



JUDICIAL COUNCIL OF CALIFORNIA

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: November 16–17, 2017

Title	Agenda Item Type
Trial Court Allocations: Trial Court Trust Fund Funds Held on Behalf of the Trial Courts	Action Required
Rules, Forms, Standards, or Statutes Affected	Effective Date
None	November 17, 2017
Recommended by	Date of Report
Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee Hon. Jonathan B. Conklin, Chair	November 1, 2017
	Contact
	Suzanne Blihovde, 916-263-1754 suzanne.blihovde@jud.ca.gov

Executive Summary

The Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends that the Judicial Council approve two new requests and three amended requests for Trial Court Trust Fund (TCTF) funds to be held on behalf of the trial courts. Under the Judicial Council–adopted process, a court may request that funding reduced as a result of a court exceeding its 1 percent fund balance cap be retained in the TCTF for the benefit of that court. The total estimated amount requested by the trial courts that would be reduced from their 2017–18 allocations for exceeding the cap is \$989,112. The council will be informed of any final adjustments to the estimated amounts after the 2016–17, 1 percent fund balance cap has been finalized.

Recommendation

Based on actions taken at its October 4, 2017, meeting, the Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends that the Judicial Council, effective November 15, 2017:

1. Allocate and designate \$97,561 in Trial Court Trust Fund fund balance to be held on behalf of the following courts:
 - \$53,561 to be held for the Superior Court of Butte County; and
 - \$44,000 to be held for the Superior Court of Siskiyou County.

These funds will be reduced from the courts' allocations as a result of those courts exceeding the 1 percent fund balance cap. The funds would be distributed back to the courts in 2017–18, as delineated in Attachment A.

2. Approve the amended request of the Superior Court of Mono County, which adds an additional \$18,279 in Trial Court Trust Fund fund balance to be held on behalf to its original request of \$115,000. The funds would be distributed back to the court over two fiscal years, as delineated in Attachment B.
3. Approve the amended requests of the Superior Court of San Bernardino County, and the Superior Court of Sutter County. These courts have reduced their original requests by \$1,040,565. The amended request total of \$758,272 will be reduced from the courts' allocations as a result of those courts exceeding the 1 percent fund balance cap. The funds would be adjusted and distributed back to the courts in 2017–18, as delineated in Attachment B.

Attachment H, *Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts*, provides the recommendations proposed by the Trial Court Budget Advisory Committee (TCBAC) and approved by the Judicial Council at its April 15, 2016, business meeting. Attachment A, *Summary of Requests for TCTF Funds to be Held on Behalf of the Court (new requests)*, and Attachment B, *Summary of Requests for TCTF Funds to be Held on Behalf of the Court (amended requests)*, provide the amount of the requests and other relevant information.

Previous Council Action

In 2016, at the Judicial Council's business meetings on June 24, July 29, October 28, and December 16, the council approved 18 requests from 15 trial courts that 2016–17 allocations reduced as a result of a court exceeding the 1 percent fund balance cap be retained in the TCTF for the benefit of that court. The requests totaled \$8.3 million. In 2017, at the Judicial Council's May 19, July 28, and September 15 business meetings, the council approved 13 new requests totaling \$9.0 million and 11 amended requests from nine trial courts for funds to be retained in 2017–18 allocations in anticipation of reductions from the 1 percent fund balance cap at the end of 2016–17.

At the Judicial Council's April 15, 2016, business meeting, the council approved the TCBAC-recommended process, criteria, and required information for trial courts to request that TCTF-reduced allocations related to the 1 percent fund balance cap be retained in the Trial Court Trust

Fund as restricted fund balance for the benefit of those courts. This retention allows the courts to prudently plan for and fund necessary court infrastructure projects such as technology or infrastructure improvements; facilities maintenance and repair allowed under California Rules of Court, rule 10.810; court efficiencies projects; and other court infrastructure projects that would not be possible as an unintended consequence of the 1 percent fund balance cap.

The council-approved process (see Attachment H) provides the following to ensure clear, transparent, and uniform standards for the courts requesting that funds be held on their behalf, as well as for the subcommittee members, Judicial Council staff, and Judicial Council members who will be processing, reviewing, and evaluating the requests:

- Criterion for eligibility;
- Submission, review, and approval process;
- Deadline for submission;
- Allowance for additional appropriate terms and conditions from the Judicial Council;
- Plan changes that require submission of an amended request;
- Plan changes that require submission of a new request;
- Postcompletion reporting requirements; and
- Audit review as part of the normal audit cycle.

The criterion for eligibility is that a court have significant court expenditures that cannot be financed within its annual budget. The submission, review, and approval process, and the allowance for additional appropriate terms and conditions, are consistent with the process for supplemental funding requests. The deadline for submission is based on the need to submit June council meeting draft reports almost six weeks before the meeting.

Forty business days is a short timeline, given staff analysis, generation of the report to a TCBC subcommittee, scheduling of a meeting of the subcommittee, and generation of a report from the subcommittee. The requirements for submission of an amended or new request are intended to ensure that the council is aware of any modifications to an approved plan and has given its explicit approval. Postcompletion reporting and audit requirements provide final review of the plans and their adherence to the approved purpose.

Rationale for Recommendation

A TCTF fund balance held on behalf of the trial courts allows the courts to meet contractual obligations and fund necessary court infrastructure projects such as technology improvements or infrastructure, rule 10.810–allowable facilities maintenance and repair, court efficiencies projects, and other court infrastructure projects whose work extends beyond the three-year term of the contract encumbrance.

