critical data, so reducing any staff would only further exacerbate caseload processing.

- E. Describe the consequences to the public and access to justice if the court request is not approved.

The cut referenced above in Section III. D. would be the equivalent to the loss of 0.5 to 1 FTE's to an already short staffed court where the doors are currently shut to the public at 3 p.m. each day. It could also further delay implementation of this system with reduced staffing, delaying improved access to justice for the public and other justice partners.

- F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

The mostly likely alternative would be to stall project implementation all together until funding was identified elsewhere and/or being forced to make more difficult choices on staffing levels and further reductions to public access hours. This has been a long project and the court is near completion and losing momentum at this time, could prove even more costly.

Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts

Process for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts

1. Trial Court Trust Fund fund balance will be held on behalf of trial courts only for expenditures or projects that cannot be funded by a court’s annual budget or three-year encumbrance term and that require multiyear savings to implement.
 - a. Categories or activities include, but are not limited to:
 - i) Projects that extend beyond the original planned three-year term process such as expenses related to the delayed opening of new facilities or delayed deployment of new information systems;
 - ii) Technology improvements or infrastructure such as installing a local data center, data center equipment replacement, case management system deployment, converting to a VoIP telephone system, desktop computer replacement, and replacement of backup emergency power systems;
 - iii) Facilities maintenance and repair allowed under rule 10.810 of the California Rules of Court such as flooring replacement and renovation as well as professional facilities maintenance equipment;
 - iv) Court efficiencies projects such as online and smart forms for court users and RFID systems for tracking case files; and
 - v) Other court infrastructure projects such as vehicle replacement and copy machine replacement.
2. The submission, review, and approval process is as follows:
 - a. All requests will be submitted to the Judicial Council for consideration.
 - b. Requests will be submitted to the Administrative Director by the court’s presiding judge or court executive officer.
 - c. The Administrative Director will forward the request to the Judicial Council director of Finance.
 - d. Finance budget staff will review the request, ask the court to provide any missing or incomplete information, draft a preliminary report, share the preliminary report with the court for its comments, revise as necessary, and issue the report to a formal review body consisting of members from the Trial Court Budget Advisory Committee (TCBAC); the TCBAC subgroup will meet to review the request, hear any presentation of the court representative, and ask questions of the representative if one participates on behalf of the court; and Finance office budget staff will issue a final report on behalf of the TCBAC subgroup for the council.
 - e. The final report to the TCBAC review subgroup and the Judicial Council will be provided to the requesting court before the report is made publicly available on the California Courts website.
 - f. The court may send a representative to the TCBAC review subgroup and Judicial Council meetings to present its request and respond to questions.

3. To be considered at a scheduled Judicial Council business meeting, requests must be submitted to the Administrative Director at least 40 business days (approximately eight weeks) before that business meeting.
4. The Judicial Council may consider including appropriate terms and conditions that courts must accept for the council to approve designating TCTF fund balance on the court's behalf.
 - a. Failure to comply with the terms and conditions would result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
5. Approved requests that courts subsequently determine need to be revised to reflect a change (1) in the amounts by year to be distributed to the court for the planned annual expenditures and/or encumbrances, (2) in the total amount of the planned expenditures, or (3) of more than 10 percent of the total request among the categories of expense will need to be amended and resubmitted following the submission, review, and approval process discussed in 1–3 above.
 - a. Denied revised requests will result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
6. Approved requests that courts subsequently determine have a change in purpose will need to be amended and resubmitted following the submission, review, and approval process discussed in 1–3 above, along with a request that the TCTF funds held on behalf of the court for the previously approved request continue to be held on behalf of the court for this new purpose.
 - a. Denied new requests tied to previously approved requests will result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
7. On completion of the project or planned expenditure, courts are required to report to the Trial Court Budget Advisory Committee within 90 days on the project or planned expenditure and how the funds were expended.
8. As part of the courts' audits in the scope of the normal audit cycle, a review of any funds that were held on behalf of the courts will be made to confirm that they were used for their stated approved purpose.

Criteria for Eligibility for TCTF Fund Balance Held on Behalf of the Courts

TCTF fund balance will be held on behalf of the trial courts only for expenditures or projects that cannot be funded by the court's annual budget or three-year encumbrance term and that require multiyear savings to implement.

Information Required to Be Provided by Trial Courts for TCTF Fund Balance Held on Behalf of the Courts

Below is the information required to be provided by trial courts on the *Application for TCTF Funds Held on Behalf of the Court*:

SECTION I

General Information

- Superior court
- Date of submission
- Person authorizing the request
- Contact person and contact information
- Time period covered by the request (includes contribution and expenditure)
- Requested amount
- A description providing a brief summary of the request

SECTION II

Amended Request Changes

- Sections and answers amended
- A summary of changes to request

SECTION III

Trial Court Operations and Access to Justice

- An explanation as to why the request does not fit within the court's annual operational budget process and the three-year encumbrance term
- A description of how the request will enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs
- If a cost efficiency, cost comparison (*table template provided*)
- A description of the consequences to the court's operations if the court request is not approved
- A description of the consequences to the public and access to justice if the court request is not approved
- The alternatives that the court has identified if the request is not approved, and the reason why holding funding in the TCTF is the preferred alternative

SECTION IV

Financial Information

- Three-year history of year-end fund balances, revenues, and expenditures (*table template provided*)
- Current detailed budget projections for the fiscal years during which the trial court would either be contributing to the TCTF fund balance held on the court's behalf or receiving distributions from the TCTF fund balance held on the court's behalf (*table template provided*)

- Identification of all costs, by category and amount, needed to fully implement the project (*table template provided*)
- A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year (*table template provided*)