

ATTACHMENT 7
WORK TO BE PERFORMED

1. Background

- A. Penal Code Section 1463.02 requires that, on or before June 30, 2011, a task force be established to evaluate criminal and traffic-related court-ordered debts imposed against adult and juvenile offenders (“Task Force”). The Task Force, among other things, must accomplish the following:
- i. Identify all criminal and traffic-related court-ordered fees, fines, forfeitures, penalties, and assessments imposed under law.
 - ii. Identify the distribution of revenue derived from those debts and the expenditures made by those entities that benefit from the revenue.
 - iii. Consult with state and local entities that would be affected by a simplification and consolidation of criminal and traffic-related court-ordered debts.
 - iv. Evaluate and make recommendations to the Judicial Council and the Legislature for consolidating and simplifying the imposition of criminal and traffic-related court-ordered debts and the distribution of the revenue derived from those debts with the goal of improving the process for those entities that benefit from the revenues and recommendations, if any, for adjustment to the court-ordered debts.
- B. The Task Force shall also document recent annual revenues from the various penalty assessments and surcharges and, to the extent feasible, evaluate the extent to which the amount of each penalty assessment and surcharge impacts total annual revenues and the actual amounts assessed.
- C. The Task Force shall also evaluate and make recommendations to the Judicial Council and the Legislature on or before June 30, 2011 regarding the priority in which court-ordered debts should be satisfied and the use of comprehensive collection programs authorized pursuant to section 1463.007, including associated cost-recovery practices.
- D. The Administrative Office of the Courts (AOC) requires assistance in complying with Penal Code Section 1463.02. The specific assistance required is explained in Table 1.

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Table 1. Assistance Required

Item	Penal Code 1463.02 Requirement	Assistance Required
1	Evaluate the implications of data gathered from statewide survey.	Assist in the analyses of data collected from statewide survey of revenue and expenditures.
2	Consult with state and local entities that would be affected by a simplification and consolidation of criminal and traffic-related court-ordered debts.	Interview selected entities to gain input for improvement alternatives.
3	Evaluate the extent to which the amount of each penalty assessment and surcharge impacts total annual revenues and the actual amounts assessed.	Perform analysis of the extent to which individual surcharges impact annual revenues taking account of collections performance.
4	Make recommendations to the Judicial Council and the Legislature regarding the priority in which court-ordered debts should be satisfied.	Provide interim reports to the Task Force regarding priority in which court-ordered debts should be satisfied and make recommendations, as appropriate, for adjustments to the processes surrounding court-ordered debts. All recommendation must identify pros/cons of each recommendation, and the potential fiscal and political impact(s) and rationale for each recommendation.
5	Evaluate and make recommendations to the Judicial Council and the Legislature for consolidating and simplifying the imposition of criminal and traffic-related court-ordered debts and the distribution of the revenue derived from those debts with the goal of improving the process for those entities that benefit from the revenues.	Provide assistance identifying improvement alternatives (include workshops to frame and make decisions with relevant stakeholder groups).
6	Make recommendations to the Judicial Council and the Legislature satisfying all requirements of Penal Code Section 1463.02	Provide final report to the Judicial Council and Legislature on behalf of the Task Force.

2. Project Objectives and Scope

A. Objectives

- i. The objective of this project is to assist the Task Force in fulfilling the requirements of Penal Code Section 1463.02, which requirements include:

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- a. Consolidating and simplifying the imposition of court-ordered debt.
 - b. Consolidating and simplifying the distribution of revenue derived from those debts.
 - c. Analyzing the extent to which each penalty affects total annual revenue and the actual amount assessed.
 - d. Developing recommendations on the priority in which court-ordered debts should be resolved.
 - e. Developing recommendations concerning the use of comprehensive collection programs.
 - f. Developing recommendations regarding the efficacy between revenue generated by court-ordered debt and the program expenditures that benefit from these revenue streams.
- B. Scope
- i. Contractor will analyze results of statewide survey of revenues and expenditures.
 - ii. Contractor will also facilitate the development of findings for interim reports and recommendations to the Judicial Council on the priority in which court-ordered debts should be resolved. This effort shall include conducting interviews with selected entities.
 - iii. The scope of the project is limited to evaluating criminal and traffic-related court-ordered debts imposed against adult and juvenile offenders and tracing the relationship between revenue generated by offenses to the expenditures occurring at the state and local level.
 - iv. Contractor will attend and participate in all meetings of the Court-Ordered Debt Task Force and working groups.

