



JUDICIAL COUNCIL  
OF CALIFORNIA

TRIAL COURT BUDGET  
ADVISORY COMMITTEE

TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

MATERIALS JUNE 4, 2018

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# JUDICIAL COUNCIL OF CALIFORNIA

TRIAL COURT BUDGET  
ADVISORY COMMITTEE

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## 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

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**Date:** June 4, 2018  
**Time:** 12:00 p.m. - 1:00 p.m.  
**Public Call-in Number:** 1-877-820-7831, Pass Code: 1884843 (listen only)

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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](mailto:tcbac@jud.ca.gov).

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

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

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##### **Call to Order and Roll Call**

##### **Approval of Minutes**

Approve minutes of the April 20, 2018 Fiscal Planning Subcommittee teleconference meeting.

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

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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](mailto: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 June 3, 2018 will be provided to advisory body members prior to the start of the meeting.

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**III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEM 1)**

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**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 four trial courts.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin, Chair, Fiscal Planning  
Subcommittee

Mr. Catrayel Wood, Senior Budget Analyst, Judicial Council  
Budget Services

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**IV. INFORMATION ONLY ITEMS (NO ACTION REQUIRED)**

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**None**

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**V. ADJOURNMENT**

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**Adjourn**



JUDICIAL COUNCIL  
OF CALIFORNIA

TRIAL COURT BUDGET  
ADVISORY COMMITTEE

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[tcbac@jud.ca.gov](mailto:tcbac@jud.ca.gov)

TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

MINUTES OF OPEN MEETING

April 20, 2018

12:00 p.m. – 1:00 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:**

**Others Present:** Ms. Brandy Sanborn, Ms. Michele Allan, Mr. Catrayel Wood, Mr. Jake Chatters, Mr. Steven Lewis, Mr. Steven Chang, and Ms. Cindia Martinez.

OPEN MEETING

**Call to Order and Roll Call**

The chair called the meeting to order at 12:02 p.m. and roll was called.

**Approval of Minutes**

The advisory body reviewed and approved the minutes of the April 5, 2018 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 three new requests from three trial courts and two amended requests from two trial courts.

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

*Action:*

- *The Fiscal Planning Subcommittee unanimously approved three new Funds Held on Behalf requests.*
- *The Fiscal Planning Subcommittee unanimously approved one amended Funds Held on Behalf request.*
- *The Fiscal Planning Subcommittee approved one amended Funds Held on Behalf request in a vote as follows:*
  - *Yes: 8*
  - *No: 0*
  - *Abstain: 1*

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**ADJOURNMENT**

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There being no further business, the meeting was adjourned at 12:12 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:** 5/25/2018

**Contact:** Catrayel Wood, Senior Budget Analyst, Judicial Council Budget Services  
916-643-7008 | [catrayel.wood@jud.ca.gov](mailto:catrayel.wood@jud.ca.gov)

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**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 four 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. Four courts have submitted requests within this time frame to be considered for the Judicial Council’s July 19-20, 2018 business meeting.

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

Attachment A summarizes the new TCTF funds held on behalf requests totaling \$862,192; Attachment E summarizes the amended requests totaling \$797,378. 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 Alameda County (New Request)
- Attachment C:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Butte County (New Request)
- Attachment D:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Sutter 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 Butte County (Amended Request)
- Attachment G:** Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Kern 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 July 19 - 20, 2018 Judicial Council Meeting**

Court	Request Number	Amount Requested	2017-18	2018-19+	Category	High Level Summary
Alameda	01-18-01-A3	800,000		800,000	Upgrade	Upgrade the Court's Human Resources information system
Butte	04-18-01-00	53,151		53,151	Upgrade	Replace an aged calendaring system
Sutter	51-18-01-00	9,041		9,041	Facility improvements	Facility improvements
		<b>862,192</b>	-	<b>862,192</b>		
				<b>862,192</b>		

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:  <input checked="" type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> Alameda	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Chad Finke, Court Executive Officer	
	<b>CONTACT PERSON AND CONTACT INFO:</b> Melanie Jones, Finance Director 510-891-6038, <a href="mailto:mjones@alameda.courts.ca.gov">mjones@alameda.courts.ca.gov</a>	
<b>DATE OF SUBMISSION:</b> 5/22/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> JULY 1, 2018 – JUNE 30, 2020	<b>REQUESTED AMOUNT:</b> \$800,000.00
<b>REASON FOR REQUEST</b> <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 has the immediate need to upgrade the Court's HR information system. The complexity of the Court's fiscal, personnel and payroll reporting needs requires specific system requirements offered by very few systems. The Court intends to implement a new HR and Payroll system with these funds. The planned work and related expenditures are expected to be completed within two fiscal years.</p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<b>A. Identify sections and answers amended.</b>  n/a		
<b>B. Provide a summary of the changes to the request.</b>  n/a		
<b>SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE</b>		
<b>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</b>  <p>The Court's selected HRIS vendor in the last RFP process dissolved its business interests in human capital systems. As a result, the Court needs more time to conduct the procedural processes needed to contract with a new system vendor.</p>		

