



## JUDICIAL COUNCIL OF CALIFORNIA

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# REPORT TO THE JUDICIAL COUNCIL

For business meeting on May 24, 2018:

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**Title**

Trial Court Allocations: Trial Court Trust  
Fund Funds Held on Behalf of the Trial  
Courts

**Agenda Item Type**

Action Required

**Effective Date**

May 24, 2018

**Rules, Forms, Standards, or Statutes Affected**

None

**Date of Report**

May 8, 2018

**Recommended by**

Fiscal Planning Subcommittee of the Trial  
Court Budget Advisory Committee  
Hon. Jonathan B. Conklin, Chair

**Contact**

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Catrayel.Wood@jud.ca.gov

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### Executive Summary

The Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends that the Judicial Council approve three new requests and eight amended requests for Trial Court Trust Fund 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.

### Recommendation

Based on actions taken at its April 5 and April 20, 2018, meetings, the Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends that the Judicial Council, effective May 24, 2018:

Approve the following, new requests totaling \$301,759 (Attachment A):

1. \$50,350 request of the Superior Court of Placer County (Attachment C);

2. \$1,409 request of the Superior Court of Yuba County (Attachment D); and
3. \$250,000 new request of the Superior Court of San Mateo County (Attachment E).

Approve the following, amended requests resulting in a reduction of \$1,158,239 from the original requests (Attachment B):

4. \$713,693 request of the Superior Court of Alameda County, which reduces its original request of \$859,203 by \$145,510 (Attachment F).
5. Approve the Superior Court of Glenn County's request to amend the fiscal year of expending the remaining \$29,000 from 2017-18 to 2018-19 (Attachment G).
6. \$53,151 request of the Superior Court of Butte County, which reduces its original request of \$53,561 by \$410 (Attachment H).
7. \$2,253,419 request of the Superior Court of Los Angeles County, which reduces its original request of \$3,200,000 by \$946,581 (Attachment I).
8. \$385,693 request of the Superior Court of San Francisco County, which reduces its original request of \$447,147 by \$61,454 (Attachment J).
9. \$39,716 request of the Superior Court of Siskiyou County, which reduces its original request of \$44,000 by \$4,284 (Attachment K).
10. Request of the Superior Court of Sutter County, which amends the fiscal year to expend \$60,840 in 2017-18 to \$13,958 in 2017-18 and the remaining \$46,882 in 2018-19 (Attachment L).
11. Request of the Superior Court of Tulare County, which amends the fiscal year to expend \$45,020 from 2017-18 to 2018-19 (Attachment M).

### **Relevant Previous Council Action**

On April 15, 2016, the council approved the Trial Court Budget Advisory Committee (TCBAC)-recommended process, criteria, and required information for trial courts to request that Trial Court Trust Fund (TCTF)-reduced allocations related to the 1 percent fund balance cap be retained in the TCTF as restricted fund balance for the benefit of those courts (Link A). 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 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 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. Post-completion reporting and audit requirements provide final review of the plans and their adherence to the approved purpose.

In 2016, the Judicial Council has approved 18 requests from 15 trial courts totaling \$8.3 million that 2016–17 allocations reduced as a result of a court exceeding the 1 percent fund balance cap be retained in the Trial Court Trust Fund (TCTF) for the benefit of that court. In 2017, 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.

### **Analysis/Rationale**

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.

Government Code section 77203 (carryover funds) was added in 2012 as part of Senate Bill 1021. SB 1021 authorized a trial court to carry over unexpended funds from the court's operating budget from the prior fiscal year and, on and after that date, to carry over unexpended funds in an amount not to exceed 1% of the court's operating budget from the prior fiscal year.

Government Code section 68502.5, amended as part of 2012 Senate Bill 1021, required the Judicial Council to set a preliminary allocation to trial courts in July of each fiscal year and to finalize those allocations in January. The bill also required the Judicial Council to set aside funds for unforeseen emergencies, unanticipated expenses for existing programs, or unavoidable funding shortfalls.

### **Policy implications**

None

### **Comments**

This item was not circulated for comment. Public comment was not received for this item.

### **Alternatives considered**

Specific alternatives considered are detailed in the courts' attached applications but broadly, if the requests aren't approved the courts will either utilize other resources from their operating

budgets which in turn would then cut into other resources from their operating budgets; postpone implementation of the requested actions; or reduce services to the public to recover funding needs.

## **Fiscal and Operational Impacts**

There is no additional cost to allocating the funds beyond the amount requested for allocation, and operational impacts are absorbed in Judicial Council staff workload. The consequences of not approving the requests would negatively affect court budgets and their ability to adequately and efficiently serve the public.

## **Attachments and Links**

1. Attachment A: Summary of New Requests, at page 1
2. Attachment B: Summary of Amended Requests, at page 2
3. Attachment C: Application from the Superior Court of Placer County, at page 3
4. Attachment D: Application from the Superior Court of Yuba County, at page 6
5. Attachment E: Application from the Superior Court of San Mateo County, at page 7
6. Attachment F: Application from the Superior Court of Alameda County, at page 14
7. Attachment G: Application from the Superior Court of Glenn County, at page 17
8. Attachment H: Application from the Superior Court of Butte County, at page 21
9. Attachment I: Application from the Superior Court of Los Angeles County, at page 25
10. Attachment J: Application from the Superior Court of San Francisco County, at page 29
11. Attachment K: Application from the Superior Court of Siskiyou County, at page 33
12. Attachment L: Application from the Superior Court of Sutter County, at page 37
13. Attachment M: Application from the Superior Court of Tulare County, at page 41
14. Attachment N: Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts, at page 45
15. Link A: Judicial Council Meeting Materials, April 15, 2016, including item 16-055: *Trial Court Allocations: Trial Court Reserves Held in the Trial Court Trust Fund*,  
<https://jcc.legistar.com/View.ashx?M=F&ID=4378277&GUID=57D6B686-EA95-497E-9A07-226CA724ADCB>