TCBC established the Fiscal Planning Subcommittee to review and make recommendations directly to the Judicial Council regarding trial court requests to permit trial court allocation amounts reduced due to the 1 percent fund balance cap to be retained in the TCTF for the benefit

of that court. At its October 4, 2017, meeting, the subcommittee approved the recommendations provided in this report. The subcommittee is composed of:

- Hon. Jonathan B. Conklin, Chair, Judge, Superior Court of Fresno County;
- Hon. Elizabeth W. Johnson, Judge, Superior Court of Trinity County;
- Mr. Kevin Harrigan, Court Executive Officer (CEO), Superior Court of Glenn County;
- Mr. Michael D. Planet, CEO, Superior Court of Ventura County;
- Mr. Brian Taylor, CEO, Superior Court of Solano County; and
- Mr. David H. Yamasaki, CEO, Superior Court of Orange County.

Government Code section 77203 (carryover funds) was added as part of Senate Bill 1021 (Stats. 2012, ch. 41) and later amended by SB 75 (Stats. 2013, ch. 31), as follows:

(a) Prior to June 30, 2014, a trial court may carry over all unexpended funds from the courts operating budget from the prior fiscal year.

(b) Commencing June 30, 2014, a trial court may carry over unexpended funds in an amount not to exceed 1 percent of the court's operating budget from the prior fiscal year. The calculation of the 1 percent authorized to be carried over from the previous fiscal year shall not include funds received by the court pursuant to the following:

(1) Section 470.5 of the Business and Professions Code.

(2) Section 116.230 of the Code of Civil Procedure, except for those funds transmitted to the Controller for deposit in the Trial Court Trust Fund pursuant to subdivision (h) of that section.

(3) Subdivision (f) of Section 13963, Sections 26731, 66006, 68090.8, 70640, 70678, and 76223, subdivision (b) of Section 77207.5, and subdivision (h) of Section 77209.

(4) The portion of filing fees collected for conversion to micrographics pursuant to former Section 26863, as that section read immediately before its repeal, and Section 27361.4.

(5) Sections 1027 and 1463.007, subdivision (a) of Section 1463.22, and Sections 4750 and 6005, of the Penal Code.

(6) Sections 11205.2 and 40508.6 of the Vehicle Code.

Government Code section 68502.5 (trial court budget process) was amended as part of SB 1021 to add subdivision (c)(2)(A) and further amended by SB 75, as follows:

When setting the allocations for trial courts, the Judicial Council shall set a preliminary allocation in July of each fiscal year. The preliminary allocation shall include an estimate of available trial court reserves as of June 30 of the prior fiscal year and each court's preliminary allocation shall be offset by the amount of reserves in excess of the amount authorized to be carried over pursuant to subdivision (b) of Section 77203. In January of each fiscal year, after review of

available trial court reserves as of June 30 of the prior fiscal year, the Judicial Council shall finalize allocations to trial courts and each court's finalized allocation shall be offset by the amount of reserves in excess of the amount authorized to be carried over pursuant to subdivision (b) of Section 77203.

Beginning June 30, 2014, Government Code section 77203 authorized trial courts to carry over unexpended funds in an amount not to exceed 1 percent of the court's operating expenses from the prior fiscal year. The section also exempts certain funds from the calculation of that 1 percent. Government Code section 68502.5(c)(2)(A) directs the Judicial Council, in setting allocations for the fiscal year, to reduce a trial court's allocation in the amount that its prior fiscal year-ending fund balance exceeded 1 percent of its prior fiscal year operating expenses. Courts are also allowed to exclude encumbered funds from the cap.

Comments, Alternatives Considered, and Policy Implications

No public comments were received when TCBAC's Fiscal Planning Subcommittee considered the recommendations at its October 4, 2017, meeting. Further, the subcommittee considered no alternatives. In their attached applications (see Attachments C–G), the requesting courts provided alternatives that they considered in case their requests were not approved.

Implementation Requirements, Costs, and Operational Impacts

There is no additional cost to allocating the funds beyond the amount requested for allocation. In their attached applications, the requesting courts provided the consequences to court operations, the public, and access to justice if their requests were not approved.

Relevant Strategic Plan Goals and Operational Plan Objectives

A TCTF fund balance held on behalf of the trial courts is consistent with strategic Goal II, Independence and Accountability, in that it helps courts to “[a]llocate resources in a transparent and fair manner that promotes efficiency and effectiveness in the administration of justice, supports the strategic goals of the judicial branch, promotes innovation, and provides for effective and consistent court operations” (Goal II.B.3).

Attachments and Links

1. Attachment A: Summary of Requests for TCTF Funds to be Held on Behalf of the Court (new requests)
2. Attachment B: Summary of Requests for TCTF Funds to be Held on Behalf of the Court (amended requests)
3. Attachment C: Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Butte County
4. Attachment D: Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Siskiyou County
5. Attachment E: Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Mono County

6. Attachment F: Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of San Bernardino County
7. Attachment G: Application for TCTF Funds Held on Behalf of the Court—Request for the Superior Court of Sutter County
8. Attachment H: *Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts*

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

Table 1: New Requests for November 17, 2017 Judicial Council meeting


Court	Request Number	Amount Requested	2017-2018	2018-2019	2019-2020	Total	Category	Quick Summary
Butte	04-17-02-00	53,561	53,561			53,561	Major Equipment	Purchase of a new electronic calendar system - Oroville Courthouse
Siskiyou	47-17-01-00	44,000	44,000			44,000	Technology Improvement	Replace CMS and operating servers
						-		
						-		
						-		
						-		
Total - New Requests		97,561	97,561	-	-	97,561		

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

Table 2: Amended Requests for November 17, 2017 Judicial Council meeting

Court	Request Number	Last Approved Amount	request change \$\$ amount?	If yes - \$\$ change +/-	Original Expenditures by FY			Amended Expenditures by FY			Category	Quick Summary
					2016-2017	2017-2018	2018-2019 +	2016-2017	2017-2018	2018-2019 +		
Mono	26-17-01-A1	115,000	Yes	18,279		75,000	40,000		93,279	40,000	Technology Improvement	Saving for new case management system. Anticipated additional funding of \$385K thru BCP process reduced to \$366K due to additional funds from court.
San Bernardino	36-17-01-A1	1,718,000	Yes	(1,020,568)		1,718,000			697,432		Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System
Sutter	51-17-01-A1	80,837	Yes	(19,998)		80,837			60,840		Contract extending beyond 3-year term	Delayed implementation of case management system
Total: Amended Requests		1,913,837		(1,022,286)	-	1,873,837	40,000	-	851,551	40,000		