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

**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 current HR information system cannot support the following essential functions of the HR Division at the Court:

- Position control: Currently HR and Finance management engage in intensive, manual processes to manage and track position control for development of the QCAP and the 7A. The lack of position control also prevents efficient fiscal personnel budget forecasting, tracking and management.
- FMLA tracking: At present 1/3 of the Court's staff are either on an on-going or intermittent leave under FMLA. Our HR information system is unable to track this, requiring intensive and time-consuming manual tracking.
- Historical HR Data: The current HR system is only configured to house data from June 2014. HR data from 2005 – 2014 is housed in a separate HR database, which limits accessibility to the data.
- Data Management and Reporting: Due to the limitations of the current HR system, the Court is required to contract with outside vendors to manage data that should be managed by the Court's system. The Court pays a monthly fee to an outside vendor to house the Court's historical HR data from 2005-2014, and a vendor to assist with ACA tracking and issuance of 1094 and 1095 forms.
- Compliance Reporting: There are limited reporting functions and a lack of historical data in the current HR information system. Responses to public information requests, union information requests, discovery, investigations, and general compliance reporting is manual, inefficient and sometimes ineffective, due to the lack of a cohesive system in which to house this data.

The new HR Information system will improve the Court's efficiency and effectiveness, and increase the availability of court services and programs in the following areas:

- Position control and fiscal personnel budget tracking and management.
- Compliance Reporting.
- Employee Onboarding and Self-Service – faster access to data and information for candidates, individual employees and the Court at-large.
- Reduction in manual processes that reduce the Court's ability to provide strategic and effective customer service to Court services and programs.

**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 continue to incur large labor costs to continue manual processes, continue to hamper the Court's ability to appropriately manage and forecast personnel costs, and continue to invite the liability of potential data reporting errors due to the limitations of HR data collection and production in the current system.

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

N/A

**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 personnel needs of the Court.

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

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

Please see attached TCTF Tables Template—HRIS, Sec. IV.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**

Please see attached TCTF Tables Template—HRIS, Sec. IV.B.

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

Please see attached TCTF Tables Template—HRIS, Sec. IV.C.

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

Please see attached TCTF Tables Template—HRIS, Sec. IV.D.

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input checked="" type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> Butte	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Kimberly Flener, Court Executive Officer	
	<b>CONTACT PERSON AND CONTACT INFO:</b> Jarrod Orr, Deputy Court Executive Officer	
<b>DATE OF SUBMISSION:</b> 5/22/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> \$53,151 FROM FY 2016-17 COURT RESERVES. PROJECT EXPENSES ARE ANTICIPATED IN FY 2018-19	<b>REQUESTED AMOUNT:</b> \$53,151
<p><b>REASON FOR REQUEST</b> <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> <p>The project will replace the Court's current calendar posting process (manually posting of hardcopy printouts) at the Oroville Courthouse facility (04-A1) by expanding the electronic calendar posting board system recently installed in the new Chico Courthouse facility (04-F1).</p> <p>Large electronic display flat panels will be installed at the main public entrance of 04-A1 in place of current cork board use for posting of paper calendars. This project will fund the hardware, software, and infrastructure (data cabling and power) aspects of this installation. If funding allows, smaller boards will also be installed outside each of the 11 individual courtrooms at the facility for posting of Courtroom-specific hearing information and messages.</p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<p>A. Identify sections and answers amended.</p> <p>B. Provide a summary of the changes to the request.</p>		
<b>SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE</b>		
<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 cost of the project is estimated to be \$53,151 which is a major capital (one-time) expense for the Court. This amount was originally approved in the TCTF Funds Held on Behalf process earlier this fiscal year; however, it has taken some time for the planning and initiation of the project to occur. It is anticipated that the encumbrance of this money would occur in the first quarter of FY 2018-19 if the amount is authorized. The Court is currently working on developing its FY 2018-19 budget, but does not anticipate being able to fund this expense through its FY 2018-19 allocation.</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?**