## Summary of Requests for Trial Court Trust Fund Funds to be Held on Behalf of the Court (New Requests)

**Table 1: New Requests for May 24, 2018 Judicial Council Meeting**

Court	Request Number	Amount Requested	2017-18	2018-19+	Category	High Level Summary
Placer	31-18-01	50,350		50,350	CMS project	Replace an aged case management system
Yuba	58-18-01	1,409		1,409	CMS project	Replace an aged case management system
San Mateo	41-18-01	250,000	250,000		Building repairs	Repair and/or replace up to approximately 230,000 square feet of worn and damaged 30-year-old flooring and carpeting

<b>301,759</b>	<b>250,000</b>	<b>51,759</b>
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<b>301,759</b>
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## Summary of Requests for Trial Court Trust Fund Funds to be Held on Behalf of the Court (Amended Requests)

Table 2: Amended Requests for May 24, 2018 Judicial Council Meeting

Court	Request Number	Last Approved Amount	Does Request Change \$\$ Amount?	If Yes - \$\$ Change +/-	Last Approved Expenditures by Fiscal Year		Amended Expenditures by Fiscal Year		Category	High-Level Summary
					2017-18	2018-19 +	2017-18	2018-19 +		
Alameda	01-18-01-A2	859,203	Yes	(145,510)	859,203		-	713,693	Contract dispute	Pending litigation and the financial obligation to the Court remains unresolved at this time
Glenn	11-18-01-A2	29,000	No	-	29,000			29,000	Contract extension	Delayed implementation of "The NorCal Project"
Butte	04-17-02-A1	53,561	Yes	(410)	53,561		53,151		Major Equipment	Purchase of a new electronic calendar system - Oroville Courthouse
Los Angeles	19-17-02-A1	3,200,000	Yes	(946,581)	3,200,000		2,253,419		Contract extending beyond 3-year term	Delayed implementation of Tyler Case Management System (CMS)
San Francisco	38-17-01-A1	447,147	Yes	(61,454)	295,000	152,147	100,000	285,693	Contract extending beyond 3-year term	Delayed implementation of CMS
Siskiyou	47-17-01-A1	44,000	Yes	(4,284)	44,000		39,716		Technology Improvement	Replace CMS servers
Sutter	51-17-01-A2	60,840	No	-	60,840		13,958	46,882	Contract extending beyond 3-year term	Delayed implementation of CMS
Tulare	54-18-01-A1	49,200	No	-	45,020	4,180	-	49,200	Equipment replacement (CCTV system)	Amending to include in Fund Balances ending 2017-18 process
					<b>4,742,951</b>	<b>(1,158,239)</b>	<b>4,586,624</b>	<b>156,327</b>	<b>2,460,244</b>	<b>1,124,468</b>
					<b>4,742,951</b>		<b>3,584,712</b>			

## 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**

<b>SUPERIOR COURT:</b> Placer	<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): <i>Joseph J. Ford Acting CEO</i>	
<b>DATE OF SUBMISSION:</b> 3/28/2018	<b>CONTACT PERSON AND CONTACT INFO:</b> Julie Kelly	<b>REQUESTED AMOUNT:</b> \$50,350.00

**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 court requests the total amount of \$50,350 be held by the Judicial Council for an overage of the 1% fund balance from FY15/16 for our CMS project in which the final completion will be delayed beyond the three year encumbrance term: In FY15/16 the court encumbered \$50,350 for costs related to the development and installation of a new case management system for the court. This project has been delayed beyond the 3 year encumbrance period. The court requests \$50,350 be held on behalf of the court with expenditure expected to be made during FY18/19.

**SECTION II: AMENDED REQUEST CHANGES**

A. Identify sections and answers amended.

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

**SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**

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

The court continued its effort to replace an aged case management system. The court has completed deployment for the traffic case type, June 2014, achieved implementation for the criminal case type in May 2016 and deployed civil case type in August 2017. As of the end of FY17/18, the family law and juvenile case types may still remain to be deployed. Deployment activities for the remaining case types are expected to begin in May 2017, but could be delayed until the beginning of FY 18/19.



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

**SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE****B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**

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

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

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

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

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

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

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

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

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

**SECTION IV: FINANCIAL INFORMATION**



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

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

N/A

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

N/A

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

N/A

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

N/A

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

☒ **NEW REQUEST** (Complete Section I, III, and IV only.)☐ **AMENDED REQUEST** (Complete Sections I through IV.)**SECTION I: GENERAL INFORMATION****SUPERIOR COURT:**~~Click here to enter court~~ Yuba**PERSON AUTHORIZING REQUEST** (Presiding Judge or Court Executive Officer):Bonnie Sloan CEO**CONTACT PERSON AND CONTACT INFO:**Steven Lewis CFO (530) 740-1630**DATE OF SUBMISSION:**

Click here to enter a date.

3/29/2018**TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:** FY 15/16-FY18/19**REQUESTED AMOUNT:**\$1,409.00**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.):

In FY 15/16 the Court entered an agreement with Tyler Technologies and the Superior Court of California County of Sutter for the deployment of Odyssey Clerk's Edition. Yuba Superior Court and Sutter Superior Court agreed to deploy Clerk's Edition at the same time in order to garner certain cost savings. The timeline for deployment of Clerk's Edition has changed several times since the Courts went live on the Odyssey CMS.

**SECTION II: AMENDED REQUEST CHANGES FOR****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.**

Yuba and Sutter Superior Courts intended to deploy Clerk's Edition in FY 17/18. Nevertheless, Tyler Technologies cannot provide a team to deploy Clerk's Edition until July 2018, FY 18/19.

The total cost to Yuba Superior for Clerk's Edition is \$33,000 and the expense was budgeted and encumbered in FY15/16. The encumbrance will lapse in on July 1, 2018. Yuba Superior has open 1% cap totaling \$31,591.00 for FY 15/16. The Court faces an allocation reduction of \$1,409.00 if this application is not approved.

In short, these funds do not fit into the Court's operational budget process for FY 15/16 because our open cap is \$31,591 and the expenditure is \$33,000. The expenditure did not fall within the three year encumbrance term because of the unpredictability of deploying new case management systems.