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request: <input checked="" type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: Butte	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Kimberly Flener, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Jarrold Orr, Deputy Court Executive Officer	
DATE OF SUBMISSION: 9/20/2017	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: \$53,561 FROM FY 2016-17 COURT RESERVES. PROJECT EXPENSES ARE ANTICIPATED IN FY 2017-18, WITH A POSSIBILITY OF EXTENDING THROUGH FY 2018-19	REQUESTED AMOUNT: \$53,561
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i> The project will replace the Court's current calendar posting process (manually posting of hardcopy printouts) at the Oroville Courthouse facility (04-A1) by expanding the electronic calendar posting board system recently installed in the new Chico Courthouse facility (04-F1). Large electronic display flat panels will be installed at the main public entrance of 04-A1 in place of current cork board use for posting of paper calendars. This project will fund the hardware, software, and infrastructure (data cabling and power) aspects of this installation. If funding allows, smaller boards will also be installed outside each of the 11 individual courtrooms at the facility for posting of Courtroom-specific hearing information and messages.		
SECTION II: AMENDED REQUEST CHANGES		
A. Identify sections and answers amended. B. Provide a summary of the changes to the request.		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term. The cost of the project is estimated to be \$53,561 which is a major capital (one-time) expense for the Court. The costs can't be absorbed by the Court's existing budget. Given the lack of a funding augmentation from the State in FY 2017-18 and a WAFM reduction to the Court's allocation, the Court's funding has been cut forcing the absorption of on-going cost increases through reductions in other budget expense line item accounts. The Court has no further room in its operational budget to absorb this major capital expense.		

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

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

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

Our recent experience with electronic calendar boards at the Chico facility has proven them to be much more reliable, flexible, and efficient than the manual paper-posting process. In addition to offering the information in a much clearer and easier to follow format for the public than posting dozens of separate 8.5 x 11 pieces of paper, the information is automatically updated on the fly as changes occur in the Court's Case Management System throughout the day, ensuring that the public is seeing the most up-to-date information. The system also allows more flexibility to the Court in manipulating the data such as providing the ability to filter sensitive or confidential data than does the posting of a paper calendar. Because calendar changes are posted automatically, Court staff will not have to go into the public space, or interfere with the public who are actively attempting to view the calendars, when calendar changes occur throughout the day.

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

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

The Court would need to maintain its paper process. In addition to losing the opportunity for improving public access for the public as described above, it continues to require Court staff to go into unsecured (public) areas of the facility to post daily calendars and to disrupt the public when posting calendar changes. The unnecessary time and effort that this takes on the part of staff would continue.

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

See D above. In reality, this means that the data posted for the public to review is more likely to be out-of-date and inaccurate, resulting either in longer lines at the counters or in parties going to the wrong courtroom. Because paper calendar information cannot be updated until a calendar is completely finalized, the significant delays in notification to the public will continue. The Oroville facility is Butte's principal Criminal Courthouse, so day-of calendar changes are frequent and ongoing, not only in terms of last-minute calendar add-ons, but also calendars such as in-custody arraignments which are constantly in flux until the last minute (and sometimes after). It is essentially impossible to keep this information up-to-date in the public areas by posting paper calendars.

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

The only identified alternative is to maintain the status quo with the aforementioned paper process. The Court does not have the funding in its operational budget to move forward with this project as it is a major capital expense. Had the Court received an augmentation to its allocation for this fiscal year, it may have been possible to consider funding it out of the current year funding.

SECTION IV: FINANCIAL INFORMATION

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

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

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

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

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

Note the Court anticipates completing this project in FY 2017-18; however, depending on the timing of the procurement process, overall scope of the project, and vendor availability, it could stretch into FY 2018-19.

Application for TCTF Funds Held on Behalf of the Court

Prior three-year history of year-end fund balances, revenues, and expenditures

FUNDS									
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
Beginning Balance	176,821	318,852	-					495,673	
Revenues	12,110,521	564,351	687,376					13,362,248	
Expenditures	11,840,660	598,511	703,503					13,142,674	
Operating Transfers In (Out)	(51,255)	35,128	16,127					-	
Ending Fund Balance	395,427	319,820	-	-	-	-	-	715,247	

FUNDS									
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
Beginning Balance	1,014,680	329,866	-					1,344,546	
Revenues	11,577,854	523,380	743,430					12,844,664	
Expenditures	12,403,680	534,394	755,464					13,693,538	
Operating Transfers In (Out)	(12,034)		12,034					-	
Ending Fund Balance	176,820	318,852	-	-	-	-	-	495,672	

FUNDS									
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
Beginning Balance	1,283,997	256,204						1,540,201	
Revenues	10,866,128	533,845	694,752					12,094,725	
Expenditures	11,121,021	460,183	709,177					12,290,381	
Operating Transfers In (Out)	(14,425)		14,425					-	
Ending Fund Balance	1,014,679	329,866	-	-	-	-	-	1,344,545	