Our recent experience with electronic calendar boards at the Chico facility has proven them to be much more reliable, flexible, and efficient than the manual paper-posting process. In addition to offering the information in a much clearer and easier to follow format for the public than posting dozens of separate 8.5 x 11 pieces of paper, the information is automatically updated on the fly as changes occur in the Court's Case Management System throughout the day, ensuring that the public is seeing the most up-to-date information. The system also allows more flexibility to the Court in manipulating the data such as providing the ability to filter sensitive or confidential data than does the posting of a paper calendar. Because calendar changes are posted automatically, Court staff will not have to go into the public space, or interfere with the public who are actively attempting to view the calendars, when calendar changes occur throughout the day.

**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 would need to maintain its paper process. In addition to losing the opportunity for improving public access for the public as described above, it continues to require Court staff to go into unsecured (public) areas of the facility to post daily calendars and to disrupt the public when posting calendar changes. The unnecessary time and effort that this takes on the part of staff would continue.

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

See D above. In reality, this means that the data posted for the public to review is more likely to be out-of-date and inaccurate, resulting either in longer lines at the counters or in parties going to the wrong courtroom. Because paper calendar information cannot be updated until a calendar is completely finalized, the significant delays in notification to the public will continue. The Oroville facility is Butte's principal Criminal Courthouse, so day-of calendar changes are frequent and ongoing, not only in terms of last-minute calendar add-ons, but also calendars such as in-custody arraignments which are constantly in flux until the last minute (and sometimes after). It is essentially impossible to keep this information up-to-date in the public areas by posting paper calendars.

**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 only identified alternative is to maintain the status quo with the aforementioned paper process. The Court does not anticipate having the funding in its operational budget from the FY 2018-19 allocation to move forward with this project as it is a major capital expense.

**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
  
  
  
  
  
  
  
  
  
  
- 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

Application for TCTF Funds Held on Behalf of the Court

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

FUNDS									
FY 2016-17	Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
	Beginning Balance	176,821	318,852	-					495,673
	Revenues	12,110,521	564,351	687,376					13,362,248
	Expenditures	11,840,660	598,511	703,503					13,142,674
	Operating Transfers In (Out)	(51,255)	35,128	16,127					-
	Ending Fund Balance	395,427	319,820	-					715,247

FUNDS									
FY 2015-16	Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
	Beginning Balance	1,014,680	329,866	-					1,344,546
	Revenues	11,577,854	523,380	743,430					12,844,664
	Expenditures	12,403,680	534,394	755,464					13,693,538
	Operating Transfers In (Out)	(12,034)		12,034					-
	Ending Fund Balance	176,820	318,852	-					495,672

FUNDS									
FY 2014-15	Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
	Beginning Balance	1,283,997	256,204						1,540,201
	Revenues	10,866,128	533,845	694,752					12,094,725
	Expenditures	11,121,021	460,183	709,177					12,290,381
	Operating Transfers In (Out)	(14,425)		14,425					-
	Ending Fund Balance	1,014,679	329,866	-					1,344,545

Application for TCTF Funds Held on Behalf of the Court

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 c

FY 2017-18		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	11,651,909	80,332						11,732,241
Grants			1,074,950					1,074,950
Other Financing Sources	341,151	473,850						815,001
<b>TOTAL REVENUES</b>	<b>11,993,060</b>	<b>554,182</b>	<b>1,074,950</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>13,622,192</b>
<b>EXPENDITURES</b>								
Salaries	5,653,865	338,172	522,254					6,514,291
Staff Benefits	3,090,706	148,213	249,651					3,488,570
General Expense	455,169	-	44,755					499,924
Printing	7,750							7,750
Telecommunications	115,666		31,529					147,195
Postage	91,500		150					91,650
Insurance	5,800							5,800
Travel in State	47,165		7,831					54,996
Travel Out of State	2,000							2,000
Training	27,781		1,500					29,281
Security	472,190							472,190
Facilities Operations	217,760							217,760
Utilities	-							-
Contracted Services	1,412,238	57,733	104,456					1,574,427
Consulting and Professional Services								
- County Provided	19,675							19,675
Information Technology (IT)	238,883	67,339	4,796					311,018
Major Equipment	180,239							180,239
Other Items of Expense								-
Juror Costs	73,500							73,500
Other	209,700							209,700
Debt Service								-
Court Construction								-
Distributed Administration & Allocation	(124,155)		124,155					-
Prior Year Expense Adjustment								-
<b>TOTAL EXPENDITURES</b>	<b>12,197,432</b>	<b>611,457</b>	<b>1,091,077</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>13,899,966</b>
Operating Transfers In (Out)	(48,860)	32,733	16,127					-
<b>Fund Balance (Deficit)</b>								
Beginning Balance (Deficit)	395,426							715,276
Ending Balance (Deficit)	142,194	295,308	-	-	-	-	-	437,502