## 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:**

San Mateo

**PERSON AUTHORIZING REQUEST** *(Presiding Judge or Court Executive Officer):*  
Rodina Catalano, Court Executive Officer**CONTACT PERSON AND CONTACT INFO:** Steven Chang, 650-261-5046,  
stevenchang@sanmateocourt.org**DATE OF SUBMISSION:**

3/27/2018

**TIME PERIOD COVERED BY THE  
REQUEST, INCLUDING CONTRIBUTION  
AND EXPENDITURE: JULY 2018 TO  
JUNE 2024****REQUESTED AMOUNT:**The total amount of fund balance  
that exceeds the 1% cap in fiscal  
years 2016-17 and 2017-2018,  
estimated to be about \$250,000.**REASON FOR REQUEST** *(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):*

The Court would like to accumulate savings in the most fiscally prudent and operationally sound manner that will allow it to repair and/or replace up to approximately 230,000 square feet of worn and damaged 30-year-old flooring and carpeting, which pose increasing health and safety risks, throughout the Court's Hall of Justice facility in Redwood City. In addition, when carpet or flooring is replaced, the Court will be replacing/relocating loose wiring to accommodate the increased use of computer equipment in the courtroom, as the Court transitions to paperless, electronic processes. Given the need to temporarily move/relocate a large number of staff, judicial officers and furniture, and in order to minimize or prevent significant disruptions to Court operations, both in the courtrooms and various Court divisions, the project must be done in phases. Therefore, we anticipate that the project could take as long as six years to complete from start to finish.

**SECTION II: AMENDED REQUEST CHANGES**

Identify sections and answers amended.

**A. 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.**

Given logistical, financial, and operational constraints, the entire project could take up to six years to complete. In 2017-18, the only way the Court could have accumulated fund balance that amounted to the total estimated cost of the project would have been to, unnecessarily, cut back on other critical operating costs. Accumulating savings across multiple fiscal years allows the Court to avoid harmful and unnecessary budgetary reductions.

**SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE****B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**

By replacing old and worn out flooring and carpeting, the Court will improve the environment, by making it safer and healthier, for the public in general, including jurors and litigants, court staff, and judicial officers. As noted above, the Court is also replacing/relocating loose wiring to better accommodate current and future equipment needs and to eliminate tripping hazards resulting from the increased use of computer equipment in the courtroom and the staff offices.

**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 might have to postpone replacing or repairing any other flooring or carpeting for the foreseeable future or make significant cuts in other needed operating costs, unless discretionary funding dramatically increases. The health and safety risks to the public, judicial officers, and court staff will increase due to continued damage and wear to carpeting and flooring.

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

The 30-year-old flooring is deteriorating rapidly, which has led to health and tripping hazards throughout the facility. Electrical upgrades are necessary to support the increased technological needs of the Court and its justice partners. Currently power and data cords are temporarily installed and exposed across the floor, creating uneven surfaces, and other hazards, which puts the public, court staff, and judicial officers at a higher risk of injury from tripping and falling in the courtrooms. The Court could be at risk of litigation due to these unsafe, unsightly, and unsanitary conditions. These conditions undermine the dignity of the Court as well.

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

If the request is not approved, the Court will either postpone replacing or repairing the much needed flooring for the foreseeable future or implement it sooner, but in a way that would be financially and operationally riskier than if monies were held in reserve within the TCTF. Holding reserve funds in the TCTF affords the Court greater latitude in implementing a logistically and operationally challenging multi-year project.

**SECTION IV: FINANCIAL INFORMATION**

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

**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**

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

FY 2014-15 ▼		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>2,774,656</b>	<b>1,980,187</b>						<b>4,754,843</b>
Revenues	38,724,146	1,118,676	787,639					<b>40,630,461</b>
Expenditures	38,767,339	1,646,986	929,811					<b>41,344,136</b>
Operating Transfers In (Out)	(181,591)	39,419	142,172					-
<b>Ending Fund Balance</b>	<b>2,549,872</b>	<b>1,491,296</b>	-	-	-	-	-	<b>4,041,168</b>

FY 2015-16 ▼		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>2,549,872</b>	<b>1,491,296</b>						<b>4,041,168</b>
Revenues	40,471,299	989,482	1,024,440					<b>42,485,221</b>
Expenditures	42,018,078	1,259,364	1,158,236					<b>44,435,678</b>
Operating Transfers In (Out)	(244,194)	110,399	133,796					<b>1</b>
<b>Ending Fund Balance</b>	<b>758,899</b>	<b>1,331,813</b>	-	-	-	-	-	<b>2,090,712</b>

FY 2016-17 ▼		FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>Beginning Balance</b>	<b>758,899</b>	<b>1,331,813</b>						<b>2,090,712</b>
Revenues	41,076,050	909,295	974,471					<b>42,959,816</b>
Expenditures	39,940,964	939,620	1,110,183					<b>41,990,767</b>
Operating Transfers In (Out)	(435,648)	299,936	135,712					-
<b>Ending Fund Balance</b>	<b>1,458,338</b>	<b>1,601,423</b>	-	-	-	-	-	<b>3,059,761</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 cc

	FY 2016-17		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources								-
Grants								-
Other Financing Sources								-
<b>TOTAL REVENUES</b>	-	-	-	-	-	-	-	-
<b>EXPENDITURES</b>								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
<b>TOTAL EXPENDITURES</b>	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
<b>Beginning Balance (Deficit)</b>	1,458,338	1,601,423						3,059,761
<b>Ending Balance (Deficit)</b>	1,458,338	1,601,423	-	-	-	-	-	3,059,761

