



# JUDICIAL COUNCIL OF CALIFORNIA

TRIAL COURT BUDGET  
ADVISORY COMMITTEE

## TRIAL COURT BUDGET ADVISORY COMMITTEE FISCAL PLANNING SUBCOMMITTEE

### MATERIALS FOR MAY 21, 2020 MEETING

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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:** May 21, 2020  
**Time:** 9:30 a.m. - 10:00 a.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 November 21, 2019 Fiscal Planning Subcommittee 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). Only written comments received by 9:30 a.m. on May 20, 2020 will be provided to advisory body members prior to the start of the meeting.

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

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**Item 1**

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

Consideration of a recommendation to the Judicial Council to approve TCTF funds to be held on behalf of the trial courts in response to six amended requests from five trial courts.

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

**Item 2**

**Update to Children's Waiting Room (CWR) Policy (Action Item)**

Consideration of revisions to the CWR Distribution and Fund Balance Policy to streamline the process including review and reporting requirements.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin, Chair, Fiscal Planning  
Subcommittee  
Mr. Catrayel Wood, Senior 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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TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

MINUTES OF OPEN MEETING

November 21, 2019

9:30 a.m. – 10:00 a.m.

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

**Advisory Body  
Members Present:**

Judges: Hon. Jonathan B. Conklin (Chair), Hon. Kimberly A. Gaab, and Hon. Charles Margines.

Executive Officers: Ms. Kim Bartleson, Mr. Chad Finke, Mr. Chris Ruhl, Mr. Michael D. Planet, Mr. Shawn Landry, Mr. Brian Taylor, and Mr. David H. Yamasaki.

**Advisory Body  
Members Absent:**

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

OPEN MEETING

**Call to Order and Roll Call**

The chair called the meeting to order at 9:30 a.m. and roll was called.

**Approval of Minutes**

The advisory body reviewed and approved the minutes of the September 26, 2019 Fiscal Planning Subcommittee (FPS) meeting.

DISCUSSION AND ACTION ITEMS (ITEM 1)

**Item 1 – Trial Court Trust Fund (TCTF) Funds Held on Behalf (FHOB) 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 four new requests and two amended requests from three trial courts.

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

*Action:*

- *The FPS unanimously approved three new FHOB requests from Mono Superior Court.*

- *The FPS approved one new FHOB request submitted by Orange Superior Court in a vote as follows:*
  - - Yes: 8
  - - No: 0
  - - Abstain: 2
  
- *The FPS unanimously approved two amended FHOB requests; one from San Mateo Superior Court and one from Mono Superior Court.*

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**A D J O U R N M E N T**

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There being no further business, the meeting was adjourned at 9:50 a.m.

Approved by the advisory body on enter date.

JUDICIAL COUNCIL OF CALIFORNIA  
BUDGET SERVICES  
Report to the Fiscal Planning Subcommittee

**(Action Item)**

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

**Date:** 5/21/2020

**Contact:** Catrayel Wood, Senior 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 TCTF funds to be held on behalf of the trial courts in response to six amended requests totaling \$1,891,503 from five trial courts for recommendation to the Judicial Council at its July 23-24, 2020 business meeting.

**Background**

At the Judicial Council’s business meeting on April 15, 2016<sup>1</sup>, 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 percent 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 for consideration.

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<sup>1</sup> Judicial Council meeting report (April 15, 2016), <https://jcc.legistar.com/View.ashx?M=F&ID=4378277&GUID=57D6B686-EA95-497E-9A07-226CA724ADCB>; Judicial Council meeting minutes (April 15, 2016), <https://jcc.legistar.com/View.ashx?M=M&ID=463457&GUID=194A3350-D97F-452B-ACF4-1EBE6C105CCA>

JUDICIAL COUNCIL OF CALIFORNIA  
BUDGET SERVICES  
Report to the Fiscal Planning Subcommittee

**Amended requests totaling \$1,891,503:**

- Sierra Superior Court request of \$15,346, which increases its original request of \$12,457 by \$2,889 for new furniture;
- Sierra Superior Court request of \$21,732, which decreases its original request of \$24,621 by \$2,889 for facility repairs and maintenance;
- Napa Superior Court request to amend the fiscal year to expend the remaining \$14,038 balance of its original \$418,000 request from 2019-20 to 2020–21 for a case management system (CMS);
- San Benito Superior Court request to add \$98,824 to its original \$415,801 request for a CMS, and to revise the fiscal years for expenditure to \$205,850 in 2019–20, \$154,387.50 in 2020–21, and \$154,387.50 in 2021-22;
- Sutter Superior Court request to amend the fiscal year to expend the balance of its \$245,112 request for a CMS from 2019-20 to 2020-21; and
- Kern Superior Court request to amend the fiscal year to expend its \$676,688 request for a CMS from 2019-20 to 2021–22.

**Recommendation**

The recommendation is for the Fiscal Planning Subcommittee to approve six amended requests from five trial courts totaling \$1,891,503 for consideration by the Judicial Council at its July 23-24, 2020 meeting.

**Attachments**

- Attachment A:** Summary of Requests for TCTF Funds to be Held on Behalf of the Court (Amended Request)
- Attachment B:** Application for TCTF Funds Held on Behalf of the Court—Request for Sierra Superior Court (Amended Request)
- Attachment C:** Application for TCTF Funds Held on Behalf of the Court—Request for Sierra Superior Court (Amended Request)
- Attachment D:** Application for TCTF Funds Held on Behalf of the Court—Request for Napa Superior Court (Amended Request)
- Attachment E:** Application for TCTF Funds Held on Behalf of the Court—Request for San Benito Superior Court (Amended Request)
- Attachment F:** Application for TCTF Funds Held on Behalf of the Court—Request for Sutter Superior Court (Amended Request)
- Attachment G:** Application for TCTF Funds Held on Behalf of the Court—Request for Kern Superior Court (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 (Amended Requests)

Table 1: Amended Requests for July 23—24, 2020 Judicial Council Meeting

Court	Request Number	Does Request Change \$\$ Amount?	If Yes - \$\$ Change +/-	Current Approved Requests by Fiscal Year					Amended Requests by Fiscal Year					Category	High-Level Summary	
				2017-18	2018-19	2019-20	2020-21	2021-22	2017-18	2018-19	2019-20	2020-21	2021-22			
Sierra	46-18-02-A1	Yes	2,889		12,457					15,346				Furniture	Purchase new furniture	
Sierra	46-18-01-A1	Yes	(2,889)		24,621					21,732				Facilities	Facility repairs and maintenance	
Napa	28-17-01-A1	No	-	418,000					332,319	21,504	50,139	14,038		IT	Case Management System	
San Benito	35-19-01-A1	Yes	98,824		415,801						205,850	154,388	154,388	IT	Case Management System	
Sutter	51-19-01-A1	No	-			200,000	45,112					245,112		IT	Technology improvements	
Kern	15-19-01-A5	No	-			676,688							676,688	IT	Case Management System	
				<u>98,824</u>	<u>418,000</u>	<u>452,879</u>	<u>876,688</u>	<u>45,112</u>	<u>-</u>	<u>332,319</u>	<u>58,582</u>	<u>255,989</u>	<u>413,538</u>	<u>831,076</u>		
				<u>1,792,679</u>					<u>1,891,503</u>							
														Difference Between Amended and Original Requests		
														<u><u>98,824</u></u>		




**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**

<b>SUPERIOR COURT:</b> <u>Click here to enter court</u> <u>Sierra</u>	<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): <u>Ann Mendez, Court Executive Officer</u>	
	<b>CONTACT PERSON AND CONTACT INFO:</b> <u>Jean-Anne Cheatham (530) 289-2901</u>	
<b>DATE OF SUBMISSION:</b> <u>8/7/2018</u> <u>Amended Date: 1/8/2020</u>	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JULY 1, 2018 TO JUNE 30, 2019</b>	<b>REQUESTED AMOUNT:</b> <u>\$12,457</u> <u>\$15,346\$</u>

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**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.):

The court is seeking permission to carry over currently encumbered funds of \$12,457 to continue and complete our furniture replacement project which is now in the final installation process. There was a delay in the installation process so the vendor will be invoicing the court in FY18/19 upon completion and therefore, the court is going to need these funds to pay for this project. Reducing the court's funding allocation by this amount will have a significant impact on the court's operational budget for FY18/19.

