



THE STATE BAR OF CALIFORNIA

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The State Bar of California has submitted a report to the Legislature in accordance with Business and Professions Code section 6140.1. Business and Professions Code section 6140.1 requires the State Bar of California to submit a proposed baseline budget for the following year to the Legislature by November 15 and later a proposed final budget by February 15 so that the budget may be reviewed in conjunction with any bill that authorizes the State Bar's imposition of membership fees on its members.

In prior years the State Bar has presented three year budgets which are updated annually. In the current climate, there is significant uncertainty regarding the Bar's budget outlook stemming from the absence of the 2017 fee bill. As a result, the Board of Trustees was asked to consider and approve a one-year budget only at its January meeting. This budget submission reflects the approved one-year budget for 2017.

This 2017 Proposed Final Budget includes the State Bar's budget overview, revenues and expenditures by fund, department and cost center. Expenditures on wages and salaries by department, indirect cost summary and a consolidated fund condition with projected reserve level are also included.

Comparing the 2017 Proposed Final Budget to the proposed 2017 budget filed in November 2016, this Proposed Final Budget reflects the following factors, assumptions and principles:

- o The special regulatory assessment authorized by the California Supreme Court in lieu of a fee bill, setting the attorney licensing fee of \$297, resulting in a 5.7% reduction in 2017 Unconsolidated General Fund Revenue.
- o A minimum investment of \$1.67 million to be made in the Office of the Chief Trial Counsel pursuant to the Supreme Court's authorization order, with additional funding identified to support workforce planning and backlog reduction efforts.
- o Funding identified to support most programs not funded by the Court's authorized assessment.
- o Reductions to travel, catering, professional services and temporary help initiated in 2016 will continue.
- o Eligible employees will receive step increases in 2017.
- o The new Discipline System CMS will be procured and the project will begin.

This summary is provided under Government Code section 9795. The 2017 proposed baseline budget can be accessed at: <http://www.calbar.ca.gov/AboutUs/Reports.aspx>.

A printed copy of the report may be obtained by calling 415-538-2157.

2017 STATE BAR BUDGET



THE STATE BAR OF CALIFORNIA
FEBRUARY 14, 2017

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THE STATE BAR OF CALIFORNIA

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February 15, 2017

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Speaker of the Assembly
State Capitol, Room 219
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Honorable Mark Stone
Chair, Assembly Committee on Judiciary
State Capitol, Room 3146
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Dear Legislative Counsel Diane F. Boyer-Vine, Secretary of the Senate Daniel Alvarez, Chief Justice Cantil-Sakauye, Governor Brown, President pro Tem DeLeon, Speaker Rendon, Senator Jackson, and Assemblymember Stone:

I am pleased to provide you with the State Bar of California's 2017 Budget. Since its statutory creation in 1927, the Bar's mission has been to protect the public through the effective administration of its regulatory and discipline functions and promoting greater access to justice in California. To pursue this mission in 2017, the approved \$165 million budget reflects a 13 percent increase from the Bar's 2016 budget and is reliant on the use of \$19 million in spending from the Bar's reserves. This budget increase, produced in large part by planned capital expenditures, increased grant distribution, and staffing augmentations at the Office of the Chief Trial Counsel (OCTC), will enable the Bar to meet its operational objectives despite fiscal challenges that have significantly impacted 2017 revenue projections.

In addition to the immediate fiscal pressures outlined below, an important context for the 2017 budget submission is the impending transition of the State Bar Sections to a stand-alone, independent entity. While the fiscal impact of this transition is not reflected in the 2017 budget, it will necessarily be a focal point of the Bar's 2018 budget development process; we anticipate utilizing the same combination of discipline and careful scrutiny employed in the preparation of the 2017 budget to address these challenges in the new year.

The past year brought a series of budgetary setbacks that the Bar has worked diligently to address with integrity and transparency. After the California State Legislature failed to pass a fee bill authorizing 2017 licensing fees, the Bar submitted a request for a special regulatory assessment to the California Supreme Court (Court) on September 30, 2016. The Bar's 2017 proposed budget, submitted in November 2016, reflected the uncertainty of the time; given the pending assessment request, the Bar's November submission reflected a status quo rollover of 2016 adopted budget figures, with the expectation that the numbers would be significantly revised once the Court issued its order regarding the 2017 attorney licensing assessment.

The Court ultimately approved a 2017 licensing fee of \$297, an \$18 per attorney decrease from the 2016 authorized fee of \$315. The decreased revenue—creating a revenue shortfall of \$4.8 million—left the Access Commission, Center on Access to Justice, and Commission on Judicial Nominees Evaluation unfunded while significantly limiting funding for the Office of Communications and the California Young Lawyers Association. The Court's order also required that \$9 of the \$297 authorized be used to support workforce planning implementation efforts in the OCTC, effectively redirecting \$1.67 million of funding that otherwise might be generally available to increased funding specifically for that Office.

These setbacks are important context for the 2017 budget. So too are the Bar's 2016 accomplishments, which help mitigate these challenges. The Bar made sweeping cost reductions to travel, catering, temporary help, and professional services spending in its 2016 adopted budget; actual expenditures in these areas reflected \$2 million in additional savings beyond those budgeted. In addition, the Bar reduced capital improvement spending and left personnel vacancies unfilled in 2016, resulting in an overall budget surplus of \$8.5 million in the Bar's Consolidated General Fund, which supports its core discipline functions. This surplus increased the Bar's reserves; these reserves in turn are being used to address current year budget challenges.

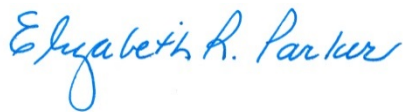
The Bar also met many non-budgetary goals during 2016: full implementation of all 17 of the State Auditor's 2015 recommendations regarding accountability and efficiency, a comprehensive review of policy and regulatory mandates impacting the Bar, and development of a three-year technology plan represent just a few of the year's accomplishments.

Over the next year, the Bar is committed to building on its 2016 successes and to identifying creative means to ensure core programs impacted by the reduced attorney licensing fee remain intact, while increasing resources available to support key discipline system reform efforts. To address its budget shortfall, the Bar's 2017 budget reflects an expansion of the professional service cost reductions first implemented during the 2016 budget process, reduced staffing for its Office of Communications and the Elimination of Bias and Legislative Activities Programs, and a discontinuation the Bar Relations Program.

The Bar also plans to proceed with key initiatives essential to its mission in 2017: most significantly, the Bar will invest \$3.4 million in OCTC to expand discipline-related initiatives, more than double the amount directed by the 2017 Court assessment level. Bar leadership believe this funding augmentation is imperative to ensure the success of OCTC's workforce planning redesign and ongoing backlog reduction efforts. The Bar will move forward with critical capital improvements, a new case management system, and a planned spend-down of the Bar's Legal Specialization reserve to comport with the Bar's reserve policy. Through careful financial management, the Bar is well-positioned to mitigate 2017's budget challenges while continuing to advance key initiatives that are central to its mission. The reserve spending included in the 2017 budget will not jeopardize the Bar's mandated fund balance levels, nor otherwise adversely impact any contractual obligations or other commitments tied to the Bar's reserves.

The Bar is proud to present a 2017 budget that reduces operating costs while maintaining status quo operations without staff layoffs. Though uncertainty remains regarding the Bar's budgetary outlook for 2018 and beyond, the Bar is arguably more committed to, and focused on, its public protection mission than it has been in many years.

Respectfully,



Elizabeth R. Parker
Executive Director
State Bar of California

cc: E. Dotson Wilson, Chief Clerk of Assembly
Carin Fujisaki, Principal Attorney to the Chief Justice of the Supreme Court of California
Gregory Fortescue, Supreme Court Civil Central Staff
Nancy McFadden, Executive Secretary, Office of the Governor
Dan Seeman, Deputy Legislative Secretary, Office of the Governor
Margie Estrada, Chief Counsel, Senate Judiciary Committee
Alison Merrilees, Chief Counsel, Assembly Judiciary Committee

STATE BAR OF CALIFORNIA 2017 BUDGET OVERVIEW

The State Bar of California (Bar) is a public protection organization committed to transparency, accountability, and excellence through lawyer regulation, education and discipline, and support for improvements to the legal justice system.

To advance these principles in 2017, the Bar's Board of Trustees (Board) approved a \$165 million budget that allows the Bar to make significant progress on mission-critical initiatives, sustain core programs and staff jeopardized by a reduced attorney licensing fee assessment, and address one-time funding needs in a timely and transparent manner. The 2017 budget reflects a 13 percent increase from the Bar's 2016 budget, and is reliant on reserve spending.

The 2017 budget is provided as Appendix A. This Budget Overview contains the following:

- Review of Bar's 2016 Accomplishments
- Outline of Key 2017 Bar Initiatives
- State Bar Fund Structure Overview
- 2017 Budget, Key Assumptions and Drivers
- 2017 Budget, Discipline and Admissions System Highlights
- 2017 Budget, Key Operational Area Highlights
- Basis of Budgeting and Accounting
- Debit Management and Capital Improvement Program (CIP)
- Fiscal Policies and Procedures & Budget Development Process
- A Look Ahead: 2018 Horizon

STATE BAR OF CALIFORNIA 2016 ACCOMPLISHMENTS

Over the past year, the Bar has advanced projects focused on four strategic goals: 1) ensuring a timely, fair, and appropriately resourced discipline and regulatory system; 2) informing and educating stakeholders about the Bar's responsibilities, initiatives, and accomplishments; 3) improving fiscal and operational management emphasizing integrity, transparency, and accountability; and 4) supporting access to justice and improvements in the justice system. The Bar has made significant progress in advancing each of these goals.¹

ENSURING A TIMELY, FAIR, AND APPROPRIATELY RESOURCED DISCIPLINE AND REGULATORY SYSTEM

Conducted a Classification and Compensation Analysis. In May 2016, the Bar completed a statutorily required classification and compensation analysis for the Office of the Chief

¹ A comprehensive review of the Bar's 2016 accomplishments has been provided to the Legislature and other stakeholders under separate cover, as an attachment to the Bar's 2017-2022 Strategic Plan.

Trial Counsel (OCTC). One of the key recommendations of the study was that the Bar establish a Supervising Attorney position in OCTC. In partnership with the union, the Bar established that position in January, 2017.

- Implemented Workforce Planning Recommendations. As required by Business and Professions code section 6140.16, the Bar completed a workforce planning analysis for its discipline system in May, 2016. In addition to completing the study, the Bar was required to implement related recommendations by December 31. An update on the status of workforce planning implementation efforts was submitted to the Board of Trustees at its January 24, 2017, meeting, and is provided as Appendix B to this budget submission.
- Developed Proposals for a Revised Backlog Standard. The Bar completed a review of its case processing backlog and developed recommendations for legislative consideration including modifications to current statutory backlog target and corresponding staffing needs.
- Implemented a New Unauthorized Practice of Law Protocol. OCTC implemented a new protocol to ensure the efficient tracking and handling of complaints about non-attorneys engaged in the unauthorized practice of law (UPL). A new, dedicated UPL team now evaluates and investigates UPL complaints to determine whether there is a remedy within the Bar's statutory authority that OCTC can pursue. OCTC has expedited UPL referrals to law enforcement and other enforcement authorities, and increased the number of such referrals over the past year.
- Established Office of Research and Institutional Accountability. The Bar established a dedicated data and research arm to manage data analysis and reporting. The Office of Research and Institutional Accountability (ORIA) is working to automate the extraction, analysis, and reporting of discipline system data to ensure greater accuracy and reliability, improve workload and outcome reporting to facilitate improved oversight by the Board's Regulation and Discipline Committee and other stakeholders, and increase the efficiency of a number of operational areas to support internal resource reallocation to the Bar's discipline programs.
- Established New Attorney Training Requirements. Pursuant to the recommendations of the Task Force on Admissions Regulation Reform (TFARR), the Board of Trustees approved a new 10-hour Minimum Continuing Legal Education (MCLE) requirement for attorneys within their first year of practice, effective February 2018.
- Developed Revised Rules of Professional Conduct. The Bar's Rules Revision Commission sent a comprehensive set of 68 proposed rules out for public comment in 2016. The Board adopted 36 of the proposed rules at its November 2016 meeting, and authorized an additional 45-day public comment period on 34 new rules.

- Implemented State Auditor's 2015 Recommendations. The Bar finalized implementation of all 17 of the State Auditor's 2015 recommendations, which included the adoption of new oversight and reporting policies, reserve fund restrictions, and completion of the workforce planning analysis.
- Enhanced Enforcement Mechanisms for MCLE Compliance. The Board increased financial penalties to enforce MCLE compliance and advanced recommendations to streamline MCLE attendance reporting.
- Supported the Client Security Fund. Excess reserves from other funds were transferred to the Client Security Fund (CSF) in 2016 to support increased applicant payouts. Bar collections activity escalated in 2016, with resulting improved collections in 2017 expected to further increase CSF payouts in future years.

INFORMING AND EDUCATING STAKEHOLDERS ABOUT THE BAR'S RESPONSIBILITIES, INITIATIVES, AND ACCOMPLISHMENTS

- Improved Internal and External Communications. The Bar made strides to improve both external and internal communications in 2016. Accomplishments included: increased communication with the press and public regarding attorney discipline and the rules revision process; expanded consumer 'know your rights' outreach to help consumers protect themselves from fraud, find attorneys, and address attorney misconduct; enhanced expediency in monthly attorney discipline reporting; revised editorial strategy to ensure alignment of California Bar Journal content with the Bar's public protection mission; increased updates to Bar staff from leadership; enhanced social media utilization; and an overhaul of the Bar's electronic communications. The Bar also recently launched the first of a new periodic series of legislative newsletters, which reflect key discipline, legal services, and victim services activities by legislative district.
- Expanded Partnerships to Combat UPL. In 2016, the Bar hosted a UPL summit, which focused on building effective partnerships with legal service organizations to identify, report, and investigate UPL cases. After that summit, Bar leadership attended a statewide meeting of California District Attorneys to discuss partnerships with law enforcement in the prosecution of UPL. OCTC has also established processes for referral of ethics complaints about attorneys who represent clients in immigration matters, but are not licensed in California, to the U.S. Citizenship and Immigration Services and the U.S. Executive Office for Immigration Review.
- Managed Compliance with the California Public Records Act and Bagley-Keene Open Meeting Act. The Bar provided guidance on, and monitored compliance with, both the California Public Records Act and Bagley-Keene Open Meeting Act throughout 2016. To support these efforts, the Bar provided ongoing advice and ad hoc training as needed to

staff, Committees, Boards, and Commissions. To facilitate greater transparency and access the Bar began webcasting all Board of Trustee meetings in 2016.

IMPROVING FISCAL AND OPERATIONAL MANAGEMENT EMPHASIZING INTEGRITY, TRANSPARENCY, AND ACCOUNTABILITY

- Significantly Reduced Operating Expenditures. The Bar is estimated to close its 2016 books with an \$8.5 million surplus in the Consolidated General Fund. The adopted 2016 budget reflected a 6.2 percent overall reduction from the prior year; reductions were focused particularly on travel and catering costs, temporary help, and professional services. The Bar exceeded those budgeted reductions; while travel, catering, and temporary help expenses aligned with budgeted amounts, savings of nearly \$2 million, or 50 percent, were realized in professional services expenses. A significant portion of these savings can be attributed to the Office of General Counsel, which drastically reduced outside counsel expenses in 2016. Additional 2016 savings resulted from reduced capital improvement spending and personnel vacancies.
- Commenced Efforts to Improve Staff Morale. Bar leadership analyzed the results of a voluntary staff survey issued in December, 2015, and held individual and group meetings to address themes and concerns raised. Leadership developed an action plan focused on four of these themes: performance accountability, recognition and advancement, training and professional development; and effective and transparent communication and collaboration. Following an all-day Executive Staff Retreat to refine the action plan, the Bar began implementation. One of the key implementation activities was the conversion of a vacant Human Resources generalist position to a dedicated training and professional development one; this conversion is intended to ensure that appropriate resources and attention are paid to improving employee engagement at the Bar.
- Conducted a Classification and Compensation Analysis. As noted above, the OCTC classification and compensation analysis was completed in May, 2016. The second phase of the work, comprising the rest of the Bar, is nearing completion. Initial recommendations suggest the need for a significant reduction in the overall number of classifications, the establishment of clear promotional pathways, and a recalibration of salaries to align with the market. The implementation of these recommendations will support staff identified employee engagement goals in the areas of career advancement and professional development.
- Clarified Policy and Regulatory Mandates Impacting Operations. Staff reviewed and updated the structure of the Board of Trustees' Policy Manual, a compilation of statutes, State Bar Rules, and other policies and procedures that govern the operations of the Board and its oversight of the Bar. The revisions produced a more user-friendly, accessible resource, and staff ultimately aim to make the policy manual publicly-

available to increase transparency and knowledge regarding the operations of the State Bar.

- Developed a Three-Year Technology Plan. The Three-Year Technology Plan is designed around four goals: increase access to State Bar services; increase efficiency, transparency, and accountability; ensure security of data and systems; and effectively budget, plan, monitor and support IT resources.

SUPPORTING ACCESS TO JUSTICE AND IMPROVEMENTS IN THE JUSTICE SYSTEM

- Enhanced Resources for Legal Services. Working with individuals and organizations across the State including the Legal Aid Association of California (LAAC), the Bar helped secure a one-time \$5 million general fund increase in the Equal Access Fund, which provides funding for legal services throughout the state.

State Bar staff, together with the California Commission on Access to Justice and the LAAC, also worked to unlock new federal funding sources for legal aid. As a result, over \$20 million in new Requests for Proposals were issued by the California Office of Emergency Services. Staff also collaborated with the Legal Services Trust Fund (LSTF) Commission to make an additional \$3 million of bank settlement funds available for distribution.

- Increased Access to Justice. The Standing Committee on the Delivery of Legal Services (SCDLS) conducted preliminary research regarding mandatory pro bono reporting and its impact on increasing pro bono service, and partnered with legal services organizations and other subject matter experts to design and facilitate free, high-quality training for legal services lawyers, pro bono counsel, and other advocates.

2017 STATE BAR OF CALIFORNIA INITIATIVES

The Bar's 2017 goals and objectives reflect a continued commitment to transparency, accountability, and excellence through enhanced discipline-related activities, improved case management system capabilities, and sustained investment in mission-critical programs.

In addition, the Bar will prioritize a new set of objectives in 2017 as related to the impending transition of the State Bar Sections to a new independent organization.

The Bar's 2017 goals and objectives specifically include:²

² The Bar's complete 2017-2022 Strategic Plan is being submitted under separate cover concurrent with the present 2017 budget filing.

SUCCESSFULLY TRANSITION TO THE “NEW CALBAR”

- Manage and Support the Transition of the State Bar Sections to a Standalone Entity. In addition, the Bar will determine whether additional State Bar functional areas will transition to the Sections entity, other organizations, or to new standalone entities.
- Determine the Role of Committees and Commissions in the new CalBar.
- Implement Board Composition and Operations Reforms. These reforms will ensure that the Board’s structure and processes optimally align with the new CalBar.

ENSURE A TIMELY, FAIR, AND APPROPRIATELY RESOURCED ADMISSIONS, DISCIPLINE AND REGULATORY SYSTEM

- Implement Workforce Planning and Evaluate the Impact of Those Reforms.
- Implement Improved Discipline System Reporting. To include: (a) completion of a caseload study for the Office of Chief Trial Counsel, and the State Bar Court to build upon workforce planning analyses completed in 2016; (b) identification of staffing and resource needs based on the results of that study; and (c) development of new metrics for measuring the effectiveness of the discipline system including any needed revisions to the statutory backlog metric.
- Further Improve MCLE Efficacy and Compliance. Develop and implement the new attorney 10-hour MCLE requirement and evaluate its impact and effectiveness and develop an automated mechanism for ensuring MCLE compliance.
- Deploy the Discipline System Case Management System (CMS).
- Identify any Needed Changes in Bar Exam Content or Grading. Conduct Bar exam validity and pass line studies to determine whether or not additional changes to exam content, format, administration, or grading are needed, and implement needed changes.
- Continue to Improve UPL Investigation and Prosecution. Monitor improvements in the response to complaints regarding the unauthorized practice of law through tracking and reporting on complaints received, investigation timelines, civil filings, and law enforcement referrals, and improve public protection by partnering with law enforcement agencies to create a coordinated regional response to the unauthorized practice of law.

PROACTIVELY INFORM AND EDUCATE ALL STAKEHOLDERS, PARTICULARLY THE PUBLIC, ABOUT THE STATE BAR'S RESPONSIBILITIES, INITIATIVES, ACCOMPLISHMENTS, AND CAPABILITIES

- Develop Metrics for Communications Efforts. These metrics will be used to evaluate and inform the Bar's communications and stakeholder engagement strategies.
- Redesign the State Bar Website. The redesign will focus on improving access, legibility, and utility for all stakeholders.
- Improve Public Protection. Improve public protection by partnering with legal service providers and law enforcement agencies to educate vulnerable populations regarding the problem of unauthorized practice of law and ways that individual issues can be addressed.
- Improve Transparency. Increase the availability of meeting materials and expand upon existing mechanisms for regular communication with the Supreme Court, Legislature, Governor's Office, and the public.

IMPROVE THE FISCAL AND OPERATIONAL MANAGEMENT OF THE STATE BAR

- Improve Employee Engagement. Through implementation of a new classification structure with clear career pathways, improved performance accountability, training, and professional development, and transparent and collaborative communication.
- Reallocate Funds to Support the Discipline System. Reallocate funds internally based on expenditure review, revenue enhancement measures, implementation of the Bar's reserve policy, and other reengineering efforts.
- Develop Outcome and Performance Accountability Metrics. Develop performance metrics for all areas of the Bar.

SUPPORT ACCESS TO JUSTICE FOR ALL CALIFORNIA RESIDENTS AND IMPROVEMENTS IN CALIFORNIA'S JUSTICE SYSTEM

- Support Increased Funding and Efficacy. Advocate for increased funding for legal services and identify enhanced outcome measures and improved programmatic approaches for expanding access to justice.

FUND STRUCTURE

The State Bar's proposed budget finances over 40 distinct functions within the organization with support from 23 different specific funding sources. A State Bar organizational chart outlining

many of these functional areas is provided as Appendix C. These sources are categorized as one of three Fund types pursuant to Board action in 2015.

CONSOLIDATED GENERAL FUND: accounts for spendable financial resources that can be used generally to support most aspects of the Bar's operations. The Consolidated General Fund consists of nine sub-funds:

- Unconsolidated General Fund
- Howard Building Fund
- Legal and Education Development Fund
- Los Angeles Facility Fund
- Public Protection Fund
- Support and Administration Fund
- Technology Improvement Fund
- Fixed Assets Fund
- Benefits Reserve Fund

RESTRICTED FUNDS: accounts for activities and financial resources that can only be used for specific purposes or when constraints are placed on the use of resources imposed externally through legislation or similar external restrictions. The State Bar has ten funds in this group:

- Legislative Activities Fund
- EOB/Bar Relations Fund
- Lawyer Assistance Program Fund
- Legal Specialization Fund
- Client Security Fund
- IT Special Assessment Fund
- Legal Service Trust Fund
- Equal Access Fund
- Justice GAP Fund
- Bank Settlement Fund

SPECIAL REVENUE FUNDS: accounts for the proceeds of specific revenue sources that are restricted or committed to expenditures for specified purposes. The State Bar has four funds in this group:

- Admissions Fund
- Annual Meeting Fund
- Grant Fund
- Sections Fund

The Unconsolidated General Fund supports the State Bar's discipline system, and accounts for \$88.7 million, or 53.8 percent of the 2017 operating budget. An additional 10 percent reflects the Admissions Fund, which supports the regulation of entrance into the practice of law.

KEY BUDGET ASSUMPTIONS AND DRIVERS

The 2017 budget reflects the following factors, assumptions and principles:

- The legislature did not pass a 2017 fee bill. As a result, the Bar submitted a request for a special regulatory assessment to the California Supreme Court. The authorized per attorney licensing fee of \$297 will result in an estimated 5.7 percent reduction in 2017 Unconsolidated General Fund revenue;
- A minimum investment of \$1.67 million should be made in the Office of the Chief Trial Counsel pursuant to the Supreme Court's fee authorization order, and, to the extent possible, additional funding should be identified to support workforce planning and backlog reduction efforts;
- Funding should be identified to support most programs not funded by the Court's authorized assessment, particularly JNE, the Access Commission, and the Center on Access to Justice;
- Reductions to travel, catering, professional services and temporary help initiated in 2016 should continue;
- Eligible employees will receive step increases in 2017;
- The new CMS will be procured in 2017 and the project will begin; and
- Potential salary savings associated with a voluntary staff Reduction in Force (RIF) program underway at the Bar should not be reflected in the 2017 budget given the lack of finality of these savings at the time of budget submission.

In addition, assumptions were made regarding one-time costs and transfers:

- The cost of the reversal of a \$1.6 million transfer from the Lawyer Assistance Program (LAP) to the Client Security Fund effectuated in 2016 should be borne by the Consolidated General Fund (not the CSF);
- Limited capital improvement investments are needed to maintain capital infrastructure integrity;
- Separation payments associated with the Reduction in Force program should be reflected in the 2017 budget in order to present a responsibly conservative picture of the Bar's overall fiscal position;
- Bank grant settlement money received in 2016 will be allocated in part in 2017; and
- A significant increase in Legal Specialization spending as well as a program fee holiday in line with that program's reserve spend-down plan should be budgeted.

DISCIPLINE AND ADMISSIONS SYSTEM HIGHLIGHTS

The attorney discipline system is primarily funded by the annual attorney licensing fee assessment and other mandated fees.

Annual Attorney Licensing and Other Mandated Fees

The State Bar's attorney licensing fee, which is set by the legislature annually, was stable at \$315 from 2000 to 2016. The California Supreme Court approved a 2017 assessment of amount \$297, represents a 5.7 percent reduction from the historical authorized level.

In addition to the annual licensing fee, attorneys are responsible for a \$25 discipline fee, a \$40 Client Security Fund fee, and a \$10 Lawyer Assistance Program fee. These mandatory fees are outlined below:

Table 1: 2017 Mandatory Licensing Fees

Licensing Fee	\$297
Discipline Fee	\$25
Client Security Fund	\$40
Lawyer Assistance Program	\$10
Total	\$372

Projected 2017 revenue from these mandatory fees is outlined in Table 2 below:

Table 2: 2017 Licensing and Other Mandatory Fee
Budgeted Revenue (millions)

Licensing Fee ³	\$63.7
Client Security Fund	\$8.0
Lawyer Assistance Program	\$2.1
Total	\$74.3

Other General Fund Revenue Supporting the Discipline System

In addition to attorney licensing fees, the State Bar generates revenue in support of the discipline system from a host of other services provided, including LLP and LLC registration fees, penalty and late fee assessments, and certificates of standing.

³ Includes \$25 Discipline Fee

2017 budgeted revenue for these other revenue sources is outlined in Table 3 below:

Table 3: 2017 Other Unconsolidated General Fund
Budgeted Revenue (thousands)

Penalties and Late Fees	\$2,100
LLP Registration	\$623
LLC Registration	\$820
MCLE Compliance	\$884
Certification	\$206
Investment	\$105
Other	\$237
Total	\$4,975

The attorney discipline system is comprised of the following State Bar departments:⁴

- Office of the Chief Trial Counsel: responsible for investigating complaints regarding attorney misconduct and prosecuting them as appropriate.
- The State Bar Court: responsible for adjudicating complaints regarding attorney misconduct.
- The Office of Probation: responsible for monitoring disciplined attorneys' compliance with Court-ordered terms and conditions.
- Mandatory Fee Arbitration Program: responsible for providing statutorily required fee arbitration services which directly impact the number of complaints filed.
- Office of Professional Competence: responsible for supporting attorney compliance with the Rules of Professional Conduct.
- Member Records and Compliance: responsible for maintaining the official record of an attorney's status history with the State Bar.
- The Lawyer Assistance Program: responsible for identifying and rehabilitating attorneys with substance abuse or mental health disorders impacting the competent practice of law.
- The Client Security Fund Program: responsible for administering the Bar's victim restitution fund.

⁴ Note that this construction of the attorney discipline system reflects those programs included in the Bar's 2016 Workforce Planning analysis with the addition of the Office of Professional Competence. It differs from that used in the 2016 Supreme Court fee authorization request, which focused specifically on General Fund supported activities.

The Office of the Chief Trial Counsel⁵

The Office of Chief Trial Counsel (OCTC) is the prosecutorial arm of the State Bar, responsible for investigating and prosecuting attorneys for violations of the Rules of Professional Conduct and The State Bar Act. In addition to its core attorney discipline functions, OCTC is responsible for regulatory proceedings before the State Bar Court, such as representing the Committee of Bar Examiners in moral character appeals to the State Bar Court and representing the Board of Legal Specialization in specialization certification appeals to the State Bar Court. OCTC is also responsible for ancillary proceedings such as superior court proceedings involving the assumption of a law practice and the pursuit of civil penalties against those involved in the unauthorized practice of law.

OCTC is staffed with executive, attorney and non-attorney staff. Non-attorney staff includes investigators, paralegals, complaint analysts, administrative assistants, secretaries, record coordinators and clerks. Together, these staff comprise 41 percent of the Bar's workforce.

While formal publication of prior year performance data is not published until April annually, Table 4 below outlines 2015 and preliminary 2016 service and staffing level changes for OCTC:

Table 4: OCTC 2015 and Preliminary 2016 Service and Staffing Level Changes

	2015	2016 (preliminary)	% Change
Opened in Intake	15,734	15,175	-3.55%
Closed in Intake	11,779	10,298	-12.57%
Closed in Investigations	2,367	3,672	55.13%
Closed Pre-Filing: Agreement in Lieu of Discipline	46	23	-50%
Closed Pre-Filing: Dismissal/Termination	121	91	-24.79%
Filed in State Bar Court	538	625	16.17%
Staffing	235	233	-.8%

The Supreme Court's special regulatory fee assessment for 2017 directed an increase of \$1.67 to support OCTC. The 2017 OCTC budget of \$33.6 million reflects a doubling of this amount, resulting in a \$3.4 million budget augmentation for the Office. The vast majority of this increase ties to increased staffing levels; the 2017 adopted budget reflects an additional 14 funded FTE's for the Office.

⁵ Discipline department 2017 expenditure figures do not include administrative costs allocated to these departments.

State Bar Court

The State Bar of California is the only state bar in the United States with independent professional judges dedicated to ruling on attorney disciplinary and regulatory cases. The State Bar Court makes recommendations to the California Supreme Court to suspend or disbar those attorneys found to have committed acts of professional misconduct or who have been convicted of serious crimes. For lesser offenses, public or private reprovls may be issued.

The State Bar Court's activities are managed by its Administration, Hearing Department, Review Department, and Effectuations Unit. The State Bar Court's activities are essential to ensuring a timely, fair, and appropriately resourced discipline and regulatory system at the State Bar.

State Bar Court workload and staffing level changes from 2015 to 2016 is provided in Table 5 below⁶:

Table 5: State Bar Court Workload and Staffing Level Changes 2015 to 2016

	2015	2016	% Change
Discipline Filings	499	541	8.4%
Regulatory Filings	79	81	2.5%
Disposition: Disbarment	207	229	10.6%
Disposition: Suspension	327	260	-20.5%
Disposition: Other	166	154	-7.2%
Staffing Levels	42	42	0

2017 budgeted SBC expenditures total \$7.6 million.

Office of Probation

The Office of Probation (OP) monitors disciplined attorneys who have been ordered to comply with probation or reprobation conditions pursuant to orders issued by the California Supreme Court and/or the State Bar Court.

Office of Probation monitoring involves contacting the attorney being monitored and third parties such as former clients, service providers, and other departments of the State Bar. OP staff provides timely information to respondent attorneys, OCTC, and State Bar Court regarding non-compliance and are available to testify regarding such under oath in court.

⁶ As with OCTC workload data, official prior year SBC data is provided in April annually as part of the Annual Discipline Report.

OP staff is essential to the Bar's efforts to ensure a timely, fair, and appropriately resourced discipline and regulatory system.

2017 budgeted Office of Probation expenses total \$.8 million.

Mandatory Fee Arbitration

The Mandatory Fee Arbitration program provides arbitration in cases of attorney-client disputes over legal fees, primarily through local bar associations. The program also assists clients in enforcing those awards where an attorney has been ordered to return unearned fees to the client, but fails to do so.

The Mandatory Fee Arbitration program plays a critical role in ensuring a timely, fair, and appropriately resourced discipline and regulatory system.

2017 budgeted Mandatory Fee Arbitration program expenses total \$.6 million.

Member Records & Compliance

The Office of Member Records and Compliance (MRC) maintains, on behalf of the Supreme Court, the official "Roll of Attorneys," the list of all attorneys who are licensed to practice in the State of California. That official "membership" or licensing record is public information.

MRC also manages the registration of law corporations and limited law partnerships, and is responsible for ensuring the compliance of all bar members with the requirements for mandatory continuing legal education.

MRC's 2017 budget of \$3.2 million reflects a significant increase as compared to 2016. This increase is a result of the transition of Member Billing and MCLE Certification staff from other State Bar departments (Finance and Admissions respectively) to Member Records and Compliance. Centralization of the related functions in the Office is intended to increase efficiency and service efficacy.

Office of Professional Competence

The Office of Professional Competence (OPC) administers the State Bar's attorney professional responsibility programs and resources. These activities assist practicing attorneys in complying with their professional duties. Programs and service areas include the Ethics Hotline, Outreach and Education, Publications, and support to the Board of Trustees, Ethics Opinion Committee, and Rules Revision Commission. In 2017, the OPC will be responsible for submitting a set of revised Rules of Professional Conduct to the Supreme Court for review and approval.

2017 OPC budgeted expenditures total \$1.8 million.

Client Security Fund

The Client Security Fund (CSF) is categorized as a restricted fund outside of the Bar's General Fund. The purpose of the CSF is "to relieve or mitigate pecuniary losses caused by the dishonest conduct of active members of the State Bar." (Business and Professions Code section 6140.5(a)) In order to qualify for reimbursement from the fund, the applicant must establish a loss of property or money that came into the hands of an active member of the bar through dishonest conduct, while the member was serving as an attorney or in a fiduciary capacity.

A review of CSF service and staffing level changes from 2015 to 2016 is provided in Table 6 below:

Table 6: CSF 2015 and Preliminary 2016 Service and Staffing Level Changes

	2015	2016 (Preliminary)	% Change
Applications Filed	1,178	1,120	-4.9%
Applications Paid	821	1,793	118.4%
Total Applications Resolved	1,387	2,332	68.1%
Total Amount Paid	\$6,012,453	\$8,037,525	33.7%
Pending Application Inventory	5,465	4,234	-22.5%
Program Staffing	11	11	0

Business and Professions code Section 6140.55 authorizes the State Bar Board of Trustees to increase the annual licensing fee up to \$40 (active members) and \$10 (inactive members) for the purposes of the Client Security Fund and the costs of its administration, including, but not limited to, the costs of processing, determining, defending, or insuring claims against the fund.

2017 CSF revenue is budgeted at \$8 million.

Expenditures against this revenue tie to CSF's four primary functions: (a) legal case processing (reviewing and administering decisions made on applications for reimbursement); (b) support for the CSF Commission, the Board of Trustees, and other State Bar departments; (c) financial management; and (d) basic internal administrative functions.

2017 budgeted CSF expenditures are estimated to total \$6.7 million. Budgeted staffing has been reduced to 8 FTE in 2017, reflecting increased efficiency in program operations.

Lawyer Assistance Program

The Lawyer Assistance Program (LAP) Fund is categorized as a restricted fund outside of the Bar's General Fund.

The Lawyer Assistance Program (LAP) is charged with identifying and rehabilitating attorneys with impairment affecting competency caused by abuse of drugs or alcohol so that they may be

treated and returned to the practice of law in a manner that will not endanger the public health and safety (Business and Professions Code section 6230). LAP participation can be voluntarily and occur entirely outside of the State Bar discipline system; alternatively, participation can be mandated pursuant to State Bar Court order.

A review of LAP service and staffing level changes from 2015 to 2016 is provided in Table 7 below:

Table 7: Lawyer Assistance Program 2015 and 2016
Service and Staffing Levels

	2015	2016	% Change
Monitored	105	120	14.3%
Support	22	14	-3.6%
Program Staff	8	7	-1.2%

2017 Lawyer Assistance Program revenue is budgeted at \$2.1 million.

Expenditures against this revenue support LAP's primary functional areas including: Orientation and Assessment, Monitored LAP (compulsory participation) and Support LAP (voluntary participation).

2017 budgeted LAP expenditures total \$1.2 million.

ADMISSION SYSTEM HIGHLIGHTS AND FUNDING

The Office of Admissions develops and administers the First-Year Law Students' Examination and the California Bar Examination, conducts applicant moral character investigations, accredits and registers 18 law schools that are not approved by the American Bar Association, has oversight for an additional 15 unaccredited and 15 correspondence law schools in California, and supports the Committee of Bar Examiners. In addition, the Office of Admissions administers a Legal Specialization program, by which attorneys can become certified as a legal specialist, and several Special Admissions programs, which allow for attorneys not licensed in California to practice in the state on a limited basis.

Admissions activity is entirely self-supported by applicant fees, the sale of study aids, accreditation fees, and interest income. These revenue sources are housed in two funds: the Admissions Fund and the Legal Specialization Fund.

2017 budget Admissions Fund revenue totals \$21 million.

Expenditures against this revenue support administration of the First Year Law Student's Examination and the California Bar Exam, moral character investigations, law school regulation, and special admissions functions. The 2017 budget reflects both anticipated cost savings resulting from a transition from a 3-day to a 2-day bar exam format, as well as continuing

escalation in the costs of special accommodations provided to exam takers. An excerpt of 2016 Admissions performance data (relating specifically to exam and testing accommodations) as well as Office of Admissions staffing levels is provided in Table 8 below:

Table 8: Office of Admissions 2015 and 2016
Performance Data and Staffing Levels

	All Test Takers			Test Takers w/ Accommodations		
	2015	2016	% Change	2015	2016	% Change
June First Year	533	488	-8.44%	30	27	-10%
October First Year	430	381	-11.40%	22	17	-22.73%
February Bar Exam	5232	5210	-.42%	288	321	11.46%
July Bar Exam	8736	8147	-6.74%	369	415	12.47%
Staffing Levels	73	72				

2017 budgeted Admissions Fund expenditures total \$16.5 million.

LEGAL SPECIALIZATION FUNDING

2017 Legal Specialization Fund revenue is budgeted at \$.4 million. This figure reflects the fact that there will be a fee holiday for legal specialists in 2017, as part of the overall plan to effectuate a spend-down of the Fund's reserves pursuant to the Board of Trustee's reserve policy. 2017 program expenditures total \$4.6 million; the \$5 million in spending in excess of budgeted revenue is part of the planned reserve spend-down.

KEY OPERATIONAL AREA HIGHLIGHTS

While the previous section of the 2017 Budget Overview provided revenue and expenditure detail by functional Discipline or Admissions system area, this section provides information for key operational areas as broken down into General and Other Funds categories.

GENERAL FUND

Ongoing Expenditures

Salary and Benefits: \$65.4 million

Salaries and benefits, up from \$58.2 million in 2016, are the largest single driver of the State Bar's costs. Much of this increase is associated with enhanced staffing in OCTC. Additional cost drivers include annual "step" increases for bargaining unit employees who have not reached the top of the salary range. This funding also includes continued support for the General Fund programs that were not funded by the Court assessment: the Office of Communications (at a

reduced level), Judicial Nominations and Evaluation, the Access Commission, and the Office of Legal Services.

Travel, Catering, Professional Services, and Temporary Help: \$3.5 million

In keeping with budgeting priorities established in 2016, Travel, Catering, Professional Services and Temporary Help budgets have been scrutinized and significant cuts have been realized. The 2017 budgeted expenses in these areas continue this trend at \$3 million less than 2016 budgeted amounts, with temporary help and professional services budgets each reduced in half as compared to the 2016 budget.

One-time Expenditures

Of the 2017 Unconsolidated General Fund expenditures, \$6.6 million are one-time in nature and represent planned expenditures to advance the Bar's mission and objectives.

Case Management System (CMS): \$2.5 million

The proposed budget includes \$4.2 million in expenditures related to the CMS project. \$2.5 million of this amount is for system purchase; the remaining budgeted amounts are for other technology infrastructure needed to support deployment, as well as subject matter expert and project manager staffing. The official project kick-off occurred on February 8, 2017.

Lawyer Assistance Program Transfer: \$1.6 million

The Lawyer Assistance Program (LAP) has been operating with a structural surplus for a number of years, resulting in a sizeable fund balance accumulating as of December 31, 2015. In response, and in alignment with the Board adopted Reserve Policy, the Bar directed over 90 percent of the Program's surplus fund balance, or \$1.6 million, to the Client Security Fund. In late 2016, the Board of Trustees directed a reversal of the transfer; the transfer was reversed as part of 2016 year-end budget processes. The 2017 budget reflects a \$1.6 million transfer from the Unconsolidated General Fund to the CSF to reverse that transfer.

Capital Improvements: \$1.7 million

The Bar has a multi-year capital improvement program in place to ensure that its 180 Howard Street headquarters building operates safely, efficiently, and in compliance with updated building codes. The inter-related, multi-stage improvements involve the upgrade, replacement or new installation of components of Heating, Ventilation & Air Conditioning (HVAC) systems; Electrical and Plumbing systems; Fire/Life Safety systems; and roof, façade and structural elements.

Projects for 2017 include replacement of fire/smoke dampers on seven floors; replacement of cooling coils and condensate drip pans; repair or replacement of the main condenser water riser; structural upgrades to core walls; and additional waterproofing of the building façade.

Reduction in Force: \$2.2 million

The estimated General Fund impact of separation payments associated with staff-recommended Reduction in Force participation and replacement numbers is \$2.2 million. The present budget includes the costs associated with these separation payments. Importantly, and reflecting a conservative fiscal approach, the proposed budget does not reflect anticipated salary savings associated with RIF participation. These General Fund savings are estimated at \$1.5 million.

OTHER FUNDS

Non-General Fund expenditures are budgeted at \$85.4 million. Given a \$73.3 million budgeted revenue level, the 2017 non-General Fund budget is built upon \$12.1 million in reserve spending. Virtually all of this reserve spending is associated with one-time costs as outlined below.

Bank Settlement Grants: \$5.5 million

The Bar received \$44.7 million in bank settlement funds in 2016. In 2017, \$5.5 million is budgeted to be spent from these funds to support legal services initiatives focused on foreclosure prevention and loan modification.

Legal Specialization Spend-Down: \$4.6 million

On July 21, 2016, the Board of Trustees approved a \$6 million spend-down plan for the Legal Specialization program, which is necessary to bring that program in compliance with the Bar's Reserve Policy. The 2017 budget reflects this plan, including a fee holiday (revenue reduction) and significant increases in technology and professional services expenditures (totaling \$4.6 million) related to key components of the plan.

Support for Programs Impacted by Authorized Assessment: \$930,000

The 2017 budget includes support for Legislative Activities and Elimination of Bias programs, enabling sustenance of key legislative relations and diversity activities; the budget also includes transition funding for the Bar Relations program, which is slated to be discontinued no later than April 30, 2017.

Reduction in Force: \$720,000

The estimated non-Consolidated General Fund impact of separation payments associated with staff-recommended RIF participation and replacement numbers is \$720,000. Non-General Fund savings resulting from RIF participation are estimated at \$1.2 million.

BASIS OF BUDGETING AND ACCOUNTING

The State Bar's basic financial statements have been prepared in accordance with the Generally Accepted Accounting Principles ("GAAP") as prescribed by the Governmental Accounting Standards Board ("GASB"). The State Bar utilizes the accrual basis of accounting for its Enterprise Fund, which reports all business-types activities in the Consolidated General Fund, the Restricted Fund Group and the Special Revenue Fund Group. Under the accrual basis of accounting, member dues revenues and fees are recognized in the period earned rather than when collected. Expenses are matched with the related revenues and are recognized in the period that the liability is incurred, regardless of the timing of the related cash flows.

Basis of budgeting refers to method used for recognizing revenues and expenditures in budget. For budgetary purposes, the State Bar utilizes the modified accrual basis of accounting for all program funds, with budgetary control set at the cost center and expenditure category levels within each department budget. The modified accrual basis of accounting is different than the accrual basis of accounting accepted under the GAAP. Depreciation and amortization are not included as budget expenditures since these do not use spendable resources. Debt principal and capital outlay are also expensed under the modified accrual basis which is not in accordance with GAAP.

The State Bar does not utilize encumbrance accounting. Purchase of goods and services are managed under a procurement system utilizing purchase requisition and purchase order. Unfilled purchase orders and outstanding contractual obligations at year-end are not classified as commitments for financial statement presentation. Budget control is set at the cost center and expenditure category levels. Unspent budget appropriations lapse at each fiscal year-end.

DEBT MANAGEMENT AND CAPITAL IMPROVEMENT PROGRAM ("CIP")

The State Bar does not have bond or debt issuing activities. To accommodate its fiscal needs for CIP and other major capital projects, the State Bar raises funding through debt financing in the form of loans. In 2012 the State Bar acquired a real property located at 845 South Figueroa Street in Los Angeles for \$50 million. To finance this purchase, the State Bar sold its parking lot in Los Angeles for \$29 million and also entered into a 15-year loan agreement in the amount of \$25.5 million with Bank of America. Outstanding loan balance as of December 2016 is approximately \$20 million. Annual debt service payments for this loan are \$2.3 million and the costs are charged to individual program funds through indirect cost allocation based on space occupancy.

In 2016, to support a tenant improvement project at its San Francisco facility at 180 Howard Street, the State Bar entered into a 10-year loan agreement in the amount of \$10 million with Bank of America. A Tenant Improvement Fund was set up to track this loan and all related tenant improvement costs. As of December 2016, \$2.6 million has been spent from this loan, including \$2.3 million in tenant improvement expenditures and \$0.3 million in loan interest. The 2017 budget includes \$1.04 million for broker commission and loan interest expenses. The Tenant Improvement loan balance as of December 2016 is approximately \$9.4 million; \$2.5 million in this Fund is classified as restricted cash in the form of pledged debt service. This Fund is a self-funded separate fund and its budget is included in the State

Bar's budget presentation, however, budgeted expenditures are not considered as part of the State Bar's operating budget.

The Bar has a multi-year capital improvement program in place to ensure that its 180 Howard Street headquarters building operates safely and efficiently and complies with updated building codes. The inter-related, multi-stage projects involve the upgrade, replacement or new installation of components of Heating, Ventilation & Air Conditioning (HVAC) systems; Electrical and Plumbing systems; Fire/Life Safety systems; and roof, façade and structural elements. The 2017 budget includes \$1.7 in capital improvement funding.

FISCAL POLICIES AND PROCEDURES & BUDGET DEVELOPMENT PROCESS

FISCAL POLICIES AND PROCEDURES

The State Bar's Budget Policy and Procedures Manual (Appendix D) describes the general guidelines for budgeting and the budget process. This manual documents the policies governing the preparation, formulation, submission, approval and implementation of the State Bar's budget, as well as the policies defining the roles and responsibilities of the Chief Operating Officer, the Office of Finance and other departments that participate in the budget developing process.

The State Bar budget is prepared in accordance with the Business and Professional Code Section 6140.1. The budget expresses, in terms of dollars, the funded programs and plans of the State Bar for the budget year and the estimated income by sources necessary to finance these programs and plans. The budget is the primary instrument of fiscal control and, accordingly, contains all income and expenditures of the State Bar the State Bar's strategic plan provides the framework for the annual budget formulation and process.

According to the Budget Policy, in prior years, the State Bar has presented three year budgets which are updated annually. Due to the significant uncertainty regarding the Bar's budget outlook for 2018 and beyond, as well as the need to revisit the utility of multi-year budgeting overall, the 2017 budget submission reflects a one-year budget only.

The State Bar's Board Book, Budget Policies and Procedures set guidance for budget control and amendment. In addition, the Budget Policy and Procedures Manual also describes internal control procedures governing budget monitoring procedures. The State Bar's expenditures are formally governed at the cost center level through the annual budget adoption by the Board of Trustees. The budget allocates spending authority within the cost centers across operating departments.

The Office of Finance is responsible for monitoring the budget spending on a monthly basis. Quarterly financial report, mid-year forecasting and budget-to-actual variance report are required to be presented to the Board of Trustees for review. Significant variance is defined in the Board Book policy as year-to-date budget-to-actual variance that is greater than \$100,000 over the budgeted line item. When significant variances arise, the Office of Finance is responsible for investigating and identifying unusual items and activities. Corrective actions and reporting to the

Board of Trustees are necessary depending on the extent to which the departmental variances impact overall expenditure authority at the department level.

In 2015, the State Bar adopted a new fund structure and a Reserve Policy. The new fund structure, which utilizes the concept of “fund balance” for Enterprise Funds under GAAP and the Governmental Accounting Standards Board (“GASB”) Statement Nu. 54, establishes a fundamental framework for the Reserve Policy in defining the classification of reserves in each program fund. Under the Reserve Policy, the State Bar is required to maintain a net minimum reserve balance that equates to two months or a level of 17 percent of operating expenses for each respective funds. Whenever reserve levels in the Consolidated General Fund, or any fund within the Restricted or Special Revenue Fund Groups, other than the Sections Fund, surpass 30 percent, for a consecutive six month period, a reserve spend-down plan shall occur in accordance with the principles stated in the Reserve Policy.

In general, and reflecting the expenditures contemplated by the 2017 budget, most of the Bar’s funds are in compliance with the Reserve Policy. The exception is the Legal Specialization Fund. This Fund has been maintaining a reserve level of over 300 percent. To bring this program in compliance with the Reserve Policy, in July 2016, the Board of Trustees approved a \$6 million spend-down plan for this program. The State Bar’s 2017 budget reflects this reserve spend-down plan.

BUDGET DEVELOPMENT PROCESS

The State Bar’s Budget Policies and Procedures Manual documents the budget preparation, formulation, submission and approval processes in details. In general, the State Bar’s budget process begins in September with preliminary revenue and expenditure projections for the upcoming budget years. In October, under the direction of the Chief Operating Officer, the Office of Finance issues budget instructions to departments, which contain detailed guidance on the preparation of the departments’ budget requests. Departments then prepare their budget requests and submit to the Office of Finance for review in November. With the approval of the Chief Operating Officer, the State Bar’s budget is presented and adopted by the Board of Trustees in January of each year. Upon the Board’s adoption of the budget, the Office of Finance is responsible for preparing and submitting a final budget to the legislature by February 15th annually.

The 2017 budget development process timeline was unusual due to the lack of a statutorily authorized fee bill. As a result, the process began in November, 2016, when Department directors were provided with projected 2016 actuals for most budget object codes and asked to identify needs for 2017. With respect to these object codes, Office of Finance review focused on any budget requests that were greater than the lesser of either 2016 budget or 2016 actuals.

A different process was used for personnel costs (including temporary help), professional services, catering, and travel costs. Personnel costs were set centrally by the Chief Operating Officer and Chief Financial Officer based on a careful review of vacant positions, pending staffing reductions resulting from the Reduction in Force program, and the goal of bolstering

OCTC funding to support increased hiring in that Office. Professional services, catering and travel costs were “zero-based”; Departments were required to identify and justify all requested dollars in these areas.

After each Department’s budget was finalized, the cost allocation methodology approved by the Board of Trustees in 2016 was applied. This methodology distributes central administrative costs captured in the State Bar’s Consolidated General Fund (such as Finance, Human Resources, General Services, Information Technology, etc.) across programmatic Departments per specific allocation bases. Per this methodology, the costs of capital improvements to the Bar’s Howard Street building were also allocated. A total indirect cost pool of \$31.04 million is reflected in the 2017 budget.

A preliminary 2017 budget was reviewed in January by the Supreme Court appointed Special Master monitoring the administration of the Court authorized fee assessment and the Bar’s discipline system. Shortly thereafter, the Board’s Executive Committee reviewed and approved the budget, followed by the Board itself on January 26, 2017.

The State Bar defines a balanced budget as one in which combined projected resources (revenues and net reserve balances) equal or exceed combined estimated expenditures. The State Bar’s 2017 budget draws upon reserves to balance, however, given the one-time nature of many of the expenses, as well as cost mitigation and revenue enhancement factors, the proposed 2017 approach is fiscally prudent.

A LOOK AHEAD: 2018 HORIZON

In 2018 the Bar will undergo a significant transformation as the State Bar Sections transition to a new, standalone, independent entity. The Bar is committed to supporting this transition, which will impact not only the Sections but also the Bar’s finances and staff. The estimated direct cost to the Bar of the Sections’ transition is estimated to total \$1.5 million (in lost cost allocation offsets). In addition, there may be a significant number of staff who will have to be absorbed into other parts of the organization.

In addition to the Sections, other functional areas of the Bar may undergo transition in 2018; the 2017 Governance in the Public Interest Taskforce is currently reviewing the question of what other programs may be most appropriately administered by an independent entity/ies with related recommendations expected in May 2017.

While there are other long-range factors that will necessarily impact the Bar’s outlook, including the passage and contents of a 2018 fee bill, the fundamental organizational restructure contemplated by a divestiture of all associational elements is perhaps most important.

APPENDIX A

2017 BUDGET

THE STATE BAR OF CALIFORNIA



2017 Proposed Final Budget

February 15, 2017

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Admissions

The Office of Admissions is responsible for all activities pertaining to the admission of attorneys to the practice of law in the State of California. Its principal activities include developing, administering and grading the Bar Examination and the First-Year Law Students' Examination, as well as conducting moral character investigations. The Office also carries out the Committee of Bar Examiners' responsibility to accredit and register law schools. Finally, Admissions administers programs to allow non-members to practice in certain defined, limited areas, as well as programs to certify specialists in areas of legal practice.

For 2017, budgeted expenses for the Legal Specialization Fund significantly exceed budgeted revenue. These expenditures relate to a required spend-down of the Legal Specialization Fund's reserves necessary for that Fund to be in compliance with the State Bar's policy on reserve balances. The Admissions Fund includes a \$1 million transfer from Legal Specialization to the Admissions Fund to support the Information Management System (AIMS) upgrade; this transfer was made as part of the planned Legal Specialization Fund reserve spend-down.

	<u>Revenue</u>
FUNDING SOURCE	2017*
Admissions Fund	21,956
Legal Specialization Fund	430
TOTAL REVENUE (All Funds)	22,386

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Admissions Administration	9.0	1,785
Examination Development	2.0	906
Admissions Operations and Processing	26.0	8,713
Examination Grading	7.0	2,555
Moral Character Determinations	13.0	1,656
Law School Regulation	2.0	354
Special Admissions	2.0	186
Specialization	8.0	4,609
Admissions Overhead		4,988
Legal Specialization Overhead		1,764
TOTAL (All Programs)	69.0	27,516

PROGRAM DESCRIPTIONS

Admissions Administration

Staff in this area provides general oversight and management of the Office of Admissions, which carries out the functions delegated to the Committee of Bar Examiners by statute. The responsibilities of this area include: developing and implementing policies and procedures; supporting the activities of the Committee of Bar Examiners, Board of Trustees and its Committee on Admissions and Education; compiling and monitoring the departmental budget; interacting with law schools and communicating with applicants and the public; and monitoring and implementing IT projects for the office.

Examination Development

Staff in this area is responsible for the acquisition, development, editing and production of examination questions. This area also processes petitions and determines reasonable testing accommodations for applicants with disabilities, and coordinates the production of Admission certificates for new admits.

Admissions Operations

Staff in this area is responsible for the receipt and processing of applications for registration, the First-Year Law Students' Examination, the California Bar Examination, moral character determinations, moral character determination extension, multi-jurisdictional practice program, Foreign Legal Consultant program, determining the eligibility of applicants to take the examinations, and administering examinations on behalf of Committee of Bar Examiners. In addition, this area is responsible for the reception and telephone services provided by the Los Angeles office.

Examination Grading

Staff in this area is responsible for ensuring that examinations administered by the Committee of Bar Examiners are graded using the standards and protocols adopted by the Committee, and that the results provided to applicants are error free and on time.

Moral Character Determinations

Staff in this area is responsible for completing the moral character investigations of applicants seeking admission to practice law in California and scheduling and coordinating informal conferences for applicants with the Committee of Bar Examiners' Subcommittee on Moral Character.

Law School Regulation

Staff in this area is responsible for the registration of unaccredited law schools and the accreditation of law schools in California. The workload of the staff includes monitoring applications received, reviewing annual reports, completing law school visitations and reporting findings and recommendations to the Committee of Bar Examiners.

Special Admissions

Staff in this area process applications for the Pro Hac Vice and Out-of-State Attorney Arbitration Counsel, which allow attorneys from other jurisdictions to practice law in California in limited ways. Staff also process applications from law students who wish to enhance their legal training by participating in the Practical Training of Law Students Program.

Specialization

Staff in this area support the work of the Legal Specialization department, which is responsible for administering the requirements for certification in 11 different areas of law. In addition, staff coordinate the administration of the legal specialization examinations that are administered every other year.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	69.0	7,630
Severance Expenses		168
Supplemental Staffing		375
Travel & Training		606
Supplies and Postage		398
Professional Services		2,985
Exam & Software Licensing		1,627
Exam Room Rental		1,771
Exam Proctors		1,501
Exam Graders		825
Occupancy		175
Telecommunications		97
Other Outside Services		2,199
Computers & Software		535
Buildings & Equipment		24
Retiree Medical Funding		125
Other Expenditures		17
Indirect Costs		5,458
Interfund Transfers		1,000
TOTAL	69.0	27,516

Chief Trial Counsel

The Office of Chief Trial Counsel (OCTC) is the prosecutorial arm of the State Bar, responsible for investigating and prosecuting attorneys for violations of the Rules of Professional Conduct and State Bar Act. In addition to its core attorney regulatory function, OCTC is responsible for regulatory proceedings before the State Bar Court, such as representing the Committee of Bar Examiners in moral character appeals to the State Bar Court and representing the Board of Legal Specialization in specialization certification appeals to the State Bar Court. OCTC is also responsible for ancillary proceedings such as superior court proceedings involving the assumption of a law practice and conducting certain investigations of non-attorneys who may be engaging in the unauthorized practice of law.

OCTC is staffed with executive, attorney and non-attorney staff. Non-attorney staff includes investigators, paralegals, complaint analysts, administrative assistants, secretaries, record coordinators and clerks. The Office will undergo a significant restructure in 2017, with the vast majority of staff transitioning to interdisciplinary teams. These teams will be responsible for Intake and Enforcement functions.

Intake processes include receiving and initiating new cases involving attorney violations of ethical rules and complaints against non-attorneys alleging the unauthorized practice of law. Staff conducts the initial review of complaints and determines whether the matters should be forwarded to Enforcement for further action.

Enforcement handles the investigation and prosecution of matters before the State Bar Court and superior court proceedings involving the assumption of a law practice.

The 2017 OCTC budget reflects a significant budget augmentation from 2016. This funding increase reflects a \$1.67 million augmentation resulting from the Supreme Court's 2017 attorney licensing fee assessment, as well as additional resource redirection to the Office.

	<u>Revenue</u>
FUNDING SOURCE	2017*
General Fund	61
TOTAL REVENUE (All Funds)	61

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Chief Trial Counsel	247.1	33,481
Rule 2201 Conflict Cases	0.3	157
Indirect Cost		12,203
TOTAL (All Programs)	247.4	45,841

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	247.4	33,175
Severance Expenses		95
Supplemental Staffing		300
Travel & Training		142
Supplies and Postage		331
Professional Services		195
Telecommunications		150
Other Outside Services		241
Other Expenditures		9
Indirect Costs		12,203
Reimbursements		-1,000
TOTAL	247.4	45,841

Probation

The Office of Probation (OP) monitors disciplined attorneys who have been ordered to comply with probation or reprobation conditions pursuant to orders issued by the California Supreme Court and/or the State Bar Court. Once these orders or agreements become effective, the OP establishes its own case files to maintain a record of compliance or non-compliance for each attorney.

OP monitoring requires staff to contact the attorney being monitored and third parties such as former clients, service providers, and other departments of the State Bar. OP staff provides timely information to the attorney, Office of Chief Trial Counsel, and State Bar Court regarding non-compliance and are available to testify under oath in Court.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Probation	7.0	751
Indirect Cost		376
TOTAL (All Programs)	7.0	1,127

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	7.0	732
Travel & Training		1
Supplies and Postage		10
Telecommunications		6
Buildings & Equipment		2
Indirect Costs		376
TOTAL	7.0	1,127

Client Security Fund

The main purpose of the Client Security Fund (CSF) is to reimburse victims of attorney theft by processing, investigating, reviewing and administering the legal decisions made on applications for reimbursement. There are four main areas that encompass the work of CSF: (a) legal case processing; (b) support for the CSF Commission, the Board of Trustees and other State Bar departments; (c) financial management; and (d) basic internal administrative functions. The CSF is self-supporting, with funding derived from a statutorily mandated \$40 fee paid as part of the annual attorney licensing process.

	<u>Revenue</u>
FUNDING SOURCE	2017*
Client Security Fund	9,630
TOTAL REVENUE (All Funds)	9,630

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Client Security Fund	8.0	6,620
Indirect Cost		678
TOTAL (All Programs)	8.0	7,298

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	8.0	1,250
Severance Expenses		94
Travel & Training		13
Supplies and Postage		18
Telecommunications		10
Other Outside Services		17
CSF Payments		6,000
Computers & Software		1
Retiree Medical Funding		21
Other Expenditures		-149
Indirect Costs		563
Reimbursements		-540
TOTAL	8.0	7,298

Mandatory Fee Arbitration

The Mandatory Fee Arbitration program provides arbitration in cases of attorney-client disputes over legal fees pursuant to Business and Professions Code 6200 et seq. The program also assists clients in enforcing those awards where an attorney has been ordered to return unearned fees to the client, but fails to do so.

	Revenue
FUNDING SOURCE	2017*
General Fund	44
TOTAL REVENUE (All Funds)	44

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Mandatory Fee Arbitration	4.5	625
Indirect Cost		210
TOTAL (All Programs)	4.5	835

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	4.5	523
Travel & Training		29
Supplies and Postage		10
Professional Services		1
Telecommunications		4
Other Outside Services		57
Other Expenditures		1
Indirect Costs		210
TOTAL	4.5	835

State Bar Court

The California State Bar is the only state bar in the United States with independent professional judges dedicated to ruling on attorney disciplinary and regulatory cases. The independent State Bar Court adjudicates matters filed by OCTC, and has the power to recommend that the California Supreme Court suspend or disbar those attorneys found to have committed acts of professional misconduct or convicted of serious crimes. For lesser offenses, public or private reprimands may be issued. In regulatory matters, the State Bar Court adjudicates attorney reinstatements and matters where applicants for admission are challenging an adverse moral character determination.

	<u>Revenue</u>
FUNDING SOURCE	2017*
General Fund	26
TOTAL REVENUE (All Funds)	26

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Administration	3.9	614
Hearing Department & Effectuations Unit	30.0	5,036
Review Department	9.0	1,907
Indirect Cost		4,352
TOTAL (All Programs)	42.9	11,909

PROGRAM DESCRIPTIONS

Administration

Administration encompasses the day-to-day administration of the State Bar Court, as well as the State Bar Court Reporter.

Hearing Department

The Hearing Department of the State Bar Court hears disciplinary cases brought by the Office of the Chief Trial Counsel, regulatory matters brought by petitioners, motions for modification and revocation of attorney probation and other matters.

Review Department

The Review Department of the State Bar Court decides cases on appeal, exercises suspension and other powers delegated pursuant to Rule 9.10, California Rules of Court, and conducts interlocutory review on issues materially affecting the outcome of Hearing Department cases.

Effectuations Unit

The Effectuations Unit of the State Bar Court transmits cases to the California Supreme Court and processes all other cases not requiring Supreme Court action.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	42.9	7,208
Travel & Training		116
Supplies and Postage		108
Occupancy		22
Telecommunications		64
Other Outside Services		33
Buildings & Equipment		5
Other Expenditures		1
Indirect Costs		4,352
TOTAL	42.9	11,909

Member Records & Compliance

The State Bar of California's Office of Member Records and Compliance maintains, on behalf of the Supreme Court, the official "Roll of Attorneys," i.e., the list of all attorneys who are licensed to practice law in the State of California. Upon admission to the practice of law in California, an attorney becomes a "member" of the State Bar. That official "membership" or licensing record is public information.

The Office also manages the registration of law corporations and of LLPs providing legal services, and is responsible for ensuring the compliance of all bar members with the requirements for mandatory continuing legal education (MCLE). In 2017, Member Records and Compliance has also assumed responsibility for MCLE Provider Certification.

Member Records and Compliance staff is responsible for answering all calls and emails to the Member Services Center, and is dedicated to efficiently providing reliable information to State Bar members and the broader public.

	Revenue
FUNDING SOURCE	2017*
General Fund	1,102
TOTAL REVENUE (All Funds)	1,102

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Member Service Center	26.0	3,184
Indirect Cost		1,358
TOTAL (All Programs)	26.0	4,542

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	26.0	2,596
Supplemental Staffing		165
Travel & Training		4
Supplies and Postage		177
Professional Services		88
Telecommunications		22
Other Outside Services		121
Other Expenditures		11
Indirect Costs		1,358
TOTAL	26.0	4,542

Professional Competence

The Office of Professional Competence administers the State Bar's attorney professional responsibility programs and resources, including revisions to the Rules of Professional Conduct of the State Bar of California, Rule 1-100(E). These activities assist practicing attorneys in complying with their professional duties.

	<u>Revenue</u>
FUNDING SOURCE	2017*
General Fund	21
TOTAL REVENUE (All Funds)	21

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
COPRAC & RRC		127
Outreach & Education	13.0	1,634
Publications		24
Indirect Cost		782
TOTAL (All Programs)	13.0	2,567

PROGRAM DESCRIPTIONS

Ethics Hotline

The Ethics Hotline is a confidential legal research service that helps lawyers identify and analyze professional responsibility issues. Although legal advice is not provided, lawyers receive research assistance that helps them make informed decisions on issues such as: conflicts of interest; fee arrangements; advertising; and ex parte communications. Among the types of information provided are references to: Rules of Professional Conduct; State Bar Act sections; Rules of Court; Bar committee advisory ethics opinions; and case law citations, including published opinions of the State Bar Court.

Board of Trustees, Ethics Opinion Committee (COPRAC), and Rules Revision Commission (RRC) Support

As needed, Professional Competence staff provides a full range of staffing support to the Board of Trustees for issues related to attorney professional responsibility. On an ongoing basis, staffing support is provided to the Standing Committee on Professional Responsibility and Conduct (COPRAC), the State Bar Rules Revision Commission (RRC), and other special task forces and committees as directed. These support services include developing meetings agendas, attending meetings, distributing assignments, making logistical arrangements for meetings, completing legal research and writing, maintaining records of all official materials, assisting in the appointment process for members, implementing approved work product (such as distributing ethics opinions and submitting proposed amended Rules of Professional Conduct to the Supreme Court for approval, etc.), serving as liaison between groups and others, both internal and external to the State Bar, tracking staff and volunteer meeting expenditures, facilitating policy input and legal advice, and preparing annual committee accomplishment reports.

Outreach & Education

Professional Competence staff participates in and coordinates outreach and educational activities that enhance attorney awareness of issues in professional conduct. This education and outreach also disseminates information on State Bar resources that facilitate compliance with the Rules of Professional Conduct and the State Bar Act. This helps to protect the public from violations, such as inadvertent violations of the Board of Trustees' client trust account recordkeeping standards. Professional Competence's outreach and educational activities include: preparing and presenting the State Bar's Annual Ethics Symposium; preparing and making presentations to local and specialty bar associations, related legal professional associations, and law schools; and making presentations and providing information to other State Bar departments. To complete delivery of these educational and outreach services, Professional Competence staff identify speakers, compile written materials, complete legal research, prepare and update slide presentations, attend programs, arrange for program publicity, produce materials, and solicit and review feedback about the quality of educational programs and presentations.

Publications

Professional Competence staff produce, update and distribute publications related to attorney professional responsibility including: The California Compendium on Professional Responsibility; The Handbook on Client Trust Accounting for California Attorneys; and Publication 250 - The California Rules of Professional Conduct, The State Bar Act, and Related Statutes. The latter book also is offered as an e-Book for any device compatible with the Amazon.com Kindle reader application. Staff's publication work includes extensive online professional responsibility resources on topics such as: ethics and technology; judicial ethics; civility and professionalism; and senior lawyer resources. These online resources are continually updated by Professional Competence staff.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	13.0	1,596
Travel & Training		65
Supplies and Postage		28
Professional Services		50
Occupancy		3
Telecommunications		21
Other Outside Services		19
Buildings & Equipment		1
Other Expenditures		2
Indirect Costs		782
TOTAL	13.0	2,567

Education

The Office of Education provides opportunities for continuing legal education and professional development. It encompasses the Sections of the State Bar as well as the California Young Lawyers Association (CYLA) and the California Solo & Small Firm Summit.

Although discussions regarding separation of the Sections are underway, the Budget reflects status quo operations of the Office of Education through 2017.

	Revenue
FUNDING SOURCE	2017*
Sections Funds	9,006
TOTAL REVENUE (All Funds)	9,006

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Sections	18.0	7,358
CYLA		25
Indirect Cost		1,657
TOTAL (All Programs)	18.0	9,040

PROGRAM DESCRIPTIONS

Sections

The Sections are voluntary organizations of attorneys and associates who share an area of interest. The Sections help their members maintain expertise in their various fields of law, expand their professional contacts, and serve the profession, the public and the legal system. The State Bar of California has 16 Sections. Each Section is governed by an executive committee of members appointed by the State Bar Board of Trustees.

California Solo & Small Firm Summit

The Summit content is geared to California attorneys who are in a solo or small firm practice and offers a wide variety of education and networking opportunities for solo practitioners.

CYLA

CYLA is the nation's largest association of young lawyers. A California young lawyer is defined as a member in good standing of the State Bar of California who is in his or her first five (5) years of practice in California or whose age is 36 or under.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	18.0	2,125
Severance Expenses		290
Supplemental Staffing		89
Travel & Training		2,583
Supplies and Postage		403
Professional Services		411
Occupancy		10
Telecommunications		75
Other Outside Services		1,127
Buildings & Equipment		4
Retiree Medical Funding		42
Other Expenditures		224
Indirect Costs		1,657
TOTAL	18.0	9,040

Legal Services

The Office of Legal Services (OLS) operates several programs intended to ensure that all Californians have appropriate access to the legal system, regardless of income. The programs administered by the Office are supported by a mix of General Fund and grant funding sources. In 2017, the Office of Legal Services will assume responsibility for the Bar's Elimination of Bias Program, which works to diversify the legal profession and to eliminate bias in the practice of law.

	Revenue	
FUNDING SOURCE	2017*	
Equal Access Fund	19,653	
General Fund	60	
Grants Fund	6	
Justice Gap Fund	602	
Legal Services Trust Fund	14,583	
TOTAL REVENUE (All Funds)	34,904	

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Access To Justice		17
Program Development	8.5	1,134
Legal Services Funding	11.5	39,097
Elimination of Bias	1.0	253
Indirect Cost		3,814
TOTAL (All Programs)	21.0	44,315

PROGRAM DESCRIPTIONS

Access To Justice

OLS works to expand, support, and improve the delivery of legal services to low and moderate income Californians. This work includes the development of policy initiatives and other programs in collaboration with institutions working to expand access to justice for low income Californians (e.g. the Judicial Council; legal services programs; local, state and national organizations such as the American Bar Association and National Legal Aid and Defender Association). The work includes the promotion of language access, rural access to justice, and innovative programs to increase access to justice. Services are provided through the Office of Legal Services and the California Commission on Access to Justice.

Program Development

OLS develops and administers a range of programs that support and promote the direct delivery of legal services to low and middle income Californians. These efforts include encouraging increased pro bono participation; designing and facilitating free high-quality substantive and skill-based training for legal services lawyers, pro bono counsel, and other advocates on a variety of topics; administering the Lawyer Referral Service (LRS) certification program and bilingual hotline; and providing staff support to volunteer entities dedicated to access to justice, including the California Commission on Access to Justice, and Board of Trustee initiatives focused on access to justice issues.

