



Comparative Overview of SEC's
and AOC's Own Internal
Reorganization Recommendations

JUNE 5, 2012



ADMINISTRATIVE OFFICE
OF THE COURTS

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INTRODUCTION

Comparative Overview of SEC's and AOC's Own Internal Reorganization Recommendations

The following chart tracks the overlap between recommendations from the Strategic Evaluation Committee for the AOC and those areas already identified through the AOC's own internal organizational review process for evaluation and possible implementation, in whole, in part, or as a modified version of the SEC recommendation. Additionally, the AOC's internal organizational review process identified a number of recommendations beyond what the SEC recommended and those are currently being evaluated.

- Total number of SEC recommendations on AOC: 147
(An additional four recommendations are directed to Judicial Council oversight.)
- Total number of areas similarly identified by the AOC, in whole, in part, or a modified version: 74
- Total recommendations in progress or already completed by the AOC: 57

Center for Families, Children & the Courts

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
1	The Center for Families, Children and the Courts should be an office reporting to the Chief Operating Officer in the AOC's Judicial and Court Operations Services Division, rather than a stand-alone division. The CFCC manager position should be compensated at its current level. (7-3)	√			
2	Consolidate divisional research efforts within the Judicial and Court Operation Services Division (7-4)		√		
3	All attorney position allocations should be reviewed with a goal of reducing their numbers and/or reallocating them to nonattorney classifications. (7-4)		√	√	
4	Consider maximizing and combining self-help resources from similar subject programs, including resources provided through the JusticeCorps and the Sargent Shriver Civil Counsel program. (7-9)		√	√	
5	Eliminate the Assistant Div. Director position. (7-4)	√			
6	CFCC has numerous grant-funded positions, including five in its Rules and Forms Unit. Implementation of SEC recommendations for the AOC's grants and rule-making processes could result in some reductions in these positions. (7-4)	√			
7	Downsize the Core Operations Unit through the consolidation of administrative functions and resources within the Judicial and Court Administrative Services Division. (7-4)	√			
8	Eliminate positions related to CCMS. (7-4)		√	√	2 positions eliminated; 1 reassigned.
9	Assure that grant-funded programs are undertaken only when consistent with predetermined, branch-wide policy and plans. The fiscal and operational impacts of grant-funded programs on the courts should be considered as part of the fiscal planning process. (7-5)	√	√	√	
10	Limit legislative proposals generated through this division to those required by court decisions and approved by the JC Advisory Committees. (7-6)	√			
11	Conduct a systems review of the manner in which trial court records are reviewed to streamline audits, if possible, and to lessen the impact on court resources. (7-7)	√			
12	Discontinue investigating and responding to complaints from litigants about judicial officers who handle family matters, as such matters are handled by other entities. (7-8)		√	√	

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
13	CFCC produces various publications. They should be considered for reduction or elimination. (7-4)		√	√	
14	Eliminate the Judge-in-Residence position.		√	√	Eliminated as of 6/30/12

Court Programs and Services Division

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
15	CPAS should be renamed to Court Operations Special Services Office (COSSO) and should be an office reporting to the COO for the AOC's Judicial and Court Operations Services Division, rather than a stand-alone division. The CFCC manager position should be compensated at the Senior Manager level. (7-10)	√			
16	Evaluate the extent to which financial and personnel support for the Jury Improvement Program should be maintained. (7-12)		√		
17	Consolidate the Judicial Administration Library with the Supreme Court Library (7-16)		√		
18	Eliminate the Assistant Director position. (7-11). A significant number of COSSO staff members, such as those in the Administration and Planning unit, are assigned to various functions in support of the Judicial Council. The recommended consolidation of Judicial Council support activities under the direction of the Chief of Staff will present opportunities for efficiencies and resource reduction. (7-14)		√		AOC has modified rec. with position redirection
19	Consider elimination of Editing & Graphics Group (7-13)		√		
20	COSSO staff are engaged in activities relating to education and training of Appellate Court Justices. These functions should be consolidated with the Education Division/CJER. (7-15)		√		
21	Study the budget and operational components of CIP to determine whether greater efficiencies can be implemented to deliver interpreter services to the courts. Internally, the Finance Division should not act as an impediment in the delivery of interpreter services to the courts. (7-12)		√		
22	Suspend KLEPS temporarily. (7-12) AOC: change to a three-year cycle from its current two-year cycle.		√	√	
23	Consolidate divisional research within the Judicial and Court Operation Services Division (7-11)		√		