## 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	
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	
945000	Major Equipment	53,151
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
<b>Total</b>		<b>53,151</b>

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

Description	FY 2016-17	FY 2017-18	FY 2018-19	Select Fiscal Year	Total				
Contribution	53,151								53,151
Expenditures			53,151						53,151
Cumulative Balance	53,151	53,151	-	-	-	-	-	-	106,302

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input checked="" type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> Sutter	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Stephanie M. Hansel, Court Executive Officer	
	<b>CONTACT PERSON AND CONTACT INFO:</b> Joe Azevedo, Court Fiscal Manager, (530) 822-3340; jazevedo@suttercourts.com	
<b>DATE OF SUBMISSION:</b> 5/14/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FISCAL YEAR</b> 2018-2019	<b>REQUESTED AMOUNT:</b> \$9,041.42
<b>REASON FOR REQUEST</b> <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>  Our \$10,000 TCTF allocation reduction related to the approved Court Facilities Request (CFR) 51-003 for facility improvements will not be spent by the end of FY 17-18.		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<p>A. Identify sections and answers amended.</p> <p style="margin-left: 40px;">N/A</p> <p>B. Provide a summary of the changes to the request.</p> <p style="margin-left: 40px;">N/A</p>		
<b>SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE</b>		
<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 style="margin-left: 40px;">The approved CFR allowed the Court's May 2016 TCTF allocation to be reduced by \$10,000 in order to pay for facility improvements. However, not obtaining our occupancy certificate until March 2017 as well as a shortage of Pride Industries staff has prevented the Court from spending the \$10,000 within the three-year allocation reduction time period.</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?**

The facility improvements will enhance safety and efficiencies for court staff as well as improve longevity of the courthouse which will increase the availability of court services and programs to the public.

- 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.**

If the request is not approved it will impact the court's budget in fiscal year 17-18 as the amount requested would be returned to the Court and have an impact on the Court's 1% Fund Balance Cap calculation.

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

Not approving the request would affect the ability to serve the public as court resources, specifically staffing would be affected. Further, jurors who need their medication refrigerated would be impacted.

- 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 could not identify alternatives should the request not be approved. Holding funding in the TCTF is the only alternative.

**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**

Work to be completed in fiscal year 18-19.

- 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**

Work to be completed in fiscal year 18-19.

- C. Identification of all costs, by category and amount, needed to fully implement the project**

Work to be completed in fiscal year 18-19.

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

Work to be completed in fiscal year 18-19.

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

Table 2: Amended Requests for July 19 - 20, 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 +		
Butte	04-18-01-01	120,000	Yes	5,546	120,000		114,454	5,546	Major Equipment	Major Equipment
Kern	15-18-02-A3	677,378	No	-	677,378			677,378	Case Management System	Tyler Technologies
		<b>797,378</b>		<b>5,546</b>	<b>797,378</b>	<b>-</b>	<b>114,454</b>	<b>682,924</b>		
					<b>797,378</b>		<b>797,378</b>			

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input checked="" type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
SUPERIOR COURT: Butte	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Kimberly Flener, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Jarrod Orr, Deputy Court Executive Officer	
DATE OF SUBMISSION: 5/22/2018	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: \$120,000 FROM FY 2016-17 COURT RESERVES. PROJECT EXPENSES ARE ANTICIPATED IN FY 2017-18 AND FY 2018-19.	REQUESTED AMOUNT: \$ 120,000 – Original  \$5,546 - Amended <i>(of the original request, roll-forward this amount to FY 2018-19)</i>
<p><b>REASON FOR REQUEST</b> <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> The Court's audio system in the Oroville Courthouse that runs both the Courtroom audio for each courtroom and the Court-wide public address system is failing and is in urgent need of being replaced. The system is comprised of various components installed over the years some dating as far back as 1980. The Court currently has four of its eleven courtrooms that have audio that is either not functioning at all or functioning on a limited/intermittent basis. Given the age of the system and the recent courtroom audio failures that have occurred in the last few months, more courtrooms could experience similar issues. Based on feedback received by multiple audio companies, continued repairs of the system were not advisable and could cause further damage to the system. A complete replacement of the audio system is therefore a reasonable and financially prudent solution to undertake.</p> <p>Discussions with the audio companies about a complete replacement of the audio system has led the Court to an approximate cost estimate for this of \$120,000. The Court plans on conducting an RFP to determine the final cost of this project but this information won't be available for three to four months until the RFP process concludes.</p> <p><i>Amended: RFP results show the entire project costing approximately \$224,726. The Court has prioritized five courtrooms to complete first with the existing funding. It is hoped that the remaining courtrooms can be funded in FY 2018-19 which will largely be dependent on the extent of the additional funding provided in FY 2018-19 through the Governor's approved budget.</i></p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<p><b>A. Identify sections and answers amended.</b> Sections I, III, IV</p> <p><b>B. Provide a summary of the changes to the request.</b></p> <p>The Court only has enough funding to replace the audio in five of the eleven courtrooms. Of the \$120,000 authorized in the application, \$114,454 was encumbered for this project in FY 2017-18. The Court requests to roll forward \$5,546 into</p>		