OLS also coordinates a statewide Disaster Legal Services Response network and hosts the Pathways to Justice conference, a comprehensive, statewide legal services conference held every three years. Services are provided through OLS' Center on Access to Justice.

Legal Services Funding

This Service Area focuses on the administration of grants generated through Interest on Lawyer Trust Accounts (IOLTA), the state Equal Access Fund, the Justice Gap Fund, and other revenue sources to fund the provision of free legal services to low income Californians. Services are provided through the Legal Services Trust Fund Program and the Legal Services Trust Fund Commission.

Elimination of Bias

Elimination of Bias focuses on local and statewide programs and initiatives to diversify the legal profession and to eliminate bias in the practice of law. The activity in this area is funded solely through voluntary contributions to the State Bar, and is largely conducted by the Council on Access & Fairness (COAF). Staff also compiles and disseminates demographic information and other resource materials to inform and facilitate diversity efforts by the State Bar and other organizations. COAF is a State Bar appointed entity that serves as the Bar's diversity think tank to advise the Board of Trustees on strategies to enhance diversity opportunities and advancement in the legal profession along the full diversity pipeline (e.g. from pre-K to high school, community colleges to law school and the bar exam, to the legal profession and the judiciary).

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	21.0	2,647
Severance Expenses		168
Travel & Training		101
Supplies and Postage		29
Professional Services		236
Occupancy		2
Telecommunications		25
Other Outside Services		7
Legal Services Grants		37,386
Computers & Software		66
Buildings & Equipment		1
Retiree Medical Funding		63
Other Expenditures		1
Indirect Costs		1,450
Interfund Transfers		2,133
TOTAL	21.0	44,315

Lawyer Assistance Program

The Lawyer Assistance Program provides substance abuse and mental health support services to members of the bar. For 2017, \$1.6 million of the revenue is made up of a transfer from the Unconsolidated General Fund, to replenish the 2016 transfer to the Client Security Fund which was reversed pursuant to a directive of the State Bar Board of Trustees.

	<u>Revenue</u>
FUNDING SOURCE	2017*
Lawyer Assistance Program Fund	2,085
TOTAL REVENUE (All Funds)	2,085

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Lawyer Assistance Program	7.0	1,110
Indirect Cost		540
TOTAL (All Programs)	7.0	1,650

PROGRAM DESCRIPTIONS

Orientation and Assessment

All members of the bar are eligible to receive a free professional mental health assessment by a LAP case manager without making a longer-term commitment to participate in the program. Members are also entitled to attend up to three free sessions of LAP group with obligation to continue further.

Monitored LAP

Monitored LAP is for attorneys who want to satisfy a specific monitoring or verification requirement imposed by an employer, the Office of the Chief Trial Counsel, State Bar Court, Committee of Bar Examiners, or another entity. It is also available to attorneys seeking help independently. The program offers long-term structure and the support of a professional case manager. Attendance at LAP group meetings and lab testing are typically required as conditions of participating in Monitored LAP. There is a fee for group participation.

Support LAP

Support LAP is for attorneys who are interested in participating in a weekly group meeting with other lawyers and would like the support of a qualified mental health professional. There is a fee for group participation.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	7.0	829
Severance Expenses		91
Travel & Training		74
Supplies and Postage		6
Professional Services		178
Telecommunications		16
Other Outside Services		6
Other Expenditures		1
Indirect Costs		449
TOTAL	7.0	1,650

Executive Director

The Office of the Executive Director is responsible for the overall direction and administration of the day-to-day operations of the State Bar, as well as for legislative activities on behalf of the Bar. In addition, the OED is responsible for supporting the Board of Trustees and its task forces and working groups and the Judicial Nominees Evaluation (JNE) Commission. In 2017, the OED will assume responsibility for oversight of the Bar's Affinity and Insurance Programs, which generate revenue housed in the Legal Education and Development Fund.

	<u>Revenue</u>
FUNDING SOURCE	2017*
General Fund	15
Legislative Activities Fund	102
Legal Education and Development Fund	2,154
TOTAL REVENUE (All Funds)	2,271

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Management, Oversight and Planning	14.8	3,260
Board Support - Secretariat	1.0	370
Judicial Evaluations	3.0	463
Governmental Affairs	1.2	330
Affinity & Insurance	1.2	242
Indirect Cost		439
TOTAL (All Programs)	21.2	5,104

PROGRAM DESCRIPTIONS

Management, Oversight and Planning

OED, through the Chief Operating Officer's Office (COO) provides support and direction to all management within the State Bar regarding personnel administration, budget, facilities, and all other management related matters. In its management leadership role, OED staff leads the Senior Management Team in establishing and effectuating operational/programmatic oversight. OED establishes Bar-wide operating policies and procedures, communicates and reinforces those policies and procedures to all staff. OED leads the State Bar's efforts to ensure accountability for the use of resources and compliance with all mandated functions and/or requirements. OED takes the lead in working with the union to reach agreeable memoranda of understanding between the union and management. OED in collaboration with the Senior Management Team serves as the focus for problem-solving analysis and resolution Bar-wide. OED also manages the Bar's Professional Liability Insurance, Group Insurance and Affinity Programs. These Programs earn non-dues revenue for the Bar in excess of \$2,000,000 annually which are used to support the Bar's public protection functions.

Board Support

OED provides staff support to the Board of Trustees to support its effective and efficient operation. In fulfilling the Secretariat responsibilities, OED staff sets the schedule of Board meetings, oversees production of Board agendas, travels to and attends all Board meetings, oversees production of minutes and action summaries, maintains the Board Book and all official permanent records of the State Bar, and timely processes Board member expense reports. OED staff provides expert assistance to Board members and ensures that appropriate State Bar staff timely responds to all Board member inquiries.

In addition to providing support for regular Board meetings and business, OED staff coordinates all Board appointments to commissions, committees, and special task forces, administers annual Board elections, and prepares and conducts orientations for Board candidates, Board members & Committee Chairs. OED staff ensures effective relationships are developed between Board members and State Bar staff and clearly inform board and staff about and enforce policies related to lines of authority. OED staff is responsible for ensuring that all Board directives are carried out.

Judicial Evaluations

The Commission on Judicial Nominees Evaluation, established pursuant to Government Code Section 12011.5, is the State Bar agency which evaluates all candidates who are under consideration for a judicial appointment by the Governor. The mission of the Commission is to assist the Governor in the judicial selection process and thereby to promote a California judiciary of quality and integrity by providing independent, comprehensive, accurate, and fair evaluations of candidates for judicial appointment and nomination.

Office of Research and Institutional Accountability (ORIA)

The Office of Research and Institutional Accountability (ORIA) reports to the Chief Operating Officer and is responsible for leading strategic initiatives to improve the overall efficiency and effectiveness of Bar operations. ORIA staff are conduct studies of Bar operations; develop and implement business process improvement plans; research and write legislatively mandated studies, and; manage projects with agency-wide implications such as the implementation of Workforce Planning recommendations submitted to the Legislature in May, 2015, and the implementation of a new Case Management System for the Office of Chief Trial Counsel (OCTC) and the State Bar Court. In 2017, ORIA will work to centralize and enhance the Bar's collection activities, which is projected to result in increased compliance with court orders and revenue to support the State Bar's discipline functions.

ORIA staff are also responsible for managing key components of State Bar data, in particular, weekly management reports for OCTC, monthly reports to the Regulation and Discipline Committee and the annual Attorney Discipline Report. In addition to serving as the lead staff to the Regulation and Discipline Committee, ORIA staffs the subcommittees of Admissions and Education Committee, the

Stakeholders, Access to Justice and Appointment subcommittees of the Board of Trustees.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	21.2	3,395
Supplemental Staffing		95
Travel & Training		431
Supplies and Postage		323
Professional Services		317
Occupancy		1
Telecommunications		19
Other Outside Services		83
Other Expenditures		1
Indirect Costs		439
TOTAL	21.2	5,104

Finance

The Finance Department is responsible for financial reporting and analysis, budget development and oversight, accounts payable, accounts receivable, general ledger; and member billing for the State Bar.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Finance	12.0	2,516
Member Billing	3.0	1,386
TOTAL (All Programs)	15.0	3,902

PROGRAM DESCRIPTIONS

Financial Reporting, Budgeting, and Analysis

This service area is responsible for the Bar's budgeting, financial planning, financial analysis and accounting, making accurate and timely payments to the State Bar's employees (payroll) and outside vendors (accounts payable), and for implementing related procedures and internal controls. It also works closely with the Bar's outside auditors and the California Bureau of State Audits to ensure the implementation of sound financial controls and public accountability.

Member Billing

Member billing is responsible for ensuring attorneys' annual fees and other payments are deposited with financial institutions. The primary task for Member billing staff is the treasury function of depositing and posting annual membership fees, discipline costs, and CSF payments in the billing system. In addition, staff responds to members' billing inquiries, assists in the annual suspension process, and assists in the status change process. In 2017, paper fee statements were replaced with an online portal as the primary mechanism for firms and individual members to make their payments.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	15.0	1,870
Supplemental Staffing		146
Travel & Training		4
Supplies and Postage		78
Professional Services		550
Telecommunications		21
Other Outside Services		830
Buildings & Equipment		2
Other Expenditures		1
Interfund Transfers		400
TOTAL	15.0	3,902

General Counsel

The Office of the General Counsel (OGC) functions as the State Bar's lawyer, and is responsible for providing legal advice and counsel to the Board of Trustees, its working groups, taskforces, and committees, and all departments and programs of the State Bar.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
General Counsel	24.8	4,405
TOTAL (All Programs)	24.8	4,405

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	24.8	4,030
Travel & Training		45
Supplies and Postage		37
Professional Services		150
Telecommunications		25
Other Outside Services		112
Buildings & Equipment		6
TOTAL	24.8	4,405

Human Resources

The Human Resources Department is responsible for recruitment, classification, compensation, and performance management, labor relations, and benefits administration.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Human Resources	11.0	1,778
TOTAL (All Programs)	11.0	1,778

PROGRAM DESCRIPTIONS

Compensation Administration

The Human Resources Department plays the leading role in developing, benchmarking and administering the Bar's employee compensation structure, including its salary schedules, benefit offerings and retirement alternatives. This service area also includes day-to-day operations of the Bar's payroll and benefit programs.

Recruitment and Retention

This service area encompasses recruiting new staff, institutional training, and administering the Bar's system of performance reviews for current employees.

Employee Relations

Employee relations encompasses activities ranging from health and wellness promotion to collective bargaining. It includes workplace safety efforts, labor negotiations and management of the employee grievance process.

Records and Information Systems

This service area is responsible for maintaining required employment records, processing security clearances, and operating the Bar's Human Resources Information System (HRIS).

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	11.0	1,447
Travel & Training		151
Supplies and Postage		17
Professional Services		100
Telecommunications		19
Other Outside Services		10
Buildings & Equipment		34
TOTAL	11.0	1,778

Information Technology

The Information Technology (IT) Department is responsible for the Bar's IT infrastructure (including PC's, networks, servers, and mini-computers), for custom software development, for maintenance and administration of the Bar's existing software, and for the Bar's public-facing internet presence.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
IT Admin and Operations	26.0	6,448
TOTAL (All Programs)	26.0	6,448

PROGRAM DESCRIPTIONS

IT Admin

Responsible for the management and oversight of the IT Department. This includes planning and organizing activities of the department, and to promote and facilitate the effective use of technology in order to improve cost effectiveness and service quality that supports the Bar's Strategic Plan and mission.

IT Applications

Responsible for providing leadership, direction and guidance for the implementation, maintenance, enhancement, improvement, and security and integrity of the State Bar's enterprise information systems.

IT Operations

Responsible for providing leadership, direction and guidance for the implementation, maintenance, support, enhancement, improvement, and security and integrity of the State Bar's enterprise infrastructure systems.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	26.0	4,093
Supplemental Staffing		150
Travel & Training		55
Supplies and Postage		17
Occupancy		120
Telecommunications		65
Computers & Software		1,898
Buildings & Equipment		50
TOTAL	26.0	6,448

Strategic Communications and Stakeholder Engagement

The State Bar's Office of Communications and Stakeholder Engagement (OCSE) is responsible for ensuring that the general public and the legal community are informed about the agency's public protection role and know how to access the Bar's services and resources. The office is tasked with conveying critical information to Californians about how to protect themselves from attorney misconduct and what to do if that happens, including by filing complaints against attorneys or seeking compensation for harm through the Client Security Fund. In addition, the Office is responsible for maintaining a connection with voluntary bars throughout the state. Activity related to this latter function is funded solely through voluntary contributions to the State Bar.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Communications	4.7	842
Bar Relations	1.5	57
Indirect Cost		307
TOTAL (All Programs)	6.2	1,206

PROGRAM DESCRIPTIONS

Media Relations

Communications is the State Bar's principal day-to-day liaison with the news media. Media Relations staff are responsible for fielding inbound inquiries from the press and electronic media and for actively communicating the Bar's message via press releases and other means. Media Relations also provides support and training for other Bar staff who may have contact with the press.

Public Education

Staff develop and update consumer education pamphlets, brochures and guides. These public education materials are initially researched and written by staff whose work is then reviewed by attorneys for completeness and accuracy. Staff designs, lays out, edits, and oversees the translation of the final materials in multiple languages. Staff coordinates printing and contracts for storage and fulfillment. In addition, staff also organizes and attends public education forums throughout the state and helps to market those forums to encourage attorney participation and public attendance.

Social Media

Staff maintains the Bar's official social media accounts and assist the Bar in developing best practices and policies for its use.

Website

The website is the State Bar's primary communications channel with attorneys and the public. In overseeing the content, staff works to ensure the information is accessible and assists the public in finding the information they are looking for.

Bar Relations

Bar Relations focuses on supporting the work of the 280 local, minority, specialty and women's voluntary bar associations in California. In addition to working with California bar associations, the Bar Relations team serves as liaison to external organizations including the American Bar Association, National Association of Bar Executives, National Conference of Bar Presidents, Executives of California Legal Associations as well as individual state and local bar associations throughout the country. Bar Relations conducts annual leadership training for bar leaders and executive directors. Bar Relations maintains a clearinghouse of program and governance information which is drawn upon to assist organizations within the state. Activity in conjunction with voluntary bar associations is funded solely through voluntary contributions to the State Bar.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	6.2	795
Travel & Training		3
Supplies and Postage		8
Professional Services		58
Telecommunications		3
Other Outside Services		32
Indirect Costs		307
TOTAL	6.2	1,206

General Services

The Office of General Services provides a comprehensive range of administrative and facilities services that support the work of all State Bar departments.

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
General Services	22.0	7,646
TOTAL (All Programs)	22.0	7,646

PROGRAM DESCRIPTIONS

The Office of General Services provides a comprehensive range of administrative and facilities services that support the work of all State Bar departments. General Services is divided into the following three service areas:

Administrative Services

As the organization's administrative support arm, the Office of General Services manages mail and courier services; reception and public inquiry; document imaging and printing; fax and copier support; meeting and conference support; and travel services.

Facilities Management

The Office of General Services manages over 350,000 square feet of office space for Bar staff and tenants. It maintains the Bar's facilities and safeguards its physical assets by managing engineering and janitorial services; landlord/tenant relations; space planning and use; construction; safety and security programs; parking; and recycling programs.

Procurement

The Office of General Services facilitates the State Bar's purchasing and contracting process, including compliance with mandated competitive bidding requirements and contract control procedures. It manages the purchase order process, contract administration and credit card program, and audits spending and travel for policy compliance.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	22.0	2,288
Supplemental Staffing		2
Travel & Training		23
Supplies and Postage		26
Professional Services		349
Occupancy		4,552
Telecommunications		53
Other Outside Services		319
Buildings & Equipment		64
Other Expenditures		-30
TOTAL	22.0	7,646

Technology Projects

This category includes telecommunications and IT infrastructure upgrades as well as upgrades to and replacement of software applications. For 2017, the Technology Project Budget will primarily be used for the discipline system CMS Project. 2017 revenue reflects a \$400,000 transfer from the Consolidated General Fund to the Technology Fund pursuant to Board of Trustee direction; the transfer derives from savings associated with a transition to electronic billing for the electronic license fee. This funding will be used to support the discipline system CMS Project.

	<u>Revenue</u>
FUNDING SOURCE	2017*
Technology Fund	400
TOTAL REVENUE (All Funds)	400

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Technology Projects	10.0	4,334
Indirect Cost		784
TOTAL (All Programs)	10.0	5,118

PROGRAM DESCRIPTIONS

The 2017 Technology Fund budget will be used to support the following projects:

Discipline Case Management System (CMS) for the Office of the Chief Trial Counsel, State Bar Court, and Probation

The CMS project will improve the level of automation, functionality, and end-to-end integration between OCTC, SBC, and Probation. The CMS integrated solution also reduces operational costs and complexity by reducing the number of disparate applications (e.g. a different DMS system) and tools needed for the lifecycle processes of the discipline system. Budgeted costs include one-time procurement costs as well as personnel costs associated with dedicated Subject Matter Experts and project management staffing.

SF Courtroom AV

Web and video conferencing capability will be added to the SF courtrooms.

SF Boardroom AV

This project is to replace end-of-life and failing AV equipment in the SF 4th floor conference rooms.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Regular Salary & Benefits	10.0	1,634
Computers & Software		2,700
Indirect Costs		784
TOTAL	10.0	5,118

Facilities Projects

This category includes capital improvement projects at State Bar buildings. Capital improvement projects are undertaken, when necessary, to preserve these major physical assets and ensure that the buildings function efficiently and safely. Capital improvement projects are managed by the Office of General Services.

	<u>Revenue</u>
FUNDING SOURCE	2017*
Building Fund	1,365
TOTAL REVENUE (All Funds)	1,365

	<u>Positions</u>	<u>Expenditures</u>
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
Facilities Projects - San Francisco		1,700
Indirect Cost		-986
TOTAL (All Programs)		714

PROGRAM DESCRIPTIONS

Facilities Projects at 180 Howard Street, San Francisco

The Bar is progressing through a multi-year capital improvement plan for 180 Howard Street, focused primarily on upgrades to the building's Heating, Ventilation & Air Conditioning system and Fire/Life Safety Systems. These upgrades are required due to normal aging, wear and tear and technical obsolescence of existing equipment. For 2017, the Board of Trustees has approved a \$1.7 million budget for this work.

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Buildings & Equipment		1,700
Indirect Costs		-986
TOTAL		714

SF Tenant Improvement Fund

This Fund houses the \$10 million loan taken out in 2016 to support tenant improvement work at the Bar's 180 Howard Street location. To date, \$2.6m has been spent from this loan, including \$2.3m in tenant improvement expenditures and \$0.3M in loan interest. The 2017 budget of \$1.04M will include \$0.64m broker commission and \$0.4m loan interest. The loan balance as of December 2016 is \$9.4M. \$2.5M in this Fund is classified as restricted cash, which represents two-year debt service payments as security pledged with BankofAmerica. Vacant spaces are anticipated to be rented by April 2017.

	Revenue
FUNDING SOURCE	2017*
SF Tenant Improvement Fund	50
TOTAL REVENUE (All Funds)	50

	Positions	Expenditures
SUMMARY OF PROGRAM REQUIREMENTS	2017	2017*
SF Tenant Improvement Fund		1,040
TOTAL (All Programs)		1,040

	Positions	Expenditures
EXPENDITURES BY CATEGORY	2017	2017*
Other Outside Services		640
Debt Service		400
TOTAL		1,040

Admissions

SUMMARY OF COST CENTER REQUIREMENTS		Positions	Expenditures
		2017	2017*
20	Admissions Assets BU		4,988
20001	Admissions Overhead	4.0	910
20002	Admission Operations	26.0	8,713
20004	Admissions Administration	5.0	875
20007	Law School Regulation	2.0	354
20011	Examination Development	2.0	906
20013	Examination Grading	7.0	2,555
20019	Moral Character Determinations	13.0	1,656
20023	Special Admissions	2.0	186
24	Legal Specialization -Asset BU		1,764
24001	Legal Specialization	8.0	4,609
TOTAL		69.0	27,516

* 2017 Budget

Chief Trial Counsel

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10310 OCTC-Enforcement (Consolidated)	247.1	45,661
10316 Rule 2201 Conflict Cases	0.3	180
TOTAL	247.4	45,841

* 2017 Budget

Probation

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10601 Probation	7.0	1,127
TOTAL	7.0	1,127

* 2017 Budget

Client Security Fund

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
27 Client Security -Asset BU		678
27001 CSF Administration	8.0	6,613
27002 CSF Commission		7
TOTAL	8.0	7,298

* 2017 Budget

Mandatory Fee Arbitration

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10503 Mandatory Fee Arb Committee		24
10504 Mandatory Fee Arbitration (Consolidated)	4.5	811
TOTAL	4.5	835

* 2017 Budget

State Bar Court

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10401 SBC Sr. Executive	3.9	1,026
10402 Hearing Admin.-SF	7.0	1,665
10403 Hearing Counsel LA/SF	7.0	2,083
10404 Hearing Judges	5.0	1,822
10405 Hearing/Effec./Admin.-LA	11.0	2,452
10407 Presiding/Review Judges	3.0	1,160
10408 Review Counsel/Clerk	6.0	1,701
TOTAL	42.9	11,909

* 2017 Budget

Member Records & Compliance

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10201 Child & Family Support	0.4	60
10251 Public Services Center	20.7	3,712
10252 Transition Assistance Services		30
10253 MCLE Regulation	5.0	740
TOTAL	26.1	4,542

* 2017 Budget

Professional Competence

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10702 COPRAC		43
10706 Prof. Resp. & Conduct	13.0	2,403
10708 Rules Revision Committee		95
10709 OPC Publications (Consolidated)		26
TOTAL	13.0	2,567

* 2017 Budget

Education

SUMMARY OF COST CENTER REQUIREMENTS		Positions	Expenditures
		2017	2017*
10903	Calif. Young Lawyers Assoc.		27
70	Sections OH -Asset BU		1,987
70001	Sections Administration	18.0	2,386
71001	Antitrust Section Admin.		170
71500	Antitrust - SB Annual Mtg		4
72001	Business Law Section Admin.		283
72400	BusLaw Section Retreat		7
72403	BusLaw Online CLE		3
72500	BusLaw Annual Meeting		3
72704	BusLaw InsolvencyLaw Ctee.Mtgs		8
73001	Criminal Law Section Admin.		62
73200	Criminal Law Journal		1
73400	Crim Law Stand-Alone		1
73600	Criminal Law ExCom Mtgs		1
74001	Enviro Law Sections Admin		530
74200	Enviro Law Newsletter		1
74400	Enviro Law One Day Edu Program		5
74404	Enviro Law Student Negotiation		3
74601	Enviro Law ExCom Retreat		10
75001	Trust&Estate Section Admin		296
75400	Trust&Estate Fall Program		6
75600	Trust&Estate ExCom Meeting		4
76001	Family Law Section Admin.		239
76600	Family Law ExCom Mtg		12
76700	Family Law Sub Committees		3
77001	Intel. Prop. Sections Admin.		363
77200	Intel. Prop-Publication		2
77300	Intel. Prop-Treatise		62
77406	Intel. Prop-Trademark		1
78001	Intl. Law Section Admin		67
78403	Int'l Law Online CLE		2
79001	Labor & Empl. Administration		547
79200	Labor & Empl. Newsletter		6
79401	Labor & Empl. Section AN Mtg.		17
79600	Labor & Empl. ExCom Mtg.		1
80001	LPMT - Section Admin.		91
81001	Lit.-Administration		470

* 2017 Budget

SUMMARY OF COST CENTER REQUIREMENTS	Positions 2017	Expenditures 2017*
81200 Lit.- CA Litigation Journal		9
81402 Lit.-Best Practices Program		3
81600 Lit.-ExCom Mtg		1
82001 Public Law Section Admin		104
82200 Public Law Journal		6
82600 Public Law ExCom Meeting		1
83001 Real Property - Sec Admin		354
83200 Real Property - Journal		16
83400 Real Property - Retreat		6
83402 Real Property - Subsection CLE		2
83403 Real Property - Online CLE		9
84001 Solo-Section Admin		60
84300 Solo - Big News		1
84403 Solo - Online CLE		1
84500 Solo-SB Annual Mtg		13
84600 Solo-ExCom Mtg		2
85001 Taxation Law- Sec Admin		322
85200 California Tax Lawyer Journal		7
85400 Tax AM & Cal Tax Policy Conf		2
85401 Tax - Estate & Gift Tax Conf		7
86001 Workers' Comp - Sec Admin		207
86400 Workers' Comp Spring Programs		13
86403 Workers' Comp Online CLE		2
87001 Council of SB Sections		54
88001 Officewide Education	0.1	145
88002 Solo Summit (Even Years)		12
TOTAL	18.1	9,040

* 2017 Budget

Legal Services

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10901 Commission on Access to Justic		20
10905 Center on Access to Justice	8.5	1,709
12445 Incubator/Modest Means Project		6
17 Elim. of Bias Assets BU		229
17007 Center for Access & Fairness	1.0	208
17012 Council on Access & Fairness		39
28 LSTF Asset BU		820
28002 LSTF Grants		11,000
28005 LSTF Administration (Consolidated)	10.0	1,313
28006 LSTF Grants - BofA Settlement	1.0	335
28007 LSTF Grants - Citi Settlement		1,721
29 Equal Access -Asset BU		15
29001 Equal Access -Admin		211
29002 Equal Access -Grants		19,014
32 Justice Gap Fund - BU		2,142
37 Bank Settlement Fund		30
37001 Bank Settlement Fund	0.5	5,503
TOTAL	21.0	44,315

* 2017 Budget

Lawyer Assistance Program

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
21 Lawyer Assist Program-Asset BU		540
21000 Lawyer Assist Program (Consolidated)	7.0	1,110
TOTAL	7.0	1,650

* 2017 Budget

Executive Director

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10001 Executive Director	4.6	1,437
10002 Appointments Administration	1.0	101
10003 Board of Trustees		155
10005 Elections		60
10010 Public Interest Task Force		54
10012 ORIA	8.5	1,574
10013 ORIA-Collections	1.7	343
10101 Judicial Evaluation	3.0	658
16 Leg. Activities -Assets BU		66
16001 Legal Activities Assistance	1.2	162
16002 Leg. Affairs & Activities		168
18 Affinity & Insurance Fund		84
18001 Group Insurance Programs		13
18002 Professional Liab Insurance	1.2	183
18004 Affinity Programs		46
TOTAL	21.2	5,104

* 2017 Budget

Finance

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
23101 Finance	12.0	2,516
23103 Member Billing	3.0	1,386
TOTAL	15.0	3,902

* 2017 Budget

General Counsel

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
23001 General Counsel	24.8	4,405
TOTAL	24.8	4,405

* 2017 Budget

Human Resources

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
23206 Human Resources (Consolidated)	11.0	1,778
TOTAL	11.0	1,778

* 2017 Budget

Information Technology

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
23600 IT (Consolidated)	26.0	6,448
TOTAL	26.0	6,448

* 2017 Budget

Strategic Communications and Stakeholder Engagement

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
10801 Communications	4.7	1,149
17001 Voluntary Bar Support	1.5	57
TOTAL	6.2	1,206

* 2017 Budget

General Services

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
23310 General Services LA	8.0	2,348
23321 Risk Management/Insurance		849
23350 General Services SF	11.0	4,257
23358 SF Print Shop	3.0	192
TOTAL	22.0	7,646

* 2017 Budget

Technology Projects

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
19 Technology Improvemt- Asset BU		784
19026 SF Video Equipment		150
19028 Case Management System-OCTC	8.0	3,845
19029 Case Management System-SBC	2.0	339
TOTAL	10.0	5,118

* 2017 Budget

Facilities Projects

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
26 Building -Asset BU		714
TOTAL		714

* 2017 Budget

SF Tenant Improvement Fund

	Positions	Expenditures
SUMMARY OF COST CENTER REQUIREMENTS	2017	2017*
38 SF Tenant Improvement Fund		1,040
TOTAL		1,040

* 2017 Budget

General Fund-Consolidated

SUMMARY OF COST CENTER REQUIREMENTS		Positions	Expenditures
		2017	2017*
10	General Fund OH Alloc BU		1,334
15	Fixed Assets OH BU		420
15010	Gen. Fund Fixed Assets		397
15019	Tech. Fund Fixed Assets		483
15020	Admissions Fixed Assets		11
15023	Suppor Activities Fixed Assets		146
15026	Building Fund Fixed Assets		170
23	Support & Admin.- Asset BU		-24,181
35	LA Facility Fund		1,970
TOTAL			-19,250

* 2017 Budget

Cost Center/Department Name**2017 Budget
(\$)****Admissions****20 Admissions Assets BU****Revenue**

Interfund Transfers

(1,000,000)**Revenue Total**(1,000,000)**Expense**

Indirect Costs

4,693,852

Retiree Medical Funding

125,000

Supplies and Postage

1,000

Severance Expenses

167,800**Expense Total**4,987,652**20001 Admissions Overhead****Expense**

Buildings & Equipment

4,500

Occupancy

5,400

Other Outside Services

5,700

Professional Services

68,500

Regular Salary & Benefits

654,772

Supplies and Postage

19,000

Telecommunications

2,500

Travel & Training

150,100**Expense Total**910,472**20002 Admission Operations****Expense**

Buildings & Equipment

6,000

Computers & Software

400

Exam & Software Licensing

779,000

Exam Proctors

1,466,717

Exam Room Rental

1,696,000

Occupancy

147,000

Other Expenditures

13,000

Other Outside Services

1,392,000

Regular Salary & Benefits

2,705,424

Supplemental Staffing

95,000

Supplies and Postage

203,000

Telecommunications

61,300

Travel & Training

150,600**Expense Total**8,715,441

Cost Center/Department Name**2017 Budget****20004 Admissions Administration****Expense**

Buildings & Equipment	500
Occupancy	2,500
Other Outside Services	18,700
Professional Services	270,000
Regular Salary & Benefits	478,189
Supplies and Postage	97,150
Telecommunications	8,500
Travel & Training	500

Expense Total**876,039****20007 Law School Regulation****Expense**

Other Outside Services	100
Professional Services	30,000
Regular Salary & Benefits	306,795
Supplies and Postage	500
Telecommunications	3,100
Travel & Training	14,000

Expense Total**354,495****20009 Admissions Revenue****Revenue**

Administrative Fees	(1,173,500)
Exam Fees	(13,733,500)
Interest Income	(25,000)
Moral Character Fees	(4,123,000)
Other Fees and Charges	(245,500)
Penalties and Late Fees	(462,100)
Student Registration Fees	(1,195,000)

Revenue Total**(20,957,600)****20011 Examination Development****Expense**

Exam Graders	206,000
Occupancy	2,500
Other Outside Services	329,000
Professional Services	10,000
Regular Salary & Benefits	337,597
Supplies and Postage	4,800
Telecommunications	1,200
Travel & Training	16,300

Expense Total**907,397**

Cost Center/Department Name**2017 Budget****20013 Examination Grading****Expense**

Exam & Software Licensing	810,000
Exam Graders	618,625
Occupancy	14,200
Other Outside Services	29,500
Professional Services	100,000
Regular Salary & Benefits	613,633
Supplemental Staffing	250,000
Supplies and Postage	32,000
Telecommunications	4,000
Travel & Training	81,200
Expense Total	2,553,158

20019 Moral Character Determinations**Expense**

Computers & Software	500
Other Outside Services	78,725
Regular Salary & Benefits	1,547,094
Supplies and Postage	15,200
Telecommunications	6,400
Travel & Training	10,000
Expense Total	1,657,919

20023 Special Admissions**Expense**

Regular Salary & Benefits	182,822
Supplies and Postage	900
Telecommunications	1,700
Expense Total	185,422

24 Legal Specialization -Asset BU**Expense**

Indirect Costs	763,614
Interfund Transfers	1,000,000
Expense Total	1,763,614

24001 Legal Specialization**Revenue**

Administrative Fees	(252,990)
Exam Fees	(140,000)
Interest Income	(26,283)
Other Fees and Charges	(8,200)
Other Revenues	(2,804)

Cost Center/Department Name**2017 Budget****Revenue Total****(430,277)****Expense**

Buildings & Equipment	15,000
Computers & Software	535,300
Exam & Software Licensing	37,700
Exam Proctors	35,000
Exam Room Rental	75,000
Occupancy	4,500
Other Expenditures	4,400
Other Outside Services	343,800
Professional Services	2,507,000
Regular Salary & Benefits	801,772
Supplemental Staffing	30,000
Supplies and Postage	26,000
Telecommunications	9,700
Travel & Training	182,800

Expense Total**4,607,972****Chief Trial Counsel****10310 OCTC-Enforcement (Consolidated)****Revenue**

Other Fees and Charges	(57,500)
Other Revenues	(3,000)

Revenue Total**(60,500)****Expense**

Indirect Costs	12,180,102
Other Expenditures	9,000
Other Outside Services	241,100
Professional Services	95,000
Regular Salary & Benefits	33,117,758
Reimbursements	(1,000,000)
Supplemental Staffing	300,000
Supplies and Postage	330,600
Telecommunications	150,000
Travel & Training	141,500
Severance Expenses	95,000

Expense Total**45,660,060****10316 Rule 2201 Conflict Cases****Expense**

Indirect Costs	23,218
Professional Services	100,000

Cost Center/Department Name**2017 Budget**

Regular Salary & Benefits	57,416
Supplies and Postage	100
Travel & Training	800
Expense Total	181,534

Probation**10601 Probation****Expense**

Buildings & Equipment	1,500
Indirect Costs	376,261
Other Expenditures	400
Professional Services	500
Regular Salary & Benefits	732,301
Supplies and Postage	10,700
Telecommunications	6,500
Travel & Training	900
Expense Total	1,129,062

Client Security Fund**27 Client Security -Asset BU****Revenue**

Interest Income	(20,000)
Interfund Transfers	(1,600,000)
Mandatory Dues	(7,995,700)
Other Revenues	(15,000)
Revenue Total	(9,630,700)

Expense

Indirect Costs	563,793
Retiree Medical Funding	21,000
Severance Expenses	93,600
Expense Total	678,393

27001 CSF Administration**Expense**

Computers & Software	1,000
CSF Payments	6,000,000
Other Expenditures	(149,000)
Other Outside Services	16,500
Regular Salary & Benefits	1,250,564
Reimbursements	(540,000)
Supplies and Postage	18,100
Telecommunications	10,000

Cost Center/Department Name**2017 Budget**

Travel & Training

6,000

Expense Total6,613,164**27002 CSF Commission****Expense**

Supplies and Postage

300

Travel & Training

6,600

Expense Total6,900**Mandatory Fee Arbitration****10503 Mandatory Fee Arb Committee****Expense**

Indirect Costs

1,686

Other Expenditures

1,000

Other Outside Services

800

Supplies and Postage

2,000

Travel & Training

19,600

Expense Total25,086**10504 Mandatory Fee Arbitration (Consolidated)****Revenue**

Other Revenues

(44,000)

Revenue Total(44,000)**Expense**

Indirect Costs

207,906

Other Expenditures

200

Other Outside Services

57,400

Professional Services

600

Regular Salary & Benefits

523,321

Supplies and Postage

9,800

Telecommunications

3,900

Travel & Training

8,700

Expense Total811,827**State Bar Court****10401 SBC Sr. Executive****Revenue**

Other Revenues

(14,100)

Revenue Total(14,100)**Expense**

Buildings & Equipment

100

Cost Center/Department Name	2017 Budget
Indirect Costs	411,955
Other Outside Services	1,600
Regular Salary & Benefits	536,245
Supplies and Postage	50,800
Telecommunications	5,000
Travel & Training	21,300
Expense Total	1,027,001

10402 Hearing Admin.-SF**Expense**

Buildings & Equipment	1,000
Indirect Costs	756,964
Occupancy	15,000
Other Expenditures	350
Other Outside Services	1,500
Regular Salary & Benefits	849,559
Supplies and Postage	18,000
Telecommunications	9,000
Travel & Training	13,500
Expense Total	1,664,873

10403 Hearing Counsel LA/SF**Expense**

Buildings & Equipment	700
Indirect Costs	702,151
Regular Salary & Benefits	1,365,106
Supplies and Postage	2,200
Telecommunications	8,000
Travel & Training	6,500
Expense Total	2,084,657

10404 Hearing Judges**Expense**

Buildings & Equipment	3,000
Indirect Costs	532,524
Other Expenditures	400
Other Outside Services	25,000
Regular Salary & Benefits	1,210,968
Supplies and Postage	500
Telecommunications	16,000
Travel & Training	35,200
Expense Total	1,823,592

10405 Hearing/Effec./Admin.-LA**Revenue**

Cost Center/Department Name**2017 Budget**

Other Revenues

(12,000)

Revenue Total**(12,000)****Expense**

Indirect Costs

995,887

Occupancy

7,200

Other Expenditures

1,000

Other Outside Services

4,400

Regular Salary & Benefits

1,398,722

Supplies and Postage

30,708

Telecommunications

13,000

Travel & Training

2,800

Expense Total**2,453,716****10407 Presiding/Review Judges****Expense**

Indirect Costs

320,499

Regular Salary & Benefits

796,551

Supplies and Postage

600

Telecommunications

7,000

Travel & Training

35,100

Expense Total**1,159,750****10408 Review Counsel/Clerk****Expense**

Buildings & Equipment

400

Indirect Costs

633,889

Other Outside Services

600

Regular Salary & Benefits

1,052,537

Supplies and Postage

5,000

Telecommunications

6,000

Travel & Training

1,800

Expense Total**1,700,226****Member Records & Compliance****10201 Child & Family Support****Expense**

Indirect Costs

18,171

Other Outside Services

2,700

Regular Salary & Benefits

38,102

Supplemental Staffing

200

Supplies and Postage

1,300

Expense Total**60,473**

Cost Center/Department Name**2017 Budget****10202 Member Rec. & Cert.****Revenue**

Administrative Fees

(3,000)

Revenue Total

(3,000)

10251 Public Services Center**Revenue**

Administrative Fees

(215,500)

Revenue Total

(215,500)

Expense

Buildings & Equipment

300

Indirect Costs

1,086,236

Other Expenditures

11,200

Other Outside Services

117,100

Professional Services

60,200

Regular Salary & Benefits

2,075,955

Supplemental Staffing

165,000

Supplies and Postage

174,700

Telecommunications

19,100

Travel & Training

3,000

Expense Total

3,712,791

10252 Transition Assistance Services**Expense**

Indirect Costs

2,039

Professional Services

28,300

Expense Total

30,339

10253 MCLE Regulation**Revenue**

Administrative Fees

(451,000)

Other Fees and Charges

(6,700)

Penalties and Late Fees

(426,000)

Revenue Total

(883,700)

Expense

Indirect Costs

251,504

Other Expenditures

204

Regular Salary & Benefits

482,696

Supplies and Postage

600

Telecommunications

3,396

Travel & Training

996

Expense Total

739,396

Cost Center/Department Name
Professional Competence

2017 Budget

10702 COPRAC

Revenue

Other Revenues (5,000)

Revenue Total (5,000)

Expense

Indirect Costs 5,414

Other Outside Services 500

Supplies and Postage 3,500

Telecommunications 300

Travel & Training 35,800

Expense Total 45,514

10706 Prof. Resp. & Conduct

Expense

Buildings & Equipment 1,000

Indirect Costs 769,064

Other Expenditures 2,100

Other Outside Services 300

Regular Salary & Benefits 1,596,714

Supplies and Postage 11,600

Telecommunications 20,500

Travel & Training 4,300

Expense Total 2,405,578

10708 Rules Revision Committee

Expense

Indirect Costs 6,390

Occupancy 2,800

Other Outside Services 2,400

Professional Services 50,000

Supplies and Postage 5,800

Telecommunications 1,000

Travel & Training 26,650

Expense Total 95,040

10709 OPC Publications (Consolidated)

Revenue

Other Revenues (16,150)

Revenue Total (16,150)

Expense

Indirect Costs 1,795

Cost Center/Department Name**2017 Budget**

Other Expenditures	500
Other Outside Services	15,800
Supplies and Postage	8,600
Expense Total	26,695

Education**10903 Calif. Young Lawyers Assoc.****Expense**

Indirect Costs	1,683
Other Outside Services	572
Professional Services	778
Regular Salary & Benefits	15,000
Supplemental Staffing	200
Supplies and Postage	100
Telecommunications	200
Travel & Training	6,500
Expense Total	25,033

10910 CYLA - Outreach**Expense**

Indirect Costs	10
Other Outside Services	28
Professional Services	122
Expense Total	160

70 Sections OH -Asset BU**Expense**

Indirect Costs	1,655,383
Retiree Medical Funding	42,000
Severance Expenses	290,100
Expense Total	1,987,483

70001 Sections Administration**Revenue**

Interest Income	(1,000)
Revenue Total	(1,000)

Expense

Buildings & Equipment	100
Other Expenditures	55,000
Other Outside Services	3,700
Professional Services	95,000
Regular Salary & Benefits	2,093,696
Supplemental Staffing	80,000

Cost Center/Department Name**2017 Budget**

Supplies and Postage	21,700
Telecommunications	35,000
Travel & Training	4,000
Expense Total	2,388,196

71001 Antitrust Section Admin.**Revenue**

Interest Income	(1,109)
Sections Member Dues	(122,840)
Revenue Total	(123,949)

Expense

Other Outside Services	28,300
Regular Salary & Benefits	2,000
Supplies and Postage	12,150
Telecommunications	1,500
Travel & Training	127,800
Expense Total	171,750

71200 Antitrust - Newsletter**Revenue**

Other Revenues	(11,700)
Revenue Total	(11,700)

71400 Antitrust - GG Institute**Revenue**

Other Fees and Charges	(9,500)
Other Revenues	(123,082)
Revenue Total	(132,582)

71403 Antitrust-Online CLE**Revenue**

Other Revenues	(14,611)
Revenue Total	(14,611)

71500 Antitrust - SB Annual Mtg**Expense**

Travel & Training	3,500
Expense Total	3,500

72001 Business Law Section Admin.**Revenue**

Interest Income	(4,167)
Sections Member Dues	(761,635)
Revenue Total	(765,802)

Cost Center/Department Name**2017 Budget****Expense**

Buildings & Equipment	1,600
Other Outside Services	56,900
Professional Services	35,100
Supplies and Postage	30,000
Telecommunications	5,200
Travel & Training	156,560
Expense Total	285,360

72400 BusLaw Section Retreat**Expense**

Other Outside Services	200
Travel & Training	7,000
Expense Total	7,200

72403 BusLaw Online CLE**Revenue**

Other Revenues	(59,999)
Revenue Total	(59,999)

Expense

Other Outside Services	3,000
Expense Total	3,000

72500 BusLaw Annual Meeting**Expense**

Other Outside Services	3,000
Expense Total	3,000

72700 BusLaw AgriBus. Ctee. Mtgs.**Revenue**

Other Revenues	(749)
Revenue Total	(749)

72704 BusLaw InsolvencyLaw Ctee.Mtgs**Expense**

Other Outside Services	8,500
Expense Total	8,500

73001 Criminal Law Section Admin.**Revenue**

Interest Income	(500)
Sections Member Dues	(155,800)
Revenue Total	(156,300)

Cost Center/Department Name**2017 Budget****Expense**

Other Expenditures	5,000
Other Outside Services	18,800
Professional Services	800
Supplies and Postage	3,620
Telecommunications	200
Travel & Training	33,000
Expense Total	61,420

73200 Criminal Law Journal**Expense**

Other Outside Services	1,300
Expense Total	1,300

73400 Crim Law Stand-Alone**Revenue**

Other Revenues	(6,000)
Revenue Total	(6,000)

Expense

Regular Salary & Benefits	1,022
Expense Total	1,022

73403 Crim Law Online CLE Edu**Revenue**

Other Revenues	(37,000)
Revenue Total	(37,000)

73600 Criminal Law ExCom Mtgs**Expense**

Travel & Training	800
Expense Total	800

74001 Enviro Law Sections Admin**Revenue**

Interest Income	(2,000)
Sections Member Dues	(229,340)
Revenue Total	(231,340)

Expense

Buildings & Equipment	1,750
Other Expenditures	83,092
Other Outside Services	83,000
Supplies and Postage	11,500

Cost Center/Department Name**2017 Budget**

Telecommunications	5,000
Travel & Training	346,000
Expense Total	530,342

74200 Enviro Law Newsletter**Expense**

Other Outside Services	1,000
Expense Total	1,000

74400 Enviro Law One Day Edu Program**Revenue**

Other Revenues	(320,000)
Revenue Total	(320,000)

Expense

Travel & Training	5,000
Expense Total	5,000

74401 Enviro Law Multi Day Edu Progr**Revenue**

Other Revenues	(20,000)
Revenue Total	(20,000)

Expense

Travel & Training	15
Expense Total	15

74403 Enviro Law Online CLE**Revenue**

Other Revenues	(15,000)
Revenue Total	(15,000)

74404 Enviro Law Student Negotiation**Revenue**

Other Revenues	(5,000)
Revenue Total	(5,000)

Expense

Other Outside Services	2,600
Supplies and Postage	500
Expense Total	3,100

74601 Enviro Law ExCom Retreat**Expense**

Other Outside Services	10,000
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Cost Center/Department Name**2017 Budget****Expense Total****10,000****75001 Trust&Estate Section Admin****Revenue**

Interest Income (4,362)

Sections Member Dues (607,815)

Revenue Total (612,177)**Expense**

Buildings & Equipment 1,000

Other Outside Services 79,188

Professional Services 35,000

Supplies and Postage 24,200

Telecommunications 1,900

Travel & Training 154,675

Expense Total 295,963**75200 Trust&Estate Newsletter****Revenue**

Other Revenues (30,000)

Revenue Total (30,000)**Expense**

Supplies and Postage 200

Expense Total 200**75300 Trust&Estate Other Publications****Revenue**

Other Revenues (108)

Revenue Total (108)**75400 Trust&Estate Fall Program****Revenue**

Other Revenues (75,000)

Revenue Total (75,000)**Expense**

Other Outside Services 3,460

Travel & Training 2,700

Expense Total 6,160**75403 Trust&Estate Online CLE****Revenue**

Other Revenues (72,576)

Revenue Total (72,576)

Cost Center/Department Name**2017 Budget****75600 Trust&Estate ExCom Meeting****Expense**

Supplemental Staffing

3,500

Expense Total3,500**76001 Family Law Section Admin.****Revenue**

Interest Income

(1,929)

Sections Member Dues

(379,945)

Revenue Total(381,874)**Expense**

Buildings & Equipment

200

Other Outside Services

60,200

Professional Services

25,000

Regular Salary & Benefits

1,500

Supplies and Postage

16,200

Telecommunications

3,100

Travel & Training

133,600

Expense Total239,800**76200 Family Law Newsletter****Revenue**

Other Revenues

(13,000)

Revenue Total(13,000)**76403 Family Law Online CLE****Revenue**

Other Revenues

(141,102)

Revenue Total(141,102)**76600 Family Law ExCom Mtg****Expense**

Occupancy

1,850

Other Outside Services

7,300

Supplemental Staffing

1,000

Travel & Training

1,500

Expense Total11,650**76700 Family Law Sub Committees****Expense**

Other Outside Services

3,000

Expense Total3,000

Cost Center/Department Name**2017 Budget****77001 Intel. Prop. Sections Admin.****Revenue**

Interest Income (4,056)

Sections Member Dues (632,625)

Revenue Total (636,681)**Expense**

Buildings & Equipment 200

Other Outside Services 94,300

Professional Services 16,000

Supplies and Postage 28,350

Telecommunications 5,000

Travel & Training 220,400

Expense Total 364,250**77200 Intel. Prop-Publication****Revenue**

Other Revenues (2,700)

Revenue Total (2,700)**Expense**

Other Outside Services 2,000

Expense Total 2,000**77300 Intel. Prop-Treatise****Revenue**

Other Revenues (900)

Revenue Total (900)**Expense**

Supplies and Postage 62,300

Expense Total 62,300**77401 Intel. Prop-Institute****Revenue**

Other Revenues (149,650)

Revenue Total (149,650)**Expense**

Other Outside Services 500

Expense Total 500**77403 Intel. Prop-Online CLE****Revenue**

Other Revenues (95,000)

Cost Center/Department Name	2017 Budget
Revenue Total	(95,000)
77406 Intel. Prop-Trademark	
Expense	
Travel & Training	1,200
Expense Total	1,200
78001 Intl. Law Section Admin	
Revenue	
Interest Income	(400)
Sections Member Dues	(109,155)
Revenue Total	(109,555)
Expense	
Buildings & Equipment	200
Other Expenditures	200
Other Outside Services	9,450
Professional Services	10,000
Regular Salary & Benefits	200
Supplies and Postage	5,400
Telecommunications	500
Travel & Training	42,300
Expense Total	68,250
78400 Int'l Law One Day Program	
Revenue	
Other Revenues	(8,900)
Revenue Total	(8,900)
78403 Int'l Law Online CLE	
Revenue	
Other Revenues	(31,598)
Revenue Total	(31,598)
Expense	
Other Outside Services	2,400
Expense Total	2,400
79001 Labor & Empl. Administration	
Revenue	
Interest Income	(4,462)
Other Revenues	(37,508)
Sections Member Dues	(703,817)
Revenue Total	(745,787)

Cost Center/Department Name	2017 Budget
Expense	
Buildings & Equipment	200
Other Outside Services	128,800
Professional Services	58,000
Supplies and Postage	33,650
Telecommunications	2,000
Travel & Training	324,700
Expense Total	547,350
79200 Labor & Empl. Newsletter	
Revenue	
Other Revenues	(5,000)
Revenue Total	(5,000)
Expense	
Other Outside Services	5,900
Expense Total	5,900
79300 Labor & Empl. Publication	
Revenue	
Other Revenues	(5,051)
Revenue Total	(5,051)
79400 Labor & Empl. Programs	
Revenue	
Other Revenues	(177,763)
Revenue Total	(177,763)
79401 Labor & Empl. Section AN Mtg.	
Revenue	
Other Revenues	(7,595)
Revenue Total	(7,595)
Expense	
Other Outside Services	2,700
Travel & Training	14,000
Expense Total	16,700
79403 Labor & Empl. Online CLE	
Revenue	
Other Revenues	(76,147)
Revenue Total	(76,147)
79600 Labor & Empl. ExCom Mtg.	
Expense	

Cost Center/Department Name**2017 Budget**

Occupancy	1,700
Expense Total	1,700

80001 LPMT - Section Admin.**Revenue**

Interest Income	(1,132)
Sections Member Dues	(89,770)
Revenue Total	(90,902)

Expense

Other Expenditures	62,560
Other Outside Services	950
Supplies and Postage	450
Telecommunications	1,000
Travel & Training	27,300
Expense Total	92,260

80403 LPMT - Online CLE**Revenue**

Other Revenues	(61,813)
Revenue Total	(61,813)

80600 LPMT - ExCom Mtg**Expense**

Other Outside Services	500
Expense Total	500

81001 Lit.-Administration**Revenue**

Interest Income	(3,918)
Sections Member Dues	(818,035)
Revenue Total	(821,953)

Expense

Buildings & Equipment	200
Other Outside Services	178,600
Professional Services	70,000
Regular Salary & Benefits	1,200
Supplies and Postage	38,750
Telecommunications	3,800
Travel & Training	176,600
Expense Total	469,150

81200 Lit.- CA Litigation Journal**Expense**

Cost Center/Department Name**2017 Budget**

Other Outside Services	9,100
Regular Salary & Benefits	500
Expense Total	9,600

81201 Lit.-Litigation update E-news**Revenue**

Other Revenues	(1,500)
Revenue Total	(1,500)

81400 Lit.-Week in Legal London**Revenue**

Other Revenues	(156,160)
Revenue Total	(156,160)

81402 Lit.-Best Practices Program**Expense**

Occupancy	1,000
Supplemental Staffing	1,900
Expense Total	2,900

81403 Lit.-Online CLE Programs**Revenue**

Other Revenues	(25,000)
Revenue Total	(25,000)

81600 Lit.-ExCom Mtg**Expense**

Occupancy	900
Expense Total	900

82001 Public Law Section Admin**Revenue**

Interest Income	(600)
Other Revenues	(33,640)
Sections Member Dues	(141,745)
Revenue Total	(175,985)

Expense

Buildings & Equipment	200
Other Expenditures	200
Other Outside Services	25,800
Professional Services	3,000
Supplies and Postage	12,400
Telecommunications	2,200
Travel & Training	60,400

Cost Center/Department Name	2017 Budget
Expense Total	104,200
82200 Public Law Journal	
Expense	
Other Outside Services	6,000
Expense Total	6,000
82400 Public Law Programs	
Revenue	
Other Revenues	(10,335)
Revenue Total	(10,335)
Expense	
Other Outside Services	500
Expense Total	500
82403 Public Law Online CLE	
Revenue	
Other Revenues	(28,689)
Revenue Total	(28,689)
82600 Public Law ExCom Meeting	
Expense	
Other Outside Services	700
Travel & Training	100
Expense Total	800
83001 Real Property - Sec Admin	
Revenue	
Interest Income	(3,630)
Sections Member Dues	(589,755)
Revenue Total	(593,385)
Expense	
Buildings & Equipment	200
Other Outside Services	51,500
Professional Services	26,900
Supplies and Postage	25,800
Telecommunications	800
Travel & Training	249,700
Expense Total	354,900
83200 Real Property - Journal	
Expense	
Other Outside Services	16,300

Cost Center/Department Name	2017 Budget
Expense Total	16,300
83400 Real Property - Retreat	
Revenue	
Other Revenues	(164,745)
Revenue Total	(164,745)
Expense	
Other Outside Services	5,500
Expense Total	5,500
83402 Real Property - Subsection CLE	
Expense	
Travel & Training	2,000
Expense Total	2,000
83403 Real Property - Online CLE	
Revenue	
Other Revenues	(44,338)
Revenue Total	(44,338)
Expense	
Other Outside Services	9,000
Expense Total	9,000
83404 Real Property - REAL Symposium	
Expense	
Supplemental Staffing	300
Expense Total	300
84001 Solo-Section Admin	
Revenue	
Interest Income	(1,049)
Sections Member Dues	(129,615)
Revenue Total	(130,664)
Expense	
Other Outside Services	9,850
Professional Services	13,100
Supplies and Postage	3,600
Travel & Training	34,100
Expense Total	60,650
84300 Solo - Big News	
Expense	

Cost Center/Department Name**2017 Budget**

Other Outside Services

1,100

Expense Total**1,100****84400 Solo - Programs****Expense**

Travel & Training

100

Expense Total**100****84403 Solo - Online CLE****Revenue**

Other Revenues

(53,029)

Revenue Total**(53,029)****Expense**

Other Outside Services

1,000

Expense Total**1,000****84500 Solo-SB Annual Mtg****Expense**

Other Outside Services

12,600

Expense Total**12,600****84600 Solo-ExCom Mtg****Expense**

Telecommunications

1,700

Expense Total**1,700****85001 Taxation Law- Sec Admin****Revenue**

Interest Income

(1,500)

Other Revenues

(150,000)

Sections Member Dues

(313,355)

Revenue Total**(464,855)****Expense**

Buildings & Equipment

200

Other Expenditures

17,300

Other Outside Services

54,100

Professional Services

10,000

Regular Salary & Benefits

250

Supplies and Postage

20,650

Telecommunications

300

Travel & Training

221,400

Expense Total**324,200**

Cost Center/Department Name**2017 Budget****85200 California Tax Lawyer Journal****Revenue**

Other Revenues

(118,779)

Revenue Total**(118,779)****Expense**

Other Outside Services

7,100

Expense Total**7,100****85400 Tax AM & Cal Tax Policy Conf****Revenue**

Other Revenues

(20,000)

Revenue Total**(20,000)****Expense**

Supplemental Staffing

2,000

Expense Total**2,000****85401 Tax - Estate & Gift Tax Conf****Expense**

Travel & Training

7,300

Expense Total**7,300****85403 Tax - Online CLE Programs****Revenue**

Other Revenues

(28,115)

Revenue Total**(28,115)****85404 Young Tax Lawyers Program****Expense**

Other Outside Services

100

Expense Total**100****86001 Workers' Comp - Sec Admin****Revenue**

Interest Income

(3,309)

Sections Member Dues

(281,945)

Revenue Total**(285,254)****Expense**

Buildings & Equipment

200

Other Outside Services

37,900

Professional Services

11,500

Supplies and Postage

23,500

Cost Center/Department Name**2017 Budget**

Telecommunications	1,300
Travel & Training	132,400
Expense Total	206,800

86400 Workers' Comp Spring Programs**Revenue**

Other Revenues	(225,000)
Revenue Total	(225,000)

Expense

Occupancy	5,500
Travel & Training	8,200
Expense Total	13,700

86403 Workers' Comp Online CLE**Revenue**

Other Revenues	(71,747)
Revenue Total	(71,747)

Expense

Other Outside Services	2,500
Expense Total	2,500

87001 Council of SB Sections**Revenue**

Interest Income	(100)
Sections Member Dues	(100)
Revenue Total	(200)

Expense

Other Outside Services	12,500
Regular Salary & Benefits	300
Supplies and Postage	5,500
Telecommunications	1,000
Travel & Training	34,400
Expense Total	53,700

88001 Officewide Education**Revenue**

Interest Income	(9,901)
Other Revenues	(56,490)
Revenue Total	(66,391)

Expense

Computers & Software	100
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Cost Center/Department Name**2017 Budget**

Other Expenditures	2,200
Other Outside Services	71,200
Regular Salary & Benefits	9,848
Supplies and Postage	27,600
Telecommunications	3,300
Travel & Training	29,500
Expense Total	143,748

88002 Solo Summit (Even Years)**Revenue**

Other Revenues	(83,403)
Revenue Total	(83,403)

Expense

Other Expenditures	400
Other Outside Services	100
Travel & Training	11,500
Expense Total	12,000

Legal Services**10901 Commission on Access to Justice****Expense**

Indirect Costs	3,422
Supplies and Postage	2,550
Telecommunications	2,600
Travel & Training	11,680
Expense Total	20,252

10905 Center on Access to Justice**Revenue**

Other Revenues	(60,000)
Revenue Total	(60,000)

Expense

Indirect Costs	575,303
Other Expenditures	100
Other Outside Services	2,400
Regular Salary & Benefits	1,091,615
Supplies and Postage	6,900
Telecommunications	4,700
Travel & Training	30,252
Expense Total	1,711,270

12445 Incubator/Modest Means Project

Cost Center/Department Name**2017 Budget****Revenue**

Grants	(6,400)
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Revenue Total	(6,400)
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Expense

Legal Services Grants	6,400
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Expense Total	6,400
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17 Elim. of Bias Assets BU**Expense**

Indirect Costs	100,125
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Retiree Medical Funding	42,000
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Severance Expenses	86,700
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Expense Total	228,825
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17007 Center for Access & Fairness**Expense**

Other Outside Services	4,650
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Regular Salary & Benefits	191,350
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Supplies and Postage	2,520
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Telecommunications	2,520
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Travel & Training	8,200
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Expense Total	209,240
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17012 Council on Access & Fairness**Expense**

Occupancy	2,250
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Other Outside Services	1,050
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Professional Services	5,000
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Supplemental Staffing	500
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Supplies and Postage	6,000
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Travel & Training	26,000
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Expense Total	40,800
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28 LSTF Asset BU**Revenue**

Interfund Transfers	(2,133,000)
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Other Revenues	(75,000)
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Voluntary Dues & Donations	(6,325,000)
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Revenue Total	(8,533,000)
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Expense

Indirect Costs	718,185
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Retiree Medical Funding	21,000
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Severance Expenses	81,400
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Cost Center/Department Name	2017 Budget
Expense Total	820,585
28002 LSTF Grants	
Revenue	
Interest Income	(50,000)
IOLTA	(6,000,000)
Revenue Total	(6,050,000)
Expense	
Legal Services Grants	11,000,000
Expense Total	11,000,000
28005 LSTF Administration (Consolidated)	
Expense	
Buildings & Equipment	1,000
Computers & Software	55,700
Other Expenditures	1,200
Other Outside Services	100
Professional Services	21,000
Regular Salary & Benefits	1,190,725
Supplies and Postage	12,100
Telecommunications	11,600
Travel & Training	21,732
Expense Total	1,315,157
28006 LSTF Grants - BofA Settlement	
Expense	
Legal Services Grants	231,000
Regular Salary & Benefits	103,974
Expense Total	334,974
28007 LSTF Grants - Citi Settlement	
Expense	
Legal Services Grants	1,721,189
Expense Total	1,721,189
29 Equal Access -Asset BU	
Expense	
Indirect Costs	15,243
Expense Total	15,243
29001 Equal Access -Admin	
Expense	
Professional Services	210,000
Supplies and Postage	1,500

Cost Center/Department Name**2017 Budget****Expense Total****211,500****29002 Equal Access -Grants****Revenue**

Administrative Fees

(460,000)

Grants

(19,192,000)

Interest Income

(1,000)

Revenue Total**(19,653,000)****Expense**

Legal Services Grants

19,014,500

Expense Total**19,014,500****32 Justice Gap Fund - BU****Revenue**

Interest Income

(1,500)

Voluntary Dues & Donations

(600,000)

Revenue Total**(601,500)****Expense**

Indirect Costs

9,226

Interfund Transfers

2,133,000

Expense Total**2,142,226****37 Bank Settlement Fund****Expense**

Indirect Costs

29,682

Expense Total**29,682****37001 Bank Settlement Fund****Expense**

Computers & Software

10,000

Legal Services Grants

5,414,000

Regular Salary & Benefits

71,331

Supplies and Postage

1,750

Telecommunications

2,500

Travel & Training

4,758

Expense Total**5,504,339****Lawyer Assistance Program****21 Lawyer Assist Program-Asset BU****Revenue**

Mandatory Dues

(2,084,800)

Revenue Total**(2,084,800)**

Cost Center/Department Name**2017 Budget****Expense**

Indirect Costs	448,177
Severance Expenses	90,800
Expense Total	538,977

21000 Lawyer Assist Program (Consolidated)**Expense**

Occupancy	100
Other Expenditures	600
Other Outside Services	6,100
Professional Services	178,500
Regular Salary & Benefits	828,233
Supplies and Postage	6,800
Telecommunications	16,000
Travel & Training	73,500
Expense Total	1,109,833

Executive Director**10001 Executive Director****Expense**

Other Expenditures	300
Other Outside Services	7,000
Professional Services	100,000
Regular Salary & Benefits	1,134,939
Supplemental Staffing	95,025
Supplies and Postage	12,900
Telecommunications	12,500
Travel & Training	75,100
Expense Total	1,437,764

10002 Appointments Administration**Expense**

Other Outside Services	100
Regular Salary & Benefits	99,267
Supplies and Postage	1,400
Telecommunications	100
Travel & Training	100
Expense Total	100,967

10003 Board of Trustees**Expense**

Other Expenditures	600
Other Outside Services	10,100

Cost Center/Department Name	2017 Budget
Supplies and Postage	3,000
Telecommunications	900
Travel & Training	141,200
Expense Total	155,800

10005 Elections**Expense**

Other Outside Services	35
Professional Services	45,000
Supplies and Postage	15,000
Travel & Training	400
Expense Total	60,435

10010 Public Interest Task Force**Expense**

Other Outside Services	8,000
Professional Services	10,000
Supplies and Postage	1,100
Telecommunications	300
Travel & Training	36,500
Expense Total	55,900

10012 ORIA**Revenue**

Other Revenues	(15,000)
Revenue Total	(15,000)

Expense

Regular Salary & Benefits	1,305,866
Supplies and Postage	262,050
Telecommunications	150
Travel & Training	6,000
Expense Total	1,574,066

10013 ORIA-Collections**Expense**

Indirect Costs	93,832
Regular Salary & Benefits	249,970
Expense Total	343,802

10101 Judicial Evaluation**Expense**

Buildings & Equipment	500
Indirect Costs	194,591
Occupancy	820

Cost Center/Department Name	2017 Budget
Other Expenditures	150
Other Outside Services	4,700
Regular Salary & Benefits	304,847
Supplies and Postage	15,900
Telecommunications	3,800
Travel & Training	133,200
Expense Total	658,508

16 Leg. Activities -Assets BU**Revenue**

Interest Income	(1,800)
Voluntary Dues & Donations	(100,000)
Revenue Total	(101,800)

Expense

Indirect Costs	66,320
Expense Total	66,320

16001 Legal Activities Assistance**Expense**

Regular Salary & Benefits	155,825
Supplies and Postage	3,800
Telecommunications	800
Travel & Training	400
Expense Total	160,825

16002 Leg. Affairs & Activities**Expense**

Other Outside Services	300
Professional Services	162,000
Supplies and Postage	4,650
Telecommunications	1,400
Travel & Training	300
Expense Total	168,650

18 Affinity & Insurance Fund**Expense**

Indirect Costs	84,327
Expense Total	84,327

18001 Group Insurance Programs**Revenue**

Insurance Commissions	(913,000)
Revenue Total	(913,000)

Cost Center/Department Name**2017 Budget****Expense**

Other Outside Services	100
Supplies and Postage	1,700
Telecommunications	200
Travel & Training	11,600
Expense Total	13,600

18002 Professional Liab Insurance**Revenue**

Insurance Commissions	(1,000,000)
Revenue Total	(1,000,000)

Expense

Other Outside Services	11,000
Regular Salary & Benefits	141,832
Supplies and Postage	2,000
Telecommunications	100
Travel & Training	27,020
Expense Total	181,952

18004 Affinity Programs**Revenue**

Other Revenues	(242,000)
Revenue Total	(242,000)

Expense

Other Outside Services	43,800
Supplies and Postage	1,700
Travel & Training	2,500
Expense Total	48,000

Finance**23101 Finance****Expense**

Other Expenditures	60
Other Outside Services	303,700
Professional Services	550,000
Regular Salary & Benefits	1,581,189
Supplemental Staffing	45,000
Supplies and Postage	19,200
Telecommunications	12,400
Travel & Training	4,500
Expense Total	2,516,049

Cost Center/Department Name**2017 Budget****23103 Member Billing****Expense**

Buildings & Equipment	1,600
Interfund Transfers	400,000
Other Expenditures	600
Other Outside Services	525,600
Regular Salary & Benefits	288,224
Supplemental Staffing	100,700
Supplies and Postage	57,400
Telecommunications	9,400
Travel & Training	300
Expense Total	1,383,824

General Counsel**23001 General Counsel****Expense**

Buildings & Equipment	6,000
Other Expenditures	500
Other Outside Services	112,050
Professional Services	150,000
Regular Salary & Benefits	4,029,800
Supplies and Postage	37,000
Telecommunications	25,000
Travel & Training	45,500
Expense Total	4,405,850

Human Resources**23206 Human Resources (Consolidated)****Expense**

Buildings & Equipment	34,500
Other Expenditures	500
Other Outside Services	10,000
Professional Services	100,000
Regular Salary & Benefits	1,447,282
Supplies and Postage	17,100
Telecommunications	19,000
Travel & Training	151,000
Expense Total	1,779,382

Information Technology**23600 IT (Consolidated)**

Cost Center/Department Name**2017 Budget****Expense**

Buildings & Equipment	50,000
Computers & Software	1,898,525
Occupancy	119,600
Other Expenditures	100
Other Outside Services	500
Regular Salary & Benefits	4,092,988
Supplemental Staffing	150,000
Supplies and Postage	16,625
Telecommunications	65,000
Travel & Training	55,500
Expense Total	6,448,838

Strategic Communications and Stakeholder Engagement**10801 Communications****Expense**

Indirect Costs	307,168
Other Expenditures	100
Other Outside Services	32,000
Professional Services	58,000
Regular Salary & Benefits	738,245
Supplies and Postage	7,900
Telecommunications	3,400
Travel & Training	3,000
Expense Total	1,149,813

17001 Voluntary Bar Support**Expense**

Regular Salary & Benefits	56,545
Expense Total	56,545

General Services**23310 General Services LA****Expense**

Buildings & Equipment	31,300
Occupancy	1,412,100
Other Expenditures	200
Other Outside Services	34,600
Professional Services	5,500
Regular Salary & Benefits	771,833
Supplies and Postage	63,800
Telecommunications	26,000
Travel & Training	3,700

Cost Center/Department Name**2017 Budget****Expense Total****2,349,033****23321 Risk Management/Insurance****Expense**

Occupancy

849,000

Expense Total**849,000****23350 General Services SF****Expense**

Buildings & Equipment

33,404

Occupancy

2,290,210

Other Expenditures

10,504

Other Outside Services

284,650

Professional Services

343,000

Regular Salary & Benefits

1,240,573

Supplies and Postage

12,296

Telecommunications

24,300

Travel & Training

19,104

Expense Total**4,258,041****23358 SF Print Shop****Expense**

Occupancy

696

Other Expenditures

(41,100)

Other Outside Services

504

Professional Services

96

Regular Salary & Benefits

275,346

Supplemental Staffing

2,304

Supplies and Postage

(49,896)

Telecommunications

3,204

Expense Total**191,154****Technology Projects****19 Technology Improvemt- Asset BU****Expense**

Indirect Costs

783,721

Expense Total**783,721****19026 SF Video Equipment****Expense**

Computers & Software

150,000

Expense Total**150,000****19028 Case Management System-OCTC**

Cost Center/Department Name**2017 Budget****Revenue**

Interfund Transfers

(400,000)

Revenue Total

(400,000)

Expense

Computers & Software

2,550,000

Regular Salary & Benefits

1,294,268

Expense Total

3,844,268

19029 Case Management System-SBC**Expense**

Regular Salary & Benefits

338,955

Expense Total

338,955

Facilities Projects**26 Building -Asset BU****Revenue**

Interest Income

(11,000)

Mandatory Dues

(3,000)

Revenue Total

(14,000)

Expense

Buildings & Equipment

1,700,000

Indirect Costs

(986,000)

Expense Total

714,000

26101 SF Facilities Management**Revenue**

Lease Revenues

(1,344,996)

Other Revenues

(396)

Penalties and Late Fees

(5,604)

Revenue Total

(1,350,996)

SF Tenant Improvement Fund**38 SF Tenant Improvement Fund****Revenue**

Interest Income

(50,000)

Revenue Total

(50,000)

Expense

Debt Service

400,000

Other Outside Services

640,000

Expense Total

1,040,000

Cost Center/Department Name**2017 Budget****General Fund-Consolidated****10 General Fund OH Alloc BU****Revenue**

LLP and Law Corp Administrative Fees	(1,340,004)
Interest Income	(105,204)
Mandatory Dues	(63,963,600)
Other Revenues	(9,996)
Penalties and Late Fees	(1,965,996)
Revenue Total	(67,384,800)

Expense

Indirect Costs	(2,372,545)
Interfund Transfers	1,600,000
Retiree Medical Funding	457,000
Telecommunications	(245,000)
Severance Expenses	1,894,900
Expense Total	1,334,355

15 Fixed Assets OH BU**Expense**

Depreciation (Non-Expenditure)	420,000
Expense Total	420,000

15010 Gen. Fund Fixed Assets**Expense**

Depreciation (Non-Expenditure)	396,600
Expense Total	396,600

15019 Tech. Fund Fixed Assets**Expense**

Depreciation (Non-Expenditure)	483,696
Expense Total	483,696

15020 Admissions Fixed Assets**Expense**

Depreciation (Non-Expenditure)	11,304
Expense Total	11,304

15023 Suppor Activities Fixed Assets**Expense**

Depreciation (Non-Expenditure)	145,800
Expense Total	145,800

Cost Center/Department Name**2017 Budget****15026 Building Fund Fixed Assets****Expense**

Depreciation (Non-Expenditure)

170,004

Expense Total170,004**23 Support & Admin.- Asset BU****Expense**

Indirect Costs

(24,732,766)

Retiree Medical Funding

249,996

Severance Expenses

301,600

Expense Total(24,181,170)**35 LA Facility Fund****Revenue**

Interest Income

6,000

Lease Revenues

(399,996)

Other Revenues

(53,004)

Revenue Total(447,000)**Expense**

Debt Service

2,300,000

Depreciation (Non-Expenditure)

1,970,004

Indirect Costs

(2,300,000)

Expense Total1,970,004

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
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Admissions**20001-Admissions Overhead****Expense**