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
24	Maintain JusticeCorps Program with the AOC's involvement limited to procuring and distributing funding to the courts. (7-12)	√			
25	Eliminate Procedural Fairness/Public Trust & Confidence program since funding has ceased. (7-12)		√	√	
26	Evaluate continuing support for the Civics Education Program/CA On My Honor program once the 2013 summit has concluded. (7-12)	√			
27	Develop written policies and guidelines that control the pursuit and acceptance of grants and other funding, including utilizing a cost-benefit analysis. (7-12)		√	√	
28	Merge the Assigned Judges Program and Assigned Judges Program Regional Assignment units, resulting in elimination of one supervisor (7-12)		√	√	
29	Review the AJP travel and expense policies to mitigate adverse impacts on the availability of assigned judges to smaller and rural courts. (7-17)		√	√	
30	Consider creating a pilot program to allow half-day assignments of judges, taking into account the probable inability of small, rural courts to attract judges on this basis. (7-17)		√	√	
31	Consider development of an Assigned Commissioner Program to assist courts with such matters as AB1058 child support cases. (7-17)		√	√	
32	Transfer the functions of the Trial Court Leadership Service unit under the auspices of the new Executive Office, as matters of policy emanating from the TCPJAC and CEAC often relate to branch-wide policies. (7-18)	√			

Education Division/Center for Judicial Education and Research (CJER)

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
33	The Education Division should be an office reporting to the COO for the AOC's Judicial and Court Operations Services Division, rather than a stand-alone division. The manager position should be compensated at its current level. (7-19)	√			
34	JC should examine and consider a relaxation of current mandatory requirements to allow the ADOC and/or CEOs greater discretion and flexibility in utilizing their workforces during times of budget constraints; CCD unit has several positions assigned to develop training for AOC staff and the activity should be evaluated and reduced, especially if training requirements are relaxed. (7-20 and 7-23)		√		

#	Recommendation	SEC Rec.	Area Identified by both	In Progress or Completed	Timeframe/ Notes
35	A workgroup has been formed to review all education for new judges to ensure that it is being provided in the most effective and efficient way possible. The efficiencies identified by this working group may present opportunities for reductions. (7-20)		√	√	Initiated 12/11; target completion Fall 2012
36	Review all attorney position allocations with the goal of reducing their numbers and/or reallocating them to nonattorney classifications. In particular, education specialist positions are staffed by attorneys, a staffing practice that appears unnecessary. (7-20)		√	√	
37	Eliminate the CCMS training unit and other positions engaged in CCMS-related activities in light of the JC's decision to cancel the full deployment of the CCMS system. (7-20)		√	√	04/12 Unit eliminated; 3 partial pstns reverted to other programs
38	Reduce staff in the Production, Delivery, and Educational Technologies unit in light of the difficult fiscal environment. (7-20)		√		
39	Evaluate the staffing in the ASU and reduce commensurate with the reduction in the number of live programs and events, and reflecting a reduction in the number of employees AOC-wide. (7-20)	√			
40	Conduct true cost-benefit analyses—and not rely only on its own preferences—in determining the types of training and education it provides, including types, lengths, and locations of programs, delivery methods, and the costs to courts. This should apply to training and education requirements for new judicial officers. (7-21)	√			
41	Support and provide requested assistance to those courts that collaborate with other regional courts in providing judicial education and staff training or that request support in providing their own programs. (7-22)	√	√	√	
42	Review the content of training courses offered, the number and location of courses offered, and the means by which courses and training are delivered for AOC managers, supervisors, and employees. Training opportunities should include greater orientation and development of understanding of court functions. (7-24)	√	√	√	

