

United States Bankruptcy Court  
Central District of California



**Long Range Plan**

**September 2001**

**Honorable Geraldine Mund, Chief Judge  
Jon D. Ceretto, Executive Officer/Clerk of Court**

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## Introduction

The third revision of the Long Range Plan for the United States Bankruptcy Court, Central District of California, was approved by the Board of Judges on September 28, 2001. The Court issued its first plan in April of 1994, and completed a substantial revision in March 1998.

The new Plan addresses the Court's strategy for meeting the challenges it will face in the years ahead. It reflects recent changes in the Court's environment, such as new technology and dwindling resources, while continuing to promote advancements in efficiency, customer service, staff development, and ethical conduct.

The September 2001 Plan is divided into four categories: (1) immediate, high-priority objectives; (2) long-term priorities; (3) maintenance goals (i.e., items that although completed, continue to be monitored so there is no decline); and (4) an historical list of accomplishments relating to the objectives identified in previous versions of the Court's Plan.

## Mission Statement

The mission of the United States Bankruptcy Court for the Central District of California is to serve the public by:

- < Resolving matters referred to the Court in a just, efficient, and timely manner
- < Supplying prompt and accurate information
- < Responding fairly and courteously to the needs of the entire community
- < Providing leadership in the administration of justice in the bankruptcy system

In fulfilling our mission, the Court recognizes the importance of:

- < Demonstrating respect for the dramatic impact that bankruptcy has on the lives of our customers
- < Instilling confidence in the competence, impartiality, and ethics of the entire Court

# **Long Range Plan**

## *Section 1*

### ***Immediate, High Priority Goals***

Goal #	Description
<b>ISSUE: Ethics and Standards of Conduct (ES)</b>	
ES4	Foster civility within the Court environment.
ES4 <i>sub-goal</i>	Create civility guidelines for Court that addresses interactions between judges and public, staff and public, judges and staff, and judges to judges. Furthermore, create a Court civility training program for attorneys, judges, and staff.
<b>ISSUE: Case Management (CM)</b>	
CM6A	Create guidelines for complex chapter 11 case management.
CM6B	Eliminate wasteful and inefficient judicial variances without inappropriately interfering with a judge's judicial responsibilities.
CM6C	In the next 12 to 24 months, the Court will implement the automation priorities in the following order: (1) AO-directed Lotus Notes e-mail conversion; (2) electronic filing; (3) upgrade the DCN to the new AO standards (frame-relay and gigabit speed); (4) new desktop operating system; and (5) develop and implement a new calendaring program.

Goal #	Description
<b>ISSUE: Human Resources (HR)</b>	
HR6C	Conduct a needs assessment to identify training and development needs as they are reflected in the mission, duties and goals of the area of assignment and/or in the performance review process. Incorporate a competency gap analysis into the assessment process.
HR6D	Develop and implement a method for evaluating training and development to ensure application of skill learned.
HR6G	Enhance HR and employee communication through implementation of programs to provide "Employee Self-Service."
HR6H	Revise Personnel Policies and Information Handbook and make available on web site.

# **Long Range Plan**

## *Section 2*

### ***Long-Term Goals***

Goal #	Description
<b>ISSUE: Case Management (CM)</b>	
CM1C	Develop and implement a fully automated and integrated bankruptcy fiscal system.
CM2D	Implement “Windows-based” case management system.
CM3A	Implement court-wide, uniform self-scheduling system.
CM4G	Develop a cross-referenced topical index system for Court committee and Board of Judges discussions and actions to track issues, decisions, and implementation.
<b>ISSUE: Community Relations (CR)</b>	
CR1A	Establish relationship with minority and culturally diverse bar organizations.
CR1C	Determine information needs of community via surveys, focus groups, and interviews.
CR1C <i>sub-goal</i>	Use the focus group process in the areas of chapter 7 and 13 cases to achieve CR1C.

