



JUDICIAL COUNCIL
OF CALIFORNIA

TRIAL COURT BUDGET
ADVISORY COMMITTEE

www.courts.ca.gov/tcbac.htm
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TRIAL COURT BUDGET ADVISORY COMMITTEE

FISCAL PLANNING SUBCOMMITTEE

OPEN MEETING AGENDA

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

THIS MEETING IS BEING RECORDED

Date: October 4, 2016
Time: 8:00 a.m. - 9:00 a.m.
Public Call-In Number 1-877-820-7831, Pass code: 3775936 (listen only)

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

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

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

Call to Order and Roll Call

Approval of Minutes from the July 7, 2016 Meeting

II. PUBLIC COMMENT (CAL. RULES OF COURT, RULE 10.75(K)(2))

Public Comment

The public may submit written comments for this meeting. 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. Comments should be e-mailed to tcbac@jud.ca.gov. Only written comments received by October 3, 2016 at 8:00 a.m. will be provided to advisory body members.

The chairs may elect to receive and consider comments that are received late. Written comments received in a timely manner will be provided to advisory members before the start of the meeting or as soon as reasonably practicable during the meeting. Written comments are also posted to www.courts.ca.gov/tcbac.htm.

III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1–2)

Item 1

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

Consideration of whether to recommend that the Judicial Council approve Trial Court Trust Fund funds to be held on behalf of the trial courts in response to the two requests from two trial courts.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin, Chair, Superior Court of California, County of Fresno; Hon. Glenda Sanders, Superior Court of California, County of Orange; Hon. Winifred Younge Smith, Superior Court of California, County of Alameda; Mr. Kevin Harrigan, Superior Court of California, County of Glenn; Mr. Michael D. Planet, Superior Court of California, County of Ventura; Mr. Brian Taylor, Superior Court of California, County of Solano; Mr. David H. Yamasaki, Superior Court of California, County of Santa Clara; and Colin Simpson, Judicial Council Budget Services

Item 2

Consideration of Children’s Waiting Room Fund Balance Cap Adjustment Requests (Action Item)

Consideration of whether to recommend that the Judicial Council approve Children’s Waiting Room fund balance cap adjustments in response to requests from three trial courts.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin; Hon. Glenda Sanders; Hon. Winifred Younge Smith; Mr. Kevin Harrigan; Mr. Michael D. Planet; Mr. Brian Taylor; Mr. David H. Yamasaki; and Colin Simpson

Item 3

Open Discussion (Discussion Item)

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin

IV. INFORMATION ONLY ITEMS (NO ACTION REQUIRED)

Item 4

Update on Amended Trial Court Trust Fund Funds Held on Behalf of the Trial Courts Requests (Informational Item)

The Judicial Council directed those courts with approved requests relying on estimates prior to fiscal year-end to submit amended requests with final amounts and direct Judicial Council staff to inform the council of any final adjustments to the estimated amounts after 2015–2016 year-end.

Presenter(s)/Facilitator(s): Hon. Jonathan B. Conklin; and Colin Simpson

V. ADJOURNMENT

Adjourn.



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FISCAL PLANNING SUBCOMMITTEE

MINUTES OF OPEN MEETING

July 7, 2016

2:00 p.m. - 3:00 p.m.

Veranda Room A and B, 2860 Gateway Oaks Drive, Suite 400
Sacramento, CA 95833

Members Present: Judges: Hon. Jonathan B. Conklin (Chair) and Hon. Winifred Younge Smith.
Executive Officers: Mr. Kevin Harrigan and Mr. Brian Taylor.

Members Absent: Judges: Hon. Glenda Sanders
Executive Officers: Mr. Michael D. Planet and Mr. David H. Yamasaki

Others Present: Superior Courts: Ms. Melanie Jones (Alameda).
Judicial Council staff: Mr. Colin Simpson.

OPEN MEETING

Call to Order and Roll Call

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

Approval of Minutes

The subcommittee reviewed and approved the minutes of the June 1, 2016 Trial Court Budget Advisory Committee (TCBAC) Fiscal Planning Subcommittee meeting.

Public Comment

None received.

DISCUSSION AND ACTION ITEMS (ITEMS 1-2)

Item 1

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

The subcommittee approved two recommendations to the Judicial Council listed below with votes provided in parentheses next to each recommendation:

1. Allocate and designate \$1,204,632 in Trial Court Trust Fund fund balance to the Superior Court of Alameda County and \$99,325 to the Superior Court of Lassen

County from funding to be reduced from the courts' allocation in fiscal year 2016–2017 as a result of the courts' exceeding the 1 percent fund balance cap because of contracts that exceeded their three-year term. The funds would be distributed to the courts in FY 2016–2017 (Unanimous).

2. Direct those courts with approved requests relying on estimates before fiscal year-end to submit amended requests with final amounts, and direct Judicial Council staff to inform the council of any final adjustments to the estimated amounts after FY 2015–2016 year-end (Unanimous).

Item 2

Open Discussion (Discussion Item)

No action taken.

A D J O U R N M E N T

There being no further business, the meeting was adjourned at 2:10 p.m.

Approved by the subcommittee on.

Summary of Requests for TCTF Funds to be Held on Behalf of the Court

#	Court	Amount	Time Period	Category	Quick Summary
1	Mendocino	23,699	2016-17	Project extending beyond 3-year term	Correct deficiencie and inadequacies of Sungard Case Management System
2	Napa	243,860	2016-17	Project extending beyond 3-year term	Delayed implementation of Tyler Case Management System
	Total	267,559			

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

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

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

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

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

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

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

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

SECTION I

General Information

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

SECTION II

Amended Request Changes

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

SECTION III

Trial Court Operations and Access to Justice

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

SECTION IV

Financial Information

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

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

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:

Mendocino

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

Christopher Ruhl, CEO

CONTACT PERSON AND CONTACT INFO: Chris Ruhl, Tel. (707) 467-2511,
Email: chris.ruhl@mendocino.courts.ca.gov

DATE OF SUBMISSION:

8/29/2016

TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 7/1/2016-6/30/2017

REQUESTED AMOUNT:

\$23,699.15

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.):*

This request is to facilitate effective implementation of a new case management system (CMS) for the Superior Court of Mendocino County. Mendocino is one of five California courts that implemented SunGard's ONESolution CMS. While originally scheduled to be the second of the five courts to go live, due to a variety of project delays – ranging from application development to staffing resources, the application process for access to DMV's system, and coordination of the implementation date with other ONESolution courts – Mendocino was the last of the five courts to go live with the new system on May 31, 2016. Vendor resources that should have been devoted to contracted development work were focused on meeting the Go-Live dates of the other courts, thereby leaving the vendor with inadequate time to test and train staff with new programs and features. The delayed Go-Live date in turn delayed implementation of integration with our county justice partners, giving the Court inadequate time to identify shortcomings and inadequacies in data exchanges with those county justice partners.

Despite assurances to the contrary by the CMS vendor (SunGard) over the several months preceding 6/30/16, as FY 15-16 year-end approached the vendor was not able to submit invoices totaling the full amount of the encumbered contract, leaving a contract balance of \$23,699.15 as of the end of FY 15-16. In order to effectively implement the system and pay for needed modifications over FY 16-17, the Court requests utilization of these funds to create a Contingency Fund to pay the cost of those needed modifications.

Being able to use the remaining balance of the funds encumbered for this project will allow us to correct the remaining CMS deficiencies and inadequacies, and enable us to process cases with a high degree of efficiency.

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.

The Court pays very close attention to its budget, and operates very frugally. We limit the purchase of legal reference books and office supplies. Equipment typically is used until it breaks, rather than being replaced on a regular cycle. We do not hire subcontractors to perform work on special projects that can be performed by staff. New staff are typically first hired as "extra help" to save on the cost of benefits. Travel costs are limited only to those that are absolutely necessary, and we require employees to travel together to training courses, etc. in the Court vehicle and share hotel rooms when possible. We have also reduced our operational expenses to bare bones necessities in order to maximize available resources for critically needed staff.

Given the above, funding an unexpected expense of this amount with our Court's modest budget and with little notice is very difficult under ideal circumstances, and nearly impossible in the environment of financial constraint in which we currently operate.

The reasons why the request does not fit within the 3-year encumbrance term are set forth in detail in the "REASON FOR REQUEST" above.

This is not an expense the Court can or will otherwise be able to budget for in FY 16-17.

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?

This request will enable this Court to pay the development costs of several software changes specifically to automate tasks in the CMS that are required to be performed as part of processing a court case. This will enable staff to process cases faster and reduce the potential for errors, providing more time for service to the public, and enhancing our ability to provide that service more efficiently.

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.

An estimated 25-30 hours of staff time each month will be spent performing tedious, repetitive recordkeeping tasks related to the assignment of delinquent court cases to the Enhanced Collections program. Another 8-10 hours will be spent reviewing cases to manually place Failure to Pay holds on criminal case defendant's licenses, with a risk of the wrong type of hold being placed, or placing a hold that should not be placed. 15-20 hours of staff time each month will be spent making trivial yet significant corrections to charges on cases, because the DA-Court data exchange does not accommodate special allegations or determine how count numbers are assigned on co-defendant cases. Another 15-20 hours will be lost typing in case numbers and performing searches by name because clerks will have to use paper-based reports to follow up on tasks rather than clicking a link on the screen to access the case. Performance of other tasks may be delayed depending on priorities. Errors will be made that could have been prevented by automation.

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

If the request is not approved, Court staff time will be spent performing the tasks in (D) above rather than performing other tasks that actually provide a direct service to the public. Seemingly trivial errors could be made that ultimately can have an adverse effect on a defendant's life or possibly dismissal of a charge or case due to the error.

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

This is the preferred alternative because this specific funding was already allocated to our Court, and already dedicated to the effective implementation of a new CMS for this Court. Use of the funding for this purpose will help assure that goal will be fulfilled.

At this point, unfortunately, the Court has not identified any viable alternatives if this request is not approved, largely for the reasons set forth in (A) above.