Finance Division

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
43	The Finance Division should be renamed to Fiscal Services Office and should be an office reporting to the CAO for the AOC’s Judicial and Court Administrative Services Division, rather than a stand-alone division. The Fiscal Services Office Manager position should be compensated at the Senior Manager level. (7-25)	√			
44	Reduce the number of managers and supervisors. (7-26)		√		
45	Improve its fiscal decision making processes by making a commitment to involve the Fiscal Services Office in all phases of fiscal planning and budgeting, especially with regard to large-scale or branch-wide projects or initiatives. (7-27)		√	√	
46	Budgeting process must become more transparent. Budget information must be readily available to the public, including online. Budget documents must provide understandable explanations and detail concerning revenue sources, fund transfers, and expenditures. (7-28)		√	√	
47	Process contracts in a more timely fashion, with an eye toward better serving courts, contractors, vendors, and others. (7-29)		√	√	03/12: Process improvements initiated.
48	Assess its workload needs, especially in light of legislation on court security and auditing functions being assumed by the State Controller’s Office, so that any necessary adjustments in staffing positions can be made. (7-30)	√			
49	Evaluate the Strategic Policy, Communication, and Administration unit and most likely, eliminate it. (7-31)		√	√	02/12; Consolidated within Fin. Director’s Office

Human Resources Office [Administrative Services Division]

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
50	Combine with other administrative functions reporting to the Chief Administrative Officer in the AOC’s Administrative Services Division. (7-32)	√			
51	Reestablish the AOC’s commitment to implement sound HR policies and practices. (7-33)		√	√	
52	Reduce the number of manager positions from five to three with some of the resulting resources allocated to line HR functions. (7-34)		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
53	Eliminate one of the three Senior Manager positions. (7-34)	√			
54	Consider redirecting resources from eliminated positions to support vacant HR analyst positions that can be assigned work needed to help reestablish effective HR policies and practices in the AOC. (7-34)	√			
55	Resolve any remaining issues that have existed between the HR Division and the Office of the General Counsel, including by redefining respective roles relating to employee discipline or other HR functions. (7-42)		√	√	

Information Services Division

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
56	The Information Systems Division should be renamed to Information and Technology Office, combined with any remaining functions of CCMS, and should be an office reporting to the CAO for the AOC's Judicial and Court Administrative Services Division, rather than a stand-alone division. The IS Manager position should be compensated at its current level. (7-43)		√	√	02/12 CCMS staff absorbed into ISD
57	Especially with CCMS not being fully deployed, staff reductions in this division are in order, including: <ul style="list-style-type: none"> • Unnecessary CCMS positions should be eliminated. • The total number of senior managers should be reduced. • The use of temporary employees, consultants, and contractors should be reviewed and reductions made accordingly (7-45) 		√	√	
58	Reexamine technology policies in the judicial branch now that CCMS does not represent the technology vision for all courts. Formulate any new branch-wide technology policies or standards based on the input, needs, and experiences of the courts, and include cost-benefit analysis. (7-44)		√	√	
59	Conduct a review and audit of all technology currently used in the AOC, such as SAP, Oracle, and CCMS. Efficiencies and cost savings could result from the use of a single platform. (7-46)	√			

Office of the General Counsel

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
60	The Office of the General Counsel should be renamed to Legal Services Office (LSO) and should be a stand-alone office reporting to the ADOC. The Legal Services Office Manager position should be compensated at its current level. The LSO should not be at the same divisional level as the Judicial and Court Operations Services Division or Court Administrative Services Division. The Chief Counsel, manager of the LSO, should not be a member of the Executive Leadership Team. (7-71)	√			
61	Reduce the number of management positions; eliminate Assistant General Counsel position; one managing attorney could be assigned to manage each of the two major functional components of the division, house counsel, and Judicial Council services, with each managing attorney reporting directly to the Chief Counsel. (7-72)		√		AOC recommends reducing mgmt positions but not necessarily eliminating Asst. GC
62	Reduce bottlenecks for advice, contracts, and other projects. More effective tickler and tracking systems for opinions, contracts, and other documents should be put in place. (7-77)			√	
63	Assess the costs and benefits of allocating staff attorneys and resources to various advisory committees, task forces, and working groups. (7-74)		√		
64	Implement fundamental management practices to address the underperformance of staff members and provide better supervision and allocation of work which should produce efficiencies that can result in staffing reductions. (7-72)	√	√	√	
65	Assign responsibility for coordinating the AOC's Judicial Council support activities to the Executive Office under the direction of the Chief of Staff thus achieving efficiencies that should result in reductions of LSO positions dedicated to these activities. (7-72)	√			
66	Implementation of the recommendations designed to streamline and improve the AOC's contracting processes should reduce contract-related work performed by the LSO. (7-72)		√	√	
67	There are opportunities for work currently performed by attorneys in the RPU, TBOU, REU, and LEU to be performed by nonattorneys, resulting in efficiencies and possible staff reductions. (7-72)	√			
68	Develop paralegal classification which could lead to the reduction of attorney positions. (7-72)	√			