3. Statement of Work

A. Project Initiation

i. Task 1 - Planning Meeting.

Participate in a two (2)-hour planning meeting with the staff lead(s) and other AOC staff as appropriate to review the Contractor's work plan.

ii. Deliverable - One Microsoft PowerPoint document: 1) setting forth objectives and scope of the project; and 2) detailing project work plan and interview plan.

B. Interviews

i. Task 2.1 - Data Gathering

Create questionnaires and conduct interviews with selected local and state entities to understand what measures would be helpful in improving the court-ordered debt revenue distribution process for these entities.

ii. Task 2.2 - Develop Initial Analyses

Evaluate results of statewide survey, including examination of: (a) fees, assessments, penalties and other impositions; (b) revenue distribution formulas; (c) how penalties and surcharges impact amount assessed and annual revenues; (d) priority in which court-ordered debts are resolved and the volume of revenue distributed to all entities associated with criminal and traffic-related fines and fees. Contractor will be required to travel to the following locations:

- AOC Northern/Central Regional Office (NCRO) in Sacramento, CA
- AOC Southern Regional Office (SRO) in Burbank, CA
- AOC Bay Area/Northern Coastal Office (BANCRO) in San Francisco, CA

iii. Deliverables - One or more Microsoft Excel workbooks detailing the data gathering and initial analyses and which will include the following:

- Fines, fees and assessments related to criminal and traffic-related court-ordered debts.
- The distribution of revenue from those debts and the priority in which those court-ordered debts are satisfied.
- Penalties and surcharges and the extent to which these penalties and surcharges impacts total revenues and the actual amount assessed.

The Excel workbooks will contain edits and quality control checklists to reduce data quality errors.

C. Develop Findings

i. Task 3.1 - Perform Analysis

Analyze the completed questionnaires derived from the data gathering task to understand the number of types of fees, assessments and other court-ordered debts that are imposed and how penalties are assessed and impact annual revenues. Develop models to evaluate different options for simplifying and consolidating the imposition of court-ordered debts. Perform a similar analysis on revenue distribution to understand the different approaches that are used to distribute revenues and the tracking of expenditures to various surveyed local and state entities and identify potential approaches to simplification and consolidation. In addition, analyze the current approaches to the priority in which court-ordered debts are satisfied and identify improvement alternatives, as well as tracing the relationship between the revenue generated by these offenses to the expenditures occurring at the state and local level.

Prepare a draft workbook that explains the findings and identifies potential improvement alternatives, an analysis of each alternative and the potential risk and implications. This workbook will be used to support Task 3.2 (Findings Workshop). The draft workbook will be subject to review and input from the Task Force.

ii. Task 3.2 - Findings Workshop

Facilitate a one-day initial workshop in the NCRO to present and review the findings, the data models and the analysis developed in Task 3.1. Present and review the potential approaches and improvement alternatives and the benefits, cost and risk of each. Where appropriate, and to the extent that information is available, review how Contractor's models depict the results of various improvement scenarios.

Work with the Task Force to identify the findings that will be pursued at a second one-day workshop in the NCRO. Document the rationale underlying the findings and identify anticipated risks. Take all follow up actions necessary to clarify initial conclusions.

iii. Task 3.3 - Progress Reports to Judicial Council

Provide two progress reports to the Judicial Council: 1) the first will be due October 2011; and 2) the second one will be due February 2012. Each progress report will include an update on initial findings, if they are available, and explain the approach that will be taken through the remainder of the project. In support of this, develop a workbook that explains the findings, progress, plans and issues. Contractor will review this workbook with the Task Force incorporating changes as appropriate. At AOC's direction, Contractor will attend the Judicial Council meetings, answer questions and present information as directed by the Task Force.

iv. Deliverables:

- a. Task 3.1 Deliverable –Regional workshop workbook for first regional workshop Task
- b. Task 3.2 Deliverable – Regional workshop workbook that identify findings to be pursued at the second workshop
- c. Task 3.3 Deliverable - Progress Reports, in the form of Microsoft PowerPoint documents that explain initial findings, project progress and plans for the balance of the project.

