



Judicial Council of California · Administrative Office of the Courts

455 Golden Gate Avenue · San Francisco, California 94102-3688

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: October 26, 2012

Title	Agenda Item Type
Trial Court Trust Fund Allocations: 2 Percent State-Level Reserve	Action Required
Rules, Forms, Standards, or Statutes Affected	Effective Date
N/A	October 26, 2012
Recommended by	Date of Report
Administrative Office of the Courts Curt Soderlund, Chief Administrative Officer Zlatko Theodorovic, Director Fiscal Services Office Judicial and Court Administrative Services Division	October 22, 2012
	Contact
	Patrick Ballard, 818-558-3115 patrick.ballard@jud.ca.gov

Executive Summary

The Administrative Office of the Courts submits to the Judicial Council for its consideration recommendations and options on two courts' applications for supplemental funding related to unavoidable funding shortfalls. There is \$27.8 million set-aside in the Trial Court Trust Fund for FY 2012–2013, of which by statute only up to 75 percent or \$20.9 million may be allocated by the Judicial Council by October 31. Two courts qualify for supplemental funding under the council approved criterion of projecting a negative fund balance for the current fiscal year. The total amount requested by these two courts is \$4.5 million; the total amount contributed by the two courts to the 2 percent reserve is \$536,232.

Recommendation 1

The AOC recommends that the Judicial Council consider the following options for the supplemental funding request in the amount of \$2.29 million from the Superior Court of Kings County:

Option 1 – Deny the Court’s Request

Do not distribute any supplemental funding monies to the Kings County court.

Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount

Allocate a one-time supplemental funding distribution of \$94,000, the amount that the Kings County court contributed to the 2 percent reserve in FY 2012–2013.

Recommendation 2

The AOC recommends that the Judicial Council consider the following options for the supplemental funding request in the amount of \$2.21 million from the Superior Court of San Joaquin County:

Option 1 – Deny the Court’s Request

Do not distribute any supplemental funding to the San Joaquin County court.

Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount

Allocate a one-time supplemental funding distribution of \$442,000, the amount that the San Joaquin County court contributed to the 2 percent reserve in FY 2012–2013.

Recommendation 3

The AOC suggests that the Judicial Council consider making any allocation of funding contingent upon one or more of the following terms and conditions (or on other terms as the council determines):

- Any court that receives supplemental funding must submit a written report on the use of the funding it received and on its fiscal situation as of June 30, 2013, to the Judicial Council by no later than August 1, 2013.
- In addition to any amount the council distributes at this time, it may allocate more funding to the same court after October 31 and before March 15 of the fiscal year for unforeseen emergencies or unanticipated expenses for existing programs.
- The supplemental funding for urgent needs received by the court must be used for the purposes addressed in the application, including keeping open a sufficient number of courtrooms, and providing other necessary services during FY 2012–2013 to meet the court’s obligation to adjudicate all matters, both civil and criminal, that come before the court.

- The Judicial Council may allocate to the court any or all funding the court contributed to the 2 percent reserve in FY 2012–2013, in the form of a loan.

Previous Council Action

Supplemental Funding Process and Criteria

On June 27, 2012, the Governor signed into law Senate Bill 1021, which repealed the provisions in Government Code section 77209 related to urgent needs funding from the Trial Court Improvement Fund (TCIF) and added Government Code section 68502.5, which requires that the Judicial Council set aside as a reserve an amount equal to 2 percent of the Trial Court Trust Fund (TCTF) appropriation in Program 45.10. In response to this new statute, the council, at its August 31, 2012 meeting, approved the following policy with regard to the process, criteria, and required information for requesting supplemental funding from the reserve. This process modified what was approved by the Judicial Council at its October 28, 2011 meeting as it related to requests for supplemental funding for urgent needs from the TCIF.

Judicial Council-Approved Process for Supplemental Funding

Below is the process for supplemental funding that was approved by the Judicial Council at its August 31, 2012, meeting.

- a. Supplemental funding for urgent needs is defined as unavoidable funding shortfalls, unforeseen emergencies, or unanticipated expenses for existing programs.
 - i. A request can be for either a loan or one-time funding that is not repaid, but not for ongoing funding.
- b. The submission, review, and approval process is:
 - i. All requests will be submitted to the Judicial Council for consideration;
 - ii. Requests will be submitted to the Administrative Director of the Courts by either the court's presiding judge or court executive officer;
 - iii. The Administrative Director of the Courts will forward the request to the AOC Director of Finance [now Fiscal Services Office].
 - iv. AOC Finance Division [Fiscal Services Office] 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 a final report for the council;
 - v. The final report will be provided to the requesting court prior to the report being made publicly available on the California Courts website; and
 - vi. The court may send a representative to the Judicial Council meeting to present its request and respond to questions from the council.
- c. Beginning in 2012–2013, court requests for supplemental funding for urgent needs due to unavoidable budget shortfalls, must be submitted to the Administrative Director of the

Courts, by no later than October 1. Courts are encouraged to submit supplemental funding requests for urgent needs before the October 1 deadline, but no earlier than 60 days after the Budget Act is enacted into law.

- d. Beginning in 2012–2013, the Judicial Council shall allocate up to 75 percent of the 2 percent state-level reserve fund by October 31 of each year to courts requesting supplemental funding for urgent needs due to unavoidable funding shortfalls.
- e. Beginning in 2012–2013, after October 31 and by March 15 of each fiscal year, the Judicial Council shall allocate the remaining funds if there has been an approved request from a trial court(s) requesting supplemental funding for urgent needs due to unforeseen emergencies or unanticipated expenses for existing programs. Any unexpended funds shall be distributed to the trial courts on a prorated basis.
- f. To be considered at a scheduled Judicial Council business meeting, requests submitted after October 31 for supplemental funding due to unforeseen emergencies and unanticipated expenses must be submitted to the Administrative Director of the Courts at least 25 business days prior to that business meeting.
- g. The Judicial Council would consider appropriate terms and conditions that courts must accept in order to receive supplemental funding for urgent needs.

Judicial Council-Approved Criteria for Eligibility for and Allocation of Supplemental Funding

Below are the criteria for eligibility for and allocation of supplemental funding for trial courts' urgent needs that were approved by the Judicial Council at its August 31, 2012, meeting.

- a. Only trial courts that are projecting a current-year negative fund balance can apply for supplemental funding related to urgent needs.
- b. Generally, no court may receive supplemental funding for urgent needs in successive fiscal years absent a clear and convincing showing.
- c. Courts submitting on or before October 1 can only receive up to the amount the court contributed to the 2 percent state-level reserve fund. If the requested amount is beyond the court's contribution to the 2 percent state-level reserve fund, the Judicial Council may distribute more funding to the court, after October 31 and prior to March 15 of the fiscal year.

More specifically, courts that submit by October 1 a request for an unavoidable funding shortfall, may apply with updated financial information for unforeseen emergencies or

unanticipated expenses for existing programs distribution at a future Judicial Council business meeting prior to March 15.

- d. Allocate to all courts after March 15 a proportionate share of any unexpended funds from the 2 percent state-level reserve, regardless of whether the Judicial Council has allocated to a court supplemental funding for an urgent need in the current fiscal year, using courts' current year Trial Court Trust Fund and General Fund base allocation.
- e. If a court that is allocated supplemental funding determines during the fiscal year that some or all of the allocation is no longer needed due to changes in revenues and/or expenditures, [it] is required to return the amount that is not needed.

Judicial Council-Approved Information Required to be Provided by Trial Courts for Supplemental Funding

Below is the information required to be provided by trial courts for supplemental funding for urgent needs that were approved by the Judicial Council at its August 31, 2012, meeting.

- a. A description of what factors caused or are causing the need for funding;
- b. If requesting a one-time distribution, an explanation of why a loan would not be appropriate;
- c. Current status of court fund balance;
- d. Three-year history of year-end fund balances, revenues, and expenditures;
- e. Current detailed budget projections for the current fiscal year (e.g., FY 2012–2013), budget year (e.g., FY 2013–2014), and budget year plus 1 (e.g., FY 2014–2015);
- f. Measures the court has taken in the last three years regarding revenue enhancement and/or expenditure reduction, including layoffs, furloughs, reduced hours, and court closures;
- g. Employee compensation practices (e.g., cost-of-living adjustments) and staffing levels in the past five years;
- h. Description of the consequences to the court's operations if the court does not receive funding;
- i. Description of the consequences to the public and access to justice if the court does not receive funding;

- j. What measures the court will take to mitigate the consequences to court operations, the public, and access to justice if funding is not approved;
- k. Five years of filing and termination numbers;
- l. Most recent audit history and remediation measures;
- m. If supplemental funding was received in prior year, please identify amount received and explain why additional funding is again needed in the current fiscal year; and
- n. If the request for supplemental funding is not for a one-time concern, the court must include an expenditure/revenue enhancement plan that identifies how the court will resolve its ongoing funding issue.

Recommendation 1—Superior Court of Kings County

The AOC recommends that the Judicial Council consider the following options for the supplemental funding request in the amount of \$2.29 million from the Superior Court of Kings County:

- **Option 1 – Deny the Court’s Request**
Do not distribute any supplemental funding monies to the Kings County court.
- **Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount**
Allocate a one-time distribution of \$94,000, the amount that the Kings County court contributed to the 2 percent reserve in FY 2012–2013.

Rationale for Recommendation 1

Judicial Council Criteria for Eligibility for Supplemental Funding

Under the policy adopted by the Judicial Council, the main criterion for determining whether a court may receive supplemental funding related to an urgent need is that the court is projecting a current year negative fund balance. The Kings County court is projecting a \$2.29 million (General Fund) negative fund balance for FY 2012–2013, and therefore submitted an application requesting supplemental funding on September 27, 2012. In addition, under the criteria adopted by the Judicial Council, the council can allocate to a court submitting on or before October 1 no more than the amount that court contributed to the 2 percent reserve. The court’s contribution to the 2 percent reserve for FY 2012–2013 was \$94,000. Thus, although the court requests \$2.29 million, under its current policy the council may approve for distribution to the court at the October 26, 2012 business meeting no more than \$94,000. Under the council’s current policy, the court may request additional funding for unforeseen emergencies or unanticipated expenses

for existing programs. The council may allocate funding in response to such a request after October 31 and prior to March 15 of the fiscal year. (See Attachments A-1 through A-3 for the application submitted by the Kings County court.)

Overview of the Court's Application for Supplemental Funding

AOC staff reviewed the application submitted by the Kings County court on September 27, which contained all of the required information, except for not including a revenue enhancement plan for addressing their ongoing funding issue for fiscal years 2013–2014 and 2014–2015. The application identifies the consequences to the public, access to justice, and court operations of not receiving urgent needs monies. In order to mitigate a deficit for FY 2012–2013, the court has already laid off three employees; imposed 27 unpaid furlough days on all subordinate judicial officers, management, and staff personnel; and directed the court executive officer and assistant court executive officer to participate in a “job-sharing” program for forty days each. The court has also reduced business hours at all locations and permanently closed the Lemoore Courthouse, effective September 11, 2012. In addition to measures already taken in FY 2012–2013 that have limited access to justice, if funding is not received for a new case management system (CMS), the court would take additional measures, including laying off five to ten more employees, maintaining the 27 furlough days’ requirement, continuing the reduced counter hours at all locations, increasing the number of CEO/ACEO job-sharing days, and possibly closing the remaining outlying court facilities.

Fiscal Review

The Kings County court’s current year estimated negative ending fund balance of \$2.29 million is composed of two components: (1) the court is experiencing a budget shortfall of \$143,000¹ in the current fiscal year, and (2) the court is planning an expenditure of \$2.152 million in the current fiscal year to replace a soon-to-be-unsupported, antiquated county CMS that will increase in cost by \$300,000 starting in January of 2014. To that end, a budget shortfall coupled with the purchase of a new CMS is how the court estimates the current fiscal year negative fund balance to be \$2.29 million.² The court also points out in its application that it is only seeking a one-time funding distribution of \$2.29 million for FY 2012–2013, but even if the entire request was approved by the Judicial Council, the court would still face a budget shortfall in fiscal years 2013–2014 and 2014–2015 of \$959,000 and \$1.92 million respectively. Other than identifying the additional measures the court would take if it does not receive additional funding, the court’s

¹ At the Judicial Council meeting on October 26, 2012, the council is considering allocating \$6.769 million from the Improvement and Modernization Fund for Phoenix Financial Services staff costs previously funded from the Trial Court Trust Fund. In prior years, courts have been charged for the cost of these services; they would not be charged in FY 2012–2013. If the council approves this change, it could provide the court an additional allocation of \$43,000 for FY 2012–2013 and reduce the court’s current year shortfall.

² The court indicates in section IV of its application that it will end the fiscal year with a zero fund balance (e.g., not a negative fund balance); however, the court has informed AOC staff that this is incorrect and does not reflect the court’s estimated ending fund balance.

application does not identify the costs associated with addressing the ongoing operational structural deficit for fiscal years 2013–2014 and 2014–2015. Additionally, the court indicates in its application that because it anticipates being in a negative cash flow status prior to the end of the fiscal year it will most likely need to begin staff layoffs in November of 2012 and again in February 2013. The court points to its Exhibit 2, which reflects a negative cash flow starting in January 2013; however, this shortfall would only occur if the court plans two \$1 million+ expenditure payments for a new CMS which currently it does not have the funding to incur.

The Kings County court’s application also indicates there is a five-year payment plan option for implementation of a new CMS, in which the costs would be extended over that period at an estimated annual cost of \$430,000 a year, lowering the cost outlay in the first year by \$1.7 million. With this approach, the court would still have a negative fund balance of \$573,000 for the current fiscal year, composed of the estimated \$430,000 annual CMS payment and the budget shortfall of \$143,000. The concern with this approach is that under Government Code section 68502.5 subparagraph (B) and the current Judicial Council policy, urgent needs funding is only to be used for one-time unavoidable budget shortfalls, unforeseen emergencies, or unanticipated expenses and cannot be allocated on an ongoing basis. Additionally, under the current Judicial Council policy, a proportionate share of any unexpended funds from the 2 percent reserve is allocated to all courts after March 15, using courts’ current year Trial Court Trust Fund and General Fund base allocation. Thus, the 2 percent reserve is fully allocated by the end of each fiscal year and no unexpended monies can be rolled over to fund ongoing urgent needs requests in a subsequent year. A court, though, may apply in a subsequent year if there is “a clear and convincing showing” for supplemental funding.

AOC staff reviewed the Kings County court’s revenue and expenditure assumptions and related information provided in their application and concurs with the court’s estimate of its negative fund balance. AOC staff have also reviewed the court’s projections for fiscal years 2012–2013, 2013–2014, and 2014–2015; with the exception of their inclusion of expenditures for a new case management system (CMS) for which it currently has no funding, the projections are reasonable.

Discussion of Options

Option 1 – Deny the Court’s Request

Do not distribute any supplemental funding monies to the Kings County court.

The Kings County court indicates that this option would require the court to address over the next eight months through layoffs, furloughs, court closures, and/or other measures a projected negative \$143,000 (General Fund) fund balance by the end of the fiscal year. This option would also give the Kings County court no alternative but to continue on the antiquated county legacy CMS which, as of January 1, 2014, will no longer be supported by the county. The amount the county will charge the court to host the CMS on the county mainframe will increase from

\$250,000 to an estimated \$550,000 per year by January 1, 2014, because the court will be the only remaining entity on the system. Additionally, the court will need to provide and pay for all required system modifications to the CMS to ensure compliance with new statutes impacting the collection and proper distribution of fees and fines. The court’s cost projection for continuing with the current county CMS includes increased operating costs of \$504,000 in fiscal years 2013–2014 and 2014–2015, which is composed of the increases charged by the county of \$296,000 and estimated contract programming costs of \$208,000.

Table A below demonstrates that, although the costs of supporting and programming the county CMS are projected to total \$504,000 in fiscal years 2013–2014 and 2014–2015, and will cause a significant financial burden for the Kings County court, even without these increased costs the court would still need to implement additional cost-saving measures in the current and future fiscal years.

Table A: Projected Fund Condition Statement for the Kings County Court for Option 1
(Deny Funding)

	FY 2012–2013	FY 2013–2014	FY 2014–2015
Beginning Fund Balance	1,247,252	(142,575)	(1,605,441)
Trial Court Revenue Sources	6,241,796	6,350,308	6,350,308
Trial Court Reimbursements	1,360,888	1,360,888	1,360,888
Prior Year Revenue			
Total Financing Sources	8,849,936	7,568,621	6,105,755
Personal Services	5,951,363	5,836,914	5,836,914
Operating Expenses and Equipment	2,998,298	3,294,298	3,294,298
Special Items of Expense	42,850	42,850	42,850
Prior Year Expense Adjustments			
Total Expenses*	8,992,511	9,174,062	9,174,062
Court Projected Ending Fund Balance (Remain on County CMS)	(142,575)	(1,605,441)	(3,068,307)
Increases in County CMS costs for Support and Programming	29,000	504,000	504,000
Funding Shortfall Net of County CMS Increased Costs	(113,575)	(1,101,441)	(2,564,307)

*Expenditures exclude \$2.152 million for a new CMS in FY 2012–2013.

Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount

Allocate a one-time supplemental funding distribution in the amount of \$94,000, the amount that the Kings County court contributed to the 2 percent reserve in FY 2012–2013.

This option is consistent with the Judicial Council policy in that courts submitting on or before October 1 can only receive up to the amount the court contributed to the 2 percent reserve fund. However, this option would not fully fund the Kings County court’s projected budget shortfall of \$143,000 in FY 2012–2013 and would not address the ongoing costs of supporting the county CMS or the need for a new CMS. Table B below demonstrates that the court would still need to implement \$49,000 of proposed cost savings in FY 2012–2013 with this option. In the subsequent fiscal years 2013–2014 and 2014–2015 the court would have to implement major cost savings measures.

Table B: Projected Fund Condition Statement for the Kings County Court for Option 2
(Allocate Court’s 2 Percent Contribution Amount of \$94,000)

	FY 2012–2013	FY 2013–2014	FY 2014–2015
Beginning Fund Balance	1,247,252	(142,575)	(1,605,441)
Trial Court Revenue Sources	6,241,796	6,350,308	6,350,308
Trial Court Reimbursements	1,360,888	1,360,888	1,360,888
Prior Year Revenue			
Total Financing Sources	8,849,936	7,568,621	6,105,755
Personal Services	5,951,363	5,836,914	5,836,914
Operating Expenses and Equipment	5,150,298	3,294,298	3,294,298
Special Items of Expense	42,850	42,850	42,850
Prior Year Expense Adjustments			
Total Expenses	11,144,511	9,174,062	9,174,062
Court Projected Ending Fund Balance (New CMS)*	(2,294,575)		
New Case Management Expenditure	2,152,000		
Court Projected Ending Fund Balance (Remain on County CMS)	(142,575)	(1,605,441)	(3,068,307)
2 Percent Contribution Amount (Option 2)	93,822	93,822	93,822
Projected Ending Fund Balance (Option 2)	(48,753)	(1,511,619)	(2,974,485)

*Includes funding shortfall of \$143,000 and \$2.152 million for a new CMS.

Recommendation 3—Superior Court of San Joaquin County

The Administrative Office of the Court (AOC) recommends that the Judicial Council consider the following options for the supplemental funding request in the amount of \$2.21 million from the Superior Court of San Joaquin County:

- **Option 1 – Deny the Court’s Request**

Do not distribute any supplemental funding monies to the San Joaquin County court.

- **Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount**

Allocate a one-time supplemental funding distribution amount of \$442,000, the amount that the San Joaquin County court contributed to the 2 percent reserve in FY 2012–2013.

Rationale for Recommendation 2

Judicial Council Criteria for Eligibility for Supplemental Funding

Under the policy adopted by the Judicial Council, the main criterion for determining whether a court may receive supplemental funding related to an urgent need is that the court is projecting a current year negative fund balance. The San Joaquin County court is projecting a \$1.70 million³ (General Fund) negative fund balance for FY 2012–2013, and therefore submitted an application requesting supplemental funding for an urgent need on October 1, 2012. In addition, under the criteria adopted by the Judicial Council, the most funding it can allocate to a court submitting on or before October 1 is no more than the amount that court contributed to the 2 percent reserve fund. The San Joaquin County court’s contribution to the 2 percent reserve for FY 2012–2013 was \$442,000. Thus, although the court requests \$2.21 million, under its current policy the council may approve for distribution to the court at the October 26, 2012 business meeting, no more than \$442,000. Under the council’s current policy, the court may request additional funding for unforeseen emergencies or unanticipated expenses for existing programs. The council may allocate funding in response to such a request after October 31 and prior to March 15 of the fiscal year. (See Attachments B-1 and B-2 for the application submitted by the San Joaquin County court.)

Overview of Court’s Application for Supplemental Funding

AOC staff reviewed the completed application submitted by the San Joaquin County court on October 1. The court’s application identifies the consequences to the public, access to justice, and court operations of not receiving urgent needs monies. Some of the major cost savings measures the court has implemented to mitigate a deficit for FY 2012–2013 include: laying off 13 employees (August 1, 2012); imposing 12 days of mandatory furlough for all unrepresented employees (July 1, 2012); stopping the setting of hearings on new small claims filings (September 1, 2012); and stopping the provision of court reporters in all five civil courtrooms. In addition to measures already taken in FY 2012–2013, in the prior year the court closed one courtroom in a full-service two-courtroom courthouse in Lodi, closed a full-service two courtroom courthouse in Tracy, and laid off 42 staff. If funding is not received for the court’s budget shortfall, the court will take additional measures, including laying off employees, which the court indicates “will have a direct impact in all case types for the citizens of San Joaquin County.”

³ The court estimates a net negative fund balance of \$1.512 million for all funds, in addition to this amount, \$194,000 is statutorily restricted and is unavailable for use in offsetting the court’s operational shortfall.

Fiscal Review

The San Joaquin County court's urgent need request in the amount of \$2.21 million includes three components: (1) the court is experiencing a budget shortfall of \$1.70 million⁴ (General Fund) in the current fiscal year; (2) the court is planning on rehiring all 13 laid off employees in September for six months for an estimated \$436,000; and (3) the court is planning on ending the current fiscal year furloughs for unrepresented staff for an estimated \$70,000. The court estimates the current fiscal year negative fund balance to be \$2.21 million by including a budget shortfall, along with the rehiring of all 13 laid off employees, and ending furloughs. The court also points out in its application that the Judicial Council at its December 13, 2011 meeting, approved an allocation to the court of \$2.0 million from the Trial Court Improvement Fund's "urgent needs" reserve—\$1.084 million that was not subject to repayment and \$916,000 in the form of a five-year interest-free loan. The court expended \$1.084 million in the prior year to address those budget reductions but currently still has the \$916,000 loan amount remaining and identified as a liability in its balance sheet. As stated previously, this is a future liability for the court and is not reflected in the court's fund balance.

The court states in its application that although there is an ongoing need for funding, there are no more reductions that the court can entertain. Additionally, even if the entire request was approved by the Judicial Council, the court would still face a budget shortfall in fiscal years 2013–2014 and 2014–2015 from the court's projections in their application. Other than identifying the additional measures the court would take if it does not receive additional funding, the court's application does not identify the costs of addressing the ongoing operational structural deficit for fiscal years 2013–2014 and 2014–2015. The court does state that it has implemented 47 percent of the Court Assistance Review Team (C.A.R.T.) recommendations⁵ and indicates in the C.A.R.T. attachment that they have begun implementing some of the new fee recommendations but are unsure of the level of revenues to project. Some of the recommendations for revenue enhancement will take time for the court to implement such as the C.A.R.T. recommendation to charge the \$10 fee for Vehicle Code section 40508.6 (a), for which the court indicates their antiquated case management system does not allow them to assess the

⁴ At the Judicial Council meeting on October 26, 2012, the council is considering allocating \$6.769 million from the Improvement and Modernization Fund for Phoenix Financial Services staff costs previously funded from the Trial Court Trust Fund. In prior years, courts have been charged for the cost of these services; they would not be charged in FY 2012–2013. If the council approves this change, it could provide the court an additional allocation of \$153,000 for FY 2012–2013 and reduce the court's current year shortfall.

⁵ The Judicial Council directed the AOC to assist the San Joaquin County Court, to identify possible cost savings measures and opportunities to increase revenues. From February 28 through April 5, 2012 a team of experienced court executive officers (CEO) convened to participate as members of the San Joaquin Court Assistance Review Team (C.A.R.T.). Mr. Alan Carlson CEO of Orange Superior Court, Ms. Kim Turner CEO of Marin Superior Court, and Mr. David Yamasaki CEO of Santa Clara Superior Court, with assistance from then AOC Interim Administrative Director Jody Patel, provided the Judicial Council at its June 22, 2012 meeting, options relating to C.A.R.T. recommendations for the court regarding its operational and administrative activities and areas where the court might achieve additional cost savings and increase revenue to minimize future requests for emergency funding.

\$10 DMV prior check that should be applied to the subsequent citation. The court's system cannot differentiate between the first and subsequent citations. The court represents that, apparently a manual work-around would require court resources to manually review approximately 63,000 citations a year and manually add the \$10 fee to only those eligible citations. The court is requesting a cost estimate and time frame from their county for this enhancement. The C.A.R.T. also identified that the court should audit all county charges currently being paid to the county and move away from the A87 Cost Allocation Plan. The court is currently working with the county to implement this recommendation.

The court's application also indicates that 80 percent of the fiscal issues identified in the last audit report, which was completed in January 2011, have been addressed and indicates that as of September 27, 2012, there are 17 incomplete fiscal issues remaining from the court's last audit. The IAS staff reviewed the information provided by the court and states that of the 17 issues, 12 are revenue distribution calculation corrections that the court is working with the county to correct since the county maintains the court's CMS. The remaining 5 issues are either long-term issues that are not significant or the court's response on the funding application indicates that they are taking appropriate planned corrective or mitigating action. The court's application does state that even with full implementation of both the outstanding C.A.R.T. recommendations and audit fiscal issues, the anticipated savings and revenues generated would be insufficient to address the ongoing funding shortfall the court is facing for current and future fiscal years.

AOC staff reviewed the San Joaquin County court's revenue and expenditure assumptions and related information provided in their application and concurs with the court's estimate of its negative fund balance. AOC staff have also reviewed the court's projections for fiscal years 2012–2013, 2013–2014, and 2014–2015; the projections are reasonable with the exception of their inclusion of expenditures for additional funding to rehire 13 positions and eliminate furloughs for unrepresented staff in FY 2012–2013, for which the court currently has no funding.

Discussion of Options

Option 1 – Deny the Court's Request

Do not distribute any supplemental funding monies to the San Joaquin County court.

This option would require the court to address over the next eight months, through layoffs, furloughs, court closures, and/or other measures, a projected negative \$1.70 million (General Fund) fund balance by the end of the fiscal year. The court indicates that this option would give the court no alternative but to continue not to process small claims cases and adding civil, some family law, probate, and traffic to the list of cases unable to be processed. Additionally the court would have to take additional measures, including laying off employees, which the court indicates will have a direct impact on all case types. Table C below demonstrates that the ending fund balance, without the increased personal services costs to rehire 13 positions and end

furloughs for unrepresented employees in FY 2012–2013, would be \$1.70 million, if the court receives no additional funding.

Table C: Projected Fund Condition Statement for the San Joaquin County Court for Option 1 (Deny Funding)

	FY 2012–2013	FY 2013–2014	FY 2014–2015
Beginning Fund Balance	1,323,188	(2,018,622)	(7,041,826)
Trial Court Revenue Sources	25,763,613	24,323,141	24,323,141
Trial Court Reimbursements	4,588,193	4,588,193	4,588,193
Prior Year Revenue			
Total Financing Sources	31,674,994	26,892,712	21,869,508
Personal Services	26,260,010	26,500,934	26,500,934
Operating Expenses and Equipment	7,040,077	7,040,077	7,040,077
Special Items of Expense	393,528	393,528	393,528
Prior Year Expense Adjustments	0	0	0
Total Expenses	33,693,615	33,934,539	33,934,539
Court Projected Ending Fund Balance*	(2,018,622)	(7,041,827)	(12,065,033)
Rehiring Positions and Ending Furloughs	505,596		
Restricted Funds	(193,803)		
Projected Ending Fund Balance (Option 1)	(1,706,829)	(6,730,034)	(11,753,240)

*Includes the rehiring of positions and ending current year furloughs.

Option 2 – Approve Funding to the Court at the 2 Percent Contribution Amount

Allocate a one-time supplemental funding distribution in the amount of \$442,000, the amount that the San Joaquin County court contributed to the 2 percent reserve in FY 2012–2013.

Option 2 is consistent with the Judicial Council’s current policy that it may allocate to courts submitting on or before October 1 no more than the amount the court contributed to the 2 percent reserve fund. However, this option would not fully fund the San Joaquin court’s projected budget shortfall of \$1.70 million in FY 2012–2013. Additionally, as stated previously, the court indicated that it would not only continue to not process small claims cases, but would also lay off more employees, which would impact all case types, adding civil, some family law, probate, and traffic to the list of cases unable to be processed.

Table D below demonstrates that the court would still need to implement \$1.3 million of proposed cost savings in FY 2012–2013 with this option. In the subsequent fiscal years 2013–2014 and 2014–2015, the court would have to implement additional major cost-savings measures.

Table D: Projected Fund Condition Statement for the San Joaquin County Court for Option 2
(Allocate Court's 2 Percent Contribution Amount of \$442,000)

	FY 2012–2013	FY 2013–2014	FY 2014–2015
Beginning Fund Balance	1,323,188	(2,018,622)	(7,041,826)
Trial Court Revenue Sources	25,763,613	24,323,141	24,323,141
Trial Court Reimbursements	4,588,193	4,588,193	4,588,193
Prior Year Revenue			
Total Financing Sources	31,674,994	26,892,712	21,869,508
Personal Services	26,260,010	26,500,934	26,500,934
Operating Expenses and Equipment	7,040,077	7,040,077	7,040,077
Special Items of Expense	393,528	393,528	393,528
Prior Year Expense Adjustments	0	0	0
Total Expenses	33,693,615	33,934,539	33,934,539
Court Projected Ending Fund Balance*	(2,018,622)	(7,041,827)	(12,065,033)
Rehiring Positions and Ending Furloughs Costs	505,596		
Restricted Funds	(193,803)		
2 Percent Contribution Amount (Option 2)	442,410	442,410	442,410
Projected Ending Fund Balance (Option 2)	(1,264,419)	(6,599,418)	11,622,623

*Includes the rehiring of positions and ending current year furloughs.

Comments from Interested Parties

As required by the Judicial Council-adopted process for supplemental funding for unavoidable funding shortfalls, the Kings County and San Joaquin County courts were provided a preliminary version of the report for review and comment. The courts provided the following comments:

Superior Court of California, County of Kings

The Superior Court of California, County of Kings request's that the Judicial Council consider the following additional information in regards to its request:

This past week [Thursday, October 18, 2012], the Superior Court of Kings County was informally advised by the County's Director of Information Services that a tentative schedule for migration of the County Property system off the Kings County mainframe [which also hosts the Court's legacy Case Management System (CMS)] had been established.

Specifically, the project (to terminate all County-specific mainframe operations) will commence in January 2013 and be conducted in two (2) phases:

- Phase 1: Records [from January 1 – June 30, 2013], followed by

- Phase 2: Property and Tax [July 1, 2013 - December 31, 2014].

Accordingly, and effective January 1, 2015, Kings County Superior Court will be the sole resident on the County-hosted mainframe, unless the Court procures and rolls-out a new server-based or web-browser-based CMS prior to the end of 2014.

(Brackets in original)

Superior Court of California, County of San Joaquin

The Superior Court of California, County of San Joaquin request's that the Judicial Council consider the following options:

Option 3 – Allocate a one-time supplemental funding distribution in the amount of \$442,000, the amount that the San Joaquin County court contributed to the 2 percent reserve in FY 2012–2013.

On November 1, 2012, allocate a one-time supplemental funding distribution in the amount of \$1,770,424. This represents the entire amount requested and would allow the court to process all case types for the remainder of the fiscal year. This option is consistent with the Judicial Council's current policy that it may allocate to courts submitting on or before October 1 no more than the amount the court contributed to the 2 percent reserve fund. It would also provide for an immediate distribution after October 31st without further delays. It is critical for the court's planning purposes that these funds be allocated immediately and not wait until a future meeting date, potentially in December.

Option 4 – Approve the Court's Request

The Judicial Council set the criteria for the 2 percent contribution amount. The Judicial Council may make an exception in this case and allocate the entire amount requested by the court. The requested funding would allow the court to process all case types for the remainder of this fiscal year.

Implementation Requirements, Costs, and Operational Impacts

The costs and operational impacts of granting or not granting the two courts' requests are discussed above in the appropriate section for each of the courts.

Attachments

1. Attachments A-1 through A-3: Superior Court of California, County of Kings, Application for Supplemental Funding and other documents provided by the court
2. Attachments B-1 and B-2: Superior Court of California, County of San Joaquin, Application for Supplemental Funding and other documents provided by the court

APPLICATION FOR SUPPLEMENTAL FUNDING FORM

Please check the type of funding that is being requested:

- CASH ADVANCE** (Complete Section I only.)
- URGENT NEEDS** (Complete Sections I through IV.)
- ONE-TIME DISTRIBUTION**
- LOAN**

**SECTION I: GENERAL INFORMATION**

SUPERIOR COURT:
KINGS

PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer):
Hon. James LaPorte, Presiding Judge

CONTACT PERSON AND CONTACT INFO:

DATE OF SUBMISSION:
SEPTEMBER 14, 2012

DATE FUNDING IS NEEDED BY:
JANUARY 1, 2013

REQUESTED AMOUNT:
\$2.294M

REASON FOR REQUEST

(Please briefly summarize the reason for this funding request, including the factors that contributed to the need for funding. If your court is applying for a cash advance, please submit a cash flow statement when submitting this application. Please use attachments if additional space is needed.)

Kings County Superior Court is requesting one-time urgent funding for a successor Case Management System (CMS), conservatively projected to cost at least \$2.152 million dollars [**See Exhibit 1**], to replace the Court's current legacy system that is installed on the County mainframe.

In December 2011, Kings County notified the Court that it would cease to support the current CMS, effective January 2014. Further, and of critical importance, the County advised the Court that, as of January 2012, it would no longer maintain a COBOL programmer on its IT staff, which has had a direct impact on Court operations, not the least being required programmatic system modifications to ensure compliance with new mandates regarding the collection and proper distribution of fees and fines.

At this time, the County has agreed to contract (on an as-needed, as-available basis) with the recently retired County programmer for very limited services. However, relying on this extra help contractor (rather than a full-time County COBOL programmer employee, as in years past) has placed the Court in the untenable position of being unable to make--with any degree of confidence--operational changes requested by our justice partners, conform to legislative and statutory changes, or produce statistical and ad hoc reports in a timely manner.

The County has subsequently informed us that they would continue to host our CMS on the County mainframe [as its sole resident] at an estimated cost of \$550,000 annually (a \$300,000 increase over current annual charges) but with no additional software support. The Court has contacted a number of independent COBOL programmers to determine if it would be feasible to contract with one of them for requisite software support. The Court has been quoted rates starting at \$200 an hour for such services and, therefore, considers this a nonviable option.

In July 2012, the Court utilized the services of the Administrative Office of the Courts (AOC), including the Office of General Council (OGC), to assist in developing and issuing an RFP for a new CMS, as this was determined to be Kings most pragmatic alternative course of action, given the County's announced and impending decisions. The Court has received three (3) proposals, which are scheduled for vendor demonstrations in late September. The Court will then open and review the cost proposals the first week in October. We anticipate entering into a contract by the end of this calendar year, to begin implementation of a new CMS in the first quarter of the 2013 calendar year, and project conclusion of the deployment and a "go live" date in early 2014.

Due to the severe Trial Court Trust Fund reductions allocated to this court for FY2012-13 (and the two Fiscal Years prior), and notwithstanding the imposition of 27 mandatory furlough days, staff layoffs, reduced lobby/counter hours and a court closure since July 1, 2012, the Court will be compelled to expend its remaining reserves to meet its current fiscal year operational expenses. Moreover, Kings is anticipating further layoffs [in November 2012 and February 2013] in anticipation of being in a negative cash flow status (**\$862,632**) prior to the end of the fiscal year [**See Exhibit 2**].

Accordingly, due to the detrimental combination of unavoidable funding shortfalls, an unforeseen emergency and unanticipated expenses for an existing program that the Court has recently faced (as described above) - and must address going forward, Kings respectfully seeks supplemental funding to enable our procurement of a replacement CMS.

Section II through Section IV of this form is required to be completed if your court is applying for supplemental funding for urgent needs (unavoidable funding shortfall, unforeseen emergency or unanticipated expenses for existing programs). Please submit attachments to respond to Sections II through Section IV.

SECTION II: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

A. What would be the consequence to the public and access to justice if your court did not receive the requested funding?

All facets of court operations, from calendaring, to in-court minute orders, to disposition, to fee and fine collection, will be impacted as documentation regarding filings, court proceedings and payments will have to be done manually. The Court will lose all data exchange capability with its justice partners, as well as its primary means of electronic connectivity with the bar and the public. In essence, all aspects of technological contact with this Court will come to a virtual standstill, severely impeding access to justice for all participants.

B. What would be the consequence to your court's operations if your court did not receive the requested funding?

Without supplemental funding for a new CMS, the Court may elect to continue relying on our legacy CMS as a hosted-user on the County mainframe in 2014; however, Kings will have insufficient monetary resources for requisite programmatic changes to continue effective collection and timely distribution of existing fees and fines - and will not be able to comply with subsequent legislative and statutory changes.

Alternatively, due to the significantly increased costs charged by the County to Kings (as its only mainframe resident by 2014) and non-County support for the Court's current CMS, the Court may return to its 1970's-era paper and spreadsheet processing and record-keeping practices. The resultant consequences of such action would be a Court staff relegated to manual fee and fine calculations, manual calendaring, manual in-court minute order generation, manual tracking of case management information, as well as manual financial bookkeeping for accounts receivable and mandated distributions to the State, Kings County (and its four (4) municipalities, as appropriate).

Clearly, operating without any CMS [whether it be old or new technology], will create an undue hardship for the judiciary and staff, will cause considerable delays in the Clerk's office, with calendaring, courtroom processing, disposition, payment, reporting, and distribution of fees and fines, and - as previously stated - will have a direct and deleterious impact on our citizenry, the bar and our State and local justice partners.

C. What measures will your court take to mitigate the consequences to access to justice and court operations if funding is not approved by the Judicial Council?

While the Court will continue imposing 27 furlough days on all Court employees, it is prepared to lay-off an additional five to ten personnel (a 5.7% to 11.5% reduction in workforce) that is composed of a combination of management and staff, and will consider closing both of our remaining outlying court facilities, these savings will still be insufficient to fund a new CMS. These actions would solely constitute an attempt to balance the FY 2012-13 and the projected FY 2013-14 budgets, and will force us to remain on an unstable, unsupported and increasingly costly CMS hosted by the County. The consequences impacting access to justice and Court operations delineated at II.A. and II. B. supra are in no way resolved.

D. Please provide five years of filing and termination numbers.

FISCAL YEAR	TOTAL FILINGS	TOTAL DISPOSITIONS
07-08	37,379	32,598
08-09	43,312	40,100
09-10	39,396	36,320
10-11*	40,924	38,594
11-12*	37,841	36,395

*Fiscal Years 10/11 and 11/12 data have not been certified.

SECTION III: REVENUE ENHANCEMENT AND COST CONTROL MEASURES**A. If supplemental funding was received in prior year, please identify amount received and explain why additional funding is again needed in the current fiscal year.**

Kings County Superior Court has not received any supplemental funding in prior years.

B. If the request for supplemental funding is not for a one-time concern, the court must include an expenditure/revenue enhancement plan that identifies how the court will resolve its ongoing funding issue.
N/A**C. What has your court done in the past three fiscal years in terms of revenue enhancement and/or expenditure reductions, including layoffs, furloughs, reduced hours, and court closures?**

Over the past three fiscal years, Kings has employed a number of actions to increase local revenue, totaling more than **\$1,900,000** (and potentially as much as **\$2,120,000** by end of FY2012-13) as described below:

- ❖ In the 6-month period from January to July 2012, new and increased local fees generated **\$47,000** in additional revenue, per the chart herein:

Increased Fees	Old Fee	New Fee
PC 1205(d) Installment Payments	\$ 35	\$ 50
PC 1203.4(a) Fee for Petition for Dismissal of a Misdemeanor	\$ 25	\$ 60
PC 1203.4 Fee for Petition of Reduction from Felony to Misdemeanor	\$ 25	\$ 120
New Fees		
PC 1205(d) Accounts Receivable for Payment Extension		\$ 30
PC 1306 (b) Bail Re-assumption of Liability		\$ 150

- ❖ In light of past and current Trial Court funding reductions, the Court implemented mandatory furlough days for the past 2 years: 12 days in FY 2010-11 and 15 days in FY 2011-12, resulting in a savings of approximately **\$834,000** in salary and benefits.
- ❖ FY 2012-13, the Court implemented 27 mandatory furlough days for a Commissioner, management and represented staff with a projected savings of **\$493,825**.
- ❖ In lieu of 27 furlough days, both the Court Executive Officer and Chief Deputy Court Executive Officer are participating in a job share program of 40 days each, with an additional anticipated savings of **\$55,000**.
- ❖ Three employees were laid off in August 2012 resulting in FY 2012-13 savings of **\$176,000**. Additionally six more positions have been identified for termination in FY 2012-13, during the 2nd and 3rd quarters, with a potential savings of **\$219,000**.
- ❖ Effective September 11, 2012 the Court closed its Lemoore facility, relocating its Family Law staff and re-assigning its court calendars in our Hanford and Corcoran court locations. This court closure will result in an estimated annual savings of **\$90,000**.
- ❖ Over the past three fiscal years, through the reduction and/or elimination of employee benefits and by termination or rollback in vendor contracts, the Court has decreased expenditures by more than **\$205,000** and over the past five fiscal years, these measures have saved the Court in excess of **\$289,000**.
See Exhibit 3.