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
69	Terminate the ability to telecommute in violation of the AOC's telecommuting policy. Do not permit supervising attorneys in this division to telecommute. (7-73)	√			
70	Redefine the role of the Chief Counsel to reflect the primary role of providing legal advice and services, as opposed to developing policy for the judicial branch. (7-76)	√			
71	Employ and emphasize a customer service model of operation—recognizing a primary goal of providing timely service and advice to its clients, including to internal clients in the AOC and to those courts that request legal advice or services from this office. (7-77)	√			
72	Adopt an operations model whereby its attorneys generally are housed at one location. Would eliminate nonsupervision of some attorneys, promote better and more regular supervision of staff attorneys, and promote better utilization of available skills. (7-77)	√			
73	Emphasize that time is of the essence when it comes to delivering advice and opinions to the courts; that recommendations and advice to courts should include a full range of options available to the courts; and that there must be a greater recognition that the AOC's interests may conflict with the specific interests of the courts. Clearer procedures should be put in place to safeguard the interests of individual courts in those instances when legitimate conflicts arise. (7-77)	√			
74	Survey court users of legal services, periodically, to determine if such services are performed in a timely and satisfactory manner. (7-77)	√			
75	Resolve issues that have existed between the HR Division and OGC, including by redefining respective roles relating to employee discipline or other HR functions. (7-78)		√	√	
76	Order an independent review of this office's use, selection, and management of outside legal counsel to determine whether outside counsel is being utilized in a cost-effective manner. (7-79)	√			

Office of Communications

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
77	Office of Communications should remain in the Executive Office and under the direction of the Chief of Staff. The OC Manager position should be placed at the Senior Manager level. (7-52)		√	√	Snr. Mgr. in place.
78	Make resources, including the PIO, more available to furnish increased media relations services to courts requesting such assistance. (7-53)	√			

Office of Emergency Response and Security

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
79	Eliminate a stand-alone OERS, necessary functions can be reassigned and absorbed by existing units in the Judicial and Court Operations Services Division. (7-54)	√			
80	Refocus and limit functions of this office to those reasonably required by statute or by Rules of Court, primarily including review of security plans for new and existing facilities; review of court security equipment, if requested by the courts; and review of emergency plans. (7-55)	√			
81	Evaluate if activities undertaken by this office are cost-effective, such as judicial security and online protection functions. (7-56)		√		

Regional Office

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
82	Regional offices should cease to exist as a separate division within AOC. The BANCRO and SRO offices should close. Advocacy and liaison services provided to the trial courts should be provided through the Office of Trial Court Support and Liaison in the new Executive Office. (7-84)		√	√	Internal reorg. focuses on core regional office only.
83	Renegotiate or terminate, if possible, lease space utilized by SRO and BANCRO. To the extent AOC staff from other divisions is assigned to work at leased space at the regional offices, the need for locating such staff in currently leased space should be reevaluated. (7-85)		√	√	
84	Maintain an office in the Northern California Region area to provide some services to courts in the region. (7-86)		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
85	Place the significant special projects previously assigned to the regional offices under the direction of the Chief of Staff in the Executive Office. (7-87)	√			

Trial Court Administrative Services Division [Administrative Services Division]

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
86	The Trial Court Administrative Services should be made a unit under the Judicial and Court Administrative Services Division, rather than a stand-alone division, reporting to the CAO. The TCAS Manager position should be compensated at the Senior Manager level. (7-47)	√			
87	Trial court use of the Phoenix HR/Payroll functionality should remain optional to individual trial courts. (7-48)	√			
88	Judicial Council should determine whether to continue with the charge-back model whereby courts reimburse the AOC from their Trial Court Trust Fund allocations for the courts' use of the Phoenix Financial system; and whether the LA court will be required to reimburse the AOC for use of the Phoenix Financial system. (7-49)		√	√	
89	Conduct a review and audit of all technology currently used in the AOC, such as SAP, Oracle, and CCMS. Efficiencies and cost savings could result from the use of a single platform. (7-50)	√			
90	Continue to provide clear service-level agreement with respect to services provided to the courts. (7-51)		√	√	