D. Develop Interim Reports

i. Task 4.1 - Regional Workshops

Develop a draft regional workshop workbook that explains the initial conclusions from Task 3.2 (Findings Workshops). This regional workshop workbook will review the findings, the supporting data and the implications of implementing the findings. The Task Force will review the draft and provide input for any changes.

Facilitate one half-day Regional Workshop at NCRO, SRO, and BANCRO. Attendees at these Regional Workshops may include Task Force members, interested parties, courts, counties or state and local entities that would be affected by the improvement alternatives. During the Regional Workshops, Contractor (and/or AOC) will explain the initial conclusions from s Task 3.2 (Findings Workshops) and invite the participants to provide feedback on risks, areas of concern, political and fiscal implications, or additional alternatives to simplify and consolidate the

imposition of court debt, the distribution of revenues derived from court-ordered debt or the priority in which court-ordered debts should be satisfied.

ii. Task 4.2 - Develop Draft of Interim Reports

Following the Regional Workshops, develop a draft interim report that explains how the study was conducted, the findings and the improvement alternatives. The interim report must include 1) charts and tables developed from the Contractor's data models to support key conclusions; 2) an explanation of the potential ramifications to local entities that benefit from the revenue collected from court-ordered debts; and 3) recommendations on the priority in which court-ordered debts should be satisfied and the rationale for those recommendations.

iii. Task 4.3 - Update and Finalize Interim Report

Provide draft interim report to the Task Force for review and comment. If requested by the Task Force, provide a walk-through to explain the organization and content. The Task Force will then provide Contractor comments and feedback on the draft interim report. Review these comments and update the interim report as appropriate. Finalize the interim report

iv. Deliverable

- a. Task 4.1 Deliverable –Regional Workshops Workbook, in that form of a Microsoft PowerPoint document, that will include: 1) an explanation of the initial conclusions from Task 3.2 (Findings Workshops); and 2) the implications of implementing the findings and/or improvement alternatives.
- b. Task 4.2 Deliverable – Draft interim report, in the form of a Microsoft Word document that documents the findings and improvement alternatives from the Project. The draft interim report will include the following:
 - Alternatives for consolidating and simplifying the imposition of court-ordered debt;
 - Alternatives for consolidating and simplifying the distribution of revenue derived from those debts;
 - Recommendations on the priority in which court-ordered debts should be resolved;

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- The rationale underpinning the improvement alternatives; and
- The implications of redistributing funds in a way that will have a detrimental effect on local entities that benefit from revenue derived from court-ordered debt

c. Task 4.3 Deliverable – Final interim report in the form of a Microsoft Word document

E. Draft Final Report Recommendations

i. Task 5 - Assist AOC in modifying the interim report into a draft final report that includes recommendations of the Task Force. Provide a specified level of support that can be used in the manner that the AOC considers to be most useful.

Contractor’s role in this phase may include:

- Attending meetings or hearings to explain the improvement alternatives, the rationale underpinning the findings or some aspect of the quantitative analysis.
- Updating the models to identify the revenue impact of new or different simplification scenarios.
- Updating the interim report or evolving this into a draft final report.

ii. Task 5 Deliverable: One draft final report in the form of a Microsoft PowerPoint document.

Schedule

Task	Event/Deliverables	Due Date
1	Planning Meeting / 1 Microsoft PowerPoint Document	6-11-11
2.1 / 2.2	Project Workbook(s)	8-11-11
3.1	Project Workbook	9-11-11
3.2	1st Findings Workshop	
3.2	Project Workbook	
3.3	Progress Report to Judicial Council	10-10/11
3.2	2nd Findings Workshop	
4.1	Regional Workshops Workbook	11-11

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4.1	Regional Workshops	12-11
4.2	Draft Interim Report	2-12
3.3	Progress Report to Judicial Council	2-12
4.3	Final Interim Report	4-12
5	Draft Final Report Recommendations	5-12

END OF ATTACHMENT 7

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