SECTION IV: FINANCIAL INFORMATION

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

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

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

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

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

Funds are to be distributed and expended in FY 2016-17.

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):*

Richard D. Feldstein

CONTACT PERSON AND CONTACT INFO:

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

DATE OF SUBMISSION:

8/1/2016

TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2015/16 FUNDS TO BE USED IN 2016/17

REQUESTED AMOUNT:

\$243,860

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

In fiscal year 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. The same strategy will need to be used for Phase II of each of our courts implementation, staggering out the three implementation dates through the end of fiscal year 2016/17.

Due to the implementation timeline extension for this CMS project, several other aspects of the project have been pushed out to the 2016/17 fiscal year in addition to the Tyler Contract. Since we are still working on Phase II of the project, we were not able to contract for all goods and services budgeted for Phase II in 2015/16. Estimated additional costs to complete this project are estimated at \$300,000, well over the \$243,860 that we are requesting to be held as follows:

IT Professional Services for Data Exchange/Integration 2016/17 contract in progress with Sierra-Cedar, Inc – \$45,000
 Additional IT Professional Services for Data Exchange/Integration with Sierra-Cedar, Inc (based on draft SOW) - \$100,000
 IT Professional Services with New Team Software for transitioning our current document management solution from our legacy CMS to the new CMS - \$25,000
 IT Temporary Employee Court Systems Technician salary and benefits for 2016/17 - \$80,000
 Legacy Case Management System Maintenance for 2016/17 - \$50,000

SECTION II: AMENDED REQUEST CHANGES N/A

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.

The project was based on a cooperative effort share the costs and establish greater intra-court uniformity. As such, it requires more time to allow for joining meetings and coordinating efforts that reduced the cost of the project by approximately 25% for Napa.

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

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

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

Our current CMS (Sustain Justice Edition/SJE) is an outdated technology that will no longer be supported by the vendor. This project provides an updated CMS that is uniform with the majority of the other courts throughout the state and allows for greater sharing of future enhancements and maintenance costs. More importantly, the new CMS provides greater access to court services than the current CMS, in particular eFiling, Internet portal access to case information, on-line automated self-represented litigant document preparation and filing services, court kiosks programs, cell and note pad access for judges, and internal workflow capabilities.

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

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

The court would have to either reduce services to the public and our justice partners to shift funding to the completion of this project. This would likely result in additional lay off of employees beyond those that occurred during the Great Recession. Such actions would bring the courts operations to a virtual halt as we have already reduced staffing from 91 FTEs in 2009 to only 69 in 2016. The court would be forced to reduce its operating hours further from its current hours which are already insufficient to provide adequate access to justice services.

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

The court has successfully implemented the new CMS for civil, family law, probate, small claims, and juvenile dependency cases. If this request is not approved and the funding reverted back to the Trial Court Trust Fund, the court would be unable to complete its implementation of the CMS for criminal, traffic, and juvenile delinquency matters. As a result, the court would not be able to utilize the systems capabilities in the areas of eFiling, Internet portal access to case information, on-line automated self-represented litigant document preparation and filing services, court kiosks programs, cell and note pad access for judges, and internal workflow capabilities to increase access by litigants, justice partners, and other members of the public seeking services and information for criminal, traffic, and juvenile delinquency cases.

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

The only alternatives available are:

1. The reduction of court services and access and shifting of current operating funds to the project as described in the answer to Item D.
2. Seek additional funding from the Trial Court Budget Advisory Committee and Judicial Council or through a Budget Change Proposal.

Both of these alternatives are undesirable because:

1. They would potentially draw funding away from other courts who are also in need to technology resources.

2. They would bring the project to a complete halt for one to two years thereby depriving the court's constituency of the badly needed technological improvements described above.
3. Such lengthy delays often result in increased costs as the stop and start process causes a great deal of duplication of project management and technological tasks.
4. We would have to maintain our current CMS system longer than expected and longer than budgeted. This is problematic for several reasons. This version is using very outdated technology. We would need to maintain separate versions of Microsoft products to maintain both the old and the new CMS systems. This platform is also in the process of being obsoleted by the vendor. This will affect our ability to maintain the system and the maintenance costs could skyrocket, if supported at all. We would also need to continue to pay for license costs in addition to paying for the new CMS license costs.

SECTION IV: FINANCIAL INFORMATION

N/A PER INSTRUCTIONS SINCE EXPENDITURES ARE EXPECTED TO BE COMPLETED DURING 2016/17 FISCAL YEAR

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**

Children's Waiting Room Distributions, Fund Balance, and Estimated Cap Reductions

Court	2012-13	2013-14	2014-15	Highest Dist.	Info Only				Calculated CWR Reduction	Court Confirmed Reduction	Pending Adjustment Requests	Confirmed Adjusted Reductions
					CWR 12-13 Fund Balance	CWR 13-14 Fund Balance	CWR 14-15 Fund Balance	CWR 15-16 Fund Balance				
	A	B	C	D	E	F	G	H	I	J	K	L
Alameda	192,017	174,397	165,434	192,017	686,962	552,196	417,014	269,323	(77,305)	(77,305)	-	(77,305)
Alpine	-	-	-	-	-	-	-	-	-	-	-	-
Amador	-	-	-	-	-	-	-	-	-	-	-	-
Butte	-	-	21,312	21,312	-	-	13,736	6,148	-	-	-	-
Calaveras	-	-	-	-	-	-	-	-	-	-	-	-
Colusa	-	-	-	-	-	-	-	-	-	-	-	-
Contra Costa	131,087	126,632	106,292	131,087	1,102,688	1,114,391	1,092,262	1,044,995	(913,908)	(913,908)	67,946	(845,962)
Del Norte	-	-	-	-	-	-	-	-	-	-	-	-
El Dorado	21,064	18,305	-	21,064	223,924	244,327	244,892	245,806	(224,742)	(245,806)	-	(245,806)
Fresno	112,844	108,094	98,711	112,844	88,885	67,042	34,043	-	-	-	-	-
Glenn	-	-	-	-	-	-	-	-	-	-	-	-
Humboldt	-	-	-	-	-	-	-	-	-	-	-	-
Imperial	-	-	-	-	-	-	-	-	-	-	-	-
Inyo	-	-	-	-	-	-	-	-	-	-	-	-
Kern	-	-	-	-	-	-	-	-	-	-	-	-
Kings	-	-	-	-	-	-	-	-	-	-	-	-
Lake	-	-	-	-	-	-	-	-	-	-	-	-
Lassen	-	-	-	-	-	-	-	-	-	-	-	-
Los Angeles	990,928	936,724	829,265	990,928	1,538,379	1,295,985	853,148	539,503	-	-	-	-
Madera	-	-	-	-	-	-	-	-	-	-	-	-
Marin	-	-	-	-	-	-	-	-	-	-	-	-
Mariposa	-	-	-	-	-	-	-	-	-	-	-	-
Mendocino	-	-	-	-	-	-	-	-	-	-	-	-
Merced	24,586	22,732	20,851	24,586	-	73,472	92,638	-	-	-	-	-
Modoc	-	-	-	-	-	-	-	-	-	-	-	-
Mono	-	-	-	-	-	-	-	-	-	-	-	-
Monterey	-	-	35,124	35,124	-	-	35,157	68,223	-	-	-	-
Napa	-	-	-	-	-	-	-	-	-	-	-	-
Nevada	-	-	-	-	-	-	-	-	-	-	-	-
Orange	457,064	423,422	376,107	457,064	1,635,422	1,551,428	1,287,568	1,009,393	(552,329)	(552,329)	552,329	-
Placer	-	-	-	-	-	-	-	-	-	-	-	-
Plumas	-	-	-	-	-	-	-	-	-	-	-	-
Riverside	320,048	290,080	254,609	320,048	80,884	138,516	138,470	123,107	-	-	-	-
Sacramento	296,199	279,388	241,942	296,199	167,492	189,662	190,408	451,860	(155,661)	(155,661)	-	(155,661)
San Benito	-	-	-	-	-	-	-	-	-	-	-	-
San Bernardino	-	-	-	-	-	-	-	-	-	-	-	-
San Diego	414,159	383,285	350,800	414,159	0	0	0	-	-	-	-	-
San Francisco	119,899	112,455	106,721	119,899	23,494	(0)	(0)	-	-	-	-	-
San Joaquin	-	-	-	-	-	-	-	-	-	-	-	-
San Luis Obispo	29,848	26,818	24,872	29,848	238,015	265,080	290,713	315,631	(285,783)	(285,783)	-	(285,783)
San Mateo	80,444	77,519	66,316	80,444	-	268	971	9,886	-	-	-	-
Santa Barbara	47,540	43,866	39,718	47,540	541,514	525,468	516,950	503,272	(455,732)	(455,732)	455,732	-
Santa Clara	188,961	177,027	154,615	188,961	798,045	731,251	649,828	558,715	(369,755)	(369,755)	-	(369,755)
Santa Cruz	-	-	-	-	-	-	-	-	-	-	-	-
Shasta	-	-	-	-	-	-	-	-	-	-	-	-
Sierra	-	-	-	-	-	-	-	-	-	-	-	-
Siskiyou	-	-	-	-	-	-	-	-	-	-	-	-
Solano	58,051	55,986	47,757	58,051	180,765	227,514	248,473	234,248	(176,197)	(176,197)	-	(176,197)
Sonoma	61,364	52,810	48,527	61,364	28,749	16,502	15,119	10,578	-	-	-	-
Stanislaus	61,806	60,059	21,299	61,806	963,942	1,023,486	1,044,233	1,055,373	(993,567)	(993,567)	-	(993,567)
Sutter	-	-	-	-	-	-	-	-	-	-	-	-
Tehama	-	-	-	-	-	-	-	-	-	-	-	-
Trinity	-	-	-	-	-	-	-	-	-	-	-	-
Tulare	-	-	-	-	-	-	-	-	-	-	-	-
Tuolumne	-	-	-	-	-	-	-	-	-	-	-	-
Ventura	102,279	91,686	83,721	102,279	20,883	42,009	50,556	50,026	-	-	-	-
Yolo	-	-	-	-	-	-	-	-	-	-	-	-
Yuba	-	-	-	-	-	-	-	-	-	-	-	-
Total	3,710,187	3,461,288	3,093,995	3,766,623	8,320,042	8,058,598	7,216,178	6,496,087	(4,204,980)	(4,226,044)	1,076,008	(3,150,036)

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

A. Applying for a New CWR Distribution

- A court's presiding judge or executive officer must submit a request to the director of the Judicial Council Finance Office 45 days prior to the date of the council meeting at which the court is requesting consideration.
- The request must include the following information:
 - Date of the council meeting at which the court is requesting consideration.
 - Requested effective date of the distribution (July 1 or January 1). If a court wants to begin receiving distributions more than one year in advance of the planned opening date of a CWR, the request should include an explanation of the extenuating circumstance(s).
 - The scheduled opening date of the CWR(s).
 - Description of the CWR(s).
 - The date when the court intends to make expenditures related to operating its CWR(s).
 - The requested distribution amount between \$2 and \$5. Courts can request the Judicial Council Finance Office to provide an estimate of annual distributions.
- The Trial Court Budget Advisory Committee (TCBAC) will make a recommendation to the council on each court's request.
- If the council approves that distributions begin prior to the operating of a CWR but the court does not operate a CWR six months after their planned opening date, the court must apply for a continued distribution.