D. Please describe the employee compensation changes (e.g. cost of living adjustments and benefit employee contributions) and staffing levels for past five fiscal years for the court.**COMPENSATION CHANGES:**

- ❖ The Kings County Superior Court has not provided COLAs to any employees [represented, non-represented, and management staff] during the past five fiscal (5) years.
- ❖ The Kings County Superior Court five-year history of Negotiated Salary Increases (NSI) from FY 2007-08 through and including FY 2011-12, for represented, non-exempt line staff employees is as follows:

FY:	DATE	% NSI	# of FTE
2007-08	July 1, 2007	2.5%	70.5
2007-08	January 1, 2008	4.0%	70.5
2008-09	January 1, 2009	4.0%	69.5
2009-10	January 1, 2010	4.0%	64.5
2010-11	N/A	0.0%	61.5
2011-12	N/A	0.0%	59.0

Notes:

- 1) No pay increases were negotiated for CY 2011 or CY 2012.
 - 2) Eligible employees continue to receive merit step increases (MSI) during the term of the current MOU (January 1, 2011 through December 31, 2012). The employees have a seven (7)-step range, with a five percent (5%) differential between each step in the range. MSI are earned through satisfactory work performance annually for steps 1 - 5. Step six (6) is achieved following two consecutive years of satisfactory work performance at step 5 and step seven (7) is achieved following three consecutive years of satisfactory work performance at step 6
 - 3) In October 2012, the Court will meet with SEIU representatives to begin preparations for a new contract to replace the contract expiring in December 2012. The Court may be seeking monetary concessions (e.g., the compression of step increases from 5% to 2% and the elimination of Steps 6 & 7 for all new hires.)
- ❖ During the previous five (5) years, Kings County Superior Court non-represented and management employees received pay increases (based on satisfactory work performance) in years 2008, 2009 and 2010. The table below provides the number of non-represented and management personnel that received a pay increase in a given year and the average percentage increase given:

Year	2008	2009	2010	2011	2012
<i># of employees receiving increases</i>	9	14	3	0	0
<i>Average Percent of Pay Increases</i>	10.41%*	3.14%	3.67%**	N/A	N/A

*The Court's lone Court Reporter employee was promoted to a management position to assist in the scheduling of contracted court reporters. This promotion increased the average management increase in 2008 from 3.33% to 10.41%.

** Salary increases were approved for three management employees in 2010. A salary increase was approved to retain two Research Attorneys. The Deputy Court Administrator (DCA) II of the Courtroom Services Division was granted a 4.0% salary increase to avoid a salary compaction issue when it was determined that that division's lead Clerk earned a higher hourly wage than the DCA.

- ❖ Since FY 2007-2008 represented, non-exempt line staff paid seven percent (7%) of the CalPERS retirement employee portion. The current [FY 2012-2013] annual employee CalPERS average contribution is \$2985.80.
- ❖ The annual average health insurance cost for employees is \$7905.83. Represented, non-exempt line staff receive \$7000.00 in Flex Spending Credits for Court provided annual health benefits. The Court offers three (3) medical insurance options with four-tier coverage levels [employee only, employee + spouse, employee + children, and employee + family]. The Court provides one dental and one vision plan. The annual average net out-of-pocket employee cost for Court provided health benefits [medical, dental and vision] is \$838.03.
- ❖ The staffing levels for the Kings County Superior Court for the last five years are as follow:

Year	2008	2009	2010	2011	2012
<i>Line Staff</i>	71	70	65	62	59
<i>Confidential</i>	3	3	3	3	3
<i>Professional/Exempt*</i>	13	13	13	12	12
<i>Management**</i>	11	11	11	11	11
<i>SJO</i>	2	2	2	2	2
Total	100	99	94	90	87

*Professional and FLSA-exempt personnel include Child Custody Recommending Counselors, Research Attorneys, Administrative, Information Technology and Finance staff, and Supervising Court Reporter,

**As a direct result of Kings attrition rate of 17% in line staff over the past five fiscal years [due to a combination of retirements, resignations, a sustained hiring freeze, and layoffs], management staffing levels have been kept at a constant as Directors and other supervisory personnel have assumed hands-on responsibility for performing the duties of represented staff no longer employed by the Court.

SECTION IV: FINANCIAL INFORMATION

Please provide the following:

- A. Current detailed budget projections/estimates for the current fiscal year, budget year and budget year plus one (e.g., if current fiscal year is FY 2012-2013, then budget year would be FY 2013-2014 and budget year plus one would be FY 2014-2015).

The table below represents a budget that includes the entire purchase of an estimated \$2.152M CMS in the current fiscal year (FY2012-13) [See Exhibit 2] as well as an alternative budget that amortizes the cost of the CMS over a five (5) year period (through FY2016-17), and a second alternative budget which reflects the Court remaining on its legacy CMS, hosted on the County Mainframe.

CMS 1 yr payment	FY 12-13	FY 13-14	FY 14-15
Beginning Fund Balance	1,247,252	(2,294,575)	(3,253,441)
State Financing Sources	5,496,398	5,604,910	5,604,910
Other Financing Sources	1,650,010	1,650,010	1,650,010
Grants	456,276	456,276	456,276
Revenue Total	8,849,936	5,416,621	4,457,755
Expenditures	11,144,511	8,670,062	8,670,062
Ending Fund Balance	(2,294,575)	(3,253,441)	(4,212,307)

CMS - 5 yr payment	FY 12-13	FY 13-14	FY 14-15
Beginning Fund Balance	1,247,252	(572,975)	(1,962,241)
State Financing Sources	5,496,398	5,604,910	5,604,910
Other Financing Sources	1,650,010	1,650,010	1,650,010
Grants	456,276	456,276	456,276
Revenue Total	8,849,936	7,138,221	5,748,955
Expenditures	9,422,911	9,100,462	9,100,462
Ending Fund Balance	(572,975)	(1,962,241)	(3,351,507)

CMS - remaining with County	FY 12-13	FY 13-14	FY 14-15
Beginning Fund Balance	1,247,252	(142,575)	(1,605,441)
State Financing Sources	5,496,398	5,604,910	5,604,910
Other Financing Sources	1,650,010	1,650,010	1,650,010
Grants	456,276	456,276	456,276
Revenue Total	8,849,936	7,568,621	6,284,755
Expenditures	8,992,511	9,174,062	9,174,062
Ending Fund Balance	(142,575)	(1,605,441)	(3,068,307)

Notes:

- 1) Fiscal Years 2013-14 and 2014-15 also reflect savings realized by the elimination of three (3) management positions in FY 2013-14 and the continued imposition of 27 mandatory furlough days for all remaining Court employees through the end of FY 2014-15.
- 2) re: **CMS – remaining with County** alternative budget table:
 - In FY 2012-13, *Expenditures* line includes \$254,000 in County IT mainframe costs and \$29,000 in emergency COBOL programming costs.
 - In FY 2013-14 and FY 2014-15, *Expenditures* line for County IT mainframe costs increases an additional \$296,000 (to \$550,000) for mainframe routine operation and maintenance, as Court's legacy CMS becomes sole resident program on mainframe.
 - In FY 2013-14 and FY 2014-15, *Expenditures* line includes additional \$208,000 for half-time [1040 hours] COBOL programmer for Court's unsupported 1970's-era legacy CMS.

B. Current status of your court's fund balance.

The Court's fund balance beginning FY 12/13 is \$1,247,252.

C. Three-year history of your court's year-end fund balances, revenues, and expenditures.

KINGS SUPERIOR COURT Seven-Year Revenue vs. Expenses History							
KINGS	FY07-08	FY08-09	FY09-10	FY10-11	FY11-12	FY12-13	FY13-14 [Projected]
TCTF	\$7.97	\$7.58	\$7.18	\$7.20	\$6.15	\$5.00	\$5.35
Non TCTF	\$1.99	\$2.42	\$2.01	\$2.15	\$2.39	\$2.64	\$2.60
Total Funding	\$9.96	\$10.00	\$9.19	\$9.35	\$8.54	\$7.64	\$7.95
Expenses	(\$10.61)	(\$10.36)	(\$10.28)	(\$10.50)	(\$9.17)	(\$9.36)	(\$9.21)
End Balance Forward/(Deficit)	(\$0.65)	(\$0.36)	(\$1.09)	(\$1.15)	(\$0.63)	(\$1.72)	(\$1.26)

Beginning FY Fund Balances and Usage during each FY							
	FY07-08	FY08-09	FY09-10	FY10-11	FY11-12	FY12-13	FY13-14
Beginning	\$3,382,290	\$2,990,329	\$2,444,159	\$1,787,231	\$1,532,221	\$1,247,252	\$0.00
Expended	\$391,961	\$546,170	\$656,928	\$255,010	\$284,969	\$1,247,252	\$0.00

D. If the trial courts' application is for one-time supplemental funding, please explain why a loan would not be appropriate.

The Court is not, (and will not be) able to repay such a loan.

E. The most recent audit findings of fiscal issues and the remediation measures taken to address them.

The last audit, conducted by the AOC in 2008, did not find any fiscal issues that required remediation.

EXHIBIT 1

Kings - Estimated CMS Project Cost				
<i>Description</i>	<i>Quantity</i>	<i>Type</i>	<i>Rate</i>	<i>Total</i>
One-Time Project Costs				
Hardware				\$ 39,000
Software				\$ 498,000
Setup Installation Configuration	1500	Hours	200	\$ 300,000
Data Conversion	300	Hours	200	\$ 60,000
Training and Support	210	Hours	180	\$ 37,800
Project Management	1000	Hours	180	\$ 180,000
TOTAL STARTUP COSTS				\$ 1,114,800
Yearly Licensing and Maintenance Costs				
Software Licensing - Year 1	110	Users	188,200	
Year 2			197,000	
Year 3			207,000	
Year 4			217,000	
Year 5			228,000	
TOTAL LICENSING AND MAINTENANCE COSTS				\$ 1,037,200
TOTAL PROJECT COSTS				\$ 2,152,000

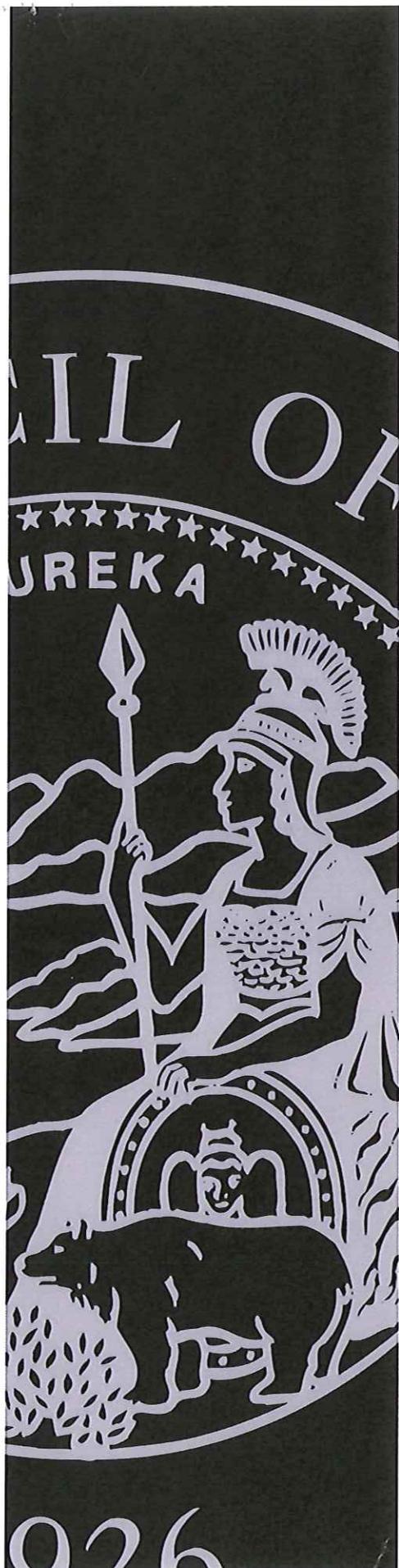
EXHIBIT 2

WITH CMS EXPENDITURE		KINGS FY 12/13 CASH FLOW PROJECTION													
GL	Description	July	August	September	October	November	December	January	February	March	April	May	June	Period 13	Total
Revenue															
	State Financing Sources	414,727	414,727	414,727	463,637	463,637	463,637	463,637	463,637	463,637	463,637	494,211	463,637	48,910	5,496,398
	Other Financing Sources	-	-	165,255	142,585	142,585	142,585	142,585	172,051	142,585	145,531	168,405	142,585	142,585	1,649,337
	Grants	-	-	-	160,000	53,500	38,000	38,000	38,000	38,000	30,256	30,256	30,256	-	456,268
Revenue Monthly Total		414,727	414,727	579,982	766,222	659,722	644,222	644,222	673,688	644,222	639,424	692,872	636,478	191,495	7,602,003
Expenditures															
900000	Salaries	327,532	327,532	327,532	327,532	489,544	327,532	327,532	327,532	327,532	327,532	489,544	327,532	-	4,254,407
910000	Staff Benefits	130,286	130,286	130,286	130,286	189,775	130,286	130,286	130,286	130,286	130,286	189,775	130,286	0	1,682,407
920001	General Expense	9,154	9,154	9,154	9,154	9,154	9,154	9,154	9,154	9,154	9,154	39,600	9,154	-	140,294
922700	Equipment Rental/Lease			13,118			11,594			11,594			11,594		47,900
924000	Printing	1,417	12,817	1,417	1,417	1,417	1,417	1,417	1,417	1,417	1,417	1,417	1,417	-	28,404
925000	Telecommunications	4,425	4,425	11,325	3,900	3,900	3,900	3,900	3,900	3,900	3,900	3,900	3,900	-	55,275
926000	Postage	8,367	4,983	4,927	5,187	4,927	4,927	4,927	4,927	5,243	4,927	4,927	5,187	-	63,456
928000	Insurance					2,600									2,600
929000	Travel in State	1,925	1,925	4,000	1,925	1,925	1,925	1,925	1,925	1,925	1,925	1,925	1,675	250	25,175
931000	Travel Out of State														-
933000	Training	-	920	120	120	120	120	120	120	120	120	120	120		2,120
934000	Security	-	29,133	29,133	29,133	29,133	29,133	29,133	29,133	29,133	29,133	29,133	29,133	29,133	349,596
935000	Facilities Operations	5,097	5,097	5,097	5,398	5,398	5,398	5,398	5,398	5,398	5,398	5,398	5,398		63,873
936000	Utilities														-
938000	Contracted Services	132,075	132,075	132,075	132,075	132,075	132,075	132,075	132,075	132,075	132,075	132,075	132,075	80,000	1,664,900
940000	Consulting and Professional Services	37,667	37,667	38,240	37,667	37,667	38,240	37,667	37,667	38,240	37,667	37,667	38,240	-	454,296
943000	Information Technology (IT)	18,156	4,300	4,300	4,300	18,156	4,300	1,126,400	18,156	4,300	4,300	18,156	1,080,300	-	2,305,124
945000	Major Equipment		417	417	417	417	417	417	417	417	417	417	417	417	5,004
950000	Other Items of Expense	-	-	-	-	-	-	-	-	-	-	-	-	-	-
965000	Juror Costs		3,333	3,333	3,333	3,333	3,333	3,333	3,333	3,333	3,333	3,333	3,333	3,333	39,996
972000	Other											60			60
973000	Debt Service														-
983000	Court Construction														-
990000	Distributed Administration & Allocation														0
999910	Prior Year Expense Adjustment														-
Expenditures Monthly Total		676,101	704,064	714,474	691,844	929,541	703,751	1,813,684	705,440	704,067	691,584	957,447	1,779,761	113,133	11,184,887
Monthly Change in Balance		(261,374)	(289,337)	(134,492)	74,379	(269,819)	(59,529)	(1,169,462)	(31,752)	(59,845)	(52,160)	(264,575)	(1,143,283)	78,362	(3,582,884)
Available Resources		1,247,000	985,627	696,290	561,799	636,177	366,358	306,829	(862,632)	(894,384)	(954,228)	(1,006,388)	(1,270,963)	(2,414,246)	(2,335,884)

EXHIBIT 3

Kings County Superior Court Cost Savings

Description	Fiscal Year	Date Implemented	Savings Per Year
Reduced daily lobby hours by 1 hour to greatly reduce overtime costs	08-09	Jan-09	\$33,000
Discontinued providing management with a Short term/Long term disability coverage	08-09	Jun-09	\$28,392
Fiscal Year 08-09 Total			\$61,392
Terminated vehicle leasing with Department of General Services	09-10	Jul-09	\$3,180
Replaced salaried employees with contractors when possible - custodial services	09-10	Aug-09	\$11,483
Discontinued providing management with an annual \$250 medical reimbursement benefit	09-10	Jan-10	\$8,000
Fiscal Year 09-10 Total			\$22,663
Reduced contract for postage meters	10-11	Aug-10	\$1,097
Discontinued the management Deferred Comp Match	10-11	Nov-10	\$45,840
Further Reduced hours resulting in reduced overtime costs	10-11	Jan-11	\$20,000
Discontinued Court paid cell phones for all management	10-11	Jan-11	\$6,000
Reduced the flexible benefit for all management from \$8400 to \$8200	10-11	Jan-11	\$5,100
Reduced contracts for copier leasing	10-11	Feb-11	\$4,500
Fiscal Year 10-11 Total			\$82,537
Reduced contract for bottled water	11-12	Jul-11	\$1,500
Reduced contract for entrance screening services	11-12	Jul-11	\$28,375
Reduced janitorial services from 5 days to 2 and 3 days a week, depending on location	11-12	Jul-11	\$13,000
Reduced contract for phone lines/LAN WAN	11-12	Jul-11	\$1,685
Reduction of Law Books and Legal Subscriptions	11-12	Jul-11	\$20,000
Replaced salaried employees with contractors when possible - AB1058 Family Law Facilitator	11-12	Oct-11	\$14,300
Reduced contracts for jury summons printing	11-12	Dec-11	\$3,000
Discontinued mailing monthly statements to defendants paying on installment plans to reduce printing and postage costs	11-12	Dec-11	\$20,000
Fiscal Year 11-12 Total			\$101,860
Reduced contracts for printer maintenance	12-13	Jul-12	\$6,500
Further Reduced janitorial services and locations	12-13	Jul-12	\$6,700
Further Reduced contract for phone lines/LAN WAN	12-13	Jul-12	\$7,450
Fiscal Year 12-13 Total			\$20,650
Total Savings			\$289,102



Superior Court of Kings County

HIGH-LEVEL REVIEW OF THE
STABILITY OF THE CASE
MANAGEMENT SYSTEMS
SEPTEMBER 30, 2011



ADMINISTRATIVE OFFICE
OF THE COURTS

INFORMATION SERVICES DIVISION

**Administrative Office of the Courts
Superior Court of Kings County
High-Level Review of Current CMS' Stability
September 30, 2011**

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Purpose

This document summarizes a recent review of status of the case management systems used by the Superior Court of Kings County ("Court"). The objective of the assessment was to evaluate issues affecting the stability of the case management systems and to identify options available to the Court for use as an interim strategy while the California Case Management System (CCMS) is developed. The Court asked the AOC to evaluate options for a possible interim CMS or being moved up in the CCMS deployment schedule.

Background

The Court has two separate case management systems: 1) the criminal/traffic system and 2) the civil case management system. The criminal/traffic CMS is an in-house mainframe application developed by the County and the civil CMS is a vendor-supplied application, 'Contexte' from ACS (a Xerox Company). The Court originally requested the AOC perform a high-level review of these case management systems (CMS) in 2007. At that time the court undertook an upgrade to the ACS Contexte system in Civil and continued to use the county-developed criminal/traffic mainframe system.

More recent concerns about resources retiring and the county's position on the mainframe support costs prompted the Court to reach out to the AOC. Kelly McCleary, Jens Schutt and David Koon, from the AOC's Information Services Division, discussed with Kings County Court staff the current status of their case management systems in April of 2011.

Court participants were:

Todd Barton -- Court Executive Officer
Ken Dones -- IT Director
Sandy Sayler -- Finance Director
Jeff Lewis -- Deputy Court Executive Officer
Jennifer Dodd -- Deputy Court Admin III IT
Diana Cabral -- Criminal Traffic Manager

County IT participants were:

Mark Dawson -- County IT Director
Mel Rogers -- County IT
Hector Venezuela -- County IT

The notes that follow are from the original assessment and are updated with any changes to reflect the current status of the existing CMS's.

Criminal/Traffic Case Management System

The criminal/traffic CMS was developed by County IT using COBOL. The County hosts the criminal/traffic system in its data center as well as provides support for the application. The application currently runs on an IBM X-Series Server emulating a mainframe, utilizing CICS. The database contains 17 million records in VSAM files. Each of the four modules is comprised of 25 – 50 files.

These modules are listed below along with the first year they were developed:

Criminal/Traffic Module	Year Developed
TCAMS – Traffic Case Management System	1980
COURTS – Courts Online Record Tracking System	1990
CIMS – Courts Information Management System	1990
Courts Accounts Receivable	1990

Modules with interfaces include the TCAMS and COURTS AR modules, which interface with the DMV. The Court's DMV connection is via LU6.2, and is a real-time two-way interface that looks up and returns priors information to the Court's CMS for calculating bail, and sends dispositions and convictions to DMV. Their DOJ reporting is done via the JUS8715 online forms that court staff completes and the data is then sent to DOJ.

The County's JALAN Jail system has an interface to the COURTS system, where booking records are sent to COURTS and a court case can be created. Also CIMS (includes Juv. Delinquency cases) and COURTS generate (via a batch process) a calendar and case information text file that is sent by FTP to the Court, and then imported into the Courts Calendar and RFID systems. The Court allows other agencies like the District Attorney, Sheriff, Probation and additionally, some PDs, DCSS and NTFS departments have user accounts in the case management system.

Court Concerns with Criminal/Traffic CMS

The Court has expressed concerns about the continued use of this criminal/traffic CMS and has asked about the schedule for a migration to CCMS, or an interim migration to the ACS vendor's Contexte system, which the Court currently uses for Civil case processing.

Specifically, the Court/County staff identified the following issues with the criminal/traffic CMS:

- The county resource currently supporting the system is retiring sometime in the next 18 months. While County IT has other resources to support the system, they are not as knowledgeable as the primary support resource. Additionally, it was reported that the documentation of the system was limited.
- The criminal/traffic CMS and the Property Tax system reside on the same IBM mainframe. However, a project is underway to replace the existing Property Tax system.

Once the new Property Tax system is in place, the Court will be the only client on the mainframe. Thus, the cost charged by the county to the Court for use of the mainframe will increase as the population of users decreases. Current charges are \$300,000 per year, and this will increase by \$50,000 - \$70,000 next fiscal year. Beyond that, County IT intends to charge the Court 100% of the costs of maintaining the mainframe, which is estimated to be \$582,325 per year. The Court has 94 users, plus 70 justice partner users (read-only). The Property Tax application supports 30-40 users.

- County IT would much prefer that the Court take over the mainframe entirely. However, the Court does not have the space, needed infrastructure or the staff to support hosting the mainframe.
- The Court reported continued problems with PC terminal emulation software and that this problem results in the loss of connectivity to the criminal/traffic CMS at least three times a day. The court stated that the duration for this loss of connectivity is usually 10 to 15 minutes and is very disruptive to the flow of court operations.
- Due to the different navigation and screen design of the traffic and criminal modules, the Court cannot readily interchange clerks from a traffic courtroom to a criminal courtroom. This limitation negatively impacts courtroom operations. The Court does not have sufficient resources available to cross-train personnel on the multiple modules and support daily court operations.

Due to these concerns the Court asked about the status of CCMS deployments for courts such as theirs, or as an interim solution, to move traffic and criminal over to one of the ACS vendor's CMS solutions. The Court is also evaluating the Stanislaus CMS and Sustain's eCourt.

ACS - Civil Case Management System

The civil CMS is a vendor-supplied system and is hosted in the Court's data center. The civil CMS from ACS (Contexte) was upgraded to newer hardware, as well as supported versions of the operating system and CMS application. In addition to all civil cases, Juvenile Dependency cases are handled in this CMS (while Juvenile Delinquency cases are handled in the County CMS).

They utilize an ACS resource as their DBA, who performs all Oracle and ACS updates and patches. Kings County takes advantage of the State's licensing agreement for Oracle licensing and therefore does not pay for Oracle licenses.

ACS sent a team to the Kings Court to do a business process review. They also recently demonstrated their newer AgileCourt system. ACS has provided a pricing proposal for deploying the newer AgileCourt CMS for criminal and traffic modules. They will also provide pricing for a phased deployment of the AgileCourt system for all case types, including Civil, once the Court's current contract for Contexte in Civil expires in 2014. The Court does not want to invest additional funds in implementing the older ACS Contexte system for criminal and traffic, as the user interface is not user friendly: there are lots of screens, users have to memorize codes and screen names, and the court believes they would need 2 courtroom clerks per courtroom to handle in-court processing for criminal cases.

Possible Options for the Kings County Court

In our meeting with the Court and in subsequent discussions, a number of options were identified by the court for consideration. These options along with their respective pros and cons are listed below. Additionally, Appendix A shows a timeline comparison for these options. More detailed cost breakdowns for each option are presented in Appendices B – F. Each of these options with the exception of the County mainframe would be locally installed at the court.

1. County mainframe CMS for Criminal/Traffic

This option would entail the court continuing the use of the county developed mainframe CMS for traffic and criminal, as well as the currently installed ACS system for civil. Kings County IT has indicated that the last of the other county agencies will be off the mainframe by early to mid-2013, and at that time the court will incur the entire cost of maintaining the County mainframe. The court does not have the infrastructure to take the current mainframe system in-house.

Pros	Cons
A. The court would continue to use their existing CMS systems and would not have the effort or cost of deploying an interim CMS.	A. The total cost of supporting the mainframe would be close to \$600,000 annually, of which there has been no funding source identified.
B. The court would not incur any costs for training.	B. The court would continue having two separate CMS systems rather than an integrated system. Court staff cannot readily work in both systems since they are so different.
C. This option does not require conversion to an interim CMS prior to deploying CCMS.	C. The county-developed mainframe system is poorly documented and written in legacy programming languages.
	D. The primary County IT support resource is retiring within 18 months. County IT has other support resources that are not as knowledgeable on the CMS. If this option is pursued, the court would need to work with County IT to provide knowledge transfer or an outside resource would need to be hired.

A summary of the five-year costs for the County CMS Stabilization is presented below. The more detailed cost breakdown is in Appendix B.

County CMS Stabilization

Total estimated 1st year costs	\$ 605,326
Total estimated one-time (not 1 st yr)	\$ 0
Total estimated Annual costs	<u>\$ 582,325</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$2,934,625

2. Stanislaus CMS

The Kings County court talked with Stanislaus Court IT to determine if their in-house developed system is a potential solution for an interim CMS at the Kings Superior Court. The Kings County Court has concerns about the viability of the Stanislaus CMS as a solution for their court, due to the lack of in-court processing, the extra cost of a non-integrated cashiering module, and the fact that the court would need physical infrastructure upgrades and additional technical staff to support the system.

Pros	Cons
A. Deploying the Stanislaus system would give the Kings Court a more functional CMS integrated across all case types.	A. A funding source has not yet been identified.
	B. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
	C. Kings does not have existing computer room infrastructure to implement the Stanislaus system.
	D. The court would need to acquire additional servers to run this system, as well as hire additional IT staff to support the system.
	E. The Stanislaus system does not include key features such as in-court processing, and does not include an integrated cashiering module or DMV interface.
	F. The costs of deploying and maintaining this system are beyond the budget for a court of this size.
	G. The court would have the additional cost of an add-on cashiering system.

A summary of the five-year costs for deploying the Stanislaus CMS is presented below. The more detailed cost breakdown is in Appendix C.

Stanislaus CMS

Total estimated 1st year costs	\$ 966,000
Total estimated one-time (not 1 st yr)	\$ 650,000
Total estimated Annual costs	\$ 351,000
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$3,020,000

3. Deploy ACS Contexte for criminal & traffic

The Kings Superior Court already has the ACS 'Contexte' CMS in Civil, therefore the court is evaluating moving the criminal and traffic case processing to their existing ACS system. ACS

and the court believe their existing servers have capacity for adding criminal and traffic processing. ACS has also stated that they will not charge the Court additional licensing fees for criminal and traffic. An ACS Contexte deployment in criminal and traffic would be of a shorter duration than most other options, likely taking twelve months or less.

This option would take advantage of the CCTC's DMV connectivity, though the CMS is hosted locally. The Court has some concerns about the ACS Contexte solution in regard to in-court processing; the court estimates that they would need two court clerks per courtroom instead of one.

Pros	Cons
A. Deploying the ACS Contexte system in criminal and traffic would give the court a CMS integrated across all case types.	A. A funding source has not yet been identified.
B. The court believes it has enough server capacity to deploy the ACS Contexte system in criminal and traffic.	B. The ACS Contexte system is an older, less user-friendly CMS and the court would prefer the newer ACS AgileCourt.
C. The court can take advantage of Solano's ACS Contexte configuration and DMV interface.	C. The existing mainframe interfaces may have to be rewritten to work with ACS Contexte.
D. The court can take advantage of the State's Oracle licensing.	D. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
E. With a nine to twelve month timeline for deployment, the court will not incur the increased mainframe costs.	E. The court estimates that they would need two court clerks per courtroom, whereas now they have one per courtroom.
F. This option provides the quickest solution to moving off the county mainframe.	F. The ACS Contexte contract expires in 2014 and will need to be renegotiated which may have cost implications that are unknown at this time.

A summary of the five-year costs for deploying the ACS Contexte CMS is presented below. The more detailed cost breakdown is in Appendix D.

ACS Contexte

Total estimated 1st year costs	\$ 163,147
Total estimated one-time (not 1st yr)	\$ 0
Total estimated Annual costs	<u>\$ 107,447</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$ 592,935

4. Deploy ACS AgileCourt for criminal & traffic

The court believes the newer AgileCourt CMS from ACS is a much more modern, user-friendly CMS and would prefer to implement AgileCourt. This option envisions a phased implementation for criminal and traffic in 2012, and then for Civil in 2014 when their current contract for ACS Contexte expires.

Pros	Cons
A. Deploying the ACS AgileCourt system in criminal and traffic now, and in civil in 2014, would eventually give the Kings Court a single CMS for all case types.	A. A funding source has not yet been identified.
B. The ACS AgileCourt system is a more modern, user-friendly CMS.	B. ACS has not yet implemented AgileCourt in any trial court, and does not yet have a working DMV interface, which poses additional risks for this option.
C. The Court can take advantage of the State's Oracle licensing.	C. The existing mainframe interfaces may have to be rewritten to work with ACS.
	D. The cost of DBA and legislative update support from ACS may increase with the addition of Agile in addition to Contexte.
	E. Three additional servers will be needed to run the AgileCourt system.
	F. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
	G. The pricing proposal for the ACS Agile solution assumes a five-year payment plan. Anything short of this timeframe will result in higher upfront costs.

A summary of the five-year costs for deploying the ACS AgileCourt CMS is presented below. The more detailed cost breakdown is in Appendix E.

ACS AgileCourt

Total estimated 1st year costs	\$ 398,700
Total estimated one-time (not 1 st yr)	\$ 109,500
Total estimated Annual costs	<u>\$ 175,000</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$1,208,200

5. Sustain eCourt

Sustain demonstrated their new eCourt CMS to The Kings Superior Court, and the court believes it would meet the court's functional needs. However, it would require additional servers and therefore expanded IT support needs. This option envisions a phased implementation initially in

traffic in 2012, in criminal in 2013 and in civil in 2014. This is primarily due to the vendor's resource constraints while implementing in other courts. This option envisions taking advantage of the CCTC's DMV connectivity, though the CMS is hosted locally.

Pros	Cons
A. Deploying Sustain's eCourt system in civil, criminal and traffic would give the court a CMS integrated across all case types.	A. A funding source has not yet been identified.
B. Sustain is planning to implement eCourt in at least two other California courts over the next two years, which will allow Kings to take advantage of the other courts' configurations and tables.	B. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
C. Sustain's new eCourt system is a web-based CMS that is highly configurable by the court.	C. Sustain eCourt is integrated with a DMS that requires separate licensing, maintenance and support.
	D. Though Sustain represents that the eCourt system includes all standard interfaces, it is unclear which are included and what additional costs the court may incur to implement these interfaces.
	E. The court will have to perform Oracle DBA support or will have to contract this out.
	F. Sustain eCourt has not yet been implemented in a California Court.
	G. Sustain has indicated that they cannot fully deploy in Kings until 2014, so this may not meet the Court's timeframe.
	H. Sustain eCourt has a DMV interface, but they also recommend the Court license DMVGATEWAY, which adds additional cost.
	I. The court would need to acquire additional servers to implement eCourt. This expanded infrastructure will require additional support.

A summary of the five-year costs for deploying the Sustain eCourt CMS is presented below. The more detailed cost breakdown is in Appendix F.

Sustain eCourt

Total estimated 1st year costs	\$ 505,274
Total estimated one-time (not 1st yr)	\$ 602,000
Total estimated Annual costs	\$ 196,127
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$1,891,782

Summary

Kings County has given the Kings County Court an estimate of December 2012 as to when they expect the only other agency using the county-hosted mainframe to be migrated to another system. When this occurs, the Court will be charged the full cost for operation of the mainframe which is estimated to be approximately \$600,000 per year.

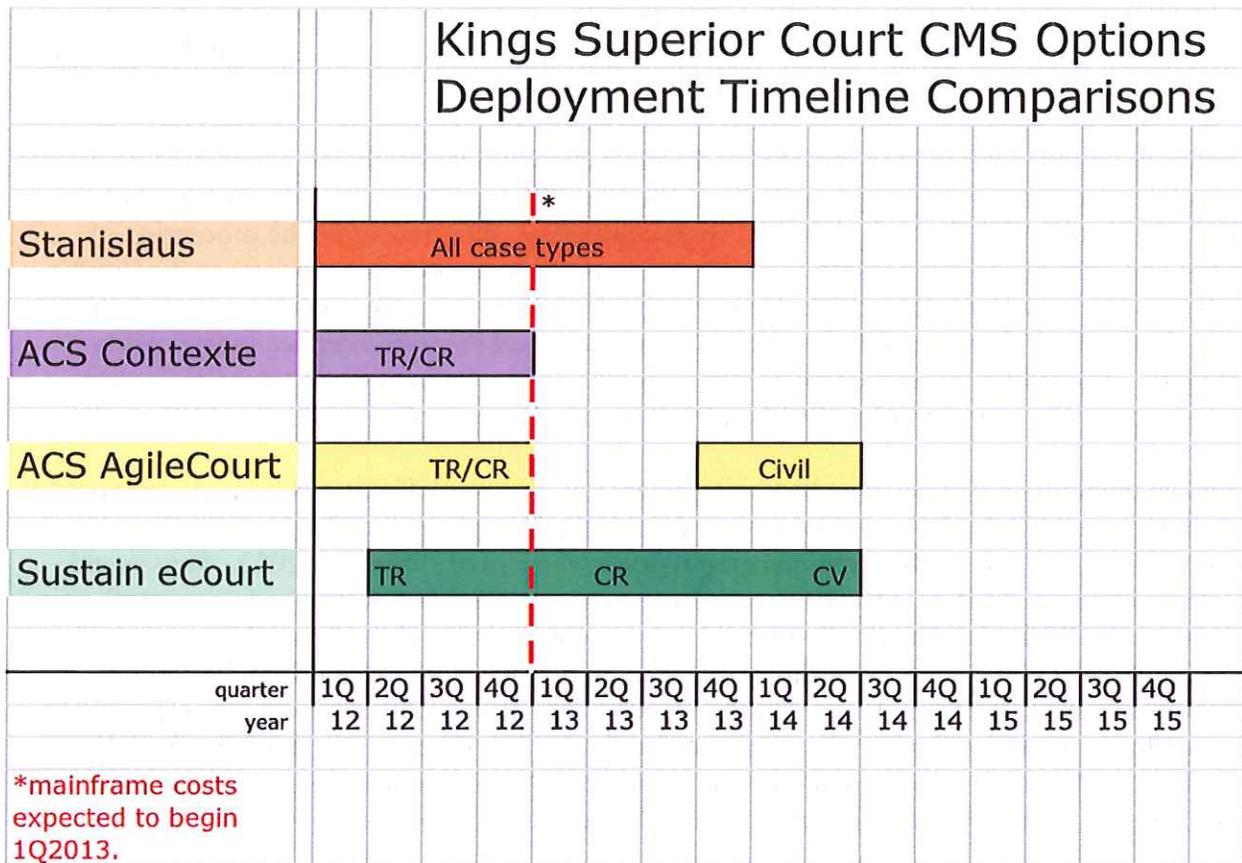
Of the six options discussed in this report, the most expeditious timeline to get all case types onto a single case management system and also the least costly (e.g. an estimated 5 year cost of \$661,000) is the ACS Contexte solution. This solution would incorporate the processing of traffic and criminal case types into the existing hardware/software which processes the Court's civil case types by December 2012. However, the Court has concerns regarding this solution as it would require hiring an additional 2 courtroom clerks and the user interface is difficult to navigate. An additional consideration regarding this option is that the current ACS Contexte license agreement expires in July 2014 and will need to be renegotiated with the ACS vendor.

From an operational perspective, the Court prefers the ACS AgileCourt solution. As proposed in this report, an ACS AgileCourt deployment would be accomplished in phases. The first phase would be to deploy the traffic/criminal case types by the end of December 2012. This would avoid an increase in the county mainframe costs. The second phase would be to convert the civil case types in 2014 when the Contexte license agreement expires. The estimated 5-year cost for the AgileCourt solution is \$1.2 million. Included in this cost is a proposal from the vendor which assumes the licensing fees are paid over a 5-year period. This structure was proposed by the vendor to minimize the initial cash outlay required. Two other points about the AgileCourt solution which should be considered is that the AgileCourt product has not yet been deployed in a trial court and the vendor will need to write a DMV interface for the product.

The Sustain eCourt solution was appealing to the court from a functionality perspective as well. However, the expected deployment timeline for both traffic and criminal case types to be deployed is not until mid-2013. As such, the Court would be charged 6 months of the increased mainframe costs. The Civil case types would be the last deployment phase and is expected to be completed by June 2014. The estimated 5-year cost for the eCourt solution is approximately \$1.9 million.

In summary, the ACS AgileCourt and ACS Contexte solutions are the two less expensive interim solutions and each would allow the Court to be off the mainframe by the end of December 2012. The AgileCourt solution has operational benefits compared to the Contexte solution which makes it more appealing to the Court. However, The ACS Contexte solution is the least expensive interim stabilization strategy and also provides the benefit of moving all case types to a single case management system within the shortest timeframe. Thus, the recommendation is to select the ACS Contexte solution as the interim stabilization strategy. The Kings Court would then be included in the first CCMS deployment wave after the early adopter courts. It is expected that the transition cost to CCMS would then be included in the CCMS Program's budget.

Appendix A



Appendix B

Kings Court CMS Interim Options: County CMS - Mainframe

County CMS - Mainframe	1st Year	Not 1st yr One-time	Annually
Hardware and Software warranties, licenses, service contracts	\$131,058		\$131,058
Hydra and modem phone line	\$364		\$364
Cobol Programming Support (50% of Rob's time)	\$76,293		\$76,293
Operations Support (50% of Jeannette, Carol & Tim's time)	\$169,138		\$169,138
Forms (Perf paper for Xerox created documents)	\$500		\$500
Printing (Xerox printing for nightly reports)	\$35,834		\$35,834
Labor for printing (50% of Jeannette, Carol & Tim's time)	\$169,138		\$169,138
Software upgrades - terminal emulation on desktops	\$23,000		
Total 1st year costs	\$605,326		
Total one-time (not 1st yr)		\$0	
Total Annual costs			\$582,326
Total 5 year costs (1st year + 4 yrs annual costs)	\$2,934,628		

Issues and Assumptions

1. The County resource is expected to retire within 18 months, but County IT has another support resource (who is not as knowledgeable on the CMS but can support the court to some extent). The current Cobol programmer spends 50% of his time to support the court.
2. For any interim solution implemented for traffic and criminal that takes beyond 18 months, the mainframe costs above will be incurred by the court, until such time that they are off the mainframe system.
3. These costs would be on-going and would increase the Court's operational costs significantly.
4. The County CMS stabilization option assumes that County IT will continue to house the mainframe and charge back 100% of the costs to the court.
5. The court does not need to upgrade or incur additional costs for the Civil ACS.

Appendix C

Kings Court CMS Interim Options: Stanislaus

Stanislaus CMS deployment	1st Year	Not 1st yr	Annually
		One-time	
Technical knowledge transfer from Stanislaus resource	\$100,000		
Resource to perform data analysis and conversion	\$160,000		
Recruit and hire DBA (FTE)	\$121,000		\$121,000
Recruit and hire Java developers (1.5 resources FTE)	\$120,000		\$120,000
Conversion support from County IT (\$112.77/hr)	\$50,000		
Court project manager	\$100,000	\$50,000	
Develop Training Strategy and Trainer (functional)	\$60,000		
Purchase additional (8) servers (will need Dev, Production)	\$100,000		
Misc. licensing fees for OS, tools, etc. (Java, Acrobat Prof, code mgnt)	\$100,000		\$100,000
License third-party Cashiering system	\$55,000		\$10,000
12 months of 100% mainframe costs (2013)		\$600,000	
Total 1st year costs	\$966,000		
Total one-time (not 1st yr)		\$650,000	
Total Annual costs			\$351,000
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$3,020,000		

Issues and Assumptions

1. The Stanislaus system was copyrighted by Court; it is available for free to all CA courts.
2. The effort to customize this system to work for Kings is unknown. We expect this entire deployment to take at least 18-24 months, due to building out infrastructure, hiring resources and customization.
3. Stanislaus has not created an installable system for any other court.
4. Stanislaus has three Java programmers on staff to support the system. The Kings Court would have to hire a developer or two to support any initial customization as well as on-going updates.
5. A small court like Kings is not in a position to take on the effort to maintain, extend and support a custom codebase, as they currently have nothing in place to do so. (Note: Stanislaus has 261 FTEs and 20 judges, while Kings has 91 FTEs and 7 judges.)
6. Stanislaus is running these applications on eight servers. They are running in

6. Stanislaus is running these applications on eight servers. They are running in a Windows, Java, web-based environment, using an Oracle database.
7. Kings believes this option is not a viable solution due to the additional infrastructure, staffing and on-going costs it would entail for a small court like Kings in addition to the effort to implement a largely unknown and unproven system. The court has not priced out additional computer room or office space for this option, but it would be significant, as they do not have any extra space.
8. The Stanislaus system is not integrated with DMV or the Cashiering module.
9. A number of these costs would be on-going and would increase the Court's operational costs significantly.
10. Kings would take advantage of the Judicial Branch's statewide Oracle license.
11. We are assuming any interim solution will be needed for at least five years.

Appendix D

Kings Court CMS Interim Options: ACS Contexte

ACS Contexte deployment	1st Year	Not 1st yr One- time	Annually
ACS Contexte licensing for Traffic & Criminal	\$0		
Two additional courtroom clerks			\$103,000
Court project manager	\$75,000		
Conversion support from County IT (\$112.77/hr)	\$50,000		
Otech access charges (\$5 per user per month - 50 users)	\$3,000		\$3,000
Help Desk charges (\$24.11 per authorized user per month - 5)	\$1,447		\$1,447
Infrastructure upgrades - server memory	\$8,700		
Desktop refresh	\$25,000		
Total 1st year costs	\$163,147		
Total one-time (not 1st yr)		\$0	
Total Annual costs			\$107,447
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$592,935		

Issues and Assumptions

1. The Court has confirmed that the Court's infrastructure and server hardware is sufficient to support an ACS implementation in Criminal and Traffic. The court will need to upgrade server memory and desktops.
2. The Court can take advantage of the DMV interface that was developed for the Solano court.
3. The current T1 line should be adequate to handle the addition of the DMV interface via the CCTC.
4. We are assuming any interim solution will be needed for at least five years.
5. The ACS Contexte contract expires in 2014 and will need to be renegotiated which may have cost implications that are unknown at this time.
6. The existing mainframe interfaces may have to be rewritten to work w The existing mainframe interfaces may have to be rewritten to work with ACS Contexte.
7. The Court would need two additional court clerks to support in-court processing for criminal and traffic.