**SECTION II: AMENDED REQUEST CHANGES**

**A. Identify sections and answers amended.** Section I: Requested amount increased from \$12,457 to \$15,346. Court is requesting approval to redirect the remaining funds left over from FHOB request number #46-18-02-00 in the amount of \$2,889 to cover the additional costs of this project.

**B. Provide a summary of the changes to the request.** Project costs exceeded planned budget. The actual costs were unknown during the original Funds Held application submission.

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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 cost for this project is a major (one-time) expense for the court and does not fit within the Court's annual operational budget. The court does not have room on its budget to absorb a reduction in funding of this amount.

**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 upgrade the furnishings, which will enhance efficiencies, not only for court staff, but also in the reception/self-help area. We have created two areas, semi-separated for privacy, in the reception area for self-help assistance.

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**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.**

If the request is not approved it will impact the court's budget in FY18/19 as the amount requested would result in a reduction in funding.

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

If the request is not approved it would affect the court's budget in FY18/19 and could impact operations as such.

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

There are no alternatives, the court does not have funds.


**SECTION IV: FINANCIAL INFORMATION**

**NOTE: ALL OF THE FUNDS ARE EXPECTED TO BE USED IN FY18/19**

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**

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>		
<b>SUPERIOR COURT:</b> <a href="#">Click here to enter court</a> Sierra	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> <u>Ann Mendez, Court Executive Officer</u>	
	<b>CONTACT PERSON AND CONTACT INFO:</b> <u>Jean-Anne Cheatham (530) 289-2901</u>	
<b>DATE OF SUBMISSION:</b> <del>6/29/2018</del> 6/29/2018 Amended Date: 1/8/2020	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JULY 1, 2018 TO</b> <u>JUNE 30, 2019</u>	<b>REQUESTED AMOUNT:</b> <del>\$24,621</del> \$21,732
<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>  PO 4300006101 was issued in 2015 for \$8K payable to the JCC for the installation of a fire sprinkler head in the CEO office. This work was required due in part to the installation of an ADA restroom that was installed in the court offices by the JC Facilities. <del>The JC Facilities ended up picking up the cost for the sprinkler head. JC Facilities paid the expense however that was unknown to the court. The court should not be penalized because it was unaware the cost was paid by another entity. It was not known until a later date this had occurred. The court wants to use these funds for work completed under CFR#3, created March 2018. The court was under the impression that we could use the \$8k towards the CFR#3 project.</del>  PO 4300006073 was issued in 2015 for \$72K payable to Placer County Superior Court for Network, CMS & Admin services based on a proposal for the implementation of hosting services. The actual costs ran less than proposed. However the court incurs monthly maintenance costs that will increase in the FY2018-2019. The court does have further and upcoming IT expenditures that the balance of this purchase order could be utilized for. The court respectfully requests that it be allowed to utilize these funds for valuable IT improvements that will ultimately improve access to the court for the public.		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<b>A. Identify sections and answers amended.</b> <u>Section I: Requested amount decreased from \$24,621 to \$21,732.</u> Court is requesting approval to redirect the remaining funds from this approved request in the amount of \$2,889 to cover the extra furniture costs indicated on the Amended request for <u>FHOB request number #46-18-01-00.</u>		
<b>B. Provide a summary of the changes to the request.</b> <u>Project costs ended up being less than originally calculated.</u>		
<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>  <del>Miscommunication regarding the process surrounding both PO's. We waited a long time for an invoice on the \$8K sprinkler head only to find out that Facilities worked w/Pride to cover the cost for that item. Then we misunderstood and thought that we could "move" the money from one project to another.</del>		

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Regarding the \$72K project, it was late getting underway therefore the first invoice was delayed and as such maintenance costs were not as high as projected.

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The court needs these funds so that we can pay for the upgrades to Chambers. The court does not have sufficient funds for FY1819 to make the payments and will need to use the funds that were reserved.

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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?**

The majority of the funds will be used to pay for hosting a platform for our new Case Management System (CMS). Our current CMS is showing signs of failure and technical support was discontinued years ago.

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

NA

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

If this request is not approved, additional needed projects and improvements will not be accomplished to serve our community.- other planned court projects will need to be reevaluated and possibly shelved until a later date or completely written off due to available funding.

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

Required future projects, including upgrading audio/video in the courtroom, will not be able to be funded due to lack of carry-over fund balance. Future funds will be needed to pay for the upgrades to judge's chambers and the hosting of the new CMS; had we known the project would cost less than \$72K we would not have reserved this amount of funds.

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

There are no alternatives, the court does not have funds.

**SECTION IV: FINANCIAL INFORMATION**

**NOTE: ALL OF THE FUNDS ARE EXPECTED TO BE USED IN FY 18-19**

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

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## 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:**

Napa

**PERSON AUTHORIZING REQUEST** *(Presiding Judge or Court Executive Officer):*

Robert E. Fleshman

**CONTACT PERSON AND CONTACT INFO:**

Lisa Skinner 707-299-1248 lisa.skinner@napacourt.com

**DATE OF SUBMISSION:**

Click here to enter a date.

**ORIGINAL 7/27/17**

**UPDATED 7/17/18**

**UPDATED 3/20/20**

**TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2016/17 FUNDS TO BE USED IN 2017/18, 2018/19, 2019/20, 2020/21**

**REQUESTED AMOUNT:**

~~\$317,200~~

~~\$418,000~~

~~\$21,504 (Balance)~~

**\$14,038 (P.O. Balance)**

**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.):*

**Prior Request (CMS Costs)** - Three fiscal years ago (2013/14), the court entered into a collaborative agreement with Tyler Technologies to provide new Case Management Systems (CMS) for Napa, Monterey, and Santa Clara courts in the same project. The collaborative agreement was designed to share expertise among the courts, create a greater uniformity, and for all three courts to be able to share in some of the vendor costs, therefore reducing the overall costs to all three courts. During the project planning phases early in the project, Tyler determined that it did not have sufficient resources to meet the original timeline set out in the initially agreed upon project plan. Specifically, the implementation resources that Tyler needed to support all three courts were needed in one location at a time, and therefore we had to stagger the implementation of the first phase further out to give each of the courts more attention in the months both before and after our implementation dates. This caused significant delays in complete implementation of the system for all case types and pushed the completion of the project into the current fiscal year (2017/18). See amended requests for funds held from prior years.

In addition to the initial request described above, the court had planned for a number of Tyler CMS project related expenditures in FY 2016/17. These included costs related to:

- A. Technological enhancements necessary to keep the court from stepping backwards from the capabilities of its current CMS such as electronic reporting, interfaces with other local and state justice agencies, and attorney check-in system for the courtroom.

**Current Request for 2020/21 (CMS Costs)** – The court executed contracts and purchase orders for all CMS costs as described above. Some of the needed development could not be started until after we were fully functioning on the Tyler Odyssey (ODY) platform for criminal cases. Since we started using ODY for criminal cases in December 2017, we have accomplished all of the original work that we contracted for, with one exception. We have a contract with our IT vendor, Sierra Cedar Inc, from 2016/17, amended in 2017/18. We have spent all of the funds encumbered in this P.O. with the exception of the \$14,308 requested to be carried over into 2020/21. During the current 2019/20 fiscal year, Sierra Cedar notified the court that it is no longer providing IT professional services to the courts. Because of this, we are not able to complete our requests for additional development needed to have functionality and reporting capabilities that are not available to us currently. We will need to find a IT service provider and are requesting to take the \$14,038 that is currently encumbered and use those funds for their originally intended purpose with a new vendor in the 2020/21 fiscal year.

**A. Identify sections and answers amended.**

See Section I for updated request.