FY 2018-19 to assist with funding the audio replacement of the remaining courtrooms which is estimated at \$18,400 per courtroom. The Court hopes to identify new monies in FY 2018-19 to combine with this amount.

**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.**

The cost for this project is estimated to be \$120,000 which is a major (one-time) expense for the Court and does not fit within the Court's annual operational budget process. Given the limited state-wide funding augmentation to trial courts in FY 2016-17 and no funding augmentation in FY 2017-18, the Court does not have any extra funding sources that haven't already been programmed into its annual operating budget. Additionally, given the lack of funding augmentation for FY 2017-18 and a slight WAFM reduction to the Court's allocation, the Court's funding has been cut forcing the absorption of on-going cost increases through reductions in other budget expense line item accounts. The Court has no further room in its budget to absorb this major expense.

*Amended: The total project cost is estimated to be \$224,726*

**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?** Approval of this request will allow the Court to be more effective in projecting communication that is occurring in the Courtrooms and will allow full operation of the assisted listening devices, required for compliance with Americans with Disabilities Act (ADA). Additionally, a more effective system for crowd management will be realized as the Court's public address system is not fully functioning.

**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 will not be in compliance with the ADA and it will also impair the judges'/staff's ability to carry on hearings in the Courtroom if the ability to hear testimony is compromised. Additionally, the Court will be significantly limited in its ability to manage the public in the event of an emergency through the Court's public address system.

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

Access to justice will be compromised as the public will either have difficulty hearing testimony or not hearing it all (in the case of the need for an assisted listening device). Also, Court proceedings may proceed more slowly to ensure the Court record is captured accurately in the absence of a fully functioning audio system.

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

Replacing the Court's audio system in the Oroville Courthouse is estimated to be a major expense and the cost will likely not be too far removed from the monetary amount allowed to be held as part of the Court's 1% reserve. One funding alternative could be to pay for the replacement from the Court's 1% reserve; however, it would not be

financially prudent to tap into this reserve for the replacement cost of the audio system, leaving the Court with little to no monies in reserve. Additionally, the Court does not have the resources to pay for this in one-lump sum from its annual allocation.

**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**

**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**

*Amended: The Court is currently still assembling its FY 2018-19 budget, so it is unavailable at this time.*

**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**

Original: Note: the Court anticipates completing this project in FY 2017-18; however, depending on the timing of the RFP process, overall scope of the project, and vendor availability, it could stretch into FY 2018-19.

*Amended: This project will stretch into FY 2018-19 to allow for additional funding to be identified for project completion.*