Goal #	Description
<b>ISSUE: Human Resources (HR)</b>	
HR6A	Create training and staff development programs to address the identified needs of all staff.
HR6B	Redesign employee performance evaluation process to incorporate performance standards and measurement, convey performance expectations, and provide employee feedback mechanisms.
HR6E	Develop and implement a program for succession planning to ensure the availability of a highly qualified work force to cover vacancies experienced through retirement, promotion and attrition.
HR6F	Create Individual Development Plans for Clerk's Office Staff which specify the training and development activities the employee was involved in during that previous rating period, the impact those activities had on the individual's performance, and the educational activities which would enhance performance during the next rating period.
HR6I	Develop mechanism to automate recording of time and attendance, ensuring that all audit guidelines are followed.
HR6J	Develop a management training program regarding the Personnel Policies and Information Handbook to ensure Court established guidelines are followed.
HR6K	Provide a comprehensive training program to employees regarding all Federal Employee Benefits.
HR6L	Develop a supervisory training/orientation program on HR policies and procedures including Time and Attendance, Performance Evaluations and Jury Service.

<b>Goal #</b>	<b>Description</b>
HR6N	Develop a program for judges and their staffs to foster appreciation and understanding of the duties, responsibilities, and contributions that deputy clerks make to the Court.

# **Long Range Plan**

## *Section 3*

### ***Maintenance Goals***

Goal #	Description	Accomplishments
<b>ISSUE: Leadership (LD)</b>		
LD1	Develop leadership skills throughout the Court.	<p>Significant efforts have been made to enhance leadership skills throughout the Court.</p> <p><u>Leadership Training Completed:</u> Federal Court Leadership Program, Adaptive Manager, Peer Coaching, Teamwork Essentials, Applied Supervision, Deputy Clerk Leadership Training, Performance Management, Zenger-Miller program, Applied Supervision, Front Line Leadership, CLEAR (Continuing Leadership Education and Realistic) Training, Leadership 2000, Essence of Leadership, Supervising in the Courts, Staff Mentor Program, Peer Coaching, Working Together, and other training. Tuition Reimbursement Program 1997-present.</p> <p><u>Clerk's Office Retreat Leadership Topics:</u> Analysis of Performance Management Systems; Administering Performance Appraisals; Planning Our Performance Management System; Coping with Change; Hire the Right Person-Effective Interviewing; Exceptional Leaders in Exceptional Organizations (Dr. Arthur Lange), and other topics.</p> <p><u>Other Examples of Leadership Development:</u> Appointing project leaders (i.e., E-Filing, Quality Assurance).</p>
LD2	Increase effectiveness of the Court's communication and working relationships with other federal courts, agencies and Congress.	<p>Online Case Files, Judicial Workload Equalization Program (JWEP), Visiting Judge Program, U.S. Trustee Liaison Committee, Fraud Task Force, IRS participation in Court's Electronic Bankruptcy Noticing program (EBN), FAS<sub>4</sub>T training, participation in various U.S. Agency for International Development programs (Romania), Methods Analysis Program (MAP) and other projects/programs where Clerk's Office staff participate with and provide support to other agencies and bankruptcy courts. Free PACER access provided to certain law enforcement agencies.</p> <p>Representation on the District Court's Bankruptcy Committee and other District Court committees, biweekly meetings with the other court unit executives, membership on Circuit and Conference Committees, designated liaisons for the House and Senate, joint meetings of the District and Bankruptcy Court executive committees. Annual Reports provided to our district's Senators and Representatives. Judge Fenning's written communications to the U.S. House of Representatives regarding the Private Trustee Reform Act of 1997. Meetings of Chief Judge Mund with Senators Feinstein and Boxer.</p>

Goal #	Description	Accomplishments
LD3	Improve communication and relations with state courts and legislative branches.	Free webPACER access provided to certain Law Enforcement agencies, Bankruptcy Fraud Task Force with State Courts, Article 9 Training.
LD4	Initiate and formalize cooperative efforts with professional organizations and groups.	<i>Pro Bono</i> programs coordinated with all divisions and local bar associations. Los Angeles County Bar - Executive Officer/senior staff attend meetings and provide reports; Bankruptcy Forums, Bankruptcy Fraud Task Force, Bench/bar committee regarding guidelines for complex chapter 11 cases, Judges' participation in local bar associations and other outside professional organizations.
<b>ISSUE: Ethics and Standards of Conduct (ES)</b>		
ES1	Provide an impartial Court environment to all users.	Utilizing equipment to enable speech-impaired individual to participate in hearings; handicapped access to facilities. Interpreter policy formulated. Ninth Circuit gender bias program. Judges' training at March 2000 BOJ Meeting with Dr. Zimmerman titled "Communication Strategies in Bankruptcy Court." <i>Pro Bono</i> programs provide support to <i>pro se</i> debtors.
ES2	Foster a workplace free of bias.	EEO/EDR Plan became effective in January 1999, with all staff provided with copies of the plan for their Personnel Handbooks and trained in its provisions. Grievance Procedure/EDR Plan training presented to management staff. Annual EEO report. Diversity training and sexual harassment training.
<b>ISSUE: Case Management (CM)</b>		
CM1A	Institute ongoing communication among judges, judicial staff, and Clerk's Office regarding expectations, progress and case processing performance.	There is much communication occurring regarding expectations, progress and performance through monthly, quarterly, and annual reports. Also, there is friendly 'competition' between the divisions with the Closing Trophy and the TIDE Award, with monthly feedback provided to staff on performance.  Closing standards/monthly reporting, TIDE (Time-to-Image/Docket Excellence) standards/monthly reporting, Bankruptcy Program Indicators, Newsletter articles re: performance, quality measures posted on web, intranet access to "Staff News," TIDE/Closing goals/status, Full Court Press, QC/ICS quality reporting. Feedback to staff at various meetings (e.g., Employee of the Month Ceremonies, divisional Employee of the Month/Quarter, Annual Awards Ceremonies).