Buildings & Equipment	3,000	-
Occupancy	804	29,051
Other Expenditures	300	-
Other Outside Services	5,688	4,522
Professional Services	24,996	12,692
Regular Salary & Benefits	512,296	466,637
Supplemental Staffing	9,892	2,789
Supplies and Postage	18,204	5,335
Telecommunications	2,496	2,665
Travel & Training	125,304	118,872
Expense Total	702,980	642,562

20002-Admission Operations**Revenue**

Other Revenues	-	(275)
Revenue Total	-	(275)

Expense

Buildings & Equipment	4,896	1,173
Computers & Software	396	-
Exam & Software Licensing	831,108	762,432
Exam Proctors	1,668,012	1,632,066
Exam Room Rental	1,716,000	1,763,512
Occupancy	171,300	147,364
Other Expenditures	13,596	7,715
Other Outside Services	1,313,604	1,353,312
Professional Services	-	51
Regular Salary & Benefits	2,854,796	2,660,771
Supplemental Staffing	243,500	169,704
Supplies and Postage	231,708	144,427
Telecommunications	62,820	59,792
Travel & Training	140,604	159,109
Expense Total	9,252,340	8,861,426

20004-Admissions Administration**Expense**

Buildings & Equipment	-	194
Occupancy	2,700	719
Other Expenditures	-	77

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Other Outside Services	20,916	17,846
Professional Services	294,300	249,349
Regular Salary & Benefits	457,992	405,885
Supplemental Staffing	39,698	20,349
Supplies and Postage	99,096	115,716
Telecommunications	8,604	7,863
Travel & Training	504	-
Expense Total	923,810	817,998
20007-Law School Regulation		
Expense		
Interfund Transfers	-	380
Other Outside Services	96	32
Professional Services	20,004	13,150
Regular Salary & Benefits	298,400	297,908
Supplies and Postage	396	408
Telecommunications	3,096	3,281
Travel & Training	9,996	8,367
Expense Total	331,988	323,526
20009-Admissions Revenue		
Revenue		
Administrative Fees	(687,792)	(742,397)
Exam Fees	(14,262,996)	(13,728,411)
Interest Income	(21,996)	(46,410)
Moral Character Fees	(4,118,988)	(3,944,708)
Other Fees and Charges	(250,512)	(249,264)
Other Revenues	-	(365)
Penalties and Late Fees	(498,492)	(464,800)
Student Registration Fees	(1,320,000)	(1,159,467)
Revenue Total	(21,160,776)	(20,335,822)
Expense		
Travel & Training	-	(1,474)
Expense Total	-	(1,474)
20011-Examination Development		
Expense		
Exam Graders	237,204	236,616
Interfund Transfers	-	380
Occupancy	492	1,320
Other Outside Services	369,708	351,003
Professional Services	9,996	-
Regular Salary & Benefits	332,892	332,967

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Supplemental Staffing	-	102
Supplies and Postage	4,800	2,342
Telecommunications	1,200	1,137
Travel & Training	18,600	15,144
Expense Total	974,892	941,011

20013-Examination Grading**Expense**

Buildings & Equipment	-	817
Computers & Software	-	715
Exam & Software Licensing	808,100	807,308
Exam Graders	653,596	622,446
Occupancy	11,100	10,647
Other Expenditures	-	30
Other Outside Services	29,796	35,865
Professional Services	73,200	125,019
Regular Salary & Benefits	550,412	332,633
Supplemental Staffing	384,800	312,981
Supplies and Postage	32,292	33,861
Telecommunications	3,996	3,751
Travel & Training	85,200	63,285
Expense Total	2,632,492	2,349,358

20019-Moral Character Determinations**Expense**

Buildings & Equipment	96	1,091
Computers & Software	96	181
Interfund Transfers	-	480
Other Outside Services	51,708	22,522
Professional Services	96	197
Regular Salary & Benefits	1,502,904	1,321,420
Supplemental Staffing	38,896	109,350
Supplies and Postage	14,700	9,389
Telecommunications	6,396	6,222
Travel & Training	9,996	10,400
Expense Total	1,624,888	1,481,250

20022-MCLE Provider Certification**Expense**

Buildings & Equipment	-	139
Other Expenditures	96	106
Regular Salary & Benefits	161,902	161,839
Supplemental Staffing	6,604	5,177
Supplies and Postage	300	209

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Telecommunications	1,704	1,722
Travel & Training	5,004	1,318
Expense Total	175,610	170,510
20023-Special Admissions		
Expense		
Other Outside Services	-	28
Regular Salary & Benefits	176,196	180,685
Supplemental Staffing	10,204	12,165
Supplies and Postage	900	429
Telecommunications	1,704	1,657
Expense Total	189,004	194,963
20-Admissions Assets BU		
Revenue		
Other Revenues	-	(125,146)
Revenue Total	-	(125,146)
Expense		
Indirect Costs	5,214,558	4,391,213
Retiree Medical Funding	125,004	130,435
Supplies and Postage	804	-
Expense Total	5,340,366	4,521,648
24001-Legal Specialization		
Revenue		
Administrative Fees	(2,029,896)	(1,991,540)
Exam Fees	(54,204)	(90,900)
Interest Income	(11,400)	(30,454)
Interfund Transfers	-	(300)
Other Fees and Charges	(7,200)	(11,175)
Other Revenues	(1,704)	(3,747)
Penalties and Late Fees	(11,400)	-
Revenue Total	(2,115,804)	(2,128,116)
Expense		
Computers & Software	20,304	13,710
Interfund Transfers	-	2,055
Other Expenditures	2,400	3,013
Other Outside Services	19,296	21,864
Professional Services	30,000	11,753
Regular Salary & Benefits	803,518	706,751
Supplemental Staffing	11,204	6,808
Supplies and Postage	24,060	16,299

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Telecommunications	7,404	7,237
Travel & Training	99,600	95,906
Expense Total	1,017,786	885,397

24-Legal Specialization -Asset BU**Expense**

Indirect Costs	467,341	529,779
Retiree Medical Funding	21,000	21,739
Expense Total	488,341	551,518

Chief Trial Counsel**10310-OCTC-Enforcement (Consolidated)****Revenue**

Other Fees and Charges	(57,504)	(58,675)
Other Revenues	(3,000)	(6,425)
Revenue Total	(60,504)	(65,100)

Expense

Buildings & Equipment	3,504	2,680
Computers & Software	492	480
Indirect Costs	-	11,243,569
Interfund Transfers	-	28,533
Occupancy	204	-
Other Expenditures	5,496	2,483
Other Outside Services	227,340	216,309
Professional Services	58,500	100,867
Regular Salary & Benefits	29,356,296	26,745,568
Reimbursements	(999,996)	(1,079,052)
Severance Expenses	-	159,437
Supplemental Staffing	819,900	691,624
Supplies and Postage	330,396	307,308
Telecommunications	153,000	145,519
Travel & Training	108,000	102,618
Expense Total	30,063,132	38,667,943

10316-OCTC-Enforcement (Consolidated)**Expense**

Indirect Costs	-	4,944
Other Outside Services	-	21
Professional Services	-	34,149
Regular Salary & Benefits	-	33,454
Supplies and Postage	-	142
Travel & Training	-	654

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense Total	-	73,364

Probation**10601-Probation****Expense**

Buildings & Equipment	492	1,063
Indirect Costs	-	421,648
Interfund Transfers	-	380
Other Expenditures	396	161
Other Outside Services	-	28
Regular Salary & Benefits	917,800	907,594
Supplemental Staffing	1,896	1,015
Supplies and Postage	12,096	8,748
Telecommunications	6,696	6,371
Travel & Training	504	-
Expense Total	939,880	1,347,007

Client Security Fund**27001-CSF Administration****Expense**

Computers & Software	1,200	1,683
CSF Payments	8,000,000	8,007,676
Interfund Transfers	-	1,245
Other Expenditures	(99,000)	(135,265)
Other Outside Services	16,500	12,132
Professional Services	-	49
Regular Salary & Benefits	1,497,096	1,175,560
Reimbursements	(473,604)	(755,650)
Severance Expenses	-	16,475
Supplemental Staffing	5,004	11,394
Supplies and Postage	20,892	15,534
Telecommunications	9,900	10,229
Travel & Training	4,152	126
Expense Total	8,982,140	8,361,189

27002-CSF Commission**Expense**

Supplies and Postage	300	150
Travel & Training	8,496	7,230
Expense Total	8,796	7,380

27-Client Security -Asset BU

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Interest Income	(14,496)	(29,932)
Interfund Transfers	(2,020,000)	(424,380)
Mandatory Dues	(7,819,300)	(7,787,097)
Other Revenues	(13,296)	(14,650)
Revenue Total	(9,867,092)	(8,256,058)
Expense		
Indirect Costs	819,492	636,117
Retiree Medical Funding	21,000	21,739
Expense Total	840,492	657,856

Mandatory Fee Arbitration**10503-Mandatory Fee Arb Committee****Expense**

Indirect Costs	-	1,606
Other Expenditures	996	-
Other Outside Services	996	684
Supplies and Postage	1,992	121
Travel & Training	20,796	21,422
Expense Total	24,780	23,833

10504-Mandatory Fee Arbitration (Consolidated)**Revenue**

Other Revenues	(48,300)	(48,562)
Revenue Total	(48,300)	(48,562)

Expense

Indirect Costs	-	215,350
Other Expenditures	96	84
Other Outside Services	57,300	46,332
Professional Services	-	977
Regular Salary & Benefits	575,498	574,777
Supplies and Postage	9,504	8,872
Telecommunications	3,900	3,955
Travel & Training	8,304	7,654
Expense Total	654,602	858,000

State Bar Court**10401-SBC Sr. Executive****Revenue**

Other Revenues	(14,004)	(14,210)
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Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Revenue Total	(14,004)	(14,210)
Expense		
Buildings & Equipment	96	-
Indirect Costs	-	342,478
Interfund Transfers	-	760
Other Expenditures	96	76
Other Outside Services	1,200	1,404
Professional Services	504	(15,338)
Regular Salary & Benefits	512,242	505,109
Supplemental Staffing	-	6,230
Supplies and Postage	45,204	64,698
Telecommunications	4,896	4,683
Travel & Training	26,604	29,021
Expense Total	590,842	939,122
10402-Hearing Admin.-SF		
Revenue		
Other Revenues	-	(37)
Revenue Total	-	(37)
Expense		
Buildings & Equipment	3,996	212
Indirect Costs	-	696,903
Occupancy	4,596	1,700
Other Expenditures	-	344
Other Outside Services	3,000	1,821
Professional Services	96	-
Regular Salary & Benefits	1,036,496	1,004,641
Supplemental Staffing	-	1,479
Supplies and Postage	19,188	13,063
Telecommunications	9,000	9,459
Travel & Training	11,508	12,790
Expense Total	1,087,880	1,742,411
10403-Hearing Counsel LA/SF		
Expense		
Buildings & Equipment	2,496	-
Computers & Software	-	329
Indirect Costs	-	813,562
Interfund Transfers	-	2,030
Other Outside Services	96	-
Regular Salary & Benefits	1,320,794	1,312,694
Supplies and Postage	2,196	1,739
Telecommunications	8,304	7,400

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Travel & Training	12,108	12,205
Expense Total	1,345,994	2,149,960

10404-Hearing Judges**Expense**

Buildings & Equipment	3,504	-
Computers & Software	-	165
Indirect Costs	-	558,490
Interfund Transfers	-	525
Other Expenditures	396	19
Other Outside Services	25,992	14,538
Professional Services	96	328
Regular Salary & Benefits	1,182,296	1,164,402
Supplies and Postage	396	1,407
Telecommunications	16,704	15,464
Travel & Training	40,200	25,187
Expense Total	1,269,584	1,780,524

10405-Hearing/Effec./Admin.-LA**Revenue**

Interfund Transfers	-	(1,405)
Other Revenues	(1,500)	(15,928)
Revenue Total	(1,500)	(17,333)

Expense

Buildings & Equipment	2,904	1,868
Indirect Costs	-	991,059
Occupancy	7,200	5,067
Other Expenditures	996	307
Other Outside Services	2,796	7,556
Professional Services	696	25,787
Regular Salary & Benefits	1,398,300	1,316,817
Supplemental Staffing	88,404	675
Supplies and Postage	27,504	27,291
Telecommunications	13,104	12,987
Travel & Training	4,200	3,331
Expense Total	1,546,104	2,392,745

10407-Presiding/Review Judges**Expense**

Indirect Costs	-	311,653
Interfund Transfers	-	210
Other Expenditures	96	-
Other Outside Services	-	143

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Professional Services	96	-
Regular Salary & Benefits	685,104	686,498
Supplemental Staffing	58,104	2,202
Supplies and Postage	300	541
Telecommunications	6,996	6,611
Travel & Training	38,508	45,925
Expense Total	789,204	1,053,784

10408-Review Counsel/Clerk**Expense**

Buildings & Equipment	492	299
Computers & Software	-	333
Indirect Costs	-	674,078
Interfund Transfers	-	1,900
Regular Salary & Benefits	901,098	921,445
Supplemental Staffing	30,996	8,258
Supplies and Postage	2,304	3,819
Telecommunications	5,604	5,566
Travel & Training	1,800	1,384
Expense Total	942,294	1,617,082

Member Records & Compliance**10201-Child & Family Support****Expense**

Indirect Costs	-	2,822
Other Outside Services	2,700	1,598
Regular Salary & Benefits	-	36,506
Supplemental Staffing	196	-
Supplies and Postage	1,296	950
Expense Total	4,192	41,876

10202-Member Rec. & Cert.**Revenue**

Administrative Fees	(3,000)	(3,450)
Revenue Total	(3,000)	(3,450)

Expense

Supplies and Postage	-	2
Expense Total	-	2

10251-Public Services Center**Revenue**

Administrative Fees	(262,500)	(504,313)
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Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Interfund Transfers	-	(30)
Other Fees and Charges	(6,708)	(9,325)
Other Revenues	(15,000)	(12,876)
Penalties and Late Fees	(426,000)	(387,580)
Revenue Total	(710,208)	(914,124)
Expense		
Buildings & Equipment	1,104	-
Computers & Software	204	2,671
Indirect Costs	-	1,093,520
Other Expenditures	11,196	7,372
Other Outside Services	169,692	152,853
Professional Services	204	6,013
Regular Salary & Benefits	1,909,792	2,029,752
Supplemental Staffing	179,000	165,678
Supplies and Postage	214,692	183,140
Telecommunications	19,104	22,402
Travel & Training	9,000	3,056
Expense Total	2,513,988	3,666,457
10252-Transition Assistance Services		
Expense		
Indirect Costs	-	1,476
Professional Services	28,296	20,015
Supplies and Postage	-	410
Expense Total	28,296	21,901
10253-MCLE Regulation		
Revenue		
Administrative Fees	-	(7,725)
Revenue Total	-	(7,725)
Professional Competence		
10702-COPRAC		
Revenue		
Interfund Transfers	-	(130)
Other Revenues	(4,296)	(7,080)
Revenue Total	(4,296)	(7,210)
Expense		
Indirect Costs	-	6,147
Other Expenditures	-	982
Other Outside Services	396	558

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Professional Services	204	680
Supplies and Postage	3,504	3,797
Telecommunications	300	173
Travel & Training	43,584	44,984
Expense Total	47,988	57,321

10706-Prof. Resp. & Conduct**Expense**

Buildings & Equipment	996	-
Indirect Costs	-	703,366
Interfund Transfers	-	2,810
Other Expenditures	1,296	1,993
Other Outside Services	4,296	766
Professional Services	96	-
Regular Salary & Benefits	1,571,210	1,402,062
Supplemental Staffing	3,302	1,059
Supplies and Postage	11,484	11,735
Telecommunications	20,496	19,759
Travel & Training	9,096	5,352
Expense Total	1,622,272	2,148,902

10708-Rules Revision Committee**Expense**

Indirect Costs	-	16,134
Occupancy	2,700	3,550
Other Expenditures	-	98
Other Outside Services	3,996	3,902
Professional Services	83,496	135,060
Supplies and Postage	2,592	4,151
Telecommunications	300	1,015
Travel & Training	68,496	75,611
Expense Total	161,580	239,521

10709-OPC Publications (Consolidated)**Revenue**

Interfund Transfers	-	(150)
Other Revenues	(17,088)	(14,346)
Revenue Total	(17,088)	(14,496)

Expense

Indirect Costs	-	584
Other Expenditures	4,596	-
Other Outside Services	15,192	2,708
Supplies and Postage	5,796	5,363

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	25,584	8,655
Education		
10903-Calif. Young Lawyers Assoc.		
Expense		
Indirect Costs	-	18,022
Other Outside Services	-	8
Regular Salary & Benefits	111,304	133,838
Supplemental Staffing	1,196	47
Travel & Training	504	1,575
Expense Total	113,004	153,489
10908-CYLA - Admin		
Expense		
Buildings & Equipment	204	-
Indirect Costs	-	2,607
Other Expenditures	504	-
Other Outside Services	504	2,882
Professional Services	504	428
Regular Salary & Benefits	-	294
Supplies and Postage	300	2,772
Telecommunications	1,104	375
Travel & Training	32,496	29,331
Expense Total	35,616	38,689
10909-CYLA - Education		
Revenue		
Other Revenues	(17,004)	(3,470)
Revenue Total	(17,004)	(3,470)
Expense		
Indirect Costs	-	474
Other Outside Services	2,688	1,725
Professional Services	5,196	759
Regular Salary & Benefits	-	76
Supplemental Staffing	-	226
Supplies and Postage	96	10
Telecommunications	96	-
Travel & Training	15,408	3,762
Expense Total	23,484	7,032
10910-CYLA - Outreach		
Expense		

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Indirect Costs	-	76
Other Outside Services	192	225
Professional Services	900	-
Regular Salary & Benefits	-	750
Supplies and Postage	-	62
Expense Total	1,092	1,113

10912-Calif. Young Lawyers Assoc. (Consolidated)**Expense**

Indirect Costs	-	90
Other Outside Services	-	18
Regular Salary & Benefits	-	63
Supplemental Staffing	-	187
Supplies and Postage	-	18
Telecommunications	-	245
Travel & Training	-	715
Expense Total	-	1,336

14001-Annual Meeting Admin.**Revenue**

Interest Income	(300)	84
Interfund Transfers	-	(14,413)
Other Fees and Charges	(421,992)	(473,786)
Other Revenues	(197,508)	(205,416)
Revenue Total	(619,800)	(693,531)

Expense

Other Expenditures	804	813
Other Outside Services	111,084	79,069
Professional Services	72,804	61,606
Regular Salary & Benefits	254,602	256,931
Supplemental Staffing	12,504	13,685
Supplies and Postage	46,704	46,925
Telecommunications	-	4,861
Travel & Training	128,100	146,231
Expense Total	626,602	610,121

14002-Morrison Lecture Foundation**Revenue**

Interest Income	(3,996)	(4,458)
Revenue Total	(3,996)	(4,458)

14-Annual Meeting Asset BU**Revenue**

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Interfund Transfers	(54,600)	-
Revenue Total	(54,600)	-
Expense		
Indirect Costs	51,804	100,994
Expense Total	51,804	100,994
18001-Group Insurance Programs		
Revenue		
Insurance Commissions	(953,600)	(1,032,306)
Revenue Total	(953,600)	(1,032,306)
Expense		
Other Outside Services	96	59
Professional Services	21,996	3,996
Regular Salary & Benefits	45,292	57,419
Supplemental Staffing	1,404	-
Supplies and Postage	1,692	2,000
Telecommunications	204	-
Travel & Training	47,808	21,133
Expense Total	118,492	84,607
18002-Professional Liab Insurance		
Revenue		
Insurance Commissions	(999,996)	(1,120,000)
Revenue Total	(999,996)	(1,120,000)
Expense		
Interfund Transfers	-	6,740
Other Outside Services	10,992	1,805
Professional Services	-	7,208
Regular Salary & Benefits	46,792	71,970
Supplemental Staffing	4,004	-
Supplies and Postage	2,004	1,777
Telecommunications	96	34
Travel & Training	52,308	12,940
Expense Total	116,196	102,474
18004-Affinity Programs		
Revenue		
Other Revenues	-	(133,059)
Revenue Total	-	(133,059)
Expense		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Interfund Transfers	-	750
Other Outside Services	61,596	51,982
Professional Services	396	249
Supplies and Postage	1,296	1,353
Travel & Training	2,496	255
Expense Total	65,784	54,589
18-Affinity & Insurance Fund		
Revenue		
Interest Income	(9,300)	(29,432)
Revenue Total	(9,300)	(29,432)
Expense		
Indirect Costs	125,839	81,460
Expense Total	125,839	81,460
70001-Sections Administration		
Revenue		
Interest Income	(1,104)	3,287
Interfund Transfers	-	(32,032)
Other Revenues	-	(4,200)
Revenue Total	(1,104)	(32,945)
Expense		
Buildings & Equipment	96	757
Indirect Costs	90,000	121,925
Other Expenditures	55,092	(1,971,659)
Other Outside Services	3,300	10,663
Professional Services	98,604	100,111
Regular Salary & Benefits	2,059,296	1,872,650
Severance Expenses	-	93,963
Supplemental Staffing	121,696	25,848
Supplies and Postage	19,500	17,832
Telecommunications	34,896	34,105
Travel & Training	46,692	28,510
Expense Total	2,529,172	334,707
70002-SEMS Pcard Default		
Expense		
Computers & Software	-	(5)
Other Outside Services	3,996	-
Supplies and Postage	-	(956)
Telecommunications	-	388
Travel & Training	-	(131)
Expense Total	3,996	(704)

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
70101-Conference of Delegates		
Expense		
Travel & Training	-	62
Expense Total	-	62
70-Sections OH -Asset BU		
Revenue		
Interfund Transfers	-	(629,730)
Revenue Total	-	(629,730)
Expense		
Indirect Costs	1,667,867	1,493,481
Retiree Medical Funding	42,000	40,217
Expense Total	1,709,867	1,533,698
71001-Antitrust Section Admin.		
Revenue		
Interest Income	(504)	(1,267)
Sections Member Dues	(91,800)	(124,930)
Revenue Total	(92,304)	(126,197)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	40,587
Other Outside Services	396	193
Professional Services	504	215
Regular Salary & Benefits	-	115
Supplies and Postage	696	105
Telecommunications	396	1,181
Travel & Training	300	2,087
Expense Total	2,496	44,483
71200-Antitrust - Newsletter		
Revenue		
Other Revenues	(1,704)	(6,152)
Revenue Total	(1,704)	(6,152)
Expense		
Other Outside Services	15,600	12,836
Supplies and Postage	5,400	5,500
Expense Total	21,000	18,335
71300-Antitrust - Publication		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Other Revenues	(4,704)	(5,709)
Revenue Total	(4,704)	(5,709)
Expense		
Other Outside Services	-	194
Professional Services	2,400	2,000
Supplies and Postage	-	283
Expense Total	2,400	2,476
71400-Antitrust - GG Institute		
Revenue		
Other Revenues	(129,300)	(182,172)
Revenue Total	(129,300)	(182,172)
Expense		
Other Expenditures	-	76,397
Other Outside Services	4,992	15,409
Professional Services	1,800	1,028
Regular Salary & Benefits	-	1,085
Supplies and Postage	2,004	11,234
Travel & Training	9,600	27,210
Expense Total	18,396	132,362
71403-Antitrust-Online CLE		
Revenue		
Other Revenues	(14,700)	(16,404)
Revenue Total	(14,700)	(16,404)
Expense		
Other Outside Services	900	1,885
Expense Total	900	1,885
71500-Antitrust - SB Annual Mtg		
Revenue		
Other Revenues	-	(3,560)
Revenue Total	-	(3,560)
Expense		
Other Outside Services	-	1,530
Professional Services	-	346
Travel & Training	-	5,513
Expense Total	-	7,390

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
71600-Antitrust - ExCom Mtg		
Revenue		
Other Revenues	(504)	-
Revenue Total	(504)	-
Expense		
Other Expenditures	10,104	3,397
Other Outside Services	-	687
Professional Services	16,200	426
Telecommunications	300	141
Travel & Training	38,508	46,947
Expense Total	65,112	51,598
72001-Business Law Section Admin.		
Revenue		
Interest Income	(1,896)	(4,740)
Sections Member Dues	(707,700)	(765,805)
Revenue Total	(709,596)	(770,545)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	253,270
Other Outside Services	900	345
Professional Services	2,004	-
Supplies and Postage	4,392	359
Telecommunications	96	27
Travel & Training	492	-
Expense Total	8,088	254,002
72200-BusLaw Newsletter		
Revenue		
Other Revenues	(600)	-
Revenue Total	(600)	-
Expense		
Computers & Software	(696)	-
Other Outside Services	41,196	20,789
Professional Services	35,004	34,013
Supplies and Postage	24,900	13,060
Telecommunications	96	99
Travel & Training	1,200	1,242
Expense Total	101,700	69,203

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
72300-BusLaw General Publications		
Expense		
Professional Services	696	-
Expense Total	696	-
72400-BusLaw Section Retreat		
Expense		
Other Expenditures	1,596	2,973
Other Outside Services	1,608	4,607
Supplies and Postage	96	-
Travel & Training	20,604	28,268
Expense Total	23,904	35,848
72403-BusLaw Online CLE		
Revenue		
Other Revenues	(60,996)	(37,978)
Revenue Total	(60,996)	(37,978)
Expense		
Other Outside Services	3,096	1,160
Expense Total	3,096	1,160
72500-BusLaw Annual Meeting		
Expense		
Interfund Transfers	-	2,450
Other Expenditures	1,296	1,237
Other Outside Services	3,204	2,104
Professional Services	-	1,748
Supplies and Postage	300	260
Travel & Training	9,000	15,471
Expense Total	13,800	23,270
72600-BusLaw Exec. Comm. Mtg.		
Expense		
Other Expenditures	900	100
Other Outside Services	9,000	4,767
Regular Salary & Benefits	-	102
Supplies and Postage	-	83
Telecommunications	1,596	1,955
Travel & Training	26,988	40,238
Expense Total	38,484	47,245
72601-BusLaw Exec. -Constituency&Web		
Expense		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Travel & Training	96	-
Expense Total	96	-
72700-BusLaw AgriBus. Ctee. Mtgs.		
Revenue		
Other Revenues	(12,300)	(749)
Revenue Total	(12,300)	(749)
Expense		
Telecommunications	96	94
Travel & Training	10,896	2,446
Expense Total	10,992	2,540
72701-BusLaw Cons. Fin. Svcs. Comm.		
Expense		
Other Expenditures	900	-
Other Outside Services	-	447
Telecommunications	204	300
Travel & Training	5,604	2,084
Expense Total	6,708	2,831
72702-BusLaw Corp. Comm. Mtgs.		
Expense		
Other Outside Services	2,004	1,911
Telecommunications	300	248
Travel & Training	6,600	6,704
Expense Total	8,904	8,863
72704-BusLaw InsolvencyLaw Ctee.Mtgs		
Expense		
Other Outside Services	2,004	8,753
Regular Salary & Benefits	-	8
Supplemental Staffing	-	8
Telecommunications	300	429
Travel & Training	11,700	7,479
Expense Total	14,004	16,676
72705-BusLaw Educ. Comm. Mtg.		
Expense		
Other Outside Services	1,104	437
Travel & Training	2,196	2,618
Expense Total	3,300	3,055
72706-BusLaw Fin. Inst. Comm.		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Outside Services	300	253
Telecommunications	396	186
Travel & Training	4,200	3,526
Expense Total	4,896	3,965
72707-BusLaw Franchise Law Comm.		
Expense		
Other Outside Services	-	447
Telecommunications	300	202
Travel & Training	300	1,692
Expense Total	600	2,341
72708-BusLaw Insurance Comm. Mtg.		
Expense		
Other Outside Services	504	-
Telecommunications	96	58
Travel & Training	2,700	-
Expense Total	3,300	58
72709-BusLaw Nonprofit Comm. Mtg.		
Expense		
Buildings & Equipment	1,404	-
Other Outside Services	696	1,749
Telecommunications	696	525
Travel & Training	18,900	5,814
Expense Total	21,696	8,087
72710-BusLaw Partnership Comm. Mtg.		
Expense		
Telecommunications	204	164
Expense Total	204	164
72711-BusLaw Comm.Trans Comm. Mtg		
Expense		
Other Outside Services	-	447
Telecommunications	96	87
Travel & Training	696	1,106
Expense Total	792	1,640
72712-BusLaw Opinions Report Comm.		
Expense		
Travel & Training	5,604	5,839
Expense Total	5,604	5,839

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
72713-BusLaw Cyberspace Law		
Expense		
Other Expenditures	504	-
Telecommunications	300	163
Travel & Training	3,600	485
Expense Total	4,404	648
72716-BusLaw Health Law Committee		
Expense		
Other Outside Services	-	447
Telecommunications	96	103
Travel & Training	-	1,105
Expense Total	96	1,655
72717-BusLaw Litigation Committee		
Expense		
Other Expenditures	504	-
Other Outside Services	396	447
Telecommunications	300	164
Travel & Training	3,504	1,348
Expense Total	4,704	1,959
73001-Criminal Law Section Admin.		
Revenue		
Interest Income	(504)	(1,398)
Sections Member Dues	(157,500)	(157,045)
Revenue Total	(158,004)	(158,443)
Expense		
Other Expenditures	-	51,932
Other Outside Services	4,704	3,247
Supplies and Postage	-	61
Telecommunications	204	128
Travel & Training	-	242
Expense Total	4,908	55,610
73200-Criminal Law Journal		
Expense		
Other Outside Services	10,692	11,309
Supplies and Postage	3,096	2,442
Expense Total	13,788	13,752
73400-Crim Law Stand-Alone		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Other Revenues	(5,700)	-
Revenue Total	(5,700)	-
Expense		
Other Outside Services	792	-
Professional Services	804	-
Travel & Training	1,296	442
Expense Total	2,892	442
73403-Crim Law Online CLE Edu		
Revenue		
Other Revenues	(38,796)	(39,394)
Revenue Total	(38,796)	(39,394)
Expense		
Other Outside Services	900	1,015
Expense Total	900	1,015
73500-Criminal Law SB Annual Mtg		
Expense		
Professional Services	-	490
Travel & Training	3,096	1,322
Expense Total	3,096	1,812
73600-Criminal Law ExCom Mtgs		
Expense		
Other Expenditures	4,200	3,327
Other Outside Services	600	851
Regular Salary & Benefits	-	1,074
Supplies and Postage	-	38
Travel & Training	18,696	28,563
Expense Total	23,496	33,854
74001-Enviro Law Sections Admin		
Revenue		
Interest Income	(1,104)	(2,241)
Sections Member Dues	(225,108)	(232,655)
Revenue Total	(226,212)	(234,896)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	83,092
Other Outside Services	12,000	494

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Professional Services	1,404	-
Supplies and Postage	1,200	21
Telecommunications	804	845
Travel & Training	2,604	-
Expense Total	18,216	84,451
74200-Enviro Law Newsletter		
Expense		
Other Outside Services	6,792	8,448
Supplies and Postage	2,304	2,906
Expense Total	9,096	11,354
74400-Enviro Law One Day Edu Program		
Expense		
Other Outside Services	1,908	-
Professional Services	1,704	-
Supplies and Postage	1,404	0
Travel & Training	6,108	-
Expense Total	11,124	0
74401-Enviro Law Multi Day Edu Progr		
Revenue		
Other Revenues	(8,508)	(7,415)
Revenue Total	(8,508)	(7,415)
Expense		
Other Outside Services	1,800	1,326
Professional Services	1,596	-
Regular Salary & Benefits	-	578
Supplies and Postage	1,404	1,111
Travel & Training	300	7,857
Expense Total	5,100	10,871
74402-Enviro Law Out Reach Program		
Revenue		
Other Revenues	(4,800)	(3,910)
Revenue Total	(4,800)	(3,910)
Expense		
Other Outside Services	5,892	2,843
Professional Services	696	140
Supplies and Postage	-	1,173
Travel & Training	10,092	3,872
Expense Total	16,680	8,028

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
74403-Enviro Law Online CLE		
Revenue		
Other Revenues	(19,104)	(17,022)
Revenue Total	(19,104)	(17,022)
Expense		
Other Outside Services	600	2,546
Expense Total	600	2,546
74404-Enviro Law Student Negotiation		
Revenue		
Other Revenues	(7,596)	(9,285)
Revenue Total	(7,596)	(9,285)
Expense		
Other Outside Services	1,992	4,194
Professional Services	900	761
Supplies and Postage	600	703
Travel & Training	5,400	8,006
Expense Total	8,892	13,665
74405-Enviro Law Yosemite Conference		
Revenue		
Other Revenues	(262,392)	(330,100)
Revenue Total	(262,392)	(330,100)
Expense		
Other Expenditures	-	9,768
Other Outside Services	8,700	40,188
Professional Services	9,900	5,598
Regular Salary & Benefits	-	1,519
Supplemental Staffing	-	763
Supplies and Postage	4,608	4,747
Telecommunications	-	3,081
Travel & Training	396	244,446
Expense Total	23,604	310,110
74500-EnviroLaw State Bar Annual Mtg		
Expense		
Professional Services	-	790
Supplies and Postage	-	0
Travel & Training	900	1,638
Expense Total	900	2,428

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
74600-Enviro Law ExCom Meeting		
Revenue		
Other Revenues	-	(130)
Revenue Total	-	(130)
Expense		
Other Expenditures	-	540
Other Outside Services	1,500	-
Professional Services	-	775
Supplies and Postage	-	1
Telecommunications	-	445
Travel & Training	12,204	45,610
Expense Total	13,704	47,372
74601-Enviro Law ExCom Retreat		
Expense		
Buildings & Equipment	-	1,250
Other Expenditures	-	999
Other Outside Services	-	1,449
Travel & Training	38,496	45,269
Expense Total	38,496	48,968
75001-Trust&Estate Section Admin		
Revenue		
Grants	-	(10,000)
Interest Income	(2,004)	(4,977)
Other Revenues	(1,104)	-
Sections Member Dues	(598,008)	(615,215)
Revenue Total	(601,116)	(630,192)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	202,137
Other Outside Services	600	4,626
Professional Services	-	697
Regular Salary & Benefits	-	34
Supplies and Postage	792	611
Telecommunications	96	112
Travel & Training	96	-
Expense Total	1,788	208,216

75200-Trust&Estate Newsletter

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Other Revenues	(19,200)	(23,760)
Revenue Total	(19,200)	(23,760)
Expense		
Other Outside Services	32,904	44,311
Professional Services	29,196	13,300
Supplies and Postage	17,304	14,553
Telecommunications	-	100
Expense Total	79,404	72,264
75300-Trust&Easte Other Publications		
Revenue		
Other Revenues	(13,200)	(110)
Revenue Total	(13,200)	(110)
Expense		
Other Outside Services	4,296	2
Professional Services	1,704	-
Expense Total	6,000	2
75400-Trust&Estate Fall Program		
Revenue		
Other Revenues	(14,004)	(32,275)
Revenue Total	(14,004)	(32,275)
Expense		
Other Outside Services	396	17,678
Supplies and Postage	-	2,743
Travel & Training	6,804	26,528
Expense Total	7,200	46,949
75401-Trust&Estate Other Programs		
Revenue		
Other Fees and Charges	-	300
Other Revenues	(63,096)	(56,080)
Sections Member Dues	-	(295)
Revenue Total	(63,096)	(56,075)
Expense		
Buildings & Equipment	-	778
Other Expenditures	-	451
Other Outside Services	12,600	10,929
Professional Services	1,596	4,030

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Regular Salary & Benefits	-	827
Supplemental Staffing	-	58
Supplies and Postage	8,604	2,464
Telecommunications	96	91
Travel & Training	39,300	38,258
Expense Total	62,196	57,886

75402-Trust&Estate Sr. Projects**Expense**

Other Outside Services	300	124
Professional Services	3,300	-
Supplies and Postage	300	20
Telecommunications	96	83
Expense Total	3,996	227

75403-Trust&Estate Online CLE**Revenue**

Other Revenues	(48,696)	(79,651)
Revenue Total	(48,696)	(79,651)

Expense

Other Outside Services	996	1,015
Expense Total	996	1,015

75500-Trust&Estate SBC-AM**Expense**

Other Expenditures	3,204	-
Other Outside Services	2,208	2,593
Supplies and Postage	-	11
Travel & Training	16,704	3,415
Expense Total	22,116	6,019

75600-Trust&Estate ExCom Meeting**Expense**

Other Expenditures	504	184
Other Outside Services	7,896	10,734
Regular Salary & Benefits	-	314
Supplemental Staffing	3,504	-
Supplies and Postage	-	153
Telecommunications	1,200	249
Travel & Training	101,400	126,010
Expense Total	114,504	137,645

75605-Trust&Estate Retreat

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Expenditures	2,004	2,439
Other Outside Services	7,296	4,548
Professional Services	-	2,000
Travel & Training	11,004	19,284
Expense Total	20,304	28,270
75700-Trust&Estate Sub Committees		
Expense		
Telecommunications	396	449
Travel & Training	300	204
Expense Total	696	654
76001-Family Law Section Admin.		
Revenue		
Interest Income	(804)	(2,194)
Other Revenues	(96)	-
Sections Member Dues	(368,100)	(384,695)
Revenue Total	(369,000)	(386,889)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	125,437
Other Outside Services	1,896	2,036
Professional Services	9,204	2,261
Regular Salary & Benefits	-	615
Supplies and Postage	804	4,067
Telecommunications	1,104	657
Travel & Training	1,500	1,390
Expense Total	14,712	136,463
76200-Family Law Newsletter		
Revenue		
Other Revenues	(10,104)	(7,450)
Revenue Total	(10,104)	(7,450)
Expense		
Other Outside Services	18,792	17,310
Professional Services	14,796	16,595
Supplies and Postage	7,404	8,496
Expense Total	40,992	42,401
76403-Family Law Online CLE		
Revenue		

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Other Revenues	(72,804)	(78,451)
Revenue Total	(72,804)	(78,451)
Expense		
Other Outside Services	2,400	2,900
Expense Total	2,400	2,900
76500-Family Law SB Annual Mtg		
Expense		
Other Expenditures	11,400	1,402
Other Outside Services	696	265
Professional Services	300	1,525
Supplies and Postage	96	-
Travel & Training	2,904	11,334
Expense Total	15,396	14,524
76600-Family Law ExCom Mtg		
Expense		
Occupancy	-	1,650
Other Expenditures	27,204	1,221
Other Outside Services	16,296	2,963
Professional Services	-	107
Regular Salary & Benefits	-	86
Supplemental Staffing	-	221
Supplies and Postage	-	81
Telecommunications	2,004	1,209
Travel & Training	116,592	115,745
Expense Total	162,096	123,283
76700-Family Law Sub Committees		
Revenue		
Other Revenues	(66,696)	(72,875)
Revenue Total	(66,696)	(72,875)
Expense		
Other Outside Services	5,508	2,532
Professional Services	2,196	1,462
Regular Salary & Benefits	-	1,085
Supplies and Postage	2,904	3,751
Travel & Training	19,896	30,899
Expense Total	30,504	39,730
77001-Intel. Prop. Sections Admin.		
Revenue		

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Interest Income	(1,704)	(4,639)
Sections Member Dues	(646,596)	(636,995)
Revenue Total	(648,300)	(641,634)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	207,730
Other Outside Services	204	298
Supplies and Postage	10,008	(47)
Telecommunications	204	-
Expense Total	10,620	207,980
77200-Intel. Prop-Publication		
Expense		
Other Outside Services	42,900	51,914
Supplies and Postage	16,296	22,625
Expense Total	59,196	74,539
77300-Intel. Prop-Treatise		
Revenue		
Other Revenues	(2,700)	-
Revenue Total	(2,700)	-
Expense		
Other Outside Services	1,200	5,422
Professional Services	396	-
Supplies and Postage	13,200	-
Expense Total	14,796	5,422
77401-Intel. Prop-Institute		
Revenue		
Other Revenues	(46,296)	(71,185)
Revenue Total	(46,296)	(71,185)
Expense		
Other Expenditures	-	2,496
Other Outside Services	5,292	8,815
Professional Services	-	11,307
Regular Salary & Benefits	-	1,355
Supplemental Staffing	-	594
Supplies and Postage	996	1,714
Telecommunications	2,496	-
Travel & Training	96,996	58,311
Expense Total	105,780	84,593

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
77402-Intel. Prop-Copyright		
Revenue		
Other Revenues	-	(16,195)
Revenue Total	-	(16,195)
Expense		
Other Outside Services	-	936
Professional Services	-	3,226
Regular Salary & Benefits	-	377
Travel & Training	-	13,339
Expense Total	-	17,877
77403-Intel. Prop-Online CLE		
Revenue		
Other Revenues	(78,696)	(104,974)
Revenue Total	(78,696)	(104,974)
Expense		
Other Outside Services	4,692	4,350
Expense Total	4,692	4,350
77404-Intel. Prop-Patent Office		
Revenue		
Other Revenues	-	(9,280)
Revenue Total	-	(9,280)
Expense		
Other Outside Services	-	906
Professional Services	300	1,118
Supplies and Postage	-	11
Travel & Training	-	900
Expense Total	300	2,935
77405-Intel. Prop-IP & Internet		
Revenue		
Other Revenues	-	(15,760)
Revenue Total	-	(15,760)
Expense		
Other Outside Services	-	2,372
Professional Services	-	310
Supplemental Staffing	-	164
Travel & Training	-	5,241

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	-	8,087
77406-Intel. Prop-Trademark		
Revenue		
Other Revenues	(57,696)	(19,155)
Revenue Total	(57,696)	(19,155)
Expense		
Other Expenditures	-	534
Other Outside Services	8,508	382
Professional Services	1,104	1,599
Supplies and Postage	-	38
Telecommunications	804	-
Travel & Training	41,088	3,736
Expense Total	51,504	6,289
77409-Intel. Prop Federal Circuit		
Revenue		
Other Revenues	(20,100)	-
Revenue Total	(20,100)	-
Expense		
Other Outside Services	2,904	-
Professional Services	300	-
Supplies and Postage	96	19
Telecommunications	396	-
Travel & Training	17,796	118
Expense Total	21,492	136
77410-Intel. Prop-WIPO/EPO/JPO/CPO		
Revenue		
Other Revenues	(2,496)	-
Revenue Total	(2,496)	-
Expense		
Other Outside Services	1,596	-
Travel & Training	2,508	-
Expense Total	4,104	-
77411-Intel. Prop-Issue Entertainmnt		
Revenue		
Other Revenues	(16,392)	-
Revenue Total	(16,392)	-

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Outside Services	4,596	-
Professional Services	396	-
Travel & Training	6,204	-
Expense Total	11,196	-
77500-Intel. Prop. Annual Mtg		
Expense		
Travel & Training	696	5,012
Expense Total	696	5,012
77600-Intel. Prop. ExCom Mtg		
Revenue		
Other Revenues	(900)	-
Revenue Total	(900)	-
Expense		
Other Expenditures	2,604	184
Other Outside Services	204	2,507
Professional Services	300	-
Supplies and Postage	96	5
Telecommunications	1,104	888
Travel & Training	61,992	96,691
Expense Total	66,300	100,274
77807-Intel Prop Copyright Committee		
Expense		
Other Expenditures	-	310
Telecommunications	-	14
Travel & Training	-	310
Expense Total	-	634
77809-Intel. Prop. Patents Committee		
Expense		
Other Expenditures	-	584
Travel & Training	-	170
Expense Total	-	754
77810-Intel. Prop. Trademark Cte		
Expense		
Other Expenditures	-	150
Travel & Training	-	248
Expense Total	-	398

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
77814-Intel. Prop. Wash DC Program		
Expense		
Travel & Training	9,000	8,863
Expense Total	9,000	8,863
77817-Intel. Prop. Trade Secrets		
Expense		
Other Expenditures	-	310
Other Outside Services	-	136
Travel & Training	-	310
Expense Total	-	756
77818-Intel. Prop Entertainment&Spor		
Expense		
Other Expenditures	-	489
Travel & Training	300	272
Expense Total	300	761
78001-Intl. Law Section Admin		
Revenue		
Interest Income	(396)	(808)
Sections Member Dues	(113,004)	(110,675)
Revenue Total	(113,400)	(111,483)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	35,311
Other Outside Services	1,800	486
Professional Services	96	375
Regular Salary & Benefits	-	146
Supplies and Postage	3,108	197
Telecommunications	396	291
Travel & Training	396	54
Expense Total	6,000	36,861
78200-Int'l Law Journal		
Expense		
Other Outside Services	2,700	8,762
Professional Services	9,396	6,000
Supplies and Postage	1,704	2,975
Expense Total	13,800	17,736
78400-Int'l Law One Day Program		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Other Revenues	-	(8,430)
Revenue Total	-	(8,430)
Expense		
Other Expenditures	-	1,353
Other Outside Services	-	2,280
Professional Services	-	14,229
Regular Salary & Benefits	-	367
Supplies and Postage	-	908
Travel & Training	-	15,589
Expense Total	-	34,727
78401-Int'l Law Multi-Day Program		
Revenue		
Other Revenues	(15,396)	-
Revenue Total	(15,396)	-
Expense		
Other Expenditures	396	-
Other Outside Services	2,304	92
Professional Services	696	-
Travel & Training	4,500	-
Expense Total	7,896	92
78403-Int'l Law Online CLE		
Revenue		
Other Revenues	(27,696)	(34,532)
Revenue Total	(27,696)	(34,532)
Expense		
Other Outside Services	1,896	2,610
Expense Total	1,896	2,610
78500-Int'l Law State Bar Annual Mtg		
Revenue		
Other Revenues	(3,804)	(5,000)
Revenue Total	(3,804)	(5,000)
Expense		
Other Expenditures	2,904	-
Other Outside Services	204	231
Professional Services	-	1,506
Supplies and Postage	96	-

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Travel & Training	13,200	628
Expense Total	16,404	2,364
78600-Int'l Law ExCom Meeting		
Expense		
Other Expenditures	1,200	3,748
Other Outside Services	-	785
Professional Services	204	1,220
Regular Salary & Benefits	-	227
Supplies and Postage	-	2,403
Telecommunications	-	286
Travel & Training	12,300	49,927
Expense Total	13,704	58,596
78603-Int'l Law ExCom Retreat		
Expense		
Travel & Training	2,796	3,783
Expense Total	2,796	3,783
79001-Labor & Empl. Administration		
Revenue		
Interest Income	(2,004)	(5,080)
Other Revenues	(50,700)	(37,508)
Sections Member Dues	(568,404)	(708,282)
Revenue Total	(621,108)	(750,870)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	234,255
Other Outside Services	51,012	23,601
Professional Services	-	5,000
Supplies and Postage	288	126
Telecommunications	204	202
Travel & Training	-	1,129
Expense Total	51,708	264,313
79200-Labor & Empl. Newsletter		
Revenue		
Other Revenues	(7,800)	-
Revenue Total	(7,800)	-
Expense		
Other Outside Services	46,200	36,986
Professional Services	7,704	11,813

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Supplies and Postage	22,596	19,650
Expense Total	76,500	68,448
79300-Labor & Empl. Publication		
Revenue		
Other Revenues	(44,496)	(21,563)
Revenue Total	(44,496)	(21,563)
Expense		
Professional Services	23,400	19,500
Supplies and Postage	-	24
Expense Total	23,400	19,524
79400-Labor & Empl. Programs		
Revenue		
Other Revenues	-	(28,495)
Revenue Total	-	(28,495)
Expense		
Other Expenditures	-	8
Other Outside Services	-	1,697
Professional Services	-	415
Regular Salary & Benefits	-	445
Supplies and Postage	-	816
Travel & Training	-	3,599
Expense Total	-	6,981
79401-Labor & Empl. Section AN Mtg.		
Revenue		
Other Revenues	(124,992)	(122,898)
Revenue Total	(124,992)	(122,898)
Expense		
Other Expenditures	600	4,028
Other Outside Services	10,596	17,784
Professional Services	27,000	6,056
Regular Salary & Benefits	-	1,128
Supplies and Postage	6,792	6,381
Telecommunications	-	951
Travel & Training	121,296	95,064
Expense Total	166,284	131,391
79402-Labor & Empl. Pub. Sector Conf		
Revenue		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Other Revenues	(61,200)	-
Revenue Total	(61,200)	-
Expense		
Other Expenditures	300	-
Other Outside Services	10,296	-
Professional Services	4,704	-
Supplies and Postage	4,296	35
Travel & Training	57,408	37,500
Expense Total	77,004	37,535
79403-Labor & Empl. Online CLE		
Revenue		
Other Revenues	(73,596)	(82,668)
Revenue Total	(73,596)	(82,668)
Expense		
Other Outside Services	300	1,450
Expense Total	300	1,450
79404-Labor & Empl. Wage & Hour Prog		
Revenue		
Other Revenues	-	(51,715)
Revenue Total	-	(51,715)
Expense		
Other Expenditures	-	624
Other Outside Services	-	15,619
Professional Services	-	1,280
Regular Salary & Benefits	-	53
Supplies and Postage	-	2,967
Travel & Training	-	37,722
Expense Total	-	58,265
79405-Labor & Empl. New Lawyer Prog		
Revenue		
Other Revenues	(12,000)	(320)
Revenue Total	(12,000)	(320)
Expense		
Other Outside Services	2,004	2,471
Professional Services	1,200	-
Supplies and Postage	-	3,070
Travel & Training	9,900	-

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	13,104	5,541
79500-Labor & Empl. SB Annual Mtg.		
Expense		
Professional Services	-	733
Travel & Training	696	3,661
Expense Total	696	4,394
79600-Labor & Empl. ExCom Mtg.		
Expense		
Occupancy	-	1,620
Other Expenditures	3,396	2,118
Other Outside Services	396	1,646
Professional Services	-	1,686
Regular Salary & Benefits	-	303
Supplies and Postage	-	1
Telecommunications	-	724
Travel & Training	54,504	72,559
Expense Total	58,296	80,658
80001-LPMT - Section Admin.		
Revenue		
Interest Income	(504)	(1,325)
Other Revenues	(804)	-
Sections Member Dues	(90,600)	(86,460)
Revenue Total	(91,908)	(87,785)
Expense		
Other Expenditures	-	30,680
Other Outside Services	96	111
Supplies and Postage	204	90
Telecommunications	204	532
Travel & Training	204	-
Expense Total	708	31,413
80403-LPMT - Online CLE		
Revenue		
Other Revenues	(48,504)	(67,388)
Revenue Total	(48,504)	(67,388)
80500-LPMT - SB Annual Mtg		
Expense		
Professional Services	-	1,251
Supplies and Postage	-	66
Travel & Training	-	844

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	-	2,161
80600-LPMT - ExCom Mtg		
Revenue		
Other Revenues	-	(250)
Revenue Total	-	(250)
Expense		
Other Expenditures	996	2,504
Other Outside Services	300	751
Professional Services	-	339
Regular Salary & Benefits	-	301
Supplies and Postage	-	30
Telecommunications	96	298
Travel & Training	25,896	27,306
Expense Total	27,288	31,529
81001-Lit.-Administration		
Revenue		
Interest Income	(1,596)	(4,474)
Sections Member Dues	(849,792)	(822,720)
Revenue Total	(851,388)	(827,194)
Expense		
Buildings & Equipment	204	-
Other Expenditures	2,400	274,043
Other Outside Services	888	1,226
Professional Services	900	35
Regular Salary & Benefits	-	196
Supplies and Postage	504	609
Telecommunications	600	687
Expense Total	5,496	276,796
81200-Lit.- CA Litigation Journal		
Revenue		
Other Revenues	-	(23)
Revenue Total	-	(23)
Expense		
Other Outside Services	30,000	87,260
Professional Services	35,400	14,700
Regular Salary & Benefits	504	-
Supplies and Postage	29,904	11,251
Travel & Training	1,200	-

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	97,008	113,211
81201-Lit.-Litigation update E-news		
Expense		
Other Outside Services	1,404	-
Professional Services	1,800	1,277
Travel & Training	300	-
Expense Total	3,504	1,277
81300-Lit.-Litigation Review		
Expense		
Other Outside Services	22,212	17,445
Supplies and Postage	7,200	6,273
Expense Total	29,412	23,718
81400-Lit.-Week in Legal London		
Revenue		
Other Revenues	(155,100)	-
Revenue Total	(155,100)	-
Expense		
Other Outside Services	18,000	-
Professional Services	38,400	250
Supplies and Postage	96	750
Telecommunications	2,904	-
Travel & Training	93,996	-
Expense Total	153,396	1,000
81401-Lit.-Insurance Staff Counsel		
Revenue		
Other Revenues	(12,000)	(2,660)
Revenue Total	(12,000)	(2,660)
Expense		
Other Outside Services	1,500	940
Professional Services	-	550
Regular Salary & Benefits	-	305
Supplies and Postage	300	184
Travel & Training	300	1,037
Expense Total	2,100	3,016
81402-Lit.-Best Practices Program		
Revenue		
Other Revenues	(3,696)	(3,000)

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Revenue Total	(3,696)	(3,000)
Expense		
Other Outside Services	2,700	1,226
Professional Services	600	550
Supplemental Staffing	-	244
Supplies and Postage	2,808	1,091
Travel & Training	1,704	1,918
Expense Total	7,812	5,028
81403-Lit.-Online CLE Programs		
Revenue		
Other Revenues	(40,200)	(32,986)
Revenue Total	(40,200)	(32,986)
Expense		
Other Outside Services	2,304	1,160
Expense Total	2,304	1,160
81406-Lit.-Stand alone CLE		
Revenue		
Other Revenues	-	(3,515)
Revenue Total	-	(3,515)
Expense		
Other Outside Services	-	65
Supplemental Staffing	-	158
Expense Total	-	223
81500-Lit.-SB Annual Mtg		
Expense		
Other Outside Services	-	5
Professional Services	-	567
Travel & Training	96	3,341
Expense Total	96	3,913
81600-Lit.-ExCom Mtg		
Expense		
Occupancy	900	1,220
Other Expenditures	3,900	184
Other Outside Services	396	3,643
Professional Services	-	1,688
Telecommunications	300	141
Travel & Training	26,592	59,252

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	32,088	66,128
81700-Lit.-SubCommittees		
Revenue		
Other Revenues	(2,004)	-
Revenue Total	(2,004)	-
Expense		
Other Outside Services	696	764
Professional Services	396	250
Travel & Training	96	1,619
Expense Total	1,188	2,633
81800-Lit.-Trial Lawyer Hall of Fame		
Expense		
Professional Services	-	598
Supplies and Postage	-	7
Expense Total	-	604
82001-Public Law Section Admin		
Revenue		
Interest Income	(600)	(1,636)
Other Revenues	-	(223)
Sections Member Dues	(140,100)	(142,340)
Revenue Total	(140,700)	(144,199)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	53,490
Other Outside Services	2,700	296
Supplies and Postage	300	35
Telecommunications	204	-
Expense Total	3,408	53,822
82200-Public Law Journal		
Expense		
Other Outside Services	7,404	6,463
Professional Services	-	336
Supplies and Postage	1,104	41
Expense Total	8,508	6,840
82400-Public Law Programs		
Revenue		
Other Revenues	(79,800)	(40,753)
Revenue Total	(79,800)	(40,753)

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Outside Services	9,600	2,873
Professional Services	-	4,273
Regular Salary & Benefits	-	847
Supplemental Staffing	-	283
Supplies and Postage	11,700	120
Travel & Training	24,804	21,403
Expense Total	46,104	29,798
82403-Public Law Online CLE		
Revenue		
Other Revenues	(23,100)	(31,604)
Revenue Total	(23,100)	(31,604)
Expense		
Other Outside Services	696	580
Expense Total	696	580
82500-Public Law SB Annual Meeting		
Expense		
Professional Services	-	826
Travel & Training	1,608	1,946
Expense Total	1,608	2,772
82600-Public Law ExCom Meeting		
Revenue		
Other Revenues	-	(500)
Revenue Total	-	(500)
Expense		
Other Expenditures	504	184
Other Outside Services	5,292	2,526
Professional Services	2,100	629
Regular Salary & Benefits	-	136
Supplies and Postage	-	2,028
Telecommunications	2,004	255
Travel & Training	28,200	25,446
Expense Total	38,100	31,204
82700-PLOY		
Revenue		
Other Revenues	(7,296)	(3,000)
Revenue Total	(7,296)	(3,000)

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Expenditures	96	2,063
Other Outside Services	1,896	2,525
Professional Services	-	4,668
Supplies and Postage	96	4
Travel & Training	7,296	6,250
Expense Total	9,384	15,509
83001-Real Property - Sec Admin		
Revenue		
Interest Income	(1,704)	(4,117)
Sections Member Dues	(596,208)	(593,935)
Revenue Total	(597,912)	(598,052)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	196,951
Other Outside Services	1,200	2,640
Professional Services	-	230
Supplies and Postage	3,108	2,407
Telecommunications	504	597
Travel & Training	3,000	342
Expense Total	8,016	203,167
83200-Real Property - Journal		
Expense		
Other Expenditures	900	-
Other Outside Services	21,000	50,895
Professional Services	15,504	1,745
Supplies and Postage	11,100	16,502
Travel & Training	2,496	204
Expense Total	51,000	69,345
83400-Real Property - Retreat		
Revenue		
Other Revenues	(98,700)	(107,640)
Revenue Total	(98,700)	(107,640)
Expense		
Other Expenditures	696	4,637
Other Outside Services	19,092	12,649
Professional Services	4,704	22,531
Regular Salary & Benefits	-	2,020

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Supplies and Postage	5,904	6,609
Telecommunications	-	56
Travel & Training	111,300	78,707
Expense Total	141,696	127,209
83401-Real Property - Boot Camp		
Expense		
Other Expenditures	1,404	-
Travel & Training	7,608	-
Expense Total	9,012	-
83402-Real Property - Subsection CLE		
Revenue		
Other Revenues	(6,996)	(11,660)
Revenue Total	(6,996)	(11,660)
Expense		
Other Expenditures	1,104	1,050
Other Outside Services	204	1,298
Professional Services	900	2,895
Supplies and Postage	504	-
Travel & Training	6,996	12,456
Expense Total	9,708	17,700
83403-Real Property - Online CLE		
Revenue		
Other Revenues	(36,000)	(50,581)
Revenue Total	(36,000)	(50,581)
Expense		
Other Outside Services	9,204	435
Expense Total	9,204	435
83404-Real Property - REAL Symposium		
Revenue		
Other Revenues	(46,596)	(42,195)
Revenue Total	(46,596)	(42,195)
Expense		
Other Outside Services	12,000	7,636
Professional Services	2,604	650
Supplemental Staffing	300	-
Supplies and Postage	96	-
Travel & Training	25,800	25,000

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense Total	40,800	33,286
83405-Real Property - Education		
Revenue		
Other Revenues	(1,500)	(3,455)
Revenue Total	(1,500)	(3,455)
Expense		
Other Outside Services	396	1,384
Professional Services	300	-
Regular Salary & Benefits	-	316
Travel & Training	1,200	1,399
Expense Total	1,896	3,099
83500-Real Property - Annual Mtgs		
Expense		
Professional Services	-	502
Travel & Training	4,512	4,975
Expense Total	4,512	5,477
83600-Real Property - ExCom Mtgs		
Expense		
Computers & Software	-	14
Other Expenditures	7,500	2,140
Other Outside Services	-	597
Professional Services	2,904	1,189
Supplies and Postage	-	2,018
Telecommunications	-	141
Travel & Training	85,200	82,541
Expense Total	95,604	88,640
83700-Real Property - Subscetion		
Revenue		
Other Revenues	-	(2,280)
Revenue Total	-	(2,280)
Expense		
Other Expenditures	1,704	-
Other Outside Services	-	21
Supplies and Postage	204	-
Travel & Training	2,100	3,514
Expense Total	4,008	3,536
84001-Solo-Section Admin		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Interest Income	(504)	(1,207)
Interfund Transfers	-	(750)
Other Revenues	(996)	(2,450)
Sections Member Dues	(124,296)	(130,755)
Revenue Total	(125,796)	(135,162)
Expense		
Other Expenditures	-	43,144
Other Outside Services	204	312
Supplies and Postage	600	76
Travel & Training	96	60
Expense Total	900	43,592
84300-Solo - Big News		
Revenue		
Other Revenues	-	(635)
Revenue Total	-	(635)
Expense		
Other Outside Services	8,508	7,503
Professional Services	10,404	6,100
Supplies and Postage	3,000	2,406
Expense Total	21,912	16,008
84400-Solo - Programs		
Revenue		
Other Revenues	(900)	-
Revenue Total	(900)	-
Expense		
Other Outside Services	396	-
Professional Services	804	431
Travel & Training	1,896	-
Expense Total	3,096	431
84403-Solo - Online CLE		
Revenue		
Other Revenues	(25,800)	(49,939)
Revenue Total	(25,800)	(49,939)
Expense		
Other Outside Services	300	1,015
Expense Total	300	1,015

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
84410-Solo - Outreach Grant		
Revenue		
Grants	-	(10,000)
Revenue Total	-	(10,000)
Expense		
Interfund Transfers	-	400
Supplies and Postage	-	1,370
Expense Total	-	1,770
84500-Solo-SB Annual Mtg		
Revenue		
Other Revenues	(996)	-
Revenue Total	(996)	-
Expense		
Other Expenditures	-	816
Other Outside Services	1,008	1,320
Professional Services	504	-
Supplies and Postage	-	17
Travel & Training	4,596	11,717
Expense Total	6,108	13,870
84600-Solo-ExCom Mtg		
Expense		
Other Expenditures	1,704	642
Other Outside Services	396	649
Professional Services	-	718
Telecommunications	1,704	178
Travel & Training	30,804	31,166
Expense Total	34,608	33,351
85001-Taxation Law- Sec Admin		
Revenue		
Interest Income	(1,200)	(2,738)
Other Revenues	-	(95)
Sections Member Dues	(311,700)	(319,770)
Revenue Total	(312,900)	(322,603)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	101,947
Other Outside Services	3,000	1,071

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Regular Salary & Benefits	-	250
Supplies and Postage	396	307
Telecommunications	96	451
Travel & Training	396	-
Expense Total	4,092	104,027
85200-California Tax Lawyer Journal		
Revenue		
Other Revenues	-	(1,340)
Revenue Total	-	(1,340)
Expense		
Other Outside Services	25,392	19,714
Supplies and Postage	8,400	6,411
Expense Total	33,792	26,125
85400-Tax AM & Cal Tax Policy Conf		
Revenue		
Other Revenues	(199,008)	(266,313)
Revenue Total	(199,008)	(266,313)
Expense		
Other Expenditures	804	16,158
Other Outside Services	11,592	23,570
Professional Services	3,600	13,170
Regular Salary & Benefits	-	1,906
Supplemental Staffing	-	984
Supplies and Postage	7,692	9,354
Travel & Training	20,808	149,447
Expense Total	44,496	214,588
85401-Tax - Estate & Gift Tax Conf		
Revenue		
Other Revenues	(45,204)	(56,490)
Revenue Total	(45,204)	(56,490)
Expense		
Other Expenditures	1,896	4,402
Other Outside Services	8,808	4,167
Professional Services	996	2,445
Supplies and Postage	2,004	3,518
Travel & Training	30,096	17,588
Expense Total	43,800	32,120

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
85402-Income & "Other" Tax Program		
Revenue		
Other Revenues	(22,296)	(18,740)
Revenue Total	(22,296)	(18,740)
Expense		
Other Outside Services	1,512	1,027
Professional Services	1,896	1,430
Supplemental Staffing	-	979
Supplies and Postage	1,704	-
Travel & Training	7,500	7,784
Expense Total	12,612	11,220
85403-Tax - Online CLE Programs		
Revenue		
Other Revenues	(27,000)	(32,560)
Revenue Total	(27,000)	(32,560)
Expense		
Other Outside Services	1,200	1,497
Expense Total	1,200	1,497
85404-Young Tax Lawyers Program		
Revenue		
Other Revenues	(9,204)	(11,545)
Revenue Total	(9,204)	(11,545)
Expense		
Other Expenditures	1,404	1,158
Other Outside Services	1,992	1,528
Professional Services	396	865
Supplies and Postage	-	53
Travel & Training	2,292	2,385
Expense Total	6,084	5,988
85500-Tax-SB Annual Mtg		
Expense		
Professional Services	-	656
Travel & Training	-	1,337
Expense Total	-	1,993
85600-Tax-ExCom Mtgs		
Expense		
Other Expenditures	12,204	9,496

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Other Outside Services	4,704	1,210
Supplies and Postage	-	0
Travel & Training	62,904	57,538
Expense Total	79,812	68,244
85700-Wash D.C. Delegation		
Expense		
Professional Services	600	-
Supplies and Postage	-	14
Travel & Training	16,404	17,465
Expense Total	17,004	17,479
85701-Eagle Ldge W-State Tax Cte Con		
Expense		
Other Outside Services	504	-
Travel & Training	14,196	11,207
Expense Total	14,700	11,207
85702-Tax Policy/Practice/Legist Ctr		
Expense		
Other Outside Services	-	2
Expense Total	-	2
85703-Estate & Gift Ta Committee		
Expense		
Travel & Training	-	814
Expense Total	-	814
85706-Tax Procedure&Litigation Comm		
Expense		
Travel & Training	1,296	1,078
Expense Total	1,296	1,078
85708-Young Tax Lawyers Sacramento C		
Expense		
Other Expenditures	-	118
Travel & Training	-	160
Expense Total	-	279
85709-Young Tax Lawyers SF Chapter		
Expense		
Supplies and Postage	-	5
Travel & Training	96	55
Expense Total	96	60

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
85711-Young Tax Lawyers San Diego C		
Expense		
Travel & Training	204	604
Expense Total	204	604
85712-YTL Silicon Valley Chapter		
Expense		
Travel & Training	300	152
Expense Total	300	152
85720-Sacramento Delegation		
Revenue		
Other Revenues	(696)	(650)
Revenue Total	(696)	(650)
Expense		
Other Expenditures	996	748
Professional Services	-	55
Travel & Training	900	792
Expense Total	1,896	1,595
85811-Taxation Law-State & Local Tax		
Expense		
Travel & Training	-	143
Expense Total	-	143
86001-Workers' Comp - Sec Admin		
Revenue		
Interest Income	(1,404)	(3,831)
Sections Member Dues	(284,292)	(286,314)
Revenue Total	(285,696)	(290,145)
Expense		
Buildings & Equipment	204	-
Other Expenditures	-	93,207
Other Outside Services	1,896	1,230
Professional Services	-	757
Supplies and Postage	396	3,865
Telecommunications	96	159
Travel & Training	-	1,605
Expense Total	2,592	100,823
86200-Workers' Comp Newsletter		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Outside Services	11,004	10,798
Professional Services	2,796	3,996
Supplies and Postage	8,496	10,193
Expense Total	22,296	24,987
86400-Workers' Comp Spring Programs		
Revenue		
Other Revenues	(61,704)	(49,265)
Revenue Total	(61,704)	(49,265)
Expense		
Occupancy	-	3,104
Other Outside Services	8,184	4,828
Professional Services	1,704	970
Supplies and Postage	6,096	1,509
Travel & Training	48,000	23,214
Expense Total	63,984	33,625
86401-Workers' Comp Central Coast		
Revenue		
Other Revenues	(16,800)	(15,995)
Revenue Total	(16,800)	(15,995)
Expense		
Other Outside Services	396	222
Professional Services	504	430
Travel & Training	12,804	12,456
Expense Total	13,704	13,108
86402-Workers' Comp Summer Programs		
Revenue		
Other Revenues	(86,400)	(52,320)
Revenue Total	(86,400)	(52,320)
Expense		
Occupancy	-	2,090
Other Outside Services	7,704	5,725
Professional Services	1,896	1,185
Supplemental Staffing	-	374
Supplies and Postage	3,000	1,342
Travel & Training	35,688	22,684
Expense Total	48,288	33,400

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
86403-Workers' Comp Online CLE		
Revenue		
Other Revenues	(55,404)	(81,792)
Revenue Total	(55,404)	(81,792)
Expense		
Other Outside Services	2,496	1,595
Expense Total	2,496	1,595
86404-Workers' Comp Education		
Revenue		
Other Revenues	(38,304)	(35,045)
Revenue Total	(38,304)	(35,045)
Expense		
Other Outside Services	1,992	3,663
Professional Services	3,600	2,331
Regular Salary & Benefits	-	756
Supplies and Postage	2,700	1,353
Telecommunications	-	125
Travel & Training	18,888	20,385
Expense Total	27,180	28,613
86405-Workers' Comp Fall Programs		
Revenue		
Other Revenues	(21,996)	-
Revenue Total	(21,996)	-
Expense		
Other Outside Services	4,608	-
Supplies and Postage	2,700	-
Travel & Training	3,300	504
Expense Total	10,608	504
86500-Workers' Comp - SB Ann. Mtg		
Expense		
Interfund Transfers	-	375
Other Expenditures	3,996	2,727
Other Outside Services	1,200	1,117
Professional Services	-	2,428
Travel & Training	3,792	35,946
Expense Total	8,988	42,593
86600-Workers' Comp - Exec. Comm Mtg		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Expense		
Other Expenditures	504	2,286
Other Outside Services	696	2,574
Telecommunications	1,200	1,116
Travel & Training	16,908	59,910
Expense Total	19,308	65,885
86700-Workers' Comp - Sub Ctee Mtg		
Revenue		
Other Revenues	-	(36,625)
Revenue Total	-	(36,625)
Expense		
Other Outside Services	-	4,057
Professional Services	-	975
Supplemental Staffing	-	322
Supplies and Postage	-	1,328
Travel & Training	-	20,893
Expense Total	-	27,574
87001-Council of SB Sections		
Revenue		
Interest Income	(96)	(196)
Sections Member Dues	(96)	-
Revenue Total	(192)	(196)
Expense		
Other Expenditures	(51,900)	(53,960)
Other Outside Services	10,500	9,631
Regular Salary & Benefits	300	-
Supplies and Postage	5,496	4,498
Telecommunications	204	1,023
Travel & Training	33,000	32,095
Expense Total	(2,400)	(6,714)
88001-Officewide Education		
Revenue		
Interest Income	(5,400)	(11,647)
Interfund Transfers	-	(400)
Other Revenues	95,808	(135,159)
Revenue Total	90,408	(147,205)
Expense		
Computers & Software	-	44

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Interfund Transfers	-	32,032
Other Expenditures	-	184
Other Outside Services	41,088	30,318
Professional Services	4,404	63,642
Regular Salary & Benefits	225,208	122,256
Supplemental Staffing	-	543
Supplies and Postage	11,604	1,787
Telecommunications	-	79
Travel & Training	7,200	5,431
Expense Total	289,504	256,315
88002-Solo Summit (Even Years)		
Revenue		
Interfund Transfers	-	(6,740)
Other Revenues	(96,000)	(127,357)
Revenue Total	(96,000)	(134,097)
Expense		
Other Expenditures	2,100	1,020
Other Outside Services	16,896	14,378
Professional Services	19,800	15,715
Supplemental Staffing	-	585
Supplies and Postage	8,592	8,943
Telecommunications	1,800	1,390
Travel & Training	85,296	81,289
Expense Total	134,484	123,319
88-Education Fund		
Expense		
Interfund Transfers	54,600	2,337,582
Travel & Training	-	238,783
Expense Total	54,600	2,576,365
<u>Legal Services</u>		
10901-Commission on Access to Justice		
Expense		
Indirect Costs	-	1,381
Interfund Transfers	-	49
Professional Services	7,800	-
Regular Salary & Benefits	-	1,850
Supplies and Postage	600	2,553
Telecommunications	2,304	3,055
Travel & Training	11,088	11,664

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	21,792	20,553
10905-Center on Access to Justice		
Revenue		
Other Revenues	(60,000)	(72,932)
Revenue Total	(60,000)	(72,932)
Expense		
Buildings & Equipment	-	4,697
Indirect Costs	-	550,466
Interfund Transfers	-	4,859
Other Expenditures	96	(262)
Other Outside Services	2,400	1,563
Professional Services	14,700	3,474
Regular Salary & Benefits	1,140,992	1,129,185
Supplemental Staffing	804	130
Supplies and Postage	9,504	8,306
Telecommunications	8,196	8,413
Travel & Training	56,412	27,592
Expense Total	1,233,104	1,738,423
11947-Pgrm. Dev.-Project		
Expense		
Indirect Costs	-	5
Telecommunications	-	62
Expense Total	-	67
12441-10th Anniversary Programs		
Revenue		
Other Revenues	-	(28,300)
Revenue Total	-	(28,300)
Expense		
Regular Salary & Benefits	3,504	2,944
Travel & Training	13,596	18,022
Expense Total	17,100	20,967
12445-Incubator/Modest Means Project		
Revenue		
Grants	(39,996)	(40,000)
Revenue Total	(39,996)	(40,000)
Expense		
Legal Services Grants	39,996	10,000