Office of Court Construction and Management

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
91	OCCM should be renamed to Office of Court Construction and Facilities Management Services and placed under the AOC's Judicial and Court Operations Services Division, rather than a stand-alone division, reporting to the COO. The manager of this unit should be compensated at its current level. (7-64)	√			
92	Conduct a cost-benefit analysis of the entire scope of OCCM operations. (7-65)	√			

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
93	The current facilities maintenance program appears inefficient and unnecessarily costly. The consultant report is necessary and should be considered part of a necessary reevaluation of the program. Courts should be given the option to assume responsibility for maintenance of court facilities and for smaller-scale projects. (7-66)		√	√	
94	Identify and obtain revenue streams to fund increased costs for maintenance of court facilities. (7-67)	√			
95	Implement necessary staff reductions in light of the slowdown in new court construction. (7-68)	√			
96	Eliminate the use of temporary or other staff to circumvent the hiring freeze. (7-69)	√			
97	Review the contracting process utilized by OCCM as part of the AOC-wide review of its contracting process. (7-70)		√	√	

Office of Governmental Affairs

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
98	The Office of Governmental Affairs should be placed in the Executive Office, under the direction of the Chief of Staff. The OGA Manager position should be compensated at the Senior Manager level. (7-80)	√			
99	Ensure that the PCLC is apprised fully of varying viewpoints of the courts, court executive officers, and judges before determining legislation positions or proposals. OGA should represent the interests of the judicial branch on the clear direction of the Judicial Council and its PCLC. (7-81)	√			
100	Direct that attorney resources in the AOC be utilized to best leverage and draw on subject matter expertise, which may assist OGA as legislative demands may require. (7-82)		√	√	

Organization-Wide Items for Consideration

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
101	<p>Conduct a classification and compensation study for the agency:</p> <ul style="list-style-type: none"> • The focus of the classification review should be on identifying and correcting misallocated positions, particularly in managerial classes, and on achieving efficiencies by consolidating and reducing the number of classifications. The CAO should be given lead responsibility for implementing this recommendation. (6-5) • Undertake a comprehensive review of the classification and compensation systems with the goal of consolidating and streamlining the classification system. (6-6 and 7-35) • Priority should be placed on reviewing all positions classified as supervisors or managers, as well as attorney positions, to identify misclassified positions and take appropriate corrective actions. (7-35) • Review the manner in which the geographic salary differential policy is applied and if maintained, applied consistently. (7-35) • Consider using an outside entity to conduct these reviews given the current HR staffing and expertise levels. (7-35) 		√		
102	<p>Implement a formalized system of program and project planning, and monitoring that includes, at a minimum, a collaborative planning process that requires an analysis of impacts on the judicial branch at the outset of all projects; use of workload analyses where appropriate; and development of general performance metrics for key AOC programs that allow expected performance levels to be set and evaluated. (6-2)</p>		√		
103	<p>Renegotiate or terminate the lease in Burbank. Review and renegotiate the Sacramento North office space to reflect actual usage of the office space. Explore lower-cost options in San Francisco, recognizing that DGS would have to find replacement tenants for its space. (10-1)</p>		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
104	Identify legislative requirements that impose unnecessary reporting or other mandates on the AOC. Appropriate efforts should be made to revise or repeal such requirements. (7-83)		√	√	
105	Develop and make public a description of the AOC's process for determining which grants to pursue. The process should mandate a detailed impact analysis for every grant proposal, including consideration of all anticipated impacts on the workload and resources of the courts and impacts to the AOC as a whole. After that analysis the Executive Leadership Team will decide if they AOC should pursue grant funding. (6-9)		√	√	
106	AOC should be reorganized. The organizational structure should consolidate programs and functions that primarily provide operational services within the Judicial and Court Operations Services Division. Those programs and functions that primarily provide administrative services should be consolidated within the Judicial and Court Administrative Services Division. Other programs and functions should be grouped within an Executive Office organizational unit. The Legal Services Office also should report directly to the Executive Office but no longer be accorded divisional status. (5-1)	√			
107	Create a Chief Operating Officer (COO) position that should manage and direct the Judicial and Court Operations Services Division, consisting of functions located in the Court Operations Special Services Office; CFCC; Education/CJER; and Office of Court Construction and Facilities Management (re-titled from OCCM). (5-2)	√			
108	Create a Chief Administrative Officer (CAO) position that should manage and direct the Judicial and Court Administrative Services Division, consisting of functions located in the Fiscal Services Office; Human Resources Services Office; TCAS Office; and Information and Technology Services Office. (5-3)	√			
109	Create a Chief of Staff (COS) position that should manage and direct an Executive Office organizational unit consisting of functions and units such as coordination of AOC support of the Judicial Council, Trial Court Support and Liaison Services, the Office of Governmental Affairs, the Office of Communications, and a Special Programs and Projects Office. (5-4)	√			