Goal #	Description	Accomplishments
CM1B	Develop and implement district-wide quality control program to monitor and evaluate case management functions.	QC/ICS - Case Initiation review (100%), transcript review, docketing review by team leaders, appeal review, re-open policy, dismissal policy, report on cases closed prior to expiration of 10-day appeal period.
CM2F	Review and evaluate performance of all case processing functions: opening, docketing, noticing, filing, calendaring, handling correspondence, conforming copies, recording proceedings, retrieval of and routing files to judges, and closing.	Bankruptcy Program Indicators (national), case aging reports, QC/ICS, Time-to-Image/Docket Excellence (TIDE) monthly statistics/tracking, Methods Analysis Program (MAP), transcript review, docketing review, etc.
CM2G	Eliminate or reduce redundancies and delay points in the processing of cases.	Auto Closing of Discharged Cases, Auto Closing of Dismissed Cases, CMatrix, automated docketing and noticing of 341(a) meetings, automated docketing of certificates of mailing, ICS to NIBS interface, Closing-to-Image, docket-driven events, etc.
<b>ISSUE: Community Relations (CR)</b>		
CR1B	Make frequently-used informational documents available in multiple languages.	Separate pamphlets of general bankruptcy information for chapters 7, 11, and 13 available in Spanish on the Court's web site and at divisions. Selected information about reaffirmation agreements and the Debtor's Assistance Program in Spanish.
CR2A	Initiate periodic, outside input on Court operations.	Methods Analysis Program (MAP), Customer Service Survey available on the Court's web site and at each division. Modified billing module for webPACER to allow identification of client information as a result of feedback.

Goal #	Description	Accomplishments
CR3C	Explore opportunities and make available Court representatives to participate in the education of the public concerning issues related to bankruptcy.	Judges and Clerk's Office staff speak at many functions, <i>Pro Bono</i> programs in all divisions, Public Information Desks provide the public with a video presentation on the bankruptcy process, printed information and forms, as well as <i>pro bono</i> referrals.
CR3D	Initiate and maintain a regular liaison with local members of Congress.	Chief Judge Mund assigned judges to congressional staff.
<b>ISSUE: Human Resources (HR)</b>		
HR1C	Develop and implement an online training system covering all automated system applications used by the Court.	Online Manuals: NIBS Docket Code Dictionary, Citrix Users Manual, and Attorney Admissions Database Instructions.
HR1D	Create a training program for all staff using the Code of Conduct.	Clerk's Office provided a Code of Conduct section for their Personnel Policies and Information Handbook in 1996. All Clerk's Office staff were provided with an overview upon its introduction.
HR1E	Develop in-house training programs to prepare staff for broader technical, analytical, and managerial responsibilities, including compliance with government contracting laws.	Classes provided to staff: Adaptive Manager, Working, FAS <sub>4</sub> T, Train the Trainer, Presentation and Development Techniques, Leadership 2000, Hire the Right Person, Applied Supervision, writing and grammar classes, QuattroPro, WordPerfect, PowerPoint, etc.
HR1F	Continue the development of training programs to further develop employee job skills.	Classes provided to staff: writing and grammar classes, software training (QuattroPro, WordPerfect, PowerPoint, etc.), customer service, video production, CAC operations software (ICS, NIBS, CCP, VRMS, etc.), and others. Library (list posted on Court's web site) made available to staff consisting of books, audio and video tapes on subjects ranging from communication and management skills to bankruptcy.