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Professional Services	4,404	1,394
Travel & Training	6,996	1,299
Expense Total	51,396	12,693
17007-Center for Access & Fairness		
Revenue		
Other Revenues	(96)	-
Revenue Total	(96)	-
Expense		
Buildings & Equipment	-	22
Interfund Transfers	-	105
Other Outside Services	10,656	12,974
Professional Services	4,800	1,089
Regular Salary & Benefits	296,096	275,880
Supplies and Postage	14,292	8,805
Telecommunications	2,904	2,647
Travel & Training	31,296	13,258
Expense Total	360,044	314,779
17008-Spring Summit		
Revenue		
Other Revenues	(3,000)	(4,432)
Revenue Total	(3,000)	(4,432)
Expense		
Computers & Software	5,004	-
Other Outside Services	396	706
Professional Services	-	8,404
Supplies and Postage	5,100	3,436
Travel & Training	18,792	12,719
Expense Total	29,292	25,266
17012-Council on Access & Fairness		
Expense		
Interfund Transfers	-	324
Occupancy	3,204	1,850
Other Outside Services	996	666
Regular Salary & Benefits	-	452
Supplemental Staffing	-	573
Supplies and Postage	2,004	1,326
Travel & Training	16,896	14,442
Expense Total	23,100	19,632

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
17020-Bar-Wide Charges		
Expense		
Regular Salary & Benefits	29,700	43,650
Travel & Training	10,008	4,320
Expense Total	39,708	47,969
28002-LSTF Grants		
Revenue		
Interest Income	(17,604)	(53,156)
IOLTA	(5,000,004)	(6,439,199)
Other Revenues	-	6,085,197
Revenue Total	(5,017,608)	(407,157)
Expense		
Legal Services Grants	11,108,004	11,094,089
Supplies and Postage	-	37
Expense Total	11,108,004	11,094,126
28005-LSTF Administration (Consolidated)		
Revenue		
Other Revenues	-	(51,447)
Revenue Total	-	(51,447)
Expense		
Buildings & Equipment	-	757
Computers & Software	75,000	16,786
Legal Services Grants	-	(6,000)
Other Expenditures	204	1,142
Other Outside Services	96	47
Professional Services	26,796	27,645
Regular Salary & Benefits	1,236,386	1,016,397
Reimbursements	-	(67,324)
Supplemental Staffing	35,304	15,147
Supplies and Postage	14,100	12,757
Telecommunications	11,604	11,741
Travel & Training	23,004	15,775
Expense Total	1,422,494	1,044,869
28006-LSTF Grants - BofA Settlement		
Revenue		
Other Revenues	-	(2,485,197)
Revenue Total	-	(2,485,197)
Expense		

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Legal Services Grants	2,500,000	2,253,879
Expense Total	2,500,000	2,253,879
28007-LSTF Grants - Citi Settlement		
Revenue		
Other Revenues	-	(3,600,000)
Revenue Total	-	(3,600,000)
Expense		
Legal Services Grants	2,000,000	1,878,911
Expense Total	2,000,000	1,878,911
28-LSTF Asset BU		
Revenue		
Other Revenues	(104,796)	(24,375)
Voluntary Dues & Donations	(6,400,000)	(6,332,929)
Revenue Total	(6,504,796)	(6,357,304)
Expense		
Indirect Costs	518,448	622,973
Retiree Medical Funding	21,000	21,739
Expense Total	539,448	644,712
29001-Equal Access -Admin		
Expense		
Professional Services	189,996	198,865
Supplies and Postage	1,500	185
Travel & Training	1,296	-
Expense Total	192,792	199,050
29002-Equal Access -Grants		
Revenue		
Administrative Fees	(474,996)	(457,500)
Grants	(15,225,004)	(16,442,000)
Interest Income	(96)	(2,392)
Revenue Total	(15,700,096)	(16,901,892)
Expense		
Legal Services Grants	15,450,000	14,837,423
Expense Total	15,450,000	14,837,423
32-Justice Gap Fund - BU		
Revenue		

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Interest Income	(1,800)	(3,785)
Voluntary Dues & Donations	(624,000)	(1,061,722)
Revenue Total	(625,800)	(1,065,507)
Expense		
Indirect Costs	-	18,336
Expense Total	-	18,336
37001-Bank Settlement Fund		
Expense		
Legal Services Grants	1,000,000	740,000
Regular Salary & Benefits	-	79,923
Supplies and Postage	-	1
Travel & Training	-	5,202
Expense Total	1,000,000	825,127
37-Bank Settlement Fund		
Revenue		
Interest Income	-	(155,347)
Other Revenues	(44,728,000)	(44,778,670)
Revenue Total	(44,728,000)	(44,934,018)
Expense		
Indirect Costs	-	6,151
Expense Total	-	6,151
29-Equal Access -Admin		
Expense		
Indirect Costs	-	14,383
Expense Total	-	14,383
<u>Diversity & Bar Relations</u>		
17-Elim. of Bias Assets BU		
Revenue		
Interest Income	(2,100)	(4,203)
Interfund Transfers	-	(89,457)
Voluntary Dues & Donations	(780,000)	(801,360)
Revenue Total	(782,100)	(895,020)
Expense		
Indirect Costs	355,260	260,750
Retiree Medical Funding	42,000	43,478
Expense Total	397,260	304,228

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
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Lawyer Assistance Program**21000-Lawyer Assist Program (Consolidated)****Expense**

Interfund Transfers	-	2,244
Occupancy	696	1,120
Other Expenditures	600	-
Other Outside Services	(9,288)	13,599
Professional Services	66,996	88,881
Regular Salary & Benefits	906,400	835,415
Severance Expenses	-	63,125
Supplemental Staffing	20,400	286
Supplies and Postage	6,804	3,210
Telecommunications	15,996	16,225
Travel & Training	70,800	80,835
Expense Total	1,079,404	1,104,939

21-Lawyer Assist Program-Asset BU**Revenue**

Interest Income	(6,600)	(10,464)
Interfund Transfers	-	(239,331)
Mandatory Dues	(2,057,500)	(2,046,465)
Revenue Total	(2,064,100)	(2,296,260)

Expense

Indirect Costs	534,939	417,813
Interfund Transfers	1,600,000	-
Retiree Medical Funding	21,000	21,739
Expense Total	2,155,939	439,552

Executive Director**10001-Executive Director****Expense**

Buildings & Equipment	-	80,453
Computers & Software	7,500	8,072
Interfund Transfers	-	105
Occupancy	-	42,459
Other Expenditures	504	210
Other Outside Services	4,596	4,538
Professional Services	112,596	394,049
Regular Salary & Benefits	1,443,780	1,375,599
Severance Expenses	-	77,976

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Supplemental Staffing	396	106,516
Supplies and Postage	13,092	10,093
Telecommunications	12,504	16,273
Travel & Training	112,896	99,357
Expense Total	1,707,864	2,215,699
10002-Appointments Administration		
Expense		
Other Outside Services	96	-
Regular Salary & Benefits	98,392	97,918
Supplemental Staffing	898	43
Supplies and Postage	1,296	666
Telecommunications	96	-
Travel & Training	96	-
Expense Total	100,874	98,627
10003-Board of Trustees		
Expense		
Interfund Transfers	-	133
Other Expenditures	204	514
Other Outside Services	7,692	9,646
Professional Services	6,096	2,999
Supplies and Postage	1,692	5,554
Telecommunications	900	494
Travel & Training	165,492	106,479
Expense Total	182,076	125,819
10005-Elections		
Expense		
Other Outside Services	-	32
Professional Services	46,404	7,705
Regular Salary & Benefits	-	23,006
Supplemental Staffing	196	-
Supplies and Postage	9,396	14,340
Travel & Training	300	327
Expense Total	56,296	45,409
10010-Public Interest Task Force		
Expense		
Other Outside Services	-	7,772
Professional Services	9,996	925
Supplies and Postage	1,104	278
Telecommunications	300	-
Travel & Training	36,612	2,706

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	48,012	11,681
10011-Class and Comp Workforce Planning		
Expense		
Professional Services	-	178,053
Regular Salary & Benefits	-	10,474
Supplemental Staffing	-	31,087
Supplies and Postage	-	29
Travel & Training	-	9,650
Expense Total	-	229,293
10012-ORIA		
Expense		
Computers & Software	-	5,934
Professional Services	-	98
Regular Salary & Benefits	517,426	788,133
Supplemental Staffing	-	1,345
Supplies and Postage	-	1,865
Telecommunications	-	121
Travel & Training	-	7,048
Expense Total	517,426	804,543
10101-Judicial Evaluation		
Expense		
Buildings & Equipment	-	418
Indirect Costs	-	225,610
Occupancy	4,008	9,307
Other Expenditures	96	149
Other Outside Services	4,800	4,667
Professional Services	54,900	1,882
Regular Salary & Benefits	445,600	372,897
Supplemental Staffing	8,798	97,719
Supplies and Postage	16,008	10,677
Telecommunications	3,804	3,851
Travel & Training	140,700	196,968
Expense Total	678,714	924,145
12444-Leadership Development/Appoint		
Expense		
Travel & Training	300	-
Expense Total	300	-
16001-Legal Activities Assistance		
Expense		

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Interfund Transfers	-	380
Regular Salary & Benefits	335,796	327,786
Supplies and Postage	(96)	3,702
Telecommunications	804	867
Travel & Training	396	210
Expense Total	336,900	332,945
16002-Leg. Affairs & Activities		
Expense		
Indirect Costs	(90,000)	(121,925)
Other Outside Services	-	212
Professional Services	162,000	175,500
Supplies and Postage	4,500	59
Telecommunications	1,404	1,182
Travel & Training	1,500	1,327
Expense Total	79,404	56,354
16007-Admin of Justice Comm. (Cons)		
Expense		
Interfund Transfers	-	300
Other Outside Services	-	872
Professional Services	-	1,188
Supplies and Postage	-	34
Telecommunications	1,188	457
Travel & Training	21,900	24,658
Expense Total	23,088	27,510
16-Leg. Activities -Assets BU		
Revenue		
Interest Income	(1,896)	(3,853)
Voluntary Dues & Donations	(760,000)	(781,170)
Revenue Total	(761,896)	(785,023)
Expense		
Indirect Costs	177,949	115,427
Interfund Transfers	420,000	420,000
Expense Total	597,949	535,427
23602-Library/Archives-SF&LA		
Expense		
Other Outside Services	185,100	184,145
Professional Services	96	0
Regular Salary & Benefits	220,394	79,091
Supplemental Staffing	6,096	-

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Supplies and Postage	282,888	300,184
Telecommunications	1,596	1,626
Travel & Training	696	199
Expense Total	696,866	565,244

23604-Library-LA**Expense**

Supplemental Staffing	2,604	-
Expense Total	2,604	-

Finance**23101-Finance****Expense**

Buildings & Equipment	504	757
Computers & Software	-	321
Other Expenditures	-	120
Other Outside Services	305,700	266,486
Professional Services	1,200,096	202,239
Regular Salary & Benefits	1,266,792	1,171,079
Severance Expenses	-	34,300
Supplemental Staffing	123,998	44,948
Supplies and Postage	16,092	22,720
Telecommunications	12,396	11,088
Travel & Training	9,900	8,008
Expense Total	2,935,478	1,762,067

23103-Member Billing**Revenue**

Other Revenues	-	(637)
Revenue Total	-	(637)

Expense

Buildings & Equipment	1,596	-
Computers & Software	-	235
Other Expenditures	600	10,334
Other Outside Services	1,068,000	949,540
Professional Services	-	98
Regular Salary & Benefits	721,304	405,332
Severance Expenses	-	59,394
Supplemental Staffing	87,498	40,013
Supplies and Postage	144,696	121,735
Telecommunications	9,396	8,982
Travel & Training	1,704	-

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	2,034,794	1,595,663

General Counsel

23001-General Counsel

Expense

Buildings & Equipment	804	6,224
Computers & Software	-	49
Interfund Transfers	-	4,843
Other Expenditures	204	390
Other Outside Services	9,804	17,601
Professional Services	900,000	113,105
Regular Salary & Benefits	3,777,806	3,281,225
Severance Expenses	-	94,111
Supplemental Staffing	52,800	4,612
Supplies and Postage	31,212	34,917
Telecommunications	28,896	26,811
Travel & Training	47,100	49,427
Expense Total	4,848,626	3,633,314

Human Resources

23206-Human Resources (Consolidated)

Expense

Buildings & Equipment	3,204	15,547
Computers & Software	1,500	2,879
Other Expenditures	900	2,116
Other Outside Services	5,304	17,062
Professional Services	122,300	169,827
Regular Salary & Benefits	1,187,020	1,173,455
Severance Expenses	-	42,016
Supplemental Staffing	153,606	36,470
Supplies and Postage	10,596	15,308
Telecommunications	18,396	18,372
Travel & Training	30,796	33,410
Expense Total	1,533,622	1,526,463

Information Technology

23600-IT (Consolidated)

Expense

Buildings & Equipment	78,204	99,799
Computers & Software	1,788,492	1,053,688
Occupancy	119,604	159,633

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Other Expenditures	-	30
Other Outside Services	3,396	456
Professional Services	91,200	118,172
Regular Salary & Benefits	4,027,416	3,455,369
Supplemental Staffing	215,296	879,233
Supplies and Postage	7,200	13,374
Telecommunications	35,400	56,240
Travel & Training	87,600	64,561
Expense Total	6,453,808	5,900,554

Communications

10801-Communications

Expense

Computers & Software	204	200
Indirect Costs	-	275,086
Interfund Transfers	-	283
Other Expenditures	96	30
Other Outside Services	200,208	96,562
Professional Services	41,904	146,239
Regular Salary & Benefits	736,300	636,998
Supplemental Staffing	45,004	1,680
Supplies and Postage	6,408	7,814
Telecommunications	3,396	2,745
Travel & Training	17,400	8,299
Expense Total	1,050,920	1,175,936

10802-Calif. Bar Journal

Revenue

Other Fees and Charges	(113,700)	(141,225)
Other Revenues	(116,904)	(111,371)
Revenue Total	(230,604)	(252,596)

Expense

Computers & Software	-	40
Indirect Costs	-	34,410
Other Expenditures	(3,996)	(2,100)
Other Outside Services	2,700	731
Professional Services	40,500	31,324
Regular Salary & Benefits	119,696	132,175
Supplies and Postage	804	157
Telecommunications	4,404	4,393
Travel & Training	2,700	2,220
Expense Total	166,808	203,350

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
17001-Voluntary Bar Support		
Expense		
Other Outside Services	-	105
Regular Salary & Benefits	307,294	277,701
Supplies and Postage	948	720
Telecommunications	3,000	3,235
Travel & Training	18,204	16,162
Expense Total	329,446	297,923
17009-Bar Leaders Conference		
Revenue		
Other Revenues	-	(5,000)
Revenue Total	-	(5,000)
Expense		
Other Outside Services	10,896	9,533
Supplies and Postage	1,992	1,078
Telecommunications	-	176
Travel & Training	12,192	16,825
Expense Total	25,080	27,611
<u>General Services</u>		
23105-Procurement		
Revenue		
Other Revenues	(3,804)	(7,906)
Revenue Total	(3,804)	(7,906)
Expense		
Computers & Software	-	6,835
Other Outside Services	-	103
Professional Services	396	225
Regular Salary & Benefits	197,402	197,354
Supplies and Postage	696	1,666
Telecommunications	6,600	2,726
Travel & Training	4,896	5,873
Expense Total	209,990	214,781
23310-General Services LA		
Expense		
Buildings & Equipment	31,296	22,208
Computers & Software	4,596	-
Occupancy	1,458,108	1,517,673

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Other Expenditures	204	-
Other Outside Services	34,596	13,136
Professional Services	5,496	9,843
Regular Salary & Benefits	795,992	706,929
Supplemental Staffing	10,204	32,809
Supplies and Postage	63,804	65,948
Telecommunications	26,004	31,072
Travel & Training	4,704	6,548
Expense Total	2,435,004	2,406,166

23321-Risk Management/Insurance**Expense**

Occupancy	849,000	879,331
Supplies and Postage	300	-
Expense Total	849,300	879,331

23350-General Services SF**Expense**

Buildings & Equipment	5,004	5,721
Computers & Software	96	1,976
Occupancy	2,282,196	2,237,380
Other Expenditures	504	10,206
Other Outside Services	95,700	21,017
Professional Services	342,600	308,971
Regular Salary & Benefits	1,051,511	1,037,898
Supplemental Staffing	29,594	4,022
Supplies and Postage	11,592	15,700
Telecommunications	17,700	14,902
Travel & Training	16,500	17,340
Expense Total	3,852,997	3,675,133

23358-SF Print Shop**Expense**

Occupancy	696	-
Other Expenditures	(41,100)	(32,315)
Other Outside Services	504	503
Professional Services	96	-
Regular Salary & Benefits	271,102	272,377
Supplemental Staffing	2,706	151
Supplies and Postage	(49,896)	(42,444)
Telecommunications	3,204	3,252
Expense Total	187,312	201,523

26101-SF Facilities Management

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
Revenue		
Lease Revenues	(1,344,996)	(1,537,551)
Other Revenues	(396)	(360)
Penalties and Late Fees	(5,604)	(1,385)
Revenue Total	(1,350,996)	(1,539,295)
38-SF Tenant Improvement Fund		
Revenue		
Interest Income	-	(24,053)
Revenue Total	-	(24,053)
Expense		
Debt Service	-	339,956
Expense Total	-	339,956
<u>Technology Projects</u>		
19001-Remittance Ctr Tech Improv		
Expense		
Supplies and Postage	-	3
Expense Total	-	3
19009-OCTC System Replacement		
Expense		
Professional Services	317,196	-
Travel & Training	-	418
Expense Total	317,196	418
19016-Enterprise Cont Mgt		
Expense		
Supplies and Postage	-	912
Expense Total	-	912
19022-IT Hardware		
Expense		
Professional Services	18,204	-
Expense Total	18,204	-
19024-SF Courtroom Upgrade		
Expense		
Computers & Software	-	98,119
Expense Total	-	98,119

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
19026-SF Video Equipment		
Expense		
Computers & Software	-	650
Expense Total	-	650
19028-Case Management System-OCTC		
Expense		
Computers & Software	-	212,250
Professional Services	-	98
Regular Salary & Benefits	-	337,167
Expense Total	-	549,515
19029-Case Management System-SBC		
Expense		
Regular Salary & Benefits	-	24,011
Expense Total	-	24,011
19-Technology Improvemnt- Asset BU		
Revenue		
Interest Income	(11,904)	(16,346)
Interfund Transfers	(1,211,748)	-
Mandatory Dues	-	(940)
Revenue Total	(1,223,652)	(17,286)
Expense		
Indirect Costs	-	136,282
Expense Total	-	136,282
<u>General Fund-Consolidated</u>		
10705-Multi-Jurisdictional (MJP)		
Expense		
Supplies and Postage	-	3
Expense Total	-	3
10-General Fund OH Alloc BU		
Revenue		
Administrative Fees	(1,850,004)	(1,980,539)
Interest Income	(105,204)	(227,252)
Interfund Transfers	-	(1,416,394)
Mandatory Dues	(64,730,000)	(64,526,559)
Other Fees and Charges	-	(250)
Other Revenues	(9,996)	(8,740)
Penalties and Late Fees	(1,965,996)	(1,942,513)

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Revenue Total	(68,661,200)	(70,102,246)
Expense		
Indirect Costs	21,302,790	(2,374,366)
Professional Services	-	2,500
Regular Salary & Benefits	-	(13,709)
Reimbursements	-	(710)
Retiree Medical Funding	456,996	438,044
Severance Expenses	-	24,000
Supplies and Postage	-	1
Telecommunications	(245,004)	(207,394)
Travel & Training	-	2,664
Expense Total	21,514,782	(2,128,970)
12417-Seniors & the Law-Found. Grant		
Revenue		
Grants	-	(50,000)
Revenue Total	-	(50,000)
12446-Science of Success Project		
Expense		
Professional Services	-	7,000
Expense Total	-	7,000
15010-Gen. Fund Fixed Assets		
Expense		
Depreciation (Non-Expenditure)	396,600	349,991
Expense Total	396,600	349,991
15019-Tech. Fund Fixed Assets		
Expense		
Depreciation (Non-Expenditure)	483,696	354,647
Expense Total	483,696	354,647
15020-Admissions Fixed Assets		
Expense		
Depreciation (Non-Expenditure)	11,304	1,889
Expense Total	11,304	1,889
15023-Suppor Activities Fixed Assets		
Expense		
Depreciation (Non-Expenditure)	145,800	118,411
Expense Total	145,800	118,411

Cost Center/Department Name	2016 Budget (\$)	2016 Actual * (\$)
15026-Building Fund Fixed Assets		
Expense		
Depreciation (Non-Expenditure)	170,004	169,648
Expense Total	170,004	169,648
15-Fixed Assets OH BU		
Expense		
Depreciation (Non-Expenditure)	420,000	456,663
Expense Total	420,000	456,663
23-Support & Admin.- Asset BU		
Revenue		
Interest Income	-	(2,088)
Revenue Total	-	(2,088)
Expense		
Indirect Costs	(26,269,296)	(22,580,645)
Regular Salary & Benefits	(17,304)	(29,831)
Retiree Medical Funding	249,996	260,870
Expense Total	(26,036,604)	(22,349,606)
25-Public Protection -Asset BU		
Revenue		
Interest Income	(4,104)	(8,692)
Revenue Total	(4,104)	(8,692)
26-Building -Asset BU		
Revenue		
Interest Income	(11,004)	(20,008)
Mandatory Dues	(5,000)	(3,770)
Revenue Total	(16,004)	(23,778)
Expense		
Buildings & Equipment	4,599,996	946,437
Depreciation (Non-Expenditure)	-	422,876
Indirect Costs	(2,668,000)	(594,857)
Other Outside Services	-	79,179
Expense Total	1,931,996	853,635
31001-Info Tech Special Fund		
Expense		
Supplies and Postage	-	1

Cost Center/Department Name	2016 Budget	2016 Actual *
	(\$)	(\$)
Expense Total	-	1
31010-SBC System Replacement		
Expense		
Supplies and Postage	-	2
Expense Total	-	2
31-Info Tech Special Fund - BU		
Revenue		
Interest Income	-	(5,566)
Revenue Total	-	(5,566)
Expense		
Interfund Transfers	1,211,748	-
Expense Total	1,211,748	-
34-Benefit Reverse Fund		
Revenue		
Interest Income	(804)	6,977
Revenue Total	(804)	6,977
35-LA Facility Fund		
Revenue		
Interest Income	6,000	22,872
Lease Revenues	(399,996)	(396,656)
Other Revenues	(53,004)	(2,078)
Revenue Total	(447,000)	(375,862)
Expense		
Buildings & Equipment	-	182,907
Debt Service	951,300	882,593
Depreciation (Non-Expenditure)	1,970,004	1,969,427
Indirect Costs	(2,300,004)	(2,482,907)
Expense Total	621,300	552,020

Fund	2016 Budget (\$)	2016 Actual * (\$)
<u>General Fund</u>		
Revenue		
Administrative Fees	(2,115,504)	(2,496,026)
Interest Income	(105,204)	(227,252)
Interfund Transfers	-	(1,418,109)
Mandatory Dues	(64,730,000)	(64,526,559)
Other Fees and Charges	(177,912)	(209,475)
Other Revenues	(307,092)	(315,977)
Penalties and Late Fees	(2,391,996)	(2,330,093)
Revenue Total	(69,827,708)	(71,523,490)
Expense		
Buildings & Equipment	19,788	91,689
Computers & Software	8,400	18,224
Indirect Costs	21,302,790	16,833,250
Interfund Transfers	-	42,577
Occupancy	18,708	62,084
Other Expenditures	23,160	12,460
Other Outside Services	740,868	581,587
Professional Services	513,780	1,078,971
Regular Salary & Benefits	45,980,416	43,330,868
Reimbursements	(999,996)	(1,079,762)
Retiree Medical Funding	456,996	438,044
Severance Expenses	-	261,413
Supplemental Staffing	1,239,090	1,117,201
Supplies and Postage	750,744	712,494
Telecommunications	60,504	93,998
Travel & Training	994,812	901,551
Expense Total	71,110,060	64,496,649
<u>Grants Fund</u>		
Revenue		
Grants	(39,996)	(90,000)
Other Revenues	-	(28,300)
Revenue Total	(39,996)	(118,300)
Expense		
Legal Services Grants	39,996	10,000
Professional Services	4,404	8,394
Regular Salary & Benefits	3,504	2,944
Travel & Training	20,892	19,321

Expense Total	68,796	40,659
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Annual Meeting Fund**Revenue**

Interest Income	(4,296)	(4,374)
Interfund Transfers	(54,600)	(14,413)
Other Fees and Charges	(421,992)	(473,786)
Other Revenues	(197,508)	(205,416)

Revenue Total	(678,396)	(697,989)
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Expense

Indirect Costs	51,804	100,994
Other Expenditures	804	813
Other Outside Services	111,084	79,069
Professional Services	72,804	61,606
Regular Salary & Benefits	254,602	256,931
Supplemental Staffing	12,504	13,685
Supplies and Postage	46,704	46,925
Telecommunications	-	4,861
Travel & Training	128,100	146,231

Expense Total	678,406	711,115
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Fixed Assets Fund**Expense**

Depreciation (Non-Expenditure)	1,627,404	1,451,248
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Expense Total	1,627,404	1,451,248
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Legislative Activities Fund**Revenue**

Interest Income	(1,896)	(3,853)
Voluntary Dues & Donations	(760,000)	(781,170)

Revenue Total	(761,896)	(785,023)
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Expense

Indirect Costs	87,949	(6,498)
Interfund Transfers	420,000	420,680
Other Outside Services	-	1,084
Professional Services	162,000	176,688
Regular Salary & Benefits	335,796	327,786
Supplies and Postage	4,404	3,795
Telecommunications	3,396	2,505
Travel & Training	23,796	26,195

Expense Total	1,037,341	952,235
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EOB & Bar Relations**Revenue**

Interest Income	(2,100)	(4,203)
Interfund Transfers	-	(89,457)
Other Revenues	(3,096)	(9,432)
Voluntary Dues & Donations	(780,000)	(801,360)
Revenue Total	(785,196)	(904,452)

Expense

Buildings & Equipment	-	22
Computers & Software	5,004	-
Indirect Costs	355,260	260,750
Interfund Transfers	-	429
Occupancy	3,204	1,850
Other Outside Services	22,944	23,984
Professional Services	4,800	9,493
Regular Salary & Benefits	633,090	597,682
Retiree Medical Funding	42,000	43,478
Supplemental Staffing	-	573
Supplies and Postage	24,336	15,365
Telecommunications	5,904	6,057
Travel & Training	107,388	77,725
Expense Total	1,203,930	1,037,408

Legal Educ. and Dev. Fund**Revenue**

Insurance Commissions	(1,953,596)	(2,152,306)
Interest Income	(9,300)	(29,432)
Other Revenues	-	(133,059)
Revenue Total	(1,962,896)	(2,314,797)

Expense

Indirect Costs	125,839	81,460
Interfund Transfers	-	7,490
Other Outside Services	72,684	53,846
Professional Services	22,392	11,453
Regular Salary & Benefits	92,084	129,389
Supplemental Staffing	5,408	-
Supplies and Postage	4,992	5,130
Telecommunications	300	34
Travel & Training	102,612	34,328
Expense Total	426,311	323,131

Technology Fund**Revenue**

Interest Income	(11,904)	(16,346)
Interfund Transfers	(1,211,748)	-
Mandatory Dues	-	(940)
Revenue Total	(1,223,652)	(17,286)

Expense

Computers & Software	-	311,020
Indirect Costs	-	136,282
Professional Services	335,400	98
Regular Salary & Benefits	-	361,178
Supplies and Postage	-	915
Travel & Training	-	418
Expense Total	335,400	809,911

Admissions Fund**Revenue**

Administrative Fees	(687,792)	(742,397)
Exam Fees	(14,262,996)	(13,728,411)
Interest Income	(21,996)	(46,410)
Moral Character Fees	(4,118,988)	(3,944,708)
Other Fees and Charges	(250,512)	(249,264)
Other Revenues	-	(125,786)
Penalties and Late Fees	(498,492)	(464,800)
Student Registration Fees	(1,320,000)	(1,159,467)
Revenue Total	(21,160,776)	(20,461,243)

Expense

Buildings & Equipment	7,992	3,413
Computers & Software	492	896
Exam & Software Licensing	1,639,208	1,569,740
Exam Graders	890,800	859,061
Exam Proctors	1,668,012	1,632,066
Exam Room Rental	1,716,000	1,763,512
Indirect Costs	5,214,558	4,391,213
Interfund Transfers	-	1,240
Occupancy	186,396	189,101
Other Expenditures	13,992	7,927
Other Outside Services	1,791,516	1,785,129
Professional Services	422,592	400,458
Regular Salary & Benefits	6,847,790	6,160,745
Retiree Medical Funding	125,004	130,435

Supplemental Staffing	733,594	632,616
Supplies and Postage	403,200	312,114
Telecommunications	92,016	88,090
Travel & Training	395,208	375,021
Expense Total	22,148,370	20,302,779

Lawyer Assistance Program Fund

Revenue

Interest Income	(6,600)	(10,464)
Interfund Transfers	-	(239,331)
Mandatory Dues	(2,057,500)	(2,046,465)
Revenue Total	(2,064,100)	(2,296,260)

Expense

Indirect Costs	534,939	417,813
Interfund Transfers	1,600,000	2,244
Occupancy	696	1,120
Other Expenditures	600	-
Other Outside Services	(9,288)	13,599
Professional Services	66,996	88,881
Regular Salary & Benefits	906,400	835,415
Retiree Medical Funding	21,000	21,739
Severance Expenses	-	63,125
Supplemental Staffing	20,400	286
Supplies and Postage	6,804	3,210
Telecommunications	15,996	16,225
Travel & Training	70,800	80,835
Expense Total	3,235,343	1,544,491

Support and Admin. Fund

Revenue

Interest Income	-	(2,088)
Other Revenues	(3,804)	(8,543)
Revenue Total	(3,804)	(10,632)

Expense

Buildings & Equipment	120,612	150,255
Computers & Software	1,794,684	1,065,982
Indirect Costs	(26,269,296)	(22,580,645)
Interfund Transfers	-	4,843
Occupancy	4,709,604	4,794,016
Other Expenditures	(38,688)	(9,119)
Other Outside Services	1,708,104	1,470,048
Professional Services	2,662,280	922,479

Regular Salary & Benefits	13,499,435	11,750,276
Retiree Medical Funding	249,996	260,870
Severance Expenses	-	229,823
Supplemental Staffing	684,402	1,042,258
Supplies and Postage	519,180	549,108
Telecommunications	159,588	175,072
Travel & Training	203,896	185,367
Expense Total	3,797	10,632

Legal Specialization Fund

Revenue

Administrative Fees	(2,029,896)	(1,991,540)
Exam Fees	(54,204)	(90,900)
Interest Income	(11,400)	(30,454)
Interfund Transfers	-	(300)
Other Fees and Charges	(7,200)	(11,175)
Other Revenues	(1,704)	(3,747)
Penalties and Late Fees	(11,400)	-
Revenue Total	(2,115,804)	(2,128,116)

Expense

Computers & Software	20,304	13,710
Indirect Costs	467,341	529,779
Interfund Transfers	-	2,055
Other Expenditures	2,400	3,013
Other Outside Services	19,296	21,864
Professional Services	30,000	11,753
Regular Salary & Benefits	803,518	706,751
Retiree Medical Funding	21,000	21,739
Supplemental Staffing	11,204	6,808
Supplies and Postage	24,060	16,299
Telecommunications	7,404	7,237
Travel & Training	99,600	95,906
Expense Total	1,506,127	1,436,915

Public Protection Fund

Revenue

Interest Income	(4,104)	(8,692)
Revenue Total	(4,104)	(8,692)

Building Fund

Revenue

Interest Income	(11,004)	(20,008)
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Lease Revenues	(1,344,996)	(1,537,551)
Mandatory Dues	(5,000)	(3,770)
Other Revenues	(396)	(360)
Penalties and Late Fees	(5,604)	(1,385)
Revenue Total	(1,367,000)	(1,563,073)

Expense

Buildings & Equipment	4,599,996	946,437
Depreciation (Non-Expenditure)	-	422,876
Indirect Costs	(2,668,000)	(594,857)
Other Outside Services	-	79,179
Expense Total	1,931,996	853,635

Client Security Fund**Revenue**

Interest Income	(14,496)	(29,932)
Interfund Transfers	(2,020,000)	(424,380)
Mandatory Dues	(7,819,300)	(7,787,097)
Other Revenues	(13,296)	(14,650)
Revenue Total	(9,867,092)	(8,256,058)

Expense

Computers & Software	1,200	1,683
CSF Payments	8,000,000	8,007,676
Indirect Costs	819,492	636,117
Interfund Transfers	-	1,245
Other Expenditures	(99,000)	(135,265)
Other Outside Services	16,500	12,132
Professional Services	-	49
Regular Salary & Benefits	1,497,096	1,175,560
Reimbursements	(473,604)	(755,650)
Retiree Medical Funding	21,000	21,739
Severance Expenses	-	16,475
Supplemental Staffing	5,004	11,394
Supplies and Postage	21,192	15,684
Telecommunications	9,900	10,229
Travel & Training	12,648	7,356
Expense Total	9,831,428	9,026,425

Legal Svcs. Trust Fund**Revenue**

Interest Income	(17,604)	(53,156)
IOLTA	(5,000,004)	(6,439,199)
Other Revenues	(104,796)	(75,822)

Voluntary Dues & Donations	(6,400,000)	(6,332,929)
Revenue Total	(11,522,404)	(12,901,106)

Expense

Buildings & Equipment	-	757
Computers & Software	75,000	16,786
Indirect Costs	518,448	622,973
Legal Services Grants	15,608,004	15,220,879
Other Expenditures	204	1,142
Other Outside Services	96	47
Professional Services	26,796	27,645
Regular Salary & Benefits	1,236,386	1,016,397
Reimbursements	-	(67,324)
Retiree Medical Funding	21,000	21,739
Supplemental Staffing	35,304	15,147
Supplies and Postage	14,100	12,794
Telecommunications	11,604	11,741
Travel & Training	23,004	15,775
Expense Total	17,569,946	16,916,497

Equal Access Fund**Revenue**

Administrative Fees	(474,996)	(457,500)
Grants	(15,225,004)	(16,442,000)
Interest Income	(96)	(2,392)
Revenue Total	(15,700,096)	(16,901,892)

Expense

Indirect Costs	-	14,383
Legal Services Grants	15,450,000	14,837,423
Professional Services	189,996	198,865
Supplies and Postage	1,500	185
Travel & Training	1,296	-
Expense Total	15,642,792	15,050,856

Info Tech Special Access Fund**Revenue**

Interest Income	-	(5,566)
Revenue Total	-	(5,566)

Expense

Interfund Transfers	1,211,748	-
Supplies and Postage	-	3
Expense Total	1,211,748	3

Justice Gap Fund**Revenue**

Interest Income	(1,800)	(3,785)
Voluntary Dues & Donations	(624,000)	(1,061,722)
Revenue Total	(625,800)	(1,065,507)

Expense

Indirect Costs	-	18,336
Expense Total	-	18,336

Benefit Reserve Fund**Revenue**

Interest Income	(804)	6,977
Revenue Total	(804)	6,977

LA Facility Fund**Revenue**

Interest Income	6,000	22,872
Lease Revenues	(399,996)	(396,656)
Other Revenues	(53,004)	(2,078)
Revenue Total	(447,000)	(375,862)

Expense

Buildings & Equipment	-	182,907
Debt Service	951,300	882,593
Depreciation (Non-Expenditure)	1,970,004	1,969,427
Indirect Costs	(2,300,004)	(2,482,907)
Expense Total	621,300	552,020

Bank Settlement Fund**Revenue**

Interest Income	-	(155,347)
Other Revenues	(44,728,000)	(44,778,670)
Revenue Total	(44,728,000)	(44,934,018)

Expense

Indirect Costs	-	6,151
Legal Services Grants	1,000,000	740,000
Regular Salary & Benefits	-	79,923
Supplies and Postage	-	1
Travel & Training	-	5,202
Expense Total	1,000,000	831,278

SF Tenant Improvement Fund**Revenue**

Interest Income	-	(24,053)
Revenue Total	-	(24,053)

Expense

Debt Service	-	339,956
Expense Total	-	339,956

Sections**Revenue**

Grants	-	(20,000)
Interest Income	(25,032)	(55,229)
Interfund Transfers	-	(669,652)
Other Fees and Charges	-	300
Other Revenues	(2,702,856)	(3,022,538)
Sections Member Dues	(5,873,304)	(6,118,886)
Revenue Total	(8,601,192)	(9,886,005)

Expense

Buildings & Equipment	4,152	2,786
Computers & Software	(696)	53
Indirect Costs	1,757,867	1,615,406
Interfund Transfers	54,600	2,372,839
Occupancy	900	9,684
Other Expenditures	125,724	175,482
Other Outside Services	820,308	851,658
Professional Services	474,120	458,615
Regular Salary & Benefits	2,285,308	2,013,782
Retiree Medical Funding	42,000	40,217
Severance Expenses	-	93,963
Supplemental Staffing	125,500	32,129
Supplies and Postage	337,692	270,290
Telecommunications	64,284	58,653
Travel & Training	2,081,808	2,738,916
Expense Total	8,173,567	10,734,473

State Bar of California 2017 Proposed Budget
Indirect Cost Allocation (Revised 2/14/17)

<u>Fund</u>	<u>(Adopted)</u> <u>2016 Budget</u>	<u>(Amendment)</u> <u>2016 Budget</u>	<u>Total</u> <u>2016 Amended</u>	<u>(Preliminary</u> <u>2/14/17)</u> <u>2016 Actual</u>	<u>2017 Budget</u>	<u>2016 vs 2017</u>	<u>2016 Actual</u>
	<u>Indirect Costs</u>	<u>Indirect Costs</u> (To include \$2.67M Capital Exp)	<u>Budget Indirect</u> <u>(A)</u>	<u>Indirect Costs</u> <u>(B)</u>	<u>Indirect Costs</u> <u>(C)</u>	<u>Budget Changes</u> <u>(C) - (A)</u>	<u>vs 2016 Budget</u> <u>(B) - (A)</u>
Consolidated General Fund	22,538,000	1,667,000	24,205,000	20,553,208	22,340,098	(1,864,902)	(3,651,792)
Admissions	4,690,000	524,000	5,214,000	4,382,448	4,693,852	(520,148)	(831,552)
Annual Meeting	52,000	-	52,000	100,691	-	(52,000)	48,691
Grant	-	-	-	-	-	-	-
Sections	1,459,000	209,000	1,668,000	1,489,965	1,655,383	(12,617)	(178,035)
Legislative Activities	155,000	23,000	178,000	115,344	66,320	(111,680)	(62,656)
EOB/Bar Relations	310,000	46,000	356,000	260,286	100,125	(255,875)	(95,714)
Lawyers Assistance Program	523,000	12,000	535,000	417,700	448,177	(86,823)	(117,300)
Legal Specialization	377,000	90,000	467,000	527,656	763,614	296,614	60,656
Client Security	820,000	-	820,000	636,117	563,793	(256,207)	(183,883)
IT Special Assessment	-	-	-	-	-	-	-
Legal Service Trust Fund	414,000	96,000	510,000	621,271	718,185	208,185	111,271
Equal Access Fund	8,000	-	8,000	14,383	15,243	7,243	6,383
Justice GAP	-	-	-	18,336	9,226	9,226	18,336
Bank Settlement Fund	-	-	-	6,151	29,682	29,682	6,151
Indirect Cost Pool:	31,346,000	2,667,000	34,013,000	29,143,556	31,403,698	(2,609,302)	(4,869,444)
Indirect Cost Pool:							
General Counsel	4,848,000		4,848,000	3,633,314	4,405,850	(442,150)	(1,214,686)
Finance	2,935,000		2,935,000	1,762,067	2,516,047	(418,953)	(1,172,933)
Member Billing	2,034,000		2,034,000	1,595,026	1,383,824	(650,176)	(438,974)
Procurement	210,000		210,000	214,781	-	(210,000)	4,781
HR	1,533,000		1,533,000	1,526,463	1,779,382	246,382	(6,537)
General Services LA	4,612,000		4,612,000	4,889,073	4,649,033	37,033	277,073
General Services SF	5,711,000		5,711,000	5,313,325	5,298,196	(412,804)	(397,675)
Building - Capital improvement		2,667,000	2,667,000	548,933	986,000	(1,681,000)	(2,118,067)
IT	6,454,000		6,454,000	5,900,554	6,448,838	(5,162)	(553,446)
Executive Direct/BOT/Election, etc	2,565,000		2,565,000	3,531,071	3,384,932	819,932	966,071
Non Departmental	444,000		444,000	228,949	551,596	107,596	(215,051)
	31,346,000	2,667,000	34,013,000	29,143,556	31,403,698	(2,609,302)	(4,869,444)

Notes:

- \$2.6M budget reduction in 2017 are due to decrease in capital expenditures and budget reduction in professional fees.
- 2016 Actual indirect cost saving compare to amended budget is \$4.9M. Cost savings from major expenditure categories including:
 - \$1.2M savings from salary and benefits due to vacant positions
 - \$1.6M savings from professional fees
 - \$2.1M savings from Howard capital improvement as projects were delayed due to lack of fee Bill status.

2017 Consolidated Fund Condition and Reserve Level **

Fund Description	Projected 12/31/2016 Reserve Bal	2017 Budget					Projected 12/31/2017 Reserve Bal	Changes	Reserve Level	Meeting 17% Reserve Target? (B)	Above 30% Reserve Ceiling? (B)
		Revenue	Expenditures	Indirect Cost	Total Expenditure & Indirect Costs	Fund Transfers					
General Fund (10)	12,660,000	68,714,000	(55,758,000)	(18,171,000)		(1,600,000)	5,845,000	(6,815,000)			
Building Fund (26)	2,840,000	1,365,000	(1,700,000)	986,000		-	3,491,000	651,000			
Legal Educ. And Dev. Fund (18)	7,935,000	2,154,000	(242,000)	-		-	9,847,000	1,912,000			
LA Facility Fund (35)	(4,948,000)	447,000	(2,300,000)	2,300,000		-	(4,501,000)	447,000			
Public Protection Fund (25)	6,510,000	-	-	-		-	6,510,000	-			
Support & Adm (23)	-	-	(24,333,000)	24,733,000		(400,000)	-	-			
Technology Fund (19)	2,850,000	-	(4,334,000)	(784,000)		400,000	(1,868,000)	(4,718,000)			
Fixed Asset Fund (15)	-	-	-	-		-	-	-			
Benefit Reserve Fund (34)	-	-	-	-		-	-	-			
Consolidated General Fund: (A)	27,847,000	72,680,000	(88,667,000)	9,064,000	(79,603,000)	(1,600,000)	19,324,000	(8,523,000)	19.96%	Yes	No
Special Revenue Fund Group:											
Admissions Fund (20)	4,145,000	20,956,000	(16,449,000)	(4,694,000)		1,000,000	4,958,000	813,000	23.45%	Yes	No
Annual Mtg Fund (14)	(83,000)	-	-	-		-	(83,000)	-	NA	NA	NA
Grant Fund (12)	452,000	6,000	(6,000)	-		-	452,000	-	NA	NA	NA
Sections (70-89)	7,748,000	9,006,000	(7,358,000)	(1,655,000)		-	7,741,000	(7,000)	85.89%	Yes	Exempted
Total Special Revenue Fund Group:	12,262,000	29,968,000	(23,813,000)	(6,349,000)	(30,162,000)	1,000,000	13,068,000	806,000			
Restricted Fund Group:											
Legislative Activities Fund (16)	547,000	102,000	(330,000)	(66,000)		-	253,000	(294,000)	63.89%	Yes	Yes
Elimination of Bias/Bar Relations (17)	466,000	-	(433,000)	(100,000)		-	(67,000)	(533,000)	-12.57%	No	No
Lawyer Assistance Program (21)	2,985,000	2,085,000	(1,201,000)	(449,000)		-	3,420,000	435,000	207.27%	Yes	Yes
Legal Specialization Fund (24)	6,107,000	430,000	(4,609,000)	(764,000)		(1,000,000)	164,000	(5,943,000)	11.94%	No	No
Client Security Fund (27)	1,430,000	8,030,000	(6,734,000)	(564,000)		1,600,000	3,762,000	2,332,000	289.83%	Yes	Yes
Info. Tech Special Assessment Fund (31)	1,216,000	-	-	-		-	1,216,000	-	NA	NA	NA
Legal Service Trust Fund (28)	8,346,000	12,450,000	(14,471,000)	(718,000)		2,133,000	7,740,000	(606,000)	353.59%	Yes	Exempted
Equal Access Fund (29)	2,012,000	19,653,000	(19,225,000)	(15,000)		-	2,425,000	413,000	1010.42%	Yes	Exempted
Justice Gap Fund (32)	1,659,000	602,000	-	(9,000)		(2,133,000)	119,000	(1,540,000)	1322.22%	Yes	Exempted
Bank Settlement Fund (37)	44,103,000	-	(5,503,000)	(30,000)		-	38,570,000	(5,533,000)	697.09%	Yes	Exempted
Total Restricted Fund Group:	68,871,000	43,352,000	(52,506,000)	(2,715,000)	(55,221,000)	600,000	57,602,000	(11,269,000)			
Total Before Tenant Buildout:	108,980,000	146,000,000	(164,986,000)	-	(164,986,000)	-	89,994,000	(18,986,000)			
SF Tenant Improvement Fund (38)	(316,000)	50,000	(1,040,000)	-	-	-	(1,306,000)	(990,000)			

Notes:

** 12/31/16 projected reserve balances are estimated based on 2016 Pre-close actuals as of 02/10/17. These balances do not reflect 2016 GASB68, OPEB or other final audit adjustments.

(A) Consolidated General Fund includes: 180 Howard Building Fund, Legal Education and Development Fund, LA Facility Fund, Public Protection Fund, Support & Admin Fund, Technology Fund, Fixed Asset Fund, Benefit Reserve Fund and the original unconsolidated General Fund.

Consolidated General Fund reserve balances consist of \$8.3 million restricted reserve (\$4.6 million restricted cash and \$3.7 million designated for IT/CMS projects) as of 12/31/16. This restricted balance will be reduced to \$4.6 million after spending down the \$3.7 million on the CMS project by end of 2017.

(B) Reserve Level is calculated as: (Total Reserve - Restricted Reserve)/(Recurring Operating Expenditures)

(C) Summary of Budget Revenues, Expenditures and Interfund Transfers:

	2017 Exp &					Changes
	2016 Reserve	2017 Revenues	Indirect Costs	2017 Transfers	2017 Reserve	
Consolidated GF	27,847,000	72,680,000	(79,603,000)	(1,600,000)	19,324,000	(8,523,000)
Non-General Fund	81,133,000	73,320,000	(85,383,000)	1,600,000	70,670,000	(10,463,000)
Total:	108,980,000	146,000,000	(164,986,000)	-	89,994,000	(18,986,000)

Statements of Fund Condition

General Fund	2017*
Beginning Balance	12,660
<u>Revenues</u>	
Mandatory Dues	63,964
Administrative Fees	2,009
Penalties and Late Fees	2,392
Other Fees and Charges	65
Interest Income	105
Other Revenues	179
Total Revenues	68,714
<u>Expenditures</u>	
Regular Salary & Benefits	50,769
Supplemental Staffing	560
Severance Expenses	1,990
Travel & Training	801
Supplies and Postage	989
Professional Services	548
Occupancy	26
Telecommunications	50
Other Outside Services	535
Buildings & Equipment	8
Retiree Medical Funding	457
Other Expenditures	25
Indirect Costs	18,084
Reimbursements	-1,000
Interfund Transfers	1,600
Total Expenditures	75,442
Ending Balance	5,932

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Grants Fund	2017*
Beginning Balance	452
<u>Revenues</u>	
Grants	6
Total Revenues	6
<u>Expenditures</u>	
Legal Services Grants	6
Total Expenditures	6
Ending Balance	452
Annual Meeting Fund	2017*
Beginning Balance	-83
Ending Balance	-83
Fixed Assets Fund	2017*
Beginning Balance	0
<u>Expenditures</u>	
Depreciation (Non-Expenditure)	1,627
Total Expenditures	1,627
Ending Balance	-1,627

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Legislative Activities Fund		2017*
Beginning Balance		547
<u>Revenues</u>		
Voluntary Dues & Donations		100
Interest Income		2
Total Revenues		102
<u>Expenditures</u>		
Regular Salary & Benefits		157
Supplies and Postage		9
Professional Services		162
Telecommunications		2
Indirect Costs		66
Total Expenditures		396
Ending Balance		253
Elimination of Bias Fund		2017*
Beginning Balance		466
<u>Expenditures</u>		
Regular Salary & Benefits		248
Severance Expenses		87
Travel & Training		33
Supplies and Postage		8
Professional Services		5
Occupancy		2
Telecommunications		3
Other Outside Services		5
Retiree Medical Funding		42
Indirect Costs		100
Total Expenditures		533
Ending Balance		-67

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Legal Education and Development Fund		2017*
Beginning Balance		7,935
<u>Revenues</u>		
Insurance Commissions		1,912
Other Revenues		242
Total Revenues		2,154
<u>Expenditures</u>		
Regular Salary & Benefits		143
Travel & Training		40
Supplies and Postage		5
Other Outside Services		54
Indirect Costs		84
Total Expenditures		326
Ending Balance		9,763
Technology Fund		2017*
Beginning Balance		2,850
<u>Revenues</u>		
Interfund Transfers		400
Total Revenues		400
<u>Expenditures</u>		
Regular Salary & Benefits		1,634
Computers & Software		2,700
Indirect Costs		784
Total Expenditures		5,118
Ending Balance		-1,868

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

Admissions Fund	2017*
Beginning Balance	4,145
<u>Revenues</u>	
Administrative Fees	1,174
Penalties and Late Fees	461
Student Registration Fees	1,195
Exam Fees	13,733
Moral Character Fees	4,123
Other Fees and Charges	245
Interest Income	25
Interfund Transfers	1,000
Total Revenues	21,956
<u>Expenditures</u>	
Regular Salary & Benefits	6,827
Supplemental Staffing	345
Severance Expenses	168
Travel & Training	423
Supplies and Postage	372
Professional Services	478
Exam & Software Licensing	1,589
Exam Room Rental	1,696
Exam Proctors	1,466
Exam Graders	825
Occupancy	171
Telecommunications	87
Other Outside Services	1,855
Buildings & Equipment	9
Retiree Medical Funding	125
Other Expenditures	13
Indirect Costs	4,694
Total Expenditures	21,143
Ending Balance	4,958

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

Lawyer Assistance Program Fund		2017*
Beginning Balance		2,985
<u>Revenues</u>		
Mandatory Dues		2,085
Total Revenues		2,085
<u>Expenditures</u>		
Regular Salary & Benefits		829
Severance Expenses		91
Travel & Training		74
Supplies and Postage		6
Professional Services		178
Telecommunications		16
Other Outside Services		6
Other Expenditures		1
Indirect Costs		449
Total Expenditures		1,650
Ending Balance		3,420

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

Support and Administration Fund	2017*
Beginning Balance	0
<u>Expenditures</u>	
Regular Salary & Benefits	13,728
Supplemental Staffing	298
Severance Expenses	302
Travel & Training	278
Supplies and Postage	175
Professional Services	1,149
Occupancy	4,672
Telecommunications	183
Other Outside Services	1,271
Computers & Software	1,898
Buildings & Equipment	156
Retiree Medical Funding	250
Other Expenditures	-29
Indirect Costs	-24,733
Interfund Transfers	400
Total Expenditures	-2
Ending Balance	2

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Legal Specialization Fund	2017*
Beginning Balance	6,107
<u>Revenues</u>	
Administrative Fees	253
Exam Fees	140
Other Fees and Charges	8
Interest Income	26
Other Revenues	3
Total Revenues	430
<u>Expenditures</u>	
Regular Salary & Benefits	803
Supplemental Staffing	30
Travel & Training	183
Supplies and Postage	26
Professional Services	2,507
Exam & Software Licensing	38
Exam Room Rental	75
Exam Proctors	35
Occupancy	4
Telecommunications	10
Other Outside Services	344
Computers & Software	535
Buildings & Equipment	15
Other Expenditures	4
Indirect Costs	764
Interfund Transfers	1,000
Total Expenditures	6,373
Ending Balance	164
Public Protection Fund	2017*
Beginning Balance	6,510
Ending Balance	6,510

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Building Fund	2017*
Beginning Balance	2,840
<u>Revenues</u>	
Mandatory Dues	3
Penalties and Late Fees	6
Lease Revenues	1,345
Interest Income	11
Total Revenues	1,365
<u>Expenditures</u>	
Buildings & Equipment	1,700
Indirect Costs	-986
Total Expenditures	714
Ending Balance	3,491

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Client Security Fund	2017*
Beginning Balance	1,430
<u>Revenues</u>	
Mandatory Dues	7,995
Interest Income	20
Other Revenues	15
Interfund Transfers	1,600
Total Revenues	9,630
<u>Expenditures</u>	
Regular Salary & Benefits	1,250
Severance Expenses	94
Travel & Training	13
Supplies and Postage	18
Telecommunications	10
Other Outside Services	17
CSF Payments	6,000
Computers & Software	1
Retiree Medical Funding	21
Other Expenditures	-149
Indirect Costs	563
Reimbursements	-540
Total Expenditures	7,298
Ending Balance	3,762

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

Legal Services Trust Fund	2017*
Beginning Balance	8,346
<u>Revenues</u>	
Voluntary Dues & Donations	6,325
IOLTA	6,000
Interest Income	50
Other Revenues	75
Interfund Transfers	2,133
Total Revenues	14,583
<u>Expenditures</u>	
Regular Salary & Benefits	1,293
Severance Expenses	81
Travel & Training	22
Supplies and Postage	11
Professional Services	21
Telecommunications	12
Legal Services Grants	12,952
Computers & Software	56
Buildings & Equipment	1
Retiree Medical Funding	21
Other Expenditures	1
Indirect Costs	718
Total Expenditures	15,189
Ending Balance	7,740

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Equal Access Fund	2017*
Beginning Balance	2,012
<u>Revenues</u>	
Administrative Fees	460
Grants	19,192
Interest Income	1
Total Revenues	19,653
<u>Expenditures</u>	
Supplies and Postage	1
Professional Services	210
Legal Services Grants	19,014
Indirect Costs	15
Total Expenditures	19,240
Ending Balance	2,425
Info Tech Special Access Fund	2017*
Beginning Balance	1,216
Ending Balance	1,216
Justice Gap Fund	2017*
Beginning Balance	1,659
<u>Revenues</u>	
Voluntary Dues & Donations	600
Interest Income	2
Total Revenues	602
<u>Expenditures</u>	
Indirect Costs	9
Interfund Transfers	2,133
Total Expenditures	2,142
Ending Balance	119

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

LA Facility Fund		2017*
Beginning Balance		-4,948
<u>Revenues</u>		
Lease Revenues		400
Interest Income		-6
Other Revenues		53
Total Revenues		447
<u>Expenditures</u>		
Debt Service		2,300
Indirect Costs		-2,300
Depreciation (Non-Expenditure)		1,970
Total Expenditures		1,970
Ending Balance		-6,471
Bank Settlement Fund		2017*
Beginning Balance		44,103
<u>Expenditures</u>		
Regular Salary & Benefits		72
Travel & Training		4
Supplies and Postage		1
Telecommunications		2
Legal Services Grants		5,414
Computers & Software		10
Indirect Costs		30
Total Expenditures		5,533
Ending Balance		38,570

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Sections Funds	2017*
Beginning Balance	7,748
<u>Revenues</u>	
Sections Member Dues	6,069
Other Fees and Charges	10
Interest Income	48
Other Revenues	2,879
Total Revenues	9,006
<u>Expenditures</u>	
Regular Salary & Benefits	2,110
Supplemental Staffing	89
Severance Expenses	290
Travel & Training	2,575
Supplies and Postage	403
Professional Services	410
Occupancy	10
Telecommunications	75
Other Outside Services	1,126
Buildings & Equipment	4
Retiree Medical Funding	42
Other Expenditures	224
Indirect Costs	1,655
Total Expenditures	9,013
Ending Balance	7,741

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

State Bar of California

Statements of Fund Condition

Howard Tenant Buildout Fund		2017*
Beginning Balance		-316
<u>Revenues</u>		
Interest Income		50
Total Revenues		50
<u>Expenditures</u>		
Other Outside Services		640
Debt Service		400
Total Expenditures		1,040
Ending Balance		-1,306

* Budget, \$ thousands. Beginning balances are based on 2016 Pre-Close Actuals and do not reflect 2016 GASB 68, OPEB and other final audit adjustments.

Wages & Salary Supplement

	Budgeted FTE	Salaries
	2017	2017 Budget
Admissions		
<u>Admissions Administration</u>		
SR DIRECTOR, ADMISSIONS	1.00	208,300
ASSISTANT DIRECTOR, ADMISSIONS	1.00	130,200
ADMIN SPECIALIST II	1.00	78,200
SECTION CHIEF	1.00	96,200
ADMINISTRATIVE ASSISTANT II	2.00	126,700
ADMISSIONS ANALYST III	1.00	72,100
ADMINISTRATIVE ASSISTANT I	2.00	115,500
Admissions Administration Total	9.00	827,200
<u>Examination Development</u>		
DIRECTOR, EXAMINATIONS	1.00	151,300
EXAMINATIONS TECHNICIAN	1.00	95,900
Examination Development Total	2.00	247,200
<u>Admissions Operations and Processing</u>		
DIRECTOR, OPERATIONS & MGMT	1.00	151,300
SECTION CHIEF	4.00	401,500
TECHNOLOGY SVCE ANALYST TECHN	1.00	95,900
SENIOR ADMIN ASSISTANT	1.00	84,900
SR ADMINISTRATIVE ASSISTANT	1.00	83,300
ADMIS ELIGIBILITY ANALYST III	1.00	79,300
FISCAL SERVICES SPECIALIST	1.00	65,700
ELIGIBILITY ANALYST II	1.00	59,300
ADMISSIONS ANALYST III	1.00	72,100
ADMIS ELIGIBILITY ANALYST II	2.00	136,700
ADMINISTRATIVE ASSISTANT II	2.00	141,800
ADMISSIONS ANALYST II	1.00	61,900
ADMINISTRATIVE ASSISTANT I	3.00	178,300
COORDINATOR OF RECORDS	4.00	246,200
GENERAL CLERK III	1.00	50,400
ADMISSIONS ANALYST I	1.00	53,600
Admissions Operations and Processing Total	26.00	1,962,200

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
<u>Examination Grading</u>		
DIRECTOR, ADMISSIONS ADMIN	1.00	130,200
SR ADMINISTRATIVE ASSISTANT	1.00	76,700
ADMINISTRATIVE SECRETARY	1.00	63,100
ADMISSIONS COORDINATOR	1.00	48,000
GENERAL CLERK III	2.00	83,200
ADMISSIONS PROCESSING CLERK II	1.00	48,500
Examination Grading Total	7.00	449,700
<u>Moral Character Determinations</u>		
DIR, MORAL CHAR DETERMINATIONS	1.00	141,400
SECTION CHIEF	2.00	200,600
MORAL CHARACTER ANALYST	9.00	685,200
ADMINISTRATIVE ASSISTANT II	1.00	72,100
Moral Character Determinations Total	13.00	1,099,300
<u>Law School Regulation</u>		
DIRECTOR, EDUCATIONAL STANDARDS	1.00	149,800
SR ADMINISTRATIVE ASSISTANT	1.00	74,200
Law School Regulation Total	2.00	224,000
<u>Special Admissions</u>		
ADMINISTRATIVE ASSISTANT II	1.00	72,100
ADMINISTRATIVE ASSISTANT I	1.00	61,600
Special Admissions Total	2.00	133,700
<u>Specialization</u>		
DIRECTOR, LEGAL SPECIALIZATION	1.00	151,300
SECTION CHIEF, SPECIALIZATION	1.00	83,600
SR ADMINISTRATIVE ASSISTANT	1.00	68,800
ADMINISTRATIVE ASSISTANT II	3.00	177,400
ADMINISTRATIVE ASSISTANT I	2.00	102,600
Specialization Total	8.00	583,700
Admissions Total	69.00	5,527,000

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Chief Trial Counsel		
<u>Chief Trial Counsel</u>		
CHIEF TRIAL COUNSEL	1.00	197,800
DEPUTY CHIEF TRIAL COUNSEL	1.00	180,300
ASSISTANT CHIEF TRIAL COUNSEL	7.00	1,268,200
DIRECTOR, CENTRAL ADMIN, CTC	1.00	152,700
EXECUTIVE SECRETARY CONF	2.00	165,200
SUPERVISING ATTORNEY	6.00	890,800
SENIOR ATTORNEY	32.80	4,751,700
SENIOR ATTORNEY - PART TIME	0.50	77,900
ATTORNEY	45.80	4,952,400
INVESTIGATOR SUPERVISOR	4.00	410,400
SR ADMINISTRATIVE SUPERVISOR	2.00	186,200
INVESTIGATOR II	38.00	3,414,200
CASE ADMINISTRATOR (JD ASST)	1.00	79,100
COMPLAINT ANALYST II	14.00	1,168,200
INVESTIGATOR I	11.00	809,800
PARALEGAL	17.00	1,376,000
SR ADMINISTRATIVE ASSISTANT	3.00	260,700
TRANSLATOR / INTERPRETER	1.00	80,500
COMPLAINT ANALYST I	1.00	75,000
ADMINISTRATIVE ASSISTANT II	1.00	72,100
LEGAL SECRETARY	16.00	1,041,500
ADMINISTRATIVE SECRETARY	7.00	470,000
ADMINISTRATIVE ASSISTANT I	2.00	130,600
COORDINATOR OF RECORDS	17.00	1,036,900
SECRETARY II	11.00	690,300
GENERAL CLERK III	4.00	186,400
Chief Trial Counsel Total	247.10	24,124,900
<u>Rule 2201 Conflict Cases</u>		
ATTORNEY III CONF	0.25	42,300
Rule 2201 Conflict Cases Total	0.25	42,300
Chief Trial Counsel Total	247.35	24,167,200

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Probation		
<u>Probation</u>		
PROBATION DEPUTY	6.00	458,400
ADMINISTRATIVE ASSISTANT II	1.00	69,900
Probation Total	7.00	528,300
Probation Total	7.00	528,300
Client Security Fund		
<u>Client Security Fund</u>		
DIRECTOR, CLIENT SECURITY FUND	1.00	172,000
SENIOR ATTORNEY	2.00	322,700
SR ADMINISTRATIVE SUPERVISOR	1.00	105,200
PARALEGAL	2.00	170,000
ADMINISTRATIVE SECRETARY	1.00	72,100
ADMINISTRATIVE ASSISTANT II	1.00	72,100
Client Security Fund Total	8.00	914,100
Client Security Fund Total	8.00	914,100
Mandatory Fee Arbitration		
<u>Mandatory Fee Arbitration</u>		
DIRECTOR, FEE ARBITRATION	0.50	72,500
SR ADMINISTRATIVE ASSISTANT	3.00	236,400
ADMINISTRATIVE ASSISTANT II	1.00	72,100
Mandatory Fee Arbitration Total	4.50	381,000
Mandatory Fee Arbitration Total	4.50	381,000

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
State Bar Court		
<u>Administration</u>		
SENIOR DIR STATE BAR COURT	1.00	202,300
SPECIAL ASSISTANT - SB COURT *	1.00	35,400
ADMIN SPECIALIST III (CONF)	1.00	101,800
SR ADMINISTRATIVE SECRETARY	0.90	52,400
Administration Total	3.90	391,900
<u>Hearing Department & Effectuations Unit</u>		
CHIEF ASSISTANT COURT COUNSEL	1.00	172,000
COURT ADMINISTRATOR	1.00	154,100
SENIOR ATTORNEY	5.00	755,400
HEARING JUDGE	5.00	885,800
LEAD DATA ANALYST	1.00	91,900
CASE ADMINISTRATOR	11.00	1,021,000
PROGRAM/COURT SYS ANLST	2.00	147,400
DEPUTY COURT CLERK IV	2.00	155,900
ADMINISTRATIVE ASSISTANT II	1.00	66,100
LEGAL SECRETARY	1.00	72,100
Hearing Department & Effectuations Unit Total	30.00	3,521,700
<u>Review Department</u>		
CHIEF ASST COURT COUNSEL	1.00	151,500
SENIOR ATTORNEY	3.00	435,400
REVIEW JUDGE	2.00	388,000
PRESIDING JUDGE	1.00	194,000
CASE ADMINISTRATOR	2.00	180,900
Review Department Total	9.00	1,349,800
State Bar Court Total	42.90	5,263,400

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	2017	2017 Budget
Member Records & Compliance		
<u>Member Service Center</u>		
MGING DIR MEMB REC & COMP	1.00	123,000
SR ADMINISTRATIVE SPECIALIST	1.00	110,800
SR ADMINISTRATIVE SUPERVISOR	3.00	302,900
SR ADMINISTRATIVE ASSISTANT	1.00	80,100
COMPLAINT ANALYST I	2.00	93,500
MEMBER SERVICES REPRESENTATIVE	3.00	206,800
MEMBER SERVICES ASSOCIATE	7.00	491,500
ADMINISTRATIVE ASSISTANT II	2.00	140,800
ADMINISTRATIVE ASSISTANT I	5.00	296,600
RECEPTIONIST/RESERVATION COORD	1.00	48,500
Member Service Center Total	26.00	1,894,500
Member Records & Compliance Total	26.00	1,894,500
Professional Competence		
<u>Outreach & Education</u>		
DIRECTOR, PROFESSNL COMPETNCE	1.00	172,000
SR ADMINISTRATIVE SPECIALIST	1.00	111,200
ATTORNEY	1.00	109,400
LEAD DATA ANALYST	1.00	89,300
SR ADMINISTRATIVE ASSISTANT	1.00	87,300
PARALEGAL	6.00	464,200
ADMINISTRATIVE SECRETARY	1.00	72,100
DATA ANALYST II	1.00	58,900
Outreach & Education Total	13.00	1,164,400
Professional Competence Total	13.00	1,164,400

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	2017	2017 Budget
Education		
<u>Sections</u>		
DIR, SECTION EDUC & MTG SVCS	1.00	131,600
SECTION COORDINATOR	6.00	597,500
MEETING & EVENT ADMINISTRATOR	2.00	201,200
WEB ADMINISTRATOR	1.00	77,100
SR ADMINISTRATIVE ASSISTANT	1.00	78,100
ADMINISTRATIVE ASSISTANT II	6.00	387,600
ADMIN ASSISTANT I	1.00	51,700
Sections Total	18.00	1,524,800
Education Total	18.00	1,524,800

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Legal Services		
<u>Program Development</u>		
SR DIRECTOR ADMIN OF JUSTICE	1.00	187,900
PROGRAM DEVELOPER	2.50	263,100
SR ADMINISTRATIVE ASSISTANT	1.00	75,700
PROGRAM COORDINATOR	1.00	63,500
ADMINISTRATIVE ASSISTANT II	2.00	144,200
ADMIN ASSISTANT II	1.00	60,800
Program Development Total	8.50	795,200
<u>Legal Services Funding</u>		
MANGNG DIR, LGL SVCS TRUST FND	1.00	140,200
SENIOR ACCOUNTANT/AUDITOR	2.00	205,800
PROGRAM DEVELOPER	0.50	52,600
SENIOR GRANTS ADMINISTRATOR	1.00	88,900
SENIOR ADMIN ASSISTANT	1.00	70,100
SR ADMINISTRATIVE ASSISTANT	2.00	157,500
SR. ADMINISTRATIVE ASSISTANT	1.00	76,700
PROGRAM COORDINATOR	1.00	61,700
COMPLIANCE AUDITOR I	2.00	143,900
Legal Services Funding Total	11.50	997,400
<u>Elimination of Bias</u>		
MANAGING DIR DIVERSITY OUTREAC	1.00	140,200
Elimination of Bias Total	1.00	140,200
Legal Services Total	21.00	1,932,800
Lawyer Assistance Program		
<u>Lawyer Assistance Program</u>		
DIRECTOR, FEE ARBITRATION	0.50	72,500
MANAGING DIRECTOR BAR RELATION *	0.50	21,600
CASE MANAGER	4.00	383,300
PROGRAM COURT SYS ANLST	1.00	82,400
ADMINISTRATIVE ASSISTANT II	1.00	68,200
Lawyer Assistance Program Total	7.00	628,000
Lawyer Assistance Program Total	7.00	628,000

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Executive Director		
<u>Management, Oversight and Planning</u>		
EXEC DIR/CHIEF EXEC OFFICER	1.00	267,500
CHIEF OPERATING OFFICER	1.00	239,500
DIRECTOR (ORIA)	1.00	177,000
DIRECTOR (EXEC OFC PROGRAMS)	1.00	162,000
PRINCIPAL ANALYST (ORIA)	3.00	448,100
SR. ADMINISTRATIVE SPECIALIST	1.00	108,300
BUDGET & PERFORMANCE ANALYST	1.00	104,400
ADMINISTRATIVE SPECIALIST I	0.80	64,900
LEAD DATA ANALYST	1.00	79,000
SR ADMINISTRATIVE ASSISTANT	1.00	80,200
PROGRAM/COURT SYS ANLST	2.00	168,200
ADMINISTRATIVE ASSISTANT II	1.00	72,100
Management, Oversight and Planning Total	14.80	1,971,200
<u>Board Support - Secretariat</u>		
ADMINISTRATIVE ASSISTANT II	1.00	72,100
Board Support - Secretariat Total	1.00	72,100
<u>Judicial Evaluations</u>		
EXECUTIVE SECRETARY	1.00	84,200
ADMINISTRATIVE ASSISTANT II	2.00	137,000
Judicial Evaluations Total	3.00	221,200
<u>Governmental Affairs</u>		
DIRECTOR (SCSE)	0.15	26,500
SR ADMINISTRATIVE ASSISTANT	1.00	87,300
Governmental Affairs Total	1.15	113,800
<u>Affinity & Insurance</u>		
ADMINISTRATIVE SPECIALIST I	0.20	16,200
SR ADMINISTRATIVE ASSISTANT	1.00	87,300
Affinity & Insurance Total	1.20	103,500
Executive Director Total	21.15	2,481,800

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Finance		
<u>Finance</u>		
CHIEF FINANCIAL OFFICER	1.00	177,000
FINANCE MANAGER	2.00	250,000
SENIOR FINANCIAL ANALYST	4.00	415,400
FISCAL SVCS SPECIALIST (CONF)	1.00	57,400
AUDITOR/ACCOUNTANT	1.00	69,300
FISCAL SERVICES SPECIALIST	3.00	187,000
Finance Total	12.00	1,156,100
<u>Member Billing</u>		
FISCAL SERVICES SPECIALIST	3.00	207,100
Member Billing Total	3.00	207,100
Finance Total	15.00	1,363,200
General Counsel		
<u>General Counsel</u>		
CHIEF LEGAL OFFICER	1.00	216,900
DEPUTY GENERAL COUNSEL	1.00	185,000
ATTORNEY III CONF	8.75	1,351,600
ATTORNEY II CONF	2.00	247,800
ATTORNEY I CONF	3.00	278,400
ADMIN SPECIALIST III CONF	1.00	91,600
PROGRAM/COURT SYS ANLST CONF	1.00	88,800
ADMIN SPECIALIST II CONF	1.00	92,600
LEGAL ASSISTANT CONF	1.00	71,600
ADMIN ASSISTANT II CONF	1.00	61,000
LEGAL SECRETARY CONF	3.00	205,600
COORDINATOR OF RECORDS	1.00	60,700
General Counsel Total	24.75	2,951,600
General Counsel Total	24.75	2,951,600

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	2017	2017 Budget
Human Resources		
<u>Human Resources</u>		
DIRECTOR HR & LABOR RELATIONS	1.00	177,000
SR HUMAN RESOURCES SPECIALIST	3.00	306,900
HUMAN RESOURCES SPECIALIST	3.00	237,600
HUMAN RESOURCES ADMINISTRATOR	1.00	79,600
HUMAN RESOURCES COORDINATOR	3.00	199,000
Human Resources Total	11.00	1,000,100
Human Resources Total	11.00	1,000,100
Information Technology		
<u>IT Admin and Operations</u>		
SR DIRECTOR INFO TECHNOLOGY	1.00	195,400
DIRECTOR, TECHNOLOGY SYSTEMS	1.00	149,800
DIRECTOR OF APPLICATIONS	1.00	154,100
APPLICATION DEVELOPMENT MGR	1.00	118,400
INFORMATION TECHNOLOGY MANAGER	1.00	130,000
PROGRAM/COURT SYS ANALYST	1.00	84,900
SR INFO TECHNOLOGY ANALYST	1.00	127,000
WEBMASTER	1.00	116,000
COMPUTER ANALYST/PROGRAMMER	7.00	776,800
INFO TECHNOLOGY ANALYST II	3.00	345,000
TECHNICAL SUPPORT ADMINISTRATR	2.00	205,500
INFO TECHNOLOGY ANALYST I	3.00	300,400
TECHNOLOGY SVCE ANALYST TECHN	3.00	285,700
IT Admin and Operations Total	26.00	2,989,000
Information Technology Total	26.00	2,989,000

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Strategic Communications and Stakeholder Engagement		
<u>Communications</u>		
DIRECTOR (SCSE)	0.85	150,500
MANAGING DIR COMM & INFO SVCS	1.00	138,100
WEB EDITOR	1.00	97,900
PUBLIC INFORMATION OFFICER	0.80	69,600
WEB ADMINISTRATOR	1.00	83,300
Communications Total	4.65	539,400
<u>Bar Relations</u>		
MANAGING DIRECTOR BAR RELATION *	0.50	21,600
PROGRAM/COURT SYS ANLST *	1.00	20,100
Bar Relations Total	1.50	41,700
Strategic Communications and Stakeholder Engagement Total	6.15	581,100
General Services		
<u>General Services</u>		
DIRECTOR, GENERAL SERVICES	1.00	187,700
DEPUTY DIR, GENERAL SERVICES	1.00	111,900
ADMIN SPECIALIST III (CONF)	3.00	266,600
SUPERVISOR, OFF. & RECEP. SVCS	2.00	191,800
PURCHASING ASSISTANT	1.00	79,300
ADMINISTRATIVE ASSISTANT II	1.00	72,100
PRINTING TECHNICIAN II	2.00	144,200
TRAVEL & INFO SVCS COORDINATOR	1.00	62,200
PRINTING TECHNICIAN I	2.00	115,100
SR OFFICE SERVICES COORDINATOR	1.00	58,900
MAINTENANCE TECHNICIAN	1.00	58,900
SR OFFICE SERVICES CLERK	5.00	249,800
RECEPTIONIST/RESERVATION COORD	1.00	39,800
General Services Total	22.00	1,638,300
General Services Total	22.00	1,638,300

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

	<u>Budgeted FTE</u>	<u>Salaries</u>
	<u>2017</u>	<u>2017 Budget</u>
Technology Projects		
<u>Technology Projects</u>		
COURT ADMINISTRATOR	1.00	154,100
PRINCIPAL ANALYST (ORIA)	1.00	150,000
SENIOR ATTORNEY	2.00	317,300
ATTORNEY	1.00	135,000
SR BUSINESS SYSTEMS ANALYST	1.00	109,700
INVESTIGATOR SUPERVISOR	1.00	105,200
CASE ADMINISTRATOR	1.00	95,900
LEGAL SECRETARY	1.00	72,100
COORDINATOR OF RECORDS	1.00	65,300
Technology Projects Total	10.00	1,204,600
Technology Projects Total	10.00	1,204,600
Grand Total	599.80	58,135,200

NOTE: FTEs shown are as of January 1st.