**B. Provide a summary of the changes to the request.****Previous Request:**

Original Amount Held (CMS and Post Earthquake)	418,000
Amount Spent in 2017/18	332,319
P.O. Encumbrances Carried Forward into 2018/19	64,177
Balance to Request Held for 2018/19	21,504

**Current Request:**

Original Amount Held (CMS and Post Earthquake)	418,000
Amount Spent in 2017/18 – 2019/20	-403,962
Balance to Request Held to be re-encumbered with new vendor for 2020/21	14,038

**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 money was encumbered with 2017/18 funds that we are not able to spend this year and are looking to roll over so we do not need to spend current year funding and so that the inability to spend the funds due to circumstances outside our control do not affect our 1% cap balance calculations from prior years.

**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 ability to have this development work completed will allow the court to expand CMS reporting capabilities for both internal use and statewide reporting.

**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.****E. Describe the consequences to the public and access to justice if the court request is not approved.****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 use part of our 2020/21 TCTF allocation, but this would have negative impact to the court, as this would require us to return this \$14,038 back to the TCTF because of the 1% cap from prior years.



**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  
  
    **\$14,038 Professional IT services**
  
- 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

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

<b>SUPERIOR COURT:</b> San Benito		<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): Gil Solorio, Court Executive Officer	
		<b>CONTACT PERSON AND CONTACT INFO:</b> Gil Solorio (831) 636-4057 ext 211	
<b>DATE OF SUBMISSION:</b> 12/6/2019	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> FY18-19 THROUGH FY 21-22	<b>REQUESTED AMOUNT:</b> \$514,625	

**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.):

**The Court's request for \$415,801 was approved based on projections. The Court would like to amend this request after the 1% calculation is finalized and there would be an increase of \$98,824 to the previously approved amount.**

In support of the technology goals of the Superior Court of California, County of San Benito ("Court"), the Court respectfully requests that the Judicial Council hold the requested amount on the Court's behalf. The requested amount will be used to make certain information technology upgrades, as further described below.

#### Additional Expenses related to Case Management System

The Court has received funding to replace its case management system ("CMS"), but anticipates that implementation costs will exceed the amount of the funding received. Through an Intra-branch Agreement ("IBA") signed in December 2017, and subsequently amended, the JCC agreed to fund approximately \$395,000 of implementation costs for the CMS. The Court would like to use multiyear savings to pay for one-time costs that remain after the IBA funds are fully depleted, as well as costs not allowed under the IBA. By way of example, multiyear savings could be used to pay for the creation of certain CMS interfaces to be used to communicate with judicial partners.

#### Computers

The Court is in the process of replacing outdated desktop computers and associated peripheral devices. According to technology experts, the typical lifespan of a business desktop computer is between three and five years. The Court's computers are, on average, significantly older.

#### Voice over Internet Protocol Telephone System

The Court is in the process of upgrading or replacing its Court current voice over Internet Protocol ("VoIP") phone system.

#### Digitization

The Court is in the process of initiating the digitization of physical case files held at an off-site storage facility. As part of the project, the Court will identify and digitize case files that must be retained. In addition, any case files that are beyond their retention period will be destroyed as part of the project. This project will reduce the Court's storage costs, and make the remaining case files more easily accessible to the Court and the public.

#### Courtroom Visual Displays

The Court is in the process of upgrading or replacing the visual display technology in the courtrooms, including the overflow courtroom. The projectors currently installed in the courtrooms are prone to mechanical failures, and require frequent repair and replacement of parts. The projectors are mounted to the ceiling with a housing that limits access, making repairs especially time consuming and expensive. As a consequence, the projectors are often unavailable for use by counsel.

## SECTION II: AMENDED REQUEST CHANGES

- 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.

**All technology upgrades.** Because of the time required to establish the specifications for the IT goods and services to be purchased, and the complexity of procuring the IT goods and services in compliance with the Judicial Branch Contracting Manual, the procurement process for the IT goods and services will extend past the end of the current fiscal year. Each of the technology upgrades involve significant one-time expenses that are not part of the Court's annual operational budget. The purchase price of the technology upgrades could not be met out of the Court's annual operational budget without making significant cuts that would result in diminished service to the public. In order to complete the technology upgrades, the Court must use multiyear savings.

**Additional Expenses related to CMS.** The Court anticipates that the implementation will extend beyond the three-year encumbrance term. In October 2017, the Superior Court of California, County of Plumas signed a Master Agreement with Journal Technologies, Inc. ("JTI") for case management software licensing, implementation, support, and maintenance. The Master Agreement provides for the participation of other California courts, allowing the courts to share expertise, create greater uniformity, and reduce costs. In September 2018, the Court signed a Participation Agreement under this Master Agreement. Pursuant to the Master Agreement, JTI will implement new case management systems for six California Superior Courts: Humboldt, Modoc, Plumas, Lake, Madera, and San Benito. Because of staffing issues, JTI is unable to implement case management systems at multiple courts simultaneously. Instead, JTI will launch the case management systems one court at a time. San Benito's implementation is scheduled to be the last of the six. San Benito's implementation was originally scheduled to be completed by April 2020, but the implementations at the other courts are already running behind schedule.

### 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?

**Additional Expenses related to CMS.** The request will allow the Court to ensure the full implementation of a case management system that is up-to-date, is uniform with numerous other courts, and provides improved access to court services. The CMS interfaces will allow the Court to more efficiently communicate with justice partners such as law enforcement agencies and the Franchise Tax Board. The new case management system will, as a whole, improve Court staff's overall efficiency, and allow the Court to meet the needs of the public more effectively.

**Computers, VoIP.** Replacing the Court's computers, and upgrading or replacing the Court's VoIP phone system, will ensure that court operations continue without interruptions and delays.

**Digitization.** Currently, when a Court employee or member of the public wishes to access a case file held at the off-site storage facility, a retrieval process occurs. The Court must send a request to the storage facility, and a storage facility employee must find the relevant box in the warehouse, pull the relevant file, and send it to the Court. This process can take several days, and the storage facility charges a fee for each file located and sent. If the case files are digitized, Court employees and members of the public will be able to access the files much more quickly. This will improve the efficiency of court operations. To the extent that the project identifies files that may be destroyed, the project will allow the Court to save on storage fees and use those savings to provide services to the public.

**Visual Displays.** Currently, the projectors in the courtrooms are often out of service. As a result, counsel who wish to display visual or multimedia presentations as part of their cases must bring their own projectors into the courtroom. Court time is wasted as counsel sets up and trouble-shoots their projectors. The personal projectors used by counsel are not designed for use in a courtroom, and the presentations made using these personal projectors can be difficult to see from different parts of the courtroom. Upgrading or installing new visual displays will save Court time, and ensure that the presentations are visible to the judge, parties, counsel, jury, and the public present in the courtroom.

**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.**

**Additional Expenses related to CMS.** If the Court's request is not approved, the Court would have to shift funding to pay for implementation costs in excess of the IBA amount, or costs not allowed under the IBA. Any shift in funding will negatively affect court operations in the affected areas. The Court may be unable to implement the CMS interfaces, which will negatively affect the Court's ability to exchange information with key justice partners.

**Computers.** If the request is not approved, the Court will be unable to replace the computers. The existing computers will continue to degrade in performance and eventually fail, or become so outdated that they are unable to run the software required for use in the Court. This will cause interruptions and delays for Court employees, and disrupt court operations.

**VoIP.** If the request is not approved, the Court will be unable to upgrade or replace the VoIP phone system. As the existing phone system continues to age, the Court anticipates failures that could cause interruptions and delays for Court employees. These interruptions and delays could disrupt court operations.

**Digitization.** If the Court's request is not approved, the digitization project will not be completed. Court employees will not have improved access to the case files. In addition, the Court will continue to incur storage fees for the case files, both those that must be retained and those that could have been destroyed.

**Visual Displays.** If the Court's request is not approved, the projectors will not be upgraded or replaced with new visual displays. When the currently-installed projectors are out of service, as frequently occurs, Court time will continue to be wasted as counsel set up and troubleshoot their own personal projectors.

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

**Additional Expenses related to CMS.** If the Court's request is not approved, the Court will be forced to shift funding as described in section III.D above. As a result, service to the public would be reduced, and access to justice would be negatively affected.