Goal #	Description	Accomplishments
HR1G	Increase training and development of leadership skills at <u>all levels</u> .	Classes provided to staff: Applied Supervision, Performance Management, Presentation Skills, grammar and writing classes, etc., cross-training, certification program, staff details, etc.
HR1H	Increase training to develop written communication skills at all levels.	Writing and grammar classes provided regularly by outside vendor. Detail staff to assess and develop skills (e.g., Fiscal Manual.)
HR1I	Train staff to recognize and effectively deal with cultural diversity.	EDR training provided for management staff.
HR1J	Train staff on providing helpful and courteous service.	Clerk's Office developed and introduced customer service training program "The Public: How to Deal with Them," and AO-sponsored "Deputy Clerks Making a Difference" program, and "Dealing with Difficult People."
HR1K	Provide increased staff education about importance and role of bankruptcy system in general economy and legal system, tying that education to importance of job performance for real-life concerns of users.	"Lunch and Learn" programs, and "Deputy Clerks Making a Difference," Extern and Law Clerk training, and "Introduction to Bankruptcy." Full Court Press "Ask the Judges" column.
HR2C	Develop procedure manual for each position as training tool to encourage uniformity and facilitate establishing performance standards.	Intake Manual(s), certification training, comprehensive docketing procedures, established uniform district-wide policies for use of the Order to Comply (ORCO), Case Commencement Deficiency Notice (CCDN), Case Initiation Action Notice (CIAN), and Rejection Notice.
HR2G	Develop and implement a program to enhance employee job satisfaction.	Annual Awards Ceremonies, Employee of the Month (district-wide), and various Employee of the month/quarter programs in divisions, Cross-training of new skills, Certification Program, EAP presented "Coping With Change" all divisions.

Goal #	Description	Accomplishments
HR3D	Improve upward and downward communications among divisions and between divisional offices.	E-mail, Monthly Senior Staff Meetings, Annual seminars for team leaders and above, participants rotated, district-wide training, Full Court Press, Joint efforts: NIBS Procedures Manual, ICS/NIBS Committee, etc. Group Training: Abra, VRMS, FAS <sub>4</sub> T, and leadership training.
HR4A	Provide multilingual service capability (e.g., bilingual staff).	Translation services currently available within AO guidelines and a list of qualified interpreters (language and sign) is available through the JNet. Bi-lingual Clerk's Office staff assist public as needed.
HR4B	Improve human resource programs that ensure parity between the employee force and the labor force.	Employment Dispute Resolution Plan implemented, commuter benefits; child care; cafeteria plan; flexible spending plan; medical spending accounts; long-term care; retirement services; open season information; COLAs, Family Friendly Leave, locality pay differential, tuition reimbursement program, etc.
HR5A	Compare current personnel practices to personnel practices of other organizations and identify possible improvements in each practice.	Benefits: HR staff members attended 9th Circuit Annual HR Conferences in 1999 and 2000 with AO's Personnel Office and other federal judiciary HR professionals. Compared personnel practices in the areas of recruitment, benefits administration, personnel manual layouts, etc. HR also attended Judiciary Benefits Conferences in 1999 and 2000 to discuss personnel issues and network with other HR professionals. As a result of the conferences: Identified a need to create a Benefits Specialist position to handle the growing area of benefits administration in order to provide more effective service to Court staff. Filled the position in March 2000. Utilized knowledge gained at conferences to assist in implementation reduction in work force December 2000, which became especially useful in areas of save grade/saved pay and severance regulations. Able to effectively develop and present training seminars to staff on various benefits programs. As a result of training received, HR's ability to counsel staff on benefits programs, especially in retirement planning area, was enhanced. Based upon AO information receive at seminars, initiated an ongoing internal HR project to ensure that all staff are classified in correct retirement system.