Appendix E

Kings Court CMS Interim Options: ACS AgileCourt

ACS AgileCourt deployment	1st Year	Not 1st yr One-time	Annually
ACS Agile licensing for Traffic & Criminal (end of yr 1-5)	\$175,000		\$175,000
ACS upgrade to Agile/licensing for Civil (included)	\$0		
Annual maintenance for ACS Agile CMS (\$60,000 after yr 6)	\$0		
Additional servers (3) & software (OS, backup)	\$25,000		
Oracle 11g Enterprise Edition	\$0		
Court project manager	\$100,000	\$50,000	
Conversion support from County IT (\$112.77/hr)	\$50,000		
Conversion from Contexte to Agile for Civil (in 2014)	\$0	\$59,500	
Infrastructure upgrades - server memory	\$8,700		
Desktop refresh	\$25,000		
Legal review costs for ACS licensing and support agreements	\$15,000		
Total 1st year costs	\$398,700		
Total one-time (not 1st yr)		\$109,500	
Total Annual costs			\$175,000
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$1,208,200		

Issues and Assumptions

1. Court will need to acquire three additional servers and related software to support an ACS Agile implementation in Criminal and Traffic. Would upgrade Civil to new ACS Agile system when current contract expires in July 2014. The court believes they can house these additional servers.
2. The current T1 line should be adequate to handle the addition of the DMV interface via the CCTC, once the vendor writes a DMV interface for their Agile version.
3. If Court utilizes the CCTC for the DMV interface, there will be additional access costs for OTEC and VPN client.
4. The Court can take advantage of the state's Oracle licensing.
5. We are assuming any interim solution will be needed for at least five years.
6. ACS quoted the Civil conversion to AgileCourt separately, and there may be additional costs identified. The fee quoted covers the data conversion and 4 onsite visits.

7. The cost of the DBA support they receive from ACS may increase with the addition of Agile to their existing Contexte environment. This cost is unknown and not included in the above estimate.

8. ACS can perform legislative updates for an additional fee. This cost is unknown and not included in the above estimate.

9. The court may incur additional costs associated with rewriting the interfaces currently utilized via the mainframe system. This cost is unknown and not included in the above estimate.

10. After the initial five years at \$175,000, the annual maintenance fee would be approx. \$60,000 a year.

11. The pricing proposal for the ACS Agile solution assumes a five-year payment plan. Anything short of this timeframe will result in higher upfront costs.

Appendix F

Kings Court CMS Interim Options: Sustain eCourt

Sustain eCourt deployment	1st Year	Not 1st yr One-time	Annually
Sustain eCourt CMS/DMS deployment professional services	\$60,000	\$160,000	\$0
Annual licensing for Sustain e Court CMS	\$32,000	\$87,000	\$136,000
Annual licensing for DMS (Onboard)	\$45,000		\$45,000
DMS professional services (Onboard)	\$15,000	\$5,000	
DMV Gateway license (C2000)	\$21,875		\$10,680
Otech access charges (\$5 per user per month - 50 users)	\$3,000		\$3,000
Help Desk charges (\$24.11 per auth user per mo - 5)	\$1,447		\$1,447
Court project manager	\$100,000	\$50,000	
Conversion support from County IT (\$112.77/hr)	\$50,000		
Oracle 11g Enterprise	\$0		
Additional Servers (8); software	\$136,952		
Desktop refresh	\$25,000		
Legal review costs for eCourt licensing agreement	\$15,000		
6 months of 100% mainframe costs (1st half 2013)		\$300,000	
Total 1st year costs	\$505,274		
Total one-time (not 1st yr)		\$602,000	
Total Annual costs			\$196,127
Total 5 yr costs (1st year + 4 yrs annual costs)	\$1,891,782		

Issues and Assumptions

1. The above pricing assumes a phased implementation.
2. Sustain has indicated they cannot begin implementation for Traffic until 2012 due to resource constraints.
3. It is not clear that this Sustain proposal addresses the court's existing interfaces. Sustain's proposal states that all interfaces are included; however it also states that the court will pay any county-related and vendor-related costs for interfaces. This cost is unknown and not included in the above estimate.
4. We are assuming any interim solution will be needed for at least five years.

5. The above assumes that the court utilizes the CCTC for the DMV interface. If they opt for a direct DMV connection, there will be additional costs including HIS Server, software and network hardware.
6. The cost of Oracle DBA support is not included in Sustain's pricing, therefore the Court will have increased costs associated with this support. This cost is unknown and not included in the above estimate.
7. Per Sustain, they will train the court to make legislative updates in-house.
8. The court believes they can house these servers as they would likely be blade servers and/or virtualized.
9. 100% of mainframe costs from county includes 50% of a Cobol programmer's time.
10. Sustain support costs are billed at \$200 an hour and are not included in the above estimates.



Superior Court of Kings County

HIGH-LEVEL REVIEW OF THE
STABILITY OF THE CASE
MANAGEMENT SYSTEMS
NOVEMBER 15, 2011



ADMINISTRATIVE OFFICE
OF THE COURTS

INFORMATION SERVICES DIVISION

**Administrative Office of the Courts
Superior Court of Kings County
High-Level Review of Current CMS' Stability
November 15, 2011**

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Purpose

This document summarizes a recent review of status of the case management systems used by the Superior Court of Kings County ("Court"). The objective of the assessment was to evaluate issues affecting the stability of the case management systems and to identify options available to the Court for use as an interim strategy while the California Case Management System (CCMS) is developed. The Court asked the AOC to evaluate options for a possible interim CMS or being moved up in the CCMS deployment schedule.

Background

The Court has two separate case management systems: 1) the criminal/traffic system and 2) the civil case management system. The criminal/traffic CMS is an in-house mainframe application developed by the County and the civil CMS is a vendor-supplied application, 'Contexte' from ACS (a Xerox Company). The Court originally requested the AOC perform a high-level review of these case management systems (CMS) in 2007. At that time the court undertook an upgrade to the ACS Contexte system in Civil and continued to use the county-developed criminal/traffic mainframe system.

More recent concerns about resources retiring and the county's position on the mainframe support costs prompted the Court to reach out to the AOC. Kelly McCleary, Jens Schutt and David Koon, from the AOC's Information Services Division, discussed with Kings County Court staff the current status of their case management systems in April of 2011.

Court participants were:

Todd Barton -- Court Executive Officer
Ken Dones -- IT Director
Sandy Sayler -- Finance Director
Jeff Lewis -- Deputy Court Executive Officer
Jennifer Dodd -- Deputy Court Admin III IT
Diana Cabral -- Criminal Traffic Manager

County IT participants were:

Mark Dawson -- County IT Director
Mel Rogers -- County IT
Hector Venezuela -- County IT

The notes that follow are from the original assessment and are updated with any changes to reflect the current status of the existing CMS's.

Criminal/Traffic Case Management System

The criminal/traffic CMS was developed by County IT using COBOL. The County hosts the criminal/traffic system in its data center as well as provides support for the application. The application currently runs on an IBM X-Series Server emulating a mainframe, utilizing CICS. The database contains 17 million records in VSAM files. Each of the four modules is comprised of 25 – 50 files.

These modules are listed below along with the first year they were developed:

Criminal/Traffic Module	Year Developed
TCAMS – Traffic Case Management System	1980
COURTS – Courts Online Record Tracking System	1990
CIMS – Courts Information Management System	1990
Courts Accounts Receivable	1990

Modules with interfaces include the TCAMS and COURTS AR modules, which interface with the DMV. The Court's DMV connection is via LU6.2, and is a real-time two-way interface that looks up and returns priors information to the Court's CMS for calculating bail, and sends dispositions and convictions to DMV. Their DOJ reporting is done via the JUS8715 online forms that court staff completes and the data is then sent to DOJ.

The County's JALAN Jail system has an interface to the COURTS system, where booking records are sent to COURTS and a court case can be created. Also CIMS (includes Juv. Delinquency cases) and COURTS generate (via a batch process) a calendar and case information text file that is sent by FTP to the Court, and then imported into the Courts Calendar and RFID systems. The Court allows other agencies like the District Attorney, Sheriff, Probation and additionally, some PDs, DCSS and NTFS departments have user accounts in the case management system.

Court Concerns with Criminal/Traffic CMS

The Court has expressed concerns about the continued use of this criminal/traffic CMS and has asked about the schedule for a migration to CCMS, or an interim migration to the ACS vendor's Contexte system, which the Court currently uses for Civil case processing.

Specifically, the Court/County staff identified the following issues with the criminal/traffic CMS:

- The county resource currently supporting the system is retiring sometime in the next 18 months. While County IT has other resources to support the system, they are not as knowledgeable as the primary support resource. Additionally, it was reported that the documentation of the system was limited.
- The criminal/traffic CMS and the Property Tax system reside on the same IBM mainframe. However, a project is underway to replace the existing Property Tax system.

Once the new Property Tax system is in place, the Court will be the only client on the mainframe. Thus, the cost charged by the county to the Court for use of the mainframe will increase as the population of users decreases. Current charges are \$300,000 per year, and this will increase by \$50,000 - \$70,000 next fiscal year. Beyond that, County IT intends to charge the Court 100% of the costs of maintaining the mainframe, which is estimated to be \$582,325 per year. The Court has 94 users, plus 70 justice partner users (read-only). The Property Tax application supports 30-40 users.

- County IT would much prefer that the Court take over the mainframe entirely. However, the Court does not have the space, needed infrastructure or the staff to support hosting the mainframe.
- The Court reported continued problems with PC terminal emulation software and that this problem results in the loss of connectivity to the criminal/traffic CMS at least three times a day. The court stated that the duration for this loss of connectivity is usually 10 to 15 minutes and is very disruptive to the flow of court operations.
- Due to the different navigation and screen design of the traffic and criminal modules, the Court cannot readily interchange clerks from a traffic courtroom to a criminal courtroom. This limitation negatively impacts courtroom operations. The Court does not have sufficient resources available to cross-train personnel on the multiple modules and support daily court operations.

Due to these concerns the Court asked about the status of CCMS deployments for courts such as theirs, or as an interim solution, to move traffic and criminal over to one of the ACS vendor's CMS solutions. The Court is also evaluating the Stanislaus CMS and Sustain's eCourt.

ACS - Civil Case Management System

The civil CMS is a vendor-supplied system and is hosted in the Court's data center. The civil CMS from ACS (Contexte) was upgraded to newer hardware, as well as supported versions of the operating system and CMS application. In addition to all civil cases, Juvenile Dependency cases are handled in this CMS (while Juvenile Delinquency cases are handled in the County CMS).

They utilize an ACS resource as their DBA, who performs all Oracle and ACS updates and patches. Kings County takes advantage of the State's licensing agreement for Oracle licensing and therefore does not pay for Oracle licenses.

ACS sent a team to the Kings Court to do a business process review. They also recently demonstrated their newer AgileCourt system. ACS has provided a pricing proposal for deploying the newer AgileCourt CMS for criminal and traffic modules. They also provided pricing for a conversion of Civil case types to Agile once the Court's current contract for Contexte in Civil expires in 2014. For both the Agile and Contexte solution, the court believes they would need 2 courtroom clerks per courtroom to handle in-court processing for criminal cases, thus adding a total of three clerks to staff for either option. The Court does not want to invest additional funds in implementing the older ACS Contexte system for criminal and traffic, as the user interface is not user friendly: there are lots of screens and users have to memorize codes and screen names.

Possible Options for the Kings County Court

In our meeting with the Court and in subsequent discussions, a number of options were identified by the court for consideration. These options along with their respective pros and cons are listed below. Additionally, Appendix A shows a timeline comparison for these options. More detailed cost breakdowns for each option are presented in Appendices B – F. Each of these options with the exception of the County mainframe would be locally installed at the court.

1. County mainframe CMS for Criminal/Traffic

This option would entail the court continuing the use of the county developed mainframe CMS for traffic and criminal, as well as the currently installed ACS system for civil. Kings County IT has indicated that the last of the other county agencies will be off the mainframe by early to mid-2013, and at that time the court will incur the entire cost of maintaining the County mainframe. The court does not have the infrastructure to take the current mainframe system in-house.

Pros	Cons
A. The court would continue to use their existing CMS systems and would not have the effort or cost of deploying an interim CMS.	A. The total cost of supporting the mainframe would be close to \$600,000 annually, of which there has been no funding source identified.
B. The court would not incur any costs for training.	B. The court would continue having two separate CMS systems rather than an integrated system. Court staff cannot readily work in both systems since they are so different.
C. This option does not require conversion to an interim CMS prior to deploying CCMS.	C. The county-developed mainframe system is poorly documented and written in legacy programming languages.
	D. The primary County IT support resource is retiring within 18 months. County IT has other support resources that are not as knowledgeable on the CMS. If this option is pursued, the court would need to work with County IT to provide knowledge transfer or an outside resource would need to be hired.

A summary of the five-year costs for the County CMS Stabilization is presented below. The more detailed cost breakdown is in Appendix B.

County CMS Stabilization

Total estimated 1st year costs	\$ 605,326
Total estimated one-time (not 1st yr)	\$ 0
Total estimated Annual costs	\$ 582,326
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$2,934,628

2. Stanislaus CMS

The Kings County court talked with Stanislaus Court IT to determine if their in-house developed system is a potential solution for an interim CMS at the Kings Superior Court. The Kings County Court has concerns about the viability of the Stanislaus CMS as a solution for their court, due to the lack of in-court processing, the extra cost of a non-integrated cashiering module, and the fact that the court would need physical infrastructure upgrades and additional technical staff to support the system.

Pros	Cons
A. Deploying the Stanislaus system would give the Kings Court a more functional CMS integrated across all case types.	A. A funding source has not yet been identified.
	B. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
	C. Kings does not have existing computer room infrastructure to implement the Stanislaus system.
	D. The court would need to acquire additional servers to run this system, as well as hire additional IT staff to support the system.
	E. The Stanislaus system does not include key features such as in-court processing, and does not include an integrated cashiering module or DMV interface.
	F. The costs of deploying and maintaining this system are beyond the budget for a court of this size.
	G. The court would have the additional cost of an add-on cashiering system.

A summary of the five-year costs for deploying the Stanislaus CMS is presented below. The more detailed cost breakdown is in Appendix C.

Stanislaus CMS

Total estimated 1st year costs	\$ 866,000
Total estimated one-time (not 1st yr)	\$ 600,000
Total estimated Annual costs	\$ 351,000
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$2,870,000

3. Deploy ACS Contexte for criminal & traffic

The Kings Superior Court already has the ACS 'Contexte' CMS in Civil, therefore the court is evaluating moving the criminal and traffic case processing to their existing ACS system. ACS

and the court believe their existing servers have capacity for adding criminal and traffic processing. ACS has also stated that they will not charge the Court additional licensing fees for criminal and traffic. An ACS Contexte deployment in criminal and traffic would be of a shorter duration than most other options, likely taking twelve months or less.

The Court has some concerns about the ACS Contexte solution regarding in-court processing; the court estimates that they would need two court clerks for each arraignment or high-volume courtroom instead of one, which would require three additional court clerks to cover arraignments. These additional clerks are needed due to the transition to a manual process of recording minutes on paper forms compared to the current real-time recording with the mainframe system. This manual processing will be similar to how they are generating minutes in Civil now with the Contexte system.

This option would take advantage of the CCTC's DMV connectivity, though the CMS is hosted locally.

Pros	Cons
A. Deploying the ACS Contexte system in criminal and traffic would give the court a CMS integrated across all case types.	A. A funding source has not yet been identified.
B. The court believes it has enough server capacity to deploy the ACS Contexte system in criminal and traffic.	B. The ACS Contexte system is an older, less user-friendly CMS and the court would prefer the newer ACS AgileCourt.
C. The court can take advantage of Solano's ACS Contexte configuration and DMV interface.	C. The existing mainframe interfaces may have to be rewritten to work with ACS Contexte.
D. The court can take advantage of the State's Oracle licensing.	D. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
E. With a nine to twelve month timeline for deployment, the court will not incur the increased mainframe costs.	E. The court estimates that they would need two court clerks for each arraignment courtroom whereas now they have one per courtroom for an addl. 3 clerks.
F. This option provides the quickest solution to moving off the county mainframe.	F. The ACS Contexte contract expires in 2014 and will need to be renegotiated which may have cost implications that are unknown at this time.

A summary of the five-year costs for deploying the ACS Contexte CMS is presented below. The more detailed cost breakdown is in Appendix D.

ACS Contexte

Total estimated 1st year costs	\$ 351,014
Total estimated one-time (not 1 st yr)	\$ 0
Total estimated Annual costs	<u>\$ 355,181</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$1,771,738

4. Deploy ACS AgileCourt for criminal & traffic

The court believes the newer AgileCourt CMS from ACS is a more modern, user-friendly CMS and would prefer to implement AgileCourt. This option envisions a phased implementation for criminal and traffic in 2012, and then for Civil in 2014 when their current contract for ACS Contexte expires. The court estimates they would need three additional courtroom clerks to handle arraignment processing, due to the additional screens compared to their current mainframe system.

Pros	Cons
A. Deploying the ACS AgileCourt system in criminal and traffic now, and in civil in 2014, would eventually give the Kings Court a single CMS for all case types.	A. A funding source has not yet been identified.
B. The ACS AgileCourt system is a more modern, user-friendly CMS.	B. ACS has not yet implemented AgileCourt in any trial court, and does not yet have a working DMV interface, which poses additional risks for this option.
C. The Court can take advantage of the State's Oracle licensing.	C. The existing mainframe interfaces may have to be rewritten to work with ACS.
	D. The cost of DBA and legislative update support from ACS may increase with the addition of Agile in addition to Contexte.
	E. Three additional servers will be needed to run the AgileCourt system.
	F. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
	G. The pricing proposal for the ACS Agile solution assumes a five-year payment plan. Anything short of this timeframe will result in higher upfront costs.
	H. The court estimates that they would need two court clerks for each arraignment courtroom, whereas now they have one per courtroom, for an additional 3 clerks.

A summary of the five-year costs for deploying the ACS AgileCourt CMS is presented below. The more detailed cost breakdown is in Appendix E.

ACS AgileCourt

Total estimated 1st year costs	\$ 391,014
Total estimated one-time (not 1st yr)	\$ 59,500
Total estimated Annual costs	<u>\$ 355,181</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$1,871,238

5. Sustain eCourt

Sustain demonstrated their new eCourt CMS to The Kings Superior Court, and the court believes it would meet the court's functional needs. However, it would require additional servers and therefore expanded IT support needs. This option envisions a phased implementation initially in traffic in 2012, in criminal in 2013 and in civil in 2014. This is primarily due to the vendor's resource constraints while implementing in other courts. This option envisions taking advantage of the CCTC's DMV connectivity, though the CMS is hosted locally.

Pros	Cons
A. Deploying Sustain's eCourt system in civil, criminal and traffic would give the court a CMS integrated across all case types.	A. A funding source has not yet been identified.
B. Sustain is planning to implement eCourt in at least two other California courts over the next two years, which will allow Kings to take advantage of the other courts' configurations and tables.	B. The court would incur the cost and additional effort of deploying both an interim CMS as well as CCMS over the course of the next few years.
C. Sustain's new eCourt system is a web-based CMS that is highly configurable by the court.	C. Sustain eCourt is integrated with a DMS that requires separate licensing, maintenance and support.
	D. Though Sustain represents that the eCourt system includes all standard interfaces, it is unclear which are included and what additional costs the court may incur to implement these interfaces.
	E. The court will have to perform Oracle DBA support or will have to contract this out.
	F. Sustain eCourt has not yet been implemented in a California Court.
	G. Sustain has indicated that they cannot fully deploy in Kings until 2014, so this may not meet the Court's timeframe.
	H. Sustain eCourt has a DMV interface, but they also recommend the Court license DMVGATEWAY, which adds additional cost.

Pros	Cons
	I. The court would need to acquire additional servers to implement eCourt. This expanded infrastructure will require additional support.

A summary of the five-year costs for deploying the Sustain eCourt CMS is presented below. The more detailed cost breakdown is in Appendix F.

Sustain eCourt

Total estimated 1st year costs	\$ 405,274
Total estimated one-time (not 1 st yr)	\$ 552,000
Total estimated Annual costs	<u>\$ 196,127</u>
Total estimated 5 year costs (1st year + 4 yrs annual costs)	\$1,741,782

Summary

Kings County has given the Kings Superior Court an estimate of December 2012 as to when they expect the only other agency using the county-hosted mainframe to be migrated to another system. When this occurs, the Court will be charged the full cost for operation of the mainframe which is estimated to be approximately \$600,000 per year. For comparative purposes, shown below is a chart of the cost estimates for each of option discussed in this report. **It should be noted that these costs do not include the Project Manager (PM) costs recommended by the AOC. The Court has stated that they will use internal resources to perform the project management role.**

Cost Comparison Chart

Option	1st year	not 1st year one-time	annual	Total 5 year cost
County Mainframe CMS	\$605,326	\$0	\$582,326	\$2,934,628
Stanislaus CMS	\$866,000	\$600,000	\$351,000	\$2,870,000
ACS Contexte	\$351,014	\$0	\$355,181	\$1,771,738
ACS AgileCourt	\$391,014	\$59,500	\$355,181	\$1,871,238
Sustain eCourt	\$405,274	\$552,000	\$196,127	\$1,741,782

Of the five options discussed in this report, the most expeditious timeline to get all case types onto a single case management system with an estimated 5 year cost of approximately \$1,772,000 is the ACS Contexte solution. This solution incorporates the processing of traffic and criminal case types into the existing hardware/software which processes the Court's civil

case types by December 2012. However, the Court has concerns regarding this solution as the user interface is difficult to navigate. An additional consideration regarding this option is that the current ACS Contexte license agreement expires in July 2014 and will need to be renegotiated with the ACS vendor which may have cost implications that are unknown at this time.

From an operational perspective, the Court prefers the ACS AgileCourt solution. As proposed in this report, an ACS AgileCourt deployment would be accomplished in phases. The first phase would be to deploy the traffic/criminal case types by the end of December 2012. This would avoid an increase in the county mainframe costs. The second phase would be to convert the civil case types in 2014 when the Contexte license agreement expires. The estimated 5-year cost for the AgileCourt solution is \$1.87 million. Included in this cost is a proposal from the vendor which assumes the ACS deployment costs are paid over a 5-year period. This structure was proposed by the vendor to minimize the initial cash outlay required. Two other points about the AgileCourt solution which should be considered is that the AgileCourt product has not yet been deployed in a trial court and the vendor will need to write a DMV interface for the product which is included in cost estimate for this option.

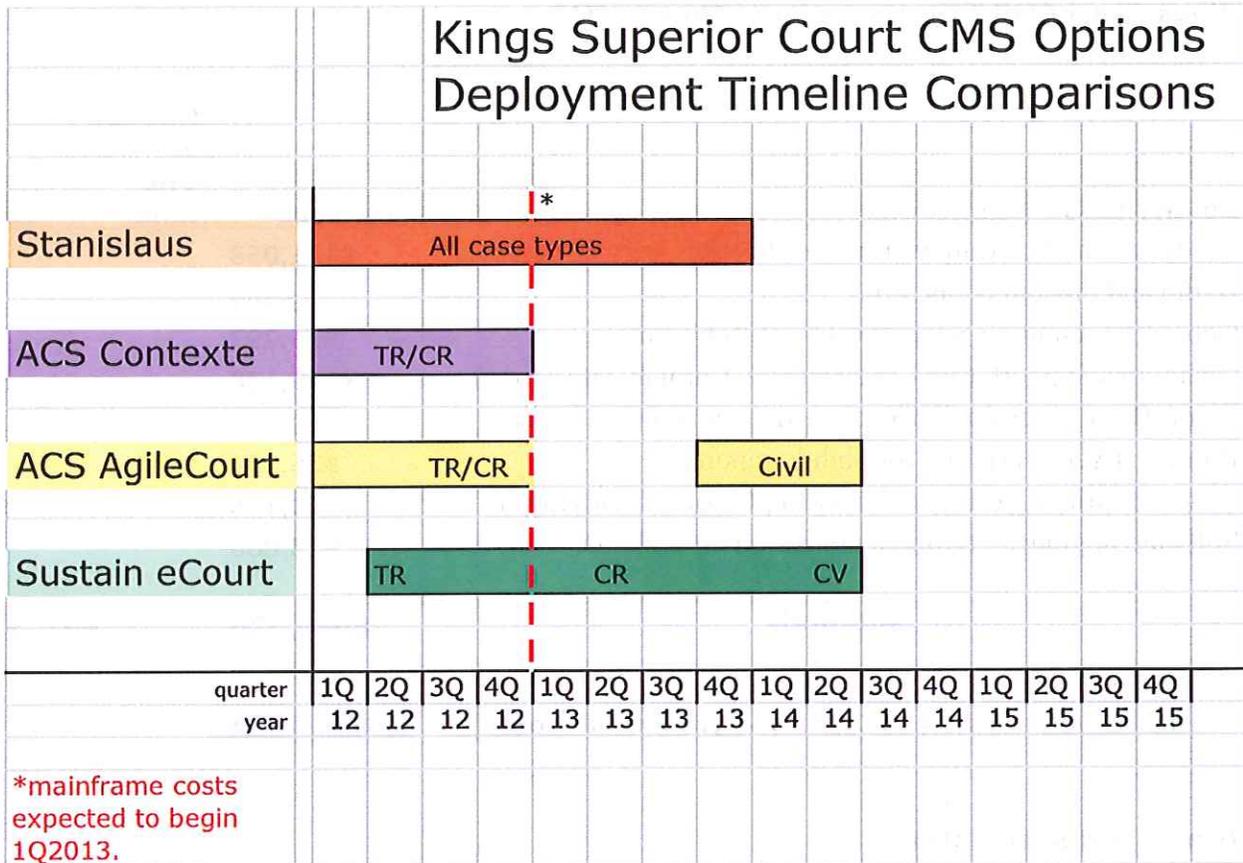
Additionally, the Court believes that both the Contexte and AgileCourt solutions would require hiring an additional 3 courtroom clerks to support entering minutes directly into the system during arraignment processing due to the number of screens required.

The Sustain eCourt solution was appealing to the court from a functionality perspective as well. However, the expected deployment timeline for both traffic and criminal case types is mid-2013. As such, the Court would be charged 6 months of the increased mainframe costs. The Civil case types would be the last deployment phase and is expected to be completed by June 2014. The estimated 5-year cost for the eCourt solution is approximately \$1.7 million.

The option to remain on the mainframe is the most expensive option of the five with an estimated five year cost of \$2,934,628 and also has the continued risk of running on older technology. Additionally, the mainframe option does not provide the court with a single case management system for all case types.

Lastly, the option to deploy a locally hosted version of the Stanislaus CMS in Kings County had an estimated five year cost of \$2,870,000. The Court had concerns about the viability of this option due to the lack of in-court processing, the extra cost of a non-integrated cashiering module, the need for physical infrastructure upgrades and additional technical staff that would be needed to support the system.

Appendix A



Appendix B

Kings Court CMS Interim Options: County CMS - Mainframe

County CMS - Mainframe	1st Year	Not 1st yr One-time	Annually
Hardware and Software warranties, licenses, service contracts	\$131,058		\$131,058
Hydra and modem phone line	\$364		\$364
Cobol Programming Support (50% of Rob's time)	\$76,293		\$76,293
Operations Support (50% of Jeannette, Carol & Tim's time)	\$169,138		\$169,138
Forms (Perf paper for Xerox created documents)	\$500		\$500
Printing (Xerox printing for nightly reports)	\$35,834		\$35,834
Labor for printing (50% of Jeannette, Carol & Tim's time)	\$169,138		\$169,138
Software upgrades - terminal emulation on desktops	\$23,000		
Subtotals	\$605,326	\$0	\$582,326
Total 5 year costs (1st year + 4 yrs annual costs)	\$2,934,628		

Issues and Assumptions

1. The County resource is expected to retire within 18 months, but County IT has another support resource (who is not as knowledgeable on the CMS but can support the court to some extent). The current Cobol programmer spends 50% of his time to support the court.
2. For any interim solution implemented for traffic and criminal that takes beyond 18 months, the mainframe costs above will be incurred by the court, until such time that they are off the mainframe system.
3. These costs would be on-going and would increase the Court's operational costs significantly.
4. The County CMS stabilization option assumes that County IT will continue to house the mainframe and charge back 100% of the costs to the court.
5. The court does not need to upgrade or incur additional costs for the Civil ACS.

Appendix C

Kings Court CMS Interim Options: Stanislaus

Stanislaus CMS deployment	1st Year	Not 1st yr	
		One-time	Annually
Technical knowledge transfer from Stanislaus resource	\$100,000		
Resource to perform data analysis and conversion	\$160,000		
Recruit and hire DBA (FTE)	\$121,000		\$121,000
Recruit and hire Java developers (1.5 resources FTE)	\$120,000		\$120,000
Conversion support from County IT (\$112.77/hr)	\$50,000		
Develop Training Strategy and Trainer (functional)	\$60,000		
Project Manager	\$100,000	\$50,000	
Purchase additional (8) servers (will need Dev, Production)	\$100,000		
Misc. licensing fees for OS, tools, etc. (Java, Acrobat Prof, code mgnt)	\$100,000		\$100,000
License third-party Cashiering system	\$55,000		\$10,000
12 months of 100% mainframe costs (2013)		\$600,000	
Subtotals	\$966,000	\$650,000	\$351,000
Adjust to remove PM costs	(\$100,000)	(\$50,000)	
Adjusted Subtotals	\$866,000	\$600,000	\$351,000
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$2,870,000		

Issues and Assumptions

1. The Stanislaus system was copyrighted by Court; it is available for free to all CA courts.
2. The effort to customize this system to work for Kings is unknown. We expect this entire deployment to take at least 18-24 months, due to building out infrastructure, hiring resources and customization.
3. Stanislaus has not created an installable system for any other court.
4. Stanislaus has three Java programmers on staff to support the system. The Kings Court would have to hire a developer or two to support any initial customization as well as on-going updates.
5. A small court like Kings is not in a position to take on the effort to maintain, extend and support a custom codebase, as they currently have nothing in place to do so. (Note: Stanislaus has 261 FTEs and 20 judges, while Kings has 91 FTEs and 7 judges.)
6. Stanislaus is running these applications on eight servers. They are running in a Windows, Java, web-based environment, using an Oracle database.

7. Kings believes this option is not a viable solution due to the additional infrastructure, staffing and on-going costs it would entail for a small court like Kings in addition to the effort to implement a largely unknown and unproven system. The court has not priced out additional computer room or office space for this option, but it would be significant, as they do not have any extra space.

8. The Stanislaus system is not integrated with DMV or the Cashiering module.

9. A number of these costs would be on-going and would increase the Court's operational costs significantly.

10. Kings would take advantage of the Judicial Branch's statewide Oracle license.

11. Any interim solution will be needed for at least five years.

12. The AOC recommended including cost estimates for a project manager (\$150,000 over two years), but the court has indicated that they will handle project management with existing staff.

Appendix D

Kings Court CMS Interim Options: ACS Contexte

ACS Contexte deployment	1st Year	Not 1st yr Onetime	Annually
ACS Contexte deployment for Traffic & Criminal	\$175,000		\$175,000
Three additional courtroom clerks	\$87,867		\$175,734
Project Manager	\$75,000		
Conversion support from County IT (\$112.77/hr)	\$50,000		
Otech access charges (\$5 per user/month - 50 users)	\$3,000		\$3,000
Help Desk charges (\$24.11 per authorized user per month - 5)	\$1,447		\$1,447
Infrastructure upgrades - server memory	\$8,700		
Desktop refresh	\$25,000		
Subtotals	\$426,014	\$0	\$355,181
Adjust to remove PM costs	(\$75,000)		
Adjusted Subtotals	\$351,014	\$0	\$355,181
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$1,771,738		

Issues and Assumptions

1. The Court has confirmed that the Court's infrastructure and server hardware is sufficient to support an ACS implementation in Criminal and Traffic. The court will need to upgrade server memory and desktops.
2. The Court can take advantage of the DMV interface that was developed for the Solano court.
3. The current T1 line should be adequate for the addition of the DMV interface via CCTC.
4. Any interim solution will be needed for at least five years.
5. The ACS Contexte contract expires in 2014 and will need to be renegotiated which may have cost implications that are unknown at this time.
6. The existing mainframe interfaces may have to be rewritten to work with ACS Contexte.
7. The Court would need three additional court clerks to support paper-based in-court processing for criminal and traffic. Minutes are done via forms for Civil now, and the court believes they would need the same process for criminal arraignments. However, no workload analysis has been performed; this is based on the court's estimates.
8. The AOC recommended including cost estimates for a project manager (\$75,000), but the court has indicated that they will handle with existing staff.

Appendix E

Kings Court CMS Interim Options: ACS AgileCourt

ACS AgileCourt deployment	1st Year	Not 1st yr One-time	Annually
ACS Agile deployment for Traffic & Criminal (end of yr 1-5)	\$175,000		\$175,000
ACS upgrade to Agile/licensing for Civil (included)	\$0		
Annual maintenance for ACS Agile CMS (\$60,000 after yr 6)	\$0		
Additional servers (3) & software (OS, backup)	\$25,000		
Oracle 11g Enterprise Edition	\$0		
Project Manager	\$100,000	\$50,000	
Three additional courtroom clerks	\$87,867		\$175,734
Conversion support from County IT (\$112.77/hr)	\$50,000		
Conversion from Contexte to Agile for Civil (in 2014)	\$0	\$59,500	
Otech access charges (\$5 per user/month - 50 users)	\$3,000		\$3,000
Help Desk charges (\$24.11 per authorized user per month - 5)	\$1,447		\$1,447
Infrastructure upgrades - server memory	\$8,700		
Desktop refresh	\$25,000		
Legal Review Costs	\$15,000		
Subtotals	\$491,014	\$109,500	\$355,181
Adjusted to remove PM costs	(\$100,000)	(\$50,000)	
Adjusted Subtotals	\$391,014	\$59,500	\$355,181
Total 5 yr costs (1st, one-time + 4 yrs annual costs)	\$1,871,238		

Issues and Assumptions

1. Court will need to acquire three additional servers and related software to support an ACS Agile implementation in Criminal and Traffic. Would upgrade Civil to new ACS Agile system when current contract expires in July 2014. The court believes they can house these additional servers.
2. The current T1 line should be adequate to handle the addition of the DMV interface via the CCTC, once the vendor writes a DMV interface for their Agile version.
3. The Court can take advantage of the state's Oracle licensing.
4. Any interim solution will be needed for at least five years.
5. ACS quoted the Civil conversion to AgileCourt separately, and there may be additional costs identified. The fee quoted covers the data conversion and 4 onsite visits.
6. The cost of the DBA support they receive from ACS may increase with the addition of Agile to their existing Contexte environment. This cost is unknown and not included in the above

estimate.

7. ACS can perform legislative updates for an additional fee. This cost is unknown and not included in the above estimate.

8. The court may incur additional costs associated with rewriting the interfaces currently utilized via the mainframe system. This cost is unknown and not included in the above estimate.

9. After the initial five years at \$175,000, the annual maintenance fee would be approx. \$60,000 a year.

10. The pricing proposal for the ACS Agile solution assumes a five-year payment plan. Anything short of this timeframe will result in higher upfront costs.

11. The court would need three additional courtroom clerks to support in-court processing with Agile. They believe they may be able to enter minutes directly into the system in court, but due to the additional number of screens, feel that it will require two clerks per court for arraignments. However, no workload analysis has been performed; this is based on the court's estimates.

12. The AOC recommended including cost estimates for a project manager (\$150,000 over two years), but the court has indicated that they will handle with existing staff.

Appendix F

Kings Court CMS Interim Options: Sustain eCourt

Sustain eCourt deployment	1st Year	Not 1st yr One-time	Annually
Sustain eCourt CMS/DMS deployment professional services	\$60,000	\$160,000	\$0
Annual licensing for Sustain e Court CMS	\$32,000	\$87,000	\$136,000
Annual licensing for DMS (Onboard)	\$45,000		\$45,000
DMS professional services (Onboard)	\$15,000	\$5,000	
DMV Gateway license (C2000)	\$21,875		\$10,680
Otech access charges (\$5 per user per month - 50 users)	\$3,000		\$3,000
Help Desk charges (\$24.11 per auth user per mo - 5)	\$1,447		\$1,447
Conversion support from County IT (\$112.77/hr)	\$50,000		
Project Manager	\$100,000	\$50,000	
Oracle 11g Enterprise	\$0		
Additional Servers (8); software	\$136,952		
Desktop refresh	\$25,000		
Legal Review Costs	\$15,000		
6 months of 100% mainframe costs (1st half 2013)		\$300,000	
Subtotals	\$505,274	\$602,000	\$196,127
Adjust to remove PM costs	(\$100,000)	(\$50,000)	
Adjusted Subtotals	\$405,274	\$552,000	\$196,127
Total 5 yr costs (1st year + 4 yrs annual costs)	\$1,741,782		

Issues and Assumptions

1. The above pricing assumes a phased implementation.
2. Sustain has indicated they cannot begin implementation for Traffic until 2012 due to resource constraints.
3. It is not clear that this Sustain proposal addresses the court's existing interfaces. Sustain's proposal states that all interfaces are included; however it also states that the court will pay any county-related and vendor-related costs for interfaces. This cost is unknown and not included in the above estimate.
4. Any interim solution will be needed for at least five years.

5. The above assumes that the court utilizes the CCTC for the DMV interface. If they opt for a direct DMV connection, there will be additional costs including HIS Server, software and network hardware.
6. The cost of Oracle DBA support is not included in Sustain's pricing, therefore the Court will have increased costs associated with this support. This cost is unknown and not included in the above estimate.
7. Per Sustain, they will train the court to make legislative updates in-house.
8. The court believes they can house these servers as they would likely be blade servers and/or virtualized.
9. 100% of mainframe costs from county includes 50% of a Cobol programmer's time.
10. Sustain support costs are billed at \$200 an hour and are not included in the above estimates.
11. The AOC recommended including cost estimates for a project manager (\$150,000 over two years), but the court has indicated that they will handle with existing staff.



Office of the Court Executive
 Superior Court of the State of California
 County of Kings

TODD H. BARTON
 Clerk of Court
 and
 Jury Commissioner

JEFF LEWIS
 Chief Deputy Court
 Executive Officer and
 Assistant Jury Commissioner

September 18, 2012

Chief Justice Tani G. Cantil-Sakauye
 Chief Justice of California
 Chair of the Judicial Council
 350 McAllister St.
 San Francisco, CA. 94102

Subject: Deficiency Emergency Funding Request for Kings County Superior Court

Dear Chief Justice,

The Superior Court of California, Kings County, has a long-standing practice of prudent financial administration. Located in the southern San Joaquin Valley, bordered by the counties of Fresno to the north, Tulare to the east, Monterey and San Luis Obispo to the west, and Kern to the south, Kings County consistently ranks as one of the least affluent in the state with 22% of the population living below the poverty line [US 2010 census] and a July 2012 unemployment rate of 14.5%. Accordingly, Kings County Superior Court fiscal spending has been steadfastly conservative, respectful of how the public's funds are expended.

Also influencing this Court's fiscal management practices have been the unpredictability of funding allocations. Prior to passage of the Trial Court Funding Act of 1997 [*Lockyer-Isenberg*], courts were sourced from both the State and their particular counties. This bifurcated funding frequently resulted in significant variances in resource allocations from year to year depending on the respective financial health [and fiscal priorities] of the State and each county. In the case of this Court, it routinely meant being under-resourced. Subsequent to 1997's passage of *the Lockyer-Isenberg* bill--whose laudable goal was to equalize funding among the 58 county trial courts by placing into the hands of the California Judicial Council (CJC) the power to allocate funding to the trial court--Kings remained an "under-funded" court. It was not until the CJC directed the Administrative Office of the Courts (AOC) in FY2003-04 to identify a means to provide equity funding adjustments for historically under-resourced courts that the Resource Allocation Study [RAS] methodology was developed and later approved by the CJC in 2004-05.

Kings has been identified as an underfunded court since the RAS model was first used in FY 05-06 and received allocations of Workload Growth and Equity funding in FY 05-06 and FY 07-08. Those allocations were from a small portion of SAL funding that was set aside to help equalize funding across courts. After FY 07-08, no additional equity funding has been designated nor distributed due to California's growing debt crisis, although Kings' calculated under-resourced percentage has continued to worsen as demonstrated in the chart below:

Kings Superior Court	Case processing positions needed according to RAS model**	% funding need	Increase to base funding received	% underfunded after additional funding added
FY 05-06	95	-15.2%	\$ 90,673	-13.7%
FY 06-07	96	-7.1%	\$ -	n/a
FY 07-08*	97	-11.4%	\$ 97,874	-10.0%
FY 08-09*	100	-19.8%	*	-19.8%
FY 09-10*	98	-20.1%	*	-20.1%
FY 10-11*	100	-24.0%	*	-24.0%
FY 11-12*	103	-27.2%	*	-27.2%

*no Workload Growth and Equity Funding available

** RAS model positions include case processing staff (such as clerks, court reporters, and judicial assistants) that are funded from Program 10. Also includes Program 90 operations staff. Court interpreters, bailiffs and other security positions, and CEO are not included here. Calculations are done at start of fiscal year shown.

Far more significant than the cessation of Workload Growth and Equity Funding have been the cuts sustained by this Court to our Trial Court Trust Fund [TCTF] allocations (exclusive of *Jury* [Program 10], *Court Appointed Counsel* [Program 10], *Interpreters* [Program 45], *Judges* [Program 25]), precipitated by the State's continued inability to resolve its ongoing fiscal crisis. Specifically, since FY 07-08, Kings Superior Court has endured a 37% decline in TCTF revenue, including an unmanageable 30% drop over the past two FY's and an 18% cut between 2011-12 and 2012-13 [see chart below].

KINGS SUPERIOR COURT Seven-Year Revenue vs. Expenses History

	KINGS	FY07-08	FY08-09	FY09-10	FY10-11	FY11-12	FY12-13	FY13-14 [Projected]
TCTF		\$ 7.97	\$ 7.58	\$ 7.18	\$ 7.20	\$ 6.15	\$ 5.00	\$ 5.35
Non TCTF		\$ 1.99	\$ 2.42	\$ 2.01	\$ 2.15	\$ 2.39	\$ 2.64	\$ 2.60
Total Funding		\$ 9.96	\$ 10.00	\$ 9.19	\$ 9.35	\$ 8.54	\$ 7.64	\$ 7.95
Expenses		\$ (10.61)	\$ (10.36)	\$ (10.28)	\$ (10.50)	\$ (9.17)	\$ (9.36)	\$ (9.21)
End Balance Fwd/(Deficit)		\$ (0.65)	\$ (0.36)	\$ (1.09)	\$ (1.15)	\$ (0.63)	\$ (1.72)	\$ (1.26)

Over this same seven-year period - and despite Kings Superior Court's legacy of prudent fiscal planning, effective cost-cutting measures and revenue-generating strategies, this Court has had no recourse but to expend its beginning FY fund balances ["reserves"] to offset the structural deficits on an annual basis. The spreadsheet below demonstrates the thorough depletion of our fund balance, projected for the end of FY2013-14. More tellingly, this table depicts a burn-through of more than \$2,000,000 in just four Fiscal Years due to the evermore severe and unprecedented cuts to the Judicial branch [and Trial Courts, explicitly], as enacted by the Legislature and signed by the Governor.