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
110	Rename the Office of the General Counsel to the Legal Services with the Chief Counsel reporting directly to the Administrative Director of the Courts, depending on the specific issue under consideration and depending on the preferences of the ADOC. (5-5)	√			
111	Eliminate the Chief Deputy position. (5-6)	√			
112	Designate the ADOC, COO, CAO, and COS as the AOC Executive Leadership Team, the primary decision making group in the organization. (6-1)	√			
113	Order immediate compliance with the requirements and policies in the AOC personnel manual, including formal performance reviews of all employees on an annualized basis; compliance with the rules limiting telecommuting; and appropriate utilization of the discipline system. (6-3)	√			
114	Utilize the flexibility provided by the AOC at-will employment policy to address serious employee performance issues. (6-4 and 7-36)	√			
115	Develop and make public a description of the fiscal and budget process, including a calendar clearly describing how and when fiscal and budget decisions are made. The Fiscal Services Officer should be required to producing a comprehensive, publicly available midyear budget report, including budget projections for the remainder of the fiscal year and anticipated resource issues for the coming year. The CAO should be given lead responsibility for developing and implementing an entirely new approach to fiscal processes and information for the AOC. (6-7)	√			
116	Develop a process to better assess the fiscal and operational impacts of proposed rules on the courts, including seeking earlier input from the courts before proposed rules are submitted for formal review. Establish a process to survey judges and CEOs about the fiscal and operational impacts of rules that are adopted, and recommend revision to the rules where appropriate. Recommend changes in the rules process, for consideration by the JC, to limit the number of proposals for new rules, including focusing on rule changes that are required by statutory changes. (6-8)	√			
117	Annual performance appraisals of all AOC employees must be implemented uniformly throughout the AOC as soon as possible. (7-37)	√			