# Long Range Plan

## *Section 4*

### *List of Accomplishments*

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
<b>ISSUE: Leadership (LD)</b>						
LD1	Develop leadership skills throughout the Court.	<p>Significant efforts have been made to enhance leadership skills throughout the Court.</p> <p>Leadership Training Completed: Federal Court Leadership Program, Adaptive Manager, Peer Coaching, and Teamwork Essentials, Applied Supervision, Deputy Clerk Leadership Training, Performance Management, Zenger-Miller program, Applied Supervision, Front Line Leadership, CLEAR (Continuing Leadership Education and Realistic) Training, Leadership 2000, Essence of Leadership, Supervising in the Courts, Staff Mentor Program, Peer Coaching, Working Together, and other training.</p> <p>Tuition Reimbursement Program 1997-present.</p> <p>Clerk's Office Retreat Leadership Topics: Analysis of Performance Management Systems; Administering Performance Appraisals; Planning Our Performance Management System; Coping with Change; Hire the Right Person-Effective Interviewing; Exceptional Leaders in Exceptional Organizations (Dr. Arthur Lange), and other topics.</p> <p>Other Examples of Leadership Development: Appointing project leaders (i.e., E-Filing, Quality Assurance).</p>			<	

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
LD2	Increase effectiveness of the Court's communication and working relationships with other federal courts, agencies and Congress.	<p>Online Case Files, Judicial Workload Equalization Program (JWEP), Visiting Judge Program, U.S. Trustee Liaison Committee, Fraud Task Force, IRS participation in Court's Electronic Bankruptcy Noticing program (EBN), FAS<sub>4</sub>T training, participation in various U.S. Agency for International Development programs (Romania), Methods Analysis Program (MAP) and other projects/programs where Clerk's Office staff participate with and provide support to other agencies and bankruptcy courts. Free webPACER access provided to certain law enforcement agencies.</p> <p>Representation on the District Court's Bankruptcy Committee and other District Court committees, biweekly meetings with the other court unit executives, membership on Circuit and Conference Committees, designated liaisons for the House and Senate, joint meetings of the District and Bankruptcy Court executive committees.</p> <p>Annual Reports provided to our district's Senators and Representatives.</p> <p>Judge Fenning's written communications to the U.S. House of Representatives regarding the Private Trustee Reform Act of 1997.</p> <p>Meetings of Chief Judge Mund with Senators Feinstein and Boxer.</p>				

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
LD3	Improve communication and relations with state courts and legislative branches.	Free webPACER access provided to certain law enforcement agencies. Bankruptcy Fraud Task Force with State Courts. Article 9 Training.			<	
LD4	Initiate and formalize cooperative efforts with professional organizations and groups.	<i>Pro Bono</i> programs coordinated with all divisions and local bar associations. Los Angeles County Bar - Executive officer/senior staff attend meetings and provide reports; Bankruptcy Forums. Bankruptcy Fraud Task Force. Bench/bar committee regarding guidelines for complex chapter 11 cases. Judges' participation in local bar associations and other outside professional organizations			<	
<b>ISSUE: Ethics and Standards of Conduct (ES)</b>						
ES1	Provide an impartial Court environment to all users.	Utilizing equipment to enable speech-impaired individual to participate in hearings; handicapped access to facilities. Interpreter policy formulated. Ninth Circuit gender bias program. Judges' training at March 2000 BOJ Meeting with Dr. Zimmerman titled "Communication Strategies in Bankruptcy Court." <i>Pro Bono</i> programs provide support to <i>pro se</i> debtors.			<	
ES2	Foster a workplace free of bias.	EEO/EDR Plan became effective in January 1999, with all staff provided with copies of the plan for their Personnel Handbooks and trained in its provisions. Grievance Procedure/EDR Plan training presented to management staff. Annual EEO report, diversity training, sexual harassment training.			<	
ES3	Foster a courtroom environment free of bias.	Interpreter policy, Judges' training - Dr. Zimmerman <i>Pro Bono</i> program.				O
ES4	Foster civility within the Court environment.	Clerk's Office staff attended FJC training designed to improve communication with co-workers and others. Judges' training at March 2000 BOJ Meeting with Dr. Zimmerman titled "Communication Strategies in Bankruptcy Court."	<			

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
ES4 <i>sub-goal</i>	Create civility guidelines for Court that addresses interactions between judges and public, staff and public, judges and staff, and judges to judges. Furthermore, create a Court civility training program for attorneys, judges, and staff.	News-sub-goal.				
<b>ISSUE: Case Management (CM)</b>						
CM1A	Institute ongoing communication among judges, judicial staff, and Clerk's Office regarding expectations, progress and case processing performance.	There is much communication occurring regarding expectations, progress and performance through monthly, quarterly, and annual reports. Also, there is friendly 'competition' between the divisions with the Closing Trophy and the TIDE Award, with monthly feedback provided to staff on performance. Examples of communication include: closing standards/monthly reporting, TIDE (Time-to-Image/Docket Excellence) standards/monthly reporting, Bankruptcy Program Indicators, newsletter articles re: performance, quality measures posted on web, intranet access to "Staff News," TIDE/Closing goals/status, Full Court Press, QC/ICS quality reporting, feedback to staff at various meetings (i.e., Employee of the Month Ceremonies, divisional Employee of the Month/Quarter, Annual Awards Ceremonies).			<	