B. Requesting a Decreased CWR Distribution Amount

- Any court's request to decrease its existing CWR distribution is approved by the Judicial Council and the request can be implemented by Judicial Council staff, effective either January 1 or July 1.

C. Temporarily or Permanently Ceasing CWR Operations

- Courts that cease operating all CWRs must notify the director of the JC Finance Office within 60 days of the cessation date. Unless a court provides notification and submits an application to continue receiving distributions while not operating a CWR within 60 days of the cessation date, the court's CWR distributions will be stopped either January 1 or July 1, whichever is earlier, and the court will be required to return any CWR fund balance to the TCTF.
- For courts that are required to return all of their remaining CWR fund balance to the TCTF, the return of the CWR fund balance will occur on the February trial court distribution for those courts that the CWR distribution stopped on January 1, and on the August distribution for those courts that the CWR distributions stopped on July 1.
- If there is a dispute between a court and JC staff over the amount of CWR fund balance that should be returned to the TCTF, the dispute will be brought before the TCBAC and the Judicial Council if the two parties cannot come to a resolution within 90 days of the cessation date.

Revised June 26, 2015

- An application for a continued distribution must include all the information required of courts applying for a new distribution (see section A above) as well as the amount of any CWR fund balance.
- The TCBAC will make a recommendation to the Judicial Council on each court's application.
- For courts that apply and whose application is denied by the Judicial Council, any CWR fund balance shall be returned to the TCTF.

D. Cap on CWR Fund Balance

- Courts shall monitor the CWR distribution amount per filing to ensure it is adequate to meet the CWR needs of the court without accumulating an amount in excess of the cap described below.
- Effective July 1, 2015, there shall be a cap on the amount of CWR fund balance that courts can carry forward from one fiscal year to the next. The cap shall be the amount of the highest annual distribution within the three most recent fiscal years.
- Courts that have a CWR fund balance greater than the cap (as described above) at the end of the fiscal year will be required to return to the TCTF the amount above the cap in the subsequent fiscal year.
- For courts that are required to return the portion of their CWR fund balance above the cap to the TCTF, the return of the CWR fund balance will occur on the August trial court distribution.
- If there is a dispute between a court and JC staff over the amount of CWR fund balance that should be returned to the TCTF, the dispute will be brought before the TCBAC and the Judicial Council if the two parties cannot come to a resolution within 90 days of the end of the applicable fiscal year.
- The cap applies only to courts that have received at least 12 months of distributions in a fiscal year while operating a CWR.
- If a court wants a cap adjustment, it must submit a request explaining the extenuating circumstance and including its CWR expenditure plan to the director of the JC Finance Office for consideration by the TCBAC and the Judicial Council. The request must be received by the Finance Director within 60 days of the end of the fiscal year for which the adjustment is being requested.
- JC staff will report any return of CWR fund balance through the trial court distribution process to the TCBAC and the Judicial Council.

E. Courts that have Received a Distribution but Never Operated a CWR

- Courts that received distributions between January 1, 2006 and June 30, 2014 but did not operate a CWR during that time period must either apply for a continued distribution by September 26, 2015 or have their distributions stopped and return to the TCTF any CWR fund balance.
- For courts that are required to return all of their remaining CWR fund balance to the TCTF, the return will occur on the October 2015 trial court distribution.
- If there is a dispute between a court and JC staff over the amount of CWR fund balance that should be returned to the TCTF, the dispute will be brought before the TCBAC and the Judicial Council if the two parties cannot come to a resolution within 90 days of the cessation date.

Stephen H. Nash
Court Executive Officer

Superior Court of California

COUNTY OF CONTRA COSTA
725 COURT STREET
P.O. BOX 431
MARTINEZ, CA 94553-0091



September 23, 2016

Zlatko Theodorovic
Director and Chief Financial Officer
Judicial Council of California
Budget Services Office
455 Golden Gate Avenue
San Francisco, CA 94102-3688

Re: Request for Adjustment to the Children's Waiting Room Fund Balance Cap

The Superior Court of California, County of Contra Costa (Court) is requesting an adjustment to the Court's Children's Waiting Room (CWR) Fund Balance Cap. The fund balance cap estimated by the Judicial Council is \$131,087. The Court requests this cap to be increased by \$67,946 to \$199,033. The Court's CWR expenditures has exceeded its CWR revenues for the last two fiscal years, and has seen annual CWR revenues decline each year in the past six years. The Court currently has a contract to staff care givers in its children's waiting rooms. As reflected in the attached analysis, the Court expects further decline in annual CWR revenues, and based on that analysis, will exhaust its CWR fund balance in the next three fiscal years. The adjusted CWR cap being requested would provide sufficient fund balance to continue operating its children's waiting rooms at the same service level for the next five fiscal years.

Thank you for your consideration. If you have any questions regarding this request, please call me or Fae Li, Director of Finance, at 925.608.2531.

Sincerely,

Stephen H. Nash
Court Executive Officer

SHN/FL/tkr

Attachment: Trend Analysis and Projection

cc: Hon. Steven Austin, Presiding Judge
Ms. Fae Li, Director of Finance
Mr. Colin Simpson, Judicial Council

Superior Court of California, County of Contra Costa
Trend Analysis and Project of Children's Waiting Room On-going Revenues and Expenditures, and Ending Fund Balance

	Actual					Projected				
	FY 2011-2012	FY 2012-2013	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021
Beginning Fund Balance with existing Cap						131,087	108,287	76,117	35,488	-12,780
On-going Revenue										
812157 TCTF-10-Waiting Room*	149,660	131,086	126,632	106,292	104,333	94,210	85,069	76,815	69,362	62,632
825010 Interest Income	3,375	3,030	2,310	2,532	3,864	2,351	2,123	1,917	1,731	1,563
Total On-going Revenue	153,035	134,116	128,942	108,824	108,197	96,561	87,192	78,732	71,093	64,195
Percentage change in CWR allocation***	-14.80%	-12.41%	-3.40%	-16.06%	-1.84%	-9.70%	-9.70%	-9.70%	-9.70%	-9.70%
Interest incomes as percentage of CWR	2.26%	2.31%	1.82%	2.38%	3.70%	2.50%	2.50%	2.50%	2.50%	2.50%
On-going Expenditures										
938401 General Consultants (Kidango)**	51,812	110,085	118,692	130,867	117,801	119,361	119,361	119,361	119,361	119,361
Ending Fund Balance with existing Cap					131,087	108,287	76,117	35,488	-12,780	-67,946

* Amounts in SAP adjusted to match actual distributions received through distributions #3-14.

** Service contract initiated in FY 11/12, so expenditures for 5 months only. Annualized cost was \$124,349.

*** FY 10/11 CWR allocation was \$175,696.

Current Cap	131,087
Additional Fund Balance Requested	<u>67,946</u>
Adjusted Cap Requested	<u><u>199,033</u></u>



Superior Court of California County of Orange

ALAN CARLSON
CHIEF EXECUTIVE OFFICER
ADMINISTRATION

700 CIVIC CENTER DRIVE WEST
SANTA ANA, CA 92702
PHONE: 657-622-7017

August 29, 2016

Mr. Martin Hoshino
Administrative Director
Judicial Council
455 Golden Gate
San Francisco, CA 94102

Dear Mr. Hoshino:

The Superior Court of California, County of Orange (Court) would like to respectfully submit its request for a two-year reprieve from a cap on its Children's Waiting Room (CWR) fund balance. The Court would like a cap adjustment and be allowed to carry forward the full balance of \$1,009,393 (ending balance as of June 30, 2016). In planning future operations several years ago, the Court based a Request for Proposal and subsequent contract on a certain level of revenue (from fees and carry forward). Loss of carry forward balance would disrupt existing operations and force a reduction in access to justice.

Extenuating circumstances affecting the Court

1) Decrease in Children's Waiting Room (CWR) distribution to Court

The number of civil filings have continued to decrease in recent years. Compared to Fiscal Year (FY) 2011-12, the Court's civil filings have decreased by 33%. As a result, revenues generated from designated civil filing fees have declined. The Court's share of the distribution of CWR funds have decreased 26% since FY 2011-12. The annual distribution amount is now insufficient to cover the current cost of the contract to operate six locations throughout the County. Thus, the Court must rely upon the use of CWR fund balance to supplement the operating costs of its waiting rooms.

2) Inability to Redirect General Operating Funds Due to WAFM Impact to Court

The Court continues to lose historical base allocation funding due to the phase-in of the Workload-based Funding and Allocation Methodology (WAFM). Thus, the Court is unable to redirect general operating funds to offset the reduction in fee revenue and is currently reliant upon this restricted fund balance.