Beginning FY Fund Balances and Usage during each FY							
	FY07-08	FY08-09	FY09-10	FY10-11	FY11-12	FY12-13	FY13-14
Beginning	\$ 3,382,290	\$ 2,990,329	\$ 2,444,159	\$ 1,787,231	\$ 1,532,221	\$ 1,247,252	\$ 93,550
Expended	\$ 391,961	\$ 546,170	\$ 656,928	\$ 255,010	\$ 284,969	\$ 1,153,702	\$ 93,550

As Kings Superior Court continues to encounter critical financial issues - - and expects to do so for the foreseeable future, this Court is urgently requesting funding assistance to procure a new case management system (CMS).

As you may recall – and, as a result of our prior correspondence and communication with AOC leadership, the AOC conducted high-level reviews of the stability of Kings mainframe-based CMS in September and November of 2011 (see attached reports). Though such assessments determined that this Court was in need of a new CMS, supplemental funding was neither identified nor provided to Kings to offset (or reduce) projected acquisition and deployment costs of such a replacement CMS.

Then, in December of 2011, Kings Superior Court received written notice from the County that it intended to terminate all mainframe operations in 2014 and, in follow-on discussions, indicated the Court had three (3) alternatives:

- (1) Migrate its dated, COBOL-language, CMS from the County's resident hardware to a Court-sited mainframe, or
- (2) Assume the full cost (projected to be in excess of \$500,000 annually) and responsibility for maintenance, operation and programming of the County's mainframe, located in the County IT building, or
- (3) Procure and roll-out a new server-based or web browser-based CMS by early 2014.

It should be noted that during the CJC meeting of March 27, 2012, to address a number of California Case Management System [CCMS] issues, Jody Patel (Interim Administrative Director of the Courts) pronounced that the Superior Courts in San Luis Obispo (SLO) and Kings County were each in need of a new CMS. Subsequently, at the CJC's June 22, 2012 business meeting, SLO was approved to receive an FY 2012 – 2012 TCTF Program 45.10 allocation of up to \$3.36 million dollars (in one-time funding) to address the costs of replacing its failing CMS - and shortly thereafter received valuable AOC assistance in developing its CMS Request for Proposal (RFP). To date, Kings has received no such supplemental funding to address its critical operational need.

Needing to move forward due to the aforementioned compressed timetable, Kings Superior Court issued (with AOC participation), its own RFP for a successor CMS in July of this year. The estimated cost for this system is approximately \$2,152,000. Kings received responses from three (3) vendors, is currently scheduling candidate CMS demonstrations for Court decision-makers in late September, to be followed shortly thereafter by public opening of the cost portion of the vendor proposals in early October 2012. It is Kings' intent to then enter into a multi-year contract for CMS acquisition (no later than December 2012), initial deployment commencing by March 2013, with a target "go-live" date of January 2014.

Although Kings Superior Court clearly requires a long-term solution for its critical case management system needs, due to the "perfect storm" of outdated CMS technology, lack of programming support resources and an announced termination of county-hosting services and ongoing TCTF allocation reductions, Kings is incapable of even partially funding such a sizeable monetary commitment, given its dire cash flow projections through the end of FY 2013-14.

As more fully documented in the accompanying *Application for Supplemental Funding Form*, to merely mitigate the chances of the Court ending in a deficit situation as of June 30, 2013, Kings has already laid off three (3) employees, imposed 27 unpaid furloughs on all SJO, management and staff personnel, directed the Court Executive Officer and Assistant Court Executive Officer to participate in a "job share" program for forty (40) days each, reduced Court business hours at all Court locations, and permanently closed the Lemoore Courthouse, effective September 11, 2012. Based on dismal fiscal projections for FY2013-14, the Court is prepared to terminate the employment of as many as ten (10) employees in 2013, while maintaining the 27 furlough days' requirement for all employees, continuing the reduced counter hours at all Court locations, and increasing the number of CEO-ACEO job-sharing days. Undeniably, the consequences of such measures will result in significant business interruptions to case processing, calendaring and dispositions, negatively affecting our judiciary, the Appellate Court, local Bar and the general public – and will preclude Kings from having the fiscal resources to independently procure its urgently needed replacement CMS. If a satisfactory CMS solution is not found, the Court may be reduced to paper processing and records, resulting in a critical loss of timely, detailed, organized case and party information to all Kings County justice partners, including the Sheriff, jail staff, probation officers, and D. A. personnel - as well as our citizenry.

In sum, in light of the unavoidable funding shortfalls exacted on the Trial Courts by the actions of the Legislature and Governor, the unexpected decision by the County of Kings to no longer operationally support our mainframe-hosted Case Management System [CMS] with a COBOL programmer [as of July 1, 2012] – as well as the County's notice to the Court that, as early as spring of 2014, the Court would incur the full cost of operating and maintaining the mainframe when the last County entity transitions to a server-based solution - *and* the projection that the Kings Superior Court will, in fact, be in a deficit situation at this fiscal year's end, your consideration and the Judicial Council's approval to grant this emergency funding request is deeply appreciated.

Thank you,



James LaPorte
Presiding Judge

cc: Honorable Stephen Jahr, Incoming Administrative Director of the Courts
Jody Patel, Interim Administrative Director of the Courts
Curt Soderlund, Interim Chief Deputy Director
Zlatko Theodorovic, Director and Chief Financial Officer

APPLICATION FOR SUPPLEMENTAL FUNDING FORM

Please check the type of funding that is being requested:

- CASH ADVANCE** (Complete Section I only.)
- URGENT NEEDS** (Complete Sections I through IV.)
- ONE-TIME DISTRIBUTION**
- LOAN**



SECTION I: GENERAL INFORMATION

SUPERIOR COURT: San Joaquin	PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer): David P. Warner, Presiding Judge	
	CONTACT PERSON AND CONTACT INFO: Rosa Junqueiro, Court Executive Officer Officer Phone: (209) 468-2539	
DATE OF SUBMISSION: 10/1/2012	DATE FUNDING IS NEEDED BY: 10/26/2012	REQUESTED AMOUNT: \$2,212,424

REASON FOR REQUEST

(Please briefly summarize the reason for this funding request, including the factors that contributed to the need for funding. If your court is applying for a cash advance, please submit a cash flow statement when submitting this application. Please use attachments if additional space is needed.)

The reason and need for this funding request is the historical underfunding, disproportionate allocation of budget cuts and budget distributions of trial court funding to this court.

Historical Underfunding

The Lockyer-Isenberg Trial Court Funding Act of 1997 was enacted to correct funding disparities throughout the state and enable the trial courts to provide an appropriate and equal level of justice. It would further provide uniform standards and procedures, economies of scale, structural efficiency and simplification.

This new funding mechanism capped the counties contribution to the state and set the baseline allocation to all courts using the FY1994-95 funding level. That reference point has had lasting implications for our court. The trial court budget for that year was used to compare all of the trial courts to each other. A pro rata percentage number was given to each court as their number related to the whole. As a result, the San Joaquin Superior Court's pro rata allocation was set at 1.28% of the statewide trial court budget.

Prior to FY1997-98, court funding came from the county. Unfortunately, San Joaquin County has been a financially disadvantaged county as compared to many others and, consequently, our court was not adequately funded. Compounding that problem, the FY1994-95 budget was at a lower level than usual. It is from that position that our court was compared with all others in the state. The stage was set for the San Joaquin Superior Court to be an underfunded court. Each time funds, including increases in state funding, were divided on the standard pro rata basis, our court came out on the short end.

Disproportionate Allocation of Budget Cuts and Distributions

With state funding, the Judicial Council sought to establish minimum trial court standards to assure that all trial courts were funded at that level before other courts were funded above the minimum level. The needs were to be met in such a fashion as to guarantee access to justice to all the state's citizens. After several years of gathering and analyzing statistical data, the Judicial Council adopted the Resource Allocation Study, referred to as the RAS model. Using a workload analysis, it established the staff level needed to operate a particular court. It was now necessary to provide courts that were under-resourced (underfunded) sufficient additional funds to bring them up to the minimum level needed to operate.

Beginning in FY2005-06, the state provided the branch with additional funding (above its regular baseline budget) through the State Appropriations Limit (SAL). This funding was used by the Judicial Council for several purposes. A portion, about 10%, went to Workload Growth and Equity. That amount, almost \$14 million, was allocated to 28 under-resourced courts. Our court received approximately \$1.5 million.

A key component of this funding was the fact that the allocated amount was added to that trial court's baseline budget thereafter. The following year, the court would have a higher baseline budget and, over time, would be brought up to the minimum funding level established by the RAS model. **These funds were intended to be on-going.**

In FY2006-07, one county court system successfully lobbied the Legislature to reduce the amount of SAL that would be allocated to Workload Growth and Equity. In response, the Legislature directed the Judicial Council to allocate half on a pro rata basis to the trial courts and the remaining half allocated to under-resourced courts. That left only \$5 million to be divided between 18 under-resourced courts. San Joaquin received approximately \$1.3 million. Not only did that move cost our court approximately \$1 million that year, it was consequently not added to our baseline budget, thus impacting us **every year since.**

The final year of SAL funding was FY2007-08. Our court received approximately \$1.6 million which was again added to our baseline budget and was intended to be **on-going funding.**

At that point, the San Joaquin Superior Court was 16% under-resourced according to the RAS model. That level, 16% under-resourced, has been our *high* point for funding through the Judicial Council.

By FY2008-09, the state budget was in a decline and the resulting fallout was making its way to the branch. SAL funding was no longer available and since then there has been no other funding of Workload Growth and Equity. By that time, our court was 22% underfunded and on a downward spiral.

While the three years of budget augmentation with SAL funding was certainly helpful, it has all been taken away due to the imposed pro rata cuts allocated. The structural budget and funding problem has not been fixed. Since FY2009-10, the Judicial Council has allocated and distributed funding to the trial courts based on the standard/historical pro rata share. Budget cuts were also made based on each court's pro rata share. Today our court is 1.57% of the total trial court budget and is 37% under-resourced.

In the final analysis, our primary problem lies with the failure of the Legislature and Judicial Council to meet the intent of the funding legislation of 1997 to determine and then provide for a minimum level of funding needed by each trial court to provide equal access to justice in this state. In this last fiscal year, the San Joaquin Superior Court was the most under-resourced in the state. Fifteen years of funding by the state has not changed our relative position of being one of the worst funded trial courts in California. In the meantime, the citizens of San Joaquin County do not receive the same access to justice as others in the state.

The solution to the funding problem for the San Joaquin Superior Court is a fair and equitable funding model tied to the caseload handled by each trial court. Until this occurs, our court will continue to struggle and be unable to provide appropriate access to justice to its citizens. While all trial courts today say that they have been hit by economic hard times, we have not all been hit the same. The effects of being continually and severely underfunded have taken their toll.

In spite of this court's historical underfunding, and up until October 1, 2011, we managed to maintain access to justice for the citizens of San Joaquin County. On October 1, 2011, we closed a branch court in Tracy and one of two courtrooms in Lodi and laid off 42 employees. On August 1, 2012, another 13 employees were laid off. On September 1, 2012, we stopped setting small claims cases for hearing. Those cases are filed and put in a box until such time as the court has sufficient staff to process the filings and other associated small claims documents. As of September 28, 2012, 63 cases have been filed with no future hearing dates scheduled.

The pro rata budget cuts imposed on this court are unsustainable. Although we have taken many actions to mitigate our budget shortfall, implementing additional cuts to meet our deficit will cripple the operations of this court and further diminish access to justice in this county.

The amount requested will eliminate the deficit we face this current fiscal year with no emergency and operating reserve fund balance to cover any unbudgeted financial emergencies. It will allow the court to resume processing small claims cases and restore justice to those citizens in San Joaquin county who have been denied their due process.

Section II through Section IV of this form is required to be completed if your court is applying for supplemental funding for urgent needs (unavoidable funding shortfall, unforeseen emergency or unanticipated expenses for existing programs). Please submit attachments to respond to Sections II through Section IV.

SECTION II: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

A. What would be the consequence to the public and access to justice if your court did not receive the requested funding?

If this request is not fully funded, we will no longer be able to process civil, either limited or unlimited, some family law and probate and some traffic cases. Twenty-seven additional employees (11%) will be laid off. Our staffing level today is not sufficient to process all case types this court is required to hear.

Before October 1, 2011, we had a total of 21 staff in our civil division. After the October 1, 2011 layoffs, we were down to 15 staff. Today, we have a total of 9 staff assigned to our civil division. In less than 1 year, we have had to reduce our civil division 42%. If the court had to impose additional layoffs, you can see that our civil division will be wiped out (as there are only 9 staff today, which includes 2 staff assigned to unlawful detainer cases). Further cuts to this court will mean additional layoffs which will impact all other case types.

Since the layoffs on August 1, 2012, our backlog in civil has grown significantly. On August 12, 2012, our backlog in processing civil clerk and court judgments was 622 cases. On September 12, 2012, our backlog grew by more than 360 cases to a total of 984 judgments needing to be processed with the oldest cases dating back six months. It is projected that without the needed staff, our backlog will grow by at least 350 cases each month.

In San Joaquin County today, access to justice has already been diminished. With the court closures in Lodi and Tracy, we have reduced access to justice for the citizens of those communities we serve for the case types of traffic, small claims and civil. Today, all citizens needing to use the court for those case types have to travel to as much as 40 miles to our Stockton court branch location.

Furthermore, we are no longer processing small claims cases filed on or after September 1, 2012. As of September 28, 2012, there were a total of 63 new small claims cases filed, placed in a box, no hearings scheduled and the cases will remain there until such time that the court has sufficient staff to process these cases.

Simply stated, there will be no access to justice for most citizens; and a compromised court system available to the remaining citizens of San Joaquin County.

B. What would be the consequence to your court's operations if your court did not receive the requested funding?

Given the number of filings, the caseload and the reduction of staff, the court will not be able to process all case types in a timely manner and some case types will not be processed at all. Family law, civil, small claims, probate, guardianship, conservatorship, mental health and traffic cases will all suffer. Severe back logs of these case types will occur. There will not be enough staff to process all case types and there will be no justice system for many citizens in San Joaquin County.

The budget situation in San Joaquin is dire. This court has done everything possible to maintain operations. Unfortunately, there comes a breaking point where the business of the court can no longer function. For this court, that time is now.

C. What measures will your court take to mitigate the consequences to access to justice and court operations if funding is not approved by the Judicial Council?

Because this court has historically been underfunded, there are no other means or alternatives the court has to mitigate the consequences of access to justice to the public if this request is not approved. Since 2004, this court has taken several measures, as identified in Section III, to mitigate its expenses and stay within budget. The court has and remains good stewards of public funds. However, there simply comes a time where there is a breaking point and the business of the court can no longer be conducted. For this court, that time is now. If funding is not approved, the court will have to lay off additional staff, which will have a direct impact to access to justice in all case types for the citizens of San Joaquin County.

Our court and our operations have been reviewed. In the last year, we have been before the Judicial Council on three separate occasions: the Audit Report; our Emergency Funding Request; and the Court Assessment and Review Team (CART). Despite our lack of resources, we have worked tirelessly to implement and complete both the audit report and CART recommendations. We have completed 80% of the financial issues identified in the audit report and 47% of the CART recommendations. However, it should be noted that when the court completely implements all remaining audit and CART recommendations, the anticipated savings and revenue generated will still not be sufficient to cover the estimated budget shortfall for this fiscal year or next.

D. Please provide five years of filing and termination numbers.

Case Type		Fiscal Year				
		2007-08	2008-09	2009-10	2010-11	2011-12
Felony	Filings	7,805	7,608	6,630	6,028	6,185
	Dispositions	7,115	6,833	5,586	5,346	4,814
Misdemeanors	Filings	35,321	37,820	31,983	26,757	24,650
	Dispositions	32,769	37,578	35,947	31,055	21,237
Infractions	Filings	113,158	122,574	116,786	85,285	63,131
	Dispositions	97,460	107,350	103,721	86,483	62,533
Civil Unlimited	Filings	3,196	3,553	3,425	3,153	2,912
	Dispositions	2,601	2,413	2,742	2,973	2,621
Civil Limited	Filings	13,593	17,017	14,593	13,005	10,337
	Dispositions	11,794	12,478	14,696	15,964	10,943
Small Claims	Filings	3,772	3,645	3,567	3,213	2,846
	Dispositions	5,223	2,905	3,162	2,972	2,233
Appeals	Filings	93	88	85	64	69
	Dispositions	106	88	87	71	61
Juvenile Delinquency	Filings	2,415	1,790	1,372	968	917
	Dispositions	2,023	1,793	1,443	929	850
Juvenile Dependency	Filings	491	581	499	510	524
	Dispositions	513	537	431	469	356
Family Law	Filings	9,209	10,700	9,738	8,872	8,137
	Dispositions	8,647	9,144	10,175	8,152	7,486
Probate	Filings	811	769	728	767	789
	Dispositions	684	556	709	592	644
Mental Health	Filings	1,059	1,095	804	775	958
	Dispositions	926	738	962	690	639

APPLICATION FOR SUPPLEMENTAL FUNDING FORM (Continued)

SECTION III: REVENUE ENHANCEMENT AND COST CONTROL MEASURES

A. If supplemental funding was received in prior year, please identify amount received and explain why additional funding is again needed in the current fiscal year.

Our court received \$1.084 million in supplemental funding and \$916,000 as a loan in FY11-12 for a total of \$2 million. Those funds enabled the court to continue processing all case types. We continued to streamline where possible, implementing several CART recommendations, addressing audit issues and were able to end FY11-12 with a fund balance of \$1.3 million and the \$916,000 loan remains in our budget as a liability. For FY12-13, we are projecting a \$2.2 million negative fund balance.

The pro rata budget cuts totaling nearly \$3.4 million imposed on our court's budget this fiscal year are not sustainable.

B. If the request for supplemental funding is not for a one-time concern, the court must include an expenditure/revenue enhancement plan that identifies how the court will resolve its ongoing funding issue.

The court has already reduced expenditures beyond what is reasonable and necessary to process all case types. We have reduced expenses in all line items where the court had control to do so.

In terms of revenue generating, the court has already implemented several new fees this fiscal year and will also implement a civil assessment program for failure to pay on infractions and some criminal cases. However, because our court faces a large deficit this year, to project a revenue estimate of these new fees and to try to balance our budget on these fees, should they not be realized, would be a mistake. Should the revenues come in under what was projected and budgeted, this would cause the court to be in a deficit once again. We are better to be conservative in our approach to these new fees especially when our court has already seen a steady decline in the civil assessment revenue we receive for the program we have had in place since 1995. San Joaquin's civil assessment revenue decreased by \$549,797 from \$817,309 in FY2009-10 to \$267,512 in FY2011-12.

C. What has your court done in the past three fiscal years in terms of revenue enhancement and/or expenditure reductions, including layoffs, furloughs, reduced hours, and court closures?

We have already reduced expenses in every single line item in our operations budget, where the court had control to do so. The following are other actions taken by the court:

1. In FY2004-2005, we replaced sheriff's staff at our weapons screening stations with private security;
2. In FY2004-2005, we replaced sheriff deputies in 3 of our 4 civil courtrooms with private security or court attendants;
3. A commissioner position has been kept vacant since January 2009;
4. The court does not pay for minor's counsel in family law cases;
5. We implemented a hiring freeze in FY2008-2009;
6. Since March of 2009, we closed a courtroom at our Tracy branch court 4 days a week and a courtroom in Stockton 1 day each week;
7. Effective August 3, 2009, we reduced the clerks public counter hours, closing to the public at 3:00 p.m.;
8. In FY2009-2010, our employees took 12 mandatory furlough days and deferred a 3% COLA that had been negotiated 2 years prior;
9. In FY2009-2010, eliminated the Alternative Dispute Resolution Program;
10. Since FY2009-2010, all judicial and court staff training was reduced to only those training events that are mandatory;

11. Since FY2009-2010, with the cooperation of the local bar, we reduced the mandatory two psychiatric evaluations to one in the majority of criminal cases;
12. Since FY2009-2010, we redirected the use of asset replacement funds;
13. In FY2010-2011, our employees took 8 mandatory furlough days;
14. In FY2011-2012, our employees took 4 mandatory furlough days;
15. On October 1, 2011, we closed our 2 courtroom, full service courthouse in Tracy;
16. On October 1, 2011, we closed 1 of 2 full service courtrooms at our courthouse in Lodi;
17. On October 1, 2011, we laid off 42 employees;
18. Effective July 1, 2012, unrepresented employees began taking 12 furlough days for FY2012-2013;
19. On August 1, 2012, we laid off 13 employees;
20. As of September 30, 2012, we have a 33% vacancy rate compared to our staffing level of FY2009-2010; our hiring freeze implemented in FY2008-2009 had to change to a "soft hiring freeze." Only 2 critically needed and funded staff have been hired since FY2008-2009;
21. On September 1, 2012, we stopped setting new small claims filings for hearing;
22. On October 1, 2012, we stopped providing court reporters in all 5 of our civil courtrooms;
23. We have scrutinized every single line item in the court's budget and have renegotiated contracts, eliminated coffee, tea and water for jurors, eliminated water for courtrooms, reduced office supplies, no longer purchase post-it notes, reduced the number of parking spaces paid for by the court, reduced the number of court provided cell phones from 8 to 4, reduced the number of vehicles the court leases for official court use to 3, reduced the use of court reporters for cases unless required by statute and we continue to use typewriters for processing our juvenile delinquency cases as we have never had the funds to support the implementation of a computerized case management system.
24. To date, we have implemented 47% of the CART recommendations and expect to complete/implement another 28% within the next 6 months. The remaining recommendations which represent 25% will take 1 year or longer to implement.
25. The court has implemented FiServe. This process enables the public to pay traffic citations at retail establishments located throughout our county. This provides a payment alternative to the public especially in those communities where we have closed courthouses.

D. Please describe the employee compensation changes (e.g. cost of living adjustments and benefit employee contributions) and staffing levels for past five fiscal years for the court.

FY07-08: This was our court's 3rd year of SAL Inflation and Workforce funding and because our court has always been one of the most underfunded courts in the state it was also our 3rd year of Workload and Equity funding determined by the RAS model. Because of our historical lack of funding, FY07-08 was the first year that we believed we could address the inequities of our staff's salaries that had been falling behind those of their colleagues for years. It had been 7 years since any equities had been given to court staff and many professional level positions in Finance, Procurement, Human Resources and Information Technology had been added during this time due to increased responsibilities taken on by the Court from the County. In many cases the entry level total compensation for these positions was far below the mean of like positions in other courts of similar size. The Court negotiated a 3.4 year contract in spring of 2007 for the term covering July 1, 2007 through October 31, 2010. One of the terms of this 3 year contract was to conduct a compensation study to determine if equities were appropriate. The court surveyed total compensation packages of all court positions using the 10 courts in the counties specified in our employee/employer MOUs that were agreed upon for this purpose (rolled over from when the court staff were county employees). It is important to note that the 3% COLA given to all staff (except commissioners and interpreters) in FY07-08 was subtracted from the calculated equity increase to determine the net equity percentage given. It has been the practice of this county to only provide salary compensation to raise staff salaries to the median level of those classifications they are compared with.

The following are the equities provided effective January 1, 2008:

- 0% - No equity provided to 11 staff
- 3% equity provided to 43 staff
- 3.5% equity provided to 164.5 staff
- 5% equity provided to 1 staff
- 6% equity provided to 8 staff
- 7% equity provided to 24 staff
- 8% equity provided to 1 staff
- 9.5% equity provided to 1 staff
- 10% equity provided to 12 staff
- 10.5% equity provided to 1 staff
- 11.5% equity provided to 21 staff
- 14% equity provided to 2 staff
- 16.5% equity provided to 8 staff
- 20% equity provided to 2 staff
- 22% equity provided to 1 staff
- 23.5% equity provided to 1 staff

Overall, an average of 5.7% equity was provided to court staff.

FY08-09: 3% COLA (negotiated in Spring of 2007 as part of a 3-year contract)

FY09-10: Contract side letter negotiated to defer 3% COLA one year due to allocated budget reductions. Court staff furloughed 1 day per month for 12 months. (COLA was due as part of 3-year contract negotiated in Spring of 2007)

FY10-11: FY09-10 side letter sunsets restoring 3% COLA that was deferred in FY09-10 and ending furloughs. Court issued 12.75 layoff notices effective 8/13/10. To avoid layoffs, further negotiations resulted in SEIU voting to furlough 1 day per month until the end of the contract beginning January 1, 2010 resulting in 6 furlough days in FY10-11.

FY11-12: No COLA, 4 furlough days, 42 positions laid off due to insurmountable allocated budget reductions.

SECTION IV: FINANCIAL INFORMATION

Please provide the following:

- A. Current detailed budget projections/estimates for the current fiscal year, budget year and budget year plus one (e.g., if current fiscal year is FY 2012-2013, then budget year would be FY 2013-2014 and budget year plus one would be FY 2014-2015).**

See Attachment A.

- B. Current status of your court's fund balance.**

The court is projecting a negative fund balance in the current fiscal year of approximately \$2.2 million. Of the \$2.2 million, approximately \$193,803 is restricted funds that are not available for use for regular court operations. These funds represent programs such as Alternative Dispute Resolution and Small Claims Advisory Programs which are statutorily required programs. Restricting these funds makes the deficit in operations that much greater.

If our supplemental request is not approved the court will have to lay off approximately 27 more staff, which represents 11%, bringing our total reduction in staff to 44% since FY2009-2010. If the request is approved, then the fund balance will be approximately \$193,803, however, as mentioned above, these are restricted funds.

- C. Three-year history of your court's year-end fund balances, revenues, and expenditures.**

See Attachment B.

- D. If the trial courts' application is for one-time supplemental funding, please explain why a loan would not be appropriate.**

Our court is simply not in a position to repay any loan amount. Since Trial Court Funding, our court has never really been able to accumulate "extra" funding to set aside in a reserve. We have always just been able to manage. As you can see by the detailed budget projections/estimates provided in attachment A, this court is in a severe financial crisis. Future cuts will leave this court with virtually no staff to process all case types. This court will become a criminal court only. Access to justice in San Joaquin County will not exist as it should for all citizens.

- E. The most recent audit findings of fiscal issues and the remediation measures taken to address them.**

See Attachment C.

San Joaquin Superior Court
3 Year Budget Projection
As of October 1, 2012

Attachment A

	As of Oct 1, 2012 FY12-13 Projections	FY13-14 Projection	FY14-15 Projections
REVENUES:			
812110 TCTF-PROGRAM 45.10-OPERATIONS	(23,499,775)	(22,126,248)	(22,126,248)
812140 TCTF-PROGRAM 45.10-SMALL CLAIMS - SERVICE BY MAIL	(6,350)	(6,350)	(6,350)
812141 TCTF-PROGRAM 45.10-ADMINISTRATIVE CHARGE RETURNED	(2,000)	(2,000)	(2,000)
812142 TCTF-PROGRAM 45.10-ADMINISTRATIVE CHARGE FOR	(225)	(225)	(225)
812144 TCTF-PROGRAM 45.10-CLERK TRANSCRIPTS ON APPEAL	(43,000)	(43,000)	(43,000)
802125 TCTF-PROGRAM 45.10-EXTRA COURT REPORTER	(3,750)	(3,750)	(3,750)
812146 TCTF-PROGRAM 45.10-COPY PREPARATION	(84,300)	(84,300)	(84,300)
812148 TCTF-PROGRAM 45.10-MANUAL SERCH OF RECORDS OR	(5,925)	(5,925)	(5,925)
812149 TCTF-PROGRAM 45.10-REIMBURSEMENT OF OTHER COSTS	(54,975)	(54,975)	(54,975)
812151 TCTF-PROGRAM 45.10- CUSTODY/VISITATION - MEDIATION	(11,825)	(11,825)	(11,825)
812153 TCTF-PROGRAM 45.10- GUARDIANSHIP INVESTIGATIONS	(2,250)	(2,250)	(2,250)
812154 TCTF-PROGRAM 45.10-INFORMATION PACKAGE FOR	(300)	(300)	(300)
812155 TCTF-PROGRAM 45.10-CONSERVATORSHIP INVESTIGATION	(73,975)	(73,975)	(73,975)
812158 TCTF-PROGRAM 10- CUSTODY/VISITATION - FAMILY	(7,900)	(7,900)	(7,900)
812159 TCTF-10-CIVIL ASSESSMENT	(267,525)	(267,525)	(267,525)
812160 TCTF-10-MICROGRAPHICS	(54,075)	(54,075)	(54,075)
812165 TCTF-PROG 45.10-STEP PARENT ADOPTION INVESTIGATION	(12,600)	(12,600)	(12,600)
816111 GENERAL FUND REVENUE	(1,161,327)	(1,161,327)	(1,161,327)
TCTF - PGM 10 OPERATIONS	(25,292,077)	(23,918,550)	(23,918,550)
821123 LOCAL FEE 3	(108,875)	(108,875)	(108,875)
821127 LOCAL FEE 7	(4,175)	(4,175)	(4,175)
821130 LOCAL FEE 10	(1,325)	(1,325)	(1,325)
821131 LOCAL FEE 11	(1,400)	(1,400)	(1,400)
821132 LOCAL FEE 12	(350)	(350)	(350)
821190 VC11205m TRAFFIC SCHOOL	(31,600)	(31,600)	(31,600)
821191 VC40508.6 DMV HISTORY/PRIORS	(68,250)	(68,250)	(68,250)
LOCAL FEES REVENUE	(215,975)	(215,975)	(215,975)
821201 ENHANCED COLLECTIONS (CIVIL ASSESSMENT)	(25,000)	(25,000)	(25,000)
821202 ENHANCED COLLECTIONS (OTHER)	(121,941)	(121,941)	(121,941)
ENHANCED COLLECTIONS - REVENUE	(146,941)	(146,941)	(146,941)
822102 NON-FEE REV 2	(1,225)	(1,225)	(1,225)
LOCAL NON-FEES REVENUE	(1,225)	(1,225)	(1,225)
823002 ESCHEATMENT REVENUE	(91,945)	(25,000)	(25,000)
OTHER - REVENUE	(91,945)	(25,000)	(25,000)
825010 INTEREST INCOME	(15,450)	(15,450)	(15,450)
INTEREST INCOME	(15,450)	(15,450)	(15,450)
TRIAL COURT REVENUE SOURCES	(25,763,613)	(24,323,141)	(24,323,141)
831010 GF-AB2030/AB2695 SERVICE OF PROCESSING	(31,845)	(31,845)	(31,845)
831012 GF-PRISONER HEARING COST	(147,825)	(147,825)	(147,825)
GENERAL FUND - MOU/REIMBURSEMENTS	(179,670)	(179,670)	(179,670)
832010 TCTF MOU REIMBURSEMENTS	(219,555)	(219,555)	(219,555)
832011 TCTF-PGM 45.10-JURY	(265,000)	(265,000)	(265,000)
832012 TCTF-PGM 45.10-CAC	(50,000)	(50,000)	(50,000)
832013 TCTF-PGM 45.10-ELDER ABUSE	(10,500)	(10,500)	(10,500)
PROGRAM 45.10 - MOU/REIMBURSEMENTS	(545,055)	(545,055)	(545,055)
834010 PROGRAM 45.45-COURT INTERPRETER	(1,089,780)	(1,089,780)	(1,089,780)
PROGRAM 45.45 - REIMBURSEMENTS	(1,089,780)	(1,089,780)	(1,089,780)
837010 IMPROVEMENT FUND REIMBURSEMENT	(93,639)	(93,639)	(93,639)
IMPROVEMENT FUND - REIMBURSEMENTS	(93,639)	(93,639)	(93,639)
838010 AB1058 GRANTS	(998,910)	(998,910)	(998,910)
838020 OTHER AOC GRANTS	(27,516)	(27,516)	(27,516)
AOC GRANTS - REIMBURSEMENTS	(1,026,426)	(1,026,426)	(1,026,426)
839010 NON-AOC GRANTS	(918,834)	(918,834)	(918,834)
NON-AOC GRANTS - REIMBURSEMENTS	(918,834)	(918,834)	(918,834)
841010 SMALL CLAIMS ADVISORY	(30,500)	(30,500)	(30,500)
841011 DISPUTE RESOLUTION	(146,000)	(146,000)	(146,000)

San Joaquin Superior Court
 3 Year Budget Projection
 As of October 1, 2012

Attachment A

	As of Oct 1, 2012 FY12-13 Projections	FY13-14 Projection	FY14-15 Projections
841012 GRAND JURY	(105,000)	(105,000)	(105,000)
841015 OTHER COUNTY SERVICES	(390,089)	(390,089)	(390,089)
COUNTY PROGRAM - RESTRICTED FUNDS	(671,589)	(671,589)	(671,589)
861010 CIVIL JURY REIMBURSEMENT	(63,200)	(63,200)	(63,200)
REIMBURSEMENTS - OTHER	(63,200)	(63,200)	(63,200)
TRIAL COURT REIMBURSEMENTS	(4,588,193)	(4,588,193)	(4,588,193)
TOTAL REVENUE	(30,351,806)	(28,911,334)	(28,911,334)

San Joaquin Superior Court
3 Year Budget Projection
As of October 1, 2012

Attachment A

	As of Oct 1, 2012 FY12-13 Projections	FY13-14 Projection	FY14-15 Projections
EXPENDITURES:			
SALARIES - STAFF	16,183,108	16,183,108	16,183,108
SALARIES - JUDICIAL OFFICERS	446,564	446,564	446,564
TOTAL SALARIES	16,629,672	16,629,672	16,629,672
TAX	1,259,051	1,259,051	1,259,051
HEALTH INSURANCE	3,373,144	3,373,144	3,373,144
RETIREMENT	4,833,199	4,833,199	4,833,199
WORKERS' COMPENSATION	283,420	283,420	283,420
OTHER INSURANCE	113,025	113,025	113,025
OTHER BENEFITS	(1,206)	9,424	9,424
TOTAL BENEFITS	9,860,632	9,871,262	9,871,262
SALARY SAVINGS - BUDGET ONLY	(230,294)	-	-
TOTAL PERSONAL SERVICES	26,260,010	26,500,934	26,500,934
LABORATORY EXPENSE	10,502	10,502	10,502
FEES/PERMITS	241,864	241,864	241,864
DUES AND MEMBERSHIPS	6,125	6,125	6,125
OFFICE EXPENSE	87,550	87,550	87,550
ADVERTISING	1,225	1,225	1,225
MEETINGS, CONFERENCES, EXHIBITS	21,690	21,690	21,690
LIBRARY PURCHASES AND SUBSCRIPTIONS	215,469	215,469	215,469
PHOTOGRAPHY	70	70	70
MINOR_EQUIPMENT - UNDER \$5K	28,878	28,878	28,878
EQUIPMENT RENTAL/LEASE	23,896	23,896	23,896
EQUIPMENT MAINTENANCE	45,589	45,589	45,589
EQUIPMENT REPAIRS	29,700	29,700	29,700
GENERAL EXPENSE - SERVICE	12,775	12,775	12,775
GENERAL EXPENSE	725,333	725,333	725,333
PRINTING	83,454	83,454	83,454
PRINTING	83,454	83,454	83,454
TELECOMMUNICATIONS	350,590	350,590	350,590
TELECOMMUNICATIONS	350,590	350,590	350,590
STAMPS, STAMPED ENVELOPES, POSTCARDS	211,825	211,825	211,825
POSTAGE	211,825	211,825	211,825
INSURANCE	11,700	11,700	11,700
INSURANCE	11,700	11,700	11,700
TRAVEL	51,941	51,941	51,941
TRAVEL	51,941	51,941	51,941
TRAINING	2,795	2,795	2,795
TRAINING	2,795	2,795	2,795
SECURITY	731,730	731,730	731,730
SECURITY	731,730	731,730	731,730
RENT/LEASE	270,360	270,360	270,360
JANITORIAL	166,108	166,108	166,108
MAINTENANCE AND SUPPLIES	9,200	9,200	9,200
ALTERATION	1,500	1,500	1,500
OTHER FACILITY COSTS - GOODS	7,450	7,450	7,450
FACILITY OPERATIONS	454,618	454,618	454,618
UTILITIES	33,000	33,000	33,000
UTILITIES	33,000	33,000	33,000
GENERAL CONSULTANT AND PROFESSIONAL SERVICES	771,572	771,572	771,572
COURT INTERPRETER SERVICES	294,978	294,978	294,978
COURT REPORTER SERVICED	100,000	100,000	100,000
COURT TRANSCRIPTS	460,000	460,000	460,000
COURT APPOINTED COUNSEL CHARGES	50,000	50,000	50,000
INVESTIGATIVE SERVICES	200	200	200
COURT ORDERED PROFESSIONAL SERVICES	384,711	384,711	384,711
MEDIATORS / ARBITRATORS	146,000	146,000	146,000

San Joaquin Superior Court
3 Year Budget Projection
As of October 1, 2012

Attachment A

	As of Oct 1, 2012 FY12-13 Projections	FY13-14 Projection	FY14-15 Projections
COLLECTION SERVICES	68,100	68,100	68,100
LEGAL	30,500	30,500	30,500
OTHER CONTRACT SERVICES - ARMORED CAR	17,450	17,450	17,450
CONTRACTED SERVICES	2,323,511	2,323,511	2,323,511
SHERIFF -AB2030/AB2695	31,845	31,845	31,845
COUNTY-PROVIDED SERVICES	1,858,334	1,858,334	1,858,334
CONSULTING AND PROFESSIONAL SERVICES	1,890,179	1,890,179	1,890,179
IT MAINTENANCE	9,033	9,033	9,033
IT COMMERCIAL CONTRACT	83,104	83,104	83,104
IT REPAIRS/SUPPLIES/LICENSE	57,264	57,264	57,264
INFORMATION TECHNOLOGY (IT)	149,401	149,401	149,401
MAJOR EQUIPMENT	-	-	-
MAJOR EQUIPMENT (OVER \$5,000)	-	-	-
VEHICLE OPERATIONS	20,000	20,000	20,000
OTHER ITEMS OF EXPENSE	20,000	20,000	20,000
OPERATING EXPENSES AND EQUIPMENT	7,040,077	7,040,077	7,040,077
JURY COSTS	328,200	328,200	328,200
JURY COSTS	328,200	328,200	328,200
GRAND JURY COSTS	65,328	65,328	65,328
OTHER	65,328	65,328	65,328
SPECIAL ITEMS OF EXPENSE	393,528	393,528	393,528
EXPENSES	33,693,616	33,934,540	33,934,540
Total	3,341,810	5,023,206	5,023,206
BEGINNING FUND BALANCE	1,323,188	(2,018,622)	(7,041,827)
CHANGE TO FUND BALANCE	(3,341,810)	(5,023,206)	(5,023,206)
ENDING FUND BALANCE	(2,018,622)	(7,041,827)	(12,065,033)

San Joaquin County Superior Court
Revenue, Expense and Fund Balance History
Fiscal Years FY09-10, FY10-11 and FY11-12

Attachment B

GL ACCOUNTS	11/12 YTD 2011	10/11 YTD 2010	09/10 YTD 2009
** 812100-TCTF - PGM 10 OPERATIONS	\$ (27,806,164)	\$ (38,248,019)	\$ (37,574,502)
** 816000-OTHER STATE RECEIPTS	\$ (813,169)	\$ -	\$ -
** 821000-LOCAL FEES REVENUE	\$ (216,056)	\$ (261,706)	\$ (269,131)
** 821200-ENHANCED COLLECTIONS - REVENUE	\$ (140,419)	\$ (160,376)	\$ (146,073)
** 822000-LOCAL NON-FEES REVENUE	\$ (2,044)	\$ (89,390)	\$ (51,731)
** 823000-OTHER - REVENUE	\$ (22,675)	\$ (32,302)	\$ (87,818)
** 825000-INTEREST INCOME	\$ (161,858)	\$ (34,697)	\$ (79,092)
** 831000-GENERAL FUND - MOU/REIMBURSEMENTS	\$ (205,755)	\$ (197,050)	\$ (181,916)
** 832000-PROGRAM 45.10 - MOU/REIMBURSEMENT	\$ (527,524)	\$ (630,610)	\$ (621,414)
** 833000-PROGRAM 45.25 - REIMBURSEMENTS	\$ (137,750)	\$ (240,936)	\$ (304,000)
** 834000-PROGRAM 45.45 - REIMBURSEMENTS	\$ (1,249,581)	\$ (1,318,458)	\$ (1,451,865)
** 835000-PROGRAM 45.55 - REIMBURSEMENTS	\$ (554)	\$ (30,927)	\$ (2,562)
** 836000-MODERNIZATION FUND - REIMBURSEMEN	\$ -	\$ -	\$ -
** 837000-IMPROVEMENT FUND - REIMBURSEMENTS	\$ (1,172,977)	\$ (76,695)	\$ (73,820)
** 838000-AOC GRANTS - REIMBURSEMENTS	\$ (981,338)	\$ (1,073,523)	\$ (1,151,892)
** 839000-NON-AOC GRANTS - REIMBURSEMENTS	\$ (1,475,474)	\$ (1,041,148)	\$ (388,963)
** 840000-COUNTY PROGRAM - RESTRICTED FUNDS	\$ (550,850)	\$ (652,934)	\$ (586,473)
** 860000-REIMBURSEMENTS - OTHER	\$ (73,378)	\$ (59,904)	\$ (60,098)
** 890000-PRIOR YEAR REVENUE	\$ (13,820)	\$ 139,901	\$ 1,155
**** REVENUE TOTAL	\$ (35,551,386)	\$ (44,008,772)	\$ (43,030,195)
900301 SALARIES - PERMANENT	\$ 16,508,342	\$ 18,267,741	\$ 17,699,003
900320 LUMP SUM PAYOUTS	\$ 264,558	\$ 59,239	\$ 87,541
900350 FURLOUGH & SALARY REDUCTION SAVINGS (NON	\$ (243,504)	\$ (565,550)	\$ (823,302)
900351 FURLOUGH CLOSURE (NON-JUDICIAL OFFICERS)	\$ 243,504	\$ 565,550	\$ 823,302
903301 TEMPORARY EMPLOYEES - ON P/R	\$ 320,038	\$ 157,928	\$ 192,053
906303 SALARIES - COMMISSIONERS	\$ 457,664	\$ 457,664	\$ 520,582
906311 SALARIES - SUPERIOR COURT JUDGES	\$ 128,214	\$ 271,658	\$ 269,111
906350 FURLOUGH SAVINGS - COMMISSIONER	\$ 17	\$ -	\$ (25,342)
906351 FURLOUGH CLOSURE - COMMISSIONER	\$ (17)	\$ -	\$ 25,342
908301 OVERTIME	\$ 137	\$ 1,484	\$ 2,837
** SALARIES TOTAL	\$ 17,678,953	\$ 19,215,715	\$ 18,771,126
910301 SOCIAL SECURITY INS & MEDICARE - OASDI	\$ 1,011,332	\$ 1,093,221	\$ 1,071,085
910302 MEDICARE TAX	\$ 239,383	\$ 257,930	\$ 254,638
910401 DENTAL INSURANCE	\$ 181,738	\$ 201,508	\$ 211,492
910501 MEDICAL INSURANCE	\$ 3,141,931	\$ 3,231,497	\$ 3,152,095
910503 RETIREE BENEFIT	\$ 277,450	\$ 212,341	\$ 260,486
910601 RETIREMENT (NON-JUDICIAL OFFICERS)	\$ 4,448,031	\$ 4,742,864	\$ 4,301,204
912301 RETIREMENT (SUBORDINATE AND JUDICIAL OFF	\$ 128,020	\$ 120,938	\$ 130,135
912501 STATUTORY WORKERS COMPENSATION	\$ 332,399	\$ 322,754	\$ 273,972
913301 UNEMPLOYMENT INSURANCE	\$ 94,729	\$ 54,007	\$ 51,291
913501 LIFE INSURANCE	\$ 14,943	\$ 15,465	\$ 17,071
913601 VISION CARE INSURANCE	\$ 27,308	\$ 30,410	\$ 31,798
913701 OTHER JUDGES BENEFITS	\$ 1,603	\$ 3,504	\$ 4,831
913850 BENEFIT REDUCTION SAVINGS	\$ (20,088)	\$ (45,045)	\$ (67,467)
913851 BENEFIT REDUCTION	\$ 20,088	\$ 45,045	\$ 67,467