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
118	Develop and implement a policy that provides for performance improvement plans and for the actual utilization of progressive discipline throughout the organization. (7-38)	√			
119	Utilize the organizations layoff process to provide management with a proactive way to deal with significant reductions in resources. (7-39)		√	√	
120	Adhere to the organization's telecommuting policy by applying the policy consistently and identifying and correcting all existing deviations and violations of the existing policy. (7-40)	√			
121	Conduct a gradual, prioritized review of all HR policies and practices, including all those incorporated in the AOC personnel manual, to ensure they are appropriate and are being applied effectively and consistently throughout the organization. (7-41)		√	√	
122	Seek the fully informed input and collaboration of the courts before undertaking significant projects or branch-wide initiatives that impact the courts (7-57)	√			
123	Employ an appropriate business case analysis of the scope and direction of significant projects or branch-wide initiatives that impact the courts. (7-58)	√			
124	Develop and communicate accurate cost estimates for projects, programs, and initiatives. (7-59)	√			
125	Apply proper cost and contract controls and monitoring, including independent assessment and verification, for significant projects and programs (7-60)	√			
126	Maintain proper documentation and records of decision making process for significant projects and programs. (7-61)	√			
127	Identify and secure sufficient funding and revenue streams necessary to support projects and programs, before undertaking them (7-62)	√			
128	Accurately report and make available information on potential costs of projects and impacts on the courts. (7-63)	√			
129	Determine whether attorneys employed across various AOC divisions are being best leveraged to serve the priority legal needs of the organization and court users. (7-75)		√		
130	All fiscal information must come from one source within the AOC and that single source should be what is currently known as the Finance Division. (8-1)		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
131	Financial tracking systems need to be in place so that timely and accurate information on resources available and expenditures to date are readily available. Managers need this information so they do not spend beyond their allotments. (8-2)	√			
132	Financial information displays need to be streamlined and simplified so they are clearly understandable. (8-3)		√	√	
133	The Fiscal Services Office should track appropriations and expenditures by fund, and keep a historical record of both so that easy year-to-year comparisons can be made. This can be done by unit, division or by program— whichever provides the audience with the most informed and accurate picture of the budget. (8-4)	√			
134	Expenditures should be split into those for state operations and local assistance (funds that go to the trial courts) so it is clear which entity benefits from the resources. State operations figures should be further broken down as support for the Supreme Court and Appellate Courts. In most state departments, administrative costs are distributed among programs. AOC should adopt this methodology. (8-5)	√			
135	Schedule the budget development and administration around the time frames used by all state entities. Immediately allocate its budgeted resources by fund among programs, divisions, units. Management of the AOC, and the Judicial Council, should receive this information, which should be posted on the AOC website. (8-6)	√			
136	Requests for additional resources should be accompanied by clear statements of need and use of the resources and the impact on the AOC, as well as the impact on the judicial branch, if any. A cost-benefit analysis should be part of any request and there should be a system to prioritize requests. (8-7)		√	√	
137	Present a midyear update of the judicial branch budget at the next scheduled Judicial Council meeting after the January release of the Governor’s Budget. The presentation should tie to the figures in the Governor’s Budget so that everyone has the same understanding of the budget. (8-8)		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
138	Except for changes that must be made to comply with time requirements in the state budget process, the AOC should not change the numbers it presents—continual changes in the numbers, or new displays, add to confusion about the budget. (8-9)	√			
139	Perform internal audits to allow the leadership team and the Judicial Council to know how a particular unit or program is performing. An audit can be both fiscal and programmatic so that resources that are tied to performance in meeting program goals and objectives. (8-10)	√			
140	Employ budget review techniques (such as zero-based budgeting) so that the budget of an individual unit is aligned with its program responsibilities. In the future, there should be periodic reviews of units and or programs to make sure funding is consistent with mandated requirements. (8-11)	√			
141	Reduce the total staff size of the AOC significantly. (9-1)		√	√	
142	Staff numbers should not exceed the total number of authorized positions. Consolidation of divisions, elimination of unnecessary and overlapping positions and other organizational changes recommended by the SEC should reduce the number of positions by an additional 100 to 200, bringing the staff level to approximately 680 to 780. (9-2)	√			
143	Eliminate vacant authorized positions if they have remained unfilled for six months. (9-3)		√		
144	Review all temporary staff assignments and eliminate those that are being used to replace positions subject to the hiring freeze. Temporary employees should be limited to periods not exceeding six months and should be used only in limited circumstances of demonstrated need, such as in the case of an emergency or to provide a critical skill set not available through the use of authorized positions. (9-4)		√	√	
145	Account for all categories of staffing—including, but not limited to, authorized positions, “909” staff, employment agency temporary employees and contract staff—in a manner understandable to the public. (9-5)		√	√	

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
146	Consider relocation of its main offices as part of the organization's long-term planning, based on a cost-benefit analysis of doing so. (10-2)	√			
147	The practice of employing a special consultant on a continuous basis should be reevaluated and considered for termination, taking into account the relative costs, benefits, and other available resources. (7-2)		√	√	Eliminated as of 6/30/12

Judicial Council Oversight

#	Recommendation	SEC Rec.	Area Identified by Both	In Progress or Completed	Timeframe/ Notes
148	The Judicial Council must take an active role in overseeing and monitoring the AOC and demanding transparency, accountability, and efficiency in the AOC's operations and practices. (4-1)		√	√	
149	The primary role and orientation of the AOC must be as a service provider to the Judicial Council and the courts. (4-2)		√	√	
150	The Judicial Council must demand that the AOC provide it with a business case analysis, including a full range of options and impacts, before undertaking any branch-wide project or initiative. In exercising its authority over committees, rules, grants, programs, and projects, the JC must demand that the AOC provide it with a full range of options and impacts, including fiscal, operational, and other impacts on the courts. (4-3)	√			
151	The Judicial Council must conduct periodic reviews of the performance of the Administrative Director of the Courts. These reviews must take into consideration input submitted by persons inside and outside the judicial branch. (4-4)	√			

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