**Computers, VoIP.** If the request is not approved, the provision of services to the public could be subject to interruption and delay.

**Digitization.** If the Court's request is not approved, the public will still have access to the case files, but the retrieval process will remain slow, and the case files will not be easily searchable.

**Visual Displays.** If the Court's request is not approved, the currently-installed projectors will not be upgraded or replaced with new visual displays. When the currently-installed projectors are out of service, as frequently occurs, the visual and multimedia presentations made by counsel will continue to be difficult to see for some occupants of

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

**All technology upgrades.** Holding funding in the TCTF is the preferred alternative because the Court will be able to implement the technology upgrades and continue to provide a high level of service to the public.

**Additional Expenses related to CMS.** If the Court's request is not approved, the Court could (i) shift funding, as discussed in section III.D above, or (ii) forgo certain functionality, for example, by not implementing the CMS interfaces. Shifting funding would result in the negative consequences discussed in section III.E above. If the interfaces are not implemented, the Court's ability to communicate with key justice partners will be negatively affected.

**Computers.** If the request is not approved, the Court would have to replace the computers piecemeal, as they fail. This approach would require the Court to conduct multiple small procurements, consuming significantly more employee time. In addition, it is likely that the Court will have to pay a higher price per computer if the computers are replaced piecemeal, as the Court will be ineligible for any bulk discount. Funds would have to be moved from the Court's future operating budget, potentially resulting in diminished public service.

**VoIP.** If the request is not approved, the Court would have to defer upgrading or replacing the existing VoIP phone system, possibly until the existing phone system fails. In that case, the Court would likely have to shift funding from other Court priorities. In addition, if the procurement is delayed until the current VoIP system fails, the procurement process may be shortened, resulting in higher costs for the Court.

**Digitization.** If the Court's request is not approved, the Court will continue to store the physical files in the storage facility. The Court will continue to pay storage fees for all files, and one-time fees each time a file is retrieved.

**Visual Displays.** If the Court's request is not approved, the Court will not upgrade the projectors or replace them with new visual displays. As noted in sections III.D and III.E above, Court time will continue to be wasted as counsel set up and troubleshoot their own personal projectors, and the visual and multimedia presentations made by counsel will continue to be difficult to see for some occupants of the courtroom.

**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**

See attached excel workbook.

**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**

See attached excel workbook.

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

See attached excel workbook.

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

See attached excel workbook.

If a cost efficiency, please provide cost comparison

Status Quo		Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
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				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
<b>Net Revenue (Expense)</b>		-	-	-	-

Proposed Project		Amount	Amount	Amount	Amount
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
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				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
<b>Net Revenue (Expense)</b>		-	-	-	-

<b>Cumulative Cost Savings</b>		-	-	-	-
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If a cost efficiency, please provide cost comparison

Status Quo		Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
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			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
<b>Net Revenue (Expense)</b>		-	-	-

Proposed Project		Amount	Amount	Amount
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
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			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
<b>Net Revenue (Expense)</b>		-	-	-

<b>Cumulative Cost Savings</b>		-	-	-
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Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2015-16	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>211,923</b>	<b>45,761</b>	-					<b>257,685</b>
Revenues	2,872,757	16,902	233,607					<b>3,123,267</b>
Expenditures	2,848,022	2,800	296,583					<b>3,147,404</b>
Operating Transfers In (Out)	(67,584)	2,173	65,411					-
<b>Ending Fund Balance</b>	<b>169,075</b>	<b>62,036</b>	<b>2,436</b>	-	-	-	-	<b>233,547</b>

FY 2016-17	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>169,075</b>	<b>62,036</b>	<b>2,436</b>					<b>233,547</b>
Revenues	2,778,181	17,048	237,818					<b>3,033,047</b>
Expenditures	2,735,305	27,345	292,348					<b>3,054,997</b>
Operating Transfers In (Out)	(54,277)	2,182	52,095					-
<b>Ending Fund Balance</b>	<b>157,675</b>	<b>53,921</b>	-	-	-	-	-	<b>211,596</b>

FY 2017-18	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>157,675</b>	<b>53,921</b>	-					<b>211,596</b>
Revenues	2,813,695	17,068	228,376					<b>3,059,139</b>
Expenditures	2,742,397	64,364	240,673					<b>3,047,434</b>
Operating Transfers In (Out)	(12,297)		12,297					-
<b>Ending Fund Balance</b>	<b>216,676</b>	<b>6,625</b>	-	-	-	-	-	<b>223,301</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 cc

	FY 2018-19							
	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	3,630,138	16,295						3,646,433
Grants			215,626					215,626
Other Financing Sources	65,914	686						66,600
<b>TOTAL REVENUES</b>	<b>3,696,052</b>	<b>16,981</b>	<b>215,626</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,928,659</b>
<b>EXPENDITURES</b>								
Salaries	1,366,921		121,059					1,487,980
Staff Benefits	761,019		71,498					832,517
General Expense	90,290		148					90,438
Printing	24,573							24,573
Telecommunications	9,982							9,982
Postage	26,088							26,088
Insurance	2,249							2,249
Travel in State	6,432		1,080					7,512
Travel Out of State								-
Training	420							420
Security	120							120
Facilities Operations	41,246							41,246
Utilities								-
Contracted Services	627,512	686	-					628,198
Consulting and Professional Services - County Provided	160							160
Information Technology (IT)	73,576							73,576
Major Equipment								-
Other Items of Expense	118							118
Juror Costs	2,756							2,756
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(38,511)		38,511					-
Prior Year Expense Adjustment	-							-
<b>TOTAL EXPENDITURES</b>	<b>2,994,950</b>	<b>686</b>	<b>232,296</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,227,932</b>
Operating Transfers In (Out)	(16,670)		16,670					-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	<b>216,676</b>	<b>6,625</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>223,301</b>
<b>Ending Balance (Deficit)</b>	<b>901,108</b>	<b>22,920</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>924,028</b>

Current detailed budget projection on court's behalf

	FY 2019-20							
	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	3,630,138	16,295	-					3,646,433
Grants	-	-	215,626					215,626
Other Financing Sources	65,914	686	-					66,600
<b>TOTAL REVENUES</b>	<b>3,696,052</b>	<b>16,981</b>	<b>215,626</b>	-	-	-	-	<b>3,928,659</b>
<b>EXPENDITURES</b>								
Salaries	1,503,613		133,165					1,636,778
Staff Benefits	837,121		78,648					915,769
General Expense	99,318							99,318
Printing	27,030							27,030
Telecommunications	10,980							10,980
Postage	28,697							28,697
Insurance	2,474							2,474
Travel in State	7,075		1,188					8,263
Travel Out of State	-							-
Training	462							462
Security	132							132
Facilities Operations	45,371							45,371
Utilities	-							-
Contracted Services	690,263							690,263
Consulting and Professional Services - County Provided	176							176
Information Technology (IT)	80,934							80,934
Major Equipment	-							-
Other Items of Expense	130							130
Juror Costs	3,032							3,032
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(42,362)							(42,362)
Prior Year Expense Adjustment	-							-
<b>TOTAL EXPENDITURES</b>	<b>3,294,445</b>	-	<b>213,001</b>	-	-	-	-	<b>3,507,446</b>
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	<b>901,108</b>	<b>22,920</b>	-	-	-	-	-	<b>924,028</b>
<b>Ending Balance (Deficit)</b>	<b>1,302,715</b>	<b>39,901</b>	<b>2,625</b>	-	-	-	-	<b>1,345,241</b>

Current detailed budget projection:

	FY 2020-21							
	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	3,630,138	16,295	-					3,646,433
Grants	-	-	215,626					215,626
Other Financing Sources	65,914	686	-					66,600
<b>TOTAL REVENUES</b>	<b>3,696,052</b>	<b>16,981</b>	<b>215,626</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,928,659</b>
<b>EXPENDITURES</b>								
Salaries	1,578,794		139,823					1,718,617
Staff Benefits	878,977		82,580					961,557
General Expense	104,284							104,284
Printing	28,381							28,381
Telecommunications	11,529							11,529
Postage	30,132							30,132
Insurance	2,598							2,598
Travel in State	7,429		1,247					8,676
Travel Out of State	-							-
Training	485							485
Security	139							139
Facilities Operations	47,639							47,639
Utilities	-							-
Contracted Services	724,776							724,776
Consulting and Professional Services - County Provided	185							185
Information Technology (IT)	84,980							84,980
Major Equipment	-							-
Other Items of Expense	136							136
Juror Costs	3,183							3,183
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(44,480)							(44,480)
Prior Year Expense Adjustment	-							-
<b>TOTAL EXPENDITURES</b>	<b>3,459,167</b>	<b>-</b>	<b>223,651</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,682,818</b>
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	<b>1,302,715</b>	<b>39,901</b>	<b>2,625</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,345,241</b>
<b>Ending Balance (Deficit)</b>	<b>1,539,600</b>	<b>56,882</b>	<b>(5,399)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,591,082</b>

Current detailed budget projection:

	FY 2021-22							FUNDS	
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
<b>REVENUES</b>									
State Financing Sources	3,811,645	17,110	-					3,828,755	
Grants	-	-	226,407					226,407	
Other Financing Sources	69,210	720	-					69,930	
<b>TOTAL REVENUES</b>	<b>3,880,855</b>	<b>17,830</b>	<b>226,407</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,125,092</b>	
<b>EXPENDITURES</b>									
Salaries	1,705,097		151,009					1,856,106	
Staff Benefits	949,295		89,187					1,038,482	
General Expense	112,627							112,627	
Printing	30,652							30,652	
Telecommunications	12,452							12,452	
Postage	32,542							32,542	
Insurance	2,805							2,805	
Travel in State	8,023		1,347					9,370	
Travel Out of State	-							-	
Training	524							524	
Security	150							150	
Facilities Operations	51,450							51,450	
Utilities	-							-	
Contracted Services	782,758							782,758	
Consulting and Professional Services - County Provided	200							200	
Information Technology (IT)	91,779							91,779	
Major Equipment	-							-	
Other Items of Expense	147							147	
Juror Costs	3,438							3,438	
Other	-							-	
Debt Service	-							-	
Court Construction	-							-	
Distributed Administration & Allocation	(48,039)							(48,039)	
Prior Year Expense Adjustment	-							-	
<b>TOTAL EXPENDITURES</b>	<b>3,735,901</b>	<b>-</b>	<b>241,543</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,977,443</b>	
Operating Transfers In (Out)								-	
<b>Fund Balance (Deficit)</b>									
<b>Beginning Balance (Deficit)</b>	<b>1,539,600</b>	<b>56,882</b>	<b>(5,399)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,591,082</b>	
<b>Ending Balance (Deficit)</b>	<b>1,684,554</b>	<b>74,712</b>	<b>(20,535)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,738,731</b>	

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
<b>Ending Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
<b>Ending Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
<b>Ending Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731



Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
<b>Ending Balance (Deficit)</b>	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

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

Expenses Category		Amount
GL Account	Description	
900000	Salaries	154,388
910000	Staff Benefits	51,463
920001	General Expense	102,925
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	102,925
940000	Consulting and Professional Services - County Provided	-
943000	Information Technology (IT)	102,925
945000	Major Equipment	-
950000	Other Items of Expense	-
972000	Other	-
973000	Debt Service	-
983000	Court Construction	-
990000	Distributed Administration & Allocation	-
<b>Total</b>		<b>514,625</b>

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

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	FY 2021-22 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	514,625	-							514,625
Expenditures	-	205,850	154,388	154,388					514,625
<b>Cumulative Balance</b>	<b>514,625</b>	<b>308,775</b>	<b>154,388</b>	-	-	-	-	-	-

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



Original Request:

Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution									-
Expenditures									-
<b>Cumulative Balance</b>	-	-	-	-	-	-	-	-	-

Amended request

Description	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution									-
Expenditures									-
<b>Cumulative Balance</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>		
<b>SUPERIOR COURT:</b> Sutter	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Stephanie M. Hansel, Court Executive Officer <span style="float: right;"></span> <b>CONTACT PERSON AND CONTACT INFO:</b> Joe Azevedo, Court Fiscal Officer, (530) 822-3340; jazevedo@suttercourts.com	
<b>DATE OF SUBMISSION:</b> 2/18/2020	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FISCAL YEARS 2018-2019 THROUGH 2020-21</b>	<b>REQUESTED AMOUNT:</b> \$245,112.00
<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 is requesting that an additional \$70,112, for a total of \$245,112, be held on behalf of the Court, to stagger identified savings to replace our aging IT infrastructure and implement other technological enhancements.</p> <p style="color: red;">The Court is requesting a change in the timeline to spend these monies.</p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<b>A. Identify sections and answers amended.</b>  Sections 1 and 4.		
<b>B. Provide a summary of the changes to the request.</b>  <p>The Court has identified additional savings that it would like to use to replace our aging IT infrastructure. The projected expense of replacing the current infrastructure is likely to be between \$150,000 and \$200,000. Remaining funds will be used for other technological enhancements, such as enhanced digital signage in public areas, self-serve payment and printing kiosks, and/or enhanced online services and interactivity.</p> <p style="color: red;">Due to limited Court IT resources performing other mission critical work, the Court respectfully requests changing the timeline to spend funds held on behalf of the Court from FY 2019-20 to FY 2020-21.</p>		
<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>Initial projections show that replacing our IT infrastructure, including servers and the software and licenses needed to operate them, will cost the Court a minimum of \$150,000 and likely closer to \$200,000. The Court does not have the funding necessary to replace our IT infrastructure in one fiscal year. Holding any identified savings this fiscal year will help the Court save money for the anticipated purchases in 1-2 years.</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 requested funds will be used in conjunction with future monies to purchase IT hardware required to sustain all court services, including juror services and applications, our public website, security applications to protect from and detect information security breaches, our AD domain infrastructure, file servers, backup servers, eWarrant services, print services, building system control servers, management and workflow automation applications, email, and so on. This allows the Court to save over multiple fiscal years for a known expense as opposed to impacting a single budget year with a high-dollar expenditure.

**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, the Court would be forced to rely on aging infrastructure that will eventually fail, at which time all court operations would be negatively impacted. An expenditure this large in a single budget year would impact hiring and negotiations and could potentially result in employee lay-offs depending on budget conditions.

**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 longer wait times would occur due to computer delays and downtime as all information, including case files, are now electronic.

**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**

**See attachment.**

**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**

**See attachment.**

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

**See attachment.**

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

**See revised attachment.**

If a cost efficiency, please provide cost comparison

Status Quo					
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
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				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
<b>Net Revenue (Expense)</b>		-	-	-	-

Proposed Project					
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
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				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
<b>Net Revenue (Expense)</b>		-	-	-	-

<b>Cumulative Cost Savings</b>		-	-	-	-
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If a cost efficiency, please provide cost comparison

Status Quo				
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
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			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
<b>Net Revenue (Expense)</b>		-	-	-

Proposed Project				
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
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			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
<b>Net Revenue (Expense)</b>		-	-	-

<b>Cumulative Cost Savings</b>		-	-	-
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Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2015-16	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>977,253</b>	<b>334,707</b>	-					<b>1,311,960</b>
Revenues	5,723,681	323,995	429,965					<b>6,477,641</b>
Expenditures	5,565,616	283,564	493,303					<b>6,342,483</b>
Operating Transfers In (Out)	(63,338)	-	63,338					-
<b>Ending Fund Balance</b>	<b>1,071,980</b>	<b>375,138</b>	-	-	-	-	-	<b>1,447,118</b>

FY 2016-17	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>1,071,980</b>	<b>375,138</b>	-					<b>1,447,118</b>
Revenues	5,618,206	333,642	394,278					<b>6,346,126</b>
Expenditures	6,146,961	446,518	420,723					<b>7,014,202</b>
Operating Transfers In (Out)	(26,445)	-	26,445					-
<b>Ending Fund Balance</b>	<b>516,780</b>	<b>262,262</b>	-	-	-	-	-	<b>779,042</b>