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
CM1B	Develop and implement district-wide quality control program to monitor and evaluate case management functions.	QC/ICS - Case Initiation review (100%) Transcript Review, Docketing Review by Team Leaders, Appeal Review, Re-open policy, Dismissal policy, Report on cases closed prior to expiration of 10 day appeal period.			<	
CM1C	Develop and implement a fully automated and integrated bankruptcy fiscal system.	FAS <sub>4</sub> T, ICS (Intake Cashiering System), LAFS (Los Angeles Financial System).		<		
CM2A	Expand and enhance automated docketing.	Auto Closing of Discharged Cases, Auto Closing of Dismissed Cases, Cmatrix, Automated Docketing and Noticing of 341(a) Meetings, automated docketing of certificates of mailing, ICS to NIBS interface, docket-driven events, EDI; automated candidate list of dismissals; Closing-to-Image program.				<b>C</b>
CM2B	Determine the feasibility of, and develop an approach for, creating a “paperless” Court through the use of an electronic case filing system.	Electronic-Filing (E-Filing) project. Online case files, posting of most current version of documents (e.g., Docket Code Dictionary, Telephone Directory, forms, various publications) on Court’s web site, <i>cc:Mail</i> .				<b>C</b>
CM2C	Develop and implement “file anywhere, anytime” policy.	Drop box, use of Citrix server to allow connection to Los Angeles ICS from Santa Ana during DNC. Concept superseded by E-Filing.				<b>O</b>
CM2D	Develop and implement “Windows-based” case management system.	Development of various components for NIBS in Visual FoxPro (e.g., auto closing of discharged and dismissed cases, auto docketing and noticing of 341(a) meeting, Pending Chapter 11 report). Court to move to CM/ECF.		<		

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
CM2E	Convert to one uniform case management system for the entire district.	All divisions using same integrated versions of NIBS/ ICS/ CCP/VRMS.				<b>C</b>
CM2F	Review and evaluate performance of all case processing functions: opening, docketing, noticing, filing, calendaring, handling correspondence, conforming copies, recording proceedings, retrieval of and routing files to judges, and closing.	Bankruptcy Program Indicators (national), Case Aging Reports, QC/ICS, Time-to-Image/Docket Excellence (TIDE) monthly statistics/tracking, Methods Analysis Program (MAP), transcript review, docketing review, etc.			<	
CM2G	Eliminate or reduce redundancies and delay points in the processing of cases.	Auto Closing of Discharged Cases, Auto Closing of Dismissed Cases, Cmatrix, Automated Docketing and Noticing of 341(a) Meetings, automated docketing of certificates of mailing, ICS to NIBS interface, Closing-to-Image, docket-driven events, etc.			<	
CM3A	Implement court-wide, uniform self-calendaring system.	Interim self-calendaring systems implemented by participating judges.		<		
CM3B	Develop uniform system for early publication of tentative rulings.	Court Calendaring Program (CCP) tentative ruling feature available for participating judges.				<b>C</b>
CM4A	Implement video conferencing pilot project in at least 4 divisional offices within the district.	All divisions equipped with video hearing technology, 5 judges using video to handle inter-divisional caseload.				<b>C</b>

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Maintenance	Completed/Obsolete
CM4B	Implement an electronic files system within the court to make documents available online to all interested parties.	Online case files available in all divisions.				C
CM4C	Review and determine the feasibility and desirability of accepting filings by fax.	Superseded by E-Filing.				O
CM4D	Develop and implement an automated system to provide case information.	webPACER, Voice Case Information System (VCIS), online case files, Court's web site (for high profile cases).				O
CM4E	Develop and implement an automated system to provide calendar information and self-scheduling capability.	Court calendar automated through Court Calendar Program (CCP) in all divisions, with data available through webPACER and lobby kiosks. Self-scheduling also available by voice mail systems with participating judges.				C
CM4F	Develop an online universal forms catalog.	Court's web site provides staff and the public with most current online forms.				C
CM4G	Develop a cross-referenced topical index system for Court committee and Board of Judges discussions and actions to track issues, decisions, and implementation.	Posting list of Committee assignments on Court's Intranet.		<		