San Joaquin County Superior Court
 Revenue, Expense and Fund Balance History
 Fiscal Years FY09-10, FY10-11 and FY11-12

Attachment B

GL ACCOUNTS	11/12 YTD 2011	10/11 YTD 2010	09/10 YTD 2009
913899 OTHER BENEFITS	\$ 9,866	\$ 14,766	\$ 18,924
** STAFF BENEFITS TOTAL	\$ 9,908,733	\$ 10,301,205	\$ 9,779,021
*** PERSONAL SERVICES TOTAL	\$ 27,587,686	\$ 29,516,920	\$ 28,550,148
* 920200 - LABORATORY EXPENSE	\$ 3,719	\$ 2,969	\$ 12,624
* 920300 - FEES/PERMITS	\$ 268,163	\$ 244,698	\$ 255,913
* 920500 - DUES AND MEMBERSHIPS	\$ 5,933	\$ 6,415	\$ 5,557
* 920600 - OFFICE EXPENSE	\$ 76,514	\$ 96,248	\$ 106,666
* 921500 - ADVERTISING	\$ 1,217	\$ 1,794	\$ 212
* 921700 - MEETINGS, CONFERENCES, EXHI	\$ 28,504	\$ 27,667	\$ 27,499
* 922300 - LIBRARY PURCHASES AND SUBSC	\$ 181,325	\$ 192,922	\$ 168,128
* 922500 - PHOTOGRAPHY	\$ 37	\$ 75	\$ -
* 922600 - MINOR EQUIPMENT - UNDER \$5K	\$ 22,023	\$ 21,579	\$ 73,973
* 922700 - EQUIPMENT RENTAL/LEASE	\$ 12,573	\$ 19,228	\$ 29,903
* 922800 - EQUIPMENT MAINTENANCE	\$ 41,582	\$ 52,995	\$ 38,532
* 922900 - EQUIPMENT REPAIRS	\$ 30,716	\$ 33,669	\$ 339
* 923900 - GENERAL EXPENSE - SERVICE	\$ 2,150	\$ 3,875	\$ 3,470
* 924500 - PRINTING	\$ 75,761	\$ 180,534	\$ 205,300
* 925100 - TELECOMMUNICATIONS	\$ 318,752	\$ 358,285	\$ 381,399
* 926200 - STAMPS, STAMPED ENVELOPES,	\$ 209,456	\$ 228,241	\$ 256,727
* 928800 - INSURANCE	\$ 9,544	\$ 9,919	\$ 9,787
* 929200 - TRAVEL- IN STATE	\$ 58,395	\$ 32,841	\$ 29,790
* 933100 - TRAINING	\$ 2,020	\$ 8,080	\$ 4,349
* 934500 - SECURITY	\$ 733,463	\$ 9,686,134	\$ 7,774,488
* 935200 - RENT/LEASE	\$ 270,360	\$ 270,399	\$ 270,389
* 935300 - JANITORIAL	\$ 163,622	\$ 180,982	\$ 178,682
* 935400 - MAINTENANCE AND SUPPLIES	\$ 3	\$ -	\$ 292
* 935600 - ALTERATION	\$ 2,920	\$ -	\$ -
* 935700 - OTHER FACILITY COSTS - GOODS	\$ 116	\$ 513	\$ 293
* 935800 - OTHER FACILITY COSTS - SERV	\$ 300	\$ -	\$ -
* 936100 -UTILITIES	\$ 32,089	\$ -	\$ 804
* 938300 - GENERAL CONSULTANT AND PROF	\$ 775,264	\$ 858,305	\$ 685,882
* 938500 - COURT INTERPRETER SERVICES	\$ 295,080	\$ 548,713	\$ 650,189
* 938600 - COURT REPORTER SERVICES	\$ 96,875	\$ 124,803	\$ 112,575
* 938700 - COURT TRANSCRIPTS	\$ 457,639	\$ 463,801	\$ 563,754
* 938800 - COURT APPOINTED COUNSEL CHA	\$ 46,115	\$ 67,175	\$ 72,346
* 938900 - INVESTIGATIVE SERVICES	\$ 136	\$ 324	\$ 523
* 939000 - COURT ORDERED PROFESSIONAL	\$ 795,927	\$ 370,952	\$ 437,234
* 939100 - MEDIATORS/ARBITRATORS	\$ 146,000	\$ 145,836	\$ 157,611
* 939200 - COLLECTION SERVICES	\$ 94,139	\$ 83,241	\$ 96,656
* 939400 - LEGAL	\$ 30,500	\$ 42,842	\$ 30,228
* 939800 - OTHER CONTRACT SERVICES	\$ 17,102	\$ 20,934	\$ 21,368
* 941100 - SHERIFF	\$ 31,845	\$ 28,923	\$ 26,578
* 942100 - COUNTY-PROVIDED SERVICES	\$ 1,867,075	\$ 1,712,498	\$ 1,813,365
* 943200 - IT MAINTENANCE	\$ 8,876	\$ 8,100	\$ 21,569
* 943300 - IT COMMERCIAL CONTRACT	\$ 130,345	\$ 114,368	\$ 136,918
* 943500 - IT REPAIRS/SUPPLIES/LICENSE	\$ 93,765	\$ 120,068	\$ 150,602
* 946600 - MAJOR EQUIPMENT	\$ 47,962	\$ -	\$ -

San Joaquin County Superior Court
 Revenue, Expense and Fund Balance History
 Fiscal Years FY09-10, FY10-11 and FY11-12

Attachment B

GL ACCOUNTS	11/12 YTD 2011	10/11 YTD 2010	09/10 YTD 2009
* 952300 - VEHICLE OPERATIONS	\$ 19,641	\$ 22,756	\$ 16,343
* 952500 - CASH DIFFERENCES	\$ 546	\$ -	\$ 616
*** OPERATING EXPENSE AND EQUIPMENT TTL	\$ 7,506,089	\$ 16,393,701	\$ 14,829,476
** JURY COSTS TOTAL	\$ 313,643	\$ 406,515	\$ 394,535
* 971000 - OTHER-SPECIAL ITEMS OF EXPENSE	\$ -	\$ -	\$ -
* 972001 - JUDGMENTS, SETTLEMENTS AND	\$ -	\$ 4,318	\$ -
* 972200 - GRAND JURY COSTS	\$ 65,224	\$ 155,576	\$ 94,866
** OTHER TOTAL	\$ 65,224	\$ 159,894	\$ 94,866
*** PRIOR YEAR EXPENSE ADJUSTMENTS TOTAL	\$ (11,244)	\$ 5,430	\$ 438
**** EXPENSES TOTAL	\$ 35,461,399	\$ 46,482,460	\$ 43,869,463
*** 701100 OPERATING TRANSFERS IN	\$ (11,809)	\$ (377,327)	\$ (70,570)
*** 701200 OPERATING TRANSFERS OUT	\$ 11,809	\$ 377,327	\$ 70,570
**** OTHER FINANCIAL SOURCES (USES)	\$ -	\$ -	\$ -
***** REV & EXP	\$ (89,987)	\$ 2,473,688	\$ 839,269
ENDING FUND BALANCE	\$ 1,323,187	\$ 1,233,200	\$ 3,706,888

Attachment C

San Joaquin County Superior Court
Comprehensive Audit Finding Summary
As of 9/28/12

	Number of Issues	%
As of 9/27/12		
Completed Issues	110	71%
Incomplete Issues	46	29%
	<u>156</u>	<u>100%</u>

Letter from AOC - John Judnick as of October 28, 2011

Completed	32	21%
Incomplete	124	79%
	<u>156</u>	<u>100%</u>

Since October 28, 2011, we have completed an additional 77 items. We still have 30% to complete, however these include items such needing new facilities and money for purchasing IT software and supplies.

Financial Issues
Total Accounting, Payroll and Procurement Issues

Total Accounting Issues	83	
Issues Resolved	66	80%
Incomplete Issues	17	20%
		100%

Incomplete Financial Issues - Finance, Payroll and Procurement as of 9/30/12

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets	2.1							
	4		The Court Needs to Improve Its Payroll Processing Practices The County mails checks and paystubs to Court employees' homes rather than providing checks and paystubs to the Court for physical distribution to each Court employee. Consequently, the Court risks making payments to fictitious employees.	I		The County Auditor's office processes our payroll and paychecks. It is the County's policy that paychecks must either be electronically deposited to the employee's bank or financial institution, or the paycheck must be mailed via US Postal Service to their home address. The County does not physically distribute any payroll checks so the Court will not be able to comply with the recommendation to have the County deliver to the Court employee's checks for physical distribution. However, the Court's Senior Human Resources Analyst will print out a list of all court staff from the Court's position control list and match the list with the names on payroll at least quarterly to ensure that the names are legitimate court staff.	HR Manager	When we stop using the County to process our Payroll
3 Fund Accounting			No issues to report.					
5 Cash Collections	5.1		The Court Needs to Improve Its Control and Oversight over Handwritten Receipts					
	5.2		The Court Needs to Strengthen Its Cash Handling Procedures					
	6.3		The Court Needs to Improve Its Calculations and Distributions of Court Collections					
	15		For the three DUI and Reckless Driving cases reviewed, the 20% State Surcharge was derived from the reduced base fine rather than the original base fine causing the 20% State Surcharge to be understated.	I		We agree with the audit findings and are currently working with the County to make the recommended distribution corrections to address items 1 through 11. In addition, over the next several months we will be reviewing other court collection case types to ensure we are complying with the Uniform Bail and Penalty Schedule. We would like to note that the Court uses the County's case management system (AMOS) for traffic and criminal distributions. AMOS is a 25+ year old case management system that is out dated and inflexible. As a result, making complicated distribution changes is difficult, time consuming and sometimes impossible. If County programmers are unable to make mandated legislative changes to distributions in the system, court and county accounting staff must create Excel spreadsheets to do the more complicated second and sometimes third distributions.	Court Management Analyst	June 1, 2013
	15		The Court's CMS is not configured to calculate the 30% railroad fine distribution pursuant to PC 1463.12.	I		See response above.	Court Management Analyst	June 1, 2013

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE	
2 Fiscal Management and Budgets									
		15	For one of the two child seat cases reviewed, the Court transposed the education program and loaner program distribution percentages.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the one unattended child case reviewed, there is no evidence of the 70/15/15 split pursuant to VC 15630, causing the County distribution, and ultimately the 50/50 MOE, to be overstated.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	The Court's State/County domestic violence fee distribution is 67%/37% instead of 66.67%/33.33%, thereby understating the State distribution by \$1.33 for each domestic violence fee assessed.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the one Health and Safety case reviewed, the 75%/25% split pursuant to H&S 11502 is not evident.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the one Fish and Game case reviewed, the \$15 Secret Witness penalty pursuant to P&G 12021 was not assessed.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For one of the two red light cases reviewed, the ICNA portion of the State Court Facilities Construction Fund distribution was not reduced by the 30% red light allocation pursuant to PC 1463.11. Also, the two DNA penalty assessments are overstated by \$1 each.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the second red light case reviewed, the Court incorrectly included the 20% State Surcharge in calculating the 30% red light allocation pursuant to VC 42007.3.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the three traffic violator school cases reviewed, the Court does not include the DNA penalty assessments pursuant to GC 76104.6 and GC 76140.7 in its distribution of the traffic violator school fee assessed pursuant to VC 42007.	I		See response above.	Court Management Analyst	June 1, 2013	
		15	For the one child seat traffic school case reviewed, the Court distributed the base fine and penalty assessments to the code used for traffic school cases. However, child seat traffic school cases are distributed the same as a child seat bail forfeiture case.	I		See response above.	Court Management Analyst	June 1, 2013	
		Log	In 4 of 15 cases reviewed, the variance between the actual total bail and the standard total bail was not prorated among the penalty assessments causing the base fine distribution to the county and city, as well as the 20% State Surcharge, to be either understated or overstated.	I		We agree with the findings. We are working with the County to correct these errors.	Court Management Analyst	June 1, 2013	
	9 Procurement	9.1		The Court Can Further Improve Its Procurement Practices					
	10 Contracts								

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets		Log	Two contracts related to court security contained a contractor termination clause other than for cause.	I		Yes, these contracts were developed prior to the Court & County separation and have remained in effect. At present the Court has good relationships with both entities and determined that the other than cause clause would not adversely affect these relationships or cause the Court harm; however, the Business Services Manager will evaluate the clause with the Court's CEO to determine if a change is necessary.	Business Services Manager	December 1, 2012
		Log	The MOU related to providing space for the Self-Help Center did not contain a contract change clause or a confidentiality clause.	I		This MOU will be reviewed and discussed with the Court's CEO to determine if any changes need to be made.	Business Services Manager	December 1, 2012
		Log	Access to contract, bid, and vendor files is not limited to minimize the potential for misplaced or lost files.	I		Due to facility restraints, the Court has minimal secure filling space for contract, bid and vendor files. The new courthouse scheduled to be completed in 2015 will address this issue. In the interim, the Court will seek avenues to minimize access to these files.	Business Services Manager	December 2015 - when new courthouse is built
		Log	The Court acknowledged that its MOU with the County does not include costs of services provided or anticipated service outcomes as required by Government Code §77212(d)(1).	I		This is correct. This issue memo log will be discussed with the Court's CEO to determine any changes the CEO desires.	Business Services Manager	December 2012 - working with AOC Audit division
11 Accounts Payable								
	11.1		The Court Should Strengthen Its Petty Cash Procedures					
	11.2		Court Travel and Business Meal Expense Reimbursement Procedures Need Improvement					
		Log	Accounts payable files for one of 30 invoices reviewed did not contain purchase agreements; therefore, we were unable to determine whether payments were made in accordance with a purchase agreement.	I		The Court agrees that one invoice did not contain a purchase agreement. The Court will work to develop a purchase agreement with the City of Stockton for our employee parking. The City has not wanted to do this in the past.	CFO	The parking garage changed ownership. Working on agreement, will be completed 12/31/12
13 Audits			No issues to report.					

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17

Incomplete Issues

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets	2.1	4	The Court Needs to Improve its Payroll Processing Practices The Court does not require all of its employees to submit a supervisor-approved timesheet regardless of whether the employee used leave time. Consequently, the Court risks paying employees for time not worked.		C	The Court established a new policy requiring employees to complete and sign the time off request (timesheet) and submit it to their supervisor or manager for approval. The supervisor or manager will sign the timesheet after reviewing and ensuring the timesheet is complete and the information accurate. The Court Human Resources Technician (payroll processor) will ensure the timesheet has been approved by the supervisor or manager prior to posting the time into the payroll system. The Senior Human Resources Analyst will review the system payroll data for accuracy before the County Auditor's Office records payroll for distribution to Court employees.	Human Resources Manager	November 2010
		4	Out of our sample of 10 regular full-time employees, one, a court commissioner, did not turn in a timesheet to document leave taken as required by the Court's Personnel Rules.		C	See response above.	Human Resources (HR) Manager	November 2010
		4	The Court does not always document prior approval of all overtime worked.		C	Currently all overtime requests must be approved by the Court Executive Officer prior to a supervisor or manager allowing staff to work overtime. Timesheets have been modified to include a box that supervisors or managers must check indicating overtime was approved prior to allowing the employee to work overtime. Courtroom staff can work overtime without prior approval pursuant to the Court's Personnel Rules. In this case, court runs late into the lunch hour or after normal work hours. Courtroom staff must complete a timesheet indicating the overtime hours (or minutes) they worked and submit the timesheet to their supervisor or manager to verify court ran over. The supervisor or manager will initial the timesheet indicating the overtime is approved before submitting the timesheet to payroll for processing.	HR Manager	November 2010
		4	The County mails checks and paystubs to Court employees' homes rather than providing checks and paystubs to the Court for physical distribution to each Court employee. Consequently, the Court risks making payments to fictitious employees.	I		The County Auditor's office processes our payroll and paychecks. It is the County's policy that paychecks must either be electronically deposited to the employee's bank or financial institution, or the paycheck must be mailed via US Postal Service to their home address. The County does not physically distribute any payroll checks so the Court will not be able to comply with the recommendation to have the County deliver to the Court employee's checks for physical distribution. However, the Court's Senior Human Resources Analyst will print out a list of all court staff from the Court's position control list and match the list with the names on payroll at least quarterly to ensure that the names are legitimate court staff.	HR Manager	When we stop using the County to process our Payroll
3 Fund Accounting			No issues to report.					
4 Accounting Principles and Practices		Log	The Court is not calculating janitorial costs correctly for the Child Support Commissioner Program (CSC) grant. Specifically, the Court is not applying the CSC occupancy percentage to the Court's total janitorial cost prior to applying the percentage for partially reimbursable operating expenses.		C	The court will document the calculation used to allocate janitorial costs to the Child Support Commissioner Program (CSC) grant. The calculation will be based on occupancy percentage and applied to the total janitorial cost prior to the application of the percentage for partially reimbursable operating expenses.	Chief Financial Officer (CFO)	July 2010

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE	
2 Fiscal Management and Budgets									
5 Cash Collections	5.1		The Court Needs to Improve Its Control and Oversight over Handwritten Receipts Supervisor does not secure the manual receipt book when not in use.		C 1	Securing handwritten receipt books - The court agrees there is an issue with the securing of handwritten receipt books at some of our court locations. We will require managers and supervisors to secure and maintain physical custody of the handwritten receipt books when not in use.	CFO	November 2010	
		1	Manual receipt books contained missing receipts that could not be accounted for.		C 1	Missing receipts, out of sequence receipts, completion of pertinent information on receipts and the timely entering of hand written receipts into CMS issues. - The Court agrees with issue 2 and will implement the audit recommendations. We will require managers and/or supervisors to review at least quarterly the handwritten receipt books to ensure all receipts are accounted for. When the CMS goes down, handwritten receipt books will be issued to staff and subsequently returned to the manager and/or supervisor when the CMS is restored to use. The manager and/or supervisor will review the books when returned to ensure the receipts were issued in sequential order, that staff completed receipts with all pertinent information and that receipts are entered into the CMS no later than 1 business day following the day the CMS system was restored to use. When discrepancies are discovered, they will be discussed immediately with staff, documented and retained with the receipt book for audit purposes.		CFO	November 2010
		1	Manual receipts used out of sequence.		C 1	See response above.	CFO	November 2010	
		1	Manual receipts not always completed with all relevant information.		C 1	See response above.	CFO	November 2010	
		1	Court location could not determine the amount of money collected due to a manual receipt not noting a case number or the dollar amount paid.		C 1	See response above.	CFO	November 2010	
		1	Manual receipts not always posted timely in CMS.		C 1	See response above.	CFO	November 2010	
		1	Manual receipts used for reasons other than when CMS is down.		C 1	Using handwritten receipts for instances other than CMS being down except when CMS is down. The instances where the court has used handwritten receipts and our responses are as follows: 1. Victim Restitution - After investigating the handwritten receipt the auditor found that prompted this finding, our manager over criminal found it was a payment that was taken in the courtroom at the request of a judge 2 years ago. This was an isolated event. I met with one of our courtroom supervisors and she will remind staff that the court does not have a mechanism to collect and disburse victim restitution. Also, with handwritten receipts secured by only managers and/or supervisors, they would be aware of this situation if it happened in the future and would instruct the clerk and/or judge in the proper procedure. 2. UD Writs - We have reiterated with staff that hand written receipts are only to be used when the CMS system is down. Also, with handwritten receipts secured by only managers and/or supervisors, they would be aware of this situation if it happened in the future and would instruct the clerk in the proper procedure.		CFO	November 2010 January 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets						<p>3. Juror Sanctions – This issue arose because jurors would come to the counter to pay right from court after being sanctioned, before a JUR case had been opened in our CMS (V3). Because V3 will not let a receipt be issued until a case is opened, staff would issue a handwritten receipt. A new procedure has been developed and implemented that allows a clerk at the counter to open the JUR case and issue a receipt in V3 thus preventing the use of handwritten receipts.</p> <p>4. Payments needing judicial review prior to filing – Our staff have been told that handwritten receipts are only to be issued in the event a CMS is down. Using handwritten receipts for payments needing judicial review prior to filing may have been an access and/or training issue so we are enforcing the rule that handwritten receipts be secured by only managers and/or supervisors. If receipt books have to be obtained from the manager or supervisor it gives them an opportunity to review the situations and train clerks in the correct procedures thus avoiding the use of handwritten receipts.</p> <p>5. Trust payments associated with different locations – Our staff have been told that handwritten receipts are only to be issued in the event a CMS is down. To avoid turning away customers wanting to establish trust for another location as much as possible, we have given the manager and supervisor Global Accounting access to our traffic CMS (Amos) which enables them to establish trusts for other locations. If by chance the supervisor or manager is not there, if the customer pays with a check, their canceled check is their receipt. If they want to pay in cash, staff will instruct the customer to go pay at the correct location.</p>		
	5.2		The Court Needs to Strengthen Its Cash Handling Procedures Cashiers share the same cash bag when taking payments.		C 1	The Court agrees that we need to standardize our cash collection procedures at all locations. Individual cash bags will be assigned to each cashier on a daily basis. We have created a sign-out/sign-in log that supervisors, managers or lead clerks will complete each day when issuing cashiers their change bags. Thorough completion of the log will assure bags that are checked-out are checked-in and that the counting of the cash at each of these intervals has been completed.	CFO	March 2011
			No evidence of supervisory review of cashiers' beginning cash.		C 1	See response above.	CFO	March 2011
			Court location does not always retain the original voided receipts.		C 1	The Court agrees with the recommendations of issue 2. Managers will be sent instructions to retain a copy of all voided transactions and to make sure either a manager, supervisor or lead LPC signs and retains the Void Payment Acknowledgement Form. Also, we will reiterate with managers that only managers, supervisors and a designated lead clerk (LPCIII) should have system access to void transactions and that anyone that has system access to void should never void their own transaction.	CFO	March 2011
			The Void Payment Acknowledgement Form is not always signed, approved or retained to support voided transactions.		C 1	See response above.	CFO	March 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets								
	3	Inconsistent supervisory review and approval of void transactions. As a result, our review of voided transactions revealed that a LPC II, rather than a manager, supervisor, or LPC III, voided transactions at one location, an LPC III voided 10 of their own transactions and a LPC II, rather than a manager, supervisor, or LPC III, voided another transaction at another location, and a LPC I, instead of a manager, supervisor, or LPC III, voided transactions at a third location.			C 1	See response above.	CFO	March 2011
	3	No evidence of supervisory review of cashiers' daily closeout, including monies collected in the courtroom.			C 1	The court agrees with all the recommendations of issue 3. The court will require each location to perform the daily closeout process at the end of each day. Supervisors will be required to review, sign and date their staff's closeout/balancing reports to demonstrate their review of the process and that staff have performed all the necessary end-of-day balancing functions.	CFO	March 2011
	3	One cash bag assigned to the Civil division contained four unprocessed cash payments with dates ranging from June 2008 to March 2010.			C 1	See response above.	CFO	March 2011
	3	Clerks do not always sign their cashier balancing reports.			C 1	See response above.	CFO	March 2011
	3	Clerks do not always prepare an adding machine tape to verify total amount of checks collected.			C 1	See response above.	CFO	March 2011
	3	Daily balancing is not done until the following day.			C 1	See response above.	CFO	March 2011
	3	Two-person team not used to open mail.			C 1	Due to staffing restrictions and the already time consuming process of opening and processing mail, the court is struggling with the 2 person team needed to open the mail and log all checks received, particularly at the branch locations. I am working with managers to see if we can come up with an alternative procedure that will comply with the procedure. We agree we should safeguard and secure unprocessed mail payments until they can be entered into the CMS and we agree we should make every effort to process all mail payments by the next business day. We will also consider putting those checks in "suspense" that are unable to be processed but we are hopeful that once we reiterate with staff and hold them accountable, we should rarely need to do that.	CFO	May 2011
	3	Mail payment log not used.			C 1	Processing payments each day or locking up the money in the safe. Process approved by John Judnick.	CFO	May 2011
	3	Clerk opening mail also performs the incompatible function of processing mail payments on the same day.			C 1	See response above.	CFO	May 2011
	3	Clerk processing mail payments also performs the incompatible function of processing counter payments on the same day.			C 1	See response above.	CFO	May 2011
	3	Clerk processing drop box payments also performs the incompatible function of processing counter payments on the same day.			C 1	See response above.	CFO	May 2011
	3	Unprocessed mail payments are left unsecured on clerks' desks.			C 1	See response above.	CFO	May 2011
	3	Mail payments are held unprocessed longer than 48 hours.			C 1	See response above.	CFO	May 2011
	3	Court location does not maintain an aging schedule of unprocessed mail payments.			C 1	See response above.	CFO	May 2011
	3	Court location does not have an escalation process for unprocessed mail payments.			C 1	See response above.	CFO	May 2011
	3	No evidence of supervisor or manager verifying the deposit.			C 1	We agree that supervisors should sign and date all deposit slips to demonstrate their review of the deposit. In Stockton procedures have been changed where either supervisors or lead clerks verify deposits from cashiers every day. We will work with the branch courts to make sure they are following this procedure as well.	CFO	Stockton - May 2011 Branch Courts - October 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets		3	Court personnel who verify cashier daily closeout and balance also perform the incompatible function of preparing the deposit.		C	In the accounting department, staff who do the deposits no longer verify the daily closeout and balance function.	CFO	May 2011
		Log	Court stamps are not secured overnight at three locations.		C	We agree that stamps should be secured overnight and will implement as soon as possible at all locations.	CFO	June 2011
		Log	Photo ID is not required for credit card payments at one location.		C	We agree that photo ID should be required for credit card payments at all locations and will implement as soon as possible.	CFO	June 2011
		Log	Access to safe is not limited to supervisors and managers at three locations.		C	Safe access should be limited to supervisors, managers and designated lead clerks if necessary. We will work with all locations to comply.	CFO	June 2011
		Log	The safe remains unlocked throughout the entire day or for extended lengths of time at four locations.		C	The safe should remain locked throughout the entire day at all locations. We will work with all locations to comply.	CFO	June 2011
		Log	No locations had a receipt notice posted at the time of our review.		C	The 3rd floor of the Stockton courthouse now has a receipt notice posted for the public. We will work with all locations to implement.	CFO	June 2011
		Log	Fee waiver notice not posted at the time of our review at one location.		C	The 3rd floor of the Stockton courthouse now has a fee waiver notice posted for the public. We will work with all locations to implement.	CFO	June 2011
		Log	HR poster not posted at the time of our review at one location.		I	We received updated Fed and State Law posters on 2/2/11 and were posted at all court locations by 2/11/11.	HR Manager	February 2011
		Log	HR poster incomplete or outdated at the time of our review at three locations.		C	Updated posters were provided to all court locations by 2/11/11. A follow up will be conducted to make sure all posters are visible to staff.	HR Manager	May 2011
		Log	Log and summary of occupational injuries and illnesses incomplete or not displayed at the time of our review at eight locations.		C	A copy of the required OSHA reports and logs are available in the HR office. OSHA 300A Summary of Work Related Injuries and Illnesses were provided to all Court Managers for posting in their department on 5/16/11.	HR Manager	May 2011
		Log	Clerks keep cash bags in their unlocked desk drawer during the day at one location.		C	Clerks must keep cash bags locked up whether they are in the safe, their cash drawer at the counter or at their desk. We will work with all locations to comply.	CFO	June 2011
		Log	Not all clerks assigned to cashier are given cash bags since the majority of transactions are done via check. As a result, cashiers must leave their window to get change from the accounting unit when needed at one location.		C	We have returned to the policy that all cashiers for the day check out cash bags. Select supervisors have been given change bags to eliminate the need for cashiers to go to accounting for change.	CFO	June 2011
		Log	One court location does not maintain a drop box payment log.			We will work with all locations to comply.	CFO	June 2011
		Log	Public access to cashiers is not restricted at one location.			As an under resourced court, we are unable to provide restricted public access to cashiers in the form of glass partitions at the counter. When the court is adequately funded, the court will do so.	Business Services Manager	June 2011 If funding allows, FY 2013-14 When new building is built
		Log	Clerk did not complete all required information on the "Daily Cash Count" form at one location.		C	We will work with all locations to comply.	CFO	June 2011
		Log	Arrangement of offices at four locations is not designed to prevent employees who handle cash from having access to accounting records, such as daily closeout reports and bank deposit packages.			Unfortunately our court locations have limited space for employees in our current facilities. Fortunately, each of the 4 locations where this issue was identified will be getting new/remodeled facilities over the next few years. Once these new facilities are completed the court will be in a much better position to facilitate compliance to this issue.	Court Management	FY 2014-15 - May be closing locations - will update when funds are available
		Log	Main accounting does not note in its manual receipts book log when it receives used manual receipt books.		C	The court is recreating the log for its manual receipt books in Excel and will include on this log the date it receives used manual receipt books back from managers/supervisors.	CFO	May 2011
		Log	The Court does not always note the CMS receipt number on manual receipts per its own policy.		C	We will work with all locations to comply.	CFO	May 2011
		Log	One court location had completed manual receipt books that it had not turned in to main accounting.		C	We will work with all locations to comply.	CFO	May 2011
		Log	Court is using County-issued manual receipt books.		C	Due to limited resources the court will wait until the next time we need to order manual receipt books to get our own. Current supply could last anywhere from one year to 18 months.	CFO	FY 2013-14

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets								
		Log	One court location secures non-court funds, a personal party fund, in its safe.		C	The box for the employee's picnic/party fund raised money will be removed from the safe and kept in the employee's locked desk drawer. According to the custodian, the money has always been in her drawer but the box was in the safe empty.	CFO	May 2011
		Log	One court location has a \$9.09 overage fund that is not listed on main accounting's list of change and petty cash funds for each court location.		C	Main accounting will check into the origination of these funds and determine a course of action based on our findings.	CFO	May 2011
		Log	Main accounting does not retain voided original receipts and cashier closeout reports from one Court location as required by the FIN Manual.		C	The court has contacted the managers/supervisors at the locations mentioned and corrected the issue.	CFO	May 2011
		Log	The Fiscal Technician who prepares the deposit at the main courthouse location also performs the incompatible functions of processing voids for another Court location as well as verifying the daily closeout for all clerks within the main courthouse location.		C	Another fiscal technician is now preparing the deposits that does not process voids for any Court location. Also, cashier supervisors are now verifying the daily closeout for all clerks, including the counting of the cash.	CFO	May 2011
		Log	An overage/shortage form similar to the one used in the Traffic division, is not used in the Criminal division. As a result, the overage fund did not vouch to the Criminal division's tracking sheet. The overage fund was over 66 cents.		C	The staff will be reminded to use the Overage/Shortage form when they are out of balance.	Criminal Supervisor	May 2011
		Log	There is no periodic supervisory review of the overage funds for the Criminal and Traffic divisions in order to vouch the overage funds to supporting documentation such as tracking sheets.		C	The court will ensure supervisory review of the overage fund for the Criminal and Traffic division.	CFO	May 2011
	6.3		The Court Needs to Improve Its Calculations and Distributions of Court Collections					
		15	For the three DUI and Reckless Driving cases reviewed, the 20% State Surcharge was derived from the reduced base fine rather than the original base fine causing the 20% State Surcharge to be understated.	I		We agree with the audit findings and are currently working with the County to make the recommended distribution corrections to address items 1 through 11. In addition, over the next several months we will be reviewing other court collection case types to ensure we are complying with the Uniform Bail and Penalty Schedule.	Court Management Analyst	June 1, 2013
		15	The Court's CMS is not configured to calculate the 30% railroad fine distribution pursuant to PC 1463.12.	I		We would like to note that the Court uses the County's case management system (AMOS) for traffic and criminal distributions. AMOS is a 25+ year old case management system that is out dated and inflexible. As a result, making complicated distribution changes is difficult, time consuming and sometimes impossible. If County programmers are unable to make mandated legislative changes to distributions in the system, court and county accounting staff must create Excel spreadsheets to do the more complicated second and sometimes third distributions.	Court Management Analyst	June 1, 2013
		15	For one of the two child seat cases reviewed, the Court transposed the education program and loaner program distribution percentages.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the one unattended child case reviewed, there is no evidence of the 70/15/15 split pursuant to VC 15630, causing the County distribution, and ultimately the 50/50 MOE, to be overstated.	I		See response above.	Court Management Analyst	June 1, 2013

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets								
	15	The Court's State/County domestic violence fee distribution is 67%/37% instead of 66.67%/33.33%, thereby understating the State distribution by \$1.33 for each domestic violence fee assessed.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For the one Health and Safety case reviewed, the 75%/25% split pursuant to H&S 11502 is not evident.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For the one Fish and Game case reviewed, the \$15 Secret Witness penalty pursuant to F&G 12021 was not assessed.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For one of the two red light cases reviewed, the ICNA portion of the State Court Facilities Construction Fund distribution was not reduced by the 30% red light allocation pursuant to PC 1463.11. Also, the two DNA penalty assessments are overstated by \$1 each.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For the second red light case reviewed, the Court incorrectly included the 20% State Surcharge in calculating the 30% red light allocation pursuant to VC 42007.3.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For three traffic violator school cases reviewed, the Court does not include the DNA penalty assessments pursuant to GC 76104.6 and GC 76140.7 in its distribution of the traffic violator school fee assessed pursuant to VC 42007.		I		See response above.	Court Management Analyst	June 1, 2013
	15	For the one child seat traffic school case reviewed, the Court distributed the base fine and penalty assessments to the code used for traffic school cases. However, child seat traffic school cases are distributed the same as a child seat bail forfeiture case.		I		See response above.	Court Management Analyst	June 1, 2013
	Log	In 4 of 15 cases reviewed, the variance between the actual total bail and the standard total bail was not prorated among the penalty assessments causing the base fine distribution to the county and city, as well as the 20% State Surcharge, to be either understated or overstated.		I		We agree with the findings. We are working with the County to correct these errors.	Court Management Analyst	June 1, 2013
	Log	The Court delayed for at least seven months implementation of the penalty assessment and fee increases pursuant to SB 1407.		I	C	It was not the court's decision to delay implementation of SB1407. The case management system that must be updated when these increases occur is owned by the County and is 25 years old. As a result, the Court must rely on the County to make any programming changes. Depending on their workload, the County is not always able to make the changes quickly and often has to bring back retired programmers to work on changes due to the obsolete nature of the system.	Court Management Analyst	We are now in compliance with SB 1407.
7 Banking and Treasury	7.1	The Court Needs to Reconcile Its Trust Account Balances						

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets		8	The Court acknowledged that it is not current with trust account reconciliations. Specifically, according to the Court, since converting from its ShowMe CMS to CCMS V3 in April 2008, it has not been able to perform reconciliations due to problems the Court accounting unit has experienced with CCMS V3 system reports. For example, according to the Court, the CCMS V3 system report does not always list all deposits for particular cases. So, to determine whether the total stated on the system report is accurate, the Court needs to go through the case history and tally all deposits made. The Court is currently working with the AOC CCMS V3 project team to address this issue, among others it is experiencing with CCMS V3.		C	We are working with the AOC CCMS V3 project team and have made great progress. While the reports still have some errors, the majority of the Trust Detail Report errors have been fixed.	Court Management Analyst	January 2011
		8	In the meantime, the Court is working on reconciling its trust accounts through developing a report of its own using information in the ShowMe CMS as well as information in CCMS V3. However, the Court currently has one part-time Court employee working on developing this report. Therefore, the Court expects that it will be well into the 2011 calendar year before it becomes current in its trust account reconciliations.		C	We have developed reports that will allow us to reconcile our trust accounts. We continue to have our retired Fiscal Services Supervisor working part time to help bring current our trust reconciliations. Once she is comfortable with the accuracy of the reconciliations using the V3 reports we will begin to redirect staff to assist her in expediting the trust reconciliations.	Court Management Analyst	January 2011
		Log	Our review of the segregation of duties matrix revealed that for the Court's e-file bank account, the same person who controls the check stock also prepares checks.		C	The court will have one of our lead accounting technicians control the check stock so the person who prepares the checks will have only controlled access.	CFO	May 2011
		Log	The Court did not report a County bank account to the AOC.		C	The Court did not report a County bank account to the AOC because it is not the Court's bank account. The account is a consolidation of funds from all County departments. The Court has a fund balance with the County because the County still processes the Court's payroll and provides county services that the court pays for. All Court/County transactions are recorded monthly in the AOC's financial system. In the future we will report the Court's year-end fund balance in the County's bank account to the AOC.	CFO	June 2011
9 Procurement	9.1	11	The Court Can Further Improve Its Procurement Practices Out of 29 Cal Card transactions reviewed, the Court could not provide a purchase requisition for 20 transactions, one of which exceeded the \$1,500 per transaction limit stated in the FIN Manual. In addition, the purchase requisitions for two other Cal Card transactions were not sign-approved.		C	The Court does require the submittal of approved requisitions prior to procurement of goods or services. The Court acknowledges that there have been instances of purchase card transactions, and court ordered services, that which a requisition was not submitted prior to the purchase. Immediate action is being taken to ensure all staff adheres to the TCFPP. This action will be ongoing in the form of reminders and monitoring.	Business Services Manager	July 2011
		11	The Court's current approval matrix does not reflect the Court's policy of following the FIN Manual's suggested approval thresholds for the trial court procurements. As a result, purchase requisitions for five of the 29 Cal Card transactions reviewed were approved by a court manager not listed on the Court's current approval matrix.		C	The Court agrees that this is an issue, and will take immediate action to monitor, and remind card holders as well as accounting staff of TCFPP policy requirements.	CFO and Business Services Manager	July 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets			The Court did not have documented evidence that a purchase requisition was prepared and properly approved for all 20 expenditures reviewed.		C	The Court does require the submittal of approved requisitions prior to procurement of goods or services. The Court acknowledges that there have been instances of purchase card transactions, and court ordered services, that which a requisition was not submitted prior to the purchase. Immediate action is being taken to ensure all staff adheres to the TCFPP. This action will be ongoing in the form of reminders and monitoring.	Business Services Manager	July 2011
		11	At the time of our review, the Court could not provide documentation supporting the procurement process used for 14 of the 20 expenditures reviewed. Subsequently, the Court asserted that it did not know the procurement process for two procurements, another eight procurements were either competitive or sole source and the document retention period had expired for seven of the eight procurements, and the remaining four procurements utilized State master agreements or were mini purchases that did not require procurement files.		C	The Court recognizes the necessity to improve past practices of documenting procurement files, and has made considerable improvement the past several years. The Court continues to improve procurement practices to align practices with the TCFPP and to ensure good stewardship of public funds. With regards to the two of the fourteen (14) procurements singled out by the auditor, the following applies: Two of the unknown procurement methods are related to past practices that have been corrected. One of the two was a result of County procurement practice prior to the Court/County separation; however, the Court has evaluated the procurement and found that during these challenging times, the provider has developed into an effective and reliable source and has worked with the Court to minimize annual cost increases.	Business Services Manager	July 2011
10 Contracts		Log	Two contracts related to court security contained a contractor termination clause other than for cause.	I		Yes, these contracts were developed prior to the Court & County separation and have remained in effect. At present the Court has good relationships with both entities and determined that the other than cause clause would not adversely affect these relationships or cause the Court harm; however, the Business Services Manager will evaluate the clause with the Court's CEO to determine if a change is necessary.	Business Services Manager	December 1, 2012
		Log	The MOU related to providing space for the Self-Help Center did not contain a contract change clause or a confidentiality clause.	I		This MOU will be reviewed and discussed with the Court's CEO to determine if any changes need to be made.	Business Services Manager	December 1, 2012
		Log	Access to contract, bid, and vendor files is not limited to minimize the potential for misplaced or lost files.	I		Due to facility restraints, the Court has minimal secure filing space for contract, bid and vendor files. The new courthouse scheduled to be completed in 2015 will address this issue. In the interim, the Court will seek avenues to minimize access to these files.	Business Services Manager	December 2015 - when new courthouse is built
		Log	The Court acknowledged that its MOU with the County does not include costs of services provided or anticipated service outcomes as required by Government Code §77212(d)(1).	I		This is correct. This issue memo log will be discussed with the Court's CEO to determine any changes the CEO desires.	Business Services Manager	December 2012 - working with AOC Audit division
11 Accounts Payable	11.1	7	The Court Should Strengthen Its Petty Cash Procedures The Family Law location commingles its \$100 petty cash fund with its \$250 change fund, does not maintain a log of petty cash expenditures, does not retain original receipts to support petty cash expenditures, and makes the commingled fund accessible to all cashiers when change is needed.		C	The Family Law location has separated its \$100 petty cash from the \$250 change fund and has been given a locking cash box for the petty cash fund. The main courthouse location has ordered a locking cash box for the petty cash fund. The Family Law location is now retaining receipts to support its disbursements.	CFO	January 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets								
		7	The Lodi, Tracy, and main courthouse locations keep their petty cash fund in the same safe as their daily receipts, cash difference fund, and change fund.		C I	Each of these other locations have only 1 safe to keep all of these items secured. Rest assured, all items are kept separately in either locked boxes or bags to prevent co-mingling.	CFO	January 2011
		7	The Accounting Unit does not perform a periodic reconciliation of the Court's petty cash funds.		C I	The Accounting Unit will perform quarterly reconciliations of the petty cash and change funds at all Court locations.	CFO	September 2011
		7	The Lodi and Tracy locations do not utilize the Petty Cash Receipt form or some other form documenting disbursements from the petty cash fund and containing information specified in the FIN Manual. As a result, a \$4 petty cash reimbursement at the Court's Lodi location was for a \$3.74 expenditure and the location could not account for the 26 cent difference.		C I	The Accounting Unit will be working with all branch locations on using the Petty Cash Receipt form to document disbursements from petty cash and to maintain a log of petty cash disbursements.	CFO	September 2011
		7	One petty cash expenditure at the main courthouse location, \$237.75 for stamped envelopes, exceeds the \$100 per petty cash transaction threshold and there was no evidence of CEO or designee pre-approval.		C I	We will no longer be issuing petty cash for stamped envelopes since the cost exceeds the \$100 petty cash threshold.	CFO	January 2011
		7	The petty cash fund at the main courthouse exceeds the required \$200 total limit. Specifically, the main courthouse location has a \$750 petty cash fund. We reviewed the petty cash expenditures for fiscal year 2009-2010 to determine the average monthly use of petty cash. After taking out the petty cash transactions exceeding the \$100 per petty cash transaction threshold, we found that the average monthly petty cash use was about \$52. Therefore, the Court should consider reducing its petty cash fund.		C I	The main courthouse will reduce the petty cash fund to \$200 and eliminate all disbursements exceeding the \$100 threshold.	CFO	January 2011
	11.2		Court Travel and Business Meal Expense Reimbursement Procedures Need Improvement					
		10	Three out of eight travel expense claims reviewed were not signed approved and a fourth was not approved by the appropriate-level supervisor. Further, the Court could not demonstrate prior approval for out-of-state travel related to the fourth travel expense claim.		C I	The court agrees with this audit finding and will implement the following changes: a.) All Judges travel claims must have an approval signature from either the Presiding Judge or the Assistant Presiding Judge before payment. b.) Presiding Judge travel claims must have the approval signature from the Assistant Presiding Judge and Assistant Presiding Judge before payment. c.) All travel claims of court staff must be approved by their immediate manager or a higher level manager before payment. The Court Executive Officer's travel claims must be approved by either the Presiding Judge or the Assistant Presiding Judge. d.) Accounts payable approval staff will make sure the appropriate signatures are on the travel claim forms prior to posting in SAP.	CFO	January 2011
		10	For the two business-related meals reviewed, the Court could not provide completed business-related meal expense forms. Therefore, we could not determine the location or cost-per-person for one of the two meals reviewed. Further, the Court could not provide prior approval for the two business-related meals reviewed.		C I	The court agrees with this audit finding and will implement the following procedure. The court has created a Business Related Meals Form and will provide it to all managers to complete in the event there is a need to incur this type of expense in the future.	CFO	January 2011
		Log	The Court does not ensure that individuals who operate a vehicle on Court business attend the defensive driver's training class every four years.		C I	The Court acknowledges this issue log, and will begin a process to ensure drivers are trained every four years.	HR Analyst II	June 12, 2012
		Log	The single transaction limits for 4 of 6 Cal Cards exceed the \$1,500 limit stated in the FIN Manual.		C I	The court will review the transaction limits for Cal Cards and reduce the transaction limits to those recommended by the TCFPP if applicable.	CFO	May 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets			The Court indicates that it does not complete Form SF-274, Supervisor Review of Motor Vehicle Accident, in the event of a vehicle accident. The Court did not use the most appropriate general ledger account for two of the 30 invoices reviewed.			The Court does complete the SF-270, but was not familiar with the SF-274 and will ensure the SF-274 is completed in addition to the SF-270. The court uses GL 921704 in cost center 392190 to track our summer youth program, regardless of the type of expense because it is a "special event". Because the costs associated with this are only a few hundred dollars, we did not set up a WBS to track. In the future we will do so.	Respective - Supervisor and Manager CFO	January 2012 July 2011
		Log	Nine of 30 invoices reviewed did not demonstrate that the Court performed a three-point match of the invoice to a purchase agreement, such as a purchase order or contract, and to proof of receipt and acceptance of goods or services, such as a packing slip or acknowledgment that acceptable goods or services were received.	C		The Court agrees with the issue that we are not applying the 3 point match policy with some of our contract and blanket POs. Accounts Payable will immediately request, prior to payment, acceptance documentation from the person requesting the procurement good or service.	CFO	The parking garage changed ownership. Working on agreement, will be completed 12/31/12
		Log	Accounts payable files for one of 30 invoices reviewed did not contain purchase agreements; therefore, we were unable to determine whether payments were made in accordance with a purchase agreement.	I		The Court agrees that one invoice did not contain a purchase agreement. The Court will work to develop a purchase agreement with the City of Stockton for our employee parking. The City has not wanted to do this in the past.	CFO	The parking garage changed ownership. Working on agreement, will be completed June 2011
		Log	One court interpreter mileage claim used a P.O. Box address, instead of a business or residence address, which makes it difficult for the Court to verify the claimed mileage.	C		The interpreter coordinator will ask that the interpreter put her street address, in addition to her PO Box, on future claims.	CFO	June 2011
		Log	Two court reporter transcript invoices were not paid according to rates established in Government Code section 69950. As a result, the two invoices were underpaid by at least \$1,290.	C		The Court agrees with the underpayment of the court reporter transcript invoices. The court reporters were not aware that the requirement of 5 ASCILIs on death penalty cases had been changed to 6. Because they were unsure they created the 6 cds but only charged the Court for 5.	CFO	June 2011
12 Fixed Assets Management	12.1		The Court Could Improve Its Tracking and Reporting of Court Assets The Court acknowledged that it does not have a list of court-owned computer software and may not have been in compliance with all software vendor licensing agreements. However, the Court stated that had entered into a new agreement to bring it into compliance with the licensing agreements.				Information Systems Manager	May 2010
		9	Our review of four expenditures classified as inventory items revealed that not all inventory items purchased were listed on the Court's inventory list. Specifically, one printer/copier was not on the list.	C		The Court agrees with the audit team's recommendations/assessment. Our responses are as follows: The court has entered into a software licensing agreement as of May 14, 2010. This licensing agreement provides the Court third party assistance and online tools to manage software licensing. These management control tools include methods of periodically comparing installed software against licensing terms.	Business Services Manager	July 2009 and ongoing
		9	Out of the 98 inventory items selected for "floor-to-list" verification, 19 inventory items were not found on the inventory list. Also, 10 of the 19 inventory items did not have an asset ID tag. In addition, the 10 of 79 inventory items listed, the inventory list did not accurately reflect the description for one inventory item. Further, the inventory list did not accurately reflect the location for 11 of the 79 inventory items found on the inventory list.	C		See response above.	Business Services Manager	July 2009 and ongoing