3) Five-year Contractual Agreement with Vendor

In July 2014, the Court entered into a five-year contract with a vendor to expand service locations to most of the courthouses in the County and increase the professionalism of the service in each waiting room. At the time, the Court had sufficient CWR fund carry forward to cover the higher costs. With the commencement

Page 2

of FY 2016-17, the Court is entering into the third year of the contractual agreement. Terminating the current contract early for financial reasons would inevitably lead to a loss in continuity of the operation of these waiting rooms, a reduction in service hours, and/or closure of several locations. Any of those options would result in reduced access to justice for the children and parents served by these waiting rooms.

4) Significant Time Commitment Needed for Proper Bidding Process for New Vendor

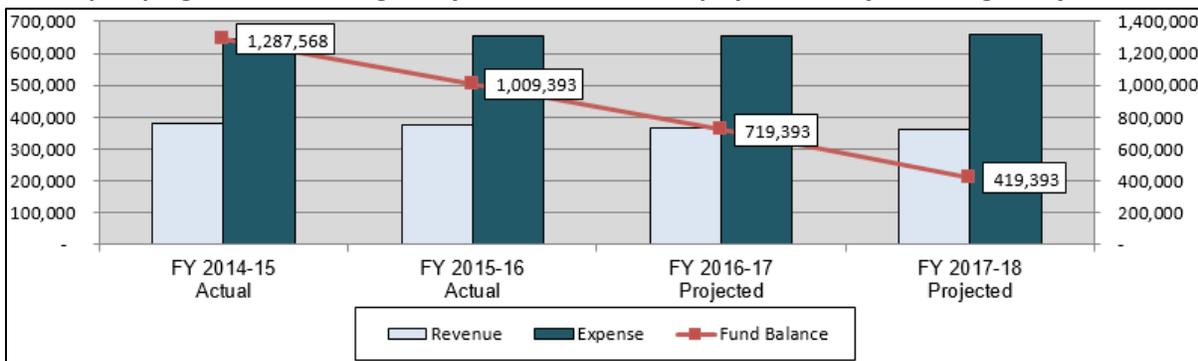
A proper bidding process for a new contract vendor requires at least six months to nine months of staff time to adequately complete. For instance, the last formal bid for these services incorporated factors such as the qualification of waiting room staff (including degrees, certifications, level of training, background checks), cost of services, safety and security protocols, and services provided to the children (snacks, reading programs, etc.). This type of large bid, one that equates to millions of dollars over a period of five years, requires substantial court staff time and resources.

Court’s Expenditure Plan

Past Expenditures. When the Court entered into the five-year contract with the vendor in July 2014, there was no CWR fund balance cap. The Court anticipated and planned to use CWR fund balance to pay for the increased cost to operate six waiting rooms. The unexpected 11% decrease in FY 2014-15 CWR distribution and the subsequent continued reduction have already led to the Court to use up significant amounts of CWR fund balance. Since the contract has been in place, the Court’s CWR fund balance has decreased by 35% (from \$1,551,428 to \$1,009,393).

Plan for the Next Two Years. If the Court’s request for a two-year reprieve to the fund balance cap is approved, the Court will be able to continue operating the six waiting rooms at the same service level without interruptions. Meanwhile, the Court will conduct a thorough assessment and use relevant data (i.e., utilization of waiting room services by location and compare it against projected filing trends) to make informed decisions about which locations may be able to absorb either reduced hours, reduced services and/or closure. Once the assessment is completed by the end of the current fiscal year, the Court will use this data to initiate a formal bidding process (to take place in FY 2017-18) to secure a new service contract within projected funding constraints. By the end of FY 2017-18, the Court is projected to be at or below the FY 2015-16 cap amount of \$457,064.

Court’s past progress in decreasing CWR fund balance, and the projected use of remaining CWR fund balance



Page 3

Impact of the Two-year Reprieve to the CWR Fund Balance Cap

It is a priority for the Court to ensure the public's access to justice. One critical way is to provide waiting rooms to the children and their parents who must come to the courthouses to resolve their legal issues. A two-year reprieve to the CWR fund balance cap will allow the Court to maintain continued levels of service, minimize adverse impact to the public's access to justice, provide sufficient time to evaluate alternatives and the best approach to reduce services if necessary, and enable the Court to gradually adjust to the current and projected funding constraints.

Thank you for your consideration of this request.

Respectfully,

A handwritten signature in blue ink that reads "Alan Carlson". The signature is written in a cursive, flowing style.

Alan Carlson
Chief Executive Officer



SUPERIOR COURT OF CALIFORNIA, COUNTY OF SANTA BARBARA

1100 ANACAPA STREET, SANTA BARBARA, CA 93101

DARREL E. PARKER

EXECUTIVE OFFICER – JURY COMMISSIONER – CLERK OF THE COURT

(805) 614-6636

September 21, 2016

Zlatko Theodorovic, Director and Chief Financial Officer
Budget Services | Administrative Division
Judicial Council of California
2850 Gateway Oaks Drive, Suite 300
Sacramento, CA 95833-4353

Re: Children's Waiting Room Balance for Santa Barbara County

Dear Mr. Theodorovic:

The court is submitting this letter seeking a cap adjustment to the funds accumulated by Santa Barbara County's Children's Waiting Room fund. The Santa Barbara County Superior Court currently operates two children's waiting rooms in the major population centers within the county. The first is operated in downtown Santa Barbara, in the Figueroa Division, a criminal court building adjacent to the civil and family courts operated in the historic courthouse. The second children's waiting room is operated in the Juvenile Court building in Santa Maria. They are open a limited number of hours and supervision is by contract with a non-profit agency.

The fund accumulated a substantial balance prior to the introduction of the children's waiting rooms in December of 2010. The funding stream to support the children's waiting rooms is not significant. The average over the last several years has been \$43,708. The most recent year reflected revenue of \$39,718.00. Partnering with community-based organizations, the Court has found a way to provide limited services to this group of litigants.

The Court wishes to preserve the entire balance of the fund in anticipation of out-fitting a newly constructed facility and expanded services in both locations. The criminal division on Figueroa Street, in Santa Barbara, is among a small number of courthouses scheduled to be replaced in California. The proposed criminal courts building includes a new children's waiting room. We seek to preserve sufficient funding to appropriately outfit the new waiting room and add some technologically advanced learning equipment to the existing room in Santa Maria.

Furniture, fixtures and equipment in the amount of \$60,000 will provide the facilities with state-of-the-art technology and furnishings.

Further, the children's waiting room in Santa Barbara, at 118 East Figueroa Street, is open 24 hours per week. The children's waiting room in Santa Maria, at the Juvenile Court, is open 8 hours per week. Using the balance in the children's waiting room fund we propose to expand those services full-time in Santa Barbara and 3.5 days per week in Santa Maria. The total cost of operating the two centers under the existing contracts is \$55,400 annually. This is more than the fund has been collecting. Expanding the availability in both ends of the County would cost \$131,088.00 annually. Assuming annual revenue of \$40,000, the court would need an additional \$91,088.00 each year. After reducing the current balance for the acquisition of new equipment and furnishings, the Court could operate both children's waiting rooms, to better serve the community, for approximately 4.5 years. At the end of that time the court would have exhausted the balance of the fund and would either find an alternate source of funding or reduce the schedule accordingly.

We appreciate your consideration of allowing the Santa Barbara Superior Court to maintain our current fund balance so we can provide additional services to our community.

Respectfully,

Darrel E. Parker
Court Executive Officer
Superior Court of California
County of Santa Barbara
805-614-6594

Current Cost of Operation	\$55,400.00
Cost of Operating Santa Maria 3.5 days/week	\$61,152.00
Cost of Operating Santa Barbara Full-Time	\$69,936.00
Total Cost of Expanded Operation	<u>\$131,088.00</u>
Less Estimated Annual Revenue	\$40,000.00
Annual Need	\$91,088.00
Current Balance of CWR Fund	\$455,732.00
Less Proposed FF&E	\$60,000.00
Balance	\$395,732.00
Less 4 years 4 months of Expanded Services	\$395,731.99

Summary of Amended Requests for TCTF Funds to be Held on Behalf of the Court

#	Court	Amount	Amended	Time Period	Category	Quick Summary	FPS Approved	JC Approved
1	Glenn	90,807	90,000	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
2	Kern	1,270,811	806,503	2016-17	Contract extending beyond 3-year term	Delayed leased facility improvements	6/1/2016	6/24/2016
3	Kern	895,286	830,528	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
4	Lake	89,669	50,431	2016-17	Contract extending beyond 3-year term	Delayed implementation of a minute order generation application/interface	6/1/2016	6/24/2016
5	Merced	306,172	298,878	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
6	Monterey	51,914	51,914	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
7	Napa	228,196	126,164	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
8	Orange	775,384	775,384	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
9	Orange	200,000	41,083	2016-17	Contract extending beyond 3-year term	Delayed implementation of Interactive Voice Recognition ("IVR") system	6/1/2016	6/24/2016
10	Placer	264,870	211,350	2016-17 to 2017-18	Contract extending beyond 3-year term	Delayed implementation of case management system and telephonic appearance system	6/1/2016	6/24/2016
11	Sacramento	1,413,142	1,858,731	2017-18	Contract extending beyond 3-year term	Delayed implementation of case management system	6/1/2016	6/24/2016
12	Sonoma	830,217	824,106	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	6/1/2016	6/24/2016
13	Sutter	476,962	-	2016-17	Contract extending beyond 3-year term	Delayed implementation of case management system	6/1/2016	6/24/2016
14	Alameda	1,204,632	1,204,632	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	7/7/2016	7/29/2016
15	Lassen	99,325	99,325	2016-17	Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System	7/7/2016	7/29/2016
	Total	8,197,387	7,269,029					

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

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



SECTION I: GENERAL INFORMATION

SUPERIOR COURT: Glenn	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Hon. Donald Cole Byrd, Presiding Judge	
	CONTACT PERSON AND CONTACT INFO: Kevin Harrigan, CEO	
DATE OF SUBMISSION: 9/28/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JUNE 30, 2016 TO FY2016-2017	REQUESTED AMOUNT: \$90,000.00

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

Utilizing section 1.a.i. of the newly approved process for TCTF Fund Balance Held on Behalf of the Courts, Glenn Superior Court respectfully requests to have \$90,000 held on its behalf in order to successfully complete the implementation of a new case management system.