Application for TCTF Funds Held on Behalf of the Court

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 c

FY 2017-18		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	11,673,127	59,328	-					11,732,455
Grants	-	-	1,119,999					1,119,999
Other Financing Sources	340,151	470,650	-					810,801
<b>TOTAL REVENUES</b>	<b>12,013,278</b>	<b>529,978</b>	<b>1,119,999</b>	-	-	-	-	<b>13,653,255</b>
<b>EXPENDITURES</b>								
Salaries	6,161,991	338,172	563,585					7,063,748
Staff Benefits	2,577,593	148,213	250,805					2,976,611
General Expense	429,250	-	44,505					473,755
Printing	7,600	-	-					7,600
Telecommunications	115,666	-	31,529					147,195
Postage	91,500	-	150					91,650
Insurance	5,800	-	-					5,800
Travel in State	42,165	-	7,831					49,996
Travel Out of State	2,000	-	-					2,000
Training	27,781	-	1,500					29,281
Security	472,190	-	-					472,190
Facilities Operations	217,760	-	-					217,760
Utilities	-	-	-					-
Contracted Services	1,381,258	60,513	107,270					1,549,041
Consulting and Professional Services - County Provided	20,825	-	-					20,825
Information Technology (IT)	238,959	66,508	4,796					310,263
Major Equipment	180,239	-	-					180,239
Other Items of Expense	-	-	-					-
Juror Costs	73,500	-	-					73,500
Other	55,845	-	124,155					180,000
Debt Service	-	-	-					-
Court Construction	-	-	-					-
Distributed Administration & Allocation	-	-	-					-
Prior Year Expense Adjustment	-	-	-					-
<b>TOTAL EXPENDITURES</b>	<b>12,101,922</b>	<b>613,406</b>	<b>1,136,126</b>	-	-	-	-	<b>13,851,454</b>
Operating Transfers In (Out)	(51,640)	35,513	16,127					-
<b>Fund Balance (Deficit)</b>								
Beginning Balance (Deficit)	418,469	302,475	-					720,944
Ending Balance (Deficit)	278,185	254,560	-					532,745

Application for TCTF Funds Held on Behalf of the Court

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	
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	
945000	Major Equipment	224,726
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
<b>Total</b>		<b>224,726</b>

Application for TCTF Funds Held on Behalf of the Court

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

Description	FY 2016-17	FY 2017-18	FY 2018-19	Select Fiscal Year	Select Fiscal Year	Select Fiscal Year	Select Fiscal Year	Total
Contribution	120,000							120,000
Expenditures		114,454	5,546					120,000
Cumulative Balance	120,000	5,546	-	-	-	-	-	240,000

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input type="checkbox"/> <b>NEW REQUEST</b> (Complete Section I, III, and IV only.) <input checked="" type="checkbox"/> <b>AMENDED REQUEST</b> (Complete Sections I through IV.)		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> <a href="#">Click here to enter court</a> <b>Kern</b>	<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): <b><u>Terry McNally, Court Executive Officer</u></b>	
	<b>CONTACT PERSON AND CONTACT INFO:</b> <b><u>Debra Ostlund, Deputy CEO-Finance</u></b> <a href="mailto:debra.ostlund@kern.courts.ca.gov">debra.ostlund@kern.courts.ca.gov</a>	
<b>DATE OF SUBMISSION:</b> <b><u>5/22/2018</u></b>	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> <b><u>2018/19</u></b>	<b>REQUESTED AMOUNT:</b> \$ <b><u>\$677,378 (Final)</u></b>
<b>REASON FOR REQUEST</b> (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):		
<p><u>The Superior Court, County of Kern, entered into a contract with Tyler Technologies, Inc. to replace its antiquated, legacy case management system provided by the County for the last 30-years. The new system will enhance court operations by providing a single case management system for all case types improving the operations of the Court. Further, the County of Kern Justice partners have also agreed to migrate to the new case management system providing for a fully integrated system using new technology including a digital file storage, e-filing, and other similar state-of-the-art enhancements that will improve the management of cases through the entire local justice system.</u></p> <p><u>The Court's contract with Tyler Technologies Inc. provided for an amount of local programming, integration and development to comply with statutory obligations and requirements for court operations in California. Tyler Technologies Inc. subsequently signed agreements with another 25 or more courts in California. This will enable Courts in California to collaborate on a large number of state-wide development initiatives including DMV and DOJ interface, electronic citation processing, state-wide e-filing, and other similar improvements. However, due to programmer constraints local development efforts have been delayed. In turn, encumbered funds necessary to pay for the remaining project deliverables and any local development will not be expended within the three-year term of the agreement.</u></p> <p><u>It is respectfully requested that the Superior Court, County of Kern, be allowed to carryover encumbered local funds to finalize this project, the second phase—Go-live for the Criminal, Traffic and Juvenile case management components—planned for completion in the <b>Spring fall</b> of 201<b>69</b>.</u></p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<b>A. Identify sections and answers amended.</b> <b><u>Amendment 3 – Section I – NO CHANGE IN REQUESTED AMOUNT</u></b>		

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**B. Provide a summary of the changes to the request.**

Amendment 3 – Removed the “estimated” notation.  
Changed Time Period to 2018/19 and the planned completion date to Spring of 2019.