* Position is funded for less than a year.

APPENDIX B

UPDATE ON WORKFORCE PLANNING IMPLEMENTATION

AGENDA ITEM

703 JANUARY 2017

DATE: January 24, 2017
TO: Members, Board of Trustees
FROM: Dag MacLeod, Director, Office of Research and Institutional Accountability
SUBJECT: Workforce Planning Implementation Report

EXECUTIVE SUMMARY

On May 13, 2016, the California State Bar submitted a Workforce Planning Report to the California State Legislature as mandated under Business and Professions Code §6140.16. Drafted by consultants from the National Center for State Courts (NCSC) under contract with the State Bar, the report contained recommendations for changes to the organization and workflow of six Departments included in its review: the Office of the Chief Trial Counsel (OCTC), State Bar Court (SBC), the Office of Probation (Probation), the Lawyer Assistance Program (LAP) Member Records and Compliance (MRC), and the Client Security Fund (CSF).

In addition to the mandate to submit the report by May 15, 2016, the statute further directs the Bar to “complete and implement its workforce plan by December 31, 2016.”

The report for this agenda item provides detail on the current status of the recommendations and the process of implementing them. While not required by the statute, this report will be provided to the Legislature in the interest of transparency.

FISCAL/PERSONNEL IMPACT

NONE

RULE AMENDMENTS

NONE

BOARD BOOK IMPACT

NONE

RECOMMENDATIONS

None

ATTACHMENT(S) LIST

- A.** Workforce Planning Implementation Status Report

The Implementation of Workforce Planning Recommendations Mandated by Business and Professions Code 6140.16: Status Report

On May 13, 2016, the California State Bar (Bar) submitted a Workforce Planning Report (Report) to the California State Legislature as mandated under Business and Professions Code 6140.16.¹ That statute also required the Bar to implement workforce planning recommendations by December 31, 2016. The report that follows provides a detailed description of the Bar's implementation process through the year and the status of this work at the end of 2016.

To comply with the statutory mandate, the Bar entered into a contract with the National Center for State Courts (NCSC) in December, 2015, to conduct a workforce planning analysis to include the following elements:

- Documentation of current business processes, workflow, staffing levels and metrics;
- Development of a workforce plan, including recommendations regarding organizational structure and staffing levels that maximize the efficiency and effectiveness of the Bar's discipline system; and
- Examination of whether consolidation of units or functions and/or the reallocation of personnel and resources will improve the efficiency or performance of the discipline system of the Bar.

Definition of the Discipline System

Business and Professions Code 6140.16 requires that the Bar "develop and implement a workforce plan for its discipline system." Although the exact scope of the Bar's discipline system is not defined in statute, for purposes of the Report the Bar's disciplinary activities were defined to include the following:

- Office of the Chief Trial Counsel (OCTC): investigates and prosecutes attorneys for violations of the Rules of Professional Conduct and State Bar Act;
- State Bar Court (SBC): hears cases in attorney discipline matters and recommends discipline to the Supreme Court;
- Office of Probation (OP): monitors disciplined attorneys who have been ordered to comply with court orders or reprobation conditions pursuant to orders issued by the Supreme Court or SBC;
- Lawyer Assistance Program (LAP): provides substance abuse and mental health support services to members participating in the Alternative Discipline Program;
- Client Security Fund (CSF): reimburses victims of attorney theft and dishonesty; and
- Member Records and Compliance (MRC): maintains the official list and status of attorneys who are licensed to practice law in California, and monitors compliance with membership requirements.

¹ See Appendix A for the full text of Business and Professions Code 6140.16. The report submitted to the Legislature can be found at:

<http://www.calbar.ca.gov/LinkClick.aspx?fileticket=sgL7pgRpfPY%3d&tabid=224&mid=1534>

At the time of the study, these Departments, combined, comprised 317 of the Bar's 530 staff, approximately 60 percent of the Bar's overall workforce.

NCSC Methodology and Research

The NCSC project team made an introductory site visit to San Francisco on February 5, 2016, to meet with a Workforce Planning Steering Committee created by the Bar and comprised of representatives of the OCTC, SBC, LAP, CSF and MRC. The team also met with the Director of Human Resources and union² representatives to discuss how the project would be conducted and to identify reports and background material on the Bar organization that should be reviewed and researched.

The NCSC also developed a staff survey for distribution to all Bar staff involved in activities related to the attorney discipline process. The survey solicited views on whether staffing levels are appropriate and where staffing could be improved; whether the employees have sufficient guidance and clarity to perform their tasks and assignments; whether the business processes for their work assignments are clearly documented and stated; whether they understand their performance expectations; whether there is duplication in work assignments within different operational areas; and whether there are tasks that can be reorganized or reengineered.

The survey instrument captured responses on 14 primary topics regarding operational functions, staffing levels, and performance measures. Survey respondents were asked to mark their level of agreement with a series of statements supplemented by open-ended requests for feedback regarding areas in need of improvement. (The Bar distributed the survey to 320 employees, managers and supervisors. 265 (83 percent) responded. The NCSC team compiled the responses and used them to identify areas that required follow-up during the upcoming site visit interviews. The responses were evaluated and used to develop follow-up questions for site visits, guide the on-site observation, and generate recommendations for the final report.

The NCSC project team conducted eight days of site visits in Los Angeles during the weeks of February 22 and 29 and another eight days of site visits in San Francisco during the weeks of March 21 and March 28. During these 16 days, the NCSC project team conducted structured interviews and focus groups with staff, observed Bar operations, and collected additional data and documentation on the Bar. All of this on-site work focused on understanding current workflow, business processes, staffing levels, outcomes and objectives, and the solicitation of ideas as to how the work of attorney discipline could be conducted more efficiently and effectively.

In total, the NCSC team interviewed approximately 170 State Bar employees, managers, supervisors, and officials, and the Presiding Judge of the SBC. Team members interviewed persons who work in each of the six operational departments included in the project scope. The NCSC project team spent approximately 112 hours interviewing managers, supervisors and

² Most State Bar employees belong to what is known as the "General Unit" and are represented by Social Services Union, Local 535, Service Employees International Union, AFL-CIO/CLC (hereinafter referred to as the "union" or SEIU).

employees individually and in groups during the time they spent on-site. An additional five hours of post-site visit interviews were conducted for follow-up purposes.

The Implementation Process

Following the delivery of the Report to the Legislature, the Bar began organizing teams to implement the recommendations.

Division of labor and assignment of departmental work streams

Recommendations in the Report were organized by departments within the Bar. Senior managers over each of the Bar departments defined as part of the discipline system were assigned responsibility for implementation of the recommendations in their respective areas. Managers worked with line staff to make them aware of the recommendations and solicit input regarding how best to implement. Staff in the Office of Research and Institutional Accountability (ORIA) was also assigned responsibility for supporting the implementation efforts, facilitating communication with the Board, tracking the progress of the work, and coordinating the implementation of recommendations that involved multiple departments. Four departments tasked with relatively few recommendations were combined into two groups of two, each supported by a single member of the ORIA team.

Because of the centrality of OCTC to the discipline system the Bar's Chief Operating Officer (COO) worked closely with the Interim Chief Trial Counsel and senior managers to advance the implementation of recommendations in OCTC. In addition to the importance of OCTC to the effective functioning of the State Bar discipline system, the large number of recommendations, and the operational complexity of the recommendations all reinforced the need for additional support from the Bar's executive management.

Finally, in deference to the independence of the State Bar Court, the implementation of recommendations related to the court was managed directly by the Presiding Judge of the Court.

For purposes of tracking progress and providing on-going communication with the Board, then, implementation of the recommendations in the six departments of the State Bar proceeded in the following four work-streams:

1. MRC and CSF;
2. OP and LAP;
3. OCTC; and
4. SBC

In June, staff in ORIA were assigned to the first two work streams and met weekly with the COO to coordinate the work and review the status of implementation efforts. Through its Court Administrator, the SBC provided regular updates to the COO.

Involvement of the Board of Trustees, State Bar committees and affected staff

In compliance with the statutory deadline, the Workforce Planning Report was delivered to the Legislature on May 13. The next full meeting of the Bar Board of Trustees (Board), however,

was not scheduled until July. To avoid unnecessary delay in advancing the December 31, 2016, recommendation implementation date, the Board President established Board working groups for each work stream.

Board working groups were tasked with reviewing the progress of staff and providing input and direction as to the development of implementation plans and timelines. Beginning in June, conference calls were scheduled with Board liaisons to review the recommendations and track the status of the implementation work. The full Board received the NCSC report at its July meeting. The Board also received implementation Gantt charts at the July meeting with projected dates for the completion of the various recommendations. The Board was also given an update on the status of implementation efforts at its December 12, 2016, meeting.

In addition to working with the Board liaisons, Bar staff also attended various committee meetings to inform committee members of recommendations that touched on operations of an area for which the committee has responsibility including the Oversight Committee of the Lawyers Assistance Program, and internal committees such as the Probation Committee.

Lead staff on the implementation effort also worked to communicate the Workforce Planning recommendations to affected staff. Meetings were held throughout the Bar to familiarize line staff with the recommendations, clarify their potential impact, and work out details related to implementation. Initial meetings generally involved distributing the recommendations, answering questions, and soliciting information on challenges and opportunities that might be encountered in the process of implementation. Subsequent meetings addressed details related to implementation, review of documents, solicitation of additional input, and further discussion of the impact of implementing the recommendations.

Follow-up meetings of entire departments were held when recommendations involved major organizational transformation. For example, the Workforce Planning recommendations for OCTC included the creation of a new team structure and the reallocation of staff into teams of generalists who might handle any of a number of different case types. Similarly, Workforce Planning recommendations related to the OP and LAP included exploring the organizational intersection of work conducted by Probation Deputies and Case Managers in the two groups and consolidating the work where practical. Implementing major organizational changes like this required additional meetings and the resolution of additional details.

Classification and Compensation Study

At the same time that Bar staff were working to implement the recommendations of the Workforce Planning Report, executive management was also negotiating with State Bar bargaining units about the recommendations contained in a study of Classification and Compensation. The Classification and Compensation study was also mandated under Business and Professions Code 6140.16 and proceeded mostly on a parallel track with the Workforce Planning recommendations.

There were, however, a number of critical areas where Workforce Planning recommendations intersected with Classification and Compensation recommendations. One particularly significant example related to the Supervising Senior Trial Counsel classification in OCTC. The

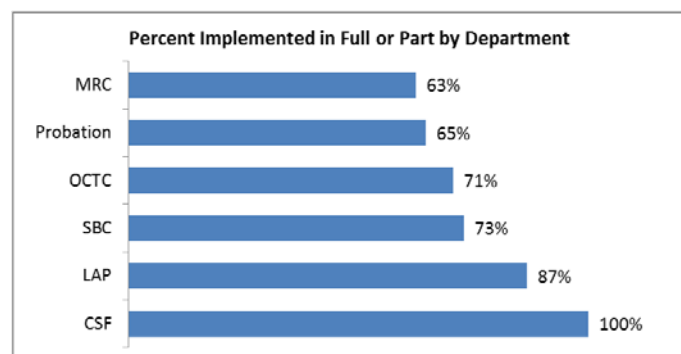
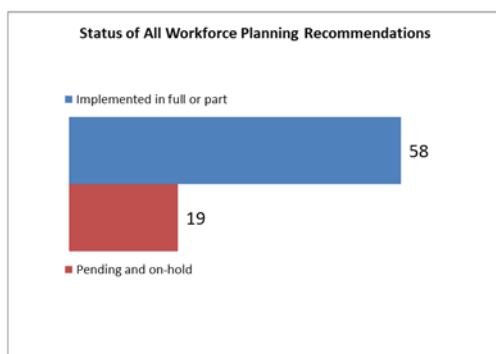
Classification and Compensation analysis suggested the need for a Supervisory Attorney position with “full-scope” supervision responsibilities. This recommendation, while developed independently from NCSC’s work, aligned with the latter’s principal OCTC-related workforce planning reform. The NCSC recommended that OCTC transition to an inter-disciplinary team based organizational structure, with each team lead by a fully empowered, and responsible, Supervising Attorney.

Although the Bar began negotiations with SEIU in July, 2016, regarding the establishment of this position, resolution was not reached until January, 2017. As of the date of this report, the position has been established, and recruitment is underway.

Recommendations

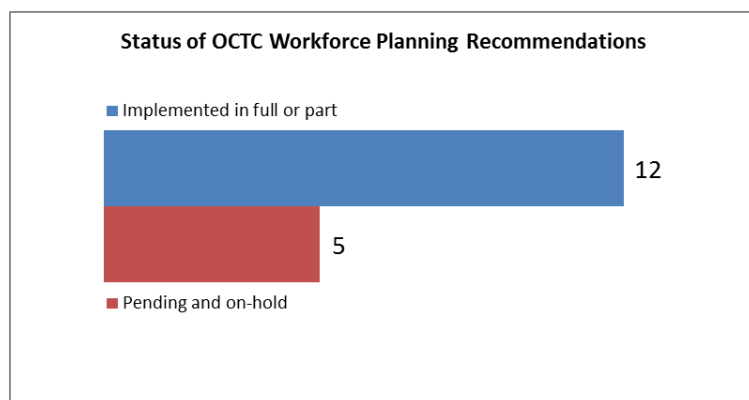
The Report contained a total of 77 recommendations for changes to the organization and workflow of the six Departments included in the workforce planning analysis. As of December 31, 58 of the recommendations (75 percent) had been implemented fully or in part while 19 of the recommendations remained pending or were placed on hold.

Recommendations that remained pending at the end of the year were primarily dependent on the implementation of a new case management system. The Bar entered into a contract at the end of 2016 with a technology vendor to replace the antiquated case management systems of OCTC, the SBC and OP. Implementation of the new system will begin in early February and is expected to require about 18 months before the system is fully deployed. Additional recommendations classified as pending were awaiting the finalization of negotiations with SEIU, the completion of a classification and compensation study, or the completion of the LAP strategic plan.



For each of the Bar’s departments covered in the Workforce Planning report, each of the following sections provides: 1) an overview of the rationale for the recommendations and the implementation process, and 2) a table listing each of the recommendations, describing the steps taken to implement the recommendation, and the current status of the recommendation.

The Office of the Chief Trial Counsel



Overview of OCTC Recommendations

With over 200 full-time employees, the Office of the Chief Trial Counsel (OCTC) represents approximately 40 percent of all State Bar staff. In addition to being the single largest department of the State Bar, OCTC’s work is essential to the effective functioning of the discipline system. OCTC is responsible for investigating charges of misconduct, and for prosecuting attorneys when the evidence supports it.

In addition to complaints from the public, OCTC receives reports from courts, district attorneys’ offices and banks regarding “reportable actions” of possible misconduct by attorneys. And, on its own initiative, OCTC may initiate investigations of attorneys if misconduct comes to the Office’s attention through some other channel.

A large number of the Workforce Planning recommendations regarding OCTC focused on what was identified as excessive specialization within the Office and an over-centralization of authority and decision-making ability. In response to these broad observations, NCSC recommended a complete restructure of the organization of the Office.

The size and complexity of OCTC, combined with the scope of the proposed changes, made implementation of the recommendations especially complex. Some of the additional processes necessary to move these recommendations forward included:

- creating a staff Implementation Working Group (IWG) comprised of 15 OCTC staff including investigators, attorneys, and administrative staff;
- conducting weekly meetings to review, evaluate, operationalize, implement, and track the status of Workforce Planning recommendations related to OCTC;
- creating four subgroups to work out the details of specific, more complex components of the reorganization. The subgroups focused on:
 - evaluating appropriate caseloads for proposed teams of investigators, attorneys, paralegals and support staff;

- identifying the issues for which training plans would need to be developed to ensure that staff are prepared to handle a broader range of issues implied by new rotational assignments;
 - determining the size and composition of the new teams to ensure sufficient coverage for absences and for attorneys whose workload becomes dominated by a lengthy trial; and
 - evaluating appropriate levels of review for charging decisions so that decentralization of decision making doesn't undermine consistency.
- holding periodic meetings with all OCTC staff to answer questions related to the organizational changes underway;
 - developing and disseminating Frequently Asked Questions to all OCTC staff to keep them informed of the progress on the implementation;
 - designing and disseminating the new, proposed organizational structure including specific staff assignments;
 - soliciting input from staff regarding various components of the proposed reorganization, reviewing the feedback and adjusting the plans where appropriate.

A critical dependency for many of the recommendations related to OCTC was the finalization of union negotiations to change the scope of responsibilities for Supervising Senior Trial Counsels. The new organizational structure proposed for OCTC, with a flattened hierarchy of multi-purpose, cross-disciplinary teams depends on the establishment of Supervising Attorney positions with the authority and responsibility to perform full-scope supervision. Substantial progress has been made on planning the move to a new team structure, the actual transition itself will occur when the new Supervising Attorney positions are in place.

Another critical dependency for a smaller number of recommendations is the acquisition and deployment of a new case management system for OCTC. The Bar's Board of Trustees approved the selection of a vendor for a new case management system in July, 2016 and a contract with the vendor was recently signed. Work on implementing the new case management system will begin in February, 2017 and will continue for at least 18 months.

The table below provides detail on each of the recommendations, a narrative description of the work done on each, and the current status of the recommendation. Where a recommendation is simply awaiting the hiring of attorneys in the new Supervising Attorney classification, the status is marked as "Substantially Implemented" and a note is made in the Detail field about the work that has been done. References contained within

the narrative point to documents created in the process of implementation that are appended to this report.

Details of the OCTC Recommendations

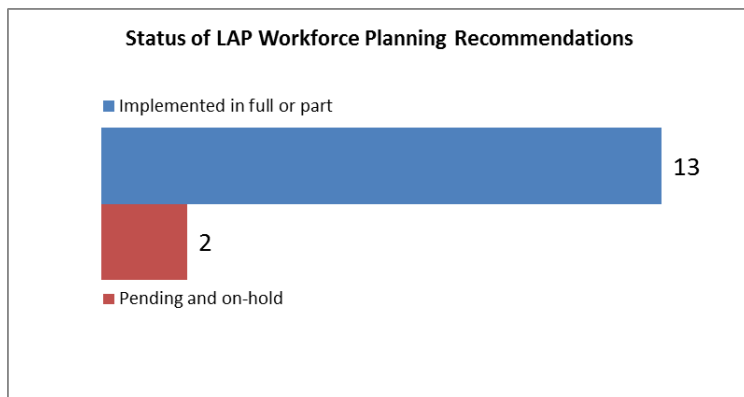
OCTC		
Recommendation	Detail	Status
1. Eliminate separate Intake and Enforcement Units. Create Intake and Enforcement teams to which staff are assigned on a rotational basis and with the expectation that team coverage will reduce the number of hand-offs, reduce the time between case receipt and case assignment, and engender accountability and ownership over the caseload.	This recommendation represents a complete organizational transformation for OCTC involving the reassignment of dozens of staff and the creation of new procedures and policies for ensuring that staff are trained to work in new areas and that charging decisions across units are applied consistently. <i>(See Appendices C & D to compare the previous organizational structure in OCTC with the proposed.)</i>	Substantially Implemented
2. Each team should be supervised by a Supervising Attorney. Teams should consist of seven to nine staff comprised of a combination of Attorneys, Investigators, Paralegals, and at least one clerical support assistant. Adoption of this model will flatten points of supervision, reduce approval times, and foster a culture of collaboration and communication.	Staff who are currently classified as Supervising Senior Trial Counsel do not perform full-scope supervision and thus could not supervise teams in the manner contemplated by NCSC. The Bar began negotiations with SEIU in July, 2016, regarding changes to the job description that would be needed to empower Supervising Senior Trial Counsels to perform team supervision. Negotiations have concluded, positions are being recruited, and final implementation is awaiting the hiring of attorneys in a new Supervising Attorney classification.	Substantially Implemented
3. Supervising Attorneys should be empowered to exercise significant discretion and decision-making as related to cases and teams. Supervising Attorneys should be responsible for general oversight of team functions and individual team member performance related to workload progress. They should have the authority to determine case and trial preparation priorities and how the team addresses those priorities. Approval steps of routine issues related to daily case management including case disposition decisions should go no higher than the Supervising Attorneys, except for highly complex or high-profile cases. Written policies related to team time and production measures should be issued by OCTC Leadership. These policies should include the definition of those limited matters requiring approval beyond the Supervising Attorney. Policy and procedural development should involve representatives from individual	In evaluating this recommendation, Implementation Working Group team members identified a number of additional steps that needed to be taken to ensure that decentralization of decision-making authority did not result in the generation of inconsistencies in the Office re: charging practices, levels of discipline or stipulated resolutions. This resulted in the proposal that a new Training and Calibration Unit be created to build out policy and procedures and to engage in training as well as on-going review of the Level of Discipline being sought by different Supervising Attorneys to ensure that these are consistent across the Office. A new Senior Training Attorney has been hired and will start in February, 2017. The Bar is currently recruiting for an Assistant Chief Trial Counsel, Calibration. That ACTC will manage the Training and Calibration Unit. Final implementation of	Substantially Implemented

OCTC		
Recommendation	Detail	Status
teams. Individual teams should also be allowed to make group based decisions related to team assignments and process implementation.	the recommendation is pending the hiring of attorneys in the new Supervising Attorney classification. <i>(See Appendix B: "Levels of Review – August 12, 2016, Draft Memorandum)</i>	
4. To obtain necessary clerical support staff for the prosecution teams, personnel from Central Administration should be reassigned to support teams.	Final implementation awaiting the hiring of attorneys in the new Supervising Attorney classification. <i>(See Appendices C & D to compare the previous organizational structure in OCTC with the proposed.)</i>	Substantially Implemented
5. Case set-up and some other narrow functions should remain centralized. However, changes in the case set-up process should include elimination of reported duplication of information entered in the initial file creation and face sheet preparation process. In addition, a limited number of other functions should remain centralized, including records management and the subpoena process.	<i>See Appendices C & D to compare the previous organizational structure in OCTC with the proposed.</i>	Partially Implemented
6. Central data staff should assign cases to intake teams on a rotational basis. The practice of supervisors and staff returning files to baskets for pick-up should be eliminated and files should be delivered directly to intake teams by central data staff.	<i>See Appendices C & D to compare the previous organizational structure in OCTC with the proposed.</i>	Partially Implemented
7. Intake teams should identify those cases that will be forwarded for investigation and should make initial complex determinations. Cases should then be assigned to enforcement teams on a rotational basis. Equality of assignment of complex cases will assist in "sharing the load" of protracted cases requiring substantial staff time.	The Implementation Working Group reviewed this recommendation and determined that, although cases that are designated as complex take longer to prosecute, they are not necessarily more complicated to prosecute. As such, it was determined that developing a process to ensure the even distribution of these cases across teams is not necessary, and may prove more complicated than the situation demands. As to the more complicated cases, the Supervising Attorney will need to ensure appropriate distribution across the team. If the Supervising Attorney determines his or her team has more complicated cases than they can effectively handle – especially because the teams are not equally balanced as to the numbers of STCs, Investigator IIIs, etc. - the Supervising Attorney will work with the ACTC to transfer cases to another team, as appropriate.	Partially Implemented (assessed and modified based on staff review)

OCTC		
Recommendation	Detail	Status
8. Specialized grouping of complaint types should be replaced with a general enforcement team model accepting complaint case assignments of all types. For purposes of cost modeling, the teams should consist of 2-3 Attorneys, 3 investigators, 1 paralegal, and 1-2 clerical staff. This will address concerns regarding unequal distribution of work; support the more efficient use of staffing resources; foster staff development and broadened skill sets; reduce process hand-off delays; and accommodate the filing of various allegations within one case.	A subgroup of the Implementation Working Group devoted considerable time to evaluating the number of attorneys, investigators, paralegals and clerical staff that would foster staff development and minimize delays while, simultaneously, allowing for coverage in the case of absences or lengthy court proceedings that limit the availability of staff. Final implementation awaiting the hiring of attorneys in the new Supervising Attorney classification. <i>(See Appendix E to the proposed.)</i>	Substantially Implemented
9. Some case types should continue to be handled by specialized team(s). Some case types are referred to a group of paralegals or a specialized inter-disciplinary team in the Intake Unit, including complaints related to conviction of an attorney Section 6180 (death, disbarment, suspension) or Section 6190 (illness, substance abuse), for a criminal offense, cessation of effective practice of law in accord with California Business and Professional Code, practice of law by non-attorneys, and reportable actions from financial institutions involving misappropriation or mismanagement of client associated funds. These case types generally share common features of requiring extensive monitoring and being long-lived. They should continue to be handled by a dedicated team(s). In addition, the process for monitoring criminal complaints against attorneys should be re-assessed, ensuring that staff is taking advantage of news services and computer readable files that allow for a more comprehensive, on-going search for criminal cases involving attorneys.	A subgroup of the Implementation Working Group reviewed recommendations regarding which cases should continue to be handled by specialized teams. The determination was made that only Appeals and Unauthorized Practice of Law by Non-Attorneys should continue to be handled by specialized teams. Final implementation awaiting the hiring of attorneys in the new Supervising Attorney classification. <i>(See Appendix E)</i>	Substantially Implemented
10. Establish point-of-action data entry wherever feasible. Point-of-action data entry eliminates unnecessary and inefficient hand-offs of tasks by requiring those who take an action (e.g. assignment, approval, correspondence, or contact update) to log the action into the AS400 CMS and directly transfer the file to the next assigned action participant with verbal or written comments, as needed. Training should be provided on point-of-action entry to all staff.	At its July 21, 2016 meeting, the Board of Trustees approved a proposal to enter into a contract with Tyler Technology to purchase and implement a new case management system for OCTC, the State Bar Court and the Office of Probation. Contract negotiations were finalized at the end of 2016 and implementation will commence in February, 2017.	Pending Implementation of New Case Management System
11. To improve access the Call Center should handle calls until 5:00 p.m.	Call Center hours were extended in September, 2016.	Implemented
12. The use of contract investigators should be discontinued. Current contract investigator		Implemented

OCTC		
Recommendation	Detail	Status
positions should be converted to standard FTE positions.		
13. The Bar should employ one or more certified Spanish translators. OCTC staff as well as staff of the SBC indicate that having certified Spanish translators available would enhance the attorney discipline process and assist in reducing case outcome delays.	The Bar hired a translator/interpreter in May of 2016.	Implemented
14. A single file number should be utilized on all complaint case actions to minimize confusion and simplify file references.	At its July 21, 2016 meeting, the Board of Trustees approved a proposal to enter into a contract with Tyler Technology to purchase and implement a new case management system for OCTC, the State Bar Court and the Office of Probation. Contract negotiations were finalized at the end of 2016 and implementation will commence in February, 2017.	Pending Implementation of New Case Management System
15. A secure complaint electronic portal should be developed to enable complaints and supporting documents to be filed electronically and to provide secure e-communications between OCTC staff and involved complaint case participants.	See 14, above.	Pending Implementation of New Case Management System
16. The use of approved electronic signatures should be authorized within the secure case file information exchange portal.	See 14, above.	Pending Implementation of New Case Management System
17. The new team structure should be introduced first in the San Francisco Enforcement Unit. The San Francisco Enforcement Unit is already operating without specialized prosecution divisions, due to workload volume and investigator vacancies. Taking the San Francisco experience a step further and implementing the generic enforcement team model with direct Supervising Attorney supervision on a pilot basis would provide an opportunity to test the new structure, identify any challenges that arise, and develop strategies and procedures for overcoming them.	The new team structure will allow for a more flexible allocation of work. Delaying the implementation of the team model would prevent this more flexible arrangement. Bar executive management determined that the recommendations should be implemented fully in both locations rather than delaying the implementation in Los Angeles where the majority of OCTC staff work.	Rejected

The Lawyer Assistance Program



Overview of Lawyer Assistance Program Recommendations

In contrast to OCTC, the Lawyer Assistance Program is a small unit within the Bar – seven staff – with a relatively narrow focus: providing assistance to attorneys who are struggling with problems of substance abuse and / or mental illness.

Recommendations regarding the Lawyer Assistance Program (LAP) focused on concerns related to the utilization of the program, the organizational structure of the office, and the efficacy of treatment.

As documented in the Workforce Planning Report, in recent years enrolment in the LAP declined sharply and the number of attorneys completing the program was a small fraction of the total number enrolled. Even these summary statistics on the program's utilization and efficacy were problematic due to inconsistent data tracking and unclear definitions related to operations.

To address these substantial challenges, the NCSC recommended that the LAP Oversight Committee engage in a strategic planning process. State Bar staff worked closely with members of the LAP Oversight Committee beginning in June to formulate a strategic plan. The planning process involved:

- Weekly conference calls with a subcommittee of the Oversight Committee to begin drafting the strategic plan;
- A public meeting of the full Oversight Committee to hear testimony from stakeholders. In addition to receiving testimony from respondents' counsel, members of the Other Bar, and treatment providers, the Bar invited nationally recognized experts to present findings related to substance abuse in the legal community and the efficacy of treatment models such as drug courts. Representatives of OCTC and the State Bar Court also attended to hear the presentations and provide input. The agenda for the meeting is attached as Appendix F;

- Oversight Committee meetings in September, November and December to review strategic plan language and consider alternatives.

While the work to finalize a new Strategic Plan for the LAP delayed implementation of some of the recommendations, it was possible nonetheless to begin work in areas where the direction was relatively clear. For example, to address the challenge of low enrolment in the LAP, Bar staff initiated conversations with representatives of the State Bar Court, OCTC, and respondent's counsel to discuss alternative case management paths. With the goal of improving public protection by identifying attorneys with substance abuse and mental health challenges early and directing them to treatment, a proposal is now being drafted to require a clinical assessment of all attorneys who come to the attention of OCTC as a result of a criminal conviction involving the use of a controlled substance .

And, on a parallel track, executive management of the State Bar began taking action on recommendations that were not dependent on the strategic planning process. In October, the position of Director over the LAP was eliminated and, shortly after that, the position was repurposed to create a single Director position over both LAP and the Office of Probation. The creation of a supervisory Case Manager position and supervising Probation Deputy position are both awaiting the finalization of classification and compensation recommendations and the outcome of negotiations with SEIU.

Details of the LAP Recommendations

LAP		
Recommendation	Detail	Status
1. The Bar should engage in a strategic planning process for the LAP to determine whether LAP is to be reactive, responsive, and corrective to issues faced, or proactive, by advertising services and sponsoring workshops and orientations about attorneys' stress, addiction, and mental health issues. This planning process should include an assessment of the current monitoring approach undertaken by the program, which is more administrative than clinical. Lastly, a determination regarding the target client population for the program is needed.	The Draft Strategic Plan (attached as Appendix G) identifies two main prongs of activity for the LAP: 1) education and outreach focused on law students, young attorneys and those at the end of their careers and; 2) program evaluation and ongoing program improvement using evidence-based models for the treatment of attorneys with substance abuse and mental health issues. Full implementation pending the adoption of the LAP strategic plan in March, 2017.	Substantially Implemented

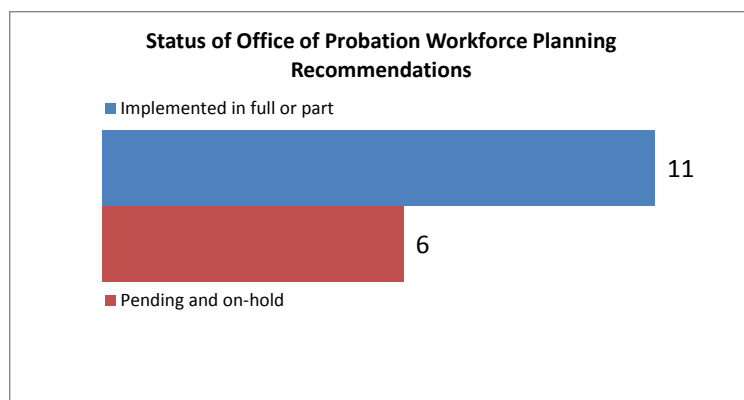
LAP		
Recommendation	Detail	Status
<p>2. Once program purpose is established, reassess delivery model to include analysis of feasibility of contracting out LAP services. This would entail determining which functions should go to one or more contracted providers for program operations, participant oversight, ongoing monitoring, and reporting to a designated Bar manager. It would also require clear definition of which administrative and support tasks would remain within the Bar, if any. If clear performance expectations are embedded in a contract, it may make it easier for the Bar to hold contracted staff to a performance standard. A full risk assessment and review needs to occur, coupled with a cost-benefit analysis, and determination to what degree Bar executive leaders will be able to oversee work of one or more LAP contractors.</p>	<p>Discussions on the delivery model took place at several Oversight Committee meetings, including the public meeting to hear testimony from stakeholders. These discussions will inform the development of an operational plan that will need to be created after the finalization of the strategic plan. Full implementation pending the adoption of the LAP strategic plan in March, 2017.</p>	<p>Partially implemented</p>
<p>3. As a general matter, the NCSC recommends better coordination between LAP and the Office of Probation (OP), including:</p>		
<p>3A. To improve coordination, NCSC recommends that the Bar create a supervisor over LAP and a supervisor over the OP while creating a manager position that supervises both OP and LAP.</p>	<p>Director appointed over both LAP and OP in October 2016. Creation of Supervising Case Manager and Supervising Probation Deputy positions pending finalization of classification and compensation study.</p>	<p>Partially Implemented</p>
<p>3B. Align the work of the Office of Probation and LAP drawing on the fact that both entities deal with the supervision of attorneys who are required to comply with certain conditions imposed by the State Bar Court.</p>	<p>Organizational changes implemented with joint responsibilities over the OP and LAP assigned to a single Director. More work still needs to be done to integrate the work of the OP and LAP.</p>	<p>Partially Implemented</p>
<p>4. Adjust staffing based on caseload requirements.</p>		
<p>4A. Application of drug court staffing standards suggests that the recommended range for a Case Manager caseload is 45 to 50 cases. These caseload levels can be achieved by reducing one Case Manager position. In lieu of elimination, however, this position should be converted to a Case Manager Supervisor. The Supervisor position should be based in Los Angeles.</p>	<p>Full implementation pending the finalization of classification & compensation study.</p>	<p>Partially Implemented</p>
<p>4B. The size of the program does not warrant both a Supervisor and a Director; the Director position should be eliminated or re-purposed accordingly.</p>	<p>Former director over LAP given notice in August and terminated in October. Position was repurposed shortly after consistent with recommendation 3B.</p>	<p>Implemented</p>

LAP		
Recommendation	Detail	Status
4C. In addition, one Case Manager position should be redeployed to San Francisco to address delays in serving clients in the Northern part of the state.	Caseloads in the LAP have fallen and there may not currently be sufficient workload to justify the implementation of this recommendation. Ongoing evaluation of workload will be needed to determine when sufficient caseload exists in Northern California to support a full-time case manager in San Francisco.	On Hold
5. Identify what within LAP is clinical and what is monitoring, ensuring that Case Managers perform clinical, as opposed to monitoring, activities wherever possible. If the program design does not require the current level of clinical staffing, transition away from a requirement that all Case Management staff hold clinical degrees.	Strategic plan includes a major component devoted to the on-going evaluation of program efficacy. This will be monitored by the LAP Oversight Committee on an ongoing basis. Full implementation pending the adoption of the LAP strategic plan in March 2017. <i>(See Appendix G LAP Draft Strategic Plan)</i>	Partially implemented
6. LAP should evaluate the differences in monitoring actions required for cases in various phases, and consider establishing differentiated monitoring practices. A three tiered program is specifically recommended as follows: A. Expedited LAP (or "LAP light") – a simplified and expedited program to provide information and resources for those applicants with less risk. Include initial intake and personal meeting, and referral for self-directed support, with no ongoing staff interaction. Key objective of this track: simple information provision. B. Modified LAP – a program to provide information, resources and support activities (e.g., group meetings, program referrals) with minimal LAP oversight. Key objective of this track: summary oversight. C. Monitored LAP – a program to provide the full array of LAP support and monitored functions to include ongoing group participation, testing and reporting. Key objective of this track: structured oversight and accountability by the participant. For Modified and Monitored LAP, the duration of time in the program should be identified based on assessed needs; a blanket participation period of three years should be discontinued."	A working group comprised of representatives from the State Bar Court, OCTC, and Respondents' counsel has met on three occasions to explore case management tracks, specifically to determine whether more faithful adherence to a Drug Court model would improve outcomes for attorneys who have substance abuse and / or mental health problems. In addition, this group is evaluating the question of sanctions for first-time DUIs and improving the capacity of OCTC to identify attorneys with these problems. Full implementation pending the adoption of the LAP strategic plan in March 2017. <i>(See Appendix G LAP Draft Strategic Plan)</i>	Partially Implemented
7. Combine processes and forms for LAP intake, interviews, and program plans. Move manual process to automated actions. Program administrative and clerical support functions should be evaluated to determine which are best conducted by the Case Managers, which are best	A review of clerical and clinical duties was done with staff to eliminate duplicative work. Specific process reevaluation is part of the strategic plan regarding program design and development. In addition, planning for increased reporting is currently being	Partially Implemented

LAP		
Recommendation	Detail	Status
conducted by the Program Coordinator, and which are best conducted by the Administrative Assistant.	developed and should be implementing mid next year.	
8. In addition, technological solutions are needed. For example, a quality assurance report should be developed in LAPIS in which cases with approaching or elapsed deadlines are automatically flagged for action by the Case Manager."		Pending Implementation of New Case Management System
9. A thorough review should be conducted of the use of the Evaluation Committee, to determine if it is needed as a review entity, or whether it can be eliminated, including: <ul style="list-style-type: none"> • Assessment of whether the time and preparation activity required to support it justifies its use and demonstrates a return on investment for program operations; • To what degree it performs a role of review and monitoring support for program participants; • The need to have the Committee provide a level of gravity and seriousness to approval for program participation; • The degree to which it is following clear policies and objectives; and • The level to which the Evaluation Committee has any direct ownership or responsibility for participant outcomes. 	Discussions about the Evaluation Committee took place at several Oversight Committee meetings and the draft Strategic Plan includes a major component devoted to the on-going evaluation of program efficacy. Although the Oversight Committee expressed general support for the Evaluation Committee model, it also recommended that the use of the Committee be evaluated along with the overall review of program delivery. Full implementation pending the adoption of the LAP strategic plan in March, 2017. <i>(See Appendix G LAP Draft Strategic Plan)</i>	Partially implemented
10. Data on the number of Evaluation Committee meetings held and the number of cases heard at each meeting should be tabulated and published along with the number of cases with sufficient information for program conclusion and the number of cases in which the Evaluation Committee requested or required further action by a) the program participant, b) the Case Manager, or c) some other requested follow up.	Full implementation pending the adoption of the LAP strategic plan in March 2017.	Partially Implemented
11. Data Collection and Reporting. 11A. Specific case issues should be tracked, including the reasons for referral (substance, mental health, crisis), the numbers of incoming calls to the LAP phone lines, the sources of referral to LAP (voluntary-Bar member, voluntary-Bar applicants, SBC	Preliminary evaluation of recidivism of Probationers conducted which includes subset of probationers who are enrolled in the Alternative Discipline Program (ADP) / LAP. Strategic plan includes a major component devoted to the on-going evaluation of program efficacy. This will be monitored by	Partially implemented

LAP		
Recommendation	Detail	Status
<p>ordered, CBX referred) senior or elder lawyer needs, needs by active/inactive/suspended status, and the number of cases assigned to each case manager and to any contract case management staff, as well as any additional categories related to client needs identified by staff.</p> <p>11B. Performance targets for task completion should be developed (e.g., case manager return call to applicant within one hour, conduct of face-to-face intake meeting within one week, referral to weekly support meeting with participant attendance within one week of intake meeting).</p> <p>11C. Information on outreach activities should be documented and published (e.g., presentations and briefings for parties external to the Bar) to include the number of events, the audiences, and the nature of inquiries and topics discussed."</p>	<p>the LAP Oversight Committee on an ongoing basis.</p> <p><i>(See Appendix G, LAP Draft Strategic Plan)</i></p>	
<p>12. Improve payment compliance. Attentiveness to financial assistance program payment compliance should be increased through a quality assurance program to run reports on cases either coming due or with upcoming payment deadlines.</p>	<p>Analysis of LAP debt has been conducted concurrent with work that the Bar is doing to improve payment compliance on reimbursement to the Client Security Fund and Court-ordered obligations of respondents.</p> <p>The confidentiality of the LAP makes it impossible to treat this debt in the same manner as other debt obligations (for example, placing liens on property). Staff will continue to evaluate the options for recovery of debt owed to the Bar through the LAP.</p>	<p>Partially Implemented</p>

Office of Probation



Overview of Office of Probation Recommendations

With seven full-time equivalent staff, the Office of Probation (OP) is also a relatively small unit within the State Bar. The OP operates, primarily, to monitor the compliance of attorneys with conditions that have been placed on them as a result of discipline imposed by the State Bar Court. Recommendations related to the OP focused on excessively high caseloads of Probation Deputies, a number of technology related initiatives, and the lack of coordination with the LAP.

To address the high caseloads carried by Probation Deputies, the Workforce Planning Report recommended the reallocation of some cases to OCTC and called into question the purpose of monitoring another category of cases:

- a relatively small segment of the Probation Deputies' caseload, Agreements in Lieu of Discipline, could be more effectively supervised in OCTC;
- a large and growing segment of the Probation Deputies' caseload – voluntary resignations under rule 9.20 – were being monitored for no clear reason related to public protection. Instead, because of the procedural sequence in which the Supreme Court approves voluntary resignations without pending discipline, a large number of cases were added to the caseloads of Probation Deputies awaiting compliance with the final conditions of Rule 9.20. The Workforce Planning recommendations proposed that attorneys who resign without any pending discipline complete certain steps *prior* to getting Supreme Court approval of their resignation. This would prevent these cases from ever coming onto the caseload of Probation Deputies.

As with most of the other IT related recommendations contained in the Workforce Planning Report, those that affect the OP will require the deployment of the new case management system recently purchased for OCTC, the State Bar Court and the OP.

Finally, the lack of coordination with the LAP has been addressed organizationally by placing the OP and LAP under the same Director. It's unlikely, however, that the benefits of combining these units will be realized right away. While the Workforce Planning report identified clear similarities in the functions performed by the OP and the LAP, the general orientation of Probation Deputies in the OP

and Case Managers in the LAP is significantly different. The two units have very different cultures and view their duties differently. For the merger of the two units to be successful, there will need to be a clearly defined division of labor between the two groups and a shift in the cultural orientation of both groups.

Details of the Office of Probation Recommendations

Probation		
Recommendation	Detail	Status
1. Generally - In order to increase time for staff to monitor compliance with probation conditions, particularly in complex cases, or cases in which specific respondents require a higher level of monitoring, the Bar should reduce the overall number of cases subject to monitoring. Taking the following steps will assist in reducing caseload numbers:		
1A. Eliminate the requirement to monitor attorneys whose resignations have been approved by the California Supreme Court. Once resigned from the Bar, a former attorney is no longer allowed to practice law. Should an attorney request reinstatement, any pending disciplinary action at the time of resignation should be reviewed.	The State Bar submitted a memo to the Supreme Court on December 1, 2016 requesting a change to the resignation form incorporating these changes. The court approved the changes and now the matter will go before the Board of Trustees for approval in January. Final replacement of form scheduled for March 1, 2017. See Appendix H – Memo to Supreme Court.	Implemented
1B. Eliminate the requirement to monitor compliance with agreements for attorneys who do not have pending disciplinary charges. Monitoring the conduct of attorneys who are not subject to probation conditions should not be a responsibility of the OP.	Responsibility for monitoring Agreements in Lieu of Discipline transferred to OCTC in September 2016.	Implemented
1C. Assign a level of seriousness to each case (e.g. low-level discipline, mid-level discipline, complex high-level discipline) and align the amount and time of monitoring with that level. By devoting less monitoring time to lower level discipline cases, more time will be available to monitor more complex and serious cases. Monitoring levels should correspond with the level discipline imposed by the SBC.	Probation conditions are ordered by the State Bar Court and therefore changes to these conditions must be made by the Court. The Court created a Probation Conditions Committee to evaluate current terms of probation and consider possible modifications. The Committee is chaired by a State Bar Court Judge and is currently meeting with interested parties to update the terms of probation conditions. Additionally, the Rules of Procedure of the State Bar of California are being reviewed for possible amendments and updating.	Partially Implemented

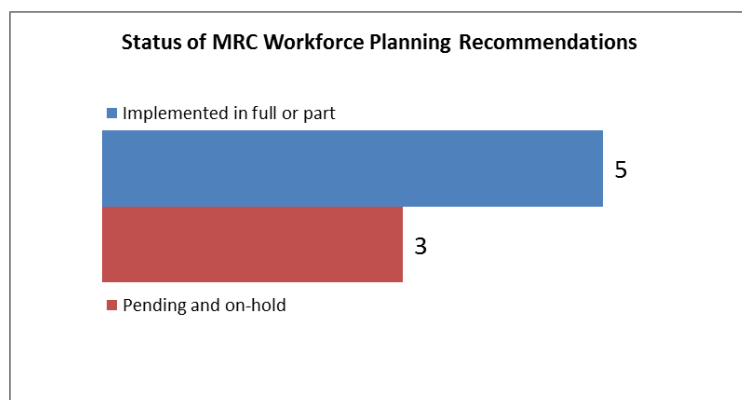
Probation		
Recommendation	Detail	Status
<p>1D. Develop a monitoring compliance policy that allows for reduced monitoring based on compliance success. As a recognized evidence-based business practice, probation departments often use a reduction in the need to provide compliance reports and compliance proof as an incentive for consistent successful compliance. In addition to these steps to reduce caseloads, the OP should transition to a process where case assignments are based on level of seriousness of the case and the corresponding level of monitoring required. Equalizing the assignment of complex cases or cases involving recalcitrant respondents would assist PDs in managing other case monitoring tasks, and may allow them to begin actual field-work, as appropriate. Knowing the number of complex type cases could also lead to consideration of other assignment options as currently being recommended for the LAP.</p>	<p>Probation conditions are ordered by the State Bar Court and therefore changes to these conditions must be made by the Court. The Court created a Probation Conditions Committee to evaluate current terms of probation and consider possible modifications. The Committee is chaired by a State Bar Court Judge and is currently meeting with interested parties to update the terms of probation conditions. Additionally, the Rules of Procedure of the State Bar of California are being reviewed for possible amendments and updating.</p>	<p>Partially Implemented</p>
<p>2. Generally: Increase the use of technology in the daily use of electronic records and the need to correspond with respondents. In particular:</p>		
<p>2A. The CMS should be upgraded to better support the services of OP and its staff. Use of an updated CMS will provide electronic access to increased information beneficial in creating metric and workload reports. Business decisions can be evidence-based through the convenient use of electronic records tracking. Case assignments could be automated ensuring an equalized assignment of a variety of cases.</p>	<p>The State Bar recently signed a contract with Tyler Technologies to implement a new case management system for the Office of Chief Trial Counsel and Probation. Implementation of the new CMS will be completed in 2018.</p>	<p>Pending Implementation of New Case Management System</p>
<p>2B. An electronic monitoring portal, through which respondents and PDs can communicate in a secure electronic environment, should be developed. Having such a communication tool would allow important correspondence to quickly pass between respondent and PD. Lengthy reports could be electronically sent, stored, and easily reviewed as an electronic probation record. Reminder notices and questions related to proof of compliance would be provided and addressed in a timely manner. The portal can be developed as part of the upgraded CMS.</p>	<p>The State Bar recently signed a contract with Tyler Technologies to implement a new case management system for the Office of Chief Trial Counsel and Probation. Implementation of the new CMS will be completed in 2018.</p>	<p>Pending Implementation of New Case Management System</p>

Probation		
Recommendation	Detail	Status
2C. An online or portal capacity, through which treatment and continuing education providers can electronically report the participation of respondents, should be developed. Utilizing this portal, service providers could be asked to efficiently provide proof of compliance, thereby reducing the time and need for contact by a PD questioning compliance. Electronic compliance histories could be established and archived for possible future use, if required.	The State Bar recently signed a contract with Tyler Technologies to implement a new case management system for the Office of Chief Trial Counsel and Probation. Implementation of the new CMS will be completed in 2018.	Pending Implementation of New Case Management System
2D. The use of social media should be tested to remind respondents of the need to comply or provide report information.	The recommendation was unclear as written and appears to have confused "social media" with other forms of electronic communication – such as text messaging, e-mailing, etc. Probation Deputies already notify the participants via email and will explore alternative communication technology.	Implemented
2E. Paper PO records and case files should be converted to electronic records and files as soon as possible. Modern records management practices are best achieved through the use of electronic case files. Access is quicker, easily updated, and much easier to store.	The State Bar recently signed a contract with Tyler Technologies to implement a new case management system for the Office of Chief Trial Counsel and Probation. Implementation of the new CMS will be completed in 2018.	Pending Implementation of New Case Management System
3. OP staff should be provided electronic monitoring and investigation access to court records, OCTC investigation records, and people-finding software. Having this level of access will reduce monitoring time that is often spent in records searches or investigation efforts to obtain information readily available through other Bar resources and online programs.	The impetus for this recommendation was the need to improve the processing of restitution payments to victims. In conversations with Probation Deputies it was determined that in many cases direct communication – even for purposes of paying victim restitution – between an attorney and that attorney's victim is counter-productive. As a result, the Bar has determined that the most effective approach to this problem would be for the respondent attorneys to make restitution payments to the Bar, with the Bar making payments to victims on behalf of these attorneys. Staff have completed their preliminary evaluation of the issue and are developing an implementation plan to standardize the capture of data on restitution owed by probationers and extract that data for purposes of improving compliance with restitution orders.	Partially Implemented
4. Discussions with the SBC should be held to determine how best to share information needed by either SBC or the OP. Whenever possible, the easiest way to share information is through	A review of information access with the departments and information technology was performed to determine if employee's access to information systems was sufficient	Partially Implemented

Probation		
Recommendation	Detail	Status
electronic access and electronic communicate. Discussions with the SBC involving the use of such methods of sharing information would be mutually beneficial.	to perform his or her job duties. As a result of this review some access was changed. Some further changes will require the implementation of a new case management system.	
5. The OP SA position should be converted to a Supervising Probation Deputy. The current SA position should be reassigned to an OCTC intake or enforcement team.	This is part of a larger Bar wide initiative on classification and compensation. Currently there are ongoing negotiations with union representatives and implementation is tentatively scheduled for the first half of 2017.	Pending
6. In conjunction with management recommendation in the LAP section, a manager position should be established with the responsibility for managing both OP and LAP. Management duties shared between the two departments would result in personnel savings as well as efficiencies of scale in high level oversight of compliance monitoring. Probation conditions may include active participation in LAP sponsored programs and treatment services more opportunities to have a form of centralized monitoring.	A manager over the Office of Probation and the LAP was hired in October of 2016.	Implemented
7. Tracking the amount of restitution paid to CWs through the efforts of the OP will help measure the benefit of monitoring. Restitution payments are extremely important to the victims of disciplined attorneys. Knowing the impact of monitoring payments would be beneficial when considering if improved monitoring techniques are needed.	The Bar's Office of the General Counsel is reviewing legal requirements for the creation of a Probation Restitution Trust Fund. ORIA is conducting cost analysis and developing business process for implementation. The impetus for this recommendation was the need to improve the processing of restitution payments to victims. In conversations with Probation Deputies it was determined that in many cases direct communication – even for purposes of paying victim restitution – between an attorney and that attorney's victim is counter-productive. As a result, the Bar has determined that the most effective approach to this problem would be for the respondent attorneys to make restitution payments to the Bar, with the Bar making payments to victims on behalf of these attorneys in turn.	Partially Implemented
8. Survey respondents to determine how monitoring practices could be more beneficial to respondents and CWs. Though it may appear antithetical in concept, knowing what respondent attorneys think of OP's monitoring process may lead to improved relations and improved processes.	Survey is under development and is scheduled to be implemented first quarter of 2017.	Partially Implemented

Probation		
Recommendation	Detail	Status
9. Track recidivism rates of past respondents to help determine if more effective monitoring methods can be developed.	Preliminary evaluation of recidivism of Probationers conducted. On-going data collection and reporting to the leadership of OP to be established in 2017.	Implemented
10. PDs should be provided with subpoena authority in order to timely obtain records validating compliance.	The recommendation was made with the intent that the Probation Deputy has all the tools at his or her disposal to obtain the necessary information to do their job. The burden of proof is on the respondents to show that they have complied with the specific terms of probation. OCTC has subpoena powers and could issue one on the uncommon circumstance that one would be needed.	On Hold

Member Records and Compliance



Overview of Member Records & Compliance Recommendations

The Office of Member Records and Compliance (MRC) has 26 full time staff who maintain the official list of all attorneys who are licensed to practice law in California. In addition, MRC manages the registration of law corporations and limited liability partnerships, and ensures mandatory continuing legal education compliance.

Unlike the major structural changes proposed for the OCTC, the Office of Probation and LAP, recommendations regarding MRC were generally modest. The Workforce Planning Report pointed to relatively small, incremental changes designed to make the office function more efficiently. With the exception of the proposal for a significant information technology initiative, MRC recommendations focused on opening up access to data, reorganizing specific functions to reduce the number of hand-offs, and improving the coordination of workflow.

Absent the additional steps presented by large-scale organizational change or involvement of multiple stakeholders, lead implementation staff were able to work directly with MRC leadership to implement all but three of the recommendations. The recommendations that remained unimplemented at the end of 2016 involved technology and legal review. The technology related recommendations involve a recommendations the design, development and implementation of a web portal that would allow providers of Continuing Legal Education (CLE) to upload information on courses taken by attorneys and the integration of data across the Bar that affects a member's status. The legal review requires somewhat detailed evaluation of confidentiality issues across the Bar and the drafting of clear guidelines regarding information sharing.

The intention in creating a web portal is to move to 100% validation of attorney compliance with CLE requirements. Currently, MRC pulls a 10% random sample of attorneys and audits their records to validate compliance with CLE requirements. If the Bar required certified CLE providers to upload information on all courses taken by licensed attorneys in California and then linked this data to existing records on members, it would be possible to detect all non-compliance.

Working with Bar IT staff, lead implementation staff began developing the system requirements necessary to build a web portal. Lead implementation staff:

- Held meetings with CLE providers to get information on what challenges they might face in uploading data through a web portal;
- Compiled the information and evaluated the differences in capacity between large and small CLE providers;
- Assigned the Bar's IT staff to develop initial technical specifications for a web portal and evaluate alternative development methods;
- Surveyed other states that require CLE providers to submit information on training regarding how this process works.

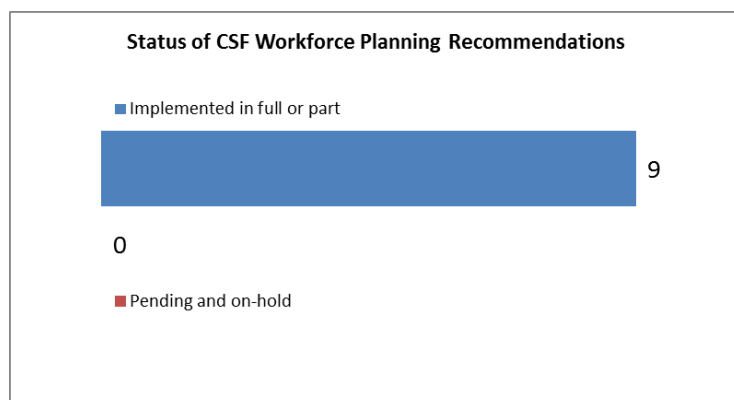
Details of the MRC Recommendations

MRC		
Recommendation	Detail	Status
1. Require approved providers of Continuing Legal Education to electronically certify satisfactory completion of a course or educational program. This change will dramatically decrease the time needed to record and audit MCLE compliance.	Held meetings for MCLE providers in Los Angeles and San Francisco to solicit public comment. Began the Development of new system requirements with IT. Compiled contact listing of other 44 states who manage a CLE program for attorneys. Analyzed detail survey responses from 25 participating state program managers to apply to new development efforts. <i>(See Appendix I, Public Comment summary, Research Roster, IT System Schematic, Survey Results)</i>	Pending
2. MRC should send files to the Intake Unit electronically. This change will reduce time used to refer matters for further investigation.	All files are now scanned and sent to OCTC electronically.	Implemented
3. Provide MRC with authority and direction to access AS 400 data in the Office of the Chief Trial Counsel and other departments, and provide training to MRC staff on how to read and interpret the data on the AS400. This change, in addition to vesting responsibility for tracking reinstatement eligibility with a new SBC administrative position, will reduce the time that MRC staff spends contacting other departments and units to obtain information on the status of	Originally conceived as a need for MRC to be able to reduce time needed to confirm whether probationary conditions of disciplinary reinstatement were met prior to reinstatement. The original implementation plan was to create a new SBC position to be trained to track reinstatement eligibility; however, the Court found this recommendation to be problematic due to conflict concerns. The alternative solution was to authorize Probation to be responsible for providing SBC timely probation condition status for reinstatements if there is an "and until" condition being monitored, e.g. restitution, notifying SBC when the condition has been completed.	Implemented

MRC		
Recommendation	Detail	Status
disciplinary complaints so that MRC can issue timely Certificates of Standing and reinstatements.		
4. Once system access is provided to MRC staff, the practice of sending packets to OCTC's Intake Unit for investigation and preparation of verified Certificates of Standing should cease; MRC staff should assume this responsibility.	MRC staff trained by OCT to interpret complaint information and prepare all Certificates of Standing, including those with Complaint Check. Transfer of responsibility completed and operational, but data reporting process being streamlined for more efficient response time. <i>(See Appendix J, Sample Certificates with Complaint Check Processing Instructions)</i>	Implemented
5. Implement a policy or, if necessary, promulgate a rule, clarifying that attorneys should be notified of closed complaints and outlining when such complaints may be purged from the OCTC file.	Lead implementation staff sought a legal opinion from the Office of the General Counsel to determine the best course of action on this recommendation. The notification of attorneys that complaints had been made against them raised concerns about the confidentiality of the complaining witness; especially when the complaint was closed at the Inquiry phase of OCTC. The matter was explored further and taken up by the Board to determine the best course of action. In the deliberation by the Board, it was determined that these complaints closed at the Inquiry phase are not, technically, complaints and so should not be included on the complaint checks at all. For a full discussion of the matter, see Appendix K. <i>(See Appendix K Board Agenda Item)</i>	Implemented (Achieved by other means)
6. Implement a policy or, if necessary, promulgate a rule regarding who has authority to reinstate an attorney's license. This change will reduce delays in attorney reinstatement.	MRC and SBC confirmed clear lines of authority between discipline-related and administrative-related reinstatement categories. Documented the individual roles of each of the participants involved in the attorney reinstatement process, with the determination that MRC has the final administrative authority to reinstate a member to active status. Documented steps in the reinstatement process. Thorough review of access and procedures determined that there is a very low volume of reinstatements, and that MRC can easily get access to the information that it needs to implement reinstatements. Flagged for additional automation via a centralized conditions page configured within the new CMS platform.	Implemented
7. Upon implementation of a new case management system, require OCTC, the SBC, OP and CSF to electronically notify MRC	The State Bar recently signed a contract with Tyler Technologies to implement a new case management system for the Office of Chief Trial Counsel and Probation. Implementation of the new CMS will be	Pending Implementation of New Case Management

MRC		
Recommendation	Detail	Status
<p>of every action that impacts the attorney's disciplinary status, including when a complaint is forwarded to the Enforcement Unit, and when it is filed in the SBC. The notification should automatically be sent when an entry is made in the department and it should automatically populate the attorney's electronic MRC file, which should capture:</p> <ul style="list-style-type: none"> • All continuing education courses completed • All complaints filed with OCTC and the status of that complaint • All cases filed with the SBC and the status of the case • All probation conditions and their status • All CSF applications filed and their status" 	<p>completed in 2018.</p>	<p>System</p>
<p>8. All persons within the Bar who need access to the attorney file in order to fulfill their job responsibilities should have access to the attorney's MRC file. The public should not have access to any information in the MRC file that it does not currently have.</p>	<p>A review of information access with the departments and information technology was performed to determine if employee's access to information systems was sufficient to perform his or her job duties. As a result of this review some access was changed. Some further changes will require the implementation of a new case management system.</p>	<p>Pending Legal Review</p>

Client Security Fund



Overview of Client Security Fund Recommendations

With a staff of eight, the Client Security Fund is an important department within the Bar charged with reimbursing victims of attorney theft. CSF staff receive applications for reimbursement from clients who claim that they have been victimized by an attorney. CSF staff review the victim's application for reimbursement and, working with the CSF Commission, determine eligibility for claims made to the fund.

Similar to the recommendations for Member Records and Compliance, the Workforce Planning recommendations related to the Client Security Fund (CSF) were narrowly tailored. The recommendations focused primarily on streamlining operations and improving the organization of the workflow, none of which involved large-scale organizational change.

Additional CSF recommendations focused on the utilization of technology to improve communication with applicants to the CSF, better track cases and their status, and reduce the amount of printing that is done in preparation for CSF Committee meetings. Unlike many of the technology-related recommendations in other departments, it was possible to implement many of the CSF technology recommendations with existing tools and by incremental modifications to existing systems.

Details of the CSF Recommendations

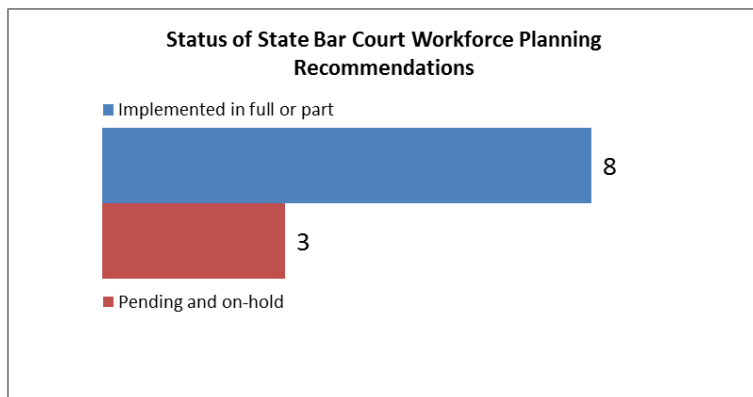
CSF		
Recommendation	Detail	Status
1. Use one vacant CSF FTE or a portion of to support the creation of an administrative support position for the State Bar Court Presiding Judge. In addition to supporting the Presiding Judge, this position	Originally conceived as one of the new functions (along with probationary conditions tracking for MRC) to be transferred to new SBC position, when that approach was determined to not be viable, an alternative solution was identified. CSF now receives notices of final discipline via email notifications directly from Supreme Court (in addition to SBC report for cases that	Partially Implemented

CSF		
Recommendation	Detail	Status
will be responsible for notifying CSF of final discipline.	do not go through Supreme Court). Notifications for respondent attorney cases closed with no action taken to be implemented within new CMS. <i>(See Appendix L, Sample Supreme Court Email Notification, State Bar Court Report (redacted))</i>	
2. A protocol for ongoing email interaction from CSF to and from applicants should be established. This could be managed to ensure that each applicant had an established email account and CSF approved access with CSF staff for email use, and a secured method of contact. Email should be used to begin providing proactive applicant notification of the status of discipline cases and applications throughout the life of the case, to ensure that applicants are kept informed, improve customer service, and reduce applicant status check calls.	Email fields added to system and solicited from applicants. A Business Intelligence tool used by staff in CSF, Cognos, was used to create reports to track proactive notifications of status. All active cases have been notified for 2016 and starting in January 2017, all applicants will be notified twice each year of the status of their CSF applications for the life of the pending case(s). <i>(See Appendix M, Sample notification Letter, Notification Status Report(s))</i>	Implemented
3. The current “pending drawer” manual process of holding cases awaiting discipline outcomes should become an electronic file and listing. Prior to that happening, all open CSF cases should be maintained or stored in a single location, whether awaiting discipline, currently in the investigation stage or awaiting CSFC review and approval. Making this change will reduce time maintaining and locating paper files.	Current paper files have been moved to a central location until electronic document storage is available. Changes to electronic document storage to be implemented with new CMS platform.	Implemented
4. The current manually-maintained spreadsheet of pending and awaiting cases should be migrated to an automated database with links to data from OCTC.	Cognos used to automatically update spreadsheet from AS400 data into a more readable/user friendly format. OCTC AS400 files for pending and awaiting cases are the master data source, with spreadsheets used for reporting and calculations only.	Implemented
5. CSF staff should be given access to the OCTC CMS and files for investigation and documentation purposes.	CSF staff currently has access to necessary OCTC data and files. Future access to data pending implementation of new CMS.	Implemented

CSF		
Recommendation	Detail	Status
<p>6. Evaluate the current vacancy in the Records Coordinator position to determine if the tasks can be absorbed by the Administrative Assistant and the Administrative Secretary. Review of this position should be coupled with targeted task simplification, crosstraining, and redundancy elimination.</p>	<p>This review was completed and it was determined that the vacant position does not need to be filled</p>	<p>Implemented</p>
<p>7. Create and publish more detailed reports on pending cases, including:</p> <ul style="list-style-type: none"> • The number of CSF applications pending awaiting disciplinary action by OCTC and/or by the SBC; • The length of time a case is in the system. Goals/objectives for each stage of the process should be established and compliance with those goals measured, including: <ul style="list-style-type: none"> o Time from filing of the application to completion of initial screening; o Time from initial screening to a determination by CSF whether to send a closing letter and the number and percentage of applications closed by a closing letter; o Time from filing an application to Notice of Intent to Pay Letter sent to respondent and the number of Intent to Pay Letters sent; o Time from filing an application to tentative case decision made by the CSF Commission; and o Total time from the filing of an application to closure by the CSF Commission." 	<p>Jurisdiction date information has been added to new tracking field for all cases where discipline has been established. New reports developed to track cases volumes, pending/processing times, percentages by processing method, letters sent and the total time spent from the filing of an application to closure by the CSF Commission. Status reports to be provided to the board annually or as requested otherwise. (See Appendix N, Sample Tracking Report)</p>	<p>Implemented</p>
<p>8. Assess the benefit and timing of proposing an increase in the CSF fee that is assessed as part of annual member fees. Small incremental increases (e.g., increasing from the current \$40 to \$42) could assist. Interviews</p>	<p>Benefits of an increase in the CSF fee have been identified and a request for an increase was included in the Bar's Supplemental Petition to the Supreme Court for 2017 fee authorization. The Bar will likely pursue an increase as part of the 2018 fee bill process.</p>	<p>Implemented</p>

CSF		
Recommendation	Detail	Status
<p>indicated that the Bar has already begun consideration of using funding reserves from another area (LAP) to underwrite CSF payment needs.</p>		
<p>9. Establish a process whereby data is exported from the AS400 for CSFC meeting preparation and document information. This will eliminate manual steps in the transmission of files and documents.</p>	<p>Scanning of documents has been implemented, with the development of Microsoft's One-Drive solution readied for February 2017 Commission document distribution. <i>(See Appendix O, Screen shots of one-Drive, User's Manual for Commission)</i></p>	<p>Implemented</p>

State Bar Court



Overview of State Bar Court Recommendations

California is the only state in the nation with independent professional judges dedicated to ruling on attorney discipline cases. OCTC investigates complaints of attorney misconduct and, if it determines that an attorney's actions involve probable misconduct, formal charges are filed with the State Bar Court (SBC).

The independent SBC hears the charges and has the power to recommend that the California Supreme Court suspend or disbar attorneys found to have committed acts of professional misconduct or convicted of serious crimes. For lesser offenses, public or private reprovosals may be issued by the Court. The SBC can also temporarily remove lawyers from the practice of law when they are deemed to pose a substantial threat of harm to clients or the public.

To protect the independence of the State Bar Court, the implementation of Workforce Planning recommendations related to the Court was managed directly by State Bar Court leadership.