Glenn is a participant in the "NorCal Project" which was a group of seven trial courts that joined together to share efforts and achieve cost savings related to the Tyler/Odyssey Case Management System. Glenn Superior Court previously encumbered \$194,000 at the end of the 2013-2014 fiscal year at which time the expiration date associated with the encumbrance was June 30, 2016. The implementation process has been delayed due to many factors, which now puts \$90,000 of the previously set aside funds at risk. Glenn Superior Court's newly scheduled go-live date for the system is November 7, 2016, which is in the 2016-2017 fiscal year. Upon approval of this application, the Court intends to utilize the previously set aside funds to pay the vendor for each deliverable upon successful completion.

SECTION II: AMENDED REQUEST CHANGES

- A. Identify sections and answers amended. – Section I: Requested Amount and Reason For Request (in red font)**
- B. Provide a summary of the changes to the request. – The amount listed on the original application document was \$90,807. This is \$807 higher than the remaining amount encumbered back in FY13-14 for the Tyler CMS implementation. The newly requested amount of \$90,000 on this amended application is intended to align the previously encumbered amounts with the Court's application document.**

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.

Ongoing maintenance and service of the software is within the court's annual operational budget. However, the burden of implementation costs are too large for our small court and far exceed the 1% cap on fund balance. (1% for Glenn is approximately \$30k).

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

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

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

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

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

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

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

The Court is approximately half way through the implementation process. If the request is not approved, the Glenn Superior Court would need to find a way to cut \$90k from its budget next year in order to pay for the remaining deliverables. The Court receives approximately \$2 million dollars in Program 10 monies, \$90k is substantial to Glenn, approximately 5% of its allocation.

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

The cut referenced above in Section III. D. would be the equivalent to the loss of 1 to 1.5 FTE's to an already short staffed court where the doors are currently shut to the public at 3 p.m. each day.

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

The mostly likely alternative would be to stall project implementation all together until funding was identified elsewhere and/or being forced to make more difficult choices on staffing levels and further reductions to public access hours.

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

Based on the instructions provided, Glenn Superior Court is not required to submit table templates. Specifically, the instructions state, "For contracts where the work is extending beyond the three-year term, if the planned work and expenditures are expected to be completed in 2016-17, you will not need to complete any of the Excel tables."

In the spirit of thoroughness, Glenn Superior Court has completed the table templates and provided them for your reference in the event it is still helpful to the decision making process.

B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf -Please see answer in Section IV, A. above.

C. Identification of all costs, by category and amount, needed to fully implement the project -Please see answer in Section IV, A. above.

D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year -Please see answer in Section IV, A. above.

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: Lake	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Krista LeVier, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Michaela Noland, Administrative Services Manager, (707) 263-2374 x2263	
DATE OF SUBMISSION: 8/25/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JUNE 30, 2016 TO JUNE 30, 2017	REQUESTED AMOUNT: \$ 50,431

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 contracted with StreamWrite LLC in December 2013 to develop and install a new minute order generation application/interface called Proceedings. Proceedings interfaces with the Court's Case Management System (Sustain Justice Edition) to create and/or update records relating to Criminal and Civil scheduled events that have occurred. This automates many data entry steps courtroom clerks are currently having to perform manually. The project began in December 2012/13. The project cost was contracted at \$157,339.00. The Court encumbered the funds at the end of Fiscal Year 2013 which means the funds need to be expended by the end of Fiscal Year 2015/16. The court has paid StreamWrite \$100,505.00 to date. The Court is requesting that the remaining funds over the 1% of \$50,431 be held on behalf of the Court.

The project was originally scheduled to be complete well before the end of Fiscal Year 2015/16. However, the project has faced delays for several reasons. The Sustain Justice Edition is hosted at the California Courts Technology Center (CCTC). The CCTC has certain security requirements and approvals required which took more time than anticipated. As a result of the Sustain Justice Edition being hosted at the CCTC, the project required staff and resources from the Judicial Council Staff. As a result of the funding reductions made to programs funded out of the Improvement and Modernization Fund (IMF), including the Sustain Justice Edition program, this project was delayed. Additionally, the final testing has recently hit another obstacle which has required engaging the Sustain vendor, Journal Technologies. The application has been developed and tested successfully in StreamWrite's Development environment and has been deployed to the Court's UAT environment in the CCTC. Upon deployment in the UAT environment, it was determined that certain necessary functionality was not working properly and therefore further deployment into the Staging and Production environments has not been able to move forward. The Court is concerned that these delays may push the project completion date past June 30, 2016.

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.

This project is a one-time expense which was encumbered prior to the implementation of the 1% fund balance restriction. The funds to complete this project were encumbered in Fiscal Year 2013/14. The court continues to struggle to adjust to a significantly reduced operations budget and resulting staffing shortages. As such, it is essential to develop innovative and more efficient ways to process the workload. This project does just that by using technology to automate what is currently a very labor intensive manual process.

The reasons this project was not able to be completed within the three year encumbrance period are explained above.

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 Proceedings application will improve efficiency and the effectiveness of court operations by allowing staff to complete minute orders much more quickly by automating the data entry required following court hearings. The application is estimated to reduce the time it takes to finalize minute orders after a court hearing by 3 full days for criminal calendars and two days sooner for civil calendars. This project will also report convictions to DMV and DOJ more quickly. This means the public and justice partners would have access to the minute orders sooner as well.

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

While not necessarily a cost efficiency, the court expects to realize approximately 1.5 FTE equivalent in time savings, which is significant in a court with approximately 29 FTE. Those are resources that can be allocated to better serve the public by more quickly process other workload or assist at the public counters or telephones.

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

The total court investment to date totaling \$163,501 would be lost. This amount includes the total paid to the vendor to date, the amount paid to additional consultants, and the \$53,431 of this request which is encumbered and to be expended upon completion of the project. Almost as important as the monetary loss is the fact that the court would not realize the anticipated staff efficiencies. The court continues to be short staffed and the time savings for the court clerks would enable the court to function much more efficiently.

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

The court would not be able to operate as effectively with the continued shortage of staff. Since there would be no time savings for the court clerks, their work would continue to be backlogged which slows down the public's access to records. The public and justice partners will continue to be delayed in getting copies of minute orders and the reporting of convictions to DMV records.

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 is making every effort to complete this project prior to June 30, 2016, which is the only viable alternative. If that does not occur, the court has no other alternative. The three year encumbrance period ends June 30, 2016, therefore any remaining unspent funds will revert to the Trial Court Trust Fund.

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: Merced	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Linda Romero Soles	
	CONTACT PERSON AND CONTACT INFO: Keri Brasil, CFO Keri.Brasil@mercedourt.org or (209) 725-4156	
DATE OF SUBMISSION: 4/26/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:	REQUESTED AMOUNT: \$298,878

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.):*

Merced Superior Court is requesting that our funds be retained in the Trial Court Trust Fund as restricted fund balance due to work that has not been completed on an active purchase order with a signed contract. The contract is for our Tyler Case Management system project. This project will extend beyond the original planned three-year encumbrance period. The remaining funds on this purchase order are for the completion of - Clerks Edition, Customized ECR Report – CourTools and the Travel Reimbursement for Tyler Support staff assigned to the Clerks Edition project.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

The Requested amount is reduced from the original amount of \$306,172 to \$298,878 as this was the final result of the 1% Fund Balance Cap reduction for FY 15/16.

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.

Merced Superior Court went live with its new CMS (Tyler) for all case types on November 1, 2014. Since implementation there are still a number of outstanding issues/areas that were not completed and have been delayed. Some of these CMS components are in design or in production. Tyler’s resources have also been limited due to the number of CA courts implementing their CMS all at once. Some of these components include: 1) DMV interface for Priors, 2) Abstract reporting, 3) Traffic School, 4) Warrant interface, 5) OCR jobs, 6) Judges Edition system, 7) Access to documents via web portal, 8) Customized ECR reports (Courtools, Amnesty Quarterly, Prop 47, AB109).

In addition, the number of court staff hours needed to develop and configure the Clerk’s Edition portion of the system is approximately 400 hours plus an additional 400 hours required by Tyler developers. Our court was

requested that we delay this portion of the project due to the issues that the Fresno and San Bernardino courts were experiencing with Clerk's Edition. Tyler's specialists on Clerk Edition are focused on Fresno/San Berdo Courts and will not be available to assist our court until the 2016/2017 fiscal year, which places us beyond the three-year encumbrance term.

Customized ECR Reports listed above are being delayed until 2016/17. Due to this delay in completion, this places us beyond the three-year encumbrance term.

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?

By allowing the court to use its encumbered funds for the projects listed above, the court, its justice partners and the public will all benefit and experience many efficiencies. Tyler's Clerks Edition is designed to work in conjunction with the Odyssey Case Manager as well as Judge's Edition. Clerk's Edition is a separate application used to expedite the data entry for the clerk during the court and enter the data in real time instead of writing the case updates manually and later entering them into the system after court sessions. Clerk's Edition also communicates directly with the Judge's Edition application which allows our judicial officers to view the updates made directly to the case immediately. This cannot be completed at present with our existing structure as Judge's Edition does not communicate directly with Odyssey in real time and our Courtroom clerks utilize the Minute Dialog in Odyssey to complete their orders. Information from the Odyssey Case Management system is downloaded in an overnight batch process into the Judge's Edition for the next business day so any last minute changes or updates made to a case is not reflected in the Judge's Edition.

The additional custom reports that will be designed for the Merced Superior Court will be shared with other CA courts thus making this efficient on a statewide basis for those 24 courts utilizing the Tyler system. Many of these reports are transmitted to the JCC.