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
2 Fiscal Management and Budgets								
		Log	The Court does not have a process to periodically identify and dispose of obsolete IT equipment, such as identifying broken or obsolete equipment during its annual inventory.		C	I The Court has implemented processes to follow the TCFPP for asset disposal. However internally, the process is not always followed by staff creating the perception of no process. The Court continues to work with staff to ensure TCFPP asset disposal processes are always followed.	Business Services Manager	January 2012
		Log	The Court's inventory list did not accurately reflect the location for one of the 11 fixed assets selected to review.		C	I The Court appreciates these comments and does continue to improve upon its current practices. Some items do have generally described locations due to shared equipment; however, we do understand that being more specific greatly assist with inventory. Because the fixed asset inventory requires cooperation of all staff, it is often difficult to maintain a completely accurate inventory of the Court's 4,300+ tagged items.	Business Services Manager	January 2012
		Log	Out of the 67 inventory items selected for "list-to-floor" verification, we could not locate three inventory items. In addition, of the 64 inventory items located, the Court's inventory list did not completely or accurately reflect the identifying information or description for six inventory items. Further, the inventory list did not accurately reflect the location for nine of the 64 inventory items located.		C	I The Court appreciates these comments and does continue to improve upon its current practices. Some items do have generally described locations due to shared equipment; however, we do understand that being more specific greatly assist with inventory. Because the fixed asset inventory requires cooperation of all staff, it is often difficult to maintain a completely accurate inventory of the Court's 4,300+ tagged items.	Business Services Manager	January 2012
13 Audits			No issues to report.					
				83	17	83		
				83	80%			
				66	20%			
				17	100%			

Total Accounting Issues Resolved
Incomplete Issues

Incomplete items as of 9/28/12 46

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
1	Court Administration	1.1	The Court Has Not Developed a Written Business Continuity Plan The Court does not have a written business continuity plan.	1	I	The Court agrees with the finding(s). During March 2011, the Court's Business Services Manager and IT Manager attended a two day AOC Continuity of Operations training to assist the Court with ongoing development of a BCP, and a DRP. Due to significant lack of financial resources, the Court was not able to replace the IT Manager until a couple of months ago. As a result, it will take some time for the Court to finalize both plans. The Court fully understands the importance of these plans and will continue to press forward to completion. In addition, the Court has already obtained a copy of the County's BCP/DRP related to the CJIS and AMOS systems. See response above.	Information Technology (IT) Manager and Business Services Manager	FY 2013-14
		13	Although the Court uses the County's CJIS and AMOS systems, it does not have a copy of the County's business continuity plan readily available in case of emergency.	1	I	See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court/County MOU does not include annual testing of the business continuity plan and disaster recovery plan on the CJIS and AMOS systems by the County.	1	I	See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court's draft IT disaster recovery plan does not address remote storage of emergency materials, conditions under which the backup site would be used, or procedures for notifying the backup site and the company providing remote storage.	1	I	See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court has not tested its existing evacuation plan.	1	I	See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court does not test the backup site.	1	I	See response above.	IT Manager and Business Services Manager	FY 2013-14
2	Fiscal Management and Budgets							
		4	The County mails checks and paystubs to Court employees' homes rather than providing checks and paystubs to the Court for physical distribution to each Court employee. Consequently, the Court risks making payments to fictitious employees.	1	I	The County Auditor's office processes our payroll and paychecks. It is the County's policy that paychecks must either be electronically deposited to the employee's bank or financial institution, or the paycheck must be mailed via US Postal Service to their home address. The County does not physically distribute any payroll checks so the Court will not be able to comply with the recommendation to have the County deliver to the Court employee's checks for physical distribution. However, the Court's Senior Human Resources Analyst will print out a list of all court staff from	HR Manager	When we stop using the County to process our Payroll
3	Fund Accounting		No issues to report.					
4	Accounting Principles and Practices							
5	Cash Collections							
		Log	One court location does not maintain a drop box payment log.	1	I	We will work with all locations to comply.	CFO	June 2011

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		Log	Public access to cashiers is not restricted at one location.	1		As an under resourced court, we are unable to provide restricted public access to cashiers in the form of glass partitions at the counter. When the court is adequately funded, the court will do so.	Business Services Manager	If funding allows, FY 2013-14 When new building is built
		Log	Arrangement of offices at four locations is not designed to prevent employees who handle cash from having access to accounting records, such as daily closeout reports and bank deposit packages.	1		Unfortunately our court locations have limited space for employees in our current facilities. Fortunately, each of the 4 locations where this issue was identified will be getting new/remodeled facilities over the next few years. Once these new facilities are completed the court will be in a much better position to facilitate compliance to this issue.	Court Management	FY 2014-15 - May be closing locations - will update when funds are available
6	Information Systems							
	6.1		The Court Needs to Strengthen Its Procedures for Controlling Access to Sensitive Electronic Data Records					
		6	At the time of our review, the Court did not have a current MOU with DMV.	1		After contacting the DMV, the Court learned that the DMV had abolished MOU's for government end users. Instead agencies submit a 60+ page Security Requirement Package. After the DMV reviews and approves the package, in lieu of the MOU that was sent out for signatures, they send an approval letter to the agency, no signatures required. The agency must re-apply every 4 years.	Business Services Manager & Court Manager Of Traffic Division	FY 2012/13
	6.2		Information System User Account Requirements Should Be Strengthened					
		14	The Court does not have written IT policies and procedures. As a result, it does not have written policies and procedures that address issues concerning the creation, deletion, and modification of user IDs and password management.	1		Agree: While the Court does have some minimal written IT policies and procedures, they do not address the creation, deletion or modification of user ID's and password management. The IT manager position was filled a couple of months ago, and will work to create written policies concerning the creation, deletion and modification of user ID's within the next six months. However, it should be noted that the Court has an outdated Microsoft Windows NT 4.0 network domain that has very limited features when it comes to password management. The outdated network platform does not have the capability to log users off for periods of inactivity, it does not allow us to disable accounts after invalid log-in attempts. The platform also does not allow us the capability to force users to change their passwords after a fixed period of time. Furthermore, the platform does not allow us the capability to force syntax and type of character set or password length.	Supervising Information Systems (IS) Analyst	If funding permits, FY 2013-14

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						The Court's previous IT Manager did initiate plans to upgrade the Court's network platform to a Microsoft Active Directory platform, with that plan possibly coming to fruition in fiscal year 2011-2012. However, with extremely limited financial resources available to our Court, there is some concern that the migration to an active directory platform may be beyond the resources available to the Court. There have been other issues that have arisen in regards to additional server upgrades that will need to be made that have made this project problematic for a court with limited fiscal resources. The IT department will continue to plan the migration to the newer network platform, however, with current fiscal limitations, no date of completion is available at this time.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its CJIS/AMOS CMS and ShowMe CMS, do not require users to change the initial password after initial sign-on.		1	1	Agree: The Court's Programming and Systems Analyst will work to incorporate forcing users to change passwords periodically, force syntax requirements and password lengths. We are not certain that all of these controls can be implemented due to the age of the ShowMe code, or the ability to modify the code accordingly. We will investigate the capabilities of the current system and work on adding these security features with a possible completion period of six months.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its ShowMe CMS, do not enforce restrictions on password syntax, such as not using the same character consecutively and requiring the use of more than one type of character set (numbers, letters, symbols, etc.)		1	1	The outdated Microsoft Windows NT4.0 network platform does not have the capability to require users to change passwords periodically, force syntax requirements and control password lengths. See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its ShowMe CMS, do not require an appropriate minimum password length.		1	1	See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its CJIS/AMOS CMS and ShowMe CMS, do not require passwords to be changed periodically.		1	1	See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its ShowMe CMS, do not disable user accounts after a number of invalid sign-on attempts.		1	1	See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its ShowMe CMS, do not place time restrictions on user accounts for a specified period of inactivity.		1	1	Agree: The outdated Microsoft Windows NT 4.0 network domain does not have the capability to allow user accounts to be disabled after a number of invalid sign-on attempts or after a period of inactivity. The ShowMe CMS user accounts can possibly be modified to disable the user after a number of invalid sign-on attempts or after a period of inactivity. The Court's Programming and Systems Analyst will work on adding these security features with a possible completion period of six months.	Supervising IS Analyst	If funding permits, FY 2013-14
	14	The Court's network system, as well as its ShowMe CMS, do not disable user accounts after a period of inactivity.		1	1	See response above.	Supervising IS Analyst	If funding permits, FY 2013-14

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	6.3		The Court Needs to Improve Its Calculations and Distributions of Court Collections					
		15	For the three DUI and Reckless Driving cases reviewed, the 20% State Surcharge was derived from the reduced base fine rather than the original base fine causing the 20% State Surcharge to be understated.	1	I	We agree with the audit findings and are currently working with the County to make the recommended distribution corrections to address items 1 through 11. In addition, over the next several months we will be reviewing other court collection case types to ensure we are complying with the Uniform Bail and Penalty Schedule. We would like to note that the Court uses the County's case management system (AMOS) for traffic and criminal distributions. AMOS is a 25+ year old case management system that is out dated and inflexible. As a result, making complicated distribution changes is difficult, time consuming and sometimes impossible. If County programmers are unable to make mandated legislative changes to distributions in the system, court and county accounting staff must create Excel spreadsheets to do the more complicated second and sometimes third distributions.	Court Management Analyst	December 2011
		15	The Court's CMS is not configured to calculate the 30% railroad fine distribution pursuant to PC 1463.12.	1	I	See response above.	Court Management Analyst	December 2011
		15	For one of the two child seat cases reviewed, the Court transposed the education program and loaner program distribution percentages.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	For the one unattended child case reviewed, there is no evidence of the 70/15/15 split pursuant to VC 15630, causing the County distribution, and ultimately the 50/50 MOE, to be overstated.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	The Court's State/County domestic violence fee distribution is 67%/37% instead of 66.67%/33.33%, thereby understating the State distribution by \$1.33 for each domestic violence fee assessed.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	For the one Health and Safety case reviewed, the 75%/25% split pursuant to H&S 11502 is not evident.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	For the one Fish and Game case reviewed, the \$15 Secret Witness penalty pursuant to F&G 12021 was not assessed.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	For one of the two red light cases reviewed, the ICNA portion of the State Court Facilities Construction Fund distribution was not reduced by the 30% red light allocation pursuant to PC 1463.11. Also, the two DNA penalty assessments are overstated by \$1 each.	1	I	See response above.	Court Management Analyst	June 1, 2013
		15	For the second red light case reviewed, the Court incorrectly included the 20% State Surcharge in calculating the 30% red light allocation pursuant to VC 42007.3.	1	I	See response above.	Court Management Analyst	June 1, 2013

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		15	For the three traffic violator school cases reviewed, the Court does not include the DNA penalty assessments pursuant to GC 76104.6 and GC 76140.7 in its distribution of the traffic violator school fee assessed pursuant to VC 42007.	1		See response above.	Court Management Analyst	June 1, 2013
		15	For the one child seat traffic school case reviewed, the Court distributed the base fine and penalty assessments to the code used for traffic school cases. However, child seat traffic school cases are distributed the same as a child seat bail forfeiture case.	1		See response above.	Court Management Analyst	June 1, 2013
		Log	The Court's network system and ShowMe CMS; do not limit the ability to re-use passwords.	1		Network system is old technology and does not have that capability. ShowMe CMS may have capability, Programmer will assess this function.	Information Systems and Programming Analyst / ShowMe Analyst	December 1, 2013
		Log	The Court's network system and ShowMe CMS; do not limit the number of concurrent logins.	1		Network system is old technology and does not have that capability. ShowMe CMS may have capability, Programmer will assess this function.	Information Systems and Programming Analyst / ShowMe Analyst	December 1, 2013
		Log	The Court does not use power cut-off switches or water and smoke detectors in its computer room.	1		The Court is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2013-14
		Log	Emergency lighting is not available in the Court's computer room.	1		The County is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2011-12
		Log	Although most computer equipment is stored off the floor, some servers are on the floor of the computer room, which is located in the basement.	1		Court will move two servers off of the floor and relocate on to cart.	Supervising IS Analyst	May 2011
		Log	The computer room does not have flood alarms installed.	1		The County is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2013-14
		Log	In 4 of 15 cases reviewed, the variance between the actual total bail and the standard total bail was not prorated among the penalty assessments causing the base fine distribution to the county and city, as well as the 20% State Surcharge, to be either understated or overstated.	1		We agree with the findings. We are working with the County to correct these errors.	Court Management Analyst	June 1, 2013
7	Banking and Treasury							
8	Court Security	8.1	The Court Needs to Strengthen Its Processes Regarding Court Security					

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		2	The Court has not submitted its Comprehensive Court Security Plan to the Judicial Council for review and approval since Fiscal Year 2007-2008.	1	I	We agree with the audit findings and are currently taking corrective actions. Below are our responses to the two security audit issues: In conjunction with the San Joaquin County Sheriff, we submitted our updated Security Plan to the Administrative Office of the Court's Office of Emergency Response and Security Division (ERS) in June 2010. The ERS had concerns regarding our plan, and returned it for revision. We intend to resubmit our plan by the end of November 2010.	Court Executive Officer (CEO)	May 1, 2013
		Log	At the time of our review, fire suppression and/or fire control systems have not been tested within the last 12 months at one location.	1	I	This log does not specify which location; however, the Court will ask the AOC's FMU to ensure that systems are tested as required/needed.	AOC Facilities Management Unit & Court's Business Services Manager	December 1, 2012
		Log	At the time of our review, smoke detectors had not been tested within the last 12 months at one location.	1	I	The Court will work with the AOC's FMU to resolve this issue.	AOC Facilities Management Unit & Court's Business Services Manager	December 1, 2012
		Log	Fire extinguishers are not well marked at two locations.	1	I	The Court will work with the AOC's FMU to resolve this issue.	AOC Facilities Management Unit & Court's Business Services Manager	December 2012
9	Procurement		The Court Can Further Improve Its Procurement Practices					
10	Contracts		Two contracts related to court security contained a contractor termination clause other than for cause.	1	I	Yes, these contracts were developed prior to the Court & County separation and have remained in effect. At present the Court has good relationships with both entities and determined that the other than cause clause would not adversely affect these relationships or cause the Court harm; however, the Business Services Manager will evaluate the clause with the Court's CEO to determine if a change is necessary.	Business Services Manager	December 1, 2012
		Log	The MOU related to providing space for the Self-Help Center did not contain a contract change clause or a confidentiality clause.	1	I	This MOU will be reviewed and discussed with the Court's CEO to determine if any changes need to be made.	Business Services Manager	December 1, 2012
		Log	Access to contract, bid, and vendor files is not limited to minimize the potential for misplaced or lost files.	1	I	Due to facility restraints, the Court has minimal secure filling space for contract, bid and vendor files. The new courthouse scheduled to be completed in 2015 will address this issue. In the interim, the Court will seek avenues to minimize access to these files.	Business Services Manager	December 2015 - when new courthouse is built
		Log	The Court acknowledged that its MOU with the County does not include costs of services provided or anticipated service outcomes as required by Government Code §77212(d)(1).	1	I	This is correct. This issue memo log will be discussed with the Court's CEO to determine any changes the CEO desires.	Business Services Manager	December 2012 - working with AOC Audit division
11	Accounts Payable		The Court Should Strengthen Its Petty Cash Procedures					
		11.1	Court Travel and Business Meal Expense Reimbursement Procedures Need Improvement					
		11.2	Accounts payable files for one of 30 invoices reviewed did not contain purchase agreements; therefore, we were unable to determine whether payments were made in accordance with a purchase agreement.	1	I	The Court agrees that one invoice did not contain a purchase agreement. The Court will work to develop a purchase agreement with the City of Stockton for our employee parking. The City has not wanted to do this in the past.	CFO	The parking garage changed ownership. Working on agreement, will be completed.
12	Fixed Assets Management							
13	Audits		No issues to report.					

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14	Records Retention		No issues to report.					
15	Domestic Violence							
16	Exhibits	16.1	Improvements Can Be Made to Strengthen Accountability Over Exhibits					
17	Bail		No issues to report.					

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1 Court Administration	1.1		The Court Has Not Developed a Written Business Continuity Plan The Court does not have a written business continuity plan.	I		The Court agrees with the finding(s). During March 2011, the Court's Business Services Manager and IT Manager attended a two day AOC Continuity of Operations training to assist the Court with ongoing development of a BCP, and a DRP. Due to significant lack of financial resources, the Court was not able to replace the IT Manager until a couple of months ago. As a result, it will take some time for the Court to finalize both plans. The Court fully understands the importance of these plans and will continue to press forward to completion. In addition, the Court has already obtained a copy of the County's BCP/DRP related to the CJIS and AMOS systems.	Information Technology (IT) Manager and Business Services Manager	FY 2013-14
		13	Although the Court uses the County's CJIS and AMOS systems, it does not have a copy of the County's business continuity plan readily available in case of emergency.	I		See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court/County MOU does not include annual testing of the business continuity plan and disaster recovery plan on the CJIS and AMOS systems by the County.	I		See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court's draft IT disaster recovery plan does not address remote storage of emergency materials, conditions under which the backup site would be used, or procedures for notifying the backup site and the company providing remote storage.	I		See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court has not tested its existing evacuation plan.	I		See response above.	IT Manager and Business Services Manager	FY 2013-14
		13	The Court does not test the backup site.	I		See response above.	IT Manager and Business Services Manager	FY 2013-14
		Log	One of ten submitted cases we reviewed was decided on at least 122 days after being taken under submission.	C	1	Responsible Subordinate Judicial Officer retired.	Presiding Judge	Complete
2 Fiscal Management and Budgets	2.1		The Court Needs to Improve Its Payroll Processing Practices					

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		Log	The Court is not calculating janitorial costs correctly for the Child Support Commissioner Program (CSC) grant. Specifically, the Court is not applying the CSC occupancy percentage to the Court's total janitorial cost prior to applying the percentage for partially reimbursable operating expenses.	C		The court will document the calculation used to allocate janitorial costs to the Child Support Commissioner Program (CSC) grant. The calculation will be based on occupancy percentage and applied to the total janitorial cost prior to the application of the percentage for partially reimbursable operating expenses.	Chief Financial Officer (CFO)	July 2010
5	Cash Collections							
	5.1		The Court Needs to Improve Its Control and Oversight over Handwritten Receipts Supervisor does not secure the manual receipt book when not in use.		C	Securing handwritten receipt books - The court agrees there is an issue with the securing of handwritten receipt books at some of our court locations. We will require managers and supervisors to secure and maintain physical custody of the handwritten receipt books when not in use.	CFO	November 2010
		1	Manual receipt books contained missing receipts that could not be accounted for.		C	Missing receipts, out of sequence receipts, completion of pertinent information on receipts and the timely entering of hand written receipts into CMS issues. - The Court agrees with issue 2 and will implement the audit recommendations. We will require managers and/or supervisors to review at least quarterly the handwritten receipt books to ensure all receipts are accounted for. When the CMS goes down, handwritten receipt books will be issued to staff and subsequently returned to the manager and/or supervisor when the CMS is restored to use. The manager and/or supervisor will review the books when returned to ensure the receipts were issued in sequential order, that staff completed receipts with all pertinent information and that receipts are entered into the CMS no later than 1 business day following the day the CMS system was restored to use. When discrepancies are discovered, they will be discussed immediately with staff, documented and retained with the receipt book for audit purposes.	CFO	November 2010
		1	Manual receipts used out of sequence.		C	See response above.	CFO	November 2010
		1	Manual receipts not always completed with all relevant information.		C	See response above.	CFO	November 2010
		1	Court location could not determine the amount of money collected due to a manual receipt not noting a case number or the dollar amount paid.		C	See response above.	CFO	November 2010
		1	Manual receipts not always posted timely in CMS.		C	See response above.	CFO	November 2010

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		1	Manual receipts used for reasons other than when CMS is down.		C	<p>Using handwritten receipts for instances other than CMS being down - The Court agrees that handwritten receipts should not be used except when CMS is down. The instances where the court has used handwritten receipts and our responses are as follows:</p> <ol style="list-style-type: none"> 1. Victim Restitution - After investigating the handwritten receipt the auditor found that prompted this finding, our manager over criminal found it was a payment that was taken in the courtroom at the request of a judge 2 years ago. This was an isolated event. I met with one of our courtroom supervisors and she will remind staff that the court does not have a mechanism to collect and disburse victim restitution. Also, with handwritten receipts secured by only managers and/or supervisors, they would be aware of this situation if it happened in the future and would instruct the clerk and/or judge in the proper procedure. 2. UD Writs - We have reiterated with staff that hand written receipts are only to be used when the CMS system is down. Also, with handwritten receipts secured by only managers and/or supervisors, they would be aware of this situation if it happened in the future and would instruct the clerk in the proper procedure. 3. Juror Sanctions - This issue arose because jurors would come to the counter to pay right from court after being sanctioned, before a JUR case had been opened in our CMS (V3). Because V3 will not let a receipt be issued until a case is opened, staff would issue a handwritten receipt. A new procedure has been developed and implemented that allows a clerk at the counter to open the JUR case and issue a receipt in V3 thus preventing the use of handwritten receipts. 4. Payments needing judicial review prior to filing - Our staff have been told that handwritten receipts are only to be issued in the event a CMS is down. Using handwritten receipts for payments needing judicial review prior to filing may have been an access and/or training issue so we are enforcing the rule that handwritten receipts be secured by only managers and/or supervisors. If receipt books have to be obtained from the manager or supervisor it gives them an opportunity to review the situations and train clerks in the correct procedures thus avoiding the use of handwritten receipts. 	CFO	January 2011

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						5. Trust payments associated with different locations – Our staff have been told that handwritten receipts are only to be issued in the event a CMS is down. To avoid turning away customers wanting to establish trust for another location as much as possible, we have given the manager and supervisor Global Accounting access to our traffic CMS (Amos) which enables them to establish trusts for other locations. If by chance the supervisor or manager is not there, if the customer pays with a check, their canceled check is their receipt. If they want to pay in cash, staff will instruct the customer to go pay at the correct location.		
	5.2		The Court Needs to Strengthen Its Cash Handling Procedures Cashiers share the same cash bag when taking payments.					
	3			C	1	The Court agrees that we need to standardize our cash collection procedures at all locations. Individual cash bags will be assigned to each cashier on a daily basis. We have created a sign-out/sign-in log that supervisors, managers or lead clerks will complete each day when issuing cashiers their change bags. Thorough completion of the log will assure bags that are checked-out are checked-in and that the counting of the cash at each of these intervals has been completed.	CFO	March 2011
	3		No evidence of supervisory review of cashiers' beginning cash.	C	1	See response above.	CFO	March 2011
	3		Court location does not always retain the original voided receipts.	C	1	The Court agrees with the recommendations of issue 2. Managers will be sent instructions to retain a copy of all voided transactions and to make sure either a manager, supervisor or lead LPC signs and retains the Void Payment Acknowledgement Form. Also, we will reiterate with managers that only managers, supervisors and a designated lead clerk (LPCIII) should have system access to void transactions and that anyone that has system access to void should never void their own transaction.	CFO	March 2011
	3		The Void Payment Acknowledgement Form is not always sign-approved or retained to support voided transactions.	C	1	See response above.	CFO	March 2011
	3		Inconsistent supervisory review and approval of void transactions. As a result, our review of voided transactions revealed that a LPC II, rather than a manager, supervisor, or LPC III, voided transactions at one location, an LPC III voided 10 of their own transactions and a LPC II, rather than a manager, supervisor, or LPC III, voided another transaction at another location, and a LPC I, instead of a manager, supervisor, or LPC III, voided transactions at a third location.	C	1	See response above.	CFO	March 2011

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		3	No evidence of supervisory review of cashiers' daily closeout, including monies collected in the courtroom.	C	1	The court agrees with all the recommendations of issue 3. The court will require each location to perform the daily closeout process at the end of each day. Supervisors will be required to review, sign and date their staff's closeout/balancing reports to demonstrate their review of the process and that staff have performed all the necessary end-of-day balancing functions.	CFO	March 2011
		3	One cash bag assigned to the Civil division contained four unprocessed cash payments with dates ranging from June 2008 to March 2010.	C	1	See response above.	CFO	March 2011
		3	Clerks do not always sign their cashier balancing reports.	C	1	See response above.	CFO	March 2011
		3	Clerks do not always prepare an adding machine tape to verify total amount of checks collected.	C	1	See response above.	CFO	March 2011
		3	Daily balancing is not done until the following day.	C	1	See response above.	CFO	March 2011
		3	Two-person team not used to open mail.	C	1	Due to staffing restrictions and the already time consuming process of opening and processing mail, the court is struggling with the 2 person team needed to open the mail and log all checks received, particularly at the branch locations. I am working with managers to see if we can come up with an alternative procedure that will comply with the procedure. We agree we should safeguard and secure unprocessed mail payments until they can be entered into the CMS and we agree we should make every effort to process all mail payments by the next business day. We will also consider putting those checks in "suspense" that are unable to be processed but we are hopeful that once we reiterate with staff and hold them accountable, we should rarely need to do that.	CFO	May 2011
		3	Mail payment log not used.	C	1	Processing payments each day or locking up the money in the safe. Process approved by John Judnick.	CFO	May 2011
		3	Clerk opening mail also performs the incompatible function of processing mail payments on the same day.	C	1	See response above.	CFO	May 2011
		3	Clerk processing mail payments also performs the incompatible function of processing counter payments on the same day.	C	1	See response above.	CFO	May 2011
		3	Clerk processing drop box payments also performs the incompatible function of processing counter payments on the same day.	C	1	See response above.	CFO	May 2011
		3	Unprocessed mail payments are left unsecured on clerks' desks.	C	1	See response above.	CFO	May 2011
		3	Mail payments are held unprocessed longer than 48 hours.	C	1	See response above.	CFO	May 2011
		3	Court location does not maintain an aging schedule of unprocessed mail payments.	C	1	See response above.	CFO	May 2011
		3	Court location does not have an escalation process for unprocessed mail payments.	C	1	See response above.	CFO	May 2011
		3	No evidence of supervisor or manager verifying the deposit.	C	1	We agree that supervisors should sign and date all deposit slips to demonstrate their review of the deposit. In Stockton procedures have been changed where either supervisors or lead clerks verify deposits from cashiers every day. We will work with the branch courts to make sure they are following this procedure as well.	CFO	Stockton - May 2011 Branch Courts - October 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		3	Court personnel who verify cashier daily closeout and balance also perform the incompatible function of preparing the deposit.	C	1	In the accounting department, staff who do the deposits no longer verify the daily closeout and balance function.	CFO	May 2011
		Log	Court stamps are not secured overnight at three locations.	C	1	We agree that stamps should be secured overnight and will implement as soon as possible at all locations.	CFO	June 2011
		Log	Photo ID is not required for credit card payments at one location.	C	1	We agree that photo ID should be required for credit card payments at all locations and will implement as soon as possible.	CFO	June 2011
		Log	Access to safe is not limited to supervisors and managers at three locations.	C	1	Safe access should be limited to supervisors, managers and designated lead clerks if necessary. We will work with all locations to comply.	CFO	June 2011
		Log	The safe remains unlocked throughout the entire day or for extended lengths of time at four locations.	C	1	The safe should remain locked throughout the entire day at all locations. We will work with all locations to comply.	CFO	June 2011
		Log	No locations had a receipt notice posted at the time of our review.	C	1	The 3rd floor of the Stockton courthouse now has a receipt notice posted for the public. We will work with all locations to implement.	CFO	June 2011
		Log	Fee waiver notice not posted at the time of our review at one location.	C	1	The 3rd floor of the Stockton courthouse now has a fee waiver notice posted for the public. We will work with all locations to implement.	CFO	June 2011
		Log	HR poster not posted at the time of our review at one location.	C	1	We received updated Fed and State Law posters on 2/2/11 and were posted at all court locations by 2/11/11.	HR Manager	February 2011
		Log	HR poster incomplete or outdated at the time of our review at three locations.	C	1	Updated posters were provided to all court locations by 2/11/11. A follow up will be conducted to make sure all posters are visible to staff.	HR Manager	May 2011
		Log	Log and summary of occupational injuries and illnesses incomplete or not displayed at the time of our review at eight locations.	C	1	A copy of the required OSHA reports and logs are available in the HR office. OSHA 300A Summary of Work Related Injuries and Illnesses were provided to all Court Managers for posting in their department on 5/16/11.	HR Manager	May 2011
		Log	Clerks keep cash bags in their unlocked desk drawer during the day at one location.	C	1	Clerks must keep cash bags locked up whether they are in the safe, their cash drawer at the counter or at their desk. We will work with all locations to comply.	CFO	June 2011
		Log	Not all clerks assigned to cashier are given cash bags since the majority of transactions are done via check. As a result, cashiers must leave their window to get change from the accounting unit when needed at one location.	C	1	We have returned to the policy that all cashiers for the day check out cash bags. Select supervisors have been given change bags to eliminate the need for cashiers to go to accounting for change.	CFO	June 2011
		Log	One court location does not maintain a drop box payment log.	I		We will work with all locations to comply.	CFO	June 2011
		Log	Public access to cashiers is not restricted at one location.	I		As an under resourced court, we are unable to provide restricted public access to cashiers in the form of glass partitions at the counter. When the court is adequately funded, the court will do so.	Business Services Manager	If funding allows, FY 2013-14 When new building is built
		Log	Clerk did not complete all required information on the "Daily Cash Count" form at one location.	C	1	We will work with all locations to comply.	CFO	June 2011
		Log	Arrangement of offices at four locations is not designed to prevent employees who handle cash from having access to accounting records, such as daily closeout reports and bank deposit packages.	I		Unfortunately our court locations have limited space for employees in our current facilities. Fortunately, each of the 4 locations where this issue was identified will be getting new/remodeled facilities over the next few years. Once these new facilities are completed the court will be in a much better position to facilitate compliance to this issue.	Court Management	FY 2014-15 - May be closing locations - will update when funds are available

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		Log	Main accounting does not note in its manual receipts book log when it receives used manual receipt books.	C	I	The court is recreating the log for its manual receipt books in Excel and will include on this log the date it receives used manual receipt books back from managers/supervisors.	CFO	May 2011
		Log	The Court does not always note the CMS receipt number on manual receipts per its own policy.	C	I	We will work with all locations to comply.	CFO	May 2011
		Log	One court location had completed manual receipt books that it had not turned in to main accounting.	C	I	We will work with all locations to comply.	CFO	May 2011
		Log	Court is using County-issued manual receipt books.	C	I	Due to limited resources the court will wait until the next time we need to order manual receipt books to get our own. Current supply could last anywhere from one year to 18 months.	CFO	FY 2013-14
		Log	One court location secures non-court funds, a personal party fund, in its safe.	C	I	The box for the employee's picnic/party fund raised money will be removed from the safe and kept in the employee's locked desk drawer. According to the custodian, the money has always been in her drawer but the box was in the safe empty.	CFO	May 2011
		Log	One court location has a \$9.09 overage fund that is not listed on main accounting's list of change and petty cash funds for each court location.	C	I	Main accounting will check into the origination of these funds and determine a course of action based on our findings.	CFO	May 2011
		Log	Main accounting does not retain voided original receipts and cashier closeout reports from one Court location as required by the FIN Manual.	C	I	The court has contacted the managers/supervisors at the locations mentioned and corrected the issue.	CFO	May 2011
		Log	The Fiscal Technician who prepares the deposit at the main courthouse location also performs the incompatible functions of processing voids for another Court location as well as verifying the daily closeout for all clerks within the main courthouse location.	C	I	Another fiscal technician is now preparing the deposits that does not process voids for any Court location. Also, cashier supervisors are now verifying the daily closeout for all clerks, including the counting of the cash.	CFO	May 2011
		Log	An overage/shortage form, similar to the one used in the Traffic division, is not used in the Criminal division. As a result, the overage fund did not vouch to the Criminal division's tracking sheet. The overage fund was over 66 cents.	C	I	The staff will be reminded to use the Overage/Shortage form when they are out of balance.	Criminal Supervisor	May 2011
		Log	There is no periodic supervisory review of the overage funds for the Criminal and Traffic divisions in order to vouch the overage funds to supporting documentation such as tracking sheets.	C	I	The court will ensure supervisory review of the overage fund for the Criminal and Traffic division.	CFO	May 2011
6 Information Systems								
	6.1		The Court Needs to Strengthen Its Procedures for Controlling Access to Sensitive Electronic Data Records					
	6		At the time of our review, the Court did not have a current MOU with DMV.	I		After contacting the DMV, the Court learned that the DMV had abolished MOUs for government end users. Instead agencies submit a 60+ page Security Requirement Package. After the DMV reviews and approves the package, in lieu of the MOU that was sent out for signatures, they send an approval letter to the agency, no signatures required. The agency must re-apply every 4 years.	Business Services Manager & Court Manager Of Traffic Division	FY 2012/13

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		6	The Court does not require its employees who have access to sensitive DMV data to complete Form INF1128 as required by DMV.		C	The Court is adding the Information Security Statement, Form INF 1128 to the new employee orientation packet that new employees are given when hired. Human Resources will make sure employees sign the forms and signed forms will be kept in each employee's personnel file. HR will see to it that the forms are reviewed and signed annually.	HR Manager	March 2011
		6	The Court does not have a formal process to delete DMV user IDs. The County ISD automatically deletes DMV user IDs after 60 days of inactivity.		C	The Court will develop a check list of all items given to staff when hired such as keys, employee IDs, parking passes etc and court equipment issued for their jobs such as laptops and cell phones if applicable. This list will also include all court data systems the employee has access to, i.e. DMV, CJIS, V3, SAP, E-mail. Human Resources will keep the list in the employee's personnel file. When an employee terminates employment HR will work with the employee's manager to make sure everything on the list assigned to that employee is returned and that access to all court systems is inactivated. There will be one person designated for each data system to manage activation/deactivation. The employee's manager will be responsible for notifying this person to deactivate the employee's access.	HR Manager; Court Managers	March 2011
		6	The Court's DMV user ID list contained 65 people who were not employed by the Court at the time of our review.		C	See response above.	HR Manager; Court Managers	March 2011
		6	The Court does not monitor DMV query and transaction activity to detect inappropriate access to DMV data. As a result, the Court was unaware that one Court employee researched herself and could not provide a legitimate business reason for another person that was searched.	C		If there is a complaint of misuse of DMV, the County IT Department can run a report that gives us the following information – who accessed the information, date and time access was made, what transaction code was used, what information they inquired on. The Court will ask the County IT Department to run a quarterly report of all DMV transactions for the purpose of an internal audit.	Criminal, Traffic, and Juvenile Delinquency Manager	January 2011
		6	A DMV hold was not placed for two FTA cases reviewed where a DMV hold should have been placed.	C		We will continue to work with the County IT Department to make sure this issue is resolved.	Criminal, Traffic, and Juvenile Delinquency Manager	January 2011
	6.2		Information System User Account Requirements Should Be Strengthened					

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		14	The Court does not have written IT policies and procedures. As a result, it does not have written policies and procedures that address issues concerning the creation, deletion, and modification of user IDs and password management.	I		<p>Agree: While the Court does have some minimal written IT policies and procedures, they do not address the creation, deletion or modification of user ID's and password management. The IT manager position was filled a couple of months ago, and will work to create written policies concerning the creation, deletion and modification of user ID's within the next six months. However, it should be noted that the Court has an outdated Microsoft Windows NT 4.0 network domain that has very limited features when it comes to password management. The outdated network platform does not have the capability to log users off for periods of inactivity, it does not allow us to disable accounts after invalid log-in attempts. The platform also does not allow us the capability to force users to change their passwords after a fixed period of time. Furthermore, the platform does not allow us the capability to force syntax and type of character set or password length.</p> <p>The Court's previous IT Manager did initiate plans to upgrade the Court's network platform to a Microsoft Active Directory platform, with that plan possibly coming to fruition in fiscal year 2011-2012. However, with extremely limited financial resources available to our Court, there is some concern that the migration to an active directory platform may be beyond the resources available to the Court. There have been other issues that have arisen in regards to additional server upgrades that will need to be made that have made this project problematic for a court with limited fiscal resources. The IT department will continue to plan the migration to the newer network platform, however, with current fiscal limitations, no date of completion is available at this time.</p>	Supervising Information Systems (IS) Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its CJS/AMOS CMS and ShowMe CMS, do not require users to change the initial password after initial sign-on.	I		<p>Agree: The Court's Programming and Systems Analyst will work to incorporate forcing users to change passwords periodically, force syntax requirements and password lengths. We are not certain that all of these controls can be implemented due to the age of the ShowMe code, or the ability to modify the code accordingly. We will investigate the capabilities of the current system and work on adding these security features with a possible completion period of six months.</p> <p>The outdated Microsoft Windows NT4.0 network platform does not have the capability to require users to change passwords periodically, force syntax requirements and control password lengths.</p>	Supervising IS Analyst	If funding permits, FY 2013-14