Details of the State Bar Court Recommendations

State Bar Court		
Recommendation	Detail	Status
1. RECOMMENDATION: Manual ticklers and tickers used outside of the case management system should be identified and then automated within the existing operating system.	All ticklers in the Review Department have been identified and are currently automated within the existing CMS operating system.	Implemented
2. RECOMMENDATION: The Review Department judges and supervisor should review the drafting process to determine whether each step is needed to	On November 29, 2016, the Presiding Judge held a joint meeting with the review judges, the Court Administrator, and all members of the Review Department (including attorneys and staff) to address this recommendation. The attendees reviewed the	Implemented

State Bar Court		
Recommendation	Detail	Status
ensure the accuracy, clarity, and quality of each opinion.	drafting process and made changes to shorten the opinion processing time without sacrificing the accuracy, clarity and quality of each opinion. Additionally, the Presiding Judge, Court Administrator, Chief Assistant Court Counsel, and administrative staff hold weekly meetings to track cases in the review department with the goal of timely filing each case and, preferably, filing cases at the earliest possible date within the CPS timeline.	
3. RECOMMENDATION: The Presiding judge should have dedicated administrative support staff, reallocated from within the SBC or Bar. The job title and responsibilities should be determined using the latest job and classification study results.	A dedicated Judicial Assistant to the Presiding Judge began employment with the SBC on October 11, 2016. In addition to providing direct support to the Presiding Judge, the Judicial Assistant also performs many tasks related to the discipline functions of the SBC.	Implemented
4. RECOMMENDATION: The Presiding Judge's new administrative staff should be given responsibility for monitoring suspended attorneys' eligibility for reinstatement and notifying MRC of eligibility when it occurs, as well as notifying CSF of final discipline orders received from the Supreme Court.	Although the SBC initially agreed with this recommendation, it has concluded that having a SBC staff member perform duties in other SB departments creates an unacceptable conflict of interest. Instead, after examining what the recommendation attempts to achieve, the SBC suggests an alternate method – that it generate a bi-weekly case disposition report, which can be transmitted to MRC and CSF. The SBC notes, however, that the Supreme Court's email notification system is the best source of timely information as to when the Supreme Court acts on a SBC recommendation for discipline for a respondent.	Implemented by Other Means See CSF Recommendation 1
5. RECOMMENDATION: The new case management system should provide all appropriate users access. Until the new system is implemented, scanned court files should be made available to staff in both court locations.	Staff has fully implemented a system which makes scanned review files available in both locations.	Implemented
6. RECOMMENDATION: The Justice Management Institute (JMI) Delphi-based case-weight metric using current filings should be used to indicate the level of administrative staffing needed in the SBC. If this Delphi-based metric is not considered valid, then a full weighted caseload study	An evaluation of the State Bar Court's staffing levels was conducted using the caseweights established by JMI. That evaluation included a review of the methodology for creating the caseweights and determined that a new workload study should be conducted. Staff in the Office of Research and Institutional Accountability (ORIA) will launch a workload study in the spring of 2017.	Implemented

State Bar Court		
Recommendation	Detail	Status
should be undertaken.		
7. RECOMMENDATION: One person should be designated as the Court Administrator.	The SBC initially questioned these recommendations due to employment and legal concerns. To that end, the SBC has requested a formal legal opinion from the OGC with respect to the proposed “special projects position.” Further, given that the “subordinate supervisor” position is subject to the SB’s collective bargaining agreement with the Union, the SBC has been unable to effectuate this component of the personnel recommendations. The SBC cannot provide meaningful comment or take action on this recommendation until it receives information with respect to the legal, employment, and Union issues.	Pending Legal Review
8. RECOMMENDATION: One Court Administrator position should be re-designated as a special projects position.	See number 7, above	Pending Legal Review
9. RECOMMENDATION: Assuming that application of the JMI analysis identifies that fewer administrative staff are needed in the SBC one or more of these positions should be redesignated as a subordinate supervisor reporting to the Court Administrator, reducing the number of direct reports for the Court Administrator.		Pending reevaluation of caseload standards
10. RECOMMENDATION: The responsibility for publishing the State Bar Court Reporter, Rules of Procedure, and Rules of Practice should be transferred to General Services.	The SBC will transfer the printing and distribution process to General Services when the next editions of these publications are distributed.	Substantially Implemented
11. RECOMMENDATION: The duties of the Court Systems Analyst position should be changed to providing administrative support for the unit.	SBC has begun the process of determining the level of administrative support needed for this position.	Partially Implemented

APPENDIX A



State of California

BUSINESS AND PROFESSIONS CODE

Section 6140.16

6140.16. (a) To align its staffing with its mission to protect the public as provided in Section 6001.1 and to provide guidance to the State Bar and the Legislature in allocating resources, the State Bar shall develop and implement a workforce plan for its discipline system and conduct a public sector compensation and benefits study. The workforce plan and compensation study shall be used to reassess the numbers and classifications of staff required to conduct the activities of the State Bar's disciplinary activities.

(b) The workforce planning shall include the development and recommendation of an appropriate backlog goal, an assessment of the staffing needed to achieve that goal while ensuring that the discipline process is not compromised, and the creation of policies and procedures sufficient to provide adequate guidance to the staff of each unit within the discipline system.

(c) In addition to the requirements in subdivisions (a) and (b), the State Bar shall conduct a thorough analysis of its priorities and necessary operating costs and develop a spending plan, which includes its fund balances, to determine a reasonable amount for the annual membership fee that reflects its actual or known costs and those to implement its workforce plan.

(d) The State Bar shall submit a report on its workforce plan and spending plan to the Legislature by May 15, 2016, so that the plans can be reviewed in conjunction with the bill that would authorize the imposition of the State Bar's membership fee. The report shall be submitted in compliance with Section 9795 of the Government Code. The State Bar shall complete and implement its workforce plan by December 31, 2016.

(Repealed and added by Stats. 2015, Ch. 537, Sec. 14. (SB 387) Effective January 1, 2016.)

APPENDIX B

Workforce Planning Implementation Committee
August 12, 2016

The following summarizes the recommendations regarding Training

1. There should be a separate Training Unit / Training Team to ensure necessary and appropriate training is available for and provided to Attorneys, Investigators, Paralegals, and Support Staff
2. Composition of the Training Unit / Training Team
 - a. The role and the composition of the Training Unit / Team will be different than it is currently.
 - b. New DTCs will no longer be assigned to the Training Unit/Team, but to the Enforcement or Intake teams on which they will be placed.
 - c. The Training Unit / Team will be staffed full time with a Senior Attorney (responsible for duties in 3, below, as it relates to Attorneys, Investigators, and maybe also Paralegals)
 - d. The Training Unit/Team will be staffed full time with a Senior Administrative Assistant (responsible for duties in 3, below, as it relates to non-Attorney, non-Investigator staff)
 - e. The Training Unit / Team will be staffed full time with one clerical support position (to assist with coordination, organization, maintenance of calendar, etc.)
 - f. The Training Unit / Team may require a full time Investigator be assigned for the initial ramp up period
 - g. The Training Unit / Team will report directly to an ACTC.
3. Responsibilities of the Training Unit / Team
 - a. Responsible for training / coordinating training for all staff; not limited to DTCs
 - b. Types of training
 - i. New staff training
 - ii. Continuing Education (training for existing staff, including “refresher” training, training on new rules, statutes, case law, policies, and procedures, training for professional development / growth, training needed to ensure consistency and uniformity across OCTC.
 - iii. Cross training / operation of a Training & Development program
 - iv. Oversee presentations by OCTC to outside entities and individuals (coordinate materials and speakers)
 - v. Oversee Ethics and CTA School (coordinate sign-ups, grading, materials, and presenters)

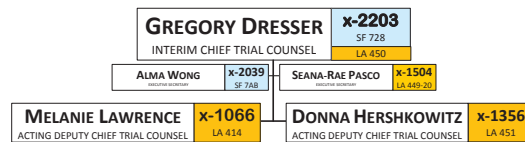
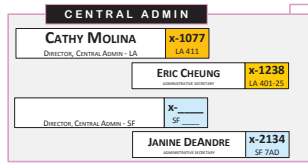
- c. The Training Unit / Team will also be responsible for the hiring of law clerks, if OCTC elects to bring in law clerks
 - d. Level of Involvement
 - i. Developing training plans
 - ii. Developing training curricula
 - iii. Delivering training (as appropriate)
 - iv. Identifying others, inside OCTC or the State Bar, or outside, to deliver training
 - v. Developing and Coordinating training materials (including policy and procedure manuals)
 - vi. Coordinating training delivery
 - vii. Development of training manuals for all classifications
 - viii. Communication regarding changes in office policy, procedure, approach to certain case-related issues, etc.
4. Role of the ACTC
- a. Direct supervisions of the Training Unit / Team
 - b. Review and calibration of all stipulations and decisions
 - c. Ensure training staff include issues arising from the calibration activities related to consistency and compliance with office policy
 - d. Update Stipulation Manual
 - e. Develop charging guidelines / manual; develop a system for cataloging discipline recommendations issued by the review department (based on allegations, numbers of priors, specific fact patterns, etc.)
 - f. Regular communication with OCTC regarding the issues identified through the calibration process.
 - g. Ensure distribution of stipulations to all attorneys; ensure stipulations are posted in a way that they are searchable
 - h. Regular communication with OCTC regarding appellate issues – including cases in which we are seeking review and arguments being advanced by the appellate team
 - i. Develop internal audit process to ensure teams are complying with office policy

APPENDIX C

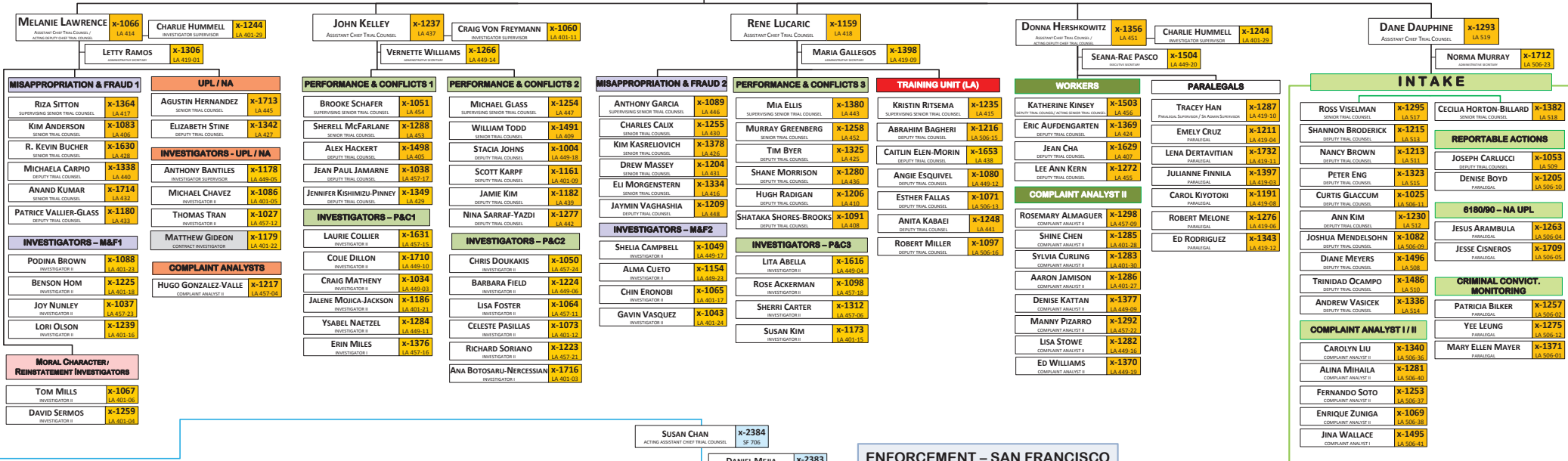
APPENDIX C
ATTACHMENT B

OFFICE OF CHIEF TRIAL COUNSEL
845 S. FIGUEROA STREET, LOS ANGELES, CA 90017 (213) 765 - 1000
180 HOWARD STREET, SAN FRANCISCO, CA 94105 (415) 538 - 2000

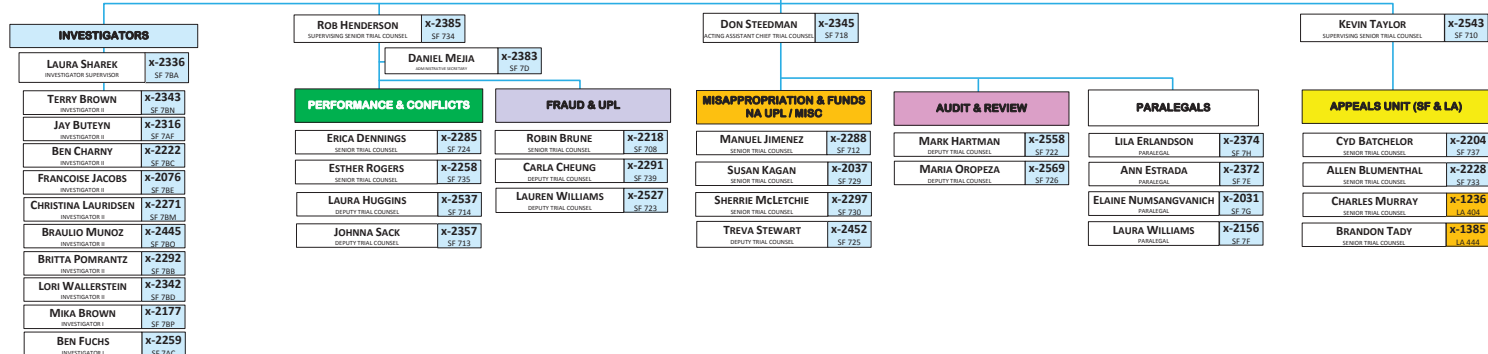
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ENFORCEMENT – LOS ANGELES



ENFORCEMENT – SAN FRANCISCO



APPENDIX D

APPENDIX D
ATTACHMENT B

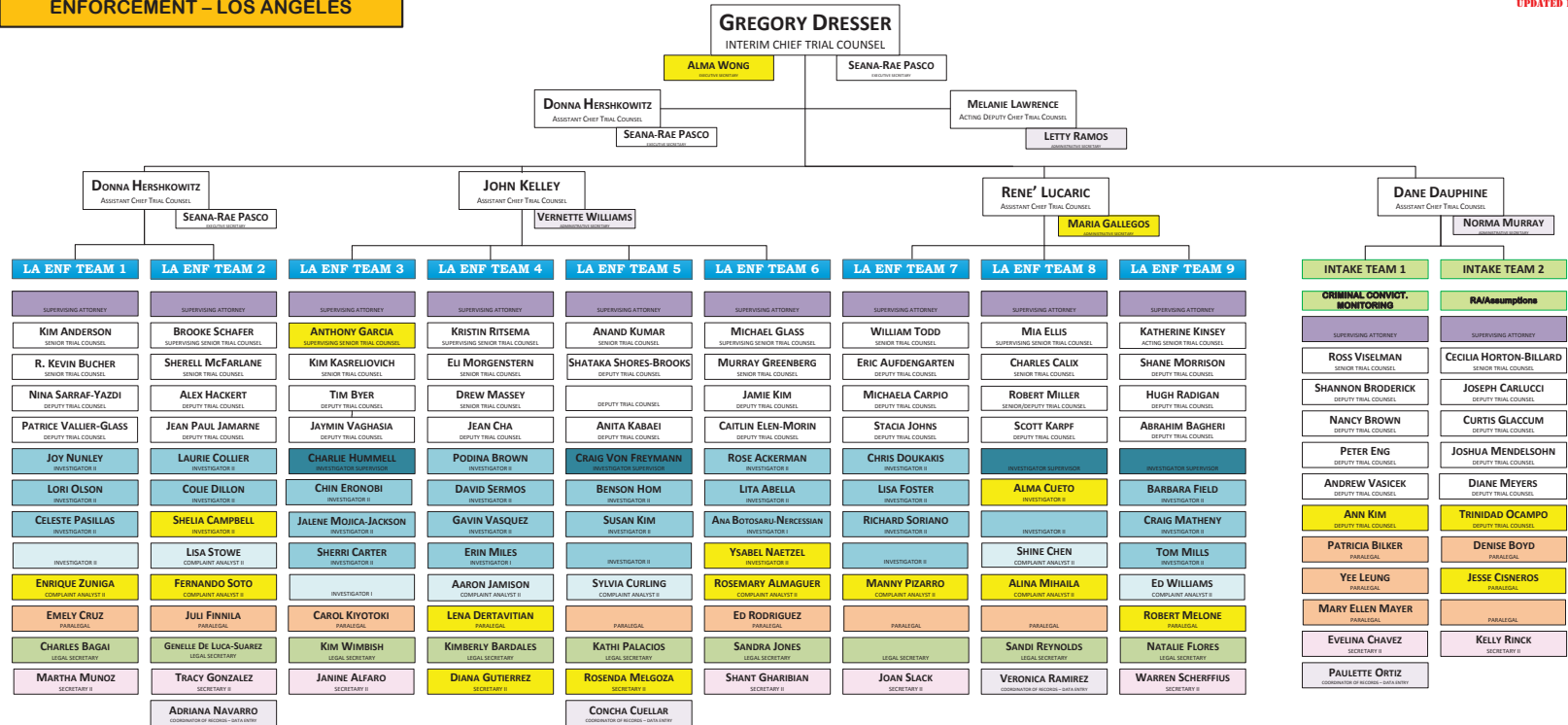
DRAFT – FOR DISCUSSION PURPOSES ONLY

OFFICE OF CHIEF TRIAL COUNSEL
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UPDATED 1/25/17

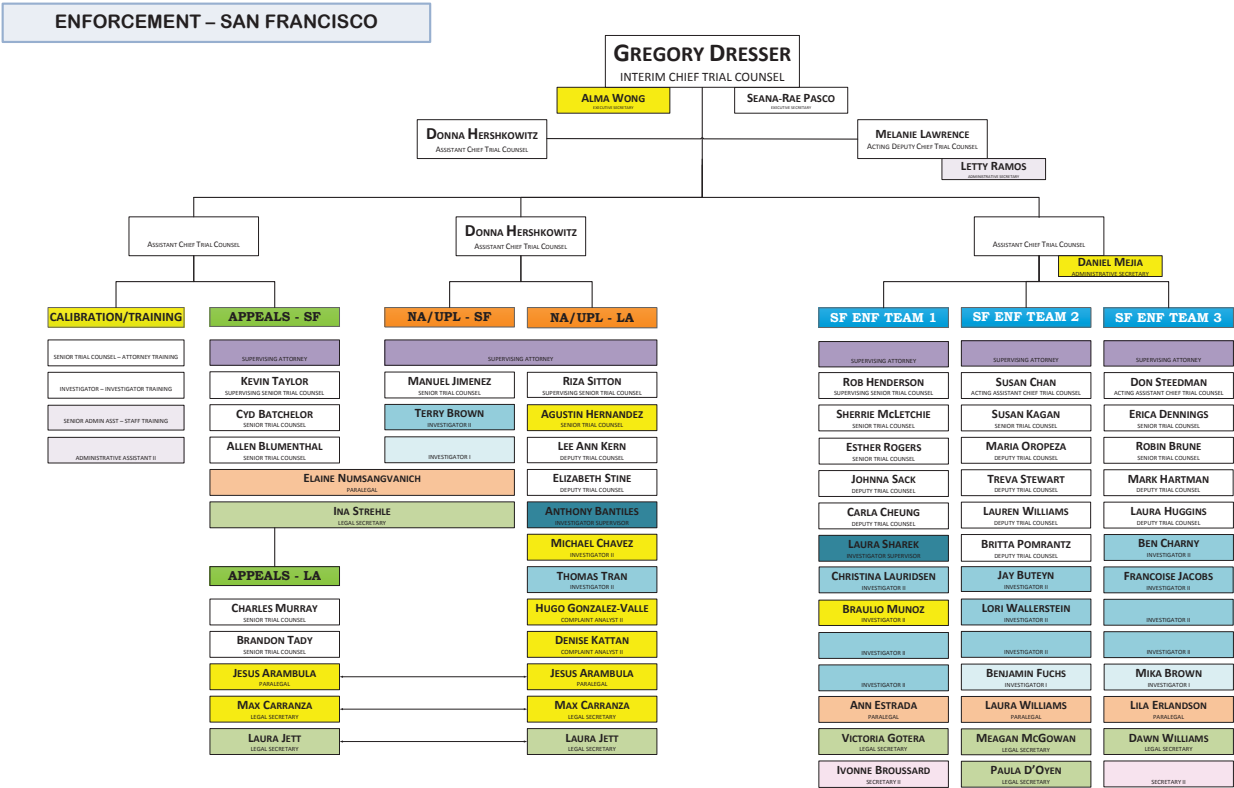


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UPDATED 1/25/17

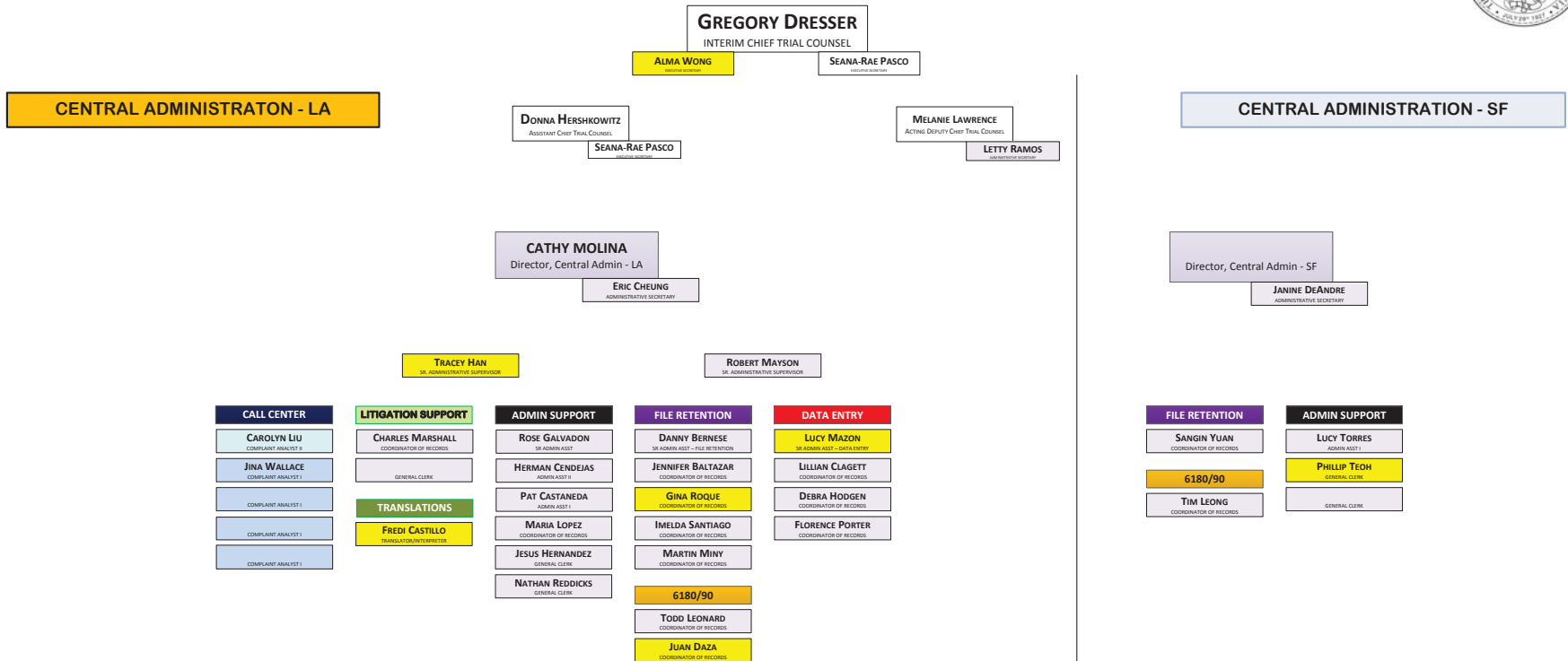


APPENDIX D
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UPDATED 1/25/17



APPENDIX E

Original email text	Recommendation
<p>Re the NA/UPL Team, I think it would require an administrative/investigative secretary (in addition to the legal secretary).</p>	<p>Move Max Carranza to support NA/UPL team and Appeals Team.</p> <p>New Legal Secretary hire will support NA/UPL team and Appeals Team.</p> <p>New Legal Secretary hire will replace Max Carranza's on Team 1</p>
<p>I see that no secretary has been assigned to the NA/UPL Team in the new chart. I would like to recommend my current secretary Kathi Palacios for the position. The NA/UPL Team's work is in superior court and not in the State Bar Court. Kathi was recently hired at the State Bar and comes with extensive and current superior court experience that would be valuable to our Team.</p>	<p>See above.</p>
<p>In reviewing the number of investigators per IS/Inv. III, there are 45 proposed investigators for 5 IS/ Inv. IIIs in LA, which is approximately 9 investigators for each IS/Inv III to oversee in LA. In SF the proposed ratio is 16 Investigators to 1 IS/Inv. III. An additional Inv. III position should be contemplated in SF, or the open position for the IS in LA should be transferred to SF.</p> <p>So, current rations are: 9 to 1 in LA 16 to 1 in SF</p> <p>If the position is switched from LA to SF, the ratios would be: 11 to 1 in LA 8 to 1 in SF</p> <p>If an additional position is added in SF, the ratios would be: 9 to 1 in LA 8 to 1 in SF</p>	<p>This issue is moot since the IS position is being eliminated and investigator oversight will be the responsibility of the SA.</p>

<p>We are a team of Seven, now due to our new WFP teams, we are reduced to three team members who will process mail and do case creations which is seventy five percent of our workload. This is not enough team members to accomplish our duties.</p> <p>As a suggestion keep Data Entry as a whole unit. Assign Coordinators/Data Entry to Teams or Silos. This way we are able to cover other duties as we are being trained on new assignments in (Intake and Enforcement) and therefore, giving us an opportunity to back up other units when we need to take sick, vacation, jury duty, or have family emergencies.</p>	<p>4 team members will remain to process mail and do case creations.</p> <p>3 team members will be assigned to assist with Teams. “Coordinator of Records” being reclassified as “Administrative Assistant I”. (They will be able to assist in mail processing/case creations, as needed).</p> <p>In SF, Sangin and Tim will need to be cross-trained to do each other’s jobs so there is adequate coverage.</p>
<p>What will be the systematic approach to absences or vacancies on a team?</p> <p>What is the plan for secretary/paralegal absences?</p>	<p>SF and LA to have Office Director/Manager (formerly “Director of Central Administration”) who will be responsible for overseeing coverage in each office.</p> <p>Fallback Recommendation:</p> <p>ACTC’s will be responsible for overseeing coverage on their Teams (the assumption is that the ACTC will oversee 3 Teams). The 3 Teams under the ACTC will provide coverage for each other.</p> <p>SF and LA to set up sick-lines (telephone and email). Responsibility for checking and reporting should rotate month-to-month among the ACTC’s (Administrative Secretaries) in each office.</p>
<p>How will coverage needs be addressed?</p>	<p>See above.</p>

APPENDIX F

LAWYER ASSISTANCE PROGRAM OVERSIGHT COMMITTEE

NOTICE & AGENDA

Video Conference Meeting

Friday, August 19, 2016
9:30 p.m. - 4:30 p.m.

State Bar of California
180 Howard Street, Rooms 4A&B
San Francisco, CA 94105

845 South Figueroa, Room 2E
Los Angeles, CA 90017

Questions regarding any agenda item should be directed to the **Committee Coordinator, Richard Carlton at (415) 538-2355, 180 Howard Street, San Francisco, CA 94105 or Chair, Stewart Hsieh at (213) 538-1365, 180 Howard Street, San Francisco, CA 94105**. Committee members are requested to notify the Committee Coordinator as early as possible in advance of the meeting if they wish to remove any item/s from the consent agenda.

Committee Members: Andrew Besser, Robert Burchuk, Kellie Condon, Justin Delacruz, Jason Kletter, Tracy LeSage, Terry Lewis, Sara Ramirez Giroux, Philip Spiegel, MD, Lawrence Terry, Sandy Wood.

The order of business is approximate and subject to change.

For meetings scheduled to take place over multiple days, items scheduled for a particular day may be moved to an earlier or later day to facilitate business of the Board and Board Committees.

I. Chair's Report

- a. Call for Public Comment
- b. Oral Report

II. Consent

- a. None

III. Business

- a. Patrick Krill, Krill Strategies –Substance Abuse and Other Mental Health Concerns in the Attorney Profession
- b. Carson Fox, National Association of Drug Court Professionals – The 10 key components of Drug Court
- c. Other Public Testimony Regarding the Lawyer Assistance Program*
 - i. Jerome Braun, The Other Bar
 - ii. Samuel Bellicini, Discipline Defense Counsel
 - iii. Martin Nicolaus, LifeRing Secular Recovery
 - iv. Steven Mazza
 - v. Other Public Members in Attendance

IV. Adjournment

CLOSED SESSION

~NONE

ADJOURNMENT

*Note: This is a list of who is expected to attend, but does not preclude others not on the list from providing public testimony.

In compliance with the Americans with Disabilities Act, those requiring accommodations at this meeting should notify Carol Madeja at (213) 765-1329. Please provide notification at least 72 hours prior to the meeting to allow sufficient time to make arrangements for accommodations at this meeting.

The notice and agenda is available at: <http://board.calbar.ca.gov/Board.aspx>

APPENDIX G

THE LAWYER ASSISTANCE PROGRAM

STRATEGIC PLAN

FROM JANUARY, 2017 TO DECEMBER, 2019



THE STATE BAR OF CALIFORNIA

STRATEGIC PLAN DEVELOPMENT

THIS STRATEGIC PLAN WAS DEVELOPED AND ADOPTED BY THE LAWYER ASSISTANCE PROGRAM (LAP) OVERSIGHT COMMITTEE TO GUIDE THE WORK OF THE LAP AND ENSURE THAT THE LAP FUNCTIONS AS INTENDED UNDER BUSINESS AND PROFESSIONS CODE 6230. THE LAP WAS ESTABLISHED “TO IDENTIFY AND REHABILITATE ATTORNEYS WITH IMPAIRMENT DUE TO ABUSE OF DRUGS OR ALCOHOL, OR DUE TO MENTAL ILLNESS, AFFECTING COMPETENCY” AND TO SEE THAT “ATTORNEYS SO AFFLICTED MAY BE TREATED AND RETURNED TO THE PRACTICE OF LAW IN A MANNER THAT WILL NOT ENDANGER THE PUBLIC HEALTH AND SAFETY.”

MEMBERS OF THE OVERSIGHT COMMITTEE ADOPTING THIS PLAN ARE:

STEWART HSIEH, CHAIR
ANDY BESSER
ROBERT BURCHUK, M.D.
KELLIE M. CONDON, PH.D.
JUSTIN DELACRUZ
SARA RAMIREZ GIROUX
JASON KLETTER, PH.D.
TRACY LESAGE
TERRY LEWIS
PHILIP M. SPIEGEL, MD
HON. LAWRENCE TERRY
SANDY WOOD

VISION STATEMENT

THE LAWYER ASSISTANCE PROGRAM (LAP) PROVIDES SUPPORT TO ATTORNEYS WHO ARE STRUGGLING WITH SUBSTANCE ABUSE AND/OR MENTAL HEALTH ISSUES. THE LAP PROVIDES A RANGE OF SERVICES AND LEVELS OF SUPPORT THAT ARE TAILORED TO THE CIRCUMSTANCES OF EACH PARTICIPANT. THE GOAL OF THE LAP IS TO PROTECT THE PUBLIC THROUGH OUTREACH AND EDUCATION ABOUT THE DANGERS OF SUBSTANCE ABUSE AND MENTAL ILLNESS IN THE LEGAL COMMUNITY AND REHABILITATION OF ATTORNEYS WHO STRUGGLE WITH THESE ISSUES.

- LAP PROVIDES OUTREACH SERVICES, TRAINING, AND CONTINUING LEGAL EDUCATION REGARDING SUBSTANCE ABUSE, STRESS, MENTAL ILLNESS AND DEMENTIA IN THE LEGAL PROFESSION;
- LAP MAKES CONFIDENTIAL REFERRALS TO COUNSELING AND FREE ASSESSMENTS FOR ATTORNEYS WHO ARE EXPERIENCING STRESS, MENTAL ILLNESS OR ARE STRUGGLING WITH SUBSTANCE ABUSE;
- LAP COLLABORATES WITH THE OFFICE OF THE CHIEF TRIAL COUNSEL, STATE BAR COURT, OFFICE OF PROBATION AND OTHERS TO MONITOR AND SUPPORT ATTORNEYS WHO PARTICIPATE IN THE LAP AS A CONDITION OF THEIR DISCIPLINE;
- LAP WORKS WITH THE OFFICE OF ADMISSIONS AT THE STATE BAR TO ASSIST WITH THE EVALUATION OF APPLICANTS TO THE BAR WHO HAVE BEEN REFERRED TO LAP AS A CONDITION OF THEIR MORAL CHARACTER REVIEW.

OVERVIEW OF THE LAP

INTRODUCED BY SENATOR JOHN BURTON, THE ATTORNEY DIVERSION AND ASSISTANCE ACT (SB 479, 2001) BECAME EFFECTIVE JANUARY 2002. THE ACT ADDED LANGUAGE TO THE BUSINESS AND PROFESSIONS CODE (6230 ET SEQ.) REQUIRING THE STATE BAR OF CALIFORNIA TO CREATE A PROGRAM TO ASSIST ATTORNEYS WITH SUBSTANCE ABUSE AND/OR MENTAL HEALTH ISSUES. AS A RESULT OF THE LEGISLATION, THE STATE BAR OF CALIFORNIA CREATED THE LAWYER ASSISTANCE PROGRAM ("LAP"). THE STATE BAR COLLECTS \$10.00 FROM EVERY ACTIVE ATTORNEY, AND \$5.00 FROM INACTIVE ATTORNEYS, TO OPERATE THE PROGRAM. STATUTE REQUIRES THAT PARTICIPANTS ARE RESPONSIBLE FOR ALL EXPENSES RELATED TO TREATMENT AND RECOVERY, BUT NO MEMBER WILL BE TURNED AWAY DUE TO LACK OF ABILITY TO PAY.

LAP HAS THREE MAIN COMPONENTS: TRANSITIONAL ASSISTANCE SERVICE, SUPPORT LAP AND MONITORED LAP.

- TRANSITIONAL ASSISTANCE SERVICES PROVIDE ATTORNEYS WITH THE OPPORTUNITY TO BE REFERRED TO OUTSIDE PERSONAL OR CAREER CAREERS COUNSELORS. PARTICIPANTS CAN GET TWO FREE SESSIONS WITH COUNSELORS.
- SUPPORT LAP PROVIDES ATTORNEYS WITH ORIENTATION AND ASSESSMENT OF THEIR SUBSTANCE ABUSE AND/OR MENTAL HEALTH ISSUE. THE ASSESSMENT IS COMPLETED BY ONE OF LAP'S LICENSED CLINICIANS. STAFF PROVIDES REFERRALS TO RESOURCES AND THE OPPORTUNITY TO PARTICIPATE IN FACILITATED GROUP SESSIONS WITH OTHER LEGAL PROFESSIONALS.
- MONITORED LAP IS THE MOST RIGOROUS FORM OF SUPPORT OFFERED BY THE LAP. IN MONITORED LAP, PARTICIPANTS RECEIVE AN ASSESSMENT FROM A LICENSED CLINICIAN, SIMILAR TO SUPPORT LAP. IN ADDITION, PARTICIPANTS RECEIVE AN EVALUATION PLAN RECOMMENDING A COURSE OF TREATMENT. EVALUATION PLANS GENERALLY INCLUDE RECOMMENDATIONS FOR PARTICIPATION IN OTHER ABSTINENCE-BASED MEETINGS, REFERRALS FOR MORE DETAILED EVALUATIONS AND RANDOM TESTING. OTHER REQUIREMENTS ARE INCORPORATED INTO EVALUATION PLANS AS APPROPRIATE, DEPENDING UPON THE PARTICIPANT'S SITUATION. IN ORDER FOR ATTORNEYS TO BE INVOLVED IN THE STATE BAR COURT'S ALTERNATIVE DISCIPLINE PROGRAM, THEY MUST PARTICIPATE IN MONITORED LAP.

THE PLAN

THE STRATEGIC PLAN THAT FOLLOWS IS DIVIDED INTO TWO BROAD SECTIONS.

- OUTREACH AND EDUCATION FOCUSES ON DISSEMINATING INFORMATION BROADLY TO MEMBERS OF THE LEGAL COMMUNITY AND THEIR FAMILIES AND PROACTIVELY IDENTIFYING THOSE MEMBERS OF THE COMMUNITY THAT ARE MOST AT RISK FOR SUBSTANCE ABUSE AND MENTAL HEALTH ISSUES BY:
 - DEVELOPING EDUCATIONAL CONTENT ABOUT THE RISKS OF SUBSTANCE ABUSE AND MENTAL ILLNESS TO ATTORNEYS AND PROMOTING HEALTHY LIFE-STYLE CHOICES;
 - ENSURING THE BROADEST POSSIBLE DISSEMINATION OF MATERIALS TO THE TARGET AUDIENCE INCLUDING THE FAMILIES OF ATTORNEYS;
 - RAISING AWARENESS AMONG THESE SAME AUDIENCES ABOUT THE SERVICES AVAILABLE THROUGH THE LAP AND IN THE COMMUNITY.
- PROGRAM DESIGN AND EFFECTIVE INTERVENTION FOCUSES ON SPECIFIC COMPONENTS OF THE LAP ESPECIALLY IN THOSE AREAS RELATED TO THE DISCIPLINE SYSTEM:
 - ESTABLISHING AND SUSTAINING COLLABORATIVE RELATIONSHIPS WITH REPRESENTATIVES OF THE OFFICE OF THE CHIEF TRIAL COUNSEL, STATE BAR COURT, AND RESPONDENTS' COUNSEL TO DEVELOP POLICY AND PROCEDURES FOR EFFECTIVE CASE MANAGEMENT AND TREATMENT OF ATTORNEYS WHO COME BEFORE THE DISCIPLINE SYSTEM;
 - IMPROVING THE IDENTIFICATION OF ATTORNEYS IN THE DISCIPLINE SYSTEM WHO WOULD BENEFIT FROM PARTICIPATION IN THE LAP AND/OR ALTERNATIVE DISCIPLINE PROGRAM;
 - PROMOTING LEGISLATION THAT WOULD ALLOW BAR APPLICANTS TO PARTICIPATE IN THE LAP;
 - TRACKING DATA AND EVALUATING THE IMPACT OF THE LAP FOR PURPOSES OF REPORTING TO THE LAP OVERSIGHT COMMITTEE AND FOR ON-GOING PROGRAM MONITORING AND IMPROVEMENT.

MONITORING THE PLAN

THE OVERSIGHT COMMITTEE OF THE LAP VIEWS THIS PLAN AS A LIVING DOCUMENT. THE COMMITTEE COMMITS TO:

- DEVELOPING AND TRACKING OPERATIONAL GOALS TO ADVANCE THE STRATEGIC GOALS ARTICULATED IN THE PLAN;
- MONITORING PROGRESS TOWARD ACHIEVING THESE GOALS AT ITS QUARTERLY MEETINGS;
- PERIODICALLY MODIFYING THE PLAN AS NEEDED BUT NO LESS THAN EVERY THREE YEARS TO ENSURE THAT THE LAP FUNCTIONS EFFECTIVELY AND EFFICIENTLY.

EDUCATION AND OUTREACH

RESEARCH ON THE PREVALENCE OF SUBSTANCE ABUSE IN THE LEGAL COMMUNITY HAS SHOWN THAT YOUNGER ATTORNEYS ARE ESPECIALLY AT RISK. IN ADDITION, MENTAL HEALTH DISORDERS, CO-MORBID DISORDERS AND ISSUES RELATED TO AGING OR COGNITIVE DECLINE ARE LIKELY TO HAVE A SIGNIFICANT IMPACT ON THE GROWING NUMBER OF OLDER ATTORNEYS PRACTICING LAW IN CALIFORNIA.

AN EFFECTIVE RESPONSE TO THESE CHALLENGES WILL REQUIRE TARGETED OUTREACH THAT INCLUDES EDUCATIONAL MATERIALS TAILORED TO SPECIFIC AUDIENCES. WHEREVER FEASIBLE, OUTREACH SHOULD INCLUDE THE FAMILIES OF ATTORNEYS AND EXTEND FROM LAW SCHOOL THROUGH RETIREMENT PREPARATION FOCUSING ON WELLNESS AND SEEKING TO DE-STIGMATIZE THOSE WHO SUFFER FROM ADDICTION, MENTAL ILLNESS, OR OTHER FORMS OF COGNITIVE IMPAIRMENT.

DURING THE PERIOD THAT THIS STRATEGIC PLAN IS IN EFFECT, THE LAP OVERSIGHT COMMITTEE SHOULD FOCUS ITS ATTENTION ON THE FOLLOWING GOALS RELATED TO EDUCATION AND OUTREACH:

- I. DETERMINING THE TARGET AUDIENCES, CONTENT AND TYPES OF OUTREACH FOR EDUCATION OF THE LEGAL COMMUNITY REGARDING SUBSTANCE ABUSE, MENTAL ILLNESS, AND AGE-RELATED COGNITIVE IMPAIRMENT.
 - A. WORKING WITH THE COMMITTEE OF BAR EXAMINERS ON OUTREACH TO LAW STUDENTS AND THEIR FAMILIES WITH SUBSTANCE ABUSE AS THE PRIMARY FOCUS:
 - 1.DEVELOPING TARGETS FOR THE NUMBER OF SCHOOLS AT WHICH TO GIVE PRESENTATIONS, CONDUCTING OTHER FORMS OF OUTREACH AND SEEKING TO INSTITUTIONALIZE THE DELIVERY OF INFORMATION ON SUBSTANCE ABUSE AND MENTAL ILLNESS AS PART OF GENERAL WELLNESS MATERIAL THAT EACH SCHOOL PROVIDES;
 - 2.DEVELOPING LISTS OF CONTACTS AT ALL LAW SCHOOLS INCLUDING ABA, CAL AND UNACCREDITED SCHOOLS.
 - B. WORKING WITH LOCAL BAR ASSOCIATIONS ON OUTREACH TO MEMBERS WITH THE PRIMARY FOCUS ON MENTAL HEALTH ISSUES AND COGNITIVE IMPAIRMENT THAT AFFECTS ELDER ATTORNEYS:
 - 1.EVALUATING THE DEMOGRAPHIC PROFILES OF DIFFERENT REGIONS OF THE STATE TO DEVELOP TARGETS FOR LOCAL BARS AT WHICH TO GIVE PRESENTATIONS, CONDUCT OTHER FORMS OF OUTREACH AND SEEK TO INSTITUTIONALIZE THE AWARENESS OF MENTAL HEALTH ISSUES AND SUBSTANCE ABUSE AS PART OF GENERAL WELLNESS MATERIALS THAT LOCAL BARS PROVIDE;
 - 2.DEVELOPING LISTS OF CONTACTS AT LOCAL BARS.
 - C. DEVELOPING GUIDELINES AND TRAINING FOR THE OFFICE OF THE CHIEF TRIAL COUNSEL TO ASSIST ATTORNEYS AND INVESTIGATORS IDENTIFY SIGNS OF SUBSTANCE ABUSE, MENTAL ILLNESS AND COGNITIVE DECLINE WHERE THESE MAY BE CONTRIBUTING FACTORS TO A DISCIPLINE CASE.
 - D. WORKING WITH THE BAR TO ENSURE THE INCLUSION OF WELLNESS / SELF-CARE MATERIALS IN THE RECENTLY MANDATED 10 HOURS OF CLE REQUIREMENTS FOR NEWLY ADMITTED LAWYERS;

1. WORKING WITH CALIFORNIA YOUNG LAWYERS ASSOCIATION (CYLA) TO ESTABLISH A CADRE OF YOUNG LAWYERS WHO CONDUCT OUTREACH AND EDUCATION ON WELLNESS;
 2. INSTITUTIONALIZING THE RELATIONSHIP BETWEEN THE LAP AND CYLA SO THAT IT IS NOT DISRUPTED BY MEMBER TURN-OVER IN EITHER ORGANIZATION;
- II. FOR EACH OF THE AREAS ABOVE, TAILORING EDUCATIONAL AND TRAINING CONTENT TO THE TARGET AUDIENCE INCLUDING ASSESSMENT OF THE APPROPRIATE MEDIUM FOR CONTENT DELIVERY – E.G., HARD COPIES, ONLINE, MOBILE APPLICATIONS, VIDEOS, ETC.
 - III. DEVELOPING SELF-ASSESSMENT TOOLS TARGETED TO THE ATTORNEY POPULATIONS MOST AT RISK FOR SUBSTANCE ABUSE AND MENTAL ILLNESS.
 - IV. EVALUATING THE “BRAND” OF THE LAP AND RETURNING TO THE OVERSIGHT COMMITTEE WITH RECOMMENDATIONS FOR ENSURING THAT THE CONNECTION OF THE LAP TO THE STATE BAR NOT BECOME A DETERRENT TO ATTORNEYS AND THEIR FAMILIES WHO MIGHT OTHERWISE SEEK ASSISTANCE FROM THE PROGRAM.
 - A. DEVELOPING A STRATEGY TO COLLABORATE WITH OTHER VOLUNTEER ORGANIZATIONS OR INDIVIDUALS TO PROVIDE OUTREACH AND SUPPORT PROMOTING THE SERVICES OF THE LAP;
 - B. CONDUCTING A MARKETING ANALYSIS TO SURVEY ATTORNEYS IN VARIOUS SETTINGS SUCH AS LAW FIRMS, LARGE EMPLOYERS AND SMALL PRACTICES ON WHAT NEEDS THEY HAVE AND THE BEST WAY TO DISSEMINATE INFORMATION
 - V. COLLECTING, EVALUATING AND REPORTING TO THE OVERSIGHT COMMITTEE ON KEY METRICS OF THE OUTREACH AND EDUCATION EFFORTS.

PROGRAM DESIGN AND EFFECTIVE INTERVENTION

IN RECENT YEARS, ENORMOUS STRIDES HAVE BEEN MADE IN DOCUMENTING AND DISSEMINATING BEST PRACTICES IN PROBATION AND DRUG COURTS FOR THE MONITORING AND TREATMENT OF DEFENDANTS STRUGGLING WITH SUBSTANCE ABUSE AND MENTAL ILLNESS. WHILE THE ATTORNEY DISCIPLINE SYSTEM IS DISTINCT FROM THE SUPERIOR COURTS WHERE THERAPEUTIC COURTS HAVE FLOURISHED, THERE ARE, NONETHELESS, IMPORTANT LESSONS THAT MAY BE BORROWED FROM THE EXPERIENCE OF THERAPEUTIC COURTS.

TO BEGIN, EFFECTIVE TREATMENT OF ATTORNEYS WHOSE ADDICTION OR MENTAL ILLNESS HAS BROUGHT THEM TO THE ATTENTION OF THE DISCIPLINE SYSTEM WILL REQUIRE A *COLLABORATIVE* APPROACH. IN ADDITION, THE LAP WILL BENEFIT FROM PAYING CLOSE ATTENTION TO THE DATA ON THE PROGRAM AND UTILIZING THAT DATA TO MODIFY THE PROGRAM.

SPECIFIC ASPECTS OF THE LAP RELATED TO PROGRAM DESIGN AND EFFECTIVE INTERVENTION ON WHICH THE OVERSIGHT COMMITTEE SHOULD FOCUS ITS ATTENTION DURING THE PERIOD OF THIS STRATEGIC PLAN INCLUDE:

- I. ESTABLISHING A FORMAL STRUCTURE OF ON-GOING COLLABORATION WITH THE STATE BAR COURT, OFFICE OF THE CHIEF TRIAL COUNSEL, AND RESPONDENTS' COUNSEL TO CLARIFY THE TREATMENT AND MONITORING MODALITIES FOR ATTORNEYS WHO COME BEFORE THE DISCIPLINE SYSTEM.
 - A. ESTABLISHING A REGULAR, FORMAL SCHEDULE OF MEETINGS TO BE HELD NO LESS THAN MONTHLY TO COORDINATE OCTC, SBC AND LAP POLICY IN A NUMBER OF AREAS INCLUDING:
 1. IDENTIFYING THE TYPES OF DISCIPLINE ISSUES THAT SHOULD BE ASSIGNED TO LAP FOR EVALUATION;
 2. DEVELOPING A "RESPONSE MATRIX" THAT SPECIFIES THE INCENTIVES AND SANCTIONS TO BE USED TO ENSURE COMPLIANCE WITH OCTC, SBC AND LAP ORDERS;
 3. CLARIFYING THE RESPECTIVE ROLES OF LAP, PROBATION, OCTC, AND SBC IN DIFFERENT TYPES OF CASES AND WHERE EACH OF THESE ENTITIES CAN BEST CONTRIBUTE TO IMPROVING THE LIKELIHOOD OF RECOVERY AND WELLNESS.
 - B. WORKING WITH THE OTHER BAR, TREATMENT PROVIDERS, COMMUNITY-BASED ORGANIZATIONS, AND OTHERS WHOSE WORK MAY BE COMPLEMENTARY TO THAT OF THE LAP.
 - C. COMPLETING THE INTEGRATION OF LAP WITH THE OFFICE OF PROBATION TO ENSURE THAT THE EVALUATION AND MONITORING OF PROBATIONERS WITH SUBSTANCE ABUSE AND MENTAL HEALTH PROBLEMS ARE TAILORED TO MEET THE INDIVIDUAL NEEDS OF PROBATIONERS AND LAP PARTICIPANTS.
 - D. EVALUATING TERMS AND CONDITIONS OF PROBATION AND WORKING WITH THE STATE BAR COURT TO INCLUDE PROBATION CONDITIONS THAT ADDRESS THE SUBSTANCE ABUSE AND MENTAL HEALTH ISSUES OF ATTORNEYS ON PROBATION.

II. EVALUATING THE VARIOUS COMPONENTS OF THE LAP INCLUDING:

- A. ASSESSING THE INTAKE / EVALUATION PROCESS AND ASSOCIATED INSTRUMENTS USED BY LAP CASE MANAGERS TO DETERMINE WHETHER AN ATTORNEY HAS ADDICTION, MENTAL HEALTH, OR COGNITIVE IMPAIRMENT ISSUE AND THE SEVERITY;
- B. REVIEWING CURRENT POLICY DOCUMENTS AND UPDATING / DEVELOPING PROCESS-FLOW DIAGRAMS TO CLARIFY PARTICIPANT OPTIONS, ALONG WITH DECISION POINTS AND POLICIES FOR CASE MANAGEMENT;
- C. REVIEWING CURRENT POLICY, PRACTICE AND THE OUTCOMES RELATED TO THE WORK OF THE EVALUATION COMMITTEE AND DETERMINING WHETHER THERE ARE CASES THAT SHOULD BE HANDLED THROUGH A DIFFERENT MODALITY OF TREATMENT / OVERSIGHT;
- D. REVIEWING CURRENT POLICY, DOCUMENTATION AND PRACTICES RELATED TO GUIDELINES FOR HANDLING REVIEWS, RELAPSE AND TERMINATION AND PROVIDING RECOMMENDED UPDATES AS NECESSARY;
- E. REVIEWING CURRENT POLICY, DOCUMENTATION AND PRACTICES RELATED TO THE UTILIZATION OF FACILITATED GROUPS, EVALUATING THE EFFICACY OF THE FACILITATED GROUP MODEL AND EXPLORING WHETHER COUNTY-CERTIFIED TREATMENT PROVIDERS ARE VIABLE ALTERNATIVES.

III. INTEGRATING THE VARIOUS TOOLS THAT ARE USED BY THE LAP AND THE DATA COLLECTED BY:

- A. ENGAGING IN ON-GOING ASSESSMENT OF THE SUCCESS OF THE PROGRAM AND IMPROVEMENT WHERE APPLICABLE;
- B. DEVELOPING METRICS THAT ALIGN WITH THE MISSION OF THE LAP AND TRACKING OUTCOMES FOR PARTICIPANTS IN THE PROGRAM;
- C. PROVIDING REGULAR REPORTS AND RECOMMENDATIONS TO THE OVERSIGHT COMMITTEE AND LAP MANAGEMENT REGARDING BASIC INDICATORS OF PROGRAM UTILIZATION AND PROGRAM SUCCESS.
- D. DETERMINING APPROPRIATE AND REALISTIC INDICATORS OF “SUCCESSFUL PROGRAM COMPLETION” AND USING THESE TO GUIDE DAY-TO-DAY MANAGEMENT OF THE PROGRAM AND ON-GOING PROGRAM DEVELOPMENT BY THE LAP OVERSIGHT COMMITTEE.

APPENDIX H

AGENDA ITEM

121 JANUARY 2017

DATE: January 4, 2017

TO: Members, Regulation and Discipline Committee
Members, Board of Trustees

FROM: Leah Wilson
Chief Operating Officer

SUBJECT: Voluntary Resignation Form Revision; Request for Approval

EXECUTIVE SUMMARY

The Regulation and Discipline Committee is asked to recommend that the Board of Trustees approve revisions to the Voluntary Resignation form required of those who wish to resign *without* charges pending to include an attestation of compliance with California Rules of Court rule 9.20 ("rule 9.20") prior to submission of the resignation application to the Supreme Court (Court). This change will streamline the process of voluntary resignations and eliminate the need for the Office of Probation (Probation) to monitor compliance with California Rule of Court rule 9.20 without any adverse consequences to public protection. Moreover, approval of the revised form will obviate the need for Supreme Court orders accepting voluntary resignation applications to include rule 9.20 directives. State Bar rule 2.45(B) requires that the Voluntary Resignation form be approved by the Board of Trustees.

The Supreme Court has considered the proposal to revise the process and the Voluntary Resignation form as described herein and has voiced no objections to the changes.

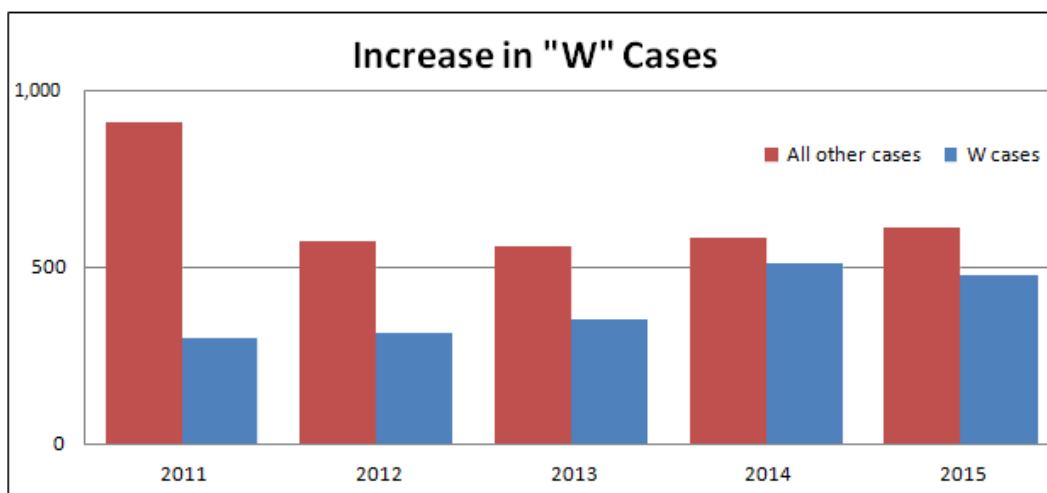
DISCUSSION

To align its resources with its primary mission to protect the public, the Legislature required the State Bar to develop a workforce plan for its discipline system. The report was submitted to the Legislature on May 13, 2016, with recommendations to be implemented by December 31, 2016. Several of these recommendations addressed the Office of Probation, with many stemming from an observation of unnecessarily high Probation caseloads. Specifically, the report suggested that there is no public protection need for Probation to be supervising all of the populations currently under its purview. One such population is comprised of attorneys resigning from the State Bar without charges pending.

Rule 9.20 provides that the Supreme Court may include in an order disbaring or suspending a member of the State Bar, or accepting his or her resignation, a direction that the member must, within such time limits as the Supreme Court may prescribe:

- (1) Notify all clients being represented in pending matters and any co-counsel of his or her disbarment, suspension, or resignation and his or her consequent disqualification to act as an attorney after the effective date of the disbarment, suspension, or resignation, and, in the absence of co-counsel, also notify the clients to seek legal advice elsewhere, calling attention to any urgency in seeking the substitution of another attorney or attorneys;
- (2) Deliver to all clients being represented in pending matters any papers or other property to which the clients are entitled, or notify the clients and any co-counsel of a suitable time and place where the papers and other property may be obtained, calling attention to any urgency for obtaining the papers or other property;
- (3) Refund any part of fees paid that have not been earned; and
- (4) Notify opposing counsel in pending litigation or, in the absence of counsel, the adverse parties of the disbarment, suspension, or resignation and consequent disqualification to act as an attorney after the effective date of the disbarment, suspension, or resignation, and file a copy of the notice with the court, agency, or tribunal before which the litigation is pending for inclusion in the respective file or files.

The Court had routinely ordered rule 9.20 compliance for attorneys resigning *with* charges pending. Sometime in 2011, Probation began receiving Supreme Court orders requiring that attorneys who resigned *without* charges pending also comply with rule 9.20 ("W" matters). This requirement has recently become problematic as the increase in the inactive membership fee appears to have caused an increase in resignations without charges pending. In 2011 there were 299 W cases, which represented 25 percent of the total probation cases opened in that year. By 2015 the number of W cases had increased to 476, 44 percent of the total cases opened, as reflected in the table below:



The task of monitoring compliance with the Court's 9.20 orders rests with the Office of Probation. In attempting to enforce compliance, however, Probation often receives calls from family or friends informing the State Bar that the attorney is unable to comply with the order because of illness or mental incapacity. In addition, many of the resigning attorneys have never practiced law in California or are judges, commissioners, or employees of the federal or state government. The cumbersome resignation process involving ongoing Probation supervision is thus impractical and ineffective.

There will be no detrimental impact on public protection by requiring attorneys who wish to resign without charges pending to attest to pre-compliance with rule 9.20 as a condition of submitting and accepting their resignation form. In fact, public protection may be better served by the proposed process as it will require members who wish to resign without charges pending to more promptly notify clients, the courts and opposing counsel of their pending resignations, and better assure that client files and unearned fees have been returned. Moreover, requiring pre-compliance with rule 9.20 directives will eliminate the need for Probation to monitor compliance of this particular group of members thereby making staff available for more pressing matters.

Request to the Supreme Court

Supreme Court staff was kept apprised of the Bar's proposed change in procedure as it was being developed. The final proposal, including the revised Voluntary Resignation form, was presented to the Supreme Court for its review at its December, 2016, administrative conference. The Court has no objections to implementation of the new procedure.

FISCAL/PERSONNEL IMPACT

Adopting this request will have a positive impact on personnel in the Office of Probation by eliminating the need for staff to monitor compliance with rule 9.20 by members who resign without charges pending.

RULE AMENDMENTS

None.

BOARD BOOK IMPACT

None.

BOARD GOALS & OBJECTIVES

Approval of this request is consistent with the mission of the State Bar, as set forth in Section 6001.1 of the Business and Professions Code, which places protection of the public as the highest priority of the Bar and the Board of Trustees. This request also furthers Goal and Objective number 1 of the 2012-2017 Five-Year Plan to "[e]nsure a timely, fair, and appropriately resourced discipline and regulatory system."

BOARD COMMITTEE RECOMMENDATIONS

The Regulation and Discipline Committee recommends that the Board of Trustees approve the following resolution:

RESOLVED, that the Board of Trustees adopts the revised Voluntary Resignation Form as set forth in Attachment B, effective upon adoption.

ATTACHMENT(S) LIST

- A.** Current Voluntary Resignation Form
- B.** Revised Voluntary Resignation Form

APPENDIX I

MCLE Provider Meetings Comments

Comment Type	?	Comment / Question	From	Source
alternate		I would like to suggest that the State Bar consider a different approach. There are smart phone apps for conferences that work quite well to track attendees and impart information. That is what you really need. If there was a useful app that attorneys could download to get info on MCLE programs, RSVP via the app, check in and pay with the smart phone, and access speaker bios and handouts, all of your work would be done for you. MAPs like our firm would have real and digital data on our attendees. The State Bar would have access to all of that data. People would appreciate the time-saving and paper-saving technology. Take a look at the app used by the California Bankers Association to get an idea of what is possible. Find it at the App Store by searching CBA Events.	John Friedemann-Friedemann Goldberg	email
alternate		Should look for an application that attorneys can use to upload QR codes from the class, or provide a password that is provided only at the end of the course.		ACn
alternate		Member cards with a swipe like a credit card and providers have the ability to swipe.		LWn
alternate		There are programs that can help. EventBrite. Free if you aren't charging a fee. If you send a link to an EventBrite portal you can ask as many questions as you would like.		LWn
alternate		What we need is an apple/android app that uplinks to your system.		LWn
alternate		Why not go really technological and figure out way to do it that is 21st century.		LWn
bar #		We have difficulty getting attorneys to write down their bar number and when they do write it down, we frequently have difficulty reading it. This would put us and the bar in the position of having an attorney receive a certificate of attendance for a program, but, based on the current proposal, the feed wouldn't transmit the attendance for that attorney to the bar. This is likely to lead to administrative headaches on both sides as attorneys call to find out why a program isn't listed in the bar's reporting system.	Caroline Kane-Wilmerdale	email
bar #		As some other states doing online attendance tracking offer, please add the ability to look up an attorney's ID number. While we always have the attendees name and address, sometimes attendees do not include their ID number at sign-in or it is sometimes illegible. It would be a tremendous burden to obtain correct ID numbers before entering into the online system.	Edd Schillay-Network of Trial Law Firms Inc.	email
bar #		As part of the system, data verification should be implemented. The system should check that bar numbers are valid (of course a wrong bar number would report to someone else unless you do a bar number to last name check), course numbers are valid, that the completion date falls within the course approval range, and if it has already been reported.	Michael-Attorney Credits	email
bar #		There were concerns that attorneys don't provide bar numbers or provide improper numbers and it often took over 30 days to determine this. Providers can add a simple disclaimer that if an attorney fails to provide a proper bar number and credits are reported after 30 days that they pay the late fee if they want the credit. Or you can have an internal system where the attorney can call to resolve this issue.	Michael-Attorney Credits	email
bar #	Q	Attorney Middle Name included? Misidentifications?		LWn
bar #	Q	Bar Numbers that didn't translate through--resubmit individual corrected records or re-upload?		LWn
bar #		Multiple bar numbers		LWn
bar #		People write their Bar numbers wrong or illegibly.		LWn
calendar		Don't know what their events are a month out.	AIMP-Assoc of Indep Music Publishers	LWn
calendar		Make the calendar listing optional.	Edd Schillay-Network of Trial Law Firms Inc.	email
calendar	Q	Need to include bullet points, agendas, summaries, bios? Constantly adding speakers. We won't necessarily be able to keep it current.	Faith Pincus-Pincus Professional Education	LWn
calendar	Q	Never have entire catalogue ready (will need ability to keep updating) and some kind of disclaimer "This isn't the complete catalogue". Will we be given opportunity to change titles? They start advertising 4-5 months before a program.	Faith Pincus-Pincus Professional Education	LWn

APPENDIX I

calendar	One-hour lunch presentation in room at a restaurant--Likes the idea of being able to put it up on a calendar.	Jury Consulting Firm	ATTACHMENT B	LWn
calendar	Don't have a yearly catalogue. Spontaneous programs. Many issues that come up at the last minute (civil and criminal)			LWn
calendar	Educational sessions or seminars are with partners. Space is limited. Would want to make optional to put on the public calendar whether or not to publish our specific activity.			LWn
calendar	Most of the classes we teach - in house and not open to the public.			LWn
data upload	Loves the idea of uploading everything. Likes having the depository anywhere. Should effect renewal applications. Won't have to provide proof of what's been done.	Andi Barnett-private law firm LA		LWn
data upload	Prefer uniform system nationwide. Look at how other states do it.	Association Management CO		LWn
data upload	Supervises and licenses professional fiduciaries. MCLE is one of the types they can get for the 15 units per year that they have to get fiduciaries. Look through their requirements.	CA Dept. of Consumer Affairs		LWn
data upload	Q For the real-time feed option, is the bar planning to work with the major CLE software tracking companies to build such a feed? Most large firms use one of a few types of CLE software programs (e.g., viDesktop, Micron). We use viDesktop. The information the bar seeks is largely housed in those systems (to the extent firms use one).	Caroline Kane-Wilmerdale		email
data upload	For the system to work, you would need both a manual and file upload system. Manual for small providers who would go into a web based system and manually upload bar numbers and dates. Upload, where large providers could upload a single file. If you require all courses be registered, a very simple upload file is needed as very little data is needed to upload: provider number, course number, member bar number, and date. It is important that all courses could be reported with a single file, allowing multiple courses, multiple attorneys, and multiple completion dates with a single upload. There are states that require MAP's to use their automated system, but if a MAP wants to report manually, I am not sure it matters, as long as they report. All reporting would be required within 30 days of completion. A late fee of \$25 for any reporting done after 30 days would be implemented.	Michael-Attorney Credits		email
data upload	The first step to easy reporting is requiring providers to register their courses. If a provider pre-registers their course you already have all of the data on the course using just one number, a unique course number that would be generated. All providers should be required to upload the course at least one day before it occurs. Any provider who doesn't would pay a late reporting fee of \$25.	Michael-Attorney Credits		email
data upload	Not to forget credit for teaching, you need a manual way to report teaching credit and a column in the bulk file upload to handle teaching credits.	Michael-Attorney Credits		email
data upload	OR: With your current State Bar of California website – you may be able to enhance your site to include “online submission” without incurring a great deal of cost.	Pat Schol-Tyler Technologies		email
data upload	Please make it simple. Make it easy.	Rick law firm paralegal & IT mgr		LWn
data upload	I just wanted to suggest you work with Micron CE Manager and viDesktop viCLE. We currently use CE manager but are switching to viCLE. It would be great if course attendance could be automatically uploaded.	Sara Thorne-Seyfarth Shaw LLP		email
data upload	Q Will there be a deadline for uploading attendance after course is held?			ACn
data upload	Q MAPS don't get individual course numbers--how to identify?			ACn
data upload	Q Can a registry be made available with attorney Bar numbers that can use used to back fill data for attendance reporting?			ACn
data upload	Q Can you add new course info that you already reported ?			LWn
data upload	Q How will things bounce (i.e. bad Bar #, emails, etc.)?			LWn
data upload	Q What data fields would be required in order to submit your calendar?			LWn
data upload	Q Why do we need course numbers? How will MAPS enter the information?			LWn
data upload	A huge amount of data per seminar (location, # of units, etc.). Washington has a portal with each program. Click a button, go to seminar and go into a file.			LWn
data upload	Make sure template for submission of attendance data is quite clear.			LWn
data upload	Making it as simple as possible to upload is really what is needed.			LWn
data upload	Many government agencies that have firewall issues. We have special protocols with the court and law enforcement. Have to ensure that we have privacy and firewall security.			LWn
data upload	Need a mechanism for making corrections.			LWn

APPENDIX I

ATTACHMENT B LWn

data upload	We print out spreadsheets, and have sign-ins. We try to decipher who actually signed in next to their name in our database. We would love to link to your database, where we wouldn't have to enter it twice.		
fee	Don't know how to add \$.50 or \$1.00 to their attendance fees. Couldn't add it to website the way it currently works.	AIMP-Assoc of Indep Music Publishers	LWn
Q	With regards to fees, the proposal of charging providers \$1 per California-barred attendee per program is a proposal that would be onerous for large law firms. Has the bar considered offering a flat rate for providers that offer a certain number of training programs a year?	Caroline Kane-Wilmerdale	email
fee	Offer a reduced fee for courses offered without charge to attendees.	Edd Schillay-Network of Trial Law Firms Inc.	email
fee	We do keep paper and electronic records of every program attendee going back for over 10 years. It would be fairly easy to enter attorney attendee records into a website, as we do with Alabama, Texas, Illinois, Louisiana, Ohio, Pennsylvania, Tennessee, Texas, Washington, and perhaps more. A fee as you proposed of \$1 per attorney would also be reasonable, with other states charging hefty application fees (even for courses without charge) or attendance fees. For example, Georgia charges \$5 per attorney per credit.	Edd Schillay-Network of Trial Law Firms Inc.	email
fee	Many private law firms and government entities that do not charge that are primarily for in-house MCLE. Changes seem geared for those who charge.	LA City Attorney's Office	LWn
Q	The real question is does the bar just want to pay for the system and maintenance or does the bar want a new revenue stream that never ends under the guise of initially just paying for it? Would the fee be removed after it was paid for by providers? Since attorneys would be required to report self-study courses that are not reported by providers, would they pay a per credit fee too? If not, would providers have to pay a fee to report self-study credits?	Michael-Attorney Credits	email
fee	Application fees would be the easiest to implement. The current SAP fee is \$75. Perhaps raising this to \$100 - \$150 per course would be possible. While on the higher side of state fees, it is well within the norm throughout the country especially considering how many California attorneys there are and how easy it is to become a MAP. MAP fees, at \$200 for the first two years and \$300 for three years thereafter are too low. You should raise the requirement from a minimum of four courses to at least five courses and raise both the initial and renewal fee to \$500. These modest increases could easily provide a renewable stream of increased revenue and will have little effect to the bottom line of providers.	Michael-Attorney Credits	email
fee	Implementing a per credit reporting fee would probably meet more resistance and is harder to implement for many providers. Unless providers raised their prices, or added this fee to their attendees, it would have a larger impact on profits. Obviously (not to many providers at the meeting), it would be easy to implement a system where not for profits who don't charge for credits could report without a fee. True not for profits providing free CLE would be easy to document. However, to be fair, any for profit entity regardless of if they charge a fee or not (in house CLE or providing free courses as marketing) would have to pay the reporting fee. This does require a more complex system, will have more resistance, but could provide a substantial revenue stream to the bar.	Michael-Attorney Credits	email
fee	We also deal with many other States regarding CLE accreditation – some of them charge an application fee – either for a blanket CLE Accreditation; or per class; others do not. With us being accredited for California – the application fee was \$75.00. You might consider increasing the amount of your application fee to cover the cost of the “online submission” program – therefore making it feasible cost wise but not placing an additional burden on the providers; whereby, they must then continuously cut a check for the attorneys attending the program.	Pat Schol-Tyler Technologies	email
fee	We are a provider for their attorneys in their law firm. Have some attorneys in Illinois. Immediately upon attending a course they have to submit all that they've done. Each atty has to pay a couple of dollars and they have a running account that they've set up.	works for a law firm	LWn
Q	Are you going to look at either raising the flat annual fee vs. no annual fee plus per-class fee to upload?		ACn
Q	Exception for government attorneys?		LWn
Q	Paying to be on a calendar?		LWn