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

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

The court has an active purchase order and signed contract with Tyler to get the remaining items completed on this project. If this request is not approved the court will have a project that is not fully completed and thus not be allowed to benefit from the efficiencies and enhancements it is required to provide.

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

If this request is not approved this will limit the access to justice not only to the public but to our justice partners as well. Minute orders for court appearances will be delayed to the public. This will affect information that is also provided to the justice partners including the Sheriff's Department responsible for inmates.

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

Holding the courts funds is the preferred alternative otherwise the court will lose the funds that have been encumbered to complete its CMS project. If the courts request is denied, the Merced Superior Court will lose \$298,878 in Trial Court Trust Funds due to circumstances beyond the courts control.

SECTION IV: FINANCIAL INFORMATION

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 <i>(Presiding Judge or Court Executive Officer):</i> Richard D. Feldstein	
	CONTACT PERSON AND CONTACT INFO: Lisa Skinner 707-299-1248 lisa.skinner@napacourt.com	
DATE OF SUBMISSION: 4/27/2016 Amended Date 08/01/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2013/14 FUNDS TO BE USED IN 2016/17	REQUESTED AMOUNT: \$228,196 Amended Amount \$126,164

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

In fiscal year 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. The same strategy will need to be used for Phase II of each of our courts implementation, staggering out the three implementation dates through the end of fiscal year 2016/17.

SECTION II: AMENDED REQUEST CHANGES

- A. Identify sections and answers amended.** Change Amount from \$228,196 to \$126,164.
- B. Provide a summary of the changes to the request.** The original amount was based on the total encumbrance from 2013/14, less the estimated amount to be spent through the end of the 2015/16 fiscal year. Because there was a carry-over allowable amount of 94,631 that will remain in the current purchase order, we will not need to have that amount held in the TCTF fund. There is also an amount of \$13,400 that has been expensed outside of the P.O. These were amounts that were journaled in 2014/15 for a holdback amount billed, but not to be paid until the end of the contract. This amount is accrued as an 'Other Liability' in Phoenix G/L 379001. The remaining difference of approximately \$6,000 is due to the difference between the estimated expense amount and the actual amount paid in 2015/16.

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 project was based on a cooperative effort share the costs and establish greater intra-court uniformity. As such, it requires more time to allow for joining meetings and coordinating efforts that reduced the cost of the project by approximately 25% for Napa.

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

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

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

Our current CMS (Sustain Justice Edition/SJE) is an outdated technology that will no longer be supported by the vendor. This project provides an updated CMS that is uniform with the majority of the other courts throughout the state and allows for greater sharing of future enhancements and maintenance costs. More importantly, the new CMS provides greater access to court services than the current CMS, in particular eFiling, Internet portal access to case information, on-line automated self-represented litigant document preparation and filing services, court kiosks programs, cell and note pad access for judges, and internal workflow capabilities.

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

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

The court would have to either reduce services to the public and our justice partners to shift funding to the completion of this project. This would likely result in additional lay off of employees beyond those that occurred during the Great Recession. Such actions would bring the courts operations to a virtual halt as we have already reduced staffing from 91 FTEs in 2009 to only 69 in 2016. The court would be forced to reduce its operating hours further from its current hours which are already insufficient to provide adequate access to justice services.

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

The court has successfully implemented the new CMS for civil, family law, probate, small claims, and juvenile dependency cases. If this request is not approved and the funding reverted back to the Trial Court Trust Fund, the court would be unable to complete its implementation of the CMS for criminal, traffic, and juvenile delinquency matters. As a result, the court would not be able to utilize the systems capabilities in the areas of eFiling, Internet portal access to case information, on-line automated self-represented litigant document preparation and filing services, court kiosks programs, cell and note pad access for judges, and internal workflow capabilities to increase access by litigants, justice partners, and other members of the public seeking services and information for criminal, traffic, and juvenile delinquency cases.

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

The only alternatives available are:

1. The reduction of court services and access and shifting of current operating funds to the project as described in the answer to Item D.
2. Seek additional funding from the Trial Court Budget Advisory Committee and Judicial Council or through a Budget Change Proposal.

Both of these alternatives are undesirable because:

1. They would potentially draw funding away from other courts who are also in need to technology resources.
2. They would bring the project to a complete halt for one to two years thereby depriving the court's constituency of the badly needed technological improvements described above.
3. Such lengthy delays often result in increased costs as the stop and start process causes a great deal of duplication of project management and technological tasks.

4. We would have to maintain our current CMS system longer than expected and longer than budgeted. This is problematic for several reasons. This version is using very outdated technology. We would need to maintain separate versions of Microsoft products to maintain both the old and the new CMS systems. This platform is also in the process of being obsoleted by the vendor. This will affect our ability to maintain the system and the maintenance costs could skyrocket, if supported at all. We would also need to continue to pay for license costs in addition to paying for the new CMS license costs.

SECTION IV: FINANCIAL INFORMATION

N/A PER INSTRUCTIONS SINCE EXPENDITURES ARE EXPECTED TO BE COMPLETED DURING 2016/17 FISCAL YEAR

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:

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



SECTION I: GENERAL INFORMATION

SUPERIOR COURT: Orange	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Alan Carlson, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO Luis Najera; lnajera@occourts.org ; 949-399-2256 (Court Technology) Katrina Coreces; kcoreces@occourts.org ; 657-622-7739 (Financial Planning)	
DATE OF SUBMISSION: 4/29/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 7/1/16 – 12/31/16	REQUESTED AMOUNT: \$ 41,083.00

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

The new Interactive Voice Recognition (“IVR”) system currently being implemented will automate and save several hours of staff time disseminating general court and case information to the public in the three most commonly used languages in this region of California. The IVR Project Plan timelines encountered unavoidable delays involving user testing acceptance and unexpected delay of vendor deliverables.

In October 2014, the Court encumbered \$465,528 to obtain a new IVR system. The three-year encumbrance period ended on June 30, 2016 but \$41,083 was left unspent at the end of fiscal year 2015-16. This request asks that the Judicial Council hold \$41,083 in encumbered funds on the Court’s behalf beyond June 30, 2016, in order to allow the Court to complete its IVR implementation as originally planned by December 31, 2016.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

N/A

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

N/A

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.

Although the project was approved in December 2013, a qualified vendor was not awarded until October 2014. Therefore, an expected 36-month project was quickly compressed into 26 months, once the new project rules were publicized. In addition, this was the first time the vendor implemented a ‘cloud based’ solution and the vendor was working with other sub-contractors to implement this solution. As a result, there were a number of technical difficulties and coordination issues that impacted the vendor’s ability to meet the delivery timeframe. Although we are pushing the vendor to finish by June 30,

we are not confident that they will be able to deliver and this extension would give us time to make sure things are done right and not be too rushed.

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?

This IVR system will be available 24 hours a day 7 days a week to provide the public with general information and specific case information. The departments using the new IVR system include: Jury, Probate, Civil, Family Law, Juvenile, and Traffic/Criminal. With only a partially implemented IVR system, if the extension is not approved, the public will have to wait for normal business hours to get necessary information.

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.

This court will operate a partially functioning IVR system to address the public's inquiries. Full-time staff operators will need to continue answering the calls to provide general and case information to the public in those areas where implementation was not completed.

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

The public will face longer waiting times on the phone to get general information about their cases and in some cases not be able to reach court staff by phone, requiring a visit to the courthouse.

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

If the request is not approved, the Court will have to decide whether to spend money from the next fiscal year to be able to complete this project, or forego complete implementation. Holding the funding in the TCTF will allow the Court to proceed with the intended project as planned to meet the desirable outcome of providing the public access to an IVR system that will provide general information and case information around the clock.

SECTION IV: FINANCIAL INFORMATION

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

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

N/A

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

N/A

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

N/A

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

Attached

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: Sacramento	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Judge Kevin Culhane, Presiding Judge	
	CONTACT PERSON AND CONTACT INFO: Rick Beard, Chief Financial Officer (916-874-8133)	
DATE OF SUBMISSION: 8/31/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY15/16 – FY17/18	REQUESTED AMOUNT: \$ 1,858,731

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 requests that funds encumbered for its case management system projects be held past the end of the encumbrance period so that the court can complete its projects. The court is currently in the process of replacing three of its oldest case management systems (CMS) projects in the Criminal, Family Law, and Traffic divisions.

- Criminal CMS Project: replaces a county-owned mainframe system that is being phased out by the county. Includes real-time exchange of criminal case data between the court and the county.
- Family Law CMS Project replaces a 25+ year old installation of Sustain. The new Family Law CMS will enable the court to employ e-filing services and improve order generation.
- Traffic CMS Project: this project replaces a 16 year old CMS and will allow the court to expand e-services in the Traffic division.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.
SECTION I: REQUESTED AMOUNT (Time period and revised dollar amount)
SECTION III: A (revised dollar amounts)
SECTION IV: D (FY and revised dollar amount)

B. Provide a summary of the changes to the request.
 The Sacramento court was approved at the June 2016 Council meeting to have funds held on its behalf in the TCTF in the estimated amount of \$1,413,142. With the completion of the fiscal year-end activities the court now has the actual remaining encumbered balance needed to be held on its behalf in the TCTF. The Sacramento court has engaged in numerous meetings over the past 3-4 months with our CMS vendor attempting to get realistic completion dates for all three CMS projects. All three projects have continued to experience delays due to the vendor staff shortages, the complexity of California and Sacramento’s required system build, and several other items experienced at other courts. It is now evident that the three CMS projects will require expenditure of 2013-14 encumbered monies into the 2017-18 Fiscal Year, one year beyond what was estimated at the time of the original Funds Held request. Our CMS contracts call for payments when certain milestones are reached and the court is satisfied and accepts the work. At this time we do not have a good estimate on how much of the remaining funds will be paid in 2016-17 versus 2017-18. Additionally, the original estimated dollar amounts have been trued up through the 2015-16 year-end close process and revised to reflect the final amount, \$1,858,713, of requested TCTF funds to be held on behalf of the court for projects approved at the July 2016 Judicial Council meeting.