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**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.**

The Superior Court, County of Kern, like many other courts in California was anticipating the provision of a new case management system with the launch of CCMS. With the demise of this project, the Court utilized its reserve balances to fund a vendor solution based on a recently approved MSA. The MSA provided for case management solutions from four approved vendors including Tyler Technologies, Inc. These one-time funding resources were accumulated from operational savings accrued over years and would be impossible to replace in the short term. To replace the encumbered funds, the Court would be required to implement reductions in staffing and service levels to save the necessary resources from operational budgets, given the current 1% cap on reserve funding.

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**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?**

A new case management system will have a significant operational impact on the courts. The new system will include integration with Probation, the Sheriff, Public Defender and the District Attorney. Further it will include e-filing capabilities, integration with a digital document management system, and other similar functionality that have been proven by other Courts in California and the United States to improve efficiency and effectiveness of court operations.

**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 would not be able to complete the second phase of the Case management system for the installation of the Criminal, Juvenile and Traffic components of the system. Nor would the court be able to pay for local integration and development programming to fully enhance the interconnecting planned with local justice partners.

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

Current case management systems do not provide for e-filing or digital document storage. Thus, court users will not be able to access court documents and other case information without the necessity of personal visits to court. Some court locations in Kern are two-hour, one-way trips from the County Seat in Bakersfield.

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

Maintain the current system that is costing the court in excess of \$1/2 million in annual transaction fees paid to the County of Kern for maintenance of the legacy case management system.