FY 2017-18	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>516,780</b>	<b>262,262</b>	-					<b>779,042</b>
Revenues	5,827,185	337,881	375,146					<b>6,540,212</b>
Expenditures	5,871,311	337,297	421,075					<b>6,629,683</b>
Operating Transfers In (Out)	(82,139)	36,210	45,929					-
<b>Ending Fund Balance</b>	<b>390,515</b>	<b>299,056</b>	-	-	-	-	-	<b>689,571</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 cc

	FY 2018-19							
	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	6,537,652	39,882						6,577,534
Grants			426,621					426,621
Other Financing Sources	67,000	268,537						335,537
<b>TOTAL REVENUES</b>	<b>6,604,652</b>	<b>308,419</b>	<b>426,621</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>7,339,692</b>
<b>EXPENDITURES</b>								
Salaries	2,979,374	126,698	167,653					3,273,725
Staff Benefits	2,071,210	98,489	122,133					2,291,832
General Expense	153,788	12,900	600					167,288
Printing	6,140	5,300						11,440
Telecommunications	55,081							55,081
Postage	31,670	15,250						46,920
Insurance	3,600							3,600
Travel in State	2,811		3,381					6,192
Travel Out of State								-
Training	3,560		880					4,440
Security	198,967							198,967
Facilities Operations	29,653							29,653
Utilities								-
Contracted Services	811,542	19,500	99,432					930,474
Consulting and Professional Services - County Provided	9,800							9,800
Information Technology (IT)	265,303							265,303
Major Equipment								-
Other Items of Expense	700							700
Juror Costs	14,300							14,300
Other	50,000							50,000
Debt Service								-
Court Construction								-
Distributed Administration & Allocation			51,434					51,434
Prior Year Expense Adjustment								-
<b>TOTAL EXPENDITURES</b>	<b>6,687,499</b>	<b>278,137</b>	<b>445,513</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>7,411,149</b>
Operating Transfers In (Out)	(18,892)		18,892					-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	<b>390,515</b>	<b>299,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>689,571</b>
<b>Ending Balance (Deficit)</b>	<b>288,776</b>	<b>329,338</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>618,114</b>

Current detailed budget projection on court's behalf

Description	FUNDS							TOTAL
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114
<b>Ending Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

Description	FUNDS							TOTAL
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114
<b>Ending Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

Description	FUNDS							TOTAL
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114
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Description	FUNDS							TOTAL
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
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Description	FUNDS							
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
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Description	FUNDS							
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	288,776	329,338	-	-	-	-	-	618,114
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	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
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								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	<b>288,776</b>	<b>329,338</b>	-	-	-	-	-	<b>618,114</b>
<b>Ending Balance (Deficit)</b>	<b>288,776</b>	<b>329,338</b>	-	-	-	-	-	<b>618,114</b>

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)	55,000
945000	Major Equipment	200,000
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
<b>Total</b>		<b>255,000</b>

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

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	▼	▼	▼	▼	▼	Total
Contribution	50,000								50,000
Expenditures			50,000						50,000
<b>Cumulative Balance</b>	<b>50,000</b>	<b>50,000</b>	-	-	-	-	-	-	-

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


Original Request:

Description	FY 2018-19	FY 2019-20	FY 2020-21						Total
Contribution	50,000								50,000
Expenditures			50,000						50,000
<b>Cumulative Balance</b>	<b>50,000</b>	<b>50,000</b>	-	-	-	-	-	-	-

Amended request

Description	FY 2018-19	FY 2019-20	FY 2020-21						Total
Contribution	245,112								245,112
Expenditures		-	245,112						245,112
<b>Cumulative Balance</b>	<b>245,112</b>	<b>245,112</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>	
<b>SUPERIOR COURT:</b> Kern	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> <b>Tamarah Harber-Pickens, Court Executive Officer</b>
	<b>CONTACT PERSON AND CONTACT INFO:</b> <b>Travis Andreas, Deputy CEO – Finance</b> <a href="mailto:travis.andreas@kern.courts.ca.gov">travis.andreas@kern.courts.ca.gov</a>
<b>DATE OF SUBMISSION:</b> 04/16/20120	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2021-2022</b>
	<b>REQUESTED AMOUNT:</b> <b>\$ 676,688</b>
<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 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 intent was that the new system would enhance court operations by providing a single case management system for all case types improving the operations of the Court, providing for a fully integrated system using new technology including digital file storage, e-filing, and other similar state-of-the-art enhancements. Other courts, as well as Kern, have not received the expected service level from Tyler for some time. This issue is expected only to continue. Furthermore, the County of Kern is stalling on making a decision as to whether to migrate to the Tyler case management system. The road-blocks mention stalled the conversion project, and the Court is exploring various ways to move forward, possibly with a new vendor.</p> <p>It is respectfully requested that the Superior Court, County of Kern, be allowed to carryover funds held to use for the continued conversion of the case management system.</p>	
<b>SECTION II: AMENDED REQUEST CHANGES</b>	
<p><b>A. Identify sections and answers amended.</b></p> <p><b>Amendment 5 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$0 spent = \$676,688)</b>  <i>Amendment 4 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$690 spent = \$676,688)</i>  <i>Amendment 3 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$0 spent = \$677,378)</i>  <i>Amendment 2 -Section I - REQUESTED AMOUNT (was \$830,528 less: \$153,150 spent = \$677,378)</i>  <i>Amendment 1 -Section I - REQUESTED AMOUNT (was \$895,286 less: \$64,758 = \$830,528)</i></p> <p><b>B. Provide a summary of the changes to the request.</b></p> <p>Generally, the changes have been to extend the time frame for use of funds held.</p>	
<b>SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE</b>	
<p><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 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 the 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, on top of what we expect the budget fallout due to COVID-19.

**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 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. Reporting capabilities will also be greatly enhanced.

**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. This would amount to a lack of organizational effectiveness due to the fact that there are efficient connectivity and services that we are not able to access. This ultimately limits access to justice, which hinders the Court's operational mission.

**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. This means that some parties would have to travel four or more hours round trip. This will limit 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?**

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. Also, the current system does not have robust reporting capabilities which limits the efficacy of staff time.

**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

N/A

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

N/A



## 1 **Summary of Recommended Process, Criteria, and Required Information for** 2 **Trial Court Trust Fund Fund Balance Held on Behalf of the Courts**

### 3 4 **Recommended Process for Trial Court Trust Fund Fund Balance Held on Behalf** 5 **of the Courts**

- 6
- 7 1. Trial Court Trust Fund fund balance will be held on behalf of trial courts only for  
8 expenditures or projects that cannot be funded by a court's annual budget or three-year  
9 encumbrance term and that require multiyear savings to implement.
- 10 a. Categories or activities include, but are not limited to:
- 11 i) Projects that extend beyond the original planned three-year term process such as  
12 expenses related to the delayed opening of new facilities or delayed deployment of  
13 new information systems;
- 14 ii) Technology improvements or infrastructure such as installing a local data center, data  
15 center equipment replacement, case management system deployment, converting to a  
16 VoIP telephone system, desktop computer replacement, and replacement of backup  
17 emergency power systems;
- 18 iii) Facilities maintenance and repair allowed under rule 10.810 of the California Rules of  
19 Court such as flooring replacement and renovation as well as professional facilities  
20 maintenance equipment;
- 21 iv) Court efficiencies projects such as online and smart forms for court users and RFID  
22 systems for tracking case files; and
- 23 v) Other court infrastructure projects such as vehicle replacement and copymachine  
24 replacement.
- 25
- 26 2. The submission, review, and approval process is as follows:
- 27 a. All requests will be submitted to the Judicial Council for consideration.
- 28 b. Requests will be submitted to the *director of Budget Services* by the court's presiding  
29 judge or court executive officer.
- 30 c. *Budget Services* staff will review the request, ask the court to provide any missing or  
31 incomplete information, draft a preliminary report, share the preliminary report with the  
32 court for its comments, revise as necessary, and issue the report to the *Fiscal Planning*  
33 *Subcommittee* of the Trial Court Budget Advisory Committee (TCBAC); the  
34 *subcommittee* will meet to review the request, hear any presentation of the court  
35 representative, and ask questions of the representative if one participates on behalf of the  
36 court; and *Budget Services* office staff will issue a final report on behalf of the  
37 *subcommittee* for the council.
- 38 d. The final report to the *subcommittee* and the Judicial Council will be provided to the  
39 requesting court before the report is made publicly available on the California Courts  
40 website.
- 41 e. The court may send a representative to the *subcommittee* and Judicial Council meetings  
42 to present its request and respond to questions.
- 43