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 court is currently in the process of replacing three of its oldest case management systems which support the Criminal, Family Law, and Traffic divisions. These projects have required a greater amount of time to complete due to their complexity and the need to carefully examine and convert business rules, processes, and data into the new systems.

The amount of encumbered funds projected to remain on June 30th, 2016 for the three projects is as follows:

PO #4300003759 – Crim CMS	\$561,918
PO #4300004218 – FL CMS	\$773,149
PO #4300004217 – Traffic CMS	\$523,664
Total Contribution –	\$1,858,731

The original timeline called for the start of the Family Law and Traffic CMS projects in latter half of 2014 and beginning of 2015. However, the start of these projects was delayed due to the increase in time required for the Criminal CMS Project and the concomitant use of resources needed on that project.

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 CMS Projects all touch on various goals in the Judicial Council’s Strategic Plan including:

- Goal I – Access, Fairness, and Diversity
- Goal II – Independence and Accountability
- Goal III – Modernization of Management and Administration
- Goal IV – Quality of Justice and Service to the Public
- Goal VI – Branchwide Infrastructure for Service Excellence

Specific areas where these goals are met by the CMS Projects include:

- *Electronic Case Files:* The court will implement electronic case files in Criminal and Family Law as part of the new CMS implementations. Electronic files eliminate the need for storing, printing, and/or copying case files and thus expedite in-court processing. The case file and documents will be available through an online portal to government agencies, attorneys and/or parties (where appropriate and with secure access), and in the courthouse kiosk for general public. In Traffic, where case files are already electronic, there will be a reduction in the need for document printing and scanning and electronic signatures will be enabled. (Goals III & VI)
- *Electronic Filing and Data Exchanges with Justice Agencies:* Electronically filing cases directly into the new CMS means the filing agencies will have more time to file a case. Cases can be filed on a 24/7 basis. Case filing and verification will only take a few minutes, compared to manual filing. Government agencies can exchange data with the court, at any time of the day. (Goals III & VI)
- *Case Processing:* Automating current manual processes, where feasible, will add efficiencies for staff by saving time spent on tasks needing a clerk’s review and data entry. For those cases that must still be manually entered, data entry will be streamlined through more efficient system configuration. Many workarounds currently in place due to system limitations will be eliminated. (Goals III & IV)
- *Government Agency and Public Access to Case Data:* Case files and case data will be made available, on-line, on 24/7 basis for government agencies, attorneys and/or parties (where appropriate and with secure access), and in the courthouse kiosk for general public. This should reduce case-related phone queries and foot-traffic to the courthouse. For Traffic, public kiosks and online access will increase payment/appearance

options and reduce wait times. (Goals I, III, & IV)

- *Accurate Reporting:* The new CMS will improve reporting for JBSIS, DOJ, CDCR and DMV which suffer in accuracy and data collection due to limitations in the existing systems. (Goals II & III)
- *System Integration:* New system will integrate with external court systems like SAP, and also share data with other case categories, like Traffic and eventually Juvenile as well as other areas of the court. Existing integrations with the county and third-party collections will be improved, reducing the need for manual intervention by court staff. Furthermore, the new system will integrate with the court's Electronic Document System (EDS) and Public Case Access site (PCA). Notices, Minute, and Orders would be available to the parties soon after the documents are completed.(Goals IV & VI)

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.

- *Reliance on Old Case Management Systems:*
 - Criminal: The court will continue to rely on a 30 year old mainframe system to process Criminal cases. The mainframe system belongs to the county who is intends to retire the system in next 3-5 years. If the court is that last tenant on the mainframe system, the cost to the court will exceed \$500,000/year, making it impossible to ever fund a new CMS.
 - Family Law: The CMS in Family Law is failing and must be replaced. The court is at extreme risk of losing data.
 - Traffic: the Traffic system is old and no longer supported by the vendor. What support there is expensive and the maintenance requirements for this system are steep.
 - Technology: continued reliance on the old systems is becoming increasingly difficult as current operating systems and database systems no longer support these systems. The court is required to continue operating old versions of software that are no longer supported by the vendors. Finally, this puts the court out of compliance with various cyber-security requirements.
- *No Electronic Case files:* the court cannot implement electronic files for Criminal and Family Law cases as the current systems cannot support them. The court will need space to continue to store and process paper files.
- *Business Process Workarounds:* operations staff will continue to apply inefficient workarounds in their business processes due to system limitations.
- *Severely Limits Adoption of Electronic Filing:* current systems do not support e-filing. As a result, the court will be unable to realize any improvement in efficiencies or the ability to improve access to case information.
- *Manual Reporting:* Court will continue to manually collect and report data in various areas such as AB109 (PRCS/Parole) cases, JBSIS, and Title IV-D.
- *No Data Sharing:* no ability to share data among the various case categories (e.g. Traffic and Criminal) due to continued use of disparate systems.
- *Continued phone and foot traffic:* No reduction in foot traffic or case-related phone calls to the courthouse.

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

- *Access to Case Files:* access to Criminal and Family Law case files will continue to be limited to the courthouse and its working hours. Very limited case data will be available online. Parties will have to call the courthouse to get information on the hearing time and status.
- *Strict Filing Deadlines:* the existing strictures for filing deadlines will have to be maintained in order to allow for the

time needed to manually review, stamp, and file documents as they are presented to the court for filing. The impact of this is more keenly felt when filing a case for a same-day or next-day calendar.

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

Left blank per instructions received from Judicial Council Staff.

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

Left blank per instructions received from Judicial Council Staff.

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

Left blank per instructions received from Judicial Council Staff.

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

Description	FY 2015-16	FY 2017-18
Contribution	1,858,731	
Expenditures		1,858,731

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: Sonoma	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Jose Guillen
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CONTACT PERSON AND CONTACT INFO: Cindia Martinez, Asst. CEO, 707-521-6854, cmartine@sonomacourt.org
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DATE OF SUBMISSION: 5/9/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: ORIGINAL ENCUM. FY 12/13, EXPIRING 6/30/16. WILL INCUR REMAINING EXPENDITURE IN FY 16/17 AND REQUEST CONTRIBUTION FOR THAT PERIOD	REQUESTED AMOUNT: \$ \$824,106
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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.):* Conversion to Odyssey , Tyler Case Management System- The Court contracted with Tyler Technologies in FY 13/14 off of Master Agreement MA 132003, The contract was for the Odyssey Case Management System with a big-bang implementation for all case types set to be carried out in five phases, including pre-implementation planning and business process review; design and development of the overall solution; completion of the deployment of the CMS; deployment of e-filing; and close out of the project. The contract includes software licensing, maintenance and support services, and electronic filing. The Court was originally planned to go live in Sept. 2015, but has since been delayed 3 times and is currently anticipated to go live hopefully by Dec. 2016. These delays are a result of the availability of limited Tyler resources, given multiple conversions in California. Further, our integrated Criminal System and fully automated Traffic System have proved challenging for Tyler with their limited resources. The Court currently uses a County built, fully integrated system and cannot convert to Odyssey until all interfaces have been completed and all data conversion errors have been resolved. As indicated, our current Traffic System, which operates from a web-based program (eCourt by Daily Journal Technologies) contains a multitude of automated workflow that exceeds the current Tyler offering and if implemented as currently configured, that would result in going backwards in technology and efficiency. This has created increased work for Tyler to make the court whole with the Traffic System. The Court has added a project management consultant firm to assist the court in meeting deliverables and identifying risk factors that continue to create delays for the project. Court and Tyler Technologies are mutually working toward a successful implementation and developing a comprehensive mitigation plan to phase-in implementation.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.
All sections related to this amended request have not changed with the exception of the amount requested.

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

The original amount requested was based on an estimate prior to the close of FY 15-16. After closing and finalizing FY 15-16 in July 2016, the amount requested is \$824,106.

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 total purchase price of this conversion and new case management system could not be met out of our annual operation budget, without laying off a significant number of our workforce. Therefore we used reserved funds, prior to the 1% restriction toward this project, which the Court had been planning and saving for. With the implementation of the 1% restrictions, this moved up our timeline for this project so that we would not lose the funds we had been reserving. Since we were still finishing our conversion to a new Traffic system, this created a resource depletion for the Court, juggling two large projects. Additionally, as mentioned above, Tyler's resources were also limited due to the roll-out of multiple courts requiring new case managements systems during the same three year period. There was also a shift in the project team from Tyler as it appeared we had less experienced Tyler resources which further caused delays. We have already exceeded the number of data pushes in order to clean up the data and we still have no Traffic workflow and multitude of errors in the financials. Therefore our court will not approve the go-live date until we have overcome these important issues and mitigated high risk areas.**

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

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

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs? Our current County legacy CMS is 30 years old and is not a web based system. Since the system is owned by the county, it requires competition for improvements to the system over other county departments and at a significant cost. A web based system will allow more data to be shared across the internet as well as implement e-Filing, increasing the efficiency for users, reducing workload and improving accuracy. It will also allow the court to control its case management system allowing for increased improvements, data collection and further technology considerations.**
- C. If a cost efficiency, please provide cost comparison (table template provided). While ultimately the conversion to this new system will save the court money, at least initially, it was not the ultimate basis for the project. Increasing efficiency and access to justice were the key drivers in making this decision.**
- D. Describe the consequences to the court's operations if the court request is not approved. The court will continue on an expensive system which will not allow for increased efficiencies in operations and improving workload backlogs and optimizing our resources. Training on this old antiquated system remains a challenge for new court employees and validating data is difficult to achieve. Since e-filing is not an option on the current system it causes more court resources to process paper and can result in more errors. If we are not able to carry forward the remaining encumbrance to finish this project, the investment, both in terms of dollars and staffing costs, made thus far by all parties will be lost.**
- E. Describe the consequences to the public and access to justice if the court request is not approved.**

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: Kern	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Terry McNally, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Debra Ostlund, Deputy CEO-Finance debra.ostlund@kern.courts.ca.gov	
DATE OF SUBMISSION: 7/19/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2016/17	REQUESTED AMOUNT: \$806,503.20

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 Superior Court, County of Kern, had two new courthouse projects that were indefinitely suspended due to state budget problems. One of these projects was to replace the Delano Regional Court facility. As such, when the Delano Police Department, which is adjacent to the Delano Regional Court facility, was vacated it presented an opportunity to address problems related to this court location. Delano serves, in addition to the second fastest growing community in the County of Kern, two large prisons – Kern Valley and North Kern. These two facilities generate a significant amount of case work for the courts which have overtaxed current facilities and necessitated transfer of many of the CDCR related matters to the already overcrowded Metro Bakersfield Court location. The remodeling of the leased facility would enable the court to manage this caseload in a secure and efficient court environment. Further it would save significant tax payer resources as CDCR would no longer have to transport their inmates to Bakersfield, some 45 minutes away from Delano. The remodel project was delayed by approximately eight months due to the requirements of the Office of State Fire Marshall plan review. Thus the Court is requesting authorization to carryover encumbered local funding to complete the remodel project estimated to be done in August 2016.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

Section I - REQUESTED AMOUNT (was \$1,270,811.00)

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

Removed the “estimated” notation and adjusted to the amount disencumbered plus retention by Judicial Council Facilities. (13/14 encumbrance unspent at 6/30/16.