**SECTION IV: FINANCIAL INFORMATION - N/A**

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

Deliverable and Milestone Payment Schedule			Criminal	Invoices			Project Mgr. Signoff -	EXHIBIT G				
			Delivery Date	Invoice Date	Gross Amt	10% retention		Net Amt Pd	CONTRACT AMOUNT	10% Retention	Net Payment w/invoice	
Phases	EXHIBIT E SOW Deliverables											
1	1.1.1	Project Mgmt Plan	11/18/13	12/26/13	92,000	9,200	82,800	T Davis signed orig.	13	92,000	9,200	82,800
	1.1.2	Project Operational Plans	12/3/13	12/26/13	116,000	11,600	104,400	T Davis signed orig.	13	116,000	11,600	104,400
	1.2.1	Business Process Review Report	4/9/14	9/17/14	122,000	12,200	109,800	T Davis signed orig.	13	122,000	12,200	109,800
	1.3.1	Solution Design	1/8/14	3/11/14	114,120	11,412	102,708	T Davis signed orig.	13	114,120	11,412	102,708
2	2.1.1	Certification of Infrastructure Environment	2/11/14	3/27/14	98,000	9,800	88,200	T Davis signed orig.	13	98,000	9,800	88,200
	2.3.1	* Application CPD Documents - Civil	5/7/14	10/19/16	1,150		1,150	Don't pay - Deb	13	68,216	6,822	61,394
	2.3.2	* Application CPD Documents - Criminal	5/7/14				-	Don't pay - Deb	13	68,214	6,821	61,393
	2.3.3	* Application Development Complete - Civil	11/10/14				-	Don't pay - Deb	14	68,214	6,821	61,393
	2.3.4	* Application Development Complete - Crim	5/13/15				-	Don't pay - Deb	14	68,214	6,821	61,393
	2.4.1	* Integration CPD Documents	5/7/14	4/11/16	68,214	6,821	61,393	T Davis signed orig.	13	68,214	6,821	61,393
	2.4.2	* Integration Development Complete - Civil	11/17/14				-	Don't pay - Deb	14	68,214	6,821	61,393
	2.4.3	* Integration Development Complete - Crim	5/20/15				-	Don't pay - Deb	14	68,214	6,821	61,393
3.1.1	3.1.1.1	Configuration Plan	1/29/14	3/11/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.1.2	Case Mgr Configuration Wkshp Complete	3/19/14	3/20/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.1.3	Security Workshop Completed	5/14/14	1/27/15	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.1.4	Forms Workshop Completed	5/27/14	10/14/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.1.5	Configuration Tracking Spreadsheet -Civ	7/14/14	4/24/15	20,000	2,000	18,000	T Davis signed orig.	14	20,000	2,000	18,000
3.1.2	3.1.2.1	Load of Legacy Data into Staging Database	2/5/14	3/11/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.2.2	Completion of Data Mapping	4/9/14	8/13/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.2.3	First Data Conversion Push	4/16/14	7/15/14	50,000	5,000	45,000	T Davis signed orig.	13	50,000	5,000	45,000
	3.1.2.4	Go-Live Push to Production	8/25/14	6/30/15	50,000	5,000	45,000	T Davis signed orig.	14	50,000	5,000	45,000
3.1.3	3.1.3.1	* User Acceptance Testing Report - Civil	1/21/15	1/27/15	50,000	5,000	45,000	T Davis signed orig.	14	50,000	5,000	45,000
3.1.4	3.1.4.1	Go-Live Transition Plan	1/28/15	2/16/17	82,000	8,200	73,800	T Davis signed orig.	14	82,000	8,200	73,800
	3.1.4.2	Training Plans and Materials - Civil	1/28/15	1/30/15	99,000	9,900	89,100	T Davis signed orig.	14	99,000	9,900	89,100
	3.1.4.3	Go-Live Status Reports	4/10/15	6/30/15	86,000	8,600	77,400	T Davis signed orig.	14	86,000	8,600	77,400
3.1.5	3.1.5.1	E- Filing Configuration Documentation - Civ	6/25/15	6/30/15	-	-	-		14	-	-	-
	3.1.5.3	E- Filing Training Plans & Materials - Civil	7/16/15	6/30/15	-	-	-		15	-	-	-
	3.1.5.4	E- Filing Go-Live Status Reports - Civil	7/31/15	6/30/15	-	-	-		15	-	-	-
3.2.1	3.2.1.1	Configuration Plan - Criminal	5/1/15	11/13/15	35,000	3,500	31,500	T Davis signed orig.	14	35,000	3,500	31,500
	3.2.1.2	Case Mgr Configuration Wkshp Complete	5/21/15	3/18/16	35,000	3,500	31,500	T Davis signed orig.	14	35,000	3,500	31,500
	3.2.1.3	Security Workshop Completed	7/16/15	8/25/16	35,000	3,500	31,500	T Davis signed orig.	15	35,000	3,500	31,500
	3.2.1.4	Forms Workshop Completed	9/2/15	4/11/16	35,000	3,500	31,500	T Davis signed orig.	15	35,000	3,500	31,500
	3.2.1.5	Configuration Tracking Spreadsheet	9/15/15	2/16/17	35,000	3,500	31,500	T Davis signed orig.	15	35,000	3,500	31,500
3.2.2	3.2.2.1	Load of Legacy Data into Staging Database	6/4/15	3/9/16	18,000	1,800	16,200	T Davis signed orig.	14	18,000	1,800	16,200
	3.2.2.2	Completion of Data Mapping	8/6/15	3/9/16	18,000	1,800	16,200	T Davis signed orig.	15	18,000	1,800	16,200
	3.2.2.3	First Data Conversion Push	8/13/15	3/9/16	18,000	1,800	16,200	T Davis signed orig.	15	18,000	1,800	16,200
	3.2.2.4	Go-Live Push to Production	12/22/15				-		15	18,000	1,800	16,200
3.2.3	3.2.3.1	* User Acceptance Testing Report - Criminal	2/4/16				-		15	50,000	5,000	45,000
3.2.4	3.2.4.1	Go-Live Transition Plan	3/15/16				-		15	89,000	8,900	80,100
	3.2.4.2	Training Plans and Materials - Crim	3/15/16				-		15	79,000	7,900	71,100
	3.2.4.3	Go-Live Status Reports	5/12/16				-		15	84,000	8,400	75,600
	3.2.5.1	E- Filing Configuration Documentation - Cr	7/25/16				-		16	-	-	-
	3.2.5.2	E- Filing Acceptance Testing Rpt - Cr	8/8/16				-		16	-	-	-
	3.2.5.3	E- Filing Training Plans & Materials - Cr	8/15/16				-		16	-	-	-
	3.2.5.4	E- Filing Go-Live Status Reports - Cr	8/30/16				-		16	-	-	-
	4.1.	Project closeout Report	9/27/16				-		16	14,000	1,400	12,600
3500 hours * \$577,500 for custom application/integration			Civil		\$ 1,577,484	\$ 157,633.40	\$ 1,419,851			2,319,620	231,962	2,087,658
577,500			Criminal		(2,319,620)	\$ 127,912.00		Custom development		477,500		
Note: The 10% retention is payable upon final acceptance, go-live and productive use of the complete Odyssey Platform set forth in Exhibit C of the Tyler contract.					(742,136)			Less: Spent		(69,364)		
					153,150	Spent 16/17		Total Left to spend (custom dev)		408,136		
								Unspent items		334,000		
MSA Ex B - "should be held for the final milestone - final delivery and acceptance of all services.										742,136		
MSA Ex C, Attach 3, 4.3 (f) ...court shall have the right ..to withhold 10%...until Deliverable Acceptance of the final Deliverable								Data conversion		200,000	20,000	180,000

## ***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*)