- 44 3. To be considered at a scheduled Judicial Council business meeting, requests must be  
45 submitted to the *director of Budget Services* at least 40 business days (approximately  
46 eight weeks) before that business meeting.
- 47
- 48 4. The Judicial Council may consider including appropriate terms and conditions that courts  
49 must accept for the council to approve designating TCTF fund balance on the court's behalf.  
50 a. Failure to comply with the terms and conditions would result in the immediate change in  
51 the designation of the related TCTF fund balance from restricted to unrestricted and no  
52 longer held on behalf of the court unless the council specifies an alternative action.
- 53
- 54 5. Approved requests that courts subsequently determine need to be revised to reflect a change  
55 (1) in the amounts by year to be distributed to the court for the planned annual expenditures  
56 and/or encumbrances, (2) in the total amount of the planned expenditures, or (3) of more than  
57 10 percent of the total request among the categories of expense will need to be amended and  
58 resubmitted following the submission, review, and approval process discussed in 1–3 above.  
59 a. Denied revised requests will result in the immediate change in the designation of the  
60 related TCTF fund balance from restricted to unrestricted and no longer held on behalf of  
61 the court unless the council specifies an alternative action.
- 62
- 63 6. Approved requests that courts subsequently determine have a change in purpose will need to  
64 be amended and resubmitted following the submission, review, and approval process  
65 discussed in 1–3 above, along with a request that the TCTF funds held on behalf of the court  
66 for the previously approved request continue to be held on behalf of the court for this new  
67 purpose.  
68 a. Denied new requests tied to previously approved requests will result in the immediate  
69 change in the designation of the related TCTF fund balance from restricted to unrestricted  
70 and no longer held on behalf of the court unless the council specifies an alternative  
71 action.
- 72
- 73 7. On completion of the project or planned expenditure, courts are required to report to the Trial  
74 Court Budget Advisory Committee within 90 days on the project or planned expenditure and  
75 how the funds were expended.
- 76
- 77 8. As part of the courts' audits in the scope of the normal audit cycle, a review of any funds that  
78 were held on behalf of the courts will be made to confirm that they were used for their stated  
79 approved purpose.

80 **Recommended Criteria for Eligibility for TCTF Fund Balance Held on Behalf of the**  
81 **Courts**

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

85  
86 **Recommended Information Required to Be Provided by Trial Courts for TCTF**  
87 **Fund Balance Held on Behalf of the Courts**

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

90  
91 **SECTION I**

92 **General Information**

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

100  
101 **SECTION II**

102 **Amended Request Changes**

- 103 • Sections and answers amended
- 104 • A summary of changes to request

105  
106 **SECTION III**

107 **Trial Court Operations and Access to Justice**

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

119 **SECTION IV**120 **Financial Information**

- 121 • Three-year history of year-end fund balances, revenues, and expenditures (*table template*  
122 *provided*)
- 123 • Current detailed budget projections for the fiscal years during which the trial court would  
124 either be contributing to the TCTF fund balance held on the court's behalf or receiving  
125 distributions from the TCTF fund balance held on the court's behalf (*table template*  
126 *provided*)
- 127 • Identification of all costs, by category and amount, needed to fully implement the project  
128 (*table template provided*)
- 129 • A specific funding and expenditure schedule identifying the amounts to be contributed and  
130 expended, by fiscal year (*table template provided*)

JUDICIAL COUNCIL OF CALIFORNIA  
BUDGET SERVICES  
Report to the Fiscal Planning Subcommittee

**(Action Item)**

**Title:** Children’s Waiting Room (CWR) Distribution and Fund Balance Policy  
**Date:** 5/21/2020  
**Contact:** Catrayel Wood, Senior 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 recommendations to streamline the CWR Distribution and Fund Balance Policy and review process and eliminate the requirement for annual reporting by courts that have Judicial Council–approved adjustments to their CWR fund balance caps.

**Background**

**Government Code**

Government Code section 70640 authorizes the Judicial Council to provide monthly CWR distributions to each court where a CWR has been established or where the court has elected to establish such a service. CWR distributions for individual courts are made from the respective court’s first paper civil filing fee collections, which would otherwise support all courts’ Trial Court Trust Fund (TCTF) base allocations. The distribution to a court must be no less than \$2 and no more than \$5 per paid first paper civil filing fee.

**Judicial Council Policy**

The Judicial Council first adopted a policy and procedure on court requests for CWR distributions at its business meeting on June 27, 2014<sup>1</sup>. The council has since adopted various revisions to the policy, including clarification on when distributions may be requested in advance of a CWR planned opening and when distributions will end for temporary or permanent closures. Additionally, effective June 26, 2015<sup>2</sup>, the policy specified a cap on the amount of CWR fund balance that courts can carry forward from one fiscal year to the next, based on the highest annual distribution within the most recent three fiscal years. Courts that have a CWR fund balance in excess of the calculated CWR cap would have their allocation reduced by the amount above the cap in the subsequent fiscal year.

At its business meeting on March 24, 2017<sup>3</sup>, the council approved a revision to the policy to extend the review and adjustment of CWR fund balances from an annual to a biennial schedule and require annual reporting for courts that retain excess funding for multiyear contracts.

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<sup>1</sup> Judicial Council meeting report (June 27, 2014), <https://www.courts.ca.gov/documents/jc-20140627-itemK.pdf>

<sup>2</sup> Judicial Council meeting report (June 26, 2015), <https://www.courts.ca.gov/documents/jc-20150626-itemH.pdf>

<sup>3</sup> Judicial Council meeting report (March 24, 2017), <https://jcc.legistar.com/View.ashx?M=F&ID=5005745&GUID=C29E79A9-B372-46C1-9EFF-10AA6B8E627C>; Judicial Council meeting minutes (March 24, 2017), <https://jcc.legistar.com/View.ashx?M=M&ID=512287&GUID=36F65B81-0E08-4742-BB85-AEDC68B7ED15>

JUDICIAL COUNCIL OF CALIFORNIA  
BUDGET SERVICES  
Report to the Fiscal Planning Subcommittee

**Trial Court Budget Advisory Committee (TCBAC)**

At its meeting on November 21, 2019, the TCBAC approved recommendations including CWR policy refinements that updated the timing of when CWR fund balance cap reductions will occur, removal of language that is no longer relevant, other technical revisions to clarify language in the policy, and the timeline for submissions, which was approved by the Judicial Council at its business meeting on January 17, 2020.

During committee discussion it was remarked that substantial effort goes into implementing the CWR policy, which includes 18 of 58 courts participating and a total fund balance of \$3.418 million as of June 30, 2019. While it was recognized that the current level of analysis reflected a time when CWR funds required greater scrutiny due to some courts receiving funds and not opening CWRs, it was expressed that this is no longer the case and it would be beneficial to consider further changes to the policy that would result in a process that reflects the scope of the program today.

**CWR Policy Review**

Budget Services staff has identified options to further simplify the CWR process including:

- A. Have recommendations on each court’s CWR request originate from the Fiscal Planning Subcommittee (FPS) instead of TCBAC.
  - i. As subcommittee to the TCBAC, the FPS reviews Funds Held on Behalf of Trial Courts (FHOB)<sup>4</sup> requests and makes recommendations directly to the Judicial Council as a consent item. The subcommittee also reviews CWR policy changes, requests, biennial and annual reports, and makes recommendations to the TCBAC.
  - ii. Recommendations for CWR requests that go directly from the FPS to the council would provide relief to the current process, further simplifying it. CWR policy change recommendations heard by the FPS would still go to the TCBAC for recommendation to the council for consideration.
- B. Remove language specifying that “for courts that have Judicial Council–approved adjustments to their CWR caps, annual reporting will be required 60 days after the end of each fiscal year using a template provided by JC Budget Services staff.”
  - i. Action taken adding annual reporting for courts that retain excess funding for multi-year contracts was made in concert with amending the review and adjustments of CWR fund balances from annual to biennial. Annual reporting was adopted to ensure excess funds are being used appropriately, or changes to operations or expenditures is reported.