Application for TCTF Funds Held on Behalf of the Court

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

Description	FY 2017-18									
	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	FUNDS	
REVENUES										
State Financing Sources	11,651,909	80,332						11,732,241		
Grants	-		1,074,950					1,074,950		
Other Financing Sources	341,151	473,850						815,001		
TOTAL REVENUES	11,993,060	554,182	1,074,950	-	-	-	-	13,622,192		
EXPENDITURES										
Salaries	5,653,865	338,172	522,254					6,514,291		
Staff Benefits	3,090,706	148,213	249,651					3,488,570		
General Expense	455,169	-	44,755					499,924		
Printing	7,750							7,750		
Telecommunications	115,666		31,529					147,195		
Postage	91,500		150					91,650		
Insurance	5,800							5,800		
Travel in State	47,165		7,831					54,996		
Travel Out of State	2,000							2,000		
Training	27,781		1,500					29,281		
Security	472,190							472,190		
Facilities Operations	217,760							217,760		
Utilities	-							-		
Contracted Services	1,412,238	57,733	104,456					1,574,427		
Consulting and Professional Services										
- County Provided	19,675							19,675		
Information Technology (IT)	238,883	67,339	4,796					311,018		
Major Equipment	180,239							180,239		
Other Items of Expense								-		
Juror Costs	73,500							73,500		
Other	209,700							209,700		
Debt Service								-		
Court Construction								-		
Distributed Administration & Allocation	(124,155)		124,155					-		
Prior Year Expense Adjustment								-		
TOTAL EXPENDITURES	12,197,432	611,457	1,091,077	-	-	-	-	13,899,966		
Operating Transfers In (Out)	(48,860)	32,733	16,127					-		
Fund Balance (Deficit)										
Beginning Balance (Deficit)	395,426							715,276		
Ending Balance (Deficit)	142,194	295,308	-	-	-	-	-	437,502		

Application for TCTF Funds Held on Behalf of the Court

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

GL Account	Expenses Category		Amount
	Description		
900000	Salaries		
910000	Staff Benefits		
920001	General Expense		
924000	Printing		
925000	Telecommunications		
926000	Postage		
928000	Insurance		
929000	Travel in State		
931000	Travel Out of State		
933000	Training		
934000	Security		
935000	Facilities Operations		
936000	Utilities		
938000	Contracted Services		
940000	Consulting and Professional Services - County Provided		
943000	Information Technology (IT)		
945000	Major Equipment		53,561
950000	Other Items of Expense		
972000	Other		
973000	Debt Service		
983000	Court Construction		
990000	Distributed Administration & Allocation		
Total			53,561

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

NEW REQUEST *(Complete Section I, III, and IV only.)*

AMENDED REQUEST *(Complete Sections I through IV.)*



SECTION I: GENERAL INFORMATION

SUPERIOR COURT: Siskiyou	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Reneé McCanna Crane, CEO	
	CONTACT PERSON AND CONTACT INFO: Lorena Barnes 530-842-8368 lbarnes@siskiyou.courts.ca.gov	
DATE OF SUBMISSION: 8/9/2012	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 2017/2018	REQUESTED AMOUNT: \$44,000.00

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

The reason for this request is to replace our servers, which are used to maintain our case management and operating systems. Our servers are coming up on their 5th birthday and as you may or may not be aware, the typical lifespan is 3.5 years pursuant to the IT world. As workloads on servers increase, replacing aging hardware becomes mission critical.

SECTION II: AMENDED REQUEST CHANGES

- A. Identify sections and answers amended.**
- B. Provide a summary of the changes to the request.**

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.**
- Siskiyou had remaining funds from fiscal year 2016/2017 of \$44,000.00 which we could use to replace our servers. Siskiyou would like to use these funds from FY 2016/2017 since Siskiyou suffered a reduction of \$86,737 for FY 2017/2018. This reduction would limit the Court's ability to provide coverage on other operating expenses because of how much it will cost to replace our servers.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)**SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**
The replacement of our servers will ensure a continuation of a functional and effective case management and operating system without interruptions and downtime for the court and the public.
- C. If a cost efficiency, please provide cost comparison (table template provided).**
- D. Describe the consequences to the court's operations if the court request is not approved.**
Having interruptions and downtime on the systems will cause a delay in services provided to the public, as well as create a backlog of work for court staff.
- E. Describe the consequences to the public and access to justice if the court request is not approved.**
It would cause a delay in providing information in a timely manner to the public, whether providing case specific information or taking payments. It would also affect the public's access to case and calendar information through our court website.
- F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?**
The Court would have to use other funds in order to replace the servers which in turn would then cut into other resources from our operating budget. The extra funds from FY 2016/2017 would be the best option to utilize in replacing our servers.

SECTION IV: FINANCIAL INFORMATION

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

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

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

See attachment

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

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

Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2016-17	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	75,558	111,491						187,048
Revenues	3,676,461	42,057	758,384					4,476,901
Expenditures	3,559,431	2,999	818,713					4,381,144
Operating Transfers In (Out)	(60,330)		60,330					-
Ending Fund Balance	132,258	150,548	0	-	-	-	-	282,806

FY 2015-16	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	279,026	67,917						346,943
Revenues	3,710,688	44,398	897,965					4,653,051
Expenditures	3,832,452	824	979,670					4,812,946
Operating Transfers In (Out)	(81,705)		81,705					-
Ending Fund Balance	75,558	111,491	-	-	-	-	-	187,048

FY 2014-15	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	502,074	27,839						529,914
Revenues	3,665,890	44,903	760,329					4,471,122
Expenditures	3,764,881	4,825	884,386					4,654,092
Operating Transfers In (Out)	(124,057)		124,057					-
Ending Fund Balance	279,026	67,917	-	-	-	-	-	346,943


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

	FY 2017-18							
	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	3,542,876							3,542,876
Grants	354,924							354,924
Other Financing Sources	399,705							399,705
TOTAL REVENUES	4,297,505	-	-	-	-	-	-	4,297,505
EXPENDITURES								
Salaries	1,889,808							1,889,808
Staff Benefits	1,359,944							1,359,944
General Expense	78,085							78,085
Printing	5,500							5,500
Telecommunications	42,308							42,308
Postage	33,000							33,000
Insurance	1,500							1,500
Travel in State	19,575							19,575
Travel Out of State								-
Training	2,500							2,500
Security								-
Facilities Operations								-
Utilities	17,400							17,400
Contracted Services	586,505							586,505
Consulting and Professional Services - County Provided	143,239							143,239
Information Technology (IT)	52,250							52,250
Major Equipment	50,000							50,000
Other Items of Expense	2,000							2,000
Juror Costs	64,000							64,000
Other	50,000							50,000
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	4,397,614	-	-	-	-	-	-	4,397,614
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)								-
Ending Balance (Deficit)	(100,109)	-	-	-	-	-	-	(100,109)