## Current detailed budget projection on court's behalf

	FY 2017-18		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
<b>REVENUES</b>								
State Financing Sources	40,048,471	1,418,409						41,466,880
Grants			1,731,024					1,731,024
Other Financing Sources								-
<b>TOTAL REVENUES</b>	<b>40,048,471</b>	<b>1,418,409</b>	<b>1,731,024</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>43,197,904</b>
<b>EXPENDITURES</b>								
Salaries	22,620,252	725,843	749,970					24,096,065
Staff Benefits	11,698,206	161,924	391,512					12,251,642
General Expense	741,737		8,928					750,665
Printing	80,080							80,080
Telecommunications	568,850							568,850
Postage	202,630							202,630
Insurance	8,830							8,830
Travel in State	56,640		13,768					70,408
Travel Out of State								-
Training	25,280							25,280
Security	448,277							448,277
Facilities Operations	80,316							80,316
Utilities								-
Contracted Services	1,369,856	392,813	561,846					2,324,515
Consulting and Professional Services - County Provided	658,436	140,800						799,236
Information Technology (IT)	1,143,242	607,041	5,000					1,755,283
Major Equipment	282,520							282,520
Other Items of Expense	9,280							9,280
Juror Costs	320,670							320,670
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
<b>TOTAL EXPENDITURES</b>	<b>40,315,102</b>	<b>2,028,421</b>	<b>1,731,024</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>44,074,547</b>
Operating Transfers In (Out)								-
<b>Fund Balance (Deficit)</b>								
Beginning Balance (Deficit)	1,458,338	1,601,423	-	-	-	-	-	3,059,761
Ending Balance (Deficit)	1,191,707	991,411	-	-	-	-	-	2,183,118

## 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	2,000,000
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	
945000	Major Equipment	
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
<b>Total</b>		<b>2,000,000</b>

## ATTACHMENT E

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

Description	FY 2017-18 ▼	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	FY 2021-22 ▼	FY 2022-23 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	250,000	250,000	150,000	50,000	50,000	50,000			800,000
Expenditures		200,000	250,000	150,000	100,000	100,000			800,000
Cumulative Balance	250,000	300,000	200,000	100,000	50,000	-	-	-	1,600,000

## 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:**

Alameda

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

Chad Finke, Court Executive Officer

**CONTACT PERSON AND CONTACT INFO:**Melanie Jones, Finance Director 510-891-6038, [mjones@alameda.courts.ca.gov](mailto:mjones@alameda.courts.ca.gov)**DATE OF SUBMISSION:**

3/29/2018

**TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:**

JULY 1, 2018 – JUNE 30, 2019

**REQUESTED AMOUNT:**

\$713,692.96

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

The Court entered into a contract with Tyler Technologies, Inc. (Tyler) to provide a new case management system for criminal, juvenile, civil, and family law case types. The original go-live date was December 2015; however project delays required an extension of the go-live date. Thus work will be extending beyond the three-year contract term. The planned work and related expenditures are expected to be completed have been completed.

On September 28, 2016, the Court terminated our contract with Tyler for Phase II of Odyssey. Currently, the Court and Tyler are in litigation and we are unable to spend the funds in FY17-18. The Court is requesting that the funds be reserved until the pending litigation is finalized.

**SECTION II: AMENDED REQUEST CHANGES****A. Identify sections and answers amended.**

Section IIIA, revised.

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

The Court terminated our contract with Tyler and the parties are in litigation. For this reason, the Court is unable to spend down the funds as anticipated in FY17-18, and we are requesting to have the funds held until the litigation is finalized.

**SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE****A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.**

The funds set aside for Phase I of this project were encumbered in FY 2013-2014 and the work has extended beyond the original project completion date due to project delays. There is pending litigation and the financial obligation to the Court remains unresolved at this time.

Our court balanced the budget this fiscal year by various court-wide cost savings measures, which include but are not limited to, elimination of employee positions and temporary staffing, hiring freeze, furlough, and cost reduction in discretionary expenses. While the budget outlook for FY18-19 seems promising, it is unknown at this time what the Court's budget will be.



## 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?**

Currently, there is a lack of consistency as there are different case management systems used for each case type. The current systems are outdated and will require significant investments to upgrade. Additionally, existing CMS products only store information rather than manage court and case information. The Odyssey case management system is a fully integrated case and financial management system; thus allowing staff the ability to manage complete case histories, process documents and handle cash/bond transactions, all the while benefitting from comprehensive security and auditing functions. Additionally, Odyssey has the capability to interface with justice partner systems. With Odyssey the Court will be able to:

- Manage all aspects of court administration.
- Locate case information and attach multiple file types.
- Create and view dockets in various ways.
- Generate forms, letters and a variety of reports with advanced tools.
- Calculate fees, fines and distribute payments automatically.
- Search data fast using many different criteria.

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

N/A

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

The Court will have to reduce staffing and operating expenses which will result in reduction of services in order to make payment for Tyler.

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

The Court may decide to hold positions vacant for an extended period time or abolish vacant positions altogether. If that happens, already understaffed public counters will be further compromised making wait times for the public longer. If courtroom staffing is unavailable it may mean longer times to get matters calendared. In both cases there will be a negative impact to the public, thus denying litigants' 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?**

Holding the funds in the TCTF is the preferred alternative so that the Court can maintain the ability to fund budgeted costs during the fiscal year and maintain appropriate staffing levels to meet the needs of the public and ensure access to justice for court users within the county.

### 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



## Superior Court of California, County of Glenn

Cindia Martinez  
Interim Court Executive Officer • Jury Commissioner

March 28, 2018

Director Martin Hoshino  
Judicial Council of California  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

Dear Director Hoshino,

We respectfully submit for consideration Glenn Court's amended request to continue to hold TCTF funds on behalf of the court. Please see the attached application.

Our case management project continues to experience delays which has now pushed our go-live date into FY 18-19.

Please let us know if there are any questions.