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<sup>4</sup> Judicial Council meeting report (January 17, 2020), <https://jcc.legistar.com/View.ashx?M=F&ID=7976129&GUID=D738CEC9-79AE-4ED7-BE07-A7A507BAEBB9>

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- ii. Courts requesting a cap adjustment during the biennial review provide justification and substantiate their need with detailed financial information including:
  - Three years of historical CWR revenue, expenditures, and fund balance;
  - Three years projected CWR revenue, expenditures, and fund balance; and
  - Detailed expenditure plan for three subsequent fiscal years.
- iii. Those courts that receive a cap adjustment must then submit subsequent annual reports updating the financial information provided in their cap adjustment request, which are provided to the TCBAC as an informational item.
- iv. Annual reporting of excess funds for multi-year contracts impacts only four of the participating CWR courts. Removing this administrative requirement would alleviate annual reporting requirements for trial courts, a process that has proven thus far to produce zero action.
- v. Budget Services staff recommends removing the annual reporting requirement because courts provide detailed information that demonstrates the need for a cap adjustment, which is currently considered through the TCBAC to the Judicial Council. Cap adjustments are relatively small in relation to a court's overall operating budget (e.g., for one court it represents .003% of its operating budget), and there has not been proven justification for continuing to monitor courts with a cap adjustment more often than those without one.

*Alternative to Option B: Change reporting on approved cap adjustments to biennial to align with the review and adjustment of CWR fund balances. This would retain oversight of cap adjustments and still lessen the administrative burden.*

**Recommendation**

Budget Services staff recommends the FPS approve for consideration to the TCBAC:

- A. Recommendations to the council on each court's CWR request come directly from the FPS;
- B. Remove the requirement for annual reporting by courts that receive a CWR cap adjustment; and
- C. Direct Budget Services staff to revise forms that meet policy requirements based on action taken by the Judicial Council when considering the TCBAC recommendation.

**Attachments**

**Attachment A:** Current CWR Distribution and Fund Balance Policy

**Attachment B:** Amended CWR Distribution and Fund Balance Policy

## Current Children's Waiting Room (CWR) Distribution and Fund Balance Policy

1 A court's presiding judge or executive officer must submit a request to the director of  
2 Judicial Council (JC) Budget Services office 70 business days prior to the date of the  
3 council meeting at which the court is requesting consideration.

### 4 A. Applying for a New CWR Distribution

- 5 • The request must include the following information:
  - 6 ○ Date of the council meeting at which the court is requesting consideration.
  - 7 ○ Requested effective date of the distribution (July 1 or January 1). If a court  
8 wants to begin receiving distributions more than one year in advance of the  
9 planned opening date of a CWR, the request should include an explanation of  
10 the extenuating circumstance(s).
  - 11 ○ The scheduled opening date of the CWR(s).
  - 12 ○ Description of the CWR(s).
  - 13 ○ The date when the court intends to make expenditures related to  
14 operating its CWR(s).
  - 15 ○ The requested distribution amount between \$2 and \$5. Courts can request JC  
16 Budget Services to provide an estimate of annual distributions.
- 17 • The Trial Court Budget Advisory Committee (TCBAC) will make a  
18 recommendation to the council on each court's request.
- 19 • If the council approves that distributions begin prior to the operating of a CWR but  
20 the court does not operate a CWR six months after their planned opening date, the  
21 court must apply for a continued distribution.

### 22 B. Requesting a Decreased CWR Distribution Amount

- 23 • Any court's request to decrease its existing CWR distribution must be approved by  
24 the Judicial Council and the request can be implemented by JC Budget Services  
25 staff, effective either January 1 or July 1.

### 26 C. Temporarily or Permanently Ceasing CWR Operations

- 27 • Courts that cease operating all CWRs must notify the director of JC Budget Services  
28 within 60 days of the cessation date. Unless a court provides notification and applies  
29 to continue receiving distributions while not operating a CWR within 60 days of the  
30 cessation date, the court's CWR distributions will be stopped either January 1 or July  
31 1, whichever is earlier, and the court will be required to return any CWR fund  
32 balance to the Trial Court Trust Fund (TCTF).
- 33 • For courts that are required to return all of their remaining CWR fund balance to the  
34 TCTF, the return of the CWR fund balance will occur on the February trial court  
35 distribution for those courts that the CWR distribution stopped on January 1, and on  
36 the August distribution for those courts that the CWR distributions stopped on July  
37 1. Courts may also request return of any remaining CWR fund balance at any time.
- 38 • If there is a dispute between a court and JC Budget Services staff over the amount of  
39 CWR fund balance to be returned to the TCTF, the dispute will be brought before the  
40 TCBAC and the Judicial Council if the two parties cannot come to a resolution  
41  
42



## Current Children’s Waiting Room (CWR) Distribution and Fund Balance Policy

- 43 within 90 days of the cessation date.
- 44 • An application for a continued distribution must include all the information
- 45 required of courts applying for a new distribution (see section A above) as well as
- 46 the amount of any CWR fund balance.
- 47 • The TCBAC will make a recommendation to the Judicial Council on each
- 48 court’s application.
- 49 • For courts that apply and whose application is denied by the Judicial Council, any
- 50 CWR fund balance shall be returned to the TCTF.

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### 52 D. Cap on CWR Fund Balance

- 53 • Courts shall monitor the CWR distribution amount per filing to ensure it is
- 54 adequate to meet the CWR needs of the court without accumulating an amount in
- 55 excess of the cap described below.
- 56 • Effective July 1, 2015, there shall be a cap on the amount of CWR fund balance that
- 57 courts can carry forward from one fiscal year to the next. The cap shall be the
- 58 amount of the highest annual distribution within the three most recent fiscal years.
- 59 • Courts that have a CWR fund balance greater than the cap (as described above) at the
- 60 end of fiscal years ending with an odd number will be required to return the amount
- 61 above the cap to the TCTF in the subsequent fiscal year.
- 62 • If a court wants to seek a cap adjustment, it must submit a request explaining the
- 63 extenuating circumstance(s) and include its CWR expenditure plan to the director
- 64 of JC Budget Services for consideration by the TCBAC and the Judicial Council.
- 65 The request must be received by the director of JC Budget Services within 60 days
- 66 of the end of the fiscal year for which the adjustment is being requested.
- 67 • For courts that are required to return the portion of their CWR fund balance above the
- 68 cap to the TCTF, the return of the CWR fund balance will occur on the October trial
- 69 court distribution, unless the court has a request for a cap adjustment pending Judicial
- 70 Council consideration.
- 71 • Courts that have submitted a request for a cap adjustment will have action taken on
- 72 their fund balance in the next scheduled distribution following Judicial Council
- 73 consideration of the cap adjustment request.
- 74 • If there is a dispute between a court and JC Budget Services staff over the amount
- 75 of CWR fund balance to be returned to the TCTF, the dispute will be brought
- 76 before the TCBAC and the Judicial Council if the two parties cannot come to a
- 77 resolution within 90 days of the cessation date.
- 78 • The cap applies only to courts that have received at least 12 months of distributions
- 79 in a fiscal year while operating a CWR.
- 80 • JC Budget Services staff will report any return of CWR fund balance through the
- 81 trial court distribution process to the TCBAC and the Judicial Council.
- 82 • For courts that have Judicial Council–approved adjustments to their CWR caps,
- 83 annual reporting will be required 60 days after the end of each fiscal year using a
- 84 template provided by JC Budget Services staff.

## Proposed Children’s Waiting Room (CWR) Distribution and Fund Balance Policy

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