\$668,648.00 Disencumbered
 \$137,855.20 Reverted retention
 \$806,503.20 Total
 See attached.

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 funds for this project were originally encumbered in June 2014 and the three-year limitation will expire in June 2016. The original encumbrance amount was for \$2,047,200 and the unspent balance as of the end of March 2016 was \$1,270,811. (See attached report from the Judicial Council Facilities group.

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?**

This funding will enable the completion of the remodeled leased facility designed to provide a highly secure, local court facility to serve the two large prisons that generate a considerable amount of workload for the Superior Court. The facility, which is within ten miles of the Delano Court facility, would save time and money by reducing the transportation costs for hearings and trials. While the court is currently using video conferencing for arraignments, subsequent hearings and jury trials will benefit from this newly remodeled facility by reducing wait times and improving the secure management of in-custody inmates.

- 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.**

There are two primary problems with the current facilities. One, the volume of cases emanating from the local prisons necessitate a large number, as many as 15 to 20, of CDCR transport vehicles with their CDCR staff and inmates be parked in the Delano court lot waiting for their hearing. The vehicles are acting as holding cells due to the limited cells in the current building. This poses a significant security concern, potential delays in court calendar management due to shuttling inmates from vehicles to courtrooms, and high costs for inmate management and security, Secondly, due to the physical constraints of the Delano, a large percentage of these cases are transferred to Bakersfield further overtaxing Kern County's busiest court facility and requiring the costly transport of in-custody inmates to and from the County seat on a daily basis.

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

The ability to have a secure facility in Delano enables local witnesses, justice partners, CDCR staff, and the public to access hearings and trials without the significant expense and time necessary to commute to Bakersfield.

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

If the request is not approved, the only alternative is to use current year revenue, which would involve cutting operational staffing to make up the shortfall.

SECTION IV: FINANCIAL INFORMATION – N/A

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

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

N/A

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

N/A

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

N/A

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

N/A

**Kern County Superior Court Trial Court Trust Fund
June 2016**

Fiscal Year 2013-2014 Prepaid Projects

Judicial Council Encumbrance: Chamblin-Landes; Delano Police Dept. (15-D2) Tenant Improvements Project - Balance	\$0.00
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Fiscal Year 2014-2015 Prepaid Projects

Judicial Council Encumbrance: Chamblin-Landes; Delano Police Dept. (15-D2) Tenant Improvements Project - Balance	\$792,364.00
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Fiscal Year 2015-2016 Prepaid Projects

Judicial Council Encumbrance: Chamblin-Landes; Delano Police Dept. (15-D2) Tenant Improvements Project - Balance	\$383,631.00
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Fiscal Year 2013-2014 "Pre-Paid" Expenditures (Reclassification from Pre-Paid Expense)

Facility	Description/Vendor	Service Order #/ Contract #	Work Description	Amount	Total
Delano Police Department	Chamblin-Landes	N/A	Disencumbered funds liquidated against prepaid *	668,648.00	668,648.00
Total FY 2013-2014 Reclassification from Pre-Paid Expense				\$668,648.00	\$668,648.00

Fiscal Year 2013-2014 Expenditures (TCTF Reduction)

Facility	Description/Vendor	Service Order #/ Contract #	Work Description	Amount	Total
Delano Police Department	Chamblin-Landes	N/A	Reverted retention previously charged to Court	-137,855.20	-137,855.20
Total FY 2013-2014 Expenditures				-\$137,855.20	-\$137,855.20

Fiscal Year 2015-2016 Expenditures (TCTF Reduction)

Facility	Description/Vendor	Service Order #/ Contract #	Work Description	Amount	Total
Delano Police Department	State Fire Marshall	N/A	Charge for expenditure	8,783.43	8,783.43
Total FY 2015-2016 Expenditures				\$8,783.43	\$8,783.43

Total Expenditures:	\$539,576.23
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* Disencumbered funds in the amount of \$668,648 liquidated against prepaid and being returned to Court.

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: Kern	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Terry McNally, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Debra Ostlund, Deputy CEO-Finance debra.ostlund@kern.courts.ca.gov	
DATE OF SUBMISSION: 4/29/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2016/17	REQUESTED AMOUNT: \$830,528

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 Superior Court, County of Kern, entered into a contract with Tyler Technologies, Inc. to replace its antiquated, legacy case management system provided by the County for the last 30-years. The new system will enhance court operations by providing a single case management system for all case types improving the operations of the Court. Further, the County of Kern Justice partners have also agreed to migrate to the new case management system providing for a fully integrated system using new technology including a digital file storage, e-filing, and other similar state-of-the-art enhancements that will improve the management of cases through the entire local justice system.

The Court's contract with Tyler Technologies Inc. provided for an amount of local programming, integration and development to comply with statutory obligations and requirements for court operations in California. Tyler Technologies Inc. subsequently signed agreements with another 25 or more courts in California. This will enable Courts in California to collaborate on a large number of state-wide development initiatives including DMV and DOJ interface, electronic citation processing, state-wide e-filing, and other similar improvements. However, due to programmer constraints local development efforts have been delayed. In turn, encumbered funds necessary to pay for the remaining project deliverables and any local development will not be expended within the three-year term of the agreement.

It is respectfully requested that the Superior Court, County of Kern, be allowed to carryover encumbered local funds to finalize this project, the second phase—Go-live for the Criminal, Traffic and Juvenile case management components—planned for completion in the fall of 2016.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

Section I - REQUESTED AMOUNT (was \$895,286 less: \$64,758 = \$830,528)

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

Removed the "estimated" notation and reduced the amount by maximum amount of encumbered fund balance that if not expensed in two years is subject to the cap. (\$80,296-15,538=\$64,758)

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

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

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

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

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

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

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

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

N/A

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

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

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

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

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

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

SECTION IV: FINANCIAL INFORMATION - N/A

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

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

N/A

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

N/A

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

N/A

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

N/A

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: Placer	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Jake Chatters, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Vicki Nissen, vnissen@placer.courts.ca.gov , 916-408-6108	
DATE OF SUBMISSION: 9/30/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 13/14, FY1617, FY1718	REQUESTED AMOUNT: \$211,350

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 requests the total amount of \$211,350 be held by the Judicial Council for an overage of the 1% fund balance from FY13/14 for two projects that final completion will be delayed beyond the three year encumbrance term: (1) In FY13/14 the court encumbered \$250,000 for the development and installation of a new case management system for the court. This project has been delayed beyond the 3 year encumbrance period. The court requests \$199,650 be held on behalf of the court with expenditure expected to be made during FY1617 and/or FY1718. (2) Also, in FY13/14 the court encumbered a contract for the installation of a telephonic appearance system. The amount of \$11,700 remains to be expended. This project has been delayed beyond the 3 year encumbrance period as the amount is tied to integration with the case management system noted in (1). The court requests the total of both projects, \$211,350, be held on behalf of the court in the Trial Court Trust Fund.

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.

The court continued its effort to replace an aged case management system. The court has completed deployment for the traffic case type, June 2014, and achieved implementation for the criminal case type in May 2016. As of the end of FY1516, the civil, family law and juvenile case types will remain to be deployed. Deployment activities for the remaining case types are expected to begin in May 2016, with ultimately completion in late FY 16/17 or early FY 17/18. The telephonic appearance system interfaces with the case management system and will also need to be upgraded when the civil case type is deployed in FY 16/17 or early FY 17/18. As such, both of these projects extend beyond the three year encumbrance period which expires at FY1516.

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

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

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

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

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

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

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

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

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

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

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

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

SECTION IV: FINANCIAL INFORMATION

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

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

N/A

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

N/A

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

N/A

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

See attached spreadsheet. The court does not expect any changes to these amounts.

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

Description	FY 2016-17	FY 2017-18							Total
Contribution									
Expenditures	136,700	74,650							211,350
Cumulative Balance	(136,700)	(211,350)	(211,350)	(211,350)	(211,350)	(211,350)	(211,350)	(211,350)	211,350

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: Sutter	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Stephanie M. Hansel, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Brenda Cummings bcummings@suttercourts.com 530 822-3340	
DATE OF SUBMISSION: 9/30/2016	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 1 YEAR	REQUESTED AMOUNT: \$0

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.):*

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

Requested amount has been amended to \$0

B. Provide a summary of the changes to the request. Court received invoice from Tyler for \$384,000. Invoice was paid prior to August 30, 2016 and taken from FY 15-16 funds. Final 1% Calculation form has a zero allocation reduction amount.

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

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

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?

- 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.

- E. Describe the consequences to the public and access to justice if the court request is not approved.
Access to court records would be jeopardized. The legacy CMS will no longer be supported.

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

- 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