APPENDIX I

ATTACHMENT B

fee	In Washington we have 30 days to upload and we get penalized afterwards. We have problems with speakers. Upload excel spreadsheet with 4 columns or we do it one-by-one. \$1,500 - \$2,000 per year flat fee.		LWn
fee	Cost is a major factor.		LWn
fee	Fee per person will have the opposite effect of what you want by reducing education offerings by some.		LWn
fee	LLM Credit (enrolled in the LLM program): For attys who are seeking advanced education, the cost is going to be passed on at some point back to the students who are transitioning into careers.		LWn
fee	MCLE provider fees have not gone up in some time. Ensure that the fees are paying for the program (part of the Admissions Fund). Must evaluate.		LWn
fee	Pick a model where the lawyers pay .		LWn
fee	When costs get shifted back we may be doing more damage to the system long-term. Instead of paying I would look for self-study.		LWn
general	Q Would new process substitute for the in-person audits? Would make it easier/quicker to do an internal check with data. More providers where there is a legitimate questions about what is being put on.	Shelly Pruitt-private law firm	LWn
general	Q Have attorneys who take out-of-state courses—how to account ?		LWn
general	Q Elimination of bias credit (Civil rights nonprofit where they do policy work). Staff and attorneys - topics they want to present on - may not be legal in nature but are they allowed under expanded definition?		LWn
general	Q On-demand course that could be available 24/7. How would you record this for completion date?		LWn
general	Q On-demand courses - would this be part of it? Some kind of a match?		LWn
general	Q Paralegal requirements? Have to show their employer every 2 years that they completed the MCLE requirement.		LWn
general	Q Won't know course completion dates for online/interactive MCLE. Will they have to send us signed under MCLE?		LWn
general	One of the hallmarks of CA is the current lack of bureaucracy, every state requires more and more overlays.		ACn
general	If costs are shifted, young attorneys may opt to take more self-study classes that may be lower quality than the free live course offerings.		ACn
general	We will spend more resources tracking down errors in reporting than the existing system of responsibility of burden on attorneys self-reporting.		ACn
general	Benefit of direct reports - will have real time what classes we've offered, verify that they comply with MCLE requirements and verify that they have complied with the class.		LWn
general	Does it negatively or positively impact the workforce? Will this system free up staff and colleagues at State Bar?		LWn
general	Don't create a system where attorneys self-report their participatory credits. Without random auditing it is too easy to abuse the system. None of the states with self-reporting do audits (accept the ones that also require members mail in their certificates) and I believe there is a decent amount of cheating in the states that don't. It is too easy to get a course number and upload it without actually taking the course. With no random audits these states have no idea if there is widespread abuse of the reporting system.	Michael-Attorney Credits	email
general	Handout requirements vague (Need a handout for 1 hours. If no handout, .75?)		LWn
general	State bar is one of the simplest. Keep it simple.		LWn
handwritten	Burdensome. Handwritten names difficult to manage.	Judicial Council	LWn
handwritten	Sign in sheet paperwork goes in a binder. Period.	MAP-in-house associate training	LWn
handwritten	Class data kept in excel spreadsheet but individual attorney attendance data all by hand.	Private law firm	LWn
handwritten	For in-person live trainings, live webinar trainings (both participatory), and on-demand online trainings (self-study, but we ask them to self-verify attendance). We do not type in handwritten names, would support uploading a PDF of the scanned sheet only.	Salena Copeland-Legal Aid Assoc of CA	email

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handwritten	Our problem in inputting attendance data into a system is related to our day and one-half conference. While they sign in each day, that's no way we will know if they attended a particular breakout session. That is up to the attendee compliance. I do not keep a spreadsheet as to which ones attend family law, civil, ethics, competence or bias sections. I do keep the original signed attendance sheet, but we rely on the honesty of the attendees as to which course they attended throughout the day. Further, our lunch MCLE's are finalized the month before while our annual Spring conference is advertised 9 months in advance. Offering information on our spring conference globally would be nice.	Unknown-Placer Bar.org	email
handwritten	Print out the sign in sheets and doesn't do anything other than keeping records in binders in her office as a non-profit does.		LWn
handwritten	Would be opposed to requirement. We do not go back and enter attendee info in any spreadsheet. We provide non-profit legal services for free to legal aid attorneys . Can't cost anything.		LWn
internal note*	Q Dina's staff and George's staff meet regularly. Have contacts in larger states/ MCLE regulators because larger ones are putting on programs nationwide. Legal specialists have to take 36 hours of specialist-related training over 3 years plus regular MCLE. There are 11 legal specialization areas. Ongoing recordkeeping requirements - specialist education compliance at same time as MCLE (keep records for 4 years). CYLA - live audit program. Legal Specialist - a subject matter expert in the area will come to the program. Are we doing these audits?	LW	LWn
internal note	Q MCLE Provider Handbook - who is drafting this?	LW	LWn
internal note	Q providers@ email address - what kind of inquiries do we get?	LW	LWn
internal note	Q Who certifies Legal Specialist Providers? Who does legal specialist audits? Legal specialist audit vs. CYLA audits?	LW	LWn
internal note	Top 10 or top 20 list of MCLE providers that are problematic. They get input from other members. Large corporate providers, law firms, bar associations or law schools. How are either lists generated? Not clear how providers are selected for audit.	LW	LWn
other states	Q What are other State Bars doing to track compliance?		LWn
other states	Alabama has a manual only system of entering bar numbers one at a time on a course by course basis. It is fairly easy to manually enter bar numbers and there is a lookup function and some error checking, however, it is a bit time consuming. It doesn't record completion date and with no bulk upload option it would never work in California. However, as a manual system it isn't too bad.	Michael-Attorney Credits	email
other states	Delaware has both manual and batch functions, but the site is so hard to use because end users were never factored into design and function, it shouldn't be considered.	Michael-Attorney Credits	email
other states	Hawaii is \$5. If you are an approved provider its \$10.		LWn
other states	Illinois – State Bar of Illinois – also has online reporting of attendance – as well as providers can upload their application/documentation online and Illinois will then either approve or deny the MCLE Application. Illinois charges \$50.00 application fee – per course date – with an add'l \$.75 per attorney attending that course. This is a little cumbersome for the provider in that we are constant having to provide check requests.	Pat Schol-Tyler Technologies	email
other states	Illinois requires that all courses be registered at least one day before the course begins. Providers are only required to report how many people completed each course monthly, so this doesn't help with making sure attorneys complete their CLE. It is solely a revenue stream for the state. A fairly simple spreadsheet is used, but we find it tends to throw a number of errors and requires that we manually go into their system to fix courses with errors. Month to month the errors seem to be random. Rumor has it, the system is going to change to require that we report by individual attorney.	Michael-Attorney Credits	email
other states	Illinois website--require you to enter the courses by the day that it takes place. Renewal fees are very expensive.	Paul Hastings	LWn
other states	Nebraska has both a manual and spreadsheet upload feature. The manual system is not easy to use and the upload feature is course by course. This system should not be considered.	Michael-Attorney Credits	email

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Caroline Kane-Wilmerdale
ATTACHMENT B

email

other states	New Hampshire had a system very similar to what California is proposing up until two years ago when they changed their system entirely to one where attorneys self-determine whether programs are CLE worthy and self-report. A drastic change. We've heard through the grape-vine that the change was to be more efficient. The bar was inundated with questions/issues from providers and just found the system untenable. For a state as small as New Hampshire to make that shift is something we'd encourage the California bar to consider.		
other states	Ohio has a fairly simple spreadsheet upload system. It has some auto-calculated cells which should be removed. They have a server issue if you try and upload too many courses at once which could easily be solved. There is a feedback email that tells you about success and failure, but you have to read it very carefully to figure out what it says and then go back and resubmit if there was a problem. Not too bad, but with a few changes could work nicely.	Michael-Attorney Credits	email
other states	Pennsylvania has an easy upload file system but it requires two specially formatted files. Since using spreadsheets is much easier and can easily be created by anyone, using a system like PA should be ruled out only because of the file format complexity.	Michael-Attorney Credits	email
other states	Pennsylvania has one system that has a base system that is used by 6 others.		LWn
other states	Rhode Island , don't get me started with Rhode Island. Do not under any circumstances copy RI.	Michael-Attorney Credits	email
other states	Tennessee – State Bar of Tennessee – also has online reporting of attendance – as well as providers can upload their application/documentation online and Tennessee will then either approve or deny the MCLE Application. Tennessee does not charge anything regarding the application – nor the reporting of attendance online. I assume this is just an added area within their State Bar website – so no need for additional compensation by either the provider or the attorney.	Pat Schol-Tyler Technologies	email
other states	Tennessee has a batch upload function using a spreadsheet. The spreadsheet could be simplified along with the website. There is a feedback email, but it comes a couple days later.	Michael-Attorney Credits	email
other states	Texas – State Bar of Texas has online reporting of attendance and it is very simple to use: Their website allows the providers to login/select the course they need to report attendance for/put in the attorney bar number – it then is programmed to show the names for the bar numbers entered – we as a provider confirm that is the correct name – save the info within the web site and those attorneys are then accredited their 1 hour CLE Credit. The providers have access to the reporting site; also the attorneys have access to the reporting site – so either the provider or the attorney can report their credit to the State Bar electronically. There is no charge to the provider. In my opinion – Texas is one of the easiest and most user friendly in order to submit our application for CLE Accreditation online – as well as report attendance online.	Pat Schol-Tyler Technologies	email
other states	Texas cost to put in the manual members ID is \$.35. CA Dept. of Insurance charges more to apply for a course.		LWn
other states	West Virginia requires a course by course upload file so this system won't work either. It does have a nice error check that tells you which line of your spreadsheet has an error and forces you to fix it and try again.	Michael-Attorney Credits	email
other states	X Other states: There are numerous states where all we do is send the state a spreadsheet. Either they manually upload the names or they have an automated system only available to bar employees. You don't want to do this. There are also states where we have to mail in paper reports, don't do this either. The main problem is that many of these systems were not designed using any thought about the user or UI. Most appear to have been created by programmers who were given a spec sheet without any regard for layout, function or usability.	Michael-Attorney Credits	email
payment	Include the ability to pay the fees online, including paying by American Express (most providers use American Express as their business card.)	Edd Schillay-Network of Trial Law Firms Inc.	email
payment	Q How often would we be billing for uploads? Annually, quarterly?		ACn
payment	Q How would invoicing work for charging - \$.50/\$1.00 per attendee?		LWn
responsibility	Agree with others that the burden of reporting and compliance should fall on the attorney, much like the system that exists in Arizona, Colorado, Florida, Illinois, Minnesota, New York, New Jersey and others. We have the responsibility to keep our records, but the individual attorney, as it's his/her license that needs to be maintained, should be responsible for keeping and reporting their MCLE records.	Edd Schillay-Network of Trial Law Firms Inc.	email

responsibility	Shifting of responsibility. Up to now attorneys were responsible for own reporting. They still have to do self-study probably. Some go to other states for seminars.	Government entity in LA	LWn
responsibility	Doesn't want to be responsible for information getting reported correctly.	Insurance Company	LWn
responsibility	Q Are we including verification of audio/video classes? Not going to be able to do Self-Study reporting		LWn
responsibility	Q How will we certify the hours attended and that course was a certain timeframe? Members have to take responsibility.		LWn
responsibility	Q Need guideline from the Bar - do we give them a certificate if they sat on their laptops the entire time?		LWn
responsibility	Affirm that they are claiming the credit. Attesting that they did attend the full program.		LWn
responsibility	Keep responsibility - need to be responsible for it.		LWn
responsibility	Sign-in list sent as PDF and to the Bar? When you are doing the audit - doesn't put pressure on the provider. Responsibility shift from the individual representing to the Bar that they are completing all of their MCLEs.		LWn
responsibility	Why is that the providers' responsibility? Don't have a way to add \$.50/\$1.00.		LWn
timeline	Q What is the timeframe for implementation?	LA City Attorney's Office	LWn
timeline	Q When do you anticipate going live?		LWn
timeline	Q Will you have deadlines for reporting?		LWn
X	What To Do: 1) A simple system to manually enter bar numbers on a course by course basis with error checking and immediate feedback. Several states actually populate the member name when you enter a bar number before you can submit. Remember UI design is important. 2) A bulk upload feature that allows multiple courses to be submitted with one upload that includes the bar number, course id, and course completion date. It should have immediate feedback and error checking so any errors can be handled before the file can be uploaded. 3) Require providers to submit new courses a minimum of one day before the course or pay a penalty. 4) Require providers to report completions within 30 days or pay a penalty. IL is nice because you actually have to report before the end of the next month. So for example any courses completed in July have to be reported before the end of August. 5) Really consider UI and ease of use when developing the system. Work with a UI specialist and don't let the programmers do the graphics or layout. 6) Allow/require members to login and check their credits. 7) Most importantly, work with a few select providers to provide feedback along the way. 8) Pie in the sky - California has the lowest requirement of CLE for states that require CLE besides Hawaii. When you consider that self-study is being abused, changing the requirement to 25 participatory credits would have the effect you are looking for. With providers required to report all of an attorney's credits it would be easy to determine those who didn't complete their requirement. Attorneys wouldn't have to self-report making the system easier, and audits would be a thing of the past.	Michael-Attorney Credits	email

** Internal notes not fom providers attending*

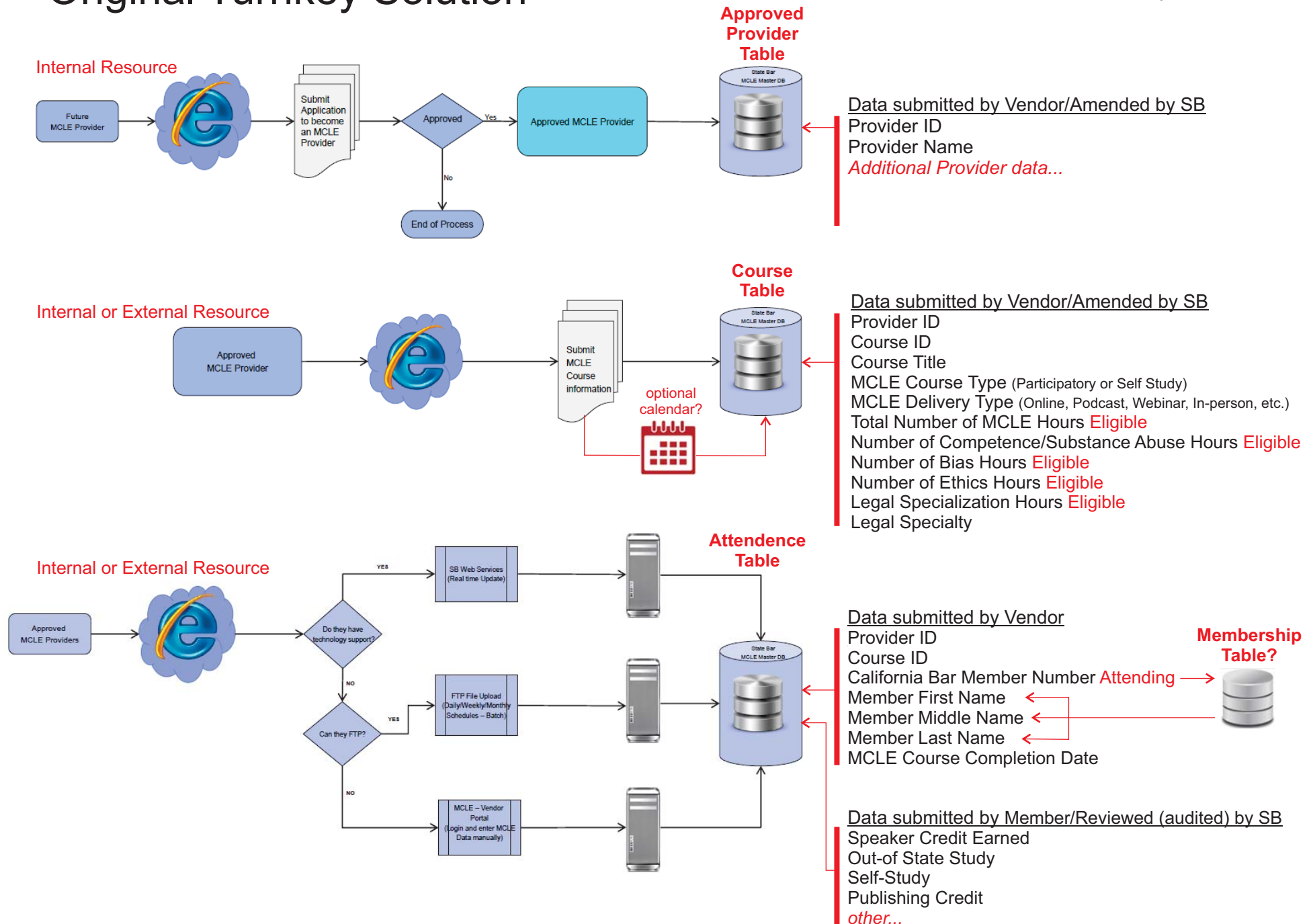
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State	CLE Entity	CLE Area	Survey email Target Address	CLE Phone	Unified / Voluntary Bar	Licensed Attorneys
Alabama	Alabama State Bar		cle@alabar.org	(334)269-1515	unified	17,599
Alaska	Alaska Bar Association		ingrid@alaskabar.org	(907)272-7469	unified	4,254
Arizona	State Bar Of Arizona		carolyn.DeLooper@staff.azbar.org	(602)340-7237	unified	23,485
Arkansas	Arkansas Supreme Court	Office of Professional Programs	dana.rowlett@arkansas.gov	(501)374-1855	voluntary	8,734
California	The State Bar Of California	Office of Certification	dina.diloreto@calbar.ca.gov	(415)538-2121	unified	254,455
Colorado	Colorado Supreme Court	Board of Continuing Legal & Judicial Education	cleinfo@csc.state.co.us	(303)928-7771	voluntary	38,523
Connecticut	<i>no mandatory CLE</i>				voluntary	38,500
Delaware	Commission on Continuing Legal Education of the Supreme Court of Delaware		margot.millar@state.de.us	(302)651-3941	voluntary	4,206
Florida	The Florida Bar		jmalloy@floridabar.org	(850)561-3180	unified	98,595
Georgia	State Bar Of Georgia	MCLE Program	cle@gabar.org	(404)527-8710	unified	46,229
Hawaii	Hawaii State Board of Continuing Legal Education		No Email	(808)537-1868	unified	7,765
Idaho	Idaho State Bar & Idaho Law Foundation, Inc.		astrause@isb.state.id.us	(208)334-4500	unified	6,031
Illinois	MCLE Board of the Supreme Court of Illinois		mcle@mcleboard.org	(312)924-2420	voluntary	96,250
Indiana	Indiana Supreme Court	Indiana Commission for CLE	No Email	(317)232-1943	voluntary	18,124
Iowa	Iowa Office of Professional Regulation	Commission on CLE	paul.wieckii@iowacourts.gov	(515)725-8029	voluntary	16,524
Kansas	Kansas Continuing Legal Education Commission		shelley.sutton@kscle.org	(785)357-6510	voluntary	14,119
Kentucky	Kentucky Bar Association		mcutter@kybar.org	(502)564-3795	unified	17,922
Louisiana	LA Supreme Court Committee on MCLE		kittyh@lascmcle.org	(800)518-1518	unified	22,000
Maine	Maine Board of Overseers of the Bar		sadams@mebaroverseers.org	(207)623-1121	voluntary	5,239
Maryland	<i>no mandatory CLE</i>				voluntary	37,266
Massachusetts	<i>no mandatory CLE</i>				voluntary	70,072
Michigan	<i>no mandatory CLE</i>				unified	44,400
Minnesota	Minnesota State Board of CLE		ivanderbeek@mbcle.state.mn.edu	(651)297-7100	voluntary	28,700
Mississippi	Mississippi Commission on Continuing Legal Education		tgraves@courts.ms.gov	(601)576-4622	unified	11,135
Missouri	The Missouri Bar		cianku@mobar.org	(573)635-4128	unified	30,393
Montana	Montana Commission of CLE		kpowers@montanabar.org	(406)442-7660	unified	3,823
Nebraska	Nebraska MCLE Commission		nsc.mcle@nebraska.gov	(402)471-3137	unified	9,651
Nevada	Nevada Board of CLE		laura@nvcleboard.org	(775)329-4443	unified	11,668
New Hampshire	New Hampshire Bar Association		nhmcle@nhbar.org	(603)715-3222	unified	6,700
New Jersey	New Jersey Board of Attorney Certification CLE		sctcle.mailbox@judiciary.state.nj.us	(609)984-3077	voluntary	95,807
New Mexico	New Mexico MCLE		mcle@nmmcle.org	(505)821-1980	unified	8,800
New York	New York State Unified Court System		cle@courts.state.ny.us	(877)NYS-4CLE	voluntary	297,570
North Carolina	The North Carolina State Bar		dholland@ncbar.gov	(919)733-0123 X245	unified	35,202
North Dakota	North Dakota CLE Commission		jeannie@sband.org	(701)255-1404	unified	2,700

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Ohio	The Supreme Court of Ohio	Commission on Continuing Legal Education	susan.christoff@sc.ohio.gov	(614)387-9327	voluntary 63,918
Oklahoma	Oklahoma Bar Association		beverlyp@okbar.org	(405)416-7009	unified 17,607
Oregon	Oregon State Bar		dcline@osbar.org	(503)620-0222	unified 20,863
Pennsylvania	PA Continuing Legal Education Board	Pennsylvania Judicial Center	pacleb@pacle.org	(800)497-2253	voluntary 74,966
Rhode Island	Rhode Island Supreme Court MCLE Commission		mcleinfo@courts.ri.gov	(401)222-4942	unified 6,488
South Carolina	The Supreme Court of South Carolina	Commission on CLE and Specializat	commcle@bellsouth.net	(803)799-5578	unified 15,505
South Dakota	<i>no mandatory CLE</i>				unified 3,199
Tennessee	Tennessee Commission on Continuing Legal Education	TN Commission on Continuing Legal Education	info@cletn.com	(615)741-3096	voluntary 26,436
Texas	State Bar of Texas		nsmith@texasbar.com	(800)204-2222x1806	unified 112,270
Utah	Utah Supreme Court Board of Continuing Legal Education	Utah Law & Justice Center	skuhre@utahbar.org	(801)297-7035	unified 11,838
Vermont	Vermont Judiciary	Board of Bar Examiners, Character & Fitness (MCLE)	martha.hicks-robinson@state.vt.us	(802)828-3281	voluntary 3,450
Virginia	Virginia State Bar		mcle@vsb.org	(804)775-0577	unified 44,941
Washington	Washington State Bar Association		renatag@wsba.org	(206)733-5912	unified 35,975
Washington DC	<i>no mandatory CLE</i>				unified 100,000
West Virginia	The West Virginia State Bar		greshamh@wvbar.org	(304) 553-7238	unified 9,712
Wisconsin	Wisconsin Court System		bbe@wicourts.gov	(608)266-9760	unified 25,112
Wyoming	Wyoming State Bar		mellis@wyomingbar.org	(307)632-9061x10	unified 3,658

Original Turnkey Solution



Post MCLE-Provider Sessions Rescaling

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ATTACHMENT B

Internal Resource

Approved
Provider
Table



Information submitted by Vendor (existing manual process)

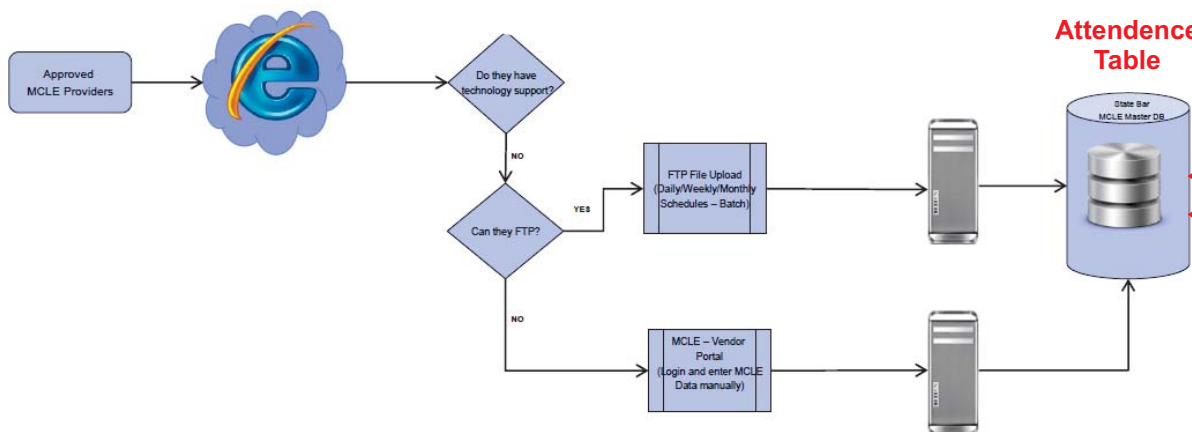
Data entered by SB

Provider ID

Provider Name

Additional Provider data...

Internal Resource



Attendance
Table



Data submitted by Vendor

Provider ID

Course ID

Course Title

MCLE Course Type (Participatory or Self Study)

MCLE Delivery Type (Online, Podcast, Webinar, In-person, etc.)

Total Number of MCLE Hours Earned

Number of Competence/Substance Abuse Hours Earned

Number of Bias Hours Earned

Number of Ethics Hours Earned

Legal Specialization Hours Earned

Legal Specialty

California Bar Member Number

Member First Name

Member Middle Name

Member Last Name

MCLE Course Completion Date

Membership
Table?



Data submitted by Member/Reviewed (audited) by SB

Speaker Credit Earned

Out-of State Study

Self-Study

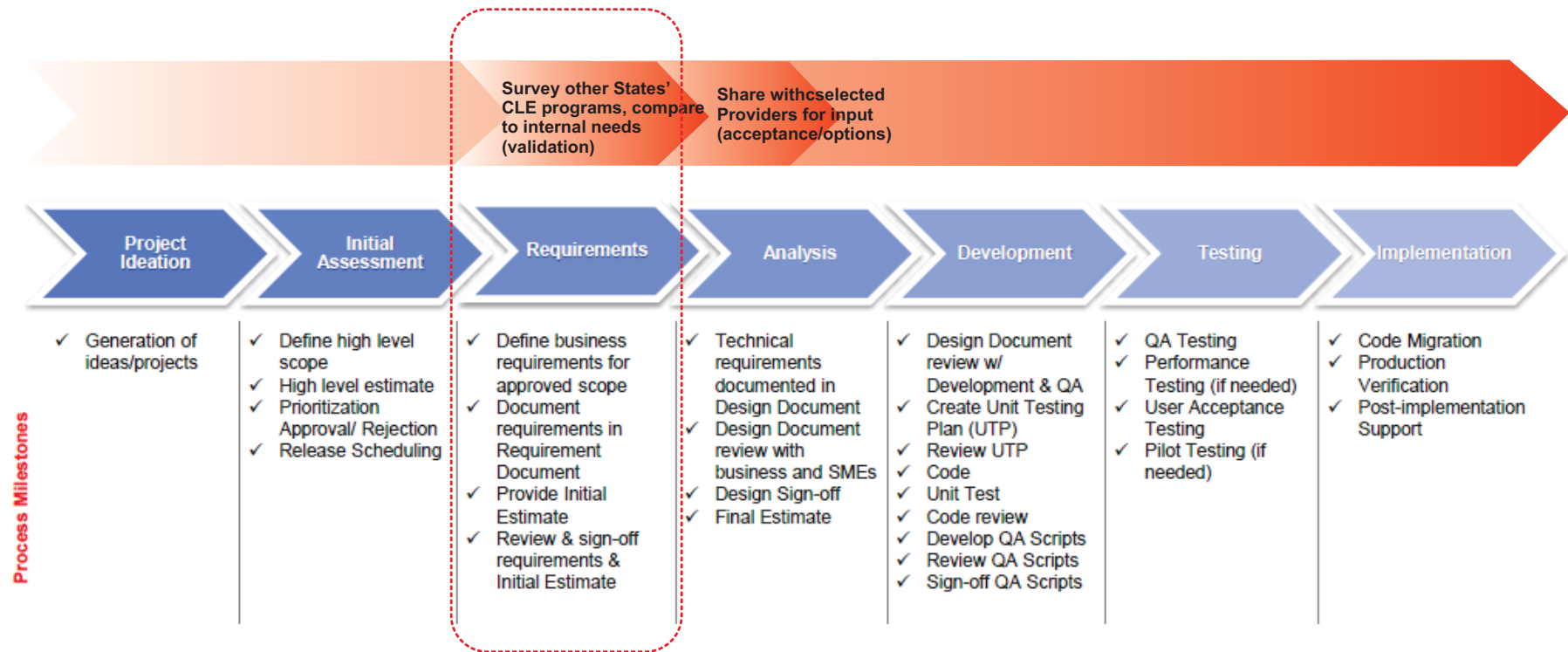
Publishing Credit

other...

Parallel Development Paths

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The State Bar of California

MCLE Provider Survey - States

INSTRUCTIONS: The State Bar of California is developing a system to automate its Continuing Legal Education reporting and auditing process. We are seeking your input based on your current practices in this program area. If there are others within your agency that are better equipped to complete this survey, please forward to their attention. We hope to be able to compile the responses together for each state that currently has a CLE requirement for their member attorneys. We thank you for your participation.

State Name: *

Does your organization regulate Continuing Legal Education (CLE) for attorneys in your state? *

☐ Yes

☐ No

What is the length of each compliance period, in years?

What is the number of unit hours required for each CLE compliance period?

Is there limit to the number of non-participatory hours allowed?

☐ Yes, there is a limit that is less than the total hours required

☐ No, there is no maximum limit

☐ Do not allow non-participatory self-study at all

What is the maximum number of hours that can be non-participatory?

Do you allow online study to satisfy educational requirements?

☐ Yes, online study allowed

☐ No, online study not allowed

Which type of online study do you use?

☐ Online with attendance check (participatory)

☐ Online without attendance check (non-participatory)

How do you bill providers for on-demand courses?

Are there specific categories of study that have minimum hour requirements for each reporting period?

☐ Yes, there are certain course topics that must be taken

☐ No, hours can be satisfied by any approved course topic

What are the required course topics?

- ☐ Legal Ethics
- ☐ Competence (Prevention, Detection & Treatment of Substance Abuse/Mental Illness)
- ☐ Recognition and Elimination of Bias in the Legal Profession/Society
- ☐ Professionalism
- ☐ Initial Admissions
- ☐ Marketing/Software Training
- ☐ Other

What topics are included in courses for professionalism?

Does your agency accredit CLE sponsors (providers) for your state?

- ☐ Yes, CLE providers must be accredited and registered by our agency.
- ☐ No, CLE providers need not be accredited in our state.
- ☐ Other

Do you require your providers to have each course approved individually?

- ☐ Yes, each course must be approved before it is offered (Single Activity Provider/SAP)
- ☐ No, if sponsor is approved as an accredited sponsor (Multiple Activity Provider/MAP)
- ☐ Other

Do you require your single-course providers to have each course approved individually?

- ☐ Yes, each course must be approved each time it is offered
- ☐ No, each course must be approved individually only the first time it is offered

How many Single Activity Providers (SAP) are currently approved and active in your program?

What is the total dollar fee to be approved to offer a single one-time course (SAP)?

What is the total dollar fee to be approved to offer a single course, multiple times (SAP)?

How many years does this single course fee cover?

What are the requirements to be accredited as a sponsor to offer multiple courses without individual approval in advance?

How many sponsors (Multiple Activity Providers/MAP) are currently accredited and active in your program?

What is the total dollar fee to be an accredited sponsor (MAP)?

How many years does this initial registration fee cover?

What is the fee to renew a sponsor/MAP accreditation?

How is the revenue received from this regulation used?

- ☐ Restricted
☐ Any purpose

How is attorney compliance tracked? *

- ☐ Attorney mails in transcript or course attendance as it is taken
☐ Attorney mails in transcript annually or once per compliance period
☐ Attorney attests to completion under penalty of perjury
☐ Attorney enters course online in regulator's system
☐ Course sponsor/provider sends in the course attendance, and the attorney verifies
☐ Other

Indicate methods employed for CLE Provider reporting:

- ☐ Full web services vendor portal
☐ FTP flat file upload
☐ Manual attendance entry
☐ Other

Does your current system employ any of the following (select all that apply):

- ☐ QR codes used for scanning attendance
☐ Numerical attendance codes for confirmation
☐ Cellular application to provide confirmation
☐ Other bio-metric identification system
☐ Other

Was the web services interface developed by:

- ☐ In-house by your agency
☐ External vendor development effort

Does your system currently receive a real time data feed from your MCLE providers?

- ☐ Yes, receive data real time
☐ No, receive data automatically, but periodically in batches
☐ No, do not receive real time data
☐ Other

Where there any significant problems during implementation of this web portal solution, or things you would have approached differently that you would like to share?

Where there any significant problems during implementation of this flat file upload solution, or things you would have approached differently that you would like to share?

Where there any significant problems during implementation of this manual entry solution, or things you would have approached differently that you would like to share?

Was system for CLE Provider reporting:

- ☐ Developed in-house by agency
☐ Licensed from another agency-development
☐ Custom developed by outside commercial entity
☐ Licensed and configured from existing commercial (COTS) package
☐ Other

Approximately how many months did this internal development effort take?

What was the total cost of this internal development?

From which other agency did you license this software?

What is the annual licensing cost for using this agency's software?

Who completed your custom development?

Approximately how many months did this custom development effort take?

What was the total cost of this custom development effort?

Who did you purchase your Commercial-Off-the-Shelf (COTS) package from?

Approximately how many months did this implementation effort take?

What was the first year's implementation cost to configure COTS system for use?

What is the current annual licensing cost for installed system?

Do you charge your providers for reporting CLE attendance?

- ☐ Yes
☐ No

How are the CLE Providers charged?

- ☐ Individual fee based on individual attorney attendance reported
☐ Single fee based on each flat-file upload list
☐ Single fee based on each course title
☐ Other fee

What is the fee charged per attendee, per event?

What is the fee charged for each file upload?

What is the fee charged per each course title?

What is the fee for item listed as other above?

What special system features are provided?

- ☐ Calendaring feature for scheduling and promotion
- ☐ Look-up feature to validate attorney member ID
- ☐ Look-up feature to populate class information
- ☐ Error-correction tools
- ☐ Other

What error-correction processes apply when uploading flat-file attendance information:

- ☐ Entire upload fails if file one bad record
- ☐ Partial upload successful with bad record excluded
- ☐ Other

How many months has current system/process been in production?

What system/process was used prior to current system?

Why did you make this change?

How does you agency handle course reporting offered by online providers approved only in other states?

Do you offer credits for any of the following:

- ☐ Online/Self-study coursework
- ☐ Pro-Bono activities
- ☐ Jury Duty service
- ☐ Teaching CLE
- ☐ Publishing legal article
- ☐ Attending law school
- ☐ Other

If yes to any alternate credits above, do you employ any methods to verify?

- ☐ Yes, verify all claimed
- ☐ Yes, verify some
- ☐ No, do not verify
- ☐ Other

Do you provide a feature to allow members to request a credit for additional, undefined categories?

- ☐ Yes
- ☐ No

Can you summarize this special credit request process?

Have you significantly changed your CLE compliance process within the past two years?? *

☐ Yes

☐ No

Do you feel changes to your reporting and auditing systems have improved the process of legal regulation in your state?

☐ Yes

☐ No

☐ Other

Are there any thoughts you care to share on the topic of the regulation of Continuing Legal Education for attorneys?

Does your agency regulate any of the following, or operate a certification process for (check all that apply): *

☐ Pro Hac Vice

☐ Foreign Legal Consultants

☐ Multi-Jurisdiction Practice

☐ Practical Training Law Students

☐ Law School Regulation

☐ Law Corporations

☐ Limited Liability Partners

If your state regulates any areas checked above, but outside your area of expertise, could you please offer any contact information we can use for additional research purposes?

Would you be willing to talk with us further regarding CLE, or contacted during our implementation process with a few follow-up questions? *

☐ Yes, you may contact me via telephone

☐ Yes, you may contact me via email

☐ No, thank you

You may contact me at the phone number below:

You may contact me at the email address below:

***If you would like to keep a copy of this survey, press "Ctrl P" before submitting the survey.

APPENDIX J

INSTRUCTIONS FOR COMPLETING COMPLAINT HISTORY

- 1) Ensure authorization from the member.
- 2) Go to AS400 "Member Master Index Display" for the member.
- 3) From the Investigations screen (if there is one), print the "Office of Investigation Discipline Report" by using F5 and entering twice.
- 4) Go to the Inquiries screen for the member.
- 5) Open the macro for "Complaint History" and enter the recipient's name/address. (Note there is a choice for an entity request v. individual request.)
- 6) Using the Investigation Discipline Report and the list of Inquiries, enter in the columns for "File Number," "Complainant," "Allegations," and "Disposition."
 - a. **Date Rec'd:** From the "Inquiries" screen, enter the "First Contact" date in the "Date Rec'd" column of the Complaint History. Note that when an Inquiry is forwarded for investigation, a new "Opened" date is shown on the investigation screen. You want to list the original receipt date in the complaint history.
 - b. **File Number:** The Investigation cases have "O" in the middle of the number, meaning "original jurisdiction," but Inquiries do not. For instance, the case may have started as Inq. # 09-21724 but when it was sent for investigation, it became 09-O-17811. If the complaint was received in December but it was forwarded for investigation in January, the investigation number will have a different year.
 - i. Other case numbers: There are other case numbers which use other letter designations in the case number instead of "O" and some of these originate at the Trial Counsel stage rather than in the Investigation stage. They will still show up on the Office of Investigations Discipline Report but can only be accessed through the Trial Counsel screen.
 - c. **Complainant:** Enter the name of the Complaining Witness (CW). Note that SBI means "State Bar Initiated."
 - d. **Disposition:** A drop-down menu for dispositions gives you five choices, but you may need to customize the disposition.
 - i. Intake straight closing - Closed due to insufficient facts - no contact with attorney.
 - ii. Intake worker or Investigation - Closed due to insufficient evidence after contact with attorney.
 - iii. Intake worker or Investigation - Closed with finding of a violation but not warranting prosecution. Warning letter issued.
 - iv. Fee arbitration referral - Closed with referral to fee arbitration
 - v. Intake "COM" closing - Closed with letter to member to re-establish communication.
 - vi. Intake "ROF" closing - Closed with letter to member to make client file available.
 - e. **Opened in Error:** If the disposition code is "ERR" or opened in error, then do not include this case on the complaint history.

- f. **Resulted in discipline:** If the case resulted in discipline, the disposition code will be "DSC" and the specific discipline imposed is listed in the Supplemental Records information.

7) **Reportable Actions:** We do not include Reportable Actions in a complaint history unless specifically requested.

Date Rec'd	File Number	Complainant	Allegations	Disposition
				Closed due to insufficient facts - no contact with attorney
				Closed due to insufficient evidence after contact with attorney
				Closed with finding of a violation but not warranting prosecution. Warning letter issued
				Closed with referral to fee arbitration
				Closed with letter to member to re-establish communication
				Closed with letter to member to make client file available



THE STATE BAR OF CALIFORNIA

180 HOWARD STREET, SAN FRANCISCO, CALIFORNIA 94105-1617

APPENDIX J
ATTACHMENT B

MEMBER RECORDS & COMPLIANCE

TELEPHONE: 888-800-3400

SAMPLE

CERTIFICATE OF STANDING

(With Complaint Check Attached)

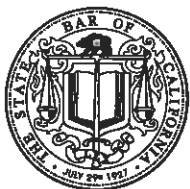
December 23, 2016

TO WHOM IT MAY CONCERN:

This is to certify that according to the records of the State Bar, MEMBER'S FULL NAME, #000000 was admitted to the practice of law in this state by the Supreme Court of California on November 30, 1993; and has been since that date, and is at date hereof, an ACTIVE member of the State Bar of California; and that no recommendation for discipline for professional or other misconduct has ever been made by the Board of Trustees or a Disciplinary Board to the Supreme Court of the State of California.

THE STATE BAR OF CALIFORNIA

Louise Turner
Custodian of Membership Records



THE STATE BAR OF CALIFORNIA

180 HOWARD STREET, SAN FRANCISCO, CALIFORNIA 94105-1617

APPENDIX J

ATTACHMENT B

MEMBER RECORDS & COMPLIANCE

TELEPHONE: 888-800-3400

SAMPLE

December 23, 2016

RE: Confidential Complaint History
Member: MEMBER'S FULL NAME, State Bar # 000000

Please find listed below the confidential complaint history of the above referenced member, released with their authorization as an attachment to a certificate of standing.

Date Rec'd	File Number	Complainant	Allegations	Disposition
05/05/03	Case #: 03-O-02376	(COMPLAINING WITNESS' NAME)	Failure to Perform, Delay, Abandon. Lack of/failure to Communicate. Commingling. Conversion or Misappropriation. Failure to Account, Deposit. Commission of Crime/Moral Turpitude.	Closed
01/06/94	Inquiry #: 94-10686	(COMPLAINING WITNESS' NAME)	Appearing/Performing w/o Auth. Misrepresentation to Court.	Closed
03/20/14	Inquiry #: 14-15261	(COMPLAINING WITNESS' NAME)	Lack of/Failure to Communicate.	Closed

Please note that where an Inquiry is closed due to insufficient facts or evidence, it is likely that the attorney was not made aware of the matter. When a complaint does not rise to a disciplinable offense, for factual and/or legal reasons, the complaint is closed without informing the attorney or requesting an explanation.

We are unable to provide copies of the actual complaint(s) as such communications to the State Bar of California are privileged pursuant to California Business and Professions Code, section 6094(a).

THE STATE BAR OF CALIFORNIA

Louise Turner
Custodian of Membership Records

APPENDIX K

AGENDA ITEM

705 DECEMBER 2016

DATE: December 7, 2016

TO: Members, Board of Trustees

FROM: Suzanne Grandt, Attorney, Office of the General Counsel
Dag MacLeod, Director, Office of Research and Institutional Accountability

SUBJECT: Closed Inquiries

EXECUTIVE SUMMARY

The Workforce Planning Report (Report) delivered to the State Bar in May, 2016, included recommendations related to the handling of Complaint Check Certificates of Standing.¹ Specifically, the Report recommended that Member Records and Compliance (MRC) discontinue the practice of sending requests for Complaint Checks to the Office of the Chief Trial Counsel (OCTC) and, instead, assume full responsibility for processing these documents.

Related to this recommendation, the Report also noted the confusion that has been created when a licensed attorney requests a Complaint Check and learns, for the first time, about allegations of misconduct that never proceeded beyond the Intake phase of case processing. Evaluations of these allegations of misconduct are defined by State Bar Rules as “inquiries.” The Report recommends the implementation of a policy to notify attorneys of inquiries that are closed in Intake and to purge these records from OCTC files. However, these recommendations raise a prior question: when does an allegation of misconduct have sufficient merit to warrant inclusion in a Complaint Check?

The Office of the General Counsel (OGC) has evaluated the question regarding attorney notification of closed inquiries, as well as what information should properly be included in Complaint Checks. The Committee on Regulation and Discipline brings this topic to the Board for discussion.

¹ Under current State Bar policy, all members of the State Bar may request a list of “confidential complaint information that may have been filed against [that person].” See State Bar Website at <http://www.calbar.ca.gov/Attorneys/MemberServices/CertificateofStanding.aspx#4>. This document is referred to as a “Complaint Check.” The State Bar’s website also refers to this document as a “grievance” or “discipline history” letter. Currently, the Complaint Check indicates when an initial report of misconduct was received, the file number, the name of the complainant, a brief statement of the allegation, and the disposition.

WORKFORCE PLANNING OBSERVATIONS AND RECOMMENDATIONS

In the Workforce Planning Report (Report) delivered to the Legislature in May, 2016, the National Center for State Courts (NCSC) noted a number of challenges related to the processing of Complaint Check Certificates of Standing. Previously, staff in Member Records and Compliance (MRC) received requests for these documents and initiated the response, processing the Certificate of Standing, which includes the following basic information: the member's full name, bar number, date of admission, name or status changes, administrative actions, reportable actions and *public* disciplinary history. MRC staff, however, lacked access to the data needed to produce the Complaint Check which includes confidential complaint information that may have been filed against a member of the bar. Instead, that data was previously accessible only to staff in the Office of the Chief Trial Counsel (OCTC). As a result, MRC staff would process the Certificate of Standing and then send the remaining portion – the Complaint Check – to OCTC staff in Los Angeles to be completed.

With the intent of streamlining this process, the NCSC recommended that MRC staff be given access to the systems that OCTC uses when it produces the Complaint Checks and be trained to read the data in the system so that Complaint Check Certificates of Standing could be processed entirely by MRC staff. While this recommendation has now been fully implemented, a related issue identified by NCSC remains outstanding.

Prior to about four years ago, Complaint Checks did not include information related to allegations of misconduct that had insufficient merit to proceed beyond the Intake phase in OCTC. While such filings are submitted on a "Complaint Form" and are colloquially referred to as "complaints," technically they are considered *inquiries*, not complaints. State Bar Rules define a Complaint as "a communication alleging misconduct by a State Bar member **sufficient to warrant an [I]nvestigation**² that may result in discipline of the member if the allegations are proved." Allegations of misconduct that are closed at intake are, by definition, insufficient to warrant an investigation.

For reasons that are not well documented, about four years ago, State Bar staff were directed to include *inquiries* in the information provided in Complaint Checks. This practice has proven problematic. Attorneys who request Complaint Checks may be entirely unaware that inquiries were submitted to OCTC, because the inquiry was closed prior to any investigation being undertaken by OCTC; in some instances they have stated under oath that they have not been the subject of any misconduct complaints based on their lack of knowledge of the more precise, technical definition of "complaint." Moreover, MRC's disclosure of this information may be in violation of State Bar Rules and Business and Professions Code sections mandating the confidentiality of non-public investigatory information.

In response to the first concern regarding attorney's lack of knowledge of inquiries, and the overall need for clearer guidelines in this area, the NCSC recommended that a policy be implemented to notify attorneys of inquiries closed at intake and that a rule be promulgated outlining timelines for purging such information from OCTC records.

²

An Investigation is defined as "the process of obtaining, evaluating, and reviewing evidence and information." State Bar Rule 5.4(33).

DISCUSSION

Staff at the State Bar believe that the recommendation regarding notification to attorneys of inquiries that are closed in Intake is problematic. As an initial matter, this policy raises significant confidentiality concerns relating to communications between complainants and the State Bar. Business and Professions Code section 6094 states that “communications to the disciplinary agency relating to lawyer misconduct or disability or competence, or any communication related to an investigation or proceeding and testimony given in the proceeding are privileged.” Although State Bar rules permit OCTC, in its discretion, to notify attorneys they have received an allegation of misconduct against him or her, this is presumably in order to obtain information to determine whether to move forward with an investigation. Disclosure for any other reason by any other part of the State Bar serves no public protection purpose, and is arguably not permissible under State Bar Rules and Business and Professions Code section 6094. Moreover, this type of notification to the subject member may create a disincentive to individuals from filing grievances, since they may fear the risk of a potential libel, or other civil action against them.

In Chronicle Pub. Co. v. Superior Court (1960) 54 Cal.2d 548, the California Supreme Court stated “The State Bar will accept a complaint from any member of the public who feels, whether rightly or wrongly, that he has been aggrieved by the action of the attorney, or feels interested in complaining about an attorney, no matter how informally made the complaint may be.... These complaints are confidential unless they result in disciplinary action taken against the attorney. Many such complaints found to be unfounded are never brought to the attention of the attorney involved. ***This procedure acts as a safety valve for the public. It thereby is made to feel that the law profession is not a closed body which protects its members no matter how unfaithful to their trusts any might be, and which would punish a member of the public who makes an unfounded charge by disclosure of his name and his charge.*** . . .” Id., at 567-568 (emphasis added).

Even setting aside these confidentiality issues, in 2016, on average, almost 900 inquiries were closed in Intake each month. Notification to each respondent attorney would create a huge burden on OCTC staff with no clear benefit to public protection. Moreover, OCTC and/or MRC may become inundated with calls, e-mails or other forms of communication from members demanding to know additional information regarding the closed matters.

Instead, staff recommends that the State Bar modify its current practice and cease including inquiries closed in Intake in Complaint Checks. The Board is asked to discuss this recommendation, as well as the following:

- Although it does not appear that the Board was consulted when the decision was made to begin including inquiries closed in Intake in Complaint Checks, is it appropriate to ask the Board to decide whether to reverse or continue with the current practice?;
- Should the Bar evaluate its policies for record destruction and develop a policy for purging inquiries that are closed in Intake after a certain time period (ex. after 5-10 years)?
 - The State Bar Record Retention Schedule mandates permanent retention of “Discipline Case Files.” Under the heading of “Discipline Case Files” there are a number of specific items including “non-disciplinary action (Incl. Investigation).”

See State Bar of California Record Retention Schedule, Rev. 9/1/16. Not included in the list of items are inquiries. However, arguably the term “non-disciplinary action” could be interpreted to encompass records of grievances.

- 28 state bars have rules regarding the expungement or destruction of records relating to closed or dismissed complaints or grievances from anywhere from one to ten years.

FISCAL/PERSONNEL IMPACT

None.

RULE AMENDMENTS

None

BOARD BOOK IMPACT

None.

BOARD GOALS & OBJECTIVES

Finalization of the policy on including allegations of misconduct that are closed in Intake will clarify the work of Bar staff and contribute to the completion of implementing Workforce Planning recommendations.

APPENDIX L

REDACTED
SUPREME COURT EMAIL
NOTIFICATION

From: Notify@jud.ca.gov
Sent: Tuesday, December 20, 2016 8:58 AM
To:
Subject: Supreme Court of California Case Notification for: S237855

, the following transaction has occurred in:

KONG ON DISCIPLINE
Case: S237855, Supreme Court of California

Date (YYYY-MM-DD): 2016-12-20
Event Description: Recommended discipline imposed: disbarred

For more information on this case, go to:

http://appellatecases.courtinfo.ca.gov/search/case/disposition.cfm?dist=0&doc_id=2161743&doc_no=S237855

For opinions, go to:

<http://www.courts.ca.gov/opinions-slip.htm>

Do not reply to this e-mail. Messages sent to this e-mail address will not be processed.

REDACTED
STATE BAR COURT REPORTS
PROVIDED TO CSF

APPENDIX L

ATTACHMENT B

SC510RT2 9:26:54

STATE BAR COURT OPEN CASES

1/23/17 PAGE 1

Status: SCT
Condition: OPN

Case Type: All

Case Name	Case#	Status Condition	Date Into Sts
Acosta, William Andr	16 C 13196	SCT/	OPN 11/30/16
Acosta, William Andr	16 C 13197	SCT/	OPN 11/30/16
Allen, Larry Wayne	16 W 17989	SCT/	OPN 12/29/16
Atkins, John Gordon	17 W 77	SCT/	OPN 1/06/17
Balcom, Timothy Broo	15 O 11765	SCT/	OPN 7/06/16
Barilla, Frank Franc	15 O 12570	SCT/	OPN 11/16/16
Barry, Patricia Joan	14 O 3165	SCT/	OPN 12/07/16
Barry, Patricia Joan	14 O 2579	SCT/	OPN 12/07/16
Bartholomew, Ronald	15 H 16109	SCT/	OPN 11/22/16
Bartholomew, Ronald	15 O 11758	SCT/	OPN 11/30/16
Batchan, Cyrus Leon	13 C 14349	SCT/	OPN 11/22/16
Binkley, Daryl Lynn	15 O 13056	SCT/	OPN 12/14/16
Bobus, Richard Lee	16 O 10873	SCT/	OPN 11/23/16
Cameron, Nicholas K	12 O 13067	SCT/	OPN 1/11/17
Carver, Michael R	12 O 12062	SCT/	OPN 5/25/16
Chase, Alexander	15 O 14896	SCT/	OPN 12/14/16
Chavez, Fernando Fab	13 O 12150	SCT/	OPN 1/04/17
Counts, Emahn	15 O 14756	SCT/	OPN 1/04/17
Danmeyer, Diana Robe	16 Q 14822	SCT/	OPN 11/16/16
DeClue, Joseph Lynn	14 O 5915	SCT/	OPN 11/30/16
Downing, Richard W	16 W 17990	SCT/	OPN 12/29/16
Duren, B. Kwaku	15 O 12259	SCT/	OPN 11/30/16
Epand, Alexandra R	14 O 3877	SCT/	OPN 11/02/16
Evertts, James Lysto	15 O 11466	SCT/	OPN 11/02/16
Evertts, James Lysto	15 O 11732	SCT/	OPN 11/02/16
Fazli, Katayoun T.	15 O 14014	SCT/	OPN 12/14/16
Filice, Gerald Willi	15 O 10254	SCT/	OPN 11/02/16
Filice, Gerald Willi	13 O 13520	SCT/	OPN 11/02/16
French, Robert Marsh	15 N 14310	SCT/	OPN 12/14/16
Galindo, Stephen Edw	15 O 13901	SCT/	OPN 12/14/16
Galindo, Stephen Edw	15 N 15375	SCT/	OPN 12/14/16
Gard, Brian Dinsmore	15 C 13914	SCT/	OPN 6/08/16
Gonzales, Ramon Mich	17 W 79	SCT/	OPN 1/06/17
Gribben, Steven Mich	15 O 15643	SCT/	OPN 11/23/16
Hayden, Christopher	16 W 18020	SCT/	OPN 12/29/16
Hayward, Scott Bunke	14 C 22	SCT/	OPN 11/09/16
Hoffmann, Margaret A	16 W 18012	SCT/	OPN 12/29/16
Hoomiratana, Art	15 O 13476	SCT/	OPN 11/23/16
Huber, Mark Eugene	14 O 894	SCT/	OPN 11/16/16
Jacobovitz, Victor	16 Q 13548	SCT/	OPN 12/07/16
Josserand, Peter, XI	16 C 12700	SCT/	OPN 12/14/16
Kaplan, Steven Grego	12 O 17912	SCT/	OPN 11/16/16
Kirkhope, Robert Ala	17 W 80	SCT/	OPN 1/06/17
Kitano, Dean Robert	15 O 13354	SCT/	OPN 11/09/16
Koh, Gerald Jong	13 C 14333	SCT/	OPN 11/23/16
Koyasako, Steven Ken	17 W 81	SCT/	OPN 1/06/17
Macklin, Daphne Lori	15 O 13786	SCT/	OPN 11/09/16
Magnus, Michael Gord	17 W 82	SCT/	OPN 1/06/17

APPENDIX L

ATTACHMENT B

SC510RT2 9:26:54

STATE BAR COURT OPEN CASES

1/23/17 PAGE 2

Status: SCT
Condition: OPN

Case Type: All

Case Name	Case#	Status Condition	Date Intro Sts
Manzano, Catalina Lo	14 O 3704	SCT/ OPN	1/18/17
Mason, Reginald Pere	12 O 15089	SCT/ OPN	8/31/16
Mason, Reginald Pere	12 O 17147	SCT/ OPN	8/31/16
Meyer, David Q.	15 O 15106	SCT/ OPN	11/09/16
Meyer, David Q.	16 O 13407	SCT/ OPN	11/09/16
Montion-Garcia, Lesl	15 O 15895	SCT/ OPN	11/30/16
Moy, Lawrence Allan	15 O 10278	SCT/ OPN	11/02/16
Murray, Robert Alan	14 O 412	SCT/ OPN	12/14/16
Newman, Michael P	16 W 18013	SCT/ OPN	12/29/16
Nguyen, Tam	14 O 5978	SCT/ OPN	11/16/16
O'Keefe, Christopher	16 Q 15020	SCT/ OPN	12/14/16
Ocain, Rebecca Lynn	15 C 15017	SCT/ OPN	11/16/16
Partington, Earle Ar	12 J 10617	SCT/ OPN	1/11/17
Patel, Anthony Anan	16 W 18014	SCT/ OPN	12/29/16
Prevost, Mary France	14 O 4539	SCT/ OPN	11/30/16
Prevost, Mary France	14 O 5757	SCT/ OPN	11/30/16
Prichard, Donald Lee	15 O 15746	SCT/ OPN	1/11/17
Rauch, Charles R	16 W 18021	SCT/ OPN	12/29/16
Reed, Brian Edward	14 O 1145	SCT/ OPN	11/16/16
Reid, Mary Catherine	15 O 14408	SCT/ OPN	11/30/16
Reiner, Martin Barne	14 N 6382	SCT/ OPN	12/28/16
Robertson, Wade Anth	09 O 19259	SCT/ OPN	9/23/16
Ronca, Stephen Chris	14 O 6423	SCT/ OPN	11/30/16
Rose, Ruth Cecilia	15 O 15949	SCT/ OPN	1/11/17
Rossi, Robert Louis	17 W 83	SCT/ OPN	1/06/17
Rouse, Keith Frankli	15 O 14519	SCT/ OPN	12/14/16
Sales, Anthony R	15 O 11045	SCT/ OPN	11/30/16
Sarro, James Victor	16 Q 14663	SCT/ OPN	11/16/16
Saunders, Joseph Roh	16 W 18015	SCT/ OPN	12/29/16
Scheer, Marilyn Sue	12 O 14071	SCT/ OPN	11/16/16
Scheer, Marilyn Sue	14 O 5451	SCT/ OPN	11/16/16
Seeley, David Andrew	15 O 15177	SCT/ OPN	11/16/16
Seeley, David Andrew	16 H 10397	SCT/ OPN	11/16/16
Sikes, Leonard Micha	15 O 14400	SCT/ OPN	11/02/16
Sklar, Lori Jo	13 O 14606	SCT/ OPN	12/07/16
Stern, Alan Charles	17 W 84	SCT/ OPN	1/06/17
Stern, Jennifer	16 W 18016	SCT/ OPN	12/29/16
Stipe, Robert John	16 W 18017	SCT/ OPN	12/29/16
Stoneman, James Patr	15 O 10754	SCT/ OPN	12/07/16
Storr, P Cecilia	16 W 18022	SCT/ OPN	12/29/16
Studebaker, Johnna L	17 W 85	SCT/ OPN	1/06/17
Swihart, Thomas Melv	16 N 10317	SCT/ OPN	12/14/16
Taylor, Lloyd	14 C 3882	SCT/ OPN	1/18/17
Thomas, Stephen Gill	16 W 18023	SCT/ OPN	12/29/16
Thomason, Bruce Anth	15 O 12044	SCT/ OPN	11/30/16
Tipler, James Harvey	13 C 11542	SCT/ OPN	12/14/16
Torjesen, John Chris	15 O 15228	SCT/ OPN	11/02/16
Twedt, Margaret Ann	16 W 18018	SCT/ OPN	12/29/16

APPENDIX L

ATTACHMENT B

SC510RT2 9:26:54

STATE BAR COURT OPEN CASES

1/23/17 PAGE 3

Status: SCT
Condition: OPN

Case Type: All

Case Name	Case#	Status Condition	Date Into Sts
Urban, Aleksandra	14 C 3247	SCT/ OPN	1/11/17
Visconte, Rachelle S	15 C 13253	SCT/ OPN	10/12/16
Ward, William Joseph	14 C 6383	SCT/ OPN	12/28/16
Weisbach, Avi Jay	16 W 18024	SCT/ OPN	12/29/16
Weiss, Daniel Sanfor	14 O 6420	SCT/ OPN	11/30/16
Willis, Wayne G.	16 W 18019	SCT/ OPN	12/29/16
Willner, Edward Sydn	16 W 18025	SCT/ OPN	12/29/16
Wilson, Frank Russel	14 C 3326	SCT/ OPN	12/14/16
Wright, Joseph Lamon	14 C 4760	SCT/ OPN	12/28/16
Wright, Joseph Lamon	14 C 4761	SCT/ OPN	12/28/16
Wright, Joseph Lamon	14 C 4762	SCT/ OPN	12/28/16
Wright, Joseph Lamon	14 C 4763	SCT/ OPN	12/28/16

Report Total: 108

Disposition of State Bar Court Cases
with Effective Date Between 1/1/2017 and 1/15/2017

Public and Private Cases

Excludes PF and M Case Types

Confidential. For Use By the State Bar of California Only.

APPENDIX L

ATTACHMENT B

Disposition Filed Date	Case Name	Member Number	Case Number	Deputy Trial Counsel	Disposition Form	Public Date	EffectiveDate	Disposition Level
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Confidential. For Use By the State Bar of California Only.

APPENDIX L

ATTACHMENT B

Disposition Filed Date	Case Name	Member Number	Case Number	Deputy Trial Counsel	Disposition Form	Public Date	EffectiveDate	Disposition Level
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Confidential. For Use By the State Bar of California Only.

APPENDIX L

ATTACHMENT B

SC510RT2 9:27:33

STATE BAR COURT OPEN CASES

1/23/17 PAGE 1

Status: EFF
Condition: OPN

Case Type: All

Case Name	Case#	Status Condition	Date Into Sts
Beauchesne, Richard	11 C 13895	EFF/ OPN	1/04/17
Blunt, Laurence Calv	15 O 15844	EFF/ OPN	1/09/17
Buenrostro, Federico	13 C 11553	EFF/ OPN	12/28/16
Candelaria, Guy Fran	15 O 11780	EFF/ OPN	12/27/16
Grossman, Chaka H	16 PM 16601	EFF/ OPN	1/04/17
Hefner, Jerry Lane	14 C 5148	EFF/ OPN	1/10/17
Hollingsworth, David	16 PM 16982	EFF/ OPN	1/09/17
Juarez, Christian Rh	14 O 6211	EFF/ OPN	1/03/17
Kindsvater, Brian Ga	15 O 12893	EFF/ OPN	1/12/17
Mar, Craig Henry	16 PM 16989	EFF/ OPN	1/11/17
Myers, Timothy David	15 O 16039	EFF/ OPN	1/17/17
Nicholson, Timothy A	14 C 2867	EFF/ OPN	1/09/17
Pina, Michael Arthur	15 O 15431	EFF/ OPN	1/17/17
Redinger, Gary Steph	15 C 14234	EFF/ OPN	1/11/17
Schooler, Jane L	12 O 11554	EFF/ OPN	12/27/16
Shirer, Rae Diane	15 O 14402	EFF/ OPN	1/10/17
Swartz, Linda Kaye	16 O 14411	EFF/ OPN	1/11/17
Van Dusen, Jan Eliza	15 O 10868	EFF/ OPN	12/29/16
Yianilos, Karen Kerr	15 O 15797	EFF/ OPN	1/09/17

Report Total: 19

APPENDIX M

STATUS LETTER AND
REDACTED SPREADSHEET
OF APPLICATIONS ON WHICH STATUS
LETTER SENT

CLIENT SECURITY FUND**THE STATE BAR
OF CALIFORNIA**

845 SOUTH FIGUEROA STREET, LOS ANGELES, CALIFORNIA 90017-2515 TELEPHONE (213) 765-1140 | FAX (213) 765-1158

December 14, 2016

«Applicant_Print_Name»
«CSF_Applicant_Address_Line_1»
«CSF_Applicant_Address_Line_2»
«CSF_Applicant_City» «CSF_Applicant_State» «CSF_Applicant_Zip_Code»

In : Application for Reimbursement from the Client Security Fund;
CSF No.: «Case_Number»

Dear Applicant(s):

The Client Security Fund would like to inform you that your application with the Fund remains open and pending review.

If there is not yet final discipline against the attorney involved in your matter, or another resolution of the discipline complaint that you filed, then the Fund cannot yet take action on your application. The application will be monitored and once there is final action, the application will be placed in line for review by the Client Security Fund Commission.

For those applications on which there is already final discipline, or the attorney is deceased, the Fund handles applications in the order received. There is a limited amount to be used for reimbursements each year, and we anticipate that most of the Fund's budget next year will be used to resolve applications filed prior to 2014. We hope to be able to review some applications filed in 2014 toward the end of the year. The first two numbers of your CSF application number indicate the year in which your application was filed with the Client Security Fund.

We will contact you with a status update later in 2017. If the Fund needs information from you to proceed on your application, we will send a letter requesting information.

Please keep the Fund informed if your address and/or telephone number changes. If there is a change, please provide this office with a signed written request to update your contact information. We cannot take this information over the phone. It must be submitted in writing and all applicants must sign it.

If you wish to correspond with the Fund via email, you can contact the Fund at ClientSecurityFund@calbar.ca.gov and we will add your email to your contact information.

We appreciate your patience and cooperation as the Fund works through its inventory of applications in as fair and efficient a manner as possible.

CLIENT SECURITY FUND

REDACTED

REDACTED CSF Mass Status Letter Mailing Spreadsheet

Mass Status Letter Mailed December 14, 2016

(Sent to all Applicants except those who received status update in last 4 months)

No.	Case Number	Last Name	First Name	Applicant Print Name	CSF Applicant Address Line 1	CSF Applicant Address Line 2	CSF Applicant City	CSF Applicant State	CSF Applicant Zip Code
1								CA	95205
2								CA	95215
3								CA	95240
4								CA	95762
5								CA	91601
6								CA	94578
7								CA	95206
8								CA	90806
9								CA	90006
10								LA	70130
11								CA	94531
12								CA	95376
13								NV	89147
14								CA	90019
15								CA	94565
16								CA	94404
17								CA	92562
18								CA	90631
19								TX	77380
20								CA	90505
21								CA	90505
22								CA	95370
23								CA	95407
24								CA	95482
25								CA	92057
26								CA	90067
27								CA	91103
28								CA	93304
29								CA	92506
30								CA	91710
31								CA	92571

ATTACHMENT B

1/13/2017

[illegible]

APPENDIX N

SAMPLE TRACKING REPORT

Client Security Fund Case Processing Report¹

Calendar Year 2016

APPENDIX O ATTACHMENT B

CSF Open Cases 4,243
 CSF Cases Pending Discipline (CSF7a) 945
 Filing Date to Initial Review Date² (CSF7b) 14.3 days (mean)
 Filing Date to CSF Jurisdiction Date³ 1,325 days – CSF Awaiting Jurisdiction (mean)
 Time for CSF to Resolve Cases 285 days – CSF Investigation to Resolution (mean)

	Filing Date to Case Resolution ⁴ (Days)	Filing Date to Mailing/Service (Days)	CSF Awaiting Jurisdiction (Days)	CSF Jurisdiction Date to Mailing/Service (Days)	CSF Jurisdiction Date to Case Resolution (Days)	Number of Cases Resolved & Percentage of Total
Cases Resolved by Staff ⁵ (Closing Letter)	993	993 (CSF7c1)	715 ----->	278 (CSF7c1)	278	439 – 18.9% (CSF7c2)
Cases Resolved by Notice of Intention to Pay ⁶	1,348	1,259 (CSF7d1)	1,033 ----->	226 (CSF7d1)	315	417 – 17.9% (CSF7d2)
Cases Resolved by CSF Commission Decision ⁷ (Tentative & Final Decisions)	1,866	1,789 (CSF7e)	1,588 ----->	200 (CSF7e)	278	1,470 – 63.2%
All Cases Resolved by CSF in 2016	1,610 (CSF7f)	1,544 -----	1,325 -----	219 ----->	285 (CSF7f)	2,326 – 100%

¹ Implementation of Workforce Planning Consultant Recommendations re CSF Case Reports (ORIA Designation - CSF7). Report includes recommended details along with additional data to provide a more accurate overview of actual CSF case work times. Except as otherwise noted, data (derived from AS-400 database) shows average number of days for cases resolved (closed) by CSF in 2016.

² Filing Date to Initial Review Date measures the period from the date an application is received by CSF through initial legal review, which includes computer data entry, physical file set up, and initial legal staff review re type of loss asserted, attorney area of practice, attorney discipline status, rule of limitations, and other potential limitations and exclusions. Data is for applications filed in 2016.

³ CSF Jurisdiction Date is the earliest date that CSF may begin investigating an application, usually consisting of the effective date of the Supreme Court ordered discipline of the attorney in the applicant's matter, the effective date of the Supreme Court ordered disbarment, or the date the application is filed (if filed after discipline or disbarment) and occasionally consisting of another event, such as the date frozen attorney bank accounts are distributed by court order to aggrieved clients/applicants. The period between Filing Date and CSF Jurisdiction Date, designated above as CSF Awaiting Jurisdiction, is thus the average number of days CSF had to wait before it could begin working on the cases CSF resolved in 2016.

⁴ Case Resolution Date is the date an application is closed, either by Final Decision of the CSF Commission (pay or deny), payment via Notice of Intention to Pay, or termination by CSF staff.

⁵ Rule 3.441(B) of the Client Security Fund rules authorizes CSF's counsel to close an application without prejudice, if appropriate, such as if the attorney was not disciplined or CSF's investigation determined there is insufficient evidence of a reimbursable loss under the rules. Cases closed without prejudice may be reopened upon applicant request and will then be decided by the CSF Commission.

⁶ Rule 3.442 provides that CSF's Director may issue a Notice of Intention to Pay to the respondent in appropriate circumstances. If the respondent does not timely object, reimbursement may be made to the applicant in the amount stated in the Notice. Service of Notices of Intention to Pay and Commission Decisions (Fn 7, below) are made in accordance with Rule 3.445.

⁷ Rule 3.441(C) articulates the actions the CSF Commission may take, including holding evidentiary hearings and issuing Tentative Decisions. Rule 3.443 recites minimum due process requirements, including required written findings or reasons in decisions and the right of the parties to submit legal or factual objections. (See also Saleeby v. State Bar (1985) 39 Cal. 3d 547.) Final Decisions granting or denying reimbursement are issued by the Commission in accordance with Rule 3.444 and constitute the final action of the State Bar on applications for reimbursement.

APPENDIX O

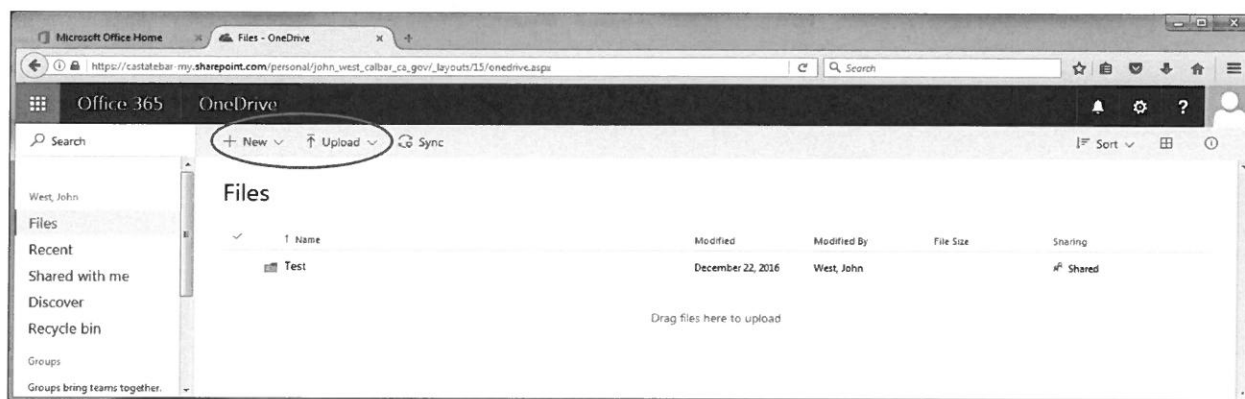
USER INSTRUCTIONS FOR ACCESSING CSF COMMISSION MATERIALS ON ONEDRIVE

Sharing Files with OneDrive

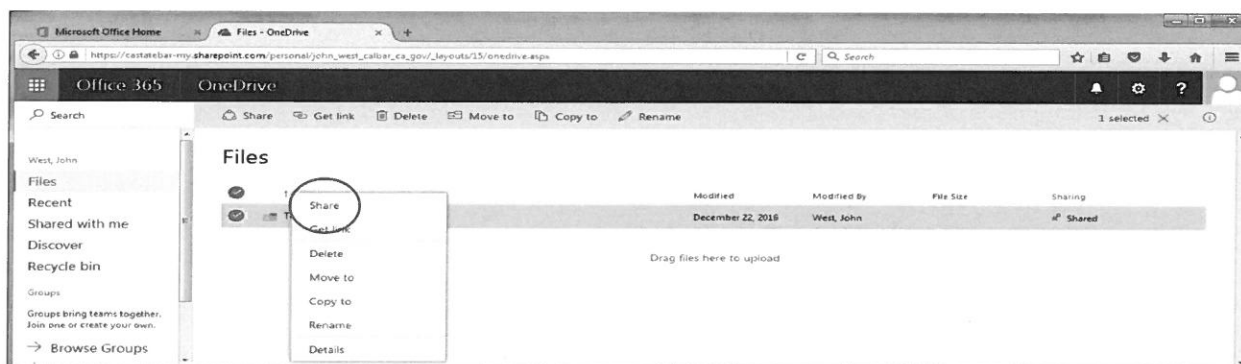
1. Login to the following website: <https://login.microsoftonline.com>. Your account name is your State Bar email address and your State Bar Windows password.
2. Click on the **OneDrive** icon. If you don't see the OneDrive icon please call John West at x2471 to make it available for your account.