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		14	The Court's network system, as well as its ShowMe CMS, do not enforce restrictions on password syntax, such as not using the same character consecutively and requiring the use of more than one type of character set (numbers, letters, symbols, etc.)	I		See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its ShowMe CMS, do not require an appropriate minimum password length.	I		See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its CJIS/AMOS CMS and ShowMe CMS, do not require passwords to be changed periodically.	I		See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its ShowMe CMS, do not disable user accounts after a number of invalid sign-on attempts.	I		See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its ShowMe CMS, do not place time restrictions on user accounts for a specified period of inactivity.	I		Agree: The outdated Microsoft Windows NT 4.0 network domain does not have the capability to allow user accounts to be disabled after a number of invalid sign-on attempts or after a period of inactivity. The ShowMe CMS user accounts can possibly be modified to disable the user after a number of invalid sign-on attempts or after a period of inactivity. The Court's Programming and Systems Analyst will work on adding these security features with a possible completion period of six months.	Supervising IS Analyst	If funding permits, FY 2013-14
		14	The Court's network system, as well as its ShowMe CMS, do not disable user accounts after a period of inactivity.	I		See response above.	Supervising IS Analyst	If funding permits, FY 2013-14
	6.3		The Court Needs to Improve Its Calculations and Distributions of Court Collections					
		15	For the three DUI and Reckless Driving cases reviewed, the 20% State Surcharge was derived from the reduced base fine rather than the original base fine causing the 20% State Surcharge to be understated.	I		We agree with the audit findings and are currently working with the County to make the recommended distribution corrections to address items 1 through 11. In addition, over the next several months we will be reviewing other court collection case types to ensure we are complying with the Uniform Bail and Penalty Schedule. We would like to note that the Court uses the County's case management system (AMOS) for traffic and criminal distributions. AMOS is a 25+ year old case management system that is out dated and inflexible. As a result, making complicated distribution changes is difficult, time consuming and sometimes impossible. If County programmers are unable to make mandated legislative changes to distributions in the system, court and county accounting staff must create Excel spreadsheets to do the more complicated second and sometimes third distributions.	Court Management Analyst	December 2011
		15	The Court's CMS is not configured to calculate the 30% railroad fine distribution pursuant to PC 1463.12.	I		See response above.	Court Management Analyst	December 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		15	For one of the two child seat cases reviewed, the Court transposed the education program and loaner program distribution percentages.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the one unattended child case reviewed, there is no evidence of the 70/15/15 split pursuant to VC 15630, causing the County distribution, and ultimately the 50/50 MOE, to be overstated.	I		See response above.	Court Management Analyst	June 1, 2013
		15	The Court's State/County domestic violence fee distribution is 67%/37% instead of 66.67%/33.33%, thereby understating the State distribution by \$1.33 for each domestic violence fee assessed.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the one Health and Safety case reviewed, the 75%/25% split pursuant to H&S 11502 is not evident.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the one Fish and Game case reviewed, the \$15 Secret Witness penalty pursuant to F&G 12021 was not assessed.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For one of the two red light cases reviewed, the ICNA portion of the State Court Facilities Construction Fund distribution was not reduced by the 30% red light allocation pursuant to PC 1463.1.1. Also, the two DNA penalty assessments are overstated by \$1 each.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the second red light case reviewed, the Court incorrectly included the 20% State Surcharge in calculating the 30% red light allocation pursuant to VC 42007.3.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the three traffic violator school cases reviewed, the Court does not include the DNA penalty assessments pursuant to GC 76104.6 and GC 76140.7 in its distribution of the traffic violator school fee assessed pursuant to VC 42007.	I		See response above.	Court Management Analyst	June 1, 2013
		15	For the one child seat traffic school case reviewed, the Court distributed the base fine and penalty assessments to the code used for traffic school cases. However, child seat traffic school cases are distributed the same as a child seat bail forfeiture case.	I		See response above.	Court Management Analyst	June 1, 2013
		Log	The Court's network system and ShowMe CMS; do not limit the ability to re-use passwords.	I		Network system is old technology and does not have that capability. ShowMe CMS may have capability, Programmer will assess this function.	Information Systems and Programming Analyst / ShowMe	December 1, 2013
		Log	The Court's network system and ShowMe CMS; do not limit the number of concurrent logins.	I		Network system is old technology and does not have that capability. ShowMe CMS may have capability, Programmer will assess this function.	Information Systems and Programming Analyst / ShowMe	December 1, 2013
		Log	The Court does not use power cut-off switches or water and smoke detectors in its computer room.	I		The County is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2013-14

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		Log	Emergency lighting is not available in the Court's computer room.	I		The County is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2011-12
		Log	Although most computer equipment is stored off the floor, some servers are on the floor of the computer room, which is located in the basement.	I		Court will move two servers off of the floor and relocate on to cart.	Supervising IS Analyst	May 2011
		Log	The computer room does not have flood alarms installed.	I		The County is responsible for this building, not the Court. The Court is not aware that these devices are available. We will investigate the possibility of installing these devices. However, existing asbestos in building may limit the ability to install these devices for the court.	Supervising IS Analyst	FY 2013-14
		Log	In 4 of 15 cases reviewed, the variance between the actual total bail and the standard total bail was not prorated among the penalty assessments causing the base fine distribution to the county and city, as well as the 20% State Surcharge, to be either understated or overstated.	I		We agree with the findings. We are working with the County to correct these errors.	Court Management Analyst	June 1, 2013
		Log	The Court delayed for at least seven months implementation of the penalty assessment and fee increases pursuant to SB 1407.		C	It was not the court's decision to delay implementation of SB1407. The case management system that must be updated when these increases occur is owned by the County and is 25 years old. As a result, the Court must rely on the County to make any programming changes. Depending on their workload, the County is not always able to make the changes quickly and often has to bring back retired programmers to work on changes due to the obsolete nature of the system.	Court Management Analyst	We are now in compliance with SB 1407.
7 Banking and Treasury	7.1		The Court Needs to Reconcile Its Trust Account Balances					
		8	The Court acknowledged that it is not current with trust account reconciliations. Specifically, according to the Court, since converting from its ShowMe CMS to CCMS V3 in April 2008, it has not been able to perform reconciliations due to problems the Court accounting unit has experienced with CCMS V3 system reports. For example, according to the Court, the CCMS V3 system report does not always list all deposits for particular cases. So, to determine whether the total stated on the system report is accurate, the Court needs to go through the case history and tally all deposits made. The Court is currently working with the AOC CCMS V3 project team to address this issue, among others it is experiencing with CCMS V3.	C	I	We are working with the AOC CCMS V3 project team and have made great progress. While the reports still have some errors, the majority of the Trust Detail Report errors have been fixed.	Court Management Analyst	January 2011
		8	In the meantime, the Court is working on reconciling its trust accounts through developing a report of its own using information in the ShowMe CMS as well as information in CCMS V3. However, the Court currently has one part-time Court employee working on developing this report. Therefore, the Court expects that it will be well into the 2011 calendar year before it becomes current in its trust account reconciliations.	C	I	We have developed reports that will allow us to reconcile our trust accounts. We continue to have our retired Fiscal Services Supervisor working part time to help bring current our trust reconciliations. Once she is comfortable with the accuracy of the reconciliations using the V3 reports we will begin to redirect staff to assist her in expediting the trust reconciliations.	Court Management Analyst	January 2011

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		Log	Our review of the segregation of duties matrix revealed that for the Court's e-file bank account, the same person who controls the check stock also prepares checks.		C	The court will have one of our lead accounting technicians control the check stock so the person who prepares the checks will have only controlled access.	CFO	May 2011
		Log	The Court did not report a County bank account to the AOC.	C		The Court did not report a County bank account to the AOC because it is not the Court's bank account. The account is a consolidation of funds from all County departments. The Court has a fund balance with the County because the County still processes the Court's payroll and provides county services that the court pays for. All Court/County transactions are recorded monthly in the AOC's financial system. In the future we will report the Court's year-end fund balance in the County's bank account to the AOC.	CFO	June 2011
8 Court Security	8.1		The Court Needs to Strengthen Its Processes Regarding Court Security					
		2	The Court has not submitted its Comprehensive Court Security Plan to the Judicial Council for review and approval since Fiscal Year 2007-2008.	I		We agree with the audit findings and are currently taking corrective actions. Below are our responses to the two security audit issues: In conjunction with the San Joaquin County Sheriff, we submitted our updated Security Plan to the Administrative Office of the Court's Office of Emergency Response and Security Division (ERS) in June 2010. The ERS had concerns regarding our plan, and returned it for revision. We intend to resubmit our plan by the end of November 2010.	Court Executive Officer (CEO)	May 1, 2013
		2	Sheriff does not submit copies of invoices supporting equipment and travel costs billed to the Court.	C		We have contacted the Sheriff and requested supporting documentation for the equipment and travel costs billed in fiscal year 09/10. We expect to have the appropriate documentation by the end of November 2010. Additionally, we have asked the Sheriff to include supporting documentation for new equipment and travel costs billed to the court starting July 1, 2010.	Court Management Analyst	November 2010
		Log	At two locations, the emergency manual has not been updated within the past 12 months and only addresses bomb threats.	C		The Court is currently working with Court Managers responsible for their respective areas to update all manuals. In addition the Court has provided a desktop emergency guide to all staff.	Respective Court Manager	April 2012
		Log	One location only has an Injury and Illness Prevention Program manual.	C		The Court is currently working with Court Managers responsible for their respective areas to update all manuals. In addition the Court has provided a desktop emergency guide to all staff.	Respective Court Manager	April 2012
		Log	At the time of our review, employees at one court location did not have copies of the emergency manual.	C		The Court is currently working with Court Managers responsible for their respective areas to update all manuals. In addition the Court has provided a desktop emergency guide to all staff.	Respective Court Manager	April 2012

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		11	The Court did not have documented evidence that a purchase requisition was prepared and properly approved for all 20 expenditures reviewed.	C	I	The Court does require the submittal of approved requisitions prior to procurement of goods or services. The Court acknowledges that there have been instances of purchase card transactions, and court ordered services, that which a requisition was not submitted prior to the purchase. Immediate action is being taken to ensure all staff adheres to the TCFPP. This action will be ongoing in the form of reminders and monitoring.	Business Services Manager	July 2011
		11	At the time of our review, the Court could not provide documentation supporting the procurement process used for 14 of the 20 expenditures reviewed. Subsequently, the Court asserted that it did not know the procurement process for two procurements, another eight procurements were either competitive or sole source and the document retention period had expired for seven of the eight procurements, and the remaining four procurements utilized State master agreements or were mini purchases that did not require procurement files.	C	I	The Court recognizes the necessity to improve past practices of documenting procurement files, and has made considerable improvement the past several years. The Court continues to improve procurement practices to align practices with the TCFPP and to ensure good stewardship of public funds. With regards to the two of the fourteen (14) procurements singled out by the auditor, the following applies: Two of the unknown procurement methods are related to past practices that have been corrected. One of the two was a result of County procurement practice prior to the Court/County separation, however, the Court has evaluated the procurement and found that during these challenging times, the provider has developed into an effective and reliable source and has worked with the Court to minimize annual cost increases.	Business Services Manager	July 2011
10 Contracts		Log	Two contracts related to court security contained a contractor termination clause other than for cause.	I		Yes, these contracts were developed prior to the Court & County separation and have remained in effect. At present the Court has good relationships with both entities and determined that the other than cause clause would not adversely affect these relationships or cause the Court harm; however, the Business Services Manager will evaluate the clause with the Court's CEO to determine if a change is necessary.	Business Services Manager	December 1, 2012
		Log	The MOU related to providing space for the Self-Help Center did not contain a contract change clause or a confidentiality clause.	I		This MOU will be reviewed and discussed with the Court's CEO to determine if any changes need to be made.	Business Services Manager	December 1, 2012
		Log	Access to contract, bid, and vendor files is not limited to minimize the potential for misplaced or lost files.	I		Due to facility restraints, the Court has minimal secure filling space for contract, bid and vendor files. The new courthouse scheduled to be completed in 2015 will address this issue. In the interim, the Court will seek avenues to minimize access to these files.	Business Services Manager	December 2015 - when new courthouse is built
		Log	The Court acknowledged that its MOU with the County does not include costs of services provided or anticipated service outcomes as required by Government Code §77212(d)(1).	I		This is correct. This issue memo log will be discussed with the Court's CEO to determine any changes the CEO desires.	Business Services Manager	December 2012 - working with AOC Audit division
11 Accounts Payable	11.1		The Court Should Strengthen Its Petty Cash Procedures					

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		7	The Family Law location commingles its \$100 petty cash fund with its \$250 change fund, does not maintain a log of petty cash expenditures, does not retain original receipts to support petty cash cashiers when change is needed.		C	C	The Family Law location has separated its \$100 petty cash from the \$250 change fund and has been given a locking cash box for the petty cash fund. The main courthouse location has ordered a locking cash box for the petty cash fund. The Family Law location is now retaining receipts to support its disbursements.	CFO	January 2011
		7	The Lodi, Tracy, and main courthouse locations keep their petty cash fund in the same safe as their daily receipts, cash difference fund, and change fund.		C	C	Each of these other locations have only 1 safe to keep all of these items secured. Rest assured, all items are kept separately in either locked boxes or bags to prevent co-mingling.	CFO	January 2011
		7	The Accounting Unit does not perform a periodic reconciliation of the Court's petty cash funds.	C			The Accounting Unit will perform quarterly reconciliations of the petty cash and change funds at all Court locations.	CFO	September 2011
		7	The Lodi and Tracy locations do not utilize the Petty Cash Receipt form or some other form documenting disbursements from the petty cash fund and containing information specified in the FIN Manual. As a result, a \$4 petty cash reimbursement at the Court's Lodi location was for a \$3.74 expenditure and the location could not account for the 26 cent difference.	C			The Accounting Unit will be working with all branch locations on using the Petty Cash Receipt form to document disbursements from petty cash and to maintain a log of petty cash disbursements.	CFO	September 2011
		7	One petty cash expenditure at the main courthouse location, \$237.75 for stamped envelopes, exceeds the \$100 per petty cash transaction threshold and there was no evidence of CEO or designee pre-approval.		C		We will no longer be issuing petty cash for stamped envelopes since the cost exceeds the \$100 petty cash threshold.	CFO	January 2011
		7	The petty cash fund at the main courthouse exceeds the required \$200 total limit. Specifically, the main courthouse location has a \$750 petty cash fund. We reviewed the petty cash expenditures for fiscal year 2009-2010 to determine the average monthly use of petty cash. After taking out the petty cash transactions exceeding the \$100 per petty cash transaction threshold, we found that the average monthly petty cash use was about \$52. Therefore, the Court should consider reducing its petty cash fund.		C		The main courthouse will reduce the petty cash fund to \$200 and eliminate all disbursements exceeding the \$100 threshold.	CFO	January 2011
	11.2		Court Travel and Business Meal Expense Reimbursement Procedures Need Improvement						

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	I	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		10	Three out of eight travel expense claims reviewed were not signed approved and a fourth was not approved by the appropriate-level supervisor. Further, the Court could not demonstrate prior approval for out-of-state travel related to the fourth travel expense claim.		C	C	The court agrees with this audit finding and will implement the following changes: a.) All Judges travel claims must have an approval signature from either the Presiding Judge or the Assistant Presiding Judge before payment. b.) Presiding Judge travel claims must have the approval signature from the Assistant Presiding Judge and Assistant Presiding Judge travel claims must have the approval signature from the Presiding Judge before payment. c.) All travel claims of court staff must be approved by their immediate manager or a higher level manager before payment. The Court Executive Officer's travel claims must be approved by either the Presiding Judge or the Assistant presiding Judge. d.) Accounts payable approval staff will make sure the appropriate signatures are on the travel claim forms prior to posting in SAP.	CFO	January 2011
		10	For the two business-related meals reviewed, the Court could not provide completed business-related meal expense forms. Therefore, we could not determine the location or cost-per-person for one of the two meals reviewed. Further, the Court could not provide prior approval for the two business-related meals reviewed.		C	C	The court agrees with this audit finding and will implement the following procedure. The court has created a Business Related Meals Form and will provide it to all managers to complete in the event there is a need to incur this type of expense in the future.	CFO	January 2011
		Log	The Court does not ensure that individuals who operate a vehicle on Court business attend the defensive driver's training class every four years.	C			The Court acknowledges this issue log, and will begin a process to ensure drivers are trained every four years.	HR Analyst II	June 12, 2012
		Log	The single transaction limits for 4 of 6 Cal Cards exceed the \$1,500 limit stated in the FIN Manual.	C			The court will review the transaction limits for Cal Cards and reduce the transaction limits to those recommended by the TCFPP if applicable.	CFO	May 2011
		Log	The Court indicates that it does not complete Form SF-274, Supervisor Review of Motor Vehicle Accident, in the event of a vehicle accident.	C			The Court does complete the SF-270, but was not familiar with the SF-274 and will ensure the SF-274 is completed in addition to the SF-270.	Respective - Supervisor and Manager	January 2012
		Log	The Court did not use the most appropriate general ledger account for two of the 30 invoices reviewed.	C			The court uses GL 921704 in cost center 392190 to track our summer youth program, regardless of the type of expense because it is a "special event". Because the costs associated with this are only a few hundred dollars, we did not set up a WBS to track. In the future we will do so.	CFO	July 2011
		Log	Nine of 30 invoices reviewed did not demonstrate that the Court performed a three-point match of the invoice to a purchase agreement, such as a purchase order or contract, and to proof of receipt and acceptance of goods or services, such as a packing slip or acknowledgment that acceptable goods or services were received.	C			The Court agrees with the issue that we are not applying the 3 point match policy with some of our contract and blanket POs. Accounts Payable will immediately request, prior to payment, acceptance documentation from the person requesting the procurement good or service.	CFO	The parking garage changed ownership. Working on agreement, will be completed 12/31/12
		Log	Accounts payable files for one of 30 invoices reviewed did not contain purchase agreements; therefore, we were unable to determine whether payments were made in accordance with a purchase agreement.	I			The Court agrees that one invoice did not contain a purchase agreement. The Court will work to develop a purchase agreement with the City of Stockton for our employee parking. The City has not wanted to do this in the past.	CFO	The parking garage changed ownership. Working on agreement, will be completed 12/31/12

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		Log	One court interpreter mileage claim used a P.O. Box address, instead of a business or residence address, which makes it difficult for the Court to verify the claimed mileage.	C	1	The interpreter coordinator will ask that the interpreter put her street address, in addition to her PO Box, on future claims.	CFO	June 2011
		Log	Two court reporter transcript invoices were not paid according to rates established in Government Code section 69950. As a result, the two invoices were underpaid by at least \$1,290.	C	1	The Court agrees with the underpayment of the court reporter transcript invoices. The court reporters were not aware that the requirement of 5 ASCILs on death penalty cases had been changed to 6. Because they were unsure they created the 6 cds but only charged the Court for 5.	CFO	June 2011
12 Fixed Assets Management								
	12.1		The Court Could Improve Its Tracking and Reporting of Court Assets					
		9	The Court acknowledged that it does not have a list of court-owned computer software and may not have been in compliance with all software vendor licensing agreements. However, the Court stated that had entered into a new agreement to bring it into compliance with the licensing agreements.	C	1	The Court agrees with the audit team's recommendations/assessment. Our responses are as follows: The court has entered into a software licensing agreement as of May 14, 2010. This licensing agreement provides the Court third party assistance and online tools to manage software licensing. These management control tools include methods of periodically comparing installed software against licensing terms.	Information Systems Manager	May 2010
		9	Our review of four expenditures classified as inventory items revealed that not all inventory items purchased were listed on the Court's inventory list. Specifically, one printer/copier was not on the list.	C	1	The Court, prior to the audit, had been, and will continue working to improve staff understanding of the importance of fixed asset management. Constant communication with outlying court locations and training is essential to full cooperation. The Court's goal is to maintain compliance with the Trial Court Financial Policies and Procedures and to establish other internal methods to improve cooperation such as training for all trial court staff involved in the acquisition, recording, transfer and disposal of fixed assets.	Business Services Manager	July 2009 and ongoing
		9	Out of the 98 inventory items selected for "floor-to-list" verification, 19 inventory items were not found on the inventory list. Also, 10 of the 19 inventory items did not have an asset ID tag. In addition, the 79 inventory items listed, the inventory list did not accurately reflect the description for one inventory item. Further, the inventory list did not accurately reflect the location for 11 of the 79 inventory items found on the inventory list.	C	1	See response above.	Business Services Manager	July 2009 and ongoing
		Log	The Court does not have a process to periodically identify and dispose of obsolete IT equipment, such as identifying broken or obsolete equipment during its annual inventory.	C	1	The Court has implemented processes to follow the TCFPP for asset disposal. However internally, the process is not always followed by staff creating the perception of no process. The Court continues to work with staff to ensure TCFPP asset disposal processes are always followed.	Business Services Manager	January 2012

FUNCTION	RPT NO.	ISSUE MEMO	ISSUE	I	C	COURT RESPONSE	RESPONSIBLE EMPLOYEE	ESTIMATED COMPLETION DATE
		Log	The Court's inventory list did not accurately reflect the location for one of the 11 fixed assets selected to review.	C		The Court appreciates these comments and does continue to improve upon its current practices. Some items do have generally described locations due to shared equipment; however, we do understand that being more specific greatly assist with inventory. Because the fixed asset inventory requires cooperation of all staff, it is often difficult to maintain a completely accurate inventory of the Court's 4,300+ tagged items.	Business Services Manager	January 2012
		Log	Out of the 67 inventory items selected for "list-to-floor" verification, we could not locate three inventory items. In addition, of the 64 inventory items located, the Court's inventory list did not completely or accurately reflect the identifying information or description for six inventory items. Further, the inventory list did not accurately reflect the location for nine of the 64 inventory items located.	C		The Court appreciates these comments and does continue to improve upon its current practices. Some items do have generally described locations due to shared equipment; however, we do understand that being more specific greatly assist with inventory. Because the fixed asset inventory requires cooperation of all staff, it is often difficult to maintain a completely accurate inventory of the Court's 4,300+ tagged items.	Business Services Manager	January 2012
			No issues to report.					
			No issues to report.					
13 Audits								
14 Records Retention								
15 Domestic Violence		Log	The Court assessed the PC 1202.44 Probation Revocation Restitution Fine in 2 of 3 cases reviewed where probation was not granted.		C	This was an error made by staff and was resolved with further training.	Criminal, Traffic, and Juvenile Delinquency Manager	May 2011
		Log	The Court assessed the PC 1203.097(a)(5) Domestic Violence Probation fine in all 3 cases reviewed where probation was not granted.		C	This was an error made by staff and was resolved with further training.	Criminal, Traffic, and Juvenile Delinquency Manager	May 2011
16 Exhibits	16.1		Improvements Can Be Made to Strengthen Accountability Over Exhibits					
		5	The Court does not have a court-wide exhibit handling operations manual.	C		The court will develop a court wide Exhibit Manual to standardize all handling, accepting, tracking, safeguarding, and disposal of exhibits.	Court Records Manager	November 2010
		5	One Court location does not have a process in place to document transfer of exhibits to the exhibit closet.	C		See response above.	Court Records Manager	November 2010
		5	Not all exhibits documented in court records were found at one Court location.	C		See response above.	Court Records Manager	November 2010
		5	The location of exhibits secured in interim locations during trial is not noted in either the CMS or the manual card system at the main courthouse.	C		The court will install and train the appropriate court branch staff in the use of the ACCESS-Exhibit Tracking Database currently used in the Stockton Court Branch as well as a secondary manual tracking system for all exhibits.	Court Records Manager	January 2011
		5	The main courthouse does not always require that all biological evidence be properly sealed per local rule prior to accepting as an exhibit.	C		The court will ensure that all assigned staff will be properly trained on the safe handling of highly sensitive items such as guns, drugs, money and hazardous or biological materials.	Court Records Manager	January 2011

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

CASEFLOW/COURTROOM PROCESSING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R1	Trial by Declaration in Absentia Process	It is recommended that the court evaluate other options for streamlining the processing of defendants in Traffic matters and minimizing the need to personally appear in court. Options include: <ul style="list-style-type: none"> Implementing a Trial by Declaration in Absentia process pursuant to VC 40903 for eligible traffic citations. Eliminating open arraignment traffic court. Develop policies or standing orders that provide clerks authority to grant or approve certain actions to assist with streamlining and efficiencies in processing Traffic matters. 	Short – CRITICAL	Efficiencies and Savings - Implementation of the trial in absentia process expedites adjudication of cases decreasing backlogs and the number of calendar settings. The implementation of such a change would allow for a significant savings in the use of resources that are assigned to the processing of cases for trial and redirect staff towards mail processing and or the data entry of new citations	None
COURT RESPONSE					
R1	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) The court will evaluate and consider implementing this recommendation. If the court is unable to implement this recommendation, the court will consider an alternative program as has been suggested by Marin Superior Court. Judicial buy-in will be needed to fully implement this recommendation. Timeframe for implementation: The court estimates it will be able to finalize its evaluation and begin implementation in approximately 6 months.				
COURT UPDATE					
R1	Implementation Date: In progress. Cost Savings/Court Expense:				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R2	Outsourcing of Traffic Citation Data Entry	Evaluate the cost/benefit of outsourcing Citation Processing. Court would need to get buy-in from the County ISD to work with the vendor to accept the data and the resulting images from outsourcing.	Medium	Efficiencies and savings – Outsourcing could result in annualized savings to the court in staff and resources for Citations data entry.	Initial cost estimated at approximately \$128,000 in 2011.

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT RESPONSE	
R2	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The Court will adopt the CART recommendations of evaluating the cost/benefit of outsourcing Citation Processing. <u>Timeframe for implementation:</u> The Court estimates the timeframe for evaluating and implementing to be at least 6 months, but no more than 1 year.
COURT UPDATE	
R2	Implementation Date: Cost Savings/Court Expense:

CASEFLOW/COURTROOM PROCESSING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R3	Return to Court Policy	It is recommended that the court implement a Return to Court Policy that prohibits defendants returning to court once adjudicated unless certain strict criteria are met (commitment by the court to a consistent policy by all bench officers).	Short	Efficiencies and savings.	None

COURT RESPONSE	
R3	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The court will evaluate and consider implementing this recommendation. Judicial buy-in will be needed to fully implement this recommendation. <u>Timeframe for implementation:</u> The court estimates it will be able to evaluate and implement in approximately 2 to 3 months.
COURT UPDATE	
R3	Implementation Date: In progress. Cost Savings/Court Expense:

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R4	Family Law Case Processing	It is recommended that the court prepare mediator recommendations as Word documents and email the Word document to the clerk preparing orders (minute and OAH's) so that they can be copied and pasted into orders and only typed once.	Short	Efficiencies and savings	None

COURT RESPONSE	
R4	<input checked="" type="checkbox"/> Court Does not Adopt Recommendation (Provide reason(s) for not adopting Recommendation)

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

	<p>San Joaquin County’s Child Custody Recommendation Counseling sessions are not conducted by appointment. They are conducted on the day of the court hearing. The stipulations and recommendations are written during the session with both parents. Stipulations are reached in over 80 % of the cases. Recommendations are often changed by the judicial officers. San Joaquin does not have tentative rulings in custody cases.</p> <p>It is in the best interest of the clients we serve to use the Judicial Council Forms to delineate the details of the custody agreements and/or orders versus a pleading or free flowing format offered by Word templates.</p> <p>The Child Custody Recommending Counselors (CCRC) already assist in preparing the Order After Hearing and will continue to do so. The CCRCs spend most mornings mediating non-stop and do not have time to add clerical duties. To do so would reduce the number of mediations, increase court (judicial) time, and increase the time clients would wait to have their cases mediated and heard. Changing the current practice in San Joaquin will require more clerical time from CCRCs during the sessions, thereby reducing the number of mediations they can conduct each day. Additional consequences would be the reduction in the number of mediations held each day and an increase the amount of time clients have to wait to have their cases heard.</p> <p>Although the court will not adopt this specific recommendation, we will continue to look for other ways to streamline this process.</p>
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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R5	Traffic Correspondence	It is recommended that the court no longer respond to letters from traffic defendants with customized letter responses and instead institute a standardized letter advising defendants to pay or appear.	Short	Savings - between one and two clerical FTEs currently handle this correspondence. These staff could be deployed to other important duties.	None
COURT RESPONSE					
R5	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The Court will adopt the recommendation as stated. We will provide the necessary information on our website for those defendants who feel they have been a victim of identity theft. Timeframe for implementation: This new process will be in place on or before July 1, 2012.				
COURT UPDATE					
R5	Implementation Date: 7/1/12 Cost Savings/Court Expense: Annualized savings estimate is \$20,426. However, since the CART Review, the court has had to lay off an additional 13 staff so many time savings associated with this recommendation has been redirected to other duties left vacated by the layoffs.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R6	Appeals Transcripts	It is recommended the Court look into the feasibility of contracting out the copying of Appeals clerks' transcripts rather than utilizing court staff for this activity.	Short	Savings and efficiencies - Potential costs savings and enhanced staff productivity.	Contract costs with outside vendor.
COURT RESPONSE					
R6	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) A cost analysis was performed comparing the Court's costs versus our County's Duplicating costs. We save 2.2% by utilizing our court staff for this activity. However, we may have to use our County Duplicating, if layoffs occur due to next year's budget. It should be noted that the court already uses the County print shop for large jobs. We researched outside vendors (Office Depot, Office Max, Staples) only to find they no longer offer this service. There are no other local businesses close to our court.				
COURT UPDATE					
R6	Implementation Date: May 2012 Cost Savings/Court Expense: Analysis completed and we have determined that our current way of doing business is the most cost effective.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R7	Forms	It is recommended the Court discontinue the practice of automatically providing forms to attorneys with every filing.	Short	Savings - Reduced printing and postage costs; staff time savings	None
COURT RESPONSE					
R7	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The Court will discontinue the current practice and will review and implement a new process involving the distribution of forms to public and law partners. Timeframe for implementation: Implementation within the next 30 days.				
COURT UPDATE					
R7	Implementation Date: 7/1/12 Cost Savings/Court Expense: The court estimates approximately \$234 of savings related to copies and approximately \$2,550 in staff costs annually. Staff time saved in implementing this recommendation would be redirected to other important duties.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R8	Juvenile Traffic Infraction	Explore shifting some juvenile infraction citations to adult traffic processing	Short	Efficiencies	None

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

	Processing				
COURT RESPONSE					
	<input checked="" type="checkbox"/>	Recommendation implemented by Court well before C.A.R.T.			
R8		<p>In 2007, our court eliminated the requirement for infraction and some misdemeanor juvenile traffic citations to be mandatory court appearance. These citations are processed in the same manner as adult citations.</p> <p>For those juvenile infraction citations that still require a mandatory appearance, we currently do not have an open calendar or courtroom in Stockton to hear juvenile matters. Shifting any case type from JJC to Stockton would have a significant impact of any adult calendar. Juvenile matters, including juvenile traffic, are closed proceedings. People present on other cases and the public are not allowed in the courtroom while a juvenile case is underway. Consequently, the cases move more slowly and cannot be mixed with other cases.</p> <p>In April 2012, our Presiding Juvenile Judge on changed our truancy citations to non-mandatory, reducing the number of truancy cases on calendar by 1,176 annually (98 monthly). With 98 fewer truancy cases a month, we will be in a better position to set hearings in a timely manner.</p>			

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R9	Juvenile Delinquency and Dependency Confirmation Hearings	Assess value of "confirmation hearings." These appear to create more appearances and there may be better ways to manage the cases.	Short	Savings and efficiencies	None
COURT RESPONSE					
	<input checked="" type="checkbox"/>	Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)			
R9		We have assessed the value of confirmation hearings. Confirmation hearings in both juvenile dependency and delinquency are set on a case-by-case basis. Generally, if a confirmation hearing is scheduled it is done to expedite the disposition of the pending issue. Our judges are very aware of staff's time and generally do not set court dates without a specific reason.			
COURT UPDATE					
R9		<p>Implementation Date: This is an ongoing process.</p> <p>Cost Savings/Court Expense: The court has used this process for several years and will continue to do so. There are no savings associated as it is a current practice.</p>			

CASEFLOW/COURTROOM PROCESSING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R10	Family Law Case	Evaluate the courts efforts to ensure the implementation of case management to assist	Short	Efficiencies - There would be	None

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

	Management	<p>the Court and litigants to efficiently conclude their family law proceedings.</p> <ul style="list-style-type: none"> Without family law case management thousands of cases do not reach disposition because the cases are not given future dates. At the time of filing and at subsequent hearings, all litigants should be given future dates for case progress conferences. 		significant efficiencies derived from implementing case management, including many more cases reaching full disposition.	
COURT RESPONSE					
	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation)				
R10	<p>The Family Law judges along with local Family Law Bar members will continue to follow the current practice of setting CMC hearings on a case-by-case basis. Our court believes and the local bar agrees that setting CMC hearings on all cases will cause additional backlog, long calendars, and more cost to its customers as their hearings would be further delayed due to the vast number of CMC hearings that would need to be set.</p> <p>Instead, our court will continue to set CMC hearings on a case-by-case basis. All attorneys who request a CMC will be provided one and the Court on its own motion will set CMC hearings as necessary in Pro Per cases.</p> <p>The court will adopt a process to setting CMC hearings as a tracking mechanism to ensure proper adjudication of FL cases.</p> <p>Timeframe for implementation: The court can begin scheduling CMC dates by July 1, 2012.</p>				
COURT UPDATE					
R10	<p>Implementation Date: This recommendation was partially implemented on 7/1/12. CMS programming still in development.</p> <p>Cost Savings/Court Expense: Undetermined at this time as not yet fully implemented.</p>				

CASEFLOW/COURTROOM PROCESSING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R11	Family Law - Department of Child Support Services Stipulation Process	It is recommended that the court stop preparing minute orders and orders after hearing for DCSS stipulated matters that do not have court hearings. The court should cease using the judges' signature stamps to sign such orders. By creating minute orders and OAHs, the registers of action incorrectly reflect that hearings were held.	Short	Savings - This change would save hundreds of hours of court staff time in preparing minute orders and OAHs for cases that never appear in court.	None – The court responded that they believe there is an associated cost.
COURT RESPONSE					
	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)				
R11	<p>Programmatic changes will need to be made to the court's case management system and discussions will need to be held with our local DCSS partners to discuss alternatives to the current process. The estimated cost of 16 hours of program time at \$68.01 hourly rate is \$1,088.16.</p> <p>Timeframe for implementation: We believe this could take place by August 1, 2012.</p>				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT UPDATE	
R11	<p>Implementation Date: 8/1/12</p> <p>Cost Savings/Court Expense: The court estimates approximately 8 hours per month would be saved for an annualized savings of \$3,771. However, the court also had a one-time expense associated with programmatic changes to its CMS in the amount of \$1,088.</p>

CIVIL ASSESSMENT

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R12	Civil Assessment Program	<ol style="list-style-type: none"> Increase Civil Assessment collections by including "failure to pay" traffic cases Require all Petitions to Vacate civil assessment be filed ex-parte and not addressed at subsequent court hearings. Modify the process for re-evaluating the reduction civil assessments by limiting petitions to be in writing and to allow reductions only when extenuating circumstances have been demonstrated. Under San Joaquin's current process wherein the Court imposes a sanction pursuant to VC 40508(A) and (B), the defendant is actually assessed a higher penalty amount and the addition of a new charge. The cost to the defendant is actually, \$419 (\$80 Base Fine + 240 PA + \$30 Conviction fee + \$40 SECA + \$4 EMAT + \$10 DMV + \$15 AWS as compared to \$300 in a civil assessment with Court retaining the revenue. Implement Civil Assessment on select criminal misdemeanor failure to pay cases. Under San Joaquin's current process wherein the Court imposes a sanction pursuant to VC 40508(A) and (B), the defendant is actually assessed a higher penalty amount and the addition of a new charge. The cost to the defendant is actually, \$419 (\$80 Base Fine + 240 PA + \$30 Conviction fee + \$40 SECA + \$4 EMAT + \$10 DMV + \$15 AWS as compared to \$300 in a civil assessment with Court retaining the revenue. 	<p>Short – CRITICAL</p> <p>Short – CRITICAL</p> <p>Short – CRITICAL</p>	<p>Potential significant increased civil assessment and warrant fee revenues for the court's baseline budget. In addition, there will be additional collections for traffic cases that will benefit both the state budget and local agencies.</p> <p>Issuing warrants for failure to pay fines on misdemeanors has been estimated to cost approximately \$400 per case. Adjudicating cases where an individual is incarcerated on a post disposition warrant frequently involves a reduction in an outstanding fine with credit granted for time served with no actual financial sanction imposed.</p>	<p>The court would need to work with the county on any programming changes to CJIS (criminal/traffic system).</p>

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT RESPONSE	
R12.1	<input checked="" type="checkbox"/> Prior to receiving C.A.R.T.'s recommendations, Court received Executive Committee approval to implement the recommendation The court has been working on this program since September of 2011. The CEO had just received the Executive Committees approval to move forward on May 1, 2012. Timeframe for implementation: The court need to work with the county ISD to have program changes made to its case management system. Implementation of program could take up to 6 months
R12.2	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: Implementation of the recommendation would be in conjunction with the changes to the overall Civil Assessment Program.
R12.3	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated Timeframe for implementation) The first part of this recommendation will require judicial by-in. Timeframe for implementation: Implementation of the recommendation would be in conjunction with the changes to the overall Civil Assessment Program. The second part of the recommendation is not the court's current practice. We do not assess or impose bail/fine on 40508(a)s and 40508(b)s. We add the Civil Assessment of \$315.00, which includes the \$15.00 for the Local Warrant System.
R12.4	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) This recommendation will require judicial by-in. Timeframe for implementation: Before implementing this new procedure, we need to notify the Probation Department and train our staff on the change. We could implement this no later than July 1, 2012.
COURT UPDATE	
R12.1 thru R12.4	Implementation Date: In progress – estimated implementation date 6/30/13. Cost Savings/Court Expense: Based on FY11-12 civil assessment revenue collections, the court estimates a projected revenue estimate of \$325,000 per year. However, because significant CMS programming changes would need to be made by the county to our 30 year old case management system, it is likely that the changes may not be completed before the end of the fiscal year. The court has lost 33% of staff and is unable to implement a "manual" civil assessment program.

COLLECTIONS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R13	Installment Payments	It is recommended that the court discontinue its current practice of setting up new distributions for every charged offense against which fines and forfeitures are assessed, according to the date of sentencing. This is confusing and duplicative and is not in accordance with requirements or standard business practices.	short	Efficiency – this would save countless staff hours on a task that can be handled more globally through CJIS table maintenance.	None.
COURT RESPONSE					
R13	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) We believe there is a misunderstanding with how we set up our distributions – we use the following tables to set up our distributions: Fund Agency, Fine Allocation, Receiver Code, Bail Schedule, etc. We				

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	already follow the recommendation and have done so since the inception of CJIS (1988).
COURT UPDATE	
R13	Implementation Date: 1988 Cost Savings/Court Expense: The court already follows the recommendation – no cost savings.

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R14	Collections Program	It is recommended that the court conduct an analysis of its current fine stay and installment fee assessment and collections efforts related to PC 1463.007 Enhanced/Civil Assessment Collections.	Medium-Long	Revenue – There is a potential for increased cost recovery related to Enhanced/Civil Assessment collections related to the FTA Civil Assessment Program.	None
COURT RESPONSE					
R14	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: At a minimum 1 year.				
COURT UPDATE					
R14	Implementation Date: Cost Savings/Court Expense:				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R15	Collections	Deem cases as new delinquent case type in order to negotiate sending them to an outside collector rather than the county for collections.	Short	Revenue	Increased resource need for court staff with costs to be offset by the county.
COURT RESPONSE					
R15	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: Implementation within 1 year.				
COURT UPDATE					
R15	Implementation Date: Cost Savings/Court Expense:				

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R16	Accounts Receivable System	It is recommended that the court evaluate its current Accounts Receivable system to automate the AR system or purchase an outside system that can interface with the existing system to allow for the collection of criminal installment payments.	Medium	Revenue – for the monies that can be collected directly by the court if they are able to accept criminal installment payments.	For the AR system used by Santa Clara there is a license fee of \$8,000.
COURT RESPONSE					
R16	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Evaluation and analysis of this recommendation will have to be fully investigated to determine the full costs of implementation. Timeframe for implementation: The Court estimates that it will take between 6 months to 1 year for evaluation and potential implementation.				
COURT UPDATE					
R16	Implementation Date: Cost Savings/Court Expense:				

COUNTY JUSTICE PARTNERS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R17	County Justice Partners	It is recommended that the court stop performing DOJ audits of CLETS records for protective orders.	Short	Savings - Many hours of staff time per month will be saved from eliminating this task.	None
COURT RESPONSE					
R17	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: Implementation by July 1, 2012.				
COURT UPDATE					
R17	Implementation Date: 8/1/12 Cost Savings/Court Expense: The court estimates an annualized savings of approximately \$1,650. Clerk time saved will be redirected to other important duties.				

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R18	County Justice Partners	It is recommended that the court advise the District Attorney (DA) to either fix the interface for electronically filed complaints or the court will stop accepting electronic filings.	Short	Savings - While there may not be time savings, this change will mitigate risk for the court.	None
COURT RESPONSE					
R18	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: We anticipate it will take 6 months to implement this recommendation.				
COURT UPDATE					
R18	Implementation Date: In progress – expected completion/implementation date 12/1/12. Cost Savings/Court Expense:				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R19	County Justice Partners	It is recommended that the court stop making a copy of each transfer-in case file for DA's Office	Short	Savings - By terminating this practice, hours of staff time and the cost of paper and toner will be saved.	None
COURT RESPONSE					
R19	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) We would provide the District Attorney's office with the Court's copy of the Notice of Hearing and Motion for Jurisdictional Transfer (PC 1203.9) after review by our PJ, to use as a guide to check CJIS for transferred in cases. Once a transfer case is received by the court and entered into CJIS, all necessary information be obtained and printed at the District Attorney's Office, thereby eliminating the copying of the entire case file. Should the District Attorney's Office still request a copy of the file then copy charges would apply. Timeframe for implementation: Implementation on or before July 1, 2012.				
COURT UPDATE					
R19	Implementation Date: 7/1/12 Cost Savings/Court Expense: The court estimates approximately \$589 would be saved annually in staff time as well as \$18 in copy costs.				

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R20	County Justice Partners	It is recommended that the court either stop making copies of prior records for local criminal justice agencies or charge for the copies and certifications.	Short	Revenue and savings - If the court charges for the priors, the revenue could be significant. If the court sends the files into court, there would be significant staff savings because the files would not have to be disassembled to copy and certify documents.	None
COURT RESPONSE					
R20	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) The Court is in the process of centralizing all copy requests to our Records Management Division. By centralizing the copy requests, the court will save staff time by not transporting the files to the main courthouse for copying. Under GC 70633, we will charge for all copy requests. <u>Timeframe for implementation:</u> Implementation by July 1, 2012.				
COURT UPDATE					
R20	Implementation Date: 9/10/12 Cost Savings/Court Expense: The court estimates approximately \$69,958 in annual staff time savings if the copies were not made free of charge. The court estimates approximately \$5,766 in new revenue as a charge for copies and certification of priors.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R21	County Justice Partners	It is recommended that the court stop providing copies of minute orders to county criminal justice agencies and request that they review the minute orders online.	Short	Savings - Hours of staff time, form costs, paper and toner would be saved by eliminating this practice.	None
COURT RESPONSE					
R21	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) The Court will discontinue providing copies of minute orders to the majority of county criminal justice agencies. However, the court will continue providing copies of minute orders to the jail regarding defendants in custody, released from custody, remanded, or sentenced as the jail will need to know the status of these defendants immediately. Case information in CJIS is not updated immediately,				

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	thereby the need to continue providing copies of minute orders to the jail. The Juvenile Justice Center will continue providing copies until a case management system is implemented. Timeframe for implementation: Eliminating the distribution of copies to most law and justice agencies will begin immediately. Please see Recommendation 59 for information regarding juvenile case management system.
COURT UPDATE	
R21	Implementation Date: May 2012 Cost Savings/Court Expense: The court estimates approximately \$10,213 of annualized savings in staff time as well as \$78 of costs for copies.