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

Expenses Category		Amount
GL Account	Description	
900000	Salaries	
910000	Staff Benefits	
920001	General Expense	
924000	Printing	
925000	Telecommunications	
926000	Postage	
928000	Insurance	
929000	Travel in State	
931000	Travel Out of State	
933000	Training	
934000	Security	
935000	Facilities Operations	
936000	Utilities	
938000	Contracted Services	
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	
945000	Major Equipment	44,000
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
Total		44,000

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request: <input type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input checked="" type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: Click here to enter court MONO	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Hector Gonzalez	
	CONTACT PERSON AND CONTACT INFO: Tammy Laframboise 760-923-2304	
DATE OF SUBMISSION: 9/21/2017	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 16-17 – FY 19-20	REQUESTED AMOUNT: \$115,000 \$133,279
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i> Mono Court needs to replace the current case management system that is over 15 years old. It is being phased out by our current vendor who will no longer offer technical support.		
SECTION II: AMENDED REQUEST CHANGES		
A. Identify sections and answers amended. Section I, II, Section IV.B tab & Section IV.D tab		
B. Provide a summary of the changes to the request. Now that FY 16-17 has been finalized, the FY 16-17 contribution amount changed from \$75,000 to \$93,729 and the BCP funding was reduced by the \$18,729 increase.		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term. The preliminary estimate for a new Case Management System is approximately \$500,000 including all hardware, software and staff training. This is nearly one fourth of our annual budget so it would be very difficult to cover that expenditure as well as the operating expenses without assistance.		

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)**SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**
Funding is needed to replace our case management system that provides the foundation of important operational functions such as maintenance of case information, defendant information, party information and attorney information. Current case management system is antiquated and is still a DOS based system. It is difficult to use since it requires keyboard stroke commands and is highly inefficient given the amount of staff time necessary to use the system. Replacing it with a graphic user interface Windows based system will increase staff productivity.
- C. If a cost efficiency, please provide cost comparison (table template provided).**
Cost efficiency is not the main benefit. Replacement of the current case management system with a reliable system that will be supported is the main benefit and increased staff productivity is a secondary benefit.
- D. Describe the consequences to the court's operations if the court request is not approved.**
Current case management system is operating; however, it needs frequent technical support. Our current case management vendor is creating a new case management system platform that will replace the current system and has indicated that at some point in the future, technical support will not be provided for the old system. Failure to replace our current case management system will leave us vulnerable to system failures which could lead to the inability to do our basic court operations and the potential loss of irreplaceable court case data.
- E. Describe the consequences to the public and access to justice if the court request is not approved.**
Court customer service to the public would be substantially impaired and significantly delayed if our case management system is not replaced and becomes unreliable. We may not be able to fulfill the public's request for case information or for search requests. We will have difficulty providing necessary information for our justice partners which will also negatively impact the flow of cases.
- F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?**
If necessary, our court will seek supplemental funding from the Judicial Council. However, we believe that use of our own funding to reduce the amount of supplemental funding needed from the Judicial Council will place us in a stronger position to be approved for supplemental funding. Rather than expend all our surplus funds on vitally important materials supplies and equipment, we decided it would be a better long-term investment to place the money in the Judicial Council holding fund.

SECTION IV: FINANCIAL INFORMATION

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

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

See attached TCTF Funds Held on Behalf Tables Template – Final, Sec. IV. A tab

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

See attached TCTF Funds Held on Behalf Tables Template – Final, Sec. IV. D tab

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

See attached TCTF Funds Held on Behalf Tables Template – Final, Sec. IV. C tab

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

See attached TCTF Funds Held on Behalf Tables Template – Final, Sec. IV. B tab

Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2015-16	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	-	-	-					-
Revenues	1,942,902	49,060	132,957					2,124,919
Expenditures	1,904,795	36,599	139,591					2,080,985
Operating Transfers In (Out)	(6,634)		6,634					-
Ending Fund Balance	31,473	12,461	-	-	-	-	-	43,934

FY 2014-15	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	10	24,915	-					24,925
Revenues	1,663,886	47,763	92,930					1,804,579
Expenditures	1,663,896	72,678	92,930					1,829,504
Operating Transfers In (Out)	-	-	-					-
Ending Fund Balance	-	-	-	-	-	-	-	-

FY 2013-14	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	466,046	12,453	-					478,499
Revenues	1,437,860	12,622	78,195					1,528,677
Expenditures	1,903,896	160	78,195					1,982,251
Operating Transfers In (Out)	-	-	-					-
Ending Fund Balance	10	24,915	-	-	-	-	-	24,925

Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund ba

	FY 2016-17		FUNDS				
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary
REVENUES							
State Financing Sources	1,936,627	12,694					
Grants			145,596				
Other Financing Sources	33,990	45,905					
TOTAL REVENUES	1,970,617	58,599	145,596	-	-	-	-
EXPENDITURES							
Salaries	732,060	23,985	17,371				
Staff Benefits	589,045	4,059	10,746				
General Expense	141,467	1,746	11,451				
Printing	1,449	112	186				
Telecommunications	18,251	1,065	4,269				
Postage	10,180	784	79				
Insurance	1,813	-	-				
Travel in State	1,193	-	1,000				
Travel Out of State	-	-	-				
Training	495	-	115				
Security	900	-	230				
Facilities Operations	28,556	3	10,050				
Utilities	-	-	-				
Contracted Services	196,381	4,677	89,272				
Consulting and Professional Services - County Provided	4,353	-	-				
Information Technology (IT)	114,666	7,350	2,838				
Major Equipment	42,480	-	-				
Other Items of Expense	4,802	-	724				
Juror Costs	589						
Other		290					
Debt Service							
Court Construction							
Distributed Administration & Allocation							
Prior Year Expense Adjustment							
TOTAL EXPENDITURES	1,888,680	44,071	148,332	-	-	-	-
Operating Transfers In (Out)							
Fund Balance (Deficit)							
Beginning Balance (Deficit)							
Ending Balance (Deficit)	81,937	14,528	(2,736)	-	-	-	-