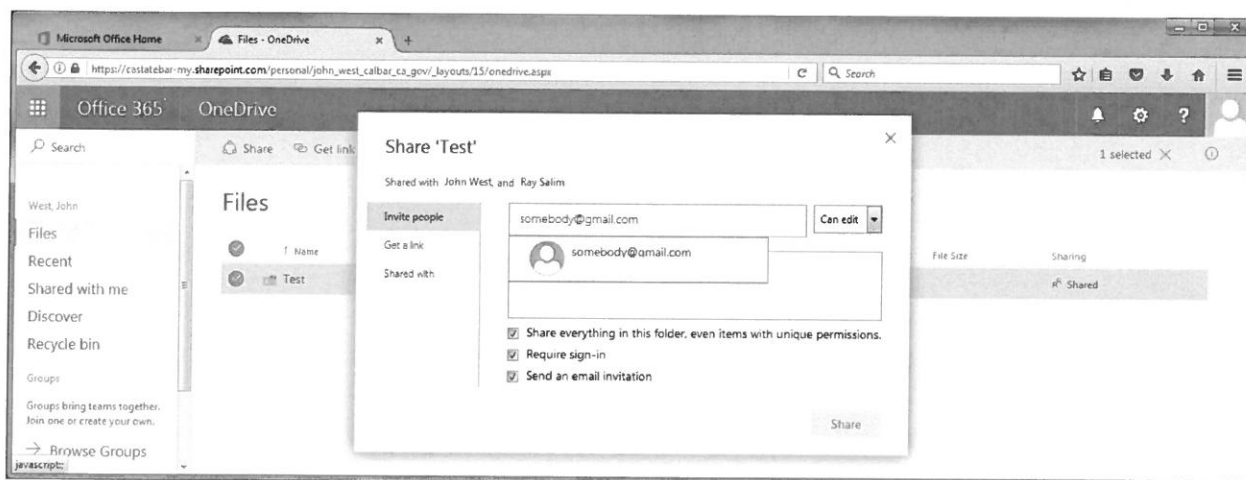
3. Click on **New** to create new folders or files. Click on **Upload** to upload a file from your PC drives into OneDrive or a OneDrive folder.



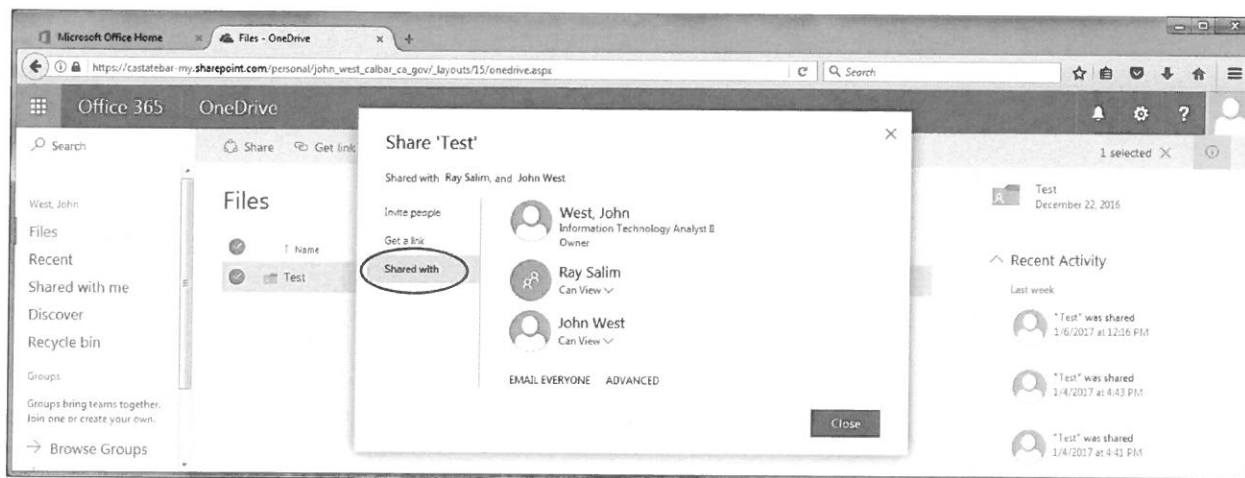
4. **Right** click on the folder or file you wish to share. If you share a folder you can set all the files in that folder to be shared. Then click on **Share**.



- Enter the email address of the person with whom you wish to share the folder or file. To the right of the email address you can choose **Can edit** or **Can view** (to make it read-only). Notice that you can **add a message**, **share everything in the folder**, **require a sign-in**, and **send an email invitation**. Most of the time you will keep all of these options. You may have files that are not sensitive in which case you can uncheck **Require sign-in**. This will simplify the recipient's experience. But for the most part you will want to require sign-in for security purposes. When you require a sign-in the recipient will need to have a Microsoft account that is the same as the email address you are sharing. If not, the recipient will be prompted to create one. If the recipient creates an account it **must** be the email address. Anything else will not work. Once you click on **Share** an invitation will be sent to the email address(es) that you have entered.

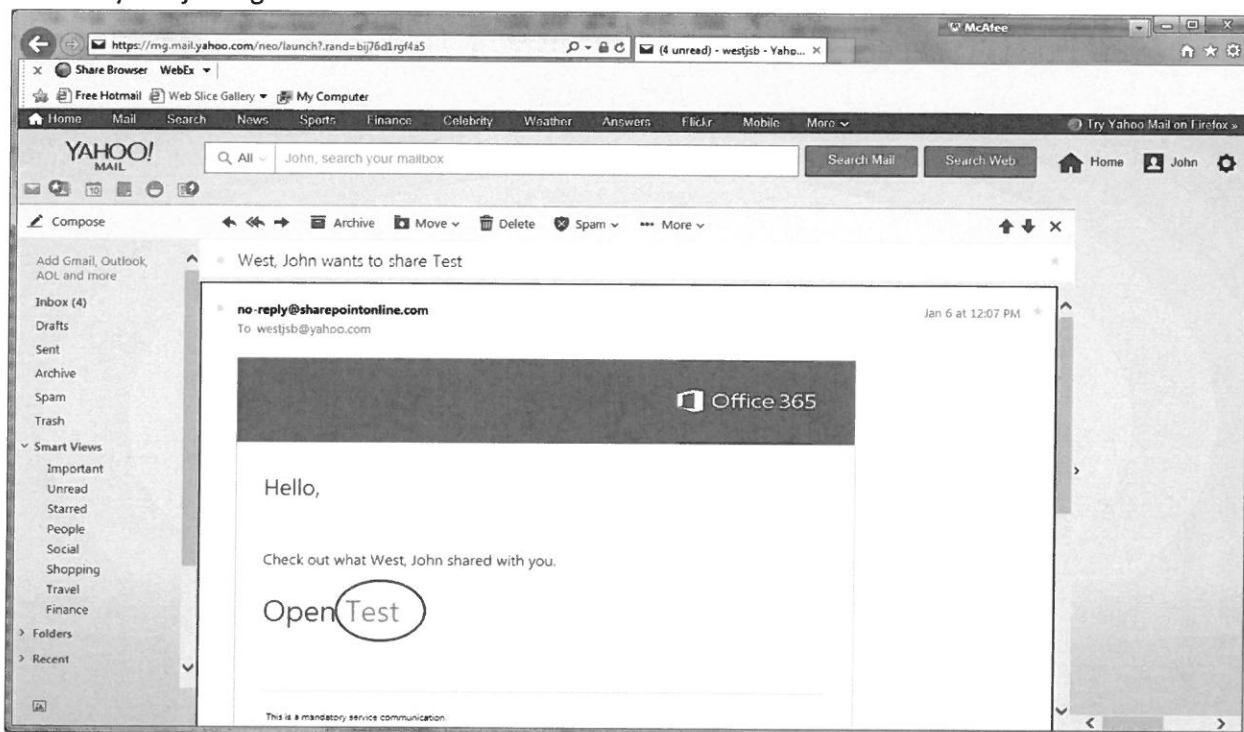


- To see if the recipients have successfully logged in to view your shared files you can **right click** on the folder or file and click **Share** again. Then click on **Shared with**. If you don't see the person listed, it means they have not yet successfully logged in.

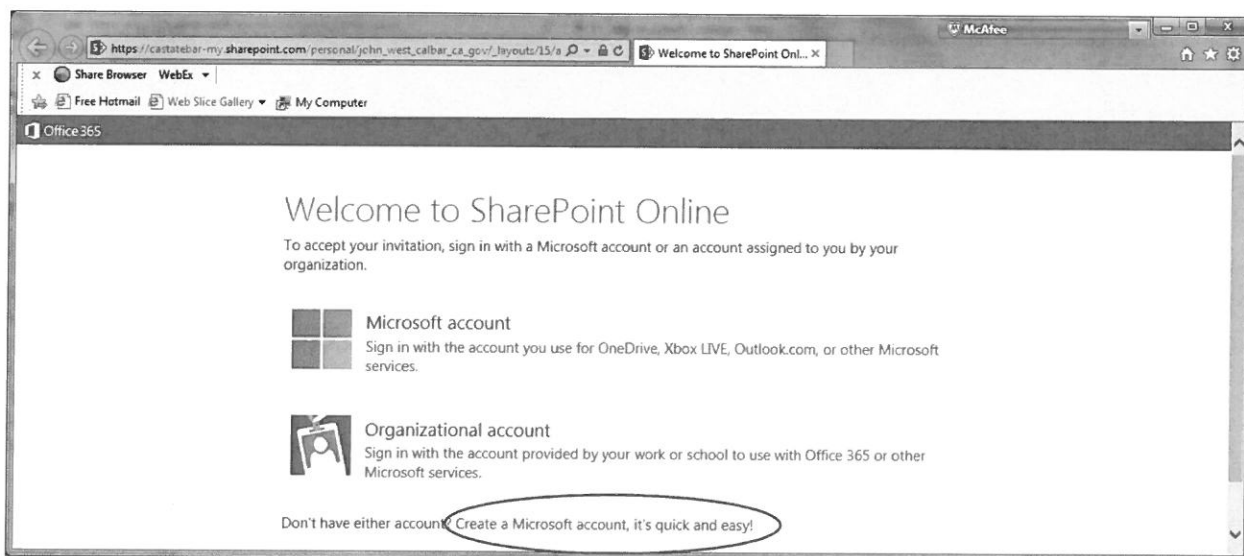


Sharing Files with OneDrive – The Recipients Experience

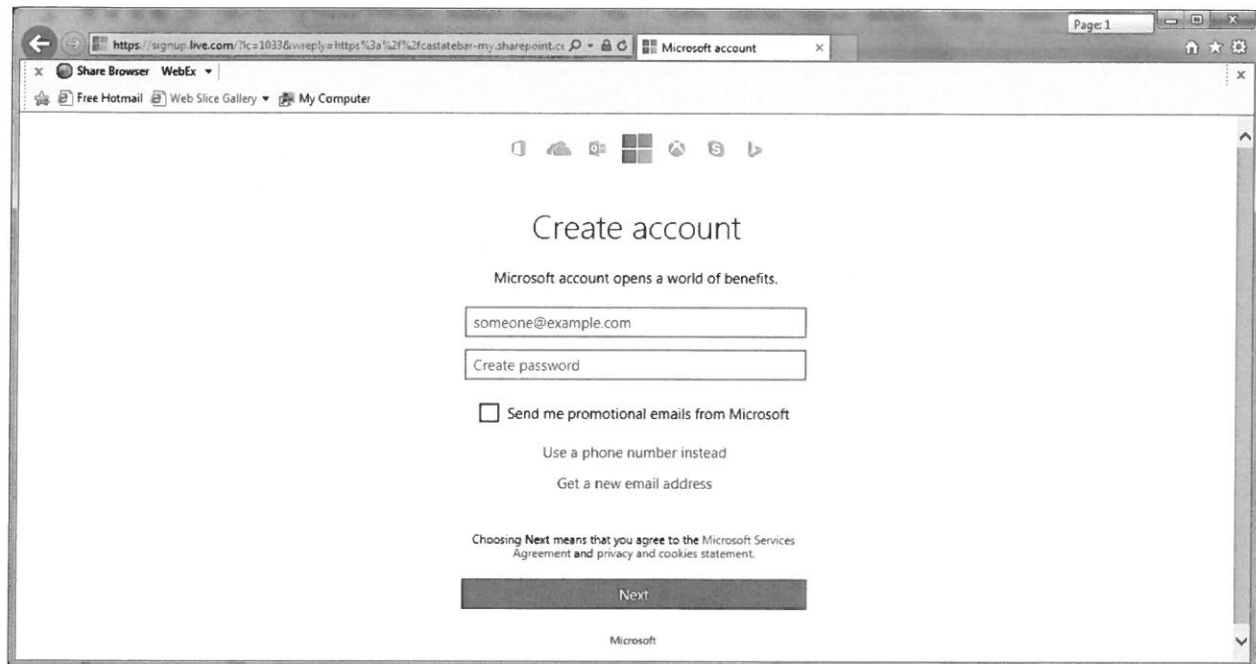
1. When you share a file or folder with an email address using OneDrive an invitation will be sent to the email address. The sender will be no-reply@sharepointonline.com. Below is the opened message. Notice the prompt below to open the shared folder **Test**. If you selected **Require sign-in** then the recipient will be prompted to sign in. If their email address is a Microsoft account then they can just sign in.



2. If it is **not** a Microsoft account then they will need to create one by clicking on **Create a Microsoft account**.

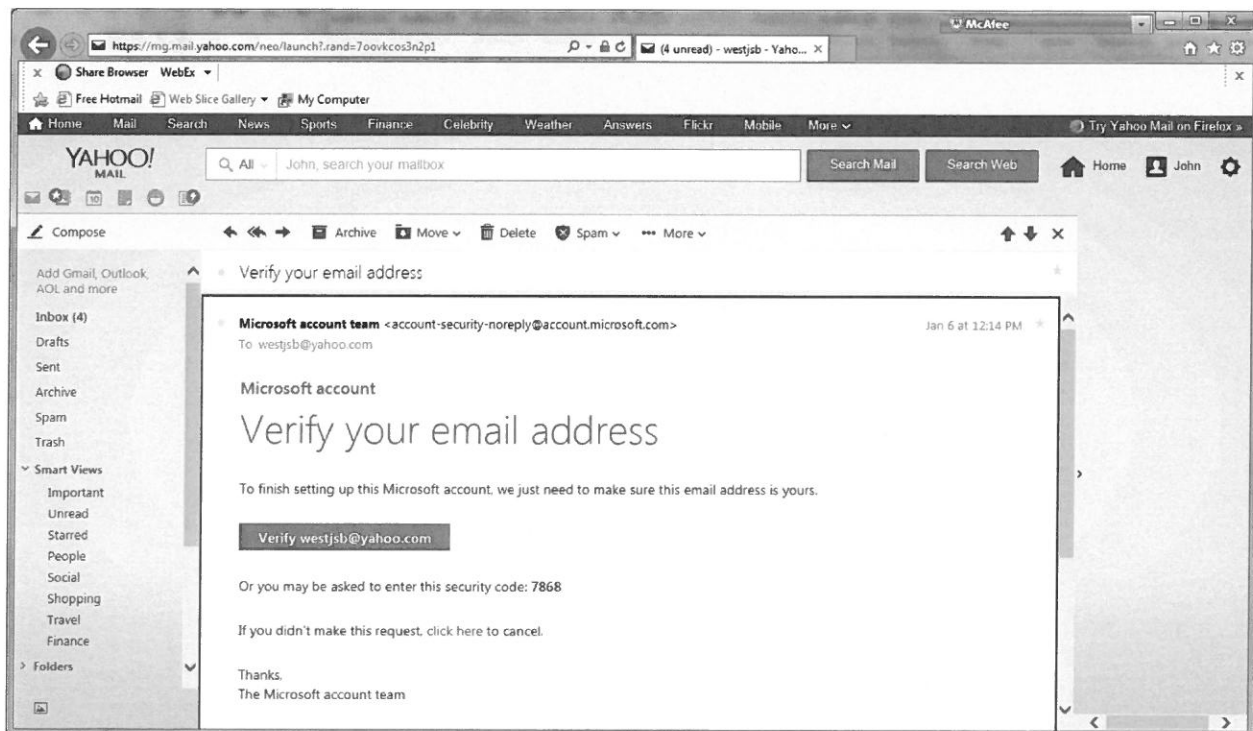


3. They will then be prompted to create an account. The account name **must** be the email address you are inviting to share. The password does not necessarily have to match the email address's password since this is a different account.



A screenshot of a web browser window showing the Microsoft account creation page. The address bar displays a URL from live.com. The page has a clean, white background with a header containing social media icons. The main heading is "Create account". Below it, a subheading reads "Microsoft account opens a world of benefits." There are two input fields: one for an email address (containing "someone@example.com") and one for a password (labeled "Create password"). Below the password field is a checkbox labeled "Send me promotional emails from Microsoft". Further down, there are links for "Use a phone number instead" and "Get a new email address". A line of text states: "Choosing Next means that you agree to the Microsoft Services Agreement and privacy and cookies statement." At the bottom is a large "Next" button. The Microsoft logo is at the very bottom.

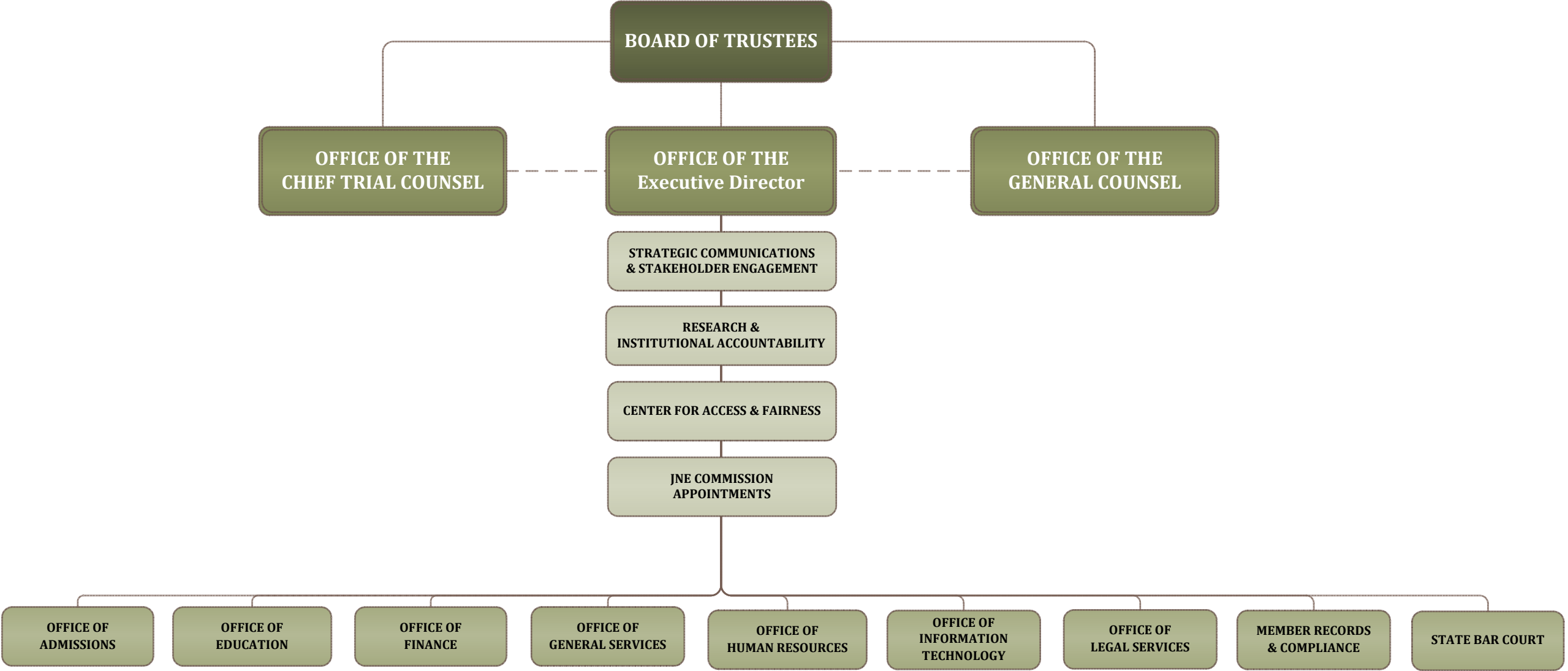
4. Part of the account creation process is to send a verification email like the one below. Once the email address has been verified the account will be created and the user will be able to login with the new account and view the shared file or folder.



A screenshot of a Yahoo! Mail inbox in a web browser. The browser's address bar shows a URL from mg.mail.yahoo.com. The page features a navigation bar with links to Home, Mail, Search, News, Sports, Finance, Celebrity, Weather, Answers, Flickr, Mobile, and More. A search bar is present with the text "John, search your mailbox". On the left, there's a sidebar with folders like "Inbox (4)", "Drafts", "Sent", "Archive", "Spam", and "Trash". The main content area displays an email titled "Verify your email address" from the "Microsoft account team". The email body contains the text: "Microsoft account", "Verify your email address", "To finish setting up this Microsoft account, we just need to make sure this email address is yours.", a button labeled "Verify westjsb@yahoo.com", "Or you may be asked to enter this security code: 7868", "If you didn't make this request, click here to cancel.", "Thanks.", and "The Microsoft account team".

APPENDIX C

STATE BAR ORGANIZATIONAL CHART



APPENDIX D

THE STATE BAR'S BUDGET POLICY AND PROCEDURES MANUAL

The State Bar of California

Office of Finance

Budget Policies and Procedures Manual

Revised June 2016

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I. INTRODUCTION

This policy and procedures manual describes the general guidelines for budgeting and the budget process at The State Bar of California. Included are the State Bar's policies governing the preparation, approval and implementation of operating and capital budgets, as well as the policies defining the role of the Office of Finance and other departments that participate in the budget developing process.

The State Bar budget expresses, in terms of dollars, the funded programs and plans of the State Bar for the budget year and the estimated income (by sources) necessary to finance these programs and plans. The budget is the primary instrument of fiscal control and, accordingly, contains all income and expenditures of the State Bar. The State Bar's strategic plan provides the framework for the annual budget process.

The State Bar adopts a "rolling" three-year budget. This practice enables the bar plan its financial future more effectively than would be possible with traditional one-year budgeting. Operating budgets lapse at the end of each calendar year; capital project budgets are non-lapsing, so they are carried forward until the projects are completed.

A. Preparation and Approval of the State Bar Budget

The Office of Finance under the direction of the Chief Operating Officer (COO) is responsible for the development and monitoring of the State Bar's annual operating budgets. It prepares the annual budget submission to the Board of Trustees (BOT) and Legislature; fulfills internal and external budgeting reporting requirements; processes budget transfers and funding requests for new initiatives; reviews and monitors capital budget requests; provides financial analyses for departments and the Board; and ensures the State Bar's budget is linked to the strategic plan.

The various departments of the State Bar assign a budget liaison to assist on budgetary matters. The liaison is available to answer questions, provide assistance with their annual budget submission and to work closely with the Office of Finance to meet their financial goals. A listing of staff contacts and the departments they are assigned to can be found in the attached Appendix.

B. Budget Formulation Process

The budget development process typically begins in the month of August but may be extended to November depending on the budget adoption date set by the Board of Trustees.

Budget requests from each department are reviewed by the Office of Finance and an annual budget is submitted by the Chief Operating Officer to the Board of Trustees for adoption in January.

II. BUDGET SUBMISSION

The Office of Finance has primary responsibility for preparing the annual budget request and submitting it to the Board of Trustees for adoption and annual filing with the legislature. The budget submission is an opportunity for the Bar to not only provide details of the appropriation request for the next fiscal year, but to review the current fiscal year and anticipated changes in the coming years ahead.

Following a review by the Planning and Budget Committee, the Chief Operating Officer presents the proposed budget (annual budget document) to the BOT. The annual budget document shall be formally adopted by the Board of Trustees at the cost center level in accordance with the State Bar's fiscal policy (Tab 17) in the Board Book. The expenditure budget for any cost center shall not be increased without the consent of the Board of Trustees by formal resolution. Funds that receive revenue through grants or other special revenue sources are not subject to this restriction.

For external budget submission, the Office of Finance is responsible for preparing an annual budget document for legislative filing in accordance with Business and Professional Code §6140.1. State Bar's annual budget document is prepared in accordance with Business and Professions Code §6140.1. This code section requires the State Bar to "submit its proposed baseline budget for the following fiscal year to the legislature by November 15, and its proposed final budget by February 15". This code section also provides that the budget document should be completed "in a form comparable to the documents prepared by state departments for inclusion in the Governor's Budget and the salaries and wages supplement. In addition, the Bar shall provide supplementary schedules detailing operating expenses and equipment, all revenue sources, any reimbursements or interfund transfers, fund balances, and other related supporting document".

The annual budget document submitted for BOT adoption and legislative filing should include the following elements and when preparing the budget document, staff should follow the criteria set in the Budget Document Checklist below:

1. The Chief Operating Officer's Transmittal Letter
2. Table of Contents
3. Organization Chart
4. Current year-to-date actual and annual budget by cost center, department and fund
5. Proposed annual budget for years 1 to 3 by cost center, department and fund
6. Budget assumptions and methodology underlying the budget estimates
7. Supplementary schedules and narratives for policy and document presentation changes with explanation
8. Program fund description, department goals, mission and core functions
9. All expenses by expenditure category and by function
10. All revenues identified by sources by cost center, department and fund
11. Supplementary schedules detailing operating and capital expenses and revenue by cost center, department and fund
12. FTE, salaries and wages supplement by department
13. Indirect cost allocation bases, methodology and amount by department and fund
14. Interfund transactions/transfers

15. Statement of Fund Condition by fund

16. Glossary of terms

The Chief Operating Officer's transmittal letter should highlight important details of the proposed budget and indicate how the budget furthers the Bar's mission.

III. BUDGET ACCOUNTS STRUCTURE

The State Bar of California conforms to the GASB (Governmental Accounting Standards Board) guidelines of generally accepted accounting principles and practices, as well as applicable FASB (Financial Accounting Standards Board) principles and practices.

For internal purposes, the principles of fund accounting are being utilized. Fund accounting is the method of classifying resources into categories according to the purpose of use. Each fund is self-balancing and has separate assets, liabilities and a fund balance:

IV. PROGRAM FUNDS

A. Restricted Funds

- ***Client Security Fund.*** Maintains funds from which members' clients can be reimbursed for pecuniary losses resulting from dishonest conduct on the part of their attorneys. Such reimbursement is discretionary and, currently, is not to exceed \$100,000 per application for reimbursement on any one transaction, as prescribed by the Board of Trustees. This fund is replenished through annual assessments of \$40 per active member and \$10 per inactive member.
- ***Elimination of Bias and Bar Relations Fund.*** Supports activities with voluntary bar associations and programs that address concerns of access and bias in the legal profession. This fund is supported by a fee of \$5 and is part of the annual membership fees; however, members who do not wish to fund these activities have the option to not remit this fee.
- ***Equal Access Fund.*** Since 1999, the California Budget Act has included funds to provide free legal services in civil matters for indigent Californians. The funds are in the budget of the State Judicial Council for grants to be administered by the State Bar's Legal Services Trust Fund Commission through the Equal Access fund. The Judicial Council contracts with the State Bar for the administration of these funds, which currently consist of grants to approximately 100 nonprofit legal aid organizations, and reimburses the State Bar for its administrative expenses. In 2005, the Uniform Civil Fees and Standard Fee Schedule Act (AB 145) was approved by the Legislature and the Governor. The Act established a new distribution of \$4.80 per filing to the Equal Access Fund. These revenues were collected by the trial courts starting in January 2006 to fund grants to nonprofit legal aid organizations for the grant year.

- ***Information Technology Special Assessment Fund:*** This Fund is supported by a special assessment fee of \$10 from 2008 to 2013 to support Bar's IT related projects.
- ***Justice Gap Fund.*** Used to help close the justice gap for needy Californians by voluntary donations to legal aid, pursuant to AB 2301. Members may contribute more or less than the recommended donation or elect to make no donation.
- ***Lawyer's Assistance Program Fund.*** Established for the protection of the public, the courts and the legal profession by providing education, remedial and rehabilitative programs to those members of the State Bar who are in need of assistance as a result of disability related to substance abuse or mental illness. This fund is replenished through annual assessments of \$10 per active member and \$5 per inactive member.
- ***Legislative Activities Fund.*** Accounts for the consideration of measures that are deemed outside of the parameters established in Keller vs. the State Bar, the purview determination and any litigation in support or defense of that lobbying. Such activities are funded by members electing to support these activities. This fee of \$5 is part of the membership fees; however, members have the option to not remit this fee.
- ***Legal Services Trust Fund.*** Used to expand the availability and improve the quality of existing free legal services in civil matters to indigent persons and to initiate new programs that would provide such services. Under this program, interest earned on certain client trust accounts held by California attorneys is legally required to be forwarded to the State Bar and, after deduction of the State Bar's administrative costs, the remainder is to be distributed as grants.
- ***Legal Specialization Fund.*** Accounts for the certification of legal specialists in areas of family law; criminal law; taxation law; immigration and nationality law; workers' compensation law; personal and small business bankruptcy law; estate planning, trust and probate law; and appellate law. Resources are provided by application fees, certification fees, recertification fees and annual membership fees.

B. Special Revenue Funds

- ***Admissions Fund.*** Accounts for fees and expenses related to administering the bar examination and other requirements for the admission to the practice of law in the State of California.
- ***Annual Meeting Fund.*** Accounts for Annual Meeting registration fees and expenses. The Annual Meeting Fund allocates its revenues and expenses among itself.
- ***Grants Fund.*** Used to account for the various grants received and special projects undertaken by the State Bar.

- ***Sections Fund.*** Accounts for the activities of sixteen sections, which consist of specific practice areas or areas of professional interest and provides members with a vehicle for communicating with each other, educating themselves, and commenting on relevant legislation. Resources are provided through assessments of the sections' membership and revenue from seminars and workshops.

C. General Fund

All other revenues, expenditures and other uses will be accounted for in the General Fund. These funds will be generally available for State Bar purposes, subject to budget priorities set by the Board. Consolidation of these funds will supersede previous Board policy regarding use of these funds. Current funds that are recommended for consolidation into the General Fund are:

- ***General Fund***
- ***Howard Building Fund***
- ***Legal and Education Development Fund***
- ***Los Angeles Facility Fund***
- ***Public Protection Fund***
- ***Support and Administration Fund***
- ***Technology Improvement Fund***
- ***Fixed Assets Fund***
- ***Benefits Reserve Fund***

V. PROCEDURES FOR BUDGET DEVELOPMENT

At the beginning of this annual process, a combination of documents is distributed to the Bar's service areas by the Office of Finance. The information is distributed electronically and includes historical account activity. This provides the necessary information for the preparation of departmental budget requests. A meeting is set up between the Office of Finance and each of the Bar's service areas where the following elements are discussed:

- A review of the current organizational chart
- Cost center account worksheets which summarize that division's current budget and expenses as well as a base line for the following year; and
- Contracts outside the normal course of business in excess of \$75,000.

During this process departments may have the opportunity to request above base allocations, as well as reallocate existing funds within their base. Budget plans must support the important priorities outlined in the Bar's strategic plan. This enables the Bar to fulfill the shared vision that has been established for its future. The following guiding principles are to be used while developing the operating budgets:

- Operating budgets will be developed with a long-term perspective and with reference to the Bar's strategic plan.

- Non-personnel expenditures will be managed efficiently, with particular emphasis on ensuring that activities with the highest priorities are adequately supported.
- Existing resources shall be reallocated to meet the highest priorities in each division.

After the budget is reviewed and preliminary allocations and changes are made, the Office of Finance then uploads preliminary budget data from department worksheets into the budget system.

A. Revenues

The forecast for membership dues revenues and interest income are prepared by the Office of Finance. Fees and revenue sources other than member dues and interest income are forecast by the Office of Finance with input provided by the department responsible for the related revenue sources.

B. Personnel

Personnel costs including salaries and benefits are prepared by the Office of Finance. Any requests for additional staffing must be submitted to the Office of Human Resources and the Chief Operating Officer for approval, along with a justification of the need for increased staff.

C. Budget Transfers

Subject to the constraints of the adopted budget and budget transfers should be approved and processed in accordance with the Bar's Fiscal Policy in the Board Book (Tab 17, Article 1, Section 1).

D. Corrections

Subject to the constraints of the adopted budget at the cost center level, the Chief Financial Officer or the Finance Manager may approve transfer budgeted amounts as needed to correct technical or clerical errors.

E. Revenue Estimates

Revenue amounts included in the annual budget are estimates, not budgets subject to adoption. The Chief Financial Officer or the Finance Manager may adjust revenue estimates from time to time to reflect additional information as it becomes available or to correct technical or clerical errors.

F. Requests for Supplemental Funding

Requests for additional funding can be made during the internal budget process for proposed projects or planned new initiatives. When such supplemental funds are requested, the requesting department must submit a worksheet (see appendix, page 15) to

the Office of Finance. The approval of a supplemental budget request is subject to the availability of funding. For budget transfer within a cost center and department, individual department manager should submit a budget transfer request with justification to the Office of Finance for approval.

G. Direct Costs

The total cost of a program consists of direct and indirect costs. Direct costs are all costs explicitly identified with delivery of the program. Typically, but not exclusively, such costs include:

- Salaries and Wages
- Fringe Benefits
- Professional Services
- Capital Equipment
- Travel
- Supplies
- Computer Software
- Equipment Maintenance and Repair
- Printing
- Photocopying
- Telephones
- Postage

These costs are itemized in the program budget.

Fringe Benefits – Several elements are included in Fringe Benefits. Depending on employee type, an aggregate average rate is charged for each employee. Fringe benefits include the following:

- Health Insurance
- Other Insurance
- Retirement
- Misc. Benefits

H. Indirect Costs

Indirect costs are those incurred by the Bar but that cannot be directly traced and charged to a specific program. Generally, examples of indirect costs include:

- Operation and Maintenance of Facilities
- General Counsel
- BOT & Executive Director Office
- Financial and Accounting Services
- Procurement Services

- Human Resources
- IT

The Bar fully costs all direct service areas by allocating indirect costs to all program funds based on an indirect cost methodology.

I. Establishment of Accounts

If it is determined that changes to an existing account need to be made (e.g., new account title, department) or a new cost center needs to be established because a department is expanding or adding a new program, a memo or written request must be submitted to the Office of Finance including the proposed title, department, division, source of funds, a brief description of the program and the period the program will be active.

VI. MONITORING AND CONTROL PROCEDURES

The State Bar's expenditures are formally governed at the cost center level through the annual budget resolution adopted by the Board of Trustees. The budget allocates spending authority within the cost centers across operating departments.

Departmental operations are expected to be managed within budgets. When variances arise, these are brought to the attention of the budget liaison of each cost center through monthly financial reports. Each liaison that has budget monitoring duties is responsible for ensuring that receipts and spending are within the approved budgetary authority and for the prudent use and safeguarding of funds paid by the membership.

Corrective action is necessarily taken on a case-by-case basis, depending on the extent to which the departmental variances impact overall expenditure authority at the department level. Examples of typical corrective action will include:

1. Requiring vacant positions to go unfilled
2. Deferring discretionary operating expenditures
3. Transferring budget amounts between cost centers of the same department (requires approval of the Chief Financial Officer)
4. Transferring budget amounts between departments in the same fund (requires approval of the Chief Operating Officer)
5. Transferring budget amounts between departments in different funds (requires budget amendment and Board approval). Budget transfers between funds should be approved and processed in accordance with the State Bar's Fiscal Policy (Tab 17, Article 1, Section 4 of the State Bar's Board Book).

In addition, budget management becomes a factor in annual performance evaluations under the current evaluation category of financial accountability which requires that operations are managed within budgets and financial resources are used efficiently.

- #### A. Monthly Financial Report/Budget Monitoring Procedures –Operating Statement
- Reports for each business unit (cost center) are available through the Oracle/JD Edwards

financial system after each month end close. After the closing of the books, the Office of Finance will send an email to each designated budget liaison announcing that the operating reports are ready for review. This report provides the following information:

- Budget for the current month
- Actual revenues/expenditures for the current month
- Year-to-date budget to actual variance
- Actual revenues/expenditures for prior year
- Budget revenues/expenditures for prior year
- Annual Budget

Variances are important in determining potential budget shortfalls and the need for corrective actions, i.e., additional expenditures, processing a budget transfer, or need for contingency funding. Each departmental budget liaison should also review the monthly operating statements to identify any unusual trends. Significant year-to-date variances will be brought to the attention of the budget liaison and will need to be explained. The definition of “significant” varies depending on the departmental budget size and nearness to year-end; generally all deficits or any variances that may result in the over expenditure of a departmental budget as a whole for a calendar fiscal year shall be investigated and explained {Tab 17, Article 1, Section 1 (a) (3)}. For budget monitoring and investigation purposes, Office of Finance will investigate any unusual items and line item with year-to-date variance that is greater than \$100,000 over the budgeted amount. An explanation of budgeted line item year-to-date variance greater than one hundred thousand \$100,000 of the budgeted line item shall be reported to the Board of Trustees according to the State Bar’s Fiscal Policies (Board Book, Tab 17, Article 1, Section 2).

Bar managers may research detailed transactions resulting in any significant variances by using the “account ledger inquiry” feature of the Oracle/JD Edwards system.

- B. Budget Authority vs. Cash Revenues** – staff must remember the difference between adopted budget and current cash resources. The adopted budget represents the legal authority to spend. However, the Bar can only use available resources. Therefore, with the exception of grant funded programs, no expenditures should be allowed unless: 1) budget for the expenditure has been adopted, and 2) resources to pay for the expenditure have been secured.

If unexpected resources or revenues in excess of projections are secured after budget adoption, departments must obtain a budget amendment prior to making additional expenditures of funds. For grant programs such as IOLTA, Equal Access, and Client Security Fund, the annual budget serves as an estimate of revenues/expenditures; however, it doesn’t restrict the amount of funds to be distributed in the event that annual grant revenues exceed the amount projected or in the event that grant distributions relating to the previous year are delayed for payment until the current year.

- C. Request for Budget Transfer** – The budget is an estimate of anticipated expenditures. Careful management of approved budget amounts is required to fund current planned

service requirements, unforeseen emergencies and/or increased service demands. Every effort should be made to absorb these unforeseen expenditures via prudent spending, savings acquired from more efficient work methods, and quality improvement projects.

Should a budget transfer become necessary, it may be initiated as follows:

- Request a transfer of funds within a business unit or department by initiating a budget transfer form. This form is available on the Finance intranet site. Under the section “Increase”, provide the business unit, object code, amount, and a detailed description of the budget to be increased. Under the “Decrease” section, enter the business unit, object code, description, and amount from where the budget is being transferred. The total “Increase” and “Decrease” amounts must be equal. Budget transfers within a business unit or department require the signature of the senior executive in the department and the Chief Financial Officer or the Finance Manager.
- When an intradepartmental transfer is not adequate to cover the forecasted deficit, a request for an interdepartmental transfer or budget transfer from contingency funds within the same fund may be requested. Transfers of this nature require the approval of the Chief Financial Officer and the Chief Operating Officer. Interdepartmental transfers between different funds will require a budget amendment and Board approval. Interfund transfers between funds should be handled in accordance with the Fiscal Policy documented in the State Bar’s Board Book (Tab 17, Article 1, Section 4). Contact the Office of Finance for instructions on a transfer of this nature.

Failure to initiate a budget transfer may cause purchase orders and requisitions to be held until the budget shortfall is addressed. Also, no formal purchasing solicitation may take place until contingency funds are authorized.

APPENDIX

Mission Statement

The Office of Finance is responsible for the development and monitoring of the State Bar of California's annual budget. It conducts analytical studies to support the planning and budget development processes and produces management information related to the State Bar's operations.

The Office of Finance offers the primary support for identifying, obtaining, allocating and maximizing resources. The office strives to provide efficient and productive methods of budget preparation, using sound budget and management practices, financial planning that supports management decision making, and developing innovative solutions to challenging problems.

Major Responsibilities:

- Prepare the annual budget submission to the Board of Trustees.
- Develop and monitor the State Bar's annual budget.
- Fulfill internal and external budgeting reporting requirements.
- Process budget transfers and funding requests for new programs and new initiatives.
- Review capital project requests and monitor capital budget expenditures.
- Provide financial analysis for departments and the Board of Trustees.
- Link State Bar budgets with strategic planning.

Office of Finance Staff Contacts

Staff Member	Position	Telephone	E-mail
Christine Wong	Chief Financial Officer	415-538-2542	Christine.Wong@calbar.ca.gov
David Wolf	Finance Manager	415-538-2544	David.Wolf@calbar.ca.gov
Kao Saetern	Sr. Financial Analyst	415-538-2517	Kao.Saetern@calbar.ca.gov

Department Budget Liaisons

Leah Wilson	Executive Director's Office Media and Information Services
Gilda Munoz	Human Resources
Francisco Gomez	Governmental Affairs
Steve Mazer	Operations
Greg Dresser Cathy Molina	Office of Chief Trial Counsel - LA Office of Chief Trial Counsel - SF
Vanessa Holton	Office of General Counsel
Dina DiLoreto	Member Services
Resty Buenavidez	Information Technology
Colin Wong	Mandatory Fee Arbitration Lawyer Assistance Program
David Wolf	Finance
George Leal	Special Admissions MCLE Provider Certification
Marilyn Tichenor	State Bar Court
Lori Meloch	Client Security Fund
Pam Wilson	Annual Meeting Fund Sections
Kelli Evans	Access & Fairness Programs (LSTF, GAF)
Pat Lee	Grants Fund, Elimination of Bias
Natalie Leonard	Legal Specialization
Randy Difontorum	Professional Competency
Terrie Goldade	Probation

Annual Budget Development Calendar for January Adoption

(Dates will vary based on Board Approved Adoption Date)

September/October

- Notify budget liaisons and request preliminary meeting to discuss budget timeline

September/October

- Current year to date numbers are distributed to departments
- Budget meeting held with departments
- Budget worksheets are revised.

September/October

- Revised worksheets distributed to departments for review.
- Department budget submissions due to Office of Finance.
- Office of Finance updates the 3-year forecast of General Fund revenue and expenses.
- Budget Information entered into budget system.

November/December

- Agenda item for Operations Committee budget submitted to the Executive Director's office.
- Meetings with Operations Committee to discuss budget.
- Budget Adoption by Operations Committee and Board of Trustees.
- Adopted budget loaded into financial system.

The State Bar of California
BUDGET TRANSFER REQUEST

[Budget Policy](#)

Instructions

1. Budget Transfers can be changed between Business Units and Object Codes
2. Budget Transfers cannot be changed between Funds
3. Amount of increase and decrease must balance (total to same amount)
4. Include description on form or attach memo detailing the purpose of the transfer.
5. Senior Executives must approve all transfer requests, including printed name and signature
6. Forward original to Justin Ewert, Budget and Performance Analyst (ext. 2235), make a copy for your own records

Requestor Name	Department Name	Budget Fiscal Year
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Increase				Decrease			
BUSINESS UNIT	OBJECT CODE ACCT	DESCRIPTION	AMOUNT (\$)	BUSINESS UNIT	OBJECT CODE ACCT	DESCRIPTION	AMOUNT (\$)
Total			\$ -	< in balance >			Total \$ -

Purpose of Transfer *(required*)*:

Authorization: _____ <div style="text-align: center; font-size: small;">Senior Executive Name</div>	_____ <div style="text-align: center; font-size: small;">Senior Executive Signature</div>	_____ <div style="text-align: center; font-size: small;">date</div>
Authorization: John Chiappetta _____ <div style="text-align: center; font-size: small;">Budget Director Name</div>	_____ <div style="text-align: center; font-size: small;">Budget Director Signature</div>	_____ <div style="text-align: center; font-size: small;">date</div>

**2014 Base + MOU Expenditure
Worksheet (Sample)**

10701 - Compendium on Prof. Resp.

Center	Obj	Description	2011 Actual	2012 Actual	2013 Budget	2014 Base + MOU	2014 Adjustments	2014 Adjusted
10701	41020	Postage	545	402	500	500		500
10701	41030	Stationery and Office Supplies		353				
10701	41040	Subscriptions	111					
10701	42560	In House Copier Usages Alloc.	6,014	1,174	6,500	9,000		9,000
10701	44130	Outside Services- Printing-Desi			556	3,556		3,556
10701	44140	Outside Services- Printing-Othe	1,962					
10701	44560	Outside services- others	911					
10701	44580	Delivery Services	1,534	1,709	1,671	1,671		1,671
10701	47210	Indirect Costs Non- GF	56,387					
10701	47250	In House Printing Service	457	5,789				
10701	49710	Interfund Transaction- Expenses		6,000				
Total Compendium on Prof. Resp.			67,922	15,426	9,227	14,727		14,727

10707 - Publications

Center	Obj	Description	2011 Actual	2012 Actual	2013 Budget	2014 Base + MOU	2014 Adjustments	2014 Adjusted
10707	41010	Books and Publications	6					
10707	41020	Postage	927	1,325	1,538	1,538		1,538
10707	42560	In House Copier Usages Alloc.	137	36	209	209		209
10707	44120	Outside Printing	13,359	8,981	14,761	13,261		13,261
10707	44580	Delivery Services	2,809	3,492	3,057	4,557		4,557
10707	47210	Indirect Costs Non-GF	734					
10707	47250	In House Printing Service		30				
Total Publications			17,972	13,863	19,565	19,565		19,565

Chart of Accounts & Financial Statement Grouping

Revenue Groups - Revenue Codes

Chart of Accounts Description	Financial Statement Grouping	Fund(s)
30110 Mandatory Membership Dues	Membership fees and donations	10, 21, 27
30120 Voluntary Dues/Donations	Membership fees and donations	10, 16,17, 28,32
30130 Penalties-Current Year	Membership fees and donations	10
30140 Penalties-Prior Years	Membership fees and donations	10
30150 Prior Years Member Fee	Membership fees and donations	10, 19, 21, 26, 27, 31, 33
30160 Bankcard Proc. Fees	Other	10
30160 Pcard Rebate	Other	23
30170 Tax-Intercept Funds	Membership fees and donations	28
30510 MJP Annual Renewal Fees	Membership fees and donations	10
30520 MJP Applic Fees-inhouse/leg se	Membership fees and donations	20
30530 MJP Applic. Fees-In House Atty	Membership fees and donations	20
31110 Applic. Fees-New February	Examination application fees	20
31120 Attorney Applic.-New February	Examination application fees	20
31140 Laptop Fee-February	Examination application fees	20
31150 Late Fees-Gen. Bar-Feb.	Examination application fees	20
31160 Late Typing Fee-February	Examination application fees	20
31170 Typing Fees-Gen. Bar-Feb.	Examination application fees	20
31210 Applic. Fees-New July	Examination application fees	20
31220 Attorney Applic.-New July	Examination application fees	20
31230 Completion Fee-July	Examination application fees	20
31240 Laptop Fee-July	Examination application fees	20
31250 Late Fees-Gen. Bar-July	Examination application fees	20
31260 Late Typing Fee-July	Examination application fees	20
31310 1st Year Law Student Exam.-Jun	Examination application fees	20
31330 Laptop Fee-June	Examination application fees	20
31340 Late Fees-FYLS -June	Examination application fees	20
31350 Late Typing Fees-FYLS -June	Examination application fees	20
31410 1st Year Law Student Exam.-Oct	Examination application fees	20
31430 Laptop Fee-October	Examination application fees	20
31440 Late Fees-FYLS -October	Examination application fees	20
31450 Late Typing Fees-FYLS -October	Examination application fees	20
31500 Reg. As an Atty. Applicant	Examination application fees	20
31600 Reg. As a Law Student Late Fee	Examination application fees	20
31700 Registration as a Law Student	Examination application fees	20
32030 Hearing de Novo Filing Fee	Examination application fees	20
32040 Extension	Examination application fees	20
32050 Determination	Examination application fees	20

32080 Accelerated Processing	Examination application fees	20
32510 Client Trust Account Revenue	Trust account revenue	28
33010 MJP Late Fees	Membership fees and donations	10
33020 Specialist Annual Fees	Legal specialization fees	24
33040 Recertification Fees	Legal specialization fees	24
33050 Specialist Miscellaneous Fees	Legal specialization fees	24
33200 Application Fees	Legal specialization fees	24
33210 Applic. Filing Fees	Legal specialization fees	24
33260 Late Applic. Filing Fees	Legal specialization fees	24
33270 CTC Renewal Fees	Legal specialization fees	24
33271 CTC Accreditation Fee	Legal specialization fees	24
33610 Sections Atty. Membership Fees	Law practices (sections) fees	71-89
33620 Sections Associate Membership	Law practices (sections) fees	71-89
34010 Registration as a Law Corp.	Law corporation registration fees	10
34020 Late Fee-Law Corp.	Law corporation registration fees	10
34030 Annual Report-Law Corp.	Law corporation registration fees	10
34040 Special Reports-Law Corp.	Law corporation registration fees	10
34510 Investment Income	Investment income/(loss)	All
34520 Unrealized Gain/Loss on Invest	Investment income/(loss)	10
35010 Commercial Exhibits	Convention income	14
35020 Miscellaneous Convention Incom	Convention income	14, 71-89
35030 Pre-Registration Fee	Continuing legal education fees	10, 83
35030 Pre-Registration Fee	Convention income	14, 17
35040 Registration - On Site	Convention income	14
35610 LLP Registration	Law corporation registration fees	10
35620 LLP Renewal	Law corporation registration fees	10
35710 MCLE Application Fees	Continuing legal education fees	10
35710 MCLE Self Study Test	Continuing legal education fees	10
35720 MCLE Provider Fees	Continuing legal education fees	20, 24
35730 MCLE Provider Renewal Fees	Continuing legal education fees	20, 24
35740 MCLE Activity Fees	Continuing legal education fees	20, 24
35750 Member Credit Req.	Continuing legal education fees	10
35760 Ex/Mod. Application Fees	Continuing legal education fees	10
35770 Late Compliance Fees	Continuing legal education fees	10
35780 Reentry Fee	Continuing legal education fees	10
36010 Grant Revenue	Grants	10, 12, 84
36010 Grant Revenue - EAF	Grants	29
36020 Corporate Sponsorship Revenue	Grants	12, 17, 36
36030 AB 145 Filing Fee - EAF	EAF AB145 filing fee revenue	29
36040 Ptnr Grant - EAF	Grants	29
36050 Ptnr Grant - AB145	EAF AB145 filing fee revenue	29
36520 Advert Revenue-CalBar Connect	Advertising revenue	18
36530 Advertising Revenue	Advertising revenue	14, 71-89

36540	Classified Advertising Revenue	Advertising revenue	10
36550	Internet Adv. Revenue	Advertising revenue	All
37010	Seminar and Workshop Revenue	Seminar/workshop revenue	All
37510	Rental Income	Investment income/(loss)	23, 26
37510	Rental Income	Rental income	35
37510	Rental Income-180 Howard St	Investment income/(loss)	26
37520	Rental Income-Conf Rm/Parking	Investment income/(loss)	26
37530	Late Fee on Rental Income	Rental income	26
37540	Operating Expenses Reimb	Rental income	35
38120	Admission Certificates	Other	20
38121	Annual Law School Report Fees	Other	20
38130	Bad Check Charges	Other	20
38140	Copies Exam Book	Other	20
38150	Law Office Study Intent	Other	20
38160	Law Office Study Report	Other	20
38170	MBE Answers	Other	20
38180	Other Revenue-Admissions	Other	20
38190	School Visitation	Other	20
38200	Administrative Cost Reimb-AOC	Other	29
38200	Selected Answers	Other	20
38210	Transcript Fees	Other	20
38300	All Other Miscellaneous	Legal specialization fees	20
38300	All Other Miscellaneous	Other	All Other Funds
38310	Subs. renewal-nontaxable	Other	10
38330.01	Royalty - BOA	Affinity Insurance revenue	18
38330.02	Royalty - Esqsites	Affinity Insurance revenue	18
38330.03	Royalty - CSN	Affinity Insurance revenue	18
38330.06	Royalty - Tmobile	Affinity Insurance revenue	18
38330.07	Royalty - Lenovo	Affinity Insurance revenue	18
38330.08	Royalty - UPS	Affinity Insurance revenue	18
38330.09	Royalty - Office Max	Affinity Insurance revenue	18
38330.13	Royalty - Hertz	Affinity Insurance revenue	18
38330.14	Royalty - Fromyouflowers	Affinity Insurance revenue	18
38330.18	Royalty - Themis Solutions	Affinity Insurance revenue	18
38330.19	Royalty - SurePayroll	Affinity Insurance revenue	18
38331	Pass Thru to Foundation	Other	18
38331.01	BOA-Pass Thru to Foundation	Affinity Insurance revenue	18
38331.08	UPS-Pass Thru to Foundation	Affinity Insurance revenue	18
38331.09	OffMax-Pass Thru to Foundation	Affinity Insurance revenue	18
38335	Marketing Contributions	Other	18
38400	Commissions Received-Insurance	Other	18
38400.01	Life	Affinity Insurance revenue	18
38400.02	Accidental Death & Dismemberme	Affinity Insurance revenue	18

38400.03 Workers Compensation	Affinity Insurance revenue	18
38400.04 Disability	Affinity Insurance revenue	18
38400.05 Long Term Care	Affinity Insurance revenue	18
38400.06 Auto & Homeowners	Affinity Insurance revenue	18
38400.07 Healthcare 1	Affinity Insurance revenue	18
38410 Court Order Sanction	Other	27
38510 CTA School	Other	10
38520 Ethics School Class Fees	Other	10
38600 BoA Settlement	Other	28
38600 Rental Loss Recovery	Other	26
38700 Citi Settlement	Other	28
38700 Fee Arbitration Revenues	Other	10
38800 Outside Label Revenue	Other	10
38920 FLC Annual Report Fees	Other	20
39100 Practical Training Fees	Other	20
39210 Processing Fees-Application	Other	20
39220 Proc. Fee-Certification	Other	10
39240 Proc. Fee-Oath Cards	Other	10
39400 Pro Hac Vice Fees	Other	20
39410 Out-of-state Atty. Arb. Fee	Other	20
39510 Sale of Publication 250	Other	10
39510 Sales of Ethics Opinion	Other	10
39520 Sale of Trust Acctg Handbook	Other	10
39520 Sales of Pamphlets	Other	10, 24, 71-89
39530 Sale of e-Publications	Other	10
39540 Ticketed revenues	Other	14, 71-89
39550 Net revenue sharing	Other	14, 71-89
39600.10 Transfer In From General Fund	Transfers in	All
39600.12 Transfer In From Grants Fund	Transfers in	All
39600.18 Transfer In From A&I Fund	Transfers in	All
39600.18 Transfer In From Insurance Fnd	Transfers in	All
39600.26 Trsf In From SF Bldg Fund	Transfers in	All
39600.26 Trsf. In From Building Fund	Transfers in	All
39600.31 Transfer In From IT Spec. Fund	Transfers in	All
39600.32 Trsf In From Justice Gap Fund	Transfers in	All
39600.33 Trsf. In From Bldg Asses. Fund	Transfers in	All
39600.35 Trsf In From LA Bldg Fund	Transfers in	All
39600.88 Transfer in from Educ Fd	Transfers in	All
39650.14 Trsf In LA Fac-Indirect-AnnMtg	Transfers in	All
39650.21 Trsf In LA Fac-Indirect-LAP	Transfers in	All
39660.35 Trsf In-InterLoan Interest&Pri	Transfers in	All
39710 Interfund Transaction-Revenue	Transfers in	All

Object Groups - Object Codes

Description

Regular Salary & Benefits

- 40110 Salaries - Regular
- 40115 Salaries - Special
- 40140 Payroll Tax Allocation
- 40150 Fringe Allocation
- 40151 Health Insurance
- 40152 Other Insurance
- 40153 CalPERS Retirement
- 40159 Misc Benefits
- 40170 Award/Recognition
- 40180 Dues & Membership
- 40190 Recruiting Expenses
- 40200 Rideshare Program Reimbursemen
- 40210 Salary Savings Reserve

Supplemental Staffing

- 40120 Salaries - Casual Hourly
- 40130 Salaries - Overtime
- 40160 Temporary Outside Help

Travel & Training

- 40220 Seminars and Training
- 40510 Travel - Staff
- 40520 Travel - Exam
- 40521 Exam travel-Feb GBX
- 40526 Exam travel-Dec Admission
- 40530 Travel - Others-Monitor
- 40540 Travel - Speakers
- 40550 Travel - Volunteers
- 40560 Travel - Monitoring
- 40570 Business Expenses
- 40580 Business Expenses-BOT Preside
- 40590 Catering
- 40600 Meeting Room Rental
- 40610 Public Member Per Diem

Supplies and Postage

- 41010 Books and Publications
- 41020 Postage
- 41030 Stationery and Office Supplies
- 41040 Subscriptions
- 42510 Copier Related Expenses
- 42520 Copier Loan Interest Expenses
- 42530 Copier Rental Expenses
- 42540 Copier Repairs/Maintenance
- 42550 Copier Supplies

42560 In House Copier Usages Alloc.
42570 In House Copier Over/(Under) A
42590 Per Copy Charges
42600 Printing supplies

Professional Services

43510 Professional Services

Exam & Software Licensing

43740 Laptop License
43750 Laptop Fee-Onsite Support
43780 Multi-State Bar Exam.

Exam Room Rental

42030 Exam. Room Rental-Feb. GBX
42040 Exam. Room Rental-June FYLSX
42050 Exam. Room Rental-July GBX
42060 Exam. Room Rental-Oct FYLSX

Exam Proctors

40230 Proctors
40240 Proctors-February GBX
40260 Proctors-June FYLSX
40270 Proctors-July GBX
40280 Proctors-October FYLSX

Exam Graders

43860 Graders Book Fee-February
43870 Graders Book Fee-July
43880 Graders-Essay Pre-Test
43890 Graders-February GBX
43900 Graders June FYLSX
43910 Graders July GBX
43920 Graders October FYLSX
43930 Graders-Pre-Test
43940 Reappraisers

Occupancy

42070 Garbage Services
42090 Janitorial Services-Contract
42100 Janitorial Supplies
42110 Moving Expenses
42120 Office Rental
42140 Common Area Maintenance - Transamerica
42150 Office Rental - Other Location
42170 Office Rental - Transamerica
42180 Parking - Lease Contracts
42190 Repairs and Maintenance- Build
42245 Security Supplies
42250 Security-Alarm
42260 Security-Guard

42270 Security Guard - February GBX
42280 Security Guard - June FYLSX
42290 Security Guard - July GBX
42300 Security Guard - October FYLSX
42320 Electric
42330 Gas
42340 Water/Sewer
42350 Emergency FLS Supplies
42410 Engineering Services
42420 Engineering Supplies
42730 Equipment Rental
42770 Furniture Rental
42780 Repairs and Maintenance - Equi
42790 HVAC
47050 Insurance

Telecommunications

41050 Telephone
41060 Fax Broadcast
41070 Telephone - Exam
41080 Telephone June - FYLSX
41090 Telephone July - GBX
41100 Telephone October - FYLSX

Other Outside Services

42200 Electrical - Exam
42210 Elect.-June FYLSX
42220 Elect.-July GBX
42230 Elect.-October FYLSX
43511 Appointed Counsel Fees
43520 Prof Serv-OGC Pro Law Proj
43540 Hotel Labor
43550 Photography
43560 Shuttle
43570 Exhibit Services
43580 Facilitator's Fees
43581 Participation/Evaluation Exp
43582 Treatment Expenses
43590 Interest earned on fac. Fees'
43600 Reimb. From participants-fac.
43610 Honorarium
43620 Interpreter's Fees
43640 Investigators/Comm.
43700 Character Records
43730 Fingerprinting
43760 Misc. Expts./Committee
43790 Psych. Expts./Exams. Fee
43810 Question Development
43820 Question Purch. & Preparation
43950 Witness Fees/ SB Hearings
43960 Writers

43970 Graders
44000 Photo/Awards/Certificates
44010 Awards
44040 Publicity
44050 Annual Meeting Operation
44100 Reporting and Transcribing
44120 Outside Printing
44130 Outside Services-Printing-Desi
44140 Outside Services-Printing-Othe
44150 Typesetting
44160 Finishing outside services
44170 Finishing outside services-gra
44560 Outside services-others
44570 Copyright Fees
44580 Delivery Services
44590 Delivery Svcs.-Feb. GBX
44600 Delivery Svcs.-July GBX
44620 Document Destruction
44630 File Retention
44640 Marketing and Advertising
44660 Audio/Video Productions
44670 Comp. Services - Outside
44680 Legislative Billing Services
45000 Ticketed Event Expenses
45010 Outside Mailing Services
45030 Deposition Fees
45040 Witness Fees
45050 Process Servers
45060 Arbitrations-Local Bar
45070 Bank Processing Fees
45110 Court Related Costs
45570 Collection Fees

CSF Applications

46010 CSF Claims Paid

Legal Services Grants

47110 Grants Expenses-Tech Assist

Computers & Software

41510 Computer Software Purchase
41520 Computer Supplies
41530 Equipment - Hardware Purch. Ca
41540 Equipment - Hardware Purchases
41550 Internet Software
41560 Repairs and Maintenance-PC
41570 Software Maintenance
41580 Software Purch. Capitalization
41590 Web Hosting

Buildings & Equipment

- 42010 Building Improvements
- 42710 Equipment Purchase-Capital
- 42720 Equipment Purchase-Non-Capital
- 42750 Furniture Purchase-Capital
- 42760 Furniture Purchase-Non-Capital
- 42810 Ergonomic Expenses

Retiree Medical Funding

- 40154 OPEB Normal
- 40300 OPEB/ARC Expenses

Debt Service

- 47060 Interest expense-loans

Other Expenditures

- 44565 Outreach Fund-Ad Campaign
- 46020 Misc. Funds Ordered to CSF
- 46110 Bad Debts
- 46140 Minor Amount Write Off
- 46160 Disputed Tax or Freight
- 46220 Non-Section Mbr Dues Expenses
- 46520 Abandoned Case Expenses
- 46550 Contingency Reserve
- 47070 Miscellaneous Expenses
- 47080 Pcard Clearing Default Account
- 47090 Sections/Educ. Found. Funding
- 47230 CalBar Journal Internal Adv. C
- 47240 In House Computer Service
- 47250 In House Printing Service
- 47290 Legislative Advocacy
- 47310 Sections Assessment
- 47320 Section Council Expenses
- 48010 G&A/Sub-program intrafund allo
- 49710 Interfund Transaction-Expenses

Indirect Costs

- 47210 Indirect Costs Non-GF
- 47280 Indirect Costs – GF

Reimbursements

- 45510 LAP - Cost Reimb. Collection
- 45520 Disc. Costs reimb. Collections
- 45530 Discipline Cost Reimbursement
- 45540 CSF Int. Collection
- 45550 CSF Coll. Received from Cook,P
- 45560 CSF Coll. Exp. Paid to Cook,Pe
- 45590 Misc. Expenses Collection-CSF

Interfund Transfers

- 49600.10 Transfer Out To GF
- 49600.14 Transfer Out To Annual Mtg Fd

49600.18 Trsf Out To Insurance Fund
49600.19 Trsf. Out To Tech. Improv.
49600.20 Transfer Out To Admission Fd
49600.21 Transfer Out To LAP
49600.26 Trsf Out To SF Bldg Fund
49600.28 Transfer Out To LSTF
49600.35 Trsf. Out To LA Facility Fund

Glossary

Admissions Department – responsible for all activities pertaining to the admission of attorneys to the practice of law in the State of California. Its principal activities include developing, administering and scoring the Bar Exam as well as conducting moral character investigations.

Admissions Fund – accounts for the costs of administering the provisions of the State Bar Act pertaining to admission to the practice of law, as well as for the fees paid by applicants to defray these costs, including application fees, late fees and other incidental charges.

Affinity and Insurance Program Fund – accounts for insurance commissions received by the Bar for the sales of certain lines of insurance (such as professional errors and omissions coverage) to its members.

Annual Meeting Fund – accounts for the costs of the State Bar’s annual meeting and for the registration and other incidental fees.

Finance Office – responsible for the development and monitoring of the State Bar’s annual budget.

Bar-Wide Accounts – includes a number of revenue and expenditure lines which are meaningful for the Bar as a whole, but which are not connected with specific departments, programs or operations. Mandatory dues, which are resources supporting the Bar as a whole, make up the largest revenue item. Interest earnings on balances in the General Fund are also included here.

Baseline Budget - the starting point for the budget development. Salary/benefit costs are calculated by Finance based on MOU provisions and non-personnel costs are based on prior year adopted budget adjusted for a small inflationary increase.

Beginning Fund Balance – an amount representing at the end of the previous year, the total accumulation of resources received over the amount spent.

Building & Equipment – includes capital purchases

Building Fund – accounts for costs and revenues associated with the Bar-owned office building at 180 Howard Street, as well as for the proceeds for the \$10 per member building assessment.

CalPers – California Public Employees’ Retirement System, a multiple-employer plan that acts as a common investment and administrative agent for participating entities within the State of California.

Chief Trial Counsel Department – has primary responsibility for carrying out the disciplinary functions of the State Bar. This includes receiving and investigating complaints from members of the public, and, where necessary, acting as the prosecution in the quasi-judicial proceedings leading to the suspension and/or disbarment of attorneys in California.

Client Security Fund – accounts for the reimbursement to victims of attorney theft by processing, investigating, reviewing and approving applications.

Elimination of Bias & Bar Relations Fund – accounts for the proceeds of voluntary fees collected to support programs that address issues of access and bias in the legal profession and in the justice system based upon race, ethnicity, gender, sexual orientation, age, or disability; to increase participation of such diverse groups of attorneys who have been under-represented in the administration and governance of the Bar; and to maintain relations with voluntary bar associations.

Equal Access Fund – accounts for grant revenues received from State of California’s Equal Access Fund Program for the purpose of expanding the access of indigent persons to legal services in civil matters. The use of these revenues is legally restricted by statute and by the terms of the Bar’s contracts with the Judicial Council of California, which oversees the program.

Executive Director Department – is responsible for the overall direction and administration of the day-to-day operations of the State Bar, as well as for legislative activities on behalf of the Bar.

Expenditures – operating and capital expenses requiring the use of net current assets.

Fees – consists primarily of dues received from attorneys for annual licenses and application fees for the Bar exam.

Fixed Assets Fund – an accounting entity in which to record the depreciation of the Bar’s fixed assets. Currently the major fixed assets of the Bar consist of the 180 Howard Street building in San Francisco and a parking lot in Los Angeles.

Fund – a fiscal and accounting entity with a self-balancing set of accounts recording cash and other financial resources, together with all related liabilities and residual equity or balances and changes therein, which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations.

Fund Budget – presents the Bar’s budget by fund type.

General Counsel – functions as the State Bar’s lawyer with responsibility for providing legal advice and counsel to all departments of the Bar.

General Fund – accounts for all financial resources of the State Bar except those required to be accounted for in another fund.

Grants & Claims – expense category that includes Client Security Fund payouts and grant disbursements from IOLA and State Equal Access grant proceeds.

Grants Fund – accounts for revenues received by the State Bar from a variety of granting agencies and other sources.

Human Resources Department – responsible for policies governing the compensation of State Bar employees, for negotiation with the Bar’s collective bargaining units, and for advising Bar staff with regard to personnel matters.

Information Technology Department— responsible for the Bar’s IT infrastructure (including PC’s, networks, servers, and mini-computers), for custom software development, for maintenance and administration of the Bar’s existing software, and for the Bar’s public-facing internet presence.

Interfund Transfer – the movement of money between funds of the Bar. The transfer will be a resource in the receiving fund and an operating requirement in the transmitting fund. Transfers indicate the amount of support provided from the General Fund to the Annual Meeting and Lawyers Assistance Program funds.

Initiatives – identified goals and areas of specific focus for the budget year.

IOLTA – Interest on Lawyer Trust Accounts.

Information Technology Special Assessment Fund – accounts for mandatory dues assessed to members for the upgrade of technology systems, including purchasing and maintenance costs and both computer hardware and software. Special assessment fee sunsets in 2011.

Interest Income – earnings received on the investment of State Bar cash balances.

Internal Charges – costs of providing a variety of administrative and support services to direct program service areas. Support departments include the Offices of Finance, General Counsel, Human Resources, and Information Technology.

Justice Gap Fund – accounts for voluntary contributions from members to legal aid pursuant to AB 2301. Funds are used to help close the justice gap for needy Californians.

Lawyer Assistance Program Fund – accounts for the portion of the mandatory annual membership fees legally restricted to the support of an attorney diversion and assistance program, as well as other resources obtained by the State Bar in support of this program. By statute, the program is intended to assist in the identification and rehabilitation of attorneys with impairments due to mental illness or substance abuse.

L.A. Facilities Fund—In November 2012, the State Bar purchased a real property located at 845 South Figueroa Street in Los Angeles. This L.A. Facilities Fund was set up to account for all the activities related to this property.

Legal Service, Access and Fairness Department – responsible for several programs intended to ensure that all Californians have appropriate access to the legal system, regardless of income or minority status.

Legal Services Trust Fund – accounts for resources received by the Bar under contract with the State Supreme Court for distribution to local programs, which provide access to legal services for low-income individuals. Primary revenue sources include interest on attorney trust accounts, legislative appropriations, and a state-imposed surcharge on legal filing fees.

Legal Specializations Fund – accounts for the costs of the State Bar’s program for the certification of attorneys within specific areas of practice.

Legislative Activities Fund – accounts for the portion of member dues legally available to support the Bar’s legislative advocacy role. Members who decline to support the Bar’s activities in this area have the option of withholding this portion of their annual dues. The resources of this fund support the Bar’s legislative activities as well as a number of public policy oriented committees.

Mandatory Fee Arbitration – provides arbitration in cases of attorney-client disputes over legal fees, primarily through local bar associations.

Media & Information Services Department – primarily responsible for communications between the Bar, its members, and the general public. MIS produces the California Bar Journal, and is responsible for public outreach, press relations, and the content of the Bar’s website.

Member Dues – fees paid by attorneys to practice law.

Member Services Department – responsible for a variety of services provided by the Bar to its members, including maintenance of member records, the member service center, insurance programs, and the Lawyer Assistance Program (LAP).

MOU – memorandum of understanding

Non-Departmental – revenues and expenses not identified to specific departments, programs or Bar operations.

Non-Departmental Budget – accounts for a variety of line items, which are not associated with specific departments, programs or Bar operations.

Obsolete Accounts – a holding area for certain accounts that are generally no longer in use, but that may have small historical amounts associated with them. .

Operations Department – responsible for the Bar’s physical facilities and real estate

Other Expenditures – miscellaneous expenditures such as in-house printing charges

Other Post Employment Benefits (OPEB) – executive staff retirement health care benefits.

Payroll Savings - savings of salary, benefits, and payroll tax amounts generated from staff turnover and vacancies.

Performance Measure – a quantification of the effectiveness and efficiency with which program objectives have been accomplished.

Personnel Expenditures - salaries, health insurance, retirement costs, payroll taxes and other employee benefits

Planning Category Budget – organizes the Bar’s budget according to the departments and service areas defined in the departmental work plans within the context of the Bar’s strategic planning framework

Probation Department– monitors probationer compliance with court orders, providing timely information to Superior Court, State Bar Court and probationers regarding non-compliance, and assisting probationers to successfully return to the practice of law.

Professional Competence Department – responsible for developing and publishing standards and guidelines pertaining to ethics in the practice of law in California

Public Protection Fund – accounts for reserves set aside to ensure the continuity of the Bar’s ability to protect the public in the event that it is unable to collect member dues.

Restricted Funds – funds that account for fees and expenditures in accordance with special regulations, restrictions or limitations

Revenue – income sources including member dues, applications fees, grants, facility rentals and interest income

Sections Fund – accounts for the costs of the Sections of the State Bar, which are advisory and educational organizations addressing the concerns and interests of specific segments of the legal profession. By law the Sections are required to be financially self-supporting, primarily by means of voluntary fees paid by Section members.

Service Areas – an organized set of activities carried out to accomplish a specified goal. Service areas are identified in departmental work plans.

Staffing – authorized permanent positions.

State Bar Court – hears the charges and has the power to recommend that the California Supreme Court suspend or disbar those attorneys found to have committed acts of professional misconduct or convicted of serious crimes.

Supplies & Services – expenditures such as postage, outside printing, proctor costs, exam graders, consultants, and rent.

Support and Administration Fund – accounts for the costs of providing a variety of administrative and support services – such as legal counsel, finance, information technology, and human resources – to the operational programs of the Bar. Costs accumulated in this fund are recovered from the Bar’s operating funds in accordance with an indirect cost allocation plan.

Technology Improvement Fund – accounts for the costs of certain technology capital projects. For 2009, the remaining fund balance in the Discipline Fund is consolidated within this fund.

Workload – information relating to the activity levels and outputs of a specific service area.