COURT REPORTERS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R22	Court Reporters – Transcript Reimbursement	It is recommended that the court ensure that it is complying with Penal Code 869 to reduce reporters’ transcript reimbursement by 50% if transcripts are not submitted timely.	Short	Savings- Savings may be significant if many reporters are out of compliance.	None
COURT RESPONSE					
R22	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)				
R22	The court has always been in compliance with Penal Code Section 869. All transcripts are submitted to the Senior Office Coordinator for verification of timeliness. If transcripts are not submitted timely, the reimbursement for the reporter is reduced by 50%. This is then reflected on the reporter’s claim form. Timeframe for implementation: The court will follow-up with CART members to obtain samples of billing and claim forms.				
COURT UPDATE					
R22	Implementation Date: As of 10/1/12, the preliminary hearing date will be added to invoices. Cost Savings/Court Expense: No savings as court was already in compliance with PC 869.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R23	Court Reporters – utilization of word count versus folio rate	GC 69950 governs how much court reporters may charge per word for transcripts and GC 27360.5 defines the word “folio” to mean 100 words. In addition, CRC 8.130 mandates that court reporters charge the statutory rate for transcripts on appeal. Many courts have an established standard that sets a fixed number of folios per page.	Short	Savings – 30% savings estimated at \$150,000	None

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		It is recommended that an actual word count be implemented for determining the amount paid for each transcript.			
COURT RESPONSE					
R23	<input checked="" type="checkbox"/>	Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)			
		The court understands that there are perhaps a handful of courts that currently use the word count methodology. The issue of folio vs. word count is one that courts throughout the state are currently analyzing. Once uniformity or legislation has been established that clarifies the word count issue, then the court will conform to new policy or legislation. In the meantime, the court will move forward with the word count methodology. Timeframe for implementation: Implementation will take place within 6 months.			
COURT UPDATE					
R23		Implementation Date: GC 69950 (new legislation in the budget act of 2012) prohibits changes at this time. Cost Savings/Court Expense:			

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R24	Court Reporters – Court reporter fees	Recommend that the court validate that it is charging civil parties for every hearing longer than one hour, and that the rate charge is commensurate with the full cost of salaries and benefits for reporters.	Short	Savings - If the average cost of a staff reporter is approximately \$75,000, then the court should be collecting much more than \$61,000 per year.	None
COURT RESPONSE					
R24	<input checked="" type="checkbox"/>	Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)			
		The court agrees with the recommendation that we validate we are charging for civil reporters in every evidentiary hearing and trial longer than one hour and that the current half day and full day rates charged are reflective of current reporter costs. We will do so by reviewing courtroom procedures to make sure clerks are collecting reporter fees from parties when appropriate. We will also review and validate that full day and half day rates are reflective of current salary and benefit costs to ensure full cost recovery. Finally, we will work with our Presiding Judge to include this process in our local rules to ensure parties are aware of their requirement to pay. Timeframe for implementation: The court will review and implement any necessary changes in regards to procedures and rate analysis within 60 days. However, local rule changes are an annual process that would not be fully implemented until January 1, 2013.			
COURT UPDATE					
R24		Implementation Date: 8/23/12 - Effective 10/1/12, we will no longer provide official court reporters in any civil courtroom. Cost Savings/Court Expense: Existing court reporter resources will be used where required by law.			

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R25	Court Reporters Resources	It is recommended that the court review the utilization of court reporters to maximize court reporter resources by considering: pooling court reporters and reducing the ratio of staff reporters to judicial officers; implementing a policy of having parties and attorneys in civil cases bring their own reporters to civil proceedings; and ensuring that the court is using Electronic Recording (ER) in all permissible proceedings (misdemeanors, infractions and limited civil) in lieu of court reporters.	Short	Savings – reduction in the number of court reporters resources needed.	Costs for Electronic Recording equipment is approximately \$1,000 per courtroom.
COURT RESPONSE					
R25	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The court currently has a practice of pooling court reporters; however, we will review the utilization of court reporters to determine if we are maximizing our court reporter resources. The court will also review its current practice of court reporters in some civil proceedings. We will implement electronic recording in permissible proceedings. Cost of additional electronic recording equipment or software will be a consideration. Timeframe for implementation: Implementation within 6 months.				
COURT UPDATE					
R25	Implementation Date: 8/23/12 - Effective 10/1/12, we will no longer provide official court reporters in any civil courtroom. Cost Savings/Court Expense: Existing court reporter resources will be used where required by law.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R26	Court Reporters – notes storage	Recommend that the court require court reporters to store their notes electronically (e.g., ACORN) and direct court reporters to either destroy their own paper notes or take them home to store.	Short	Savings - The benefits of not having to store, move, destroy and track hundreds of boxes of reporter notes would be significant	Small cost - the one-time cost to purchase ACORN is less than \$5,000. The annual service fee is approximately \$500 per month.

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COURT RESPONSE	
R26	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) <u>Timeframe for implementation:</u> Effective July 1, 2012.
COURT UPDATE	
R26	Implementation Date: 6/18/12 – The court began using ACORN on a free trial basis. We are now investigating the use of an in-house electronic storage warehouse, which will have very little or no cost to the court. Cost Savings/Court Expense: The court expects to spend less than \$500 of one-time cost to implement and no on-going expenses. The court also projects a one-time expense for destruction of notes for approximately \$2,800.

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R27	Court reporters – supplies	In tandem with recommendation R29, recommend that the court discontinue purchasing paper for Court reporters.	Short	Savings - would be \$10,000 - \$20,000 per year.	None

COURT RESPONSE	
R27	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) <u>Timeframe for implementation:</u> Effective July 1, 2012.
COURT UPDATE	
R27	Implementation Date: 7/1/12 – we will use up existing supply and will not make future purchases. Cost Savings/Court Expense: The court has not purchased paper in the last 4 years. Two boxes remain in the supply and there are only 2 reporters who still use paper while all the others use electronic storage.

FACILITIES

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R28	Facilities	It is recommended that the court consider eliminating the Lodi and Manteca branch courts (3 courtrooms) and use 3 vacant courtrooms in Family Law Annex for proceedings that do not require holding cells (e.g. civil departments).	Medium	Savings and efficiency - Savings from closing branch courts would be immediate and would help the court manage its diminished staff resources.	Cost of moving staff and equipment.

COURT RESPONSE	
R28	<input checked="" type="checkbox"/> Court Does not Adopt Recommendation (Provide reason(s) for not adopting Recommendation)

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	<p>We believe the branch courts provide an important access to justice to the residents of those communities. The Lodi courthouse serves not only the City of Lodi but also the communities of Thornton, Acampo, Victor, Lockeford and Clements, many of which don't have public transportation to Stockton. The Tracy and Manteca courts (South County) service not only the City of Tracy and the City of Manteca, but also serve the cities and communities of Mountain House, Banta, Ripon, Escalon and Lathrop, many of which don't have public transportation to Stockton as well. Some cities (areas) are as far as 45 minutes from the Stockton courthouse and the lack of public transportation will certainly prohibit access to justice for these communities and residents.</p> <p>The majority of residents in San Joaquin County live outside the City of Stockton. South county residents represent nearly 35% of the county's total population. There are seven law enforcement agencies representing six cities in south county alone. The Lodi court is housed in the Lodi police facility where the Lodi jail is also located. Inmates are brought directly from the Lodi jail to the Lodi courtroom for arraignment.</p> <p>Another important impact of closing the Lodi and Manteca courts is the lack of holding cells in the Stockton courthouse. Every day, the numbers of inmates exceed the maximum capacity for holding. Cell space is insufficient for the growing number of "keep separate from's" and the number of holding cell incidences (fights among inmates) continue to grow. This problem would be exacerbated by closing Lodi and Manteca and bringing those in-custody defendants to Stockton.</p> <p>Furthermore, with the planning of the new Stockton Courthouse, there were assurances made to Stockton city officials that the branch courts would remain open to prevent the significant additional impacts on city services, including transportation and parking, created by additional defendants, victims, jurors and other litigants having business at the Stockton courthouse</p> <p>The 540 Family Law Annex, located 4 blocks from the main Stockton courthouse, has three family law courtrooms on the 1st floor. The court was able to lease the 1st floor of the building using SB56 funds when the court received 3 new judicial positions. In anticipation of receiving 3 additional judicial positions under AB159 (positions which were authorized but not funded) we were able to have tenant improvements made on the 2nd floor providing 3 additional courtrooms. However, the courtrooms have never been finished with audience seating, jury box seating, counsel tables and all other furnishings. Another factor that may prohibit our use of the 2nd floor of 540 is our inability to support the lease costs. The court cannot pay for the lease costs associated with leasing the 2nd floor or the 1st floor.</p> <p>Consequently, if we closed the Lodi and Manteca courts and brought in the three remaining judges, we would have no chambers or courtrooms for those judges in either the 540 Family Law Annex or the main Stockton Courthouse.</p>
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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R29	Relocation of Juvenile Dependency to Juvenile Justice Center	Explore the ability to move dependency matters to the Juvenile Justice Center.	Short	Efficiencies	Cost to relocate staff.

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COURT RESPONSE	
	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)
R29	<p>We have explored the recommendation and have concluded that such a move at this time is not feasible.</p> <p>There are no courtrooms available at the Juvenile Justice Center (JJC) to handle the dependency matters. In fact, the delinquency matters consume the courtroom time for both J1 and J2 such that the traffic hearings have to be heard in a closet by a volunteer attorney. Even when the 3rd courtroom is completed at JJC (SB1407 project), there will still not be enough courtroom time to accommodate the dependency hearings at JJC. That would require adding a fourth courtroom at JJC for which no funding has been appropriated. Dependency cases involve other law and justice partners who are located within walking distance of the Stockton courthouse. Moving this case type to JJC located in French Camp, a 15 to 20 minute drive, will impact these other agencies. Moving the dependency cases to JJC would limit the accessibility for some of the parents because of the lack of public transportation to JJC. Furthermore, the JJC facility is connected to the Juvenile Hall detention facility. Minors are escorted directly to the courtrooms through a secure passage. There is only one room that is used as a temporary holding and cannot be considered a holding cell. If dependency matters were heard at JJC and either parent is incarcerated and transported to the hearing, there would be a problem for the sheriff in separating juveniles and adults, both sight and sound separation.</p>
COURT UPDATE	
R29	<p>Implementation Date: May 2012 – We have explored the recommendation and have concluded that such a move at this time is not feasible.</p> <p>Cost Savings/Court Expense:</p>

FEES

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R30	Fees	<p>VC 40508 allows for administrative assessments, not to exceed \$10, to be charged for clerical and administrative costs for (a) recording and maintaining a record of a defendant’s prior convictions and (b) notifying DMV of the attachment or restriction of a license or registration.</p> <p>It is recommended that the court charge the \$10 for both sections (a) and (b). At this time the Court is only charging the \$10 pursuant to (b) above.</p>	Short	Revenue - Potential significant additional revenue by charging an additional \$10 fee on every subsequent violation pursuant to VC 40508(a).	None
COURT RESPONSE					
R30	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T.				
	We do assess the \$10.00 Administrative Assessment to both the 40508(a)s and 40508(b)s, whether the FTAs/FTPs are added electronically or manually.				

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COURT UPDATE	
R30	<p>Implementation Date: After further investigation, it was determined that the court was only charging for one of the \$10 assessment fees. The court expects programmatic changes to its 30 year old CMS to be completed by 7/1/13. Given the limited number of staff resources, the court cannot implement this program manually.</p> <p>Cost Savings/Court Expense: The estimated revenue is unknown at this time. However, there will be costs charged to the court by the county for programming changes.</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R31	Fees	Increase GC71386 Returned Check Fee \$25 (or Based on Cost) to \$50 based on actual clerical processing costs.	Short	Revenue - Annual increase \$6,000.	None

COURT RESPONSE	
R31	<p><input checked="" type="checkbox"/> <u>Prior to receiving C.A.R.T.'s recommendations, Court received Executive Committee approval to implement the recommendation</u></p> <p>The court's CEO received approval from the Executive Committee on May 1, 2012 to increase the fee.</p> <p><u>Timeframe for implementation:</u> Programming changes will need to be made; however, the court believes it can implement within 30 days.</p>

COURT UPDATE	
R31	<p>Implementation Date: 7/1/12</p> <p>Cost Savings/Court Expense: Projected increase in revenue is approximately \$6,450.</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R32	Fees	Ensure judicial officers are imposing PC1305 Bail Bond Forfeiture Set Aside Fee. Consider increasing fee based on cost.	Short	Revenue - Annual increase = \$20-\$30K	CJIS Programming changes will be billed to the court.

COURT RESPONSE	
R32	<p><input checked="" type="checkbox"/> <u>Prior to receiving C.A.R.T.'s recommendations, Court received Executive Committee approval to implement the recommendation</u></p> <p>The court's CEO received approval from the Executive Committee on May 1, 2012 to increase the fee based on actual costs.</p> <p><u>Timeframe for implementation:</u> Amount of fee to be determined. We estimate that once fee is determined, programming changes will take place within 60 days.</p>

COURT UPDATE	
R32	<p>Implementation Date: In progress – should be implemented by 1/1/13.</p> <p>Cost Savings/Court Expense: The court projects revenue for the current fiscal year to be approximately \$4,000. Potential full year revenues could be as high as \$8,000.</p>

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R33	Fees	Impose GC70617(c) Motion Fee on criminal and traffic hearings. Santa Clara imposes the fee when Bond Agents and Others request a hearing.	Short	Revenue - Annual increase = \$10K	CJIS Programming changes will be billed to the court.
COURT RESPONSE					
R33	<input checked="" type="checkbox"/> <u>Prior to receiving C.A.R.T.'s recommendations, Court received Executive Committee approval to implement the recommendation</u> The court's CEO received approval from the Executive Committee on May 1, 2012 to impose this fee. Timeframe for implementation: Programming changes will need to be completed. It is estimated this could take up 60 days to implement.				
COURT UPDATE					
R33	Implementation Date: In progress – should be implemented by 1/1/13. Cost Savings/Court Expense: The court estimates the revenue for the current fiscal year to be approximately \$2,000.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R34	Fees	Notify County re: VC16028/PC1463.22 Financial Responsibility (\$17.50) revenue due to the Court.	Short	Revenue - Court staff have identified revenues of \$1.2 million and expenditures of \$1.6 million dating back to 2001. The County is currently holding \$300K in a special fund related to these collections. The Court incurs the cost related to the above mentioned sections; not the County.	None
COURT RESPONSE					
R34	<input checked="" type="checkbox"/> <u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u> This recommendation is one the courts own staff brought to the attention of CART. The court will be contacting the county to obtain this revenue to offset the court's costs for implementation of this program. Timeframe for implementation: It is anticipated the court will complete by the close of Fiscal Year 2012-2013.				
COURT UPDATE					
R34	Implementation Date: 6/30/13 Cost Savings/Court Expense: Unknown at this time.				

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#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R35	Fees	Impose PC1205 Stay Fee on fines imposed in Court.	Short	Revenue .	None
COURT RESPONSE					
R35	<input checked="" type="checkbox"/> <u>Prior to receiving C.A.R.T.'s recommendations, Court received Executive Committee approval to implement the recommendation</u> The court's CEO received approval on implementation of this fee from the Executive Committee on May 1, 2012. The fee will be imposed and collected upon the defendant's request for a one-time 30 day extension to pay his/her fine. Timeframe for implementation: The court anticipates programming changes and training of staff could be completed and implemented no later than July 1, 2012.				
COURT UPDATE					
R35	Implementation Date: 7/1/12 Cost Savings/Court Expense: The court is projecting approximately \$2,430 in new revenue for the current fiscal year.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R36	Fees	Imposition of \$15 warrant fee pursuant to VC 40508.5.	Short	Revenue	None
COURT RESPONSE					
R36	<input checked="" type="checkbox"/> <u>Recommendation implemented by Court well before C.A.R.T.</u> We do assess the \$15.00 for the Local Warrant System, which is part of the Civil Assessment. The \$15.00 is retained by the County.				
COURT UPDATE					
R36	Implementation Date: 7/1/97. Cost Savings/Court Expense:				

FINANCIAL

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R37	County Costs	It is recommended that the court audit all county charges currently being paid by the court to the county and move away from the A87 Plan and instead establish a plan	Medium	Savings	None

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		wherein the County must bill the court for actual costs.			
COURT RESPONSE					
R37	<input checked="" type="checkbox"/>	<u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u>			
		<p>The Court will adopt the CART Team recommendations of having all county charges currently being paid by the court to the county audited.</p> <p>On September 11, 2009, at our AOC Audit kick off meeting, we asked the AOC Audit Division to audit our CJIS county charges as it appeared that the county had been overcharging us for years.</p> <p>Over the last several months, we have had discussion with the AOC Audit Division about our desire to move away from the A87 cost allocation billing method, and establish a plan for the County to direct bill the Court for actual costs.</p> <p>The Court will work with the AOC's Audit Division on the County audit, and will provide all of the necessary assistance the Division's staff requires.</p> <p>Timeframe for implementation: The court estimates it will be able implement the recommendation in 6 months to 1 year.</p>			
COURT UPDATE					
R37		<p>Implementation Date: In progress – estimated completion 6/30/13.</p> <p>Cost Savings/Court Expense: Unknown at this time.</p>			

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R38	Bail Exoneration and Refund Checks Processing	Evaluate business process for bail exoneration and refund checks to determine if staff can reduce the workload related to generating and distributing bail exoneration and refund checks. An upload process is available using Phoenix. Have checks mailed by County or AOC depending on system utilized to generate checks.	Medium	Savings - The reduction in hours was not quantified, but it may be as high as 20-25% for staff involved in bail exoneration/refund process.	None
COURT RESPONSE					
R38	<input checked="" type="checkbox"/>	<u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u>			
		<p>The Court will evaluate our current business process for bail exoneration and refund checks to determine if staff can reduce the workload related to generating and distributing bail exoneration and refund checks, including the utilization of the Phoenix financial system.</p> <p>Timeframe for implementation: Implementation could be 6 months to 1 year.</p>			
COURT UPDATE					
R38		<p>Implementation Date: This recommendation was partially completed and implemented on 9/1/12. The court estimates full completion by 12/31/12.</p> <p>Cost Savings/Court Expense: The court is projecting annual staff time savings of approximately \$1,124.</p>			

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

GRANTS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R39	Grant Funding	It is recommended that the court ask the Department of Child Support Services (DCSS) to have the DCSS grant cover the prorated cost of the family law manager who directly oversees the processing of DCSS documents for the court.	Short	Savings - savings to baseline budget for personnel. Actual dollar estimations should be prepared by court in preparation for negotiations with DCSS for next cycle.	None
COURT RESPONSE					
R39	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The Court will adopt the CART team recommendations and review our Plan of Cooperation with Department of Child Support Services (DCSS). Timeframe for implementation: Our review will be completed by July 1, 2012.				
COURT UPDATE					
R39	Implementation Date: Review currently in progress. Cost Savings/Court Expense: Unknown at this time.				

MISCELLANEOUS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R40	Passport Processing	It is recommended that the court review passport processing to determine whether revenue earned is worth the effort.	Short	Efficiency – this change would free up court staff to process court filings and other court work required by law.	If the court terminates this service, some revenue will be forfeited.
COURT RESPONSE					
R40	<input checked="" type="checkbox"/> Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation The Court has been reviewing our passport processing to determine whether revenue earned is worth the effort. Timeframe for implementation: Review within 6 months.				
COURT UPDATE					
R40	Implementation Date: 9/25/12 Cost Savings/Court Expense: The court has completed its analysis and has determined that it will continue to process passports at this time. We will re-evaluate again in February 2013.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

PURCHASING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R41	Office Supply and Equipment Ordering	It is recommended that the court review the office supplies and equipment provided to determine which discretionary items should be removed to reduce costs. It is also recommended that the court review the policy regarding ordering of custom or non-standard items to eliminate non-essential purchases.	Short	Potential baseline budget savings in office supplies and equipment.	None
COURT RESPONSE					
R41	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T. As an ongoing process, the Court routinely reviews office supplies and equipment to determine what may be discretionary in efforts to reduce the Courts cost and unnecessary/non-essential purchases.				
COURT UPDATE					
R41	Implementation Date: Since 2003, the court has routinely reviewed its purchasing practices in an effort to keep costs low. This is an ongoing process for the court. Cost Savings/Court Expense: Savings have varied year to year. At this point, the only savings left that could be achieved are any associated ongoing OE&E for staff that have been laid off.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R42	Office Supply and Equipment Ordering	Generic laser printer toner is not being used. Products from Innovera and Greenbox have been evaluated but have not met quality requirements. It is recommended that the court Pilot the use of Sustainable Earth Brand remanufactured toner from Staples. Many courts are using this toner and have had very good results.	Short	Savings - potential 30% reduction in cost for toner purchases. Current budget for toner is \$19,600. Savings could be \$5,880 per year.	None
COURT RESPONSE					
R42	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T. The Court does use generic toner. The court had been purchasing the Innovera brand, but finds as mentioned by the CART team, the product is not adequate. The Court currently purchases Image Master from Unitone (A California based company). We are pleased with the recycled product. Unitone is ISO9001 certified and holds the STMC certification from the International Imaging Technology Counsel. Furthermore we find our cost for the Image Master toner to be less than Staples sustainable earth brand.				
COURT UPDATE					
R42	Implementation Date: This is an example of how the court has continued to find ways to save money.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

Cost Savings/Court Expense: Any savings achieved have already been negated due to ongoing budget cuts.

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R43	Copiers, and Fax Machines and Transition to Duplex Printing and Scanning and Emailing of Documents	It is recommended that the court review the number and types of copiers currently provided throughout the organization to see if the number of devices can be reduced. In addition, it is recommended that the court transition to duplex printing and copying and to scanning and emailing of documents where feasible (paperless transactions instead of hard copy distribution). The court should also consider changing the default font used in printing and place limitations on color printing.	Short	Potential baseline budget savings in copier lease and maintenance cost if the number of devices is reduced. In addition, the per copy costs charged by the copier vendor and paper costs will be reduced upon transition to duplex printing and copying.	None
COURT RESPONSE					
R43	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) The Court has evaluated its copier fleet and finds that it is more cost effective to reduce the number printers and network copiers. The Court has 21 copiers. Of the 21, only three have a lease payment associated. All other copiers are on maintenance agreements that the Court pays less than a penny a copy, except for the Court's one color copier which is billed at .094 per copy. The maintenance agreements include toner and staples. We have issued a notice to staff to duplex when feasible to reduce paper cost, and will continue this effort. Color copiers have access codes which restricts usage thus limiting cost. The Court has limited scanning ability, but has implemented scanning and emailing with our Juvenile Dependency calendars. We will continue to seek avenues to reduce paper usage through scanning & emailing. <u>Timeframe for implementation:</u> This is an ongoing process that is dependent on funding for additional scanners and new copiers and available resources to implement copier networking.				
COURT UPDATE					
R43	Implementation Date: Ongoing Cost Savings/Court Expense: Savings and expense will depend on future needs for replacement of equipment.				

RECORDS

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R44	Records/Filing/ Exhibits	Conduct an overall review of current records and exhibit management and purge program to identify efficiencies to be realized by modifying existing practices. Specific recommendations include:	Medium	Savings, efficiencies, and cost avoidance.	None

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

		<ol style="list-style-type: none"> 1. Utilize paper sorting tools where needed when pre-sorting items to be filed. 2. Across the court, maintain physical file in single numeric order based on numbering provided by the case management system rather than segmenting by case type for more efficient retrieval and re-shelving of case files and to reduce misfiles. 3. Consider process re: stipulation to return exhibits (applicable to other case types as well) to reduce processing workload of exhibit management (i.e., storage, noticing for destruction, etc.). 4. Utilize bar code labels on every active file and create bar codes for court locations to assist with file tracking. 5. Develop records destruction and purging program. 6. Utilize the front of case file folders to clearly identify pertinent information on large labels to assist staff with quickly pulling calendars and re-shelving case files. 7. Segregate cases in warrant status from disposed cases in the records storage areas to make identification of warrant cases more straightforward and to assist with making purge process more efficient. 8. The noticing and destruction of exhibits and corresponding processes may also need to be refined. 9. Both an index of cases filed and cases destroyed should be maintained and accessible to juvenile staff. 10. Explore opportunity to organize files in more consistent manner. In some instances the side pocket of a file was used as an interim holding place for documents and reports that the judge might need. This caused an additional workload when the documents need to be re-filed in chronological order. Explore use of target sheets to more easily find documents. 11. Order file folders with pockets (staff are manually creating pocket by cutting card stock and taping it to the file folder) 12. Explore opportunities to improve requests for files. Give records staff access to directly view cases on calendar so they may provide cases to courtroom or calendar prep staff. Currently case processing staff is preparing requests in the system and emailing the Records Unit with their file requests. 13. Target sheets in files may provide easier access to certain documents and more consistency in how files are maintained (Juvenile Dependency). 			
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TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT RESPONSE	
R44.1	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: The court will follow through with the examples provided by Orange County and will also look into other alternatives that may be available. Court will also need to research which option will be less costly to implement.
R44.2	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: The court is already working on the file merge with the CCMS filing groups and we will be researching the possibility of creating a single sequential file numbering system with our criminal files to achieve the file merge of all criminal felony and misdemeanor files. The file merge project for CCMS is expected to be completed by June 1, 2012. The criminal file numbering merge will take 6 months to 1 year to draft and implement.
R44.3	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: The court already has a stipulation regarding exhibits in place for small claims. The court will look the use of a stipulation in all other case types. Research and possible implementation between 6 months to 1 year.
R44.4	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: Implementation between 6 months to 1 year.
R44.5	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T. The court already has a purging program in place for all lower jurisdiction records which account for nearly 60% of records currently stored in the Records Facility. The purging program cannot move forward as there are not enough staff resources in records to proceed with the current purging plan. The records department has historically been under staffed since its inception in 2000 and it continues to be understaffed. The current financial crisis facing this court has forced it to remove critical staff in Records to more critical functioning areas of the organization. In the future should the department be restored to minimum staffing, purging of files will be resumed.
R44.6	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: The court will research the ability of expanding the current fields in the existing label formatting. We will also look into the possibility of adopting new case labels for criminal cases. Implementation 6 months to 1 year.
R44.7	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The Court had a system of segregating cases in warrant status from disposed cases in the records storage areas to make identification of warrant cases more straightforward and to assist with making the purge process more efficient; however, over time the system previously used no longer works. Timeframe for implementation: The Court will research possible methods to clearly identify warrant status from disposed cases. Implementation between 6 months to 1 year.
R44.8	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T. The court already has a simplified process for noticing and destroying exhibits. The current back log is due to insufficient staffing.
R44.9	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: Implementation between 6 months to 1 year.
R44.10	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Timeframe for implementation: The court will explore additional possibilities of file organization and plans to have this research completed and in place in 2-3 months.

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

R44.11	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)
	Timeframe for implementation: The court will look into the possibility of purchasing different supplies for the department to discontinue the practice currently in place. Implementation should be completed no later than 3-6 months depending on current stock of supplies.
R44.12	<input checked="" type="checkbox"/> Recommendation implemented by Court well before C.A.R.T.
	Access is already provided to Records Management staff to view any pending calendars. Only those files that are needed as a last minute urgent request is ordered via E-mail or phone call.
R44.13	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)
	Timeframe for implementation: Implementation within 6 months.
COURT UPDATE	
R44.1 Thru R44.13	Implementation Date: All of these recommendations, 44.1 through 44.13 have an implementation date of 6 months to 1 year. Our records management division will do its best to completely implement these recommendations timely. However, with the reductions in staff, timely implementation may prove to be difficult. Cost Savings/Court Expense: Yet to be determined.

STAFFING

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R45	Staff Savings	It is recommended the court eliminate two-person mail opening teams by implementing video camera recording of the mail processing work area to ensure direct observation of the handling of mail.	Short	Staff savings by reducing two person mail opening team to one person in each location that has teams that open the mail.	Small cost to purchase and maintain video camera system.
COURT RESPONSE					
R45	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation)				
	<input checked="" type="checkbox"/> Court Does not Adopt Recommendation (Provide reason(s) for not adopting Recommendation)				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

	<p><u>Stockton Court (Adopts with Modifications):</u> We currently do not have a two-person mail opening team. Our mail is opened on the 1st and 3rd floors (Traffic & Civil) which require a total of three clerks, with an estimated time of 4 hours per day. It is anticipated that by centralizing the mail opening process, we could eliminate one (1) clerk and also fulfill the AOC Audit requirement of a two person mail opening team.</p> <p>We will evaluate and determine for cost and efficiency purposes the implementation of either centralizing the mail opening process or pursuing approval for the video camera recording.</p> <p><u>Branch Courts – Lodi, Manteca & JJC (Does not Adopt):</u> No resources available for purchase of video camera, monitoring, or maintenance. Currently in the branch courts, opening of the mail can be observed by multiple staff, at any given time in all court locations.</p> <p><u>Timeframe for implementation:</u> Stockton Court - Between 30 and 90 days.</p>
COURT UPDATE	
R45	<p>Implementation Date: 6/18/12 – For the Stockton branch, all mail is opened by 2 people on the 3rd floor, which eliminated the need for a 3rd person to assist with this process. This change allowed us to spend no money while also putting us in compliance with the AOC Audit recommendation of a 2 person mail team.</p> <p>Cost Savings/Court Expense: The court estimates an annualized savings of \$81,702 for the staff time associated with this task.</p>

TECHNOLOGY

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R46	Chief Information Officer	It is recommended that the court actively pursue filling the vacant Chief Information Officer position to assist the court with developing and maintaining a long-term technology and infrastructure plan.	Short - CRITICAL	Critical need for court wide infrastructure of systems.	Cost to fill position which will allow for substantial savings overall to the court.
COURT RESPONSE					
R46	<p><input checked="" type="checkbox"/> <u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u></p> <p>This recommendation is one the court had already been working on for the past couple of months. In fact, the recruitment closed on May 4, 2012 and interviews will take place on May 17, 2012.</p> <p><u>Timeframe for implementation:</u> We anticipate having the successful candidate hired by mid-June.</p>				
COURT UPDATE					
R46	<p>Implementation Date: The IT Manager was selected on 6/12/12 and began employment with the court on 7/2/12.</p> <p>Cost Savings/Court Expense: The court has an approximate annual position cost of \$150,000.</p>				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R47	Infrastructure	It is recommended that the court replace 15 individual servers with 3 servers running VMWare virtualization.	Short - CRITICAL	Critical need for court wide infrastructure of systems.	Cost for implementation approximately \$81,000.
COURT RESPONSE					
R47	<input checked="" type="checkbox"/> <u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u> The court had previously recognized that this recommendation is vital to ensure continuity of its operations. We had already obtained quotes for servers and had those quotes validated by CART members. As we are so close to hiring an IT manager, we will be waiting until the IT manager is selected and will have that person involved in the final decision making process for this major purchase. <u>Timeframe for implementation:</u> The servers will be purchased within the next 2 months.				
COURT UPDATE					
R47	<u>Implementation Date:</u> The court purchased 3 servers on 6/19/12. All have been deployed court IT staff are in the process of completing the migration of files and systems. <u>Cost Savings/Court Expense:</u> The court estimates the cost of server purchase, deployment and migration to be approximately \$81,500.				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R48	Infrastructure	Replace key servers and software. Review AOC audit report from 2011 audit to determine additional areas where there may be additional business exposure.	Short - CRITICAL	Critical need for court wide infrastructure of systems.	<ul style="list-style-type: none"> Minimal investment estimated to be \$81,000.
COURT RESPONSE					
R48	<input checked="" type="checkbox"/> <u>Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation</u> The court recognizes that this recommendation is critical to its overall infrastructure. Once our new IT manager is hired, we will be sharing both this report and our 2011 audit report with him/her so that all IT related deficiencies can be remedied. <u>Timeframe for implementation:</u> The court expects, where financially feasible, to complete all items within the next 6 months to 1 year.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT UPDATE	
R48	<p>Implementation Date: The court purchased 3 servers on 6/19/12. All have been deployed court IT staff are in the process of completing the migration of files and systems.</p> <p>Cost Savings/Court Expense: The court estimates the cost of server purchase, deployment and migration to be approximately \$81,500.</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R49	Infrastructure	Move IBM Filenet Hosting and Support to the AOC / CCTC	Short - CRITICAL	Critical need for court wide infrastructure of systems –	Unknown

COURT RESPONSE	
R49	<p><input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation)</p> <p>The court recognizes that this recommendation is important. However, the court will wait until its IT manager is in place so a final decision and recommendation can be made with that person’s input.</p> <p>Timeframe for implementation: Implementation of this recommendation or any modification of this recommendation may take a few months of planning.</p>

COURT UPDATE	
R49	<p>Implementation Date: Further analysis was completed on 9/26/12 and the court will not adopt this recommendation due to cost.</p> <p>Cost Savings/Court Expense:</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R50	Software Licenses	Audit software licenses to confirm that they are still being used. Eliminate maintenance renewals on unused software.	Short - CRITICAL	Savings - Unknown but likely under \$10K of savings.	Most expensive software maintenance is just under \$54K per year for IBM which is over 50% of the court’s maintenance cost.

COURT RESPONSE	
R50	<p><input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)</p> <p>Once our new IT manager is hired, he or she will ensure an audit of all software licenses is completed.</p> <p>Timeframe for implementation: Completion is estimated to be within the next 6 months.</p>

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT UPDATE	
R50	<p>Implementation Date: This process began 7/1/12 and will continue through 1/1/13.</p> <p>Cost Savings/Court Expense: The court estimates that as much as \$75,000 annually could be saved.</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R51	Infrastructure	Move Hosting of Public Access Website to AOC CCTC / CCMS Secure Portal, or replace the Current Server that is locally Hosting the Website.	Short - CRITICAL	Critical need for court wide infrastructure of systems Prevents a possible disruption in the Court's on-line services, plus the Court will gain new capabilities through the use of more current internet-based technologies.	The cost of moving public access / on-line case information searches to the CCTC Secure Portal is unknown.

COURT RESPONSE	
R51	<p><input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation)</p> <p>The court recognizes that this recommendation is important. However, the court will wait until its IT manager is in place so a final decision and recommendation can be made with that person's input.</p> <p>Timeframe for implementation: Several months of planning for this recommendation or any modification of this recommendation may be necessary prior to implementation.</p>

COURT UPDATE	
R51	<p>Implementation Date: Further analysis was completed on 9/26/12 and the court will not be adopting this recommendation.</p> <p>Cost Savings/Court Expense:</p>

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R52	Electronic Traffic Citations	Identify cost for further implementation of electronic Traffic citations and seek out grant funding. Sources could include Department of Transportation.	Medium	Efficiencies	Cost for implementation could be \$100K but may be covered by grant funding sources.

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT RESPONSE	
R52	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) The court recognizes the efficiencies e-citations bring to the court. The court already has the 2 nd largest law enforcement agency (LEA) in San Joaquin County using e-citations. As soon as is practical, the court will meet with LEA's to discuss the efficiencies this program presents to both LEA's and the Court and will encourage LEA's to seek out grant funding to implement this program. When time permits, the court may assign staff to investigate funding opportunities. Timeframe for implementation: The court expects it may take up to 1 year or more to fully explore, apply and implement a program of this nature.
COURT UPDATE	
R52	Implementation Date: Cost Savings/Court Expense:

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R53	Website	It is recommended that the court conduct an evaluation of its existing website for redesign and updating to make it easier to navigate and to ensure that it contains relevant and accurate information. Ideas for redesign include:	Medium/Long Term	Customer Service, Efficiencies – potential for reduction in the number of calls and requests for information from court staff.	Cost to upgrade website.
COURT RESPONSE					
R53	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The court recognizes that this recommendation is important. However, the court will wait until its IT manager is in place so a final decision and recommendation can be made with that person's input. Timeframe for implementation: A project of this magnitude, given the courts diminished staff and financial resources, may take a year or more to fully implement.				
COURT UPDATE					
R53	Implementation Date: June 2013 is the expected completion of this project. Cost Savings/Court Expense: No costs or financial resources, other than staff time, have been expended by the court.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R54	Criminal, Traffic, Case Management System	<p>It is recommended that the court consider the following options for the CJIS Criminal/Traffic case management system:</p> <ul style="list-style-type: none"> Option 1: It is recommended that the court investigate and migrate to alternative “off the shelf” case management system for Criminal and Traffic. The existing Crim/Traffic case management system is a 30-year old COBOL application running on an IBM mainframe managed and maintained by the County. The Court is billed by transaction. The Court spends \$1.5M per year on CJIS. Option 2: It is also recommended that the court consider cost savings and risk avoidance derived from CJIS “lift and shift” from IBM mainframe to SQL platform. 	Long-term	<ul style="list-style-type: none"> Option 1: New case management system could result in reduction of yearly maintenance cost from \$1.5M per year to \$60K per year. Option 2: the long-term savings and greater control of the database are significant. 	<ul style="list-style-type: none"> Option 1: Initial costs potentially up to \$550K one time for software licenses, hardware and implementation. Detailed ROI analysis would need to be performed to determine specific savings. Option 2: By moving CJIS to a SQL platform, the transition would take about nine months to complete, would cost between \$1.5 and \$2 million, but would be recouped in less than 2 years from the savings generated from moving off the mainframe. The annual cost of the SQL environment is approximately \$100,000.
COURT RESPONSE					
R54	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) The court agrees with this recommendation, however, is more interested in implementing Option 2 – “Lift and Shift” as a short term solution. This option would stabilize the courts current case management system and could generate ongoing savings for the court, which would then give us the ability to save money to use for Option 1 – replacement of the legacy case management system. The long term solution for the court or Option 1 would be to investigate the purchase of a case management system to replace its 30 year old legacy system. Timeframe for implementation: Option 2 may take up to 2 years. Option 1 may take 3 to 5 years.				
COURT UPDATE					
R54	Implementation Date: Future implementation will depend on which option the court is able to pursue. Cost Savings/Court Expense:				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R55	Juvenile Delinquency Case Management System	It is recommended that the court consider options for implementing a Juvenile delinquency case management system: <ul style="list-style-type: none"> In the short-term, utilize the ShowMe Case management system currently utilized by family law and juvenile dependency. In the long-term there may be value in assessing the CMS vendor that the Probation department uses. 	<ul style="list-style-type: none"> Short – for ShowMe option Long – for Probation option. 	Savings – very significant staff resources could be saved by automating juvenile delinquency case processing.	Costs to move to ShowMe CMS or contract with Probation vendor.
COURT RESPONSE					
R55	<input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation) Our short-term approach will be to add the Juvenile Delinquency case type content data to our existing CMS, then assess the CMS vendor used by the Probation Department, long term. Timeframe for implementation: Implementation can be completed within six months for the short-term recommendation. For the long-term recommendation, assessment can be completed within 1 year.				
COURT UPDATE					
R55	Implementation Date: The short term option is in progress. The long term option continues to be researched. Cost Savings/Court Expense:				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R56	E-filing	Expand e-filing to other case types. The Court is using CCMS V3 and may be able to leverage some technical work that Orange County and San Diego have done to integrate e-filing service providers with CCMS V3. The Court can leverage the existing Document Management System to facilitate the storage of e-filed documents.	Medium	Savings - Detailed ROI analysis would need to be performed to determine specific savings.	Initial investment of approximately \$150K one time for implementation.
COURT RESPONSE					
R56	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) A detailed Return on Investment analysis would need to be performed to determine specific savings versus an estimated one-time cost of \$150K for implementation of this recommendation. Until such an analysis can be completed, we cannot definitively respond how the court will proceed. Timeframe for implementation: The analysis to be completed between 12 and 18 months.				
COURT UPDATE					
R56	Implementation Date: Cost Savings/Court Expense:				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R57	Document Imaging	It is recommended that once E-filing and E-Citations are implemented, the court can dedicate positions to begin scanning paper documents as an investment in future efficiencies.	Medium	Savings and Efficiencies - Detailed ROI analysis would need to be performed to determine specific savings.	Since DMS is already in place, cost would only be for document scanners - potentially \$20K.
COURT RESPONSE					
R57	<input checked="" type="checkbox"/> Adopts Recommendation with Modifications (If Yes, Explain Modifications and provide estimated timeframe for implementation) A detailed Return on Investment analysis would need to be performed to determine specific savings. Until such an analysis can be completed, we cannot definitively respond how the court will proceed. Timeframe for implementation: The analysis to be completed between 12 and 18 months.				
COURT UPDATE					
R57	Implementation Date: Cost Savings/Court Expense:				

#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R58	Telephone System	It is recommended that the court review its existing telephone system and identify additional functionality or consider converting to Voice Over IP (VOIP) to assist with increasing customer service.	Long-Term	Savings and efficiencies	May include initial costs that may be required to ultimately realize savings.
COURT RESPONSE					
R58	<input checked="" type="checkbox"/> Court identified the recommendation prior to C.A.R.T. and is in the process of implementing the recommendation The Court is currently dependent on the County for its phone systems. Because of the age of the County's system adding additional functionality is not cost effective; however, the Court is reviewing its IVR process and recordings in an effort to identify functionality that may result in a more efficient processing of incoming calls. In addition, the Court is currently working with a vendor to evaluate the possibility of hosted VoIP services. The primary issue that may prohibit the Court from moving to a VoIP platform is the age of the Courthouse infrastructure. The Court has planned for VoIP infrastructure in the new Stockton Courthouse.				

TABLE 1: SAN JOAQUIN CART TRACKING DOCUMENT

Updated 10/23/2012

COURT UPDATE					
R58	<p>Implementation Date: The court is still working on this project. If the court is able to implement prior to moving to the new courthouse, it will do so within the next 18 months.</p> <p>Cost Savings/Court Expense: Exact costs and/or savings are unknown at this time.</p>				
#	SUBJECT AREA	RECOMMENDATION	IMPLEMENTATION TIMEFRAME	SAVINGS, EFFICIENCIES, REVENUE	ASSOCIATED COST
R59	Juvenile Dependency Technology Infrastructure	Assess antiquated technical environment which prohibits staff from working efficiently (e.g., printer unplug/plug in for every minute order prepared during calendar preparation process).	Short	Efficiencies	Cost to upgrade technical environment.
COURT RESPONSE					
R59	<p><input checked="" type="checkbox"/> Adopts Recommendations as stated (If Adopting Recommendation, provide estimated timeframe for implementation)</p> <p>The issue identified is a result of a failing network print server. We agree a more reliable alternative can be found.</p> <p>Timeframe for implementation: An assessment can be completed within 30 days of the project start date.</p>				
COURT UPDATE					
R59	<p>Implementation Date: Outdated equipment was replaced on 7/1/12.</p> <p>Cost Savings/Court Expense: There was no cost to the court. The simple fix was to install a new driver for the computers to connect to a different/operational and more convenient printer.</p>				