Current detailed budget projectionance held on the court’s behalf

		FY 2017-18	FUNDS							
Description	TOTAL	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
REVENUES										
State Financing Sources	1,949,321	1,998,953	11,757						2,010,710	
Grants	145,596			111,738					111,738	
Other Financing Sources	79,895	35,915	40,248						76,163	
TOTAL REVENUES	2,174,812	2,034,868	52,005	111,738	-	-	-	-	2,198,610	
EXPENDITURES										
Salaries	773,417	831,491	16,481	13,299					861,271	
Staff Benefits	603,849	662,464	11,980	6,509					680,953	
General Expense	154,664	90,812	1,545	8,612					100,969	
Printing	1,747	1,811	100	-					1,911	
Telecommunications	23,586	22,504	921	3,853					27,277	
Postage	11,043	11,604	547	43					12,193	
Insurance	1,813	2,394	-	-					2,394	
Travel in State	2,193	3,504	-	536					4,040	
Travel Out of State	-	-	-	-					-	
Training	610	283	-	127					409	
Security	1,131	684	-	101					786	
Facilities Operations	38,609	35,640	3	3,310					38,953	
Utilities	-	-	-	-					-	
Contracted Services	290,330	181,639	3,800	71,561					257,000	
Consulting and Professional Services - County Provided	4,353	4,405	-	-					4,405	
Information Technology (IT)	124,853	112,155	17,425	2,449					132,029	
Major Equipment	42,480	47,588	-	-					47,588	
Other Items of Expense	5,527	5,636	-	797					6,432	
Juror Costs	589								-	
Other	290								-	
Debt Service	-								-	
Court Construction	-								-	
Distributed Administration & Allocation	-								-	
Prior Year Expense Adjustment	-								-	
TOTAL EXPENDITURES	2,081,084	2,014,612	52,802	111,197	-	-	-	-	2,178,611	
Operating Transfers In (Out)	-								-	
Fund Balance (Deficit)										
Beginning Balance (Deficit)	-	81,937	14,528	(2,736)	-	-	-	-	93,729	
Ending Balance (Deficit)	93,729	102,193	13,730	(2,195)	-	-	-	-	113,729	

Current detailed budget projection

	FY 2018-19		FUNDS				
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary
REVENUES							
State Financing Sources	2,383,953	11,757					
Grants			111,738				
Other Financing Sources	35,915	40,248					
TOTAL REVENUES	2,419,868	52,005	111,738	-	-	-	-
EXPENDITURES							
Salaries	831,491	16,481	13,299				
Staff Benefits	662,464	11,980	6,509				
General Expense	90,812	1,545	8,612				
Printing	1,811	100	-				
Telecommunications	22,504	921	3,853				
Postage	11,604	547	43				
Insurance	2,394	-	-				
Travel in State	3,504	-	536				
Travel Out of State	-	-	-				
Training	283	-	127				
Security	684	-	101				
Facilities Operations	35,640	3	3,310				
Utilities	-	-	-				
Contracted Services	181,639	3,800	71,561				
Consulting and Professional Services - County Provided	4,405	-	-				
Information Technology (IT)	112,155	17,425	2,449				
Major Equipment	47,588	-	-				
Other Items of Expense	5,636	-	797				
Juror Costs							
Other							
Debt Service							
Court Construction							
Distributed Administration & Allocation							
Prior Year Expense Adjustment							
TOTAL EXPENDITURES	2,014,612	52,802	111,197	-	-	-	-
Operating Transfers In (Out)							
Fund Balance (Deficit)							
Beginning Balance (Deficit)	102,193	13,730	(2,195)	-	-	-	-
Ending Balance (Deficit)	507,450	12,933	(1,654)	-	-	-	-

Current detailed budget projection:

		FY 2019-20	FUNDS							
Description	TOTAL	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL	
REVENUES										
State Financing Sources	2,395,710	1,998,953	11,757						2,010,710	
Grants	111,738			111,738					111,738	
Other Financing Sources	76,163	35,915	40,248						76,163	
TOTAL REVENUES	2,583,610	2,034,868	52,005	111,738	-	-	-	-	2,198,610	
EXPENDITURES										
Salaries	861,271	851,490	16,481	13,299					881,270	
Staff Benefits	680,953	662,464	11,980	6,509					680,953	
General Expense	100,969	90,812	1,545	8,612					100,969	
Printing	1,911	1,811	100	-					1,911	
Telecommunications	27,277	22,504	921	3,853					27,277	
Postage	12,193	11,604	547	43					12,193	
Insurance	2,394	2,394	-	-					2,394	
Travel in State	4,040	3,504	-	536					4,040	
Travel Out of State	-	-	-	-					-	
Training	409	283	-	127					409	
Security	786	684	-	101					786	
Facilities Operations	38,953	35,640	3	3,310					38,953	
Utilities	-	-	-	-					-	
Contracted Services	257,000	281,639	3,800	71,561					357,000	
Consulting and Professional Services - County Provided	4,405	4,405	-	-					4,405	
Information Technology (IT)	132,029	512,155	17,425	2,449					532,029	
Major Equipment	47,588	47,588	-	-					47,588	
Other Items of Expense	6,432	5,636	-	797					6,432	
Juror Costs	-								-	
Other	-								-	
Debt Service	-								-	
Court Construction	-								-	
Distributed Administration & Allocation	-								-	
Prior Year Expense Adjustment	-								-	
TOTAL EXPENDITURES	2,178,611	2,534,611	52,802	111,197	-	-	-	-	2,698,610	
Operating Transfers In (Out)	-								-	
Fund Balance (Deficit)										
Beginning Balance (Deficit)	113,729	507,450	12,933	(1,654)	-	-	-	-	518,728	
Ending Balance (Deficit)	518,728	7,707	12,135	(1,113)	-	-	-	-	18,729	