Respectfully,

Cindia Martinez  
Interim Court Executive Officer  
Glenn Superior Court

cc: Honorable Presiding Judge Donald Byrd

## 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**

<b>SUPERIOR COURT:</b> Glenn	<b>PERSON AUTHORIZING REQUEST</b> (Presiding Judge or Court Executive Officer): Hon. Donald Cole Byrd, Presiding Judge	
	<b>CONTACT PERSON AND CONTACT INFO:</b> Cindia Martinez, Interim CEO	
<b>DATE OF SUBMISSION:</b> 3/21/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> JUNE 30, 2018 TO FY 2018-2019	<b>REQUESTED AMOUNT:</b> \$ 29,000

**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.):

Glenn is a participant in the "NorCal Project" which was a group of seven trial courts that joined together to share efforts and achieve cost savings related to the Tyler/Odyssey Case Management System. Glenn Superior Court previously encumbered \$194,000 at the end of the 2013-2014 fiscal year at which time the expiration date associated with the encumbrance was June 30, 2016. Glenn Court then successfully utilized this process at the end of the 2015-2016 fiscal year when it asked that \$90,000.00 be held on its behalf to allow sufficient time for the new system to be implemented. There was additional progress in FY 2016-2017 however the body of work to complete for a successful go-live was vast, so the Court was successful in encumbering \$29,000 with the anticipation of a go-live date in FY 2017-2018. Glenn was unable to make enough progress in FY 2017-2018 to feel comfortable in a go-live date, assuring a successful conversion, due in part to lack of staff resources, change in CEO leadership and other court priorities, but we do anticipate setting a go-live date in early to mid FY 2018-2019, which should allow our vendor more time to improve the traffic module and other remaining issues, supporting a successful launch of all case types. We are therefore requesting that the \$29,000 remaining balance be held on its behalf into fiscal year 2018-2019. Upon approval of this application, the Court intends to utilize the previously set aside funds to pay the vendor for each remaining deliverable upon successful completion.

**SECTION II: AMENDED REQUEST CHANGES**

- A. Identify sections and answers amended.**  
Section I and Section III, D, E and F have been amended.
- B. Provide a summary of the changes to the request.**  
Glenn needs to amend the time period of expending the remaining \$29,000 of the project to FY 2018-2019 since the project will not be completed in FY 2017-2018.



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

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

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

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

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

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

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

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

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

The Court is testing system functionality and developing business processes for the new system. Upon successful completion of this step, end-user training should commence just prior to go-live. If the request is not approved, the Glenn Superior Court would need to find a way to cut \$29k from its budget next year in order to pay for the remaining deliverables during a time of underfunding, or continue to delay this time-sensitive project. The Court receives approximately \$2 million dollars in Program 10 monies, \$29k is substantial to Glenn, approximately 1.5% of its annual TCTF allocation. As experienced in other courts the Odyssey Case Management System, while more robust and updated to provide improved electronic access, comes at a cost of additional staff to enter critical data, so reducing any staff would only further exacerbate caseload processing.

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

The cut referenced above in Section III. D. would be the equivalent to the loss of 0.5 to 1 FTE's to an already short staffed court where the doors are currently shut to the public at 3 p.m. each day. It could also further delay implementation of this system with reduced staffing, delaying improved access to justice for the public and other justice partners.

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

The mostly likely alternative would be to stall project implementation all together until funding was identified elsewhere and/or being forced to make more difficult choices on staffing levels and further reductions to public access hours. This has been a long project and the court is near completion and losing momentum at this time, could prove even more costly.



**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

## 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:**  
Butte

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

**CONTACT PERSON AND CONTACT INFO:**  
Jarrod Orr, Deputy Court Executive Officer

**DATE OF SUBMISSION:**  
1/11/2018

**TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:** \$53,151 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:**  
\$53,151

**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 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.**

Changed the amount requested in Section I from \$53,561 to \$53,151. Changed the estimated cost of the project reflected in Section III.A from \$53,561 to \$53,151. Changed the amounts referenced in Section IV.C and IV.D from \$53,561 to \$53,151.

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

See A above. Because the \$53,561 amount exceeded the final 1% fund balance cap reduction amount by \$410, the Court is resubmitting a revised application with a requested amount of \$53,151.

**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 \$53,151 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.

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

Original Request:


Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	53,561								53,561
Expenditures		53,561							53,561
Cumulative Balance	53,561	-	-	-	-	-	-	-	-

Amended request

Description	FY 2016-17 ▼	FY 2017-18 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	53,151								53,151
Expenditures		53,151							53,151
Cumulative Balance	53,151	-	-	-	-	-	-	-	-



## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:  <input type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input checked="" type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> Los Angeles	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Sherri R. Carter, Court Executive Officer  <b>CONTACT PERSON AND CONTACT INFO:</b> Jeremy Cortez, Chief Deputy, Finance & Administration	
<b>DATE OF SUBMISSION:</b> 1/18/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> JULY 1, 2017 TO JUNE 30, 2018	<b>REQUESTED AMOUNT:</b> <del>\$3,200,000.00</del> \$2,253,419.00
<b>REASON FOR REQUEST</b> <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>In 2014/15, the Court entered into a multi-year contract with Tyler Inc. for the implementation of the Odyssey Case Management System in every litigation area but Civil. Projected implementation dates were specified and milestone payments were to be made based on the deliverables schedule pursuant to the contract. Following the implementation of the Probate module, the Court was made aware of significant configuration issues and recognized a need to slow down to ensure successful implementation. The litigation areas scheduled to be implemented after Probate are much larger, more complicated, and have a greater impact on the community the court serves. As a result, the Court made a decision to delay implementation to subsequently scheduled litigation areas. Due to these unforeseen circumstances, the vendor will not meet the contractually obligated deliverables on schedule; consequently, the balance of the encumbrance established in 2014/15 cannot be liquidated as planned by the end of 2016/17. Therefore, the Court is requesting funds be held on its behalf to meet the delayed deliverables that were not billable within the three-year encumbrance term. To summarize, there is a need to carry over funds towards the completion of our case management project. This application is being submitted to seek authorization to have the balance of the encumbrance held on its behalf until the end of 2017/18.</p>		
<b>SECTION II: AMENDED REQUEST CHANGES</b>		
<b>A. Identify sections and answers amended.</b>  Section 1: Requested Amount: changed from \$3,200,000 to \$2,253,419  <b>B. Provide a summary of the changes to the request.</b>  Due to FY 2016-17 final closing and the recalculation of the 1% fund balance cap adjustment the original request needs to be reduced by \$946,581.		
<b>SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE</b>		
<b>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</b>  Due to circumstances related to the scope of the project and programming issues, deliverables and production dates have been delayed, resulting in changes to the deliverables schedule pursuant to the contract. This request is to have the unliquidated funds encumbered in the 2014/15 encumbrance held on the Court's behalf to ensure sufficient funds are available in 2017/18 when projected milestones / deliverables have been achieved.		