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

Expenses Category		Amount
GL Account	Description	
900000	Salaries	
910000	Staff Benefits	
920001	General Expense	
924000	Printing	
925000	Telecommunications	
926000	Postage	
928000	Insurance	
929000	Travel in State	
931000	Travel Out of State	
933000	Training	
934000	Security	
935000	Facilities Operations	
936000	Utilities	
938000	Contracted Services	100,000
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	400,000
945000	Major Equipment	
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
Total		500,000

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

Original Request approved by Judicial Council July 28, 2017


Description	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	Select Fiscal Year	Select Fiscal Year	Select Fiscal Year	Select Fiscal Year	Total
Contribution	75,000	20,000	20,000						115,000
BCP Funding			385,000						385,000
Expenditures				500,000					500,000
Cumulative Balance	75,000	95,000	500,000	-	-	-	-	-	-

Amended request

Description									Total
Contribution	93,279	20,000	20,000						133,279
BCP Funding			366,721						366,721
Expenditures				500,000					500,000
Cumulative Balance	93,279	113,279	500,000	-	-	-	-	-	-

Note: Mono Court has put in a request to be included in the next consortium of courts to receive additional funding to assist with the purchase of a new case management system. We anticipate that may happen in 2018-19 so included in the budget for that year is an additional \$366,721 to add to the \$115,000 that the court will have saved by using the TCTF Funds Held on Beheld of the Court process. The purchase will be paid in full (\$500,000) in the following 2019-20.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request: <input type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input checked="" type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: San Bernardino	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Raymond L. Haight III	
	CONTACT PERSON AND CONTACT INFO: Nancy CS Eberhardt, Court Executive Officer, 909-708-8769	
DATE OF SUBMISSION: 9/5/2017	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 2017-18	REQUESTED AMOUNT: \$ 1,718,000.00 \$ 697,432.41
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i>		
<p>The San Bernardino Superior Court is requesting the Judicial Council of California to hold court monies subject to the 1% fund balance restriction in the Trial Court Trust Fund in order to effectively implement the second stage (Project 2) of the court's new case management system (CMS). For purposes of this discussion, Project 1 refers to criminal & traffic case types and Project 2 refers to civil, family, small claims/unlawful detainers, and probate case types.</p> <p>Due to unforeseen delays and complications that have significantly extended the CMS rollout beyond the original schedule, the court is now facing certain funding restrictions and seeks an extension on the encumbered funds dedicated to this project.</p>		
SECTION II: AMENDED REQUEST CHANGES		
<p>A. Identify sections and answers amended. Requested Amount</p> <p>B. Provide a summary of the changes to the request. The San Bernardino Superior Court requests an amendment to the previously submitted TCTF funds held request from an amount of \$1,718,000.00 in expiring FY 2014-15 funding to the updated amount of \$697,432.41. This change results from a review of the 2014-15 fund balance, which when factored in results in the reduced amount noted above.</p>		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
<p>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</p> <p>This CMS rollout does not fit within the court's annual operational budget process or the three-year encumbrance term because of the additional year required to fully implement certain deliverables associated with the project.</p> <p>The Court began planning for the first phase, Project 1, in FY 2013-14 when it entered into contract with Tyler Technologies for the implementation of its Odyssey CMS solution. Planning for the second phase, Project 2, which included all other cases types began in FY 2014-15.</p> <p>The rollout of Project 1 was delayed multiple times and then suffered serious setbacks after go-live, which caused and resulted in the delay for Project 2. The implementation timeline for Project 2 was projected to</p>		

be completed by the end of fiscal year FY 2016-17. However, due to the difficulties in implementation of Project 1 as mentioned above, funds originally reserved for Project 2 will not be liquidated within the three-year encumbrance term. This will require funds to be held on behalf of the court in the TCTF.

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

The request will allow the court to continue its current CMS roll-out schedule, while utilizing the funds originally designated and prevent funding impacts to other critical services to court users. With the full implementation of CMS Projects 1 & 2, the court anticipates case flow processing improvements, increased accuracy of case information and reporting, enhanced digital access for court users, and a better customer service experience for the public and stakeholders alike.

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

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

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

N/A

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

The funds reserved for Project 2 from FY 2014-15 are currently set to expire on June 30, 2017. The amount of funds reserved exceeds the 1% fund balance limit for that fiscal year and will ultimately lead to monies being lost, if this request is not approved. The court does not currently have an available fund balance to replace the previously reserved funds. If this request is not approved, the ability of the court to maintain access to justice at its current levels will be compromised because the court may be forced to halt implementation of Project 2. Highlighting the need for a replacement system and further compounding the court's technology situation, the vendor for the legacy CMS—currently supporting civil, family, probate, and other case types—cannot continue to provide support to the court beyond June 30, 2019. This situation puts the court in an extremely precarious position.

To put it bluntly, the loss of these funds would require the use of dedicated operational money. This will adversely affect the court's ability to maintain current levels of access, including plans to reopen a remote courthouse, reduce our ability to fund programs like self-help, homeless court, and other critical court functions. Further, there is no option but to fund this rollout since the legacy CMS will not be supported after June 2019.

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

Any issues that will affect the legacy CMS beyond June 30, 2019 will go unsupported. Without local resources, the court could suffer downtime or other system related issues which will affect public services and access to justice.

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

San Bernardino Superior Court has made the implementation of Project 2 a top priority and, due to our investment of time and resources to date, switching vendors at this point is not a viable option. As an alternative, should the request not be approved, the court will find the funds for Project 2 by cutting funding in other areas of the court—which would ultimately negatively impact court user access to the San Bernardino Superior Court system.

As part of our governance structure, there are weekly meetings between the Executive Management Team and the CMS Vendor to resolve pending issues. Collaboratively, we have fixed a large volume of outstanding items and plan to continue to meet weekly to complete implementation successfully.

The Court has broken the rollout of Project 2 into smaller and separate implementation tracks. While this will extend the original implementation timeline, the court believes this change in strategy will better manage changes to business processes and any necessary troubleshooting throughout the project.

While current estimates of costs and implementation milestones indicate that the funds being held on behalf of the court will be liquidated within FY 2017-18, we request approval for any unspent funds to be available in FY 2018-19 should any phases associated with these funds not be completed by the end of next fiscal year.

SECTION IV: FINANCIAL INFORMATION

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

- A. Three-year history of year-end fund balances, revenues, and expenditures**
Not applicable for one year extension requests.
- B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf**
Not applicable for one year extension requests.
- C. Identification of all costs, by category and amount, needed to fully implement the project**
Not applicable for one year extension requests.
- D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year**
Not applicable for one year extension requests.

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


Original Request approved by Judicial Council May 19, 2017

Description	FY 2014-15 ▼	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Encumbered Amount	1,718,000								1,718,000
Contribution									-
Expenditures			1,718,000						1,718,000
Cumulative Balance	1,718,000	1,718,000	-	-	-	-	-	-	-

Amended request

Description	FY 2014-15 ▼	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Encumbered Amount	697,432								697,432
Contribution									-
Expenditures			697,432						697,432
Cumulative Balance	697,432	697,432	-	-	-	-	-	-	-

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request: <input type="checkbox"/> NEW REQUEST <i>(Complete Section I, III, and IV only.)</i> <input checked="" type="checkbox"/> AMENDED REQUEST <i>(Complete Sections I through IV.)</i>	
SECTION I: GENERAL INFORMATION	
SUPERIOR COURT: Sutter	PERSON AUTHORIZING REQUEST <i>(Presiding Judge or Court Executive Officer):</i> Stephanie M. Hansel, Court Executive Officer
	CONTACT PERSON AND CONTACT INFO: Joe Azevedo, Court Fiscal Manager, (530) 822-3340; jazevedo@suttercourts.com
DATE OF SUBMISSION: 9/8/2017	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FISCAL YEAR 2017-2018
	REQUESTED AMOUNT: \$60,839.69
REASON FOR REQUEST <i>(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):</i>	
<p>JSI: Professional services and deliverables on jury management system that is partially implemented (\$13,948.76).</p> <p>Tyler: Professional services and deliverables on new case management system that is partially implemented (\$34,526.20).</p> <p>Ricoh: Final term of purchase agreement for copiers (\$12,364.73).</p>	
SECTION II: AMENDED REQUEST CHANGES	
<p>A. Identify sections and answers amended.</p> <p style="padding-left: 20px;">Section I, Requested Amount, JSI amount, and Ricoh amount.</p> <p>B. Provide a summary of the changes to the request.</p> <p style="padding-left: 20px;">JSI: The Court used \$17,324.80 in FY 16-17 Court Operation funds towards this project. Therefore, the amount is being revised down from \$31,273.56 to \$13,948.76.</p> <p style="padding-left: 20px;">Ricoh: The Court used \$2,672.70 in FY 16-17 Court Operation funds towards this lease agreement. Therefore, the amount is being revised down from \$15,037.43 to \$12,364.73.</p> <p style="padding-left: 20px;">Total Requested Amount is being revised from \$80,837.19 to \$60,839.69.</p>	
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE	
<p>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</p>	

The JSI funds encumbered in 2014 were impacted by the delay of our new courthouse completion for one year and the delay of our new case management system implementation by 8 months. The kiosks have been installed, however configuration of the programming that is utilized by the public is in progress but not completed and we expect that configuration to be completed in fiscal year 17-18.

The Tyler funds encumbered in 2014 are the remaining project of our Odyssey case management system. The clerk's edition component requires four months of configuration. The multiple delays of our implementation date and substantial staff resources devoted to ongoing issues with functionality have delayed our ability to implement the next phase until a date outside of the three year encumbrance period. The project will be completed in fiscal year 17-18.

The copier lease to purchase agreement covered a term that extends beyond the original three year encumbrance period. The structure of the encumbrance and cap process has changed substantially over this time period and extending this encumbrance into fiscal year 17-18 will allow the current administration to satisfy the contractual obligation entered into at the time of the encumbrance.

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

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

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

The JSI project will provide additional services and resources to jurors through our web portal as opposed to a phone call or visit to the courthouse during business hours.

The Tyler project will increase efficiency for courtroom clerks and assist in reducing backlog.

The Ricoh project will allow us to complete the purchase of the court's copiers, an important piece of our infrastructure.

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

N/A

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

If the request is not approved it will impact the court's budget in fiscal year 17-18 as the amount requested would be liquidated and reduce the court's allocation for fiscal year 17-18. Further, it puts the court in a position of defaulting on the previously entered into contracts that we were unable to fully implement.

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

Not approving the request would affect the ability to serve the public as court resources, specifically staffing would be affected.

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

The court could not identify alternatives should the request not be approved. Holding funding in the TCTF is the only alternative.

SECTION IV: FINANCIAL INFORMATION

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

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

Work to be completed in fiscal year 17-18.

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

Work to be completed in fiscal year 17-18.

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

Work to be completed in fiscal year 17-18.

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

Work to be completed in fiscal year 17-18.

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

Original Request approved by Judicial Council May 19, 2017

Description	FY 2014-15 ▼	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Encumbered Amount	80,837								80,837
Contribution									-
Expenditures			80,837						80,837
Cumulative Balance	80,837	80,837	-	-	-	-	-	-	-

Amended request

Description	FY 2014-15 ▼	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Encumbered Amount	60,840								60,840
Contribution									-
Expenditures			60,840						60,840
Cumulative Balance	60,840	60,840	-	-	-	-	-	-	-

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

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

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

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

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

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

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

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

SECTION I

General Information

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

SECTION II

Amended Request Changes

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

SECTION III

Trial Court Operations and Access to Justice

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

SECTION IV

Financial Information

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

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