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

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

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

The new case management system will enable the Court to move off of the antiquated (DOS-based) legacy systems to a newer web-based system that will offer more flexibility in interacting with newer technology. This will enable the Court to provide more efficient and effective access to justice through enhanced automated systems, improving accessibility to Court documents/records for the public, law enforcement, lawyers and justice partners. More specifically, the introduction of e-filing capabilities will allow all parties to file and access documents in a more effective and efficient manner as documents will be uploaded directly into the Court's database. In its efforts to work toward a paperless environment, implementation of the system will also reduce staffing needs for scanning documents as well as the need for the public to appear in person to retrieve documents, thereby reducing long public lines, and further promoting the goal of providing equal access to justice through the fair, timely and efficient resolution of all cases.

**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 new case management system will enable the Court to move off of the antiquated (DOS-based) legacy systems to a newer web-based system that will offer more flexibility in interacting with newer technology. This will enable the Court to provide more efficient and effective access to justice through enhanced automated systems, improving accessibility to Court documents/records for the public, law enforcement, lawyers and justice partners. More specifically, the introduction of e-filing capabilities will allow all parties to file and access documents in a more effective and efficient manner as documents will be uploaded directly into the Court's database. In its efforts to work toward a paperless environment, implementation of the system will also reduce staffing needs for scanning documents as well as the need for the public to appear in person to retrieve documents, thereby reducing long public lines, and further promoting the goal of providing equal access to justice through the fair, timely and efficient resolution of all cases.

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

Electronic accessibility will be severely delayed, resulting in the public having to drive to local courthouses to obtain copies, file documents and obtain other case information. This will further delay e-filing and digital document storage projects as the old CMS systems do not provide for these types of modules.

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

Alternatives:

- Seek additional funding through a Budget Change Proposal.
- Reduce services to the public to recover funding need.

Holding funds in TCTF is the preferred alternative because it will eliminate the need to locate and maneuver funding from a balanced budget, resulting in reduced access to Court services. These funds were already allocated and dedicated for the effective implementation of the new case management system. Use of these funds will assure that deadlines are met without further delays.

### 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**

The Fund Balances reflected include funds excluded from the 1% calculation, the Payroll Revolving fund, and commitments related to encumbrances in process.

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

Budget projections assume a budget with no growth, resulting in diminished purchasing power because of the lack of funding to cover Consumer Price index (CPI) increases.

**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**

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

Original Request:

Description	FY 2017-18 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	3,200,000								3,200,000
Expenditures	3,200,000								3,200,000
Cumulative Balance	-	-	-	-	-	-	-	-	-

Amended request

Description	FY 2017-18 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	2,253,419								2,253,419
Expenditures	2,253,419								2,253,419
Cumulative Balance	-	-	-	-	-	-	-	-	-

## 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

<b>SUPERIOR COURT:</b> San Francisco	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> T. Michael Yuen, Court Executive Officer	
<b>DATE OF SUBMISSION:</b> 2/27/2018	<b>CONTACT PERSON AND CONTACT INFO:</b> Sue Wong, Chief Financial Officer, <a href="mailto:suewong@sftc.org">suewong@sftc.org</a>  <b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE:</b> 24 MONTHS	<b>REQUESTED AMOUNT:</b> \$385,693

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

The Court entered into contract with Thomson Reuters for a new case management system. The goal was to eliminate the Court's reliance on various legacy systems, and replace it with a more efficient and technologically advanced single case management system. Unfortunately, unexpected delays such as additional technical requirements and customizations (e.g. complex fines and fee revenue distributions) have prolonged development and implementation. With the unanticipated delays, we have not been able to spend down funds allocated for this fiscal year (16-17). The overall CMS timeline has been re-adjusted to accommodate the initial delay and has pushed the implementation of the other case types to 2017-18. However, at it stands now, we will not be able to spend applicable encumbered funds by June 30, 2017. Therefore, the Court is requesting to carry over these funds to be used in 2017-18 and 2018-19. It is critical to maintain access to these funds for project continuity and completion. Denial of access to these funds would have negative impacts to court services and the public's access to justice.

### SECTION II: AMENDED REQUEST CHANGES

#### A. Identify sections and answers amended.

Changed the amount requested from \$447,147 to \$385,693 in Section I. Added the tab Sec. IV D for amended requests which reflects the change in total amount requested, as well as a revised expenditure plan for the funds between 2017-18 and 2018-19.

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

See A above. Because the original request exceeded the final 1% fund balance cap reduction by \$61,454, the Court is submitting a revised application with a requested amount of \$385,693.

### 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.

Savings over years were accumulated to fund this project. To be able to acquire comparable amounts in such a short amount of time would require significant reductions in other critical operational areas. The only way that such funds may be obtained is to reduce staffing levels, or delay other critical projects.

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

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

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

This project will enhance the efficiency and effectiveness of court operations because there will be a fully integrated system in which all case related data will be available across departments. We currently have four case management systems that we are attempting to consolidate into one system that is also web-based. Significant staff efficiencies will be achieved since the case management system will be standardized across criminal, civil and family law. Moreover, standard operating procedures will be more streamlined and become automated including reports that will replace manual recording and data entry processes. Lastly, with the new system, we would be able to electronically exchange data with related justice partners, integrate with other existing non-case management systems, expand electronic case filing and files, and meet Judicial Council and other California state reporting requirements.

**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 this request is not approved, the court will have to maintain both the old case management systems and the new system. Maintaining both systems would create an undue burden on the court, as it would require support for several platforms. In addition to the dual support for several platforms, staff time and resources will be impacted negatively as they navigate through both. The current systems are also obsolete, and at risk of failure. If the court lost funding for this project, we would be operating at a less than efficient level for several years as we struggled to find funds to continue implementation. Therefore, this project must continue to be funded to increase efficiencies in the court, as well as for the public.

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

If this request is not approved, the public would experience increased wait times as staff attempt to assist them navigating through two systems. The expansion of e-filing would be delayed resulting in continued old-fashioned use of court runners. Additionally, the public would be adversely affected as there would be delayed information provided to our justice partners. Lastly, since the systems are so antiquated, access to justice is at risk of being affected at any time if the systems fail.

**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 alternative if this request is not approved is to maintain several systems until funding has been secured to fund this project. Not only is this ineffective and wasteful of resources, it is also irrational. In addition, cutting other operational areas to acquire enough funds to complete this project is not a practical alternative. Holding funding in the TCTF is the preferred alternative because we would be able to seamlessly continue this project.

**SECTION IV: FINANCIAL INFORMATION**

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

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

N/A

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

N/A

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

N/A

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

See attached.



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

Original Request:

Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	447,147								447,147
Expenditures		295,000	152,147						447,147
Cumulative Balance	447,147	152,147	-	-	-	-	-	-	-

Amended request

Description	FY 2016-17 ▼	FY 2017-18 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	385,693								385,693
Expenditures		100,000	285,693						385,693
Cumulative Balance	385,693	285,693	-	-	-	-	-	-	-

## 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

<b>SUPERIOR COURT:</b> Siskiyou	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Reneé McCanna Crane, CEO	
	<b>CONTACT PERSON AND CONTACT INFO:</b>	
<b>DATE OF SUBMISSION:</b> 12/20/2017	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY 2017/2018</b>	<b>REQUESTED AMOUNT:</b> \$39,716.00 (Amended)

**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 5<sup>th</sup> 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.**  
 Section I, III & IV (B). Request amended amount of \$39,716 instead of \$44,000 previously requested.
- B. Provide a summary of the changes to the request.**  
 After the final 1% form was submitted the total of amount of funds remaining from fiscal year 2016/2017 was reduced down by \$4,284 leaving a remaining balance of \$39,716

### 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 \$39,716.00(amended amount) 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

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

Original Request:

Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	44,000								44,000
Expenditures		44,000							44,000
Cumulative Balance	44,000	-	-	-	-	-	-	-	-

Amended request

Description	FY 2016-17 ▼	FY 2017-18 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	39,716								39,716
Expenditures		39,716							39,716
Cumulative Balance	39,716	-	-	-	-	-	-	-	-

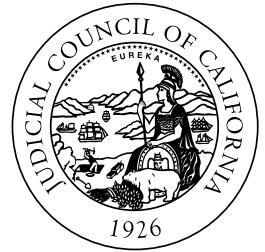


## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

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

<b>SUPERIOR COURT:</b> Sutter	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> Stephanie M. Hansel, Court Executive Officer	
	<b>CONTACT PERSON AND CONTACT INFO:</b> Joe Azevedo, Court Fiscal Manager, (530) 822-3340; jazevedo@suttercourts.com	
<b>DATE OF SUBMISSION:</b> 3/2/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FISCAL YEAR</b> 2018-2019	<b>REQUESTED AMOUNT:</b> \$60,839.69

**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.):*

JSI: Professional services and deliverables on jury management system that is partially implemented (\$13,948.76).

Tyler: Professional services and deliverables on new case management system that is partially implemented (\$34,526.20).

Ricoh: Final term of purchase agreement for copiers (\$12,364.73).

### SECTION II: AMENDED REQUEST CHANGES

**A. Identify sections and answers amended.**

Section III.A and Section IV.

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

JSI: The remaining funds have not been used because programming configuration of the public kiosks has not been completed. The Court expects the configuration to be completed in Fiscal Year 18-19.

Tyler: Implementation of the Judge's Edition component delayed implementation of the Clerk's Edition component due to the time and resources used not only to implement but also to train our judicial officers in using Judge's Edition. The Court expects the Clerk's Edition component to be implemented in Fiscal Year 18-19.

Ricoh: The amount encumbered extends past the end of Fiscal Year 17-18. The Court has looked into buying out the lease but it would not be cost effective due to the age of the copiers and the maintenance issues the Court has experienced with these copiers. Extending the encumbrance through December 2018 will allow the Court time to use the remaining encumbrance.

**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 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 18-19.

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 18-19.

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 18-19 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 18-19 as the amount requested would be liquidated and reduce the court's allocation for fiscal year 18-19. 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 18-19.

**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 18-19.

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

Work to be completed in fiscal year 18-19.

**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 18-19.

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


Original Request:

Description	FY 2017-18 ▼	▼	▼	▼	▼	▼	▼	▼	Total
Contribution	60,840								60,840
Expenditures	60,840								60,840
Cumulative Balance	-	-	-	-	-	-	-	-	-

Amended request

Description	FY 2017-18 ▼	FY 2018-19 ▼	▼	▼	▼	▼	▼	▼	Total
Contribution	60,840								60,840
Expenditures	13,958	46,882							60,840
Cumulative Balance	46,882	0	0	0	0	0	0	0	0

## APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:  <input type="checkbox"/> <b>NEW REQUEST</b> <i>(Complete Section I, III, and IV only.)</i>  <input checked="" type="checkbox"/> <b>AMENDED REQUEST</b> <i>(Complete Sections I through IV.)</i>		
<b>SECTION I: GENERAL INFORMATION</b>		
<b>SUPERIOR COURT:</b> Tulare	<b>PERSON AUTHORIZING REQUEST</b> <i>(Presiding Judge or Court Executive Officer):</i> <b>Stephanie Cameron, Court Executive Officer</b>  <b>CONTACT PERSON AND CONTACT INFO:</b> <b>Nocona Soboleski, CFO 559-730-5000 x 1370</b>	
<b>DATE OF SUBMISSION:</b> 1/16/2018	<b>TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 1 YEAR</b>	<b>REQUESTED AMOUNT:</b> <b>\$ 45,020</b>
<b>REASON FOR REQUEST</b> <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 Superior Court of Tulare County experiences a high volume of defendants who Fail to Appear (FTA) for criminal arraignments. In an effort to reduce the amount of FTA's, the Court sought the services of American Telesource Inc. (ATI) to design and build an e-Court integrated module that would automatically make reminder calls and text messages, in both English and Spanish, to the parties scheduled on the court calendar two (2) days before their scheduled appearance. The requested amount, referenced above, was encumbered to pay for the design and installation of the module in 2015. Prior to the start of the project, the Court learned from another court that had a similar product in place, there may be substantial liability issues if we moved forward with implementation. The Court requested a legal opinion from Judicial Council's (JCC) legal division. In the original and follow up legal opinions, the court was informed that while we may be able to complete this project, governmental (specifically judicial) entities were not automatically excluded from the overriding legal authority of the Federal Telephone Consumer Protection Act (FTCPA). After review of the legal opinion and analysis of the requirements of the FTCPA, it was determined the court would not be in a position to support (for the long term) the amount of resources needed to adhere to the requirements of the act. Such as, a new telephone and case management system integrated software and staff to secure and track individual express consent and identify reassigned phone numbers. Since there are pending legal actions requesting the exclusion of governmental entities from the FTCPA, the Court initially felt we may be in a position to move forward once the legal actions were resolved; however, to date, there has been no ruling on the matter.</p> <p>In the meantime, the court experienced a matrix failure that impacted the entire CCTV system, resulting in no viewing capability in the courtrooms. The matrix is the component that allows security personnel to control movement of the PTZ cameras located throughout the courthouse. It allows the end user to change the position of each camera so that various areas within the courtrooms and building are able to be viewed and recorded. Without the matrix the cameras are only partially functional; they record but cannot be moved or re-positioned. This is a particular concern in the courtrooms where cameras failed while facing a wall so there is no useable view or recording capability. The matrix is very old and outdated and is non-repairable. The JCC has agreed to provide limited repair of the system by manually re-focusing the existing camera and freezing it in a stationary position, resulting in one stationary camera per court room. There are 14 courtroom cameras and 58 other cameras throughout the building; aside from the courtrooms, none of the remaining 58 cameras will be repaired or replaced by the JCC. In addition to the repair of the courtroom cameras, the Court must also</p>		



update the current system software in order to use the remaining 58 PTZ cameras throughout the building. The Court must purchase additional hardware, equipment, and software to allow for the functionality of all cameras, enabling court security to monitor courtrooms and the rest of the courthouse. Courthouse security is compromised with the loss of the camera system.

The Court is currently working with vendors to obtain quotes for the cost of this project. Due to the magnitude of the project, we anticipate it will cost tens of thousands of dollars to complete. Due to limited resources the court is unable to fund this project out of our current budget. Without knowing what we can expect in next fiscal year's budget, the Court feels that monies previously encumbered for the initial project are better used in repairing and upgrading security systems in our court. However, based upon the requirements of the 1% cap we will be forced to return the requested amount of \$45,020 to the state when we liquidate the purchase order for the FTA project. The Court will continue to suffer a negative impact if we are not able to replace the cameras and software system that were impacted by the recent equipment failure. The Court is seeking permission to use the currently encumbered funds of \$45,020 for the camera and software system repair and upgrade so these funds are not lost to the state thru the current purchase order liquidating process and the constraints of the 1% cap.

## **SECTION II: AMENDED REQUEST CHANGES**

**A. Identify sections and answers amended. Section III: A.**

**B. Provide a summary of the changes to the request.** The request no longer applies to funds from the FY16/17 1% cap process. FY 17/18 is that last year that we have to liquidate the balance of the PO, which has been done, so the funds will show being reverted to the state on the FY 17/18 1% cap form. We are only requested that the applicable dates for reflection on the 1% cap form be updated from FY 15/16 to FY 17/18.

## **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.**

Based on the 1% cap worksheet submitted annually, the Court can only liquidate \$13,177 of the funds encumbered in fiscal year 15/16 without the money reverting back to the state. When we liquidate the purchase order for the FTA Project in the amount of \$45,020, \$31,843 will revert to the state in fiscal year 17/18. Since the Court was not able to move forward with the original intended purpose of the 2015 purchase order, due to various legal issues, we are seeking approval to use the previously encumbered funds for the camera and software system repair and upgrade rather than returning the money to the state.

**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 repair and replace the camera system that recently failed. The repair and upgrade is necessary to restore camera viewing capability in the courthouse. It is imperative the system be fully functional to provide adequate security to judges, court staff, and the public.

**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.**

Due to limited resources, the Court is unable to fund this project out of our current budget. Without knowing what to expect in next fiscal year's budget, the Court believes that monies previously encumbered for the initial project are better used in securing our court. If the request to move encumbered funds from one project to another is not approved we will be forced to return \$31,843 to the state and will have insufficient funds for the security system repair and upgrade. The Court would have no option but to fund this project over two fiscal years, resulting in compromised security for an extended period of time in our busiest courthouse.

E. 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 does not have an alternative to TCTF holding the funds. Once we liquidate the purchase order for the FTA project we will be forced to return \$31,843 to the state. If the Court is not allowed to use the encumbered funds for the security project the Court would lose \$31,843 and have to provide the funding for the security project in the amount of \$49,200. That overall cost to our budget would be \$81,043. Due to our limited resources the Court is unable to absorb that with current year funding and limited funding in 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**
- 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**

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

Original Request:

Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	49,200								49,200
Expenditures		45,020	4,180						49,200
Cumulative Balance	49,200	4,180	-	-	-	-	-	-	-

Amended request

Description	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	49,200								49,200
Expenditures		49,200							49,200
Cumulative Balance	49,200	-	-	-	-	-	-	-	-

## ***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*)