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Maintenance	Completed/Obsolete
CM5A	Revise, simplify and renumber the Local Rules. Coordinate with the District, Circuit and Local Advisory Committee on Bankruptcy Rules projects regarding local rule organizational structure.	Revision of Local Rules completed changing, modification of the numbering system to conform to the national rules.				<b>C</b>
CM6A	Create guidelines for complex chapter 11 case management.	<i>NewGoal</i>	<			
CM6B	Eliminate wasteful and inefficient judicial variances without inappropriately interfering with a judge's judicial responsibilities.	<i>NewGoal</i>	<			
CM6C	In the next 12 to 24 months, the Court will implement the automation priorities in the following order: (1) AO-directed Lotus Notes e-mail conversion; (2) electronic filing; (3) upgrade the DCN to the new AO standards (frame-relay and gigabit speed); (4) new desktop operating system; and (5) develop and implement a new calendaring program.	<i>NewGoal</i>	<			

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Maintenance	Completed/Obsolete
<b>ISSUE: Community Relations (CR)</b>						
CR1A	Establish relationship with minority and culturally diverse bar organizations.			<		
CR1B	Make frequently-used informational documents available in multiple languages.	Separate pamphlets of general bankruptcy information for chapters 7, 11, and 13 available in Spanish on the Court's web site and at divisions. Selected information about reaffirmation agreements and the Debtor's Assistance Program in Spanish.			<	
CR1C	Determine information needs of community via surveys, focus groups, and interviews.	Customer Service Survey available on the Court's web site and at each division. Example - PACER billing module by client introduced based on feedback from users. Judicial Variance Survey.		<		
CR1C <i>sub-goal</i>	Use the focus group process in the areas of chapter 7 and 13 cases to achieve CR1C.	<i>New sub-goal</i>				
CR1D	Make translation services available, as feasible.	Translation services currently available within AO guidelines and a list of qualified interpreters (language and sign) is available through the JNet. Bilingual staff provide support as-needed in Clerk's Office. CA(C) Bankruptcy Court Interpreter policy (April 2001).				<b>C</b>
CR2A	Initiate periodic, outside input on Court operations.	Methods Analysis Program (MAP), Customer Service Survey available on the Court's web site and at each division. Modified billing module for webPACER to allow identification of client information as a result of feedback.			<	

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/Obsolete
CR3A	Conduct evaluation of public education needs concerning bankruptcy related issues and recommended solutions.	Education materials have been made available to the public on web site. Customer Service Survey available on the Court's web site and at each division. U.S. Trustee educational program for high school students on the use of credit.				O
CR3B	Establish regular communication with and provide appropriate bankruptcy-related educational materials and programs to community groups and educational institutions.	Judges and Clerk's Office staff speak at many functions Petition packages. <i>Pro Bono</i> programs in all divisions Mediation Program available on Court's web site.				O
CR3C	Explore opportunities and make available Court representatives to participate in the education of the public concerning issues related to bankruptcy.	Judges and Clerk's Office staff speak at many functions <i>Pro Bono</i> programs in LA/SA/SFV/RS. Public Information Desks provide the public with a video presentation on the bankruptcy process, printed information and forms, as well as <i>pro bono</i> referrals.			<	
CR3D	Initiate and maintain a regular liaison with local members of Congress.	Chief Judge Mund assigned judges to congressional staff.			<	
CR4A	Create and staff an ombudsperson position in each division to assist the public with legal or procedural questions that the Clerk and his staff are prohibited from answering.	<i>Pro Bono</i> programs in all divisions.				O
CR4B	Establish a <i>pro bono</i> program at each divisional office location.	<i>Pro Bono</i> programs established in all divisions.				C

Goal Number	Description	Accomplishments	Classification			
			High Priority	Long-Term	Main-tenance	Completed/ Obsolete
<b>ISSUE: Human Resources (HR)</b>						
HR1A	Establish accurate, specific, uniform, and comprehensive job descriptions and recruitment bulletins.	Job descriptions/titles standardized district-wide. Recruitment expanded to the Court's web site. Recruitment bulletins redesigned to correctly identify required knowledge, skills, and abilities for each position.				<b>C</b>
HR1B	Develop training programs to instill problem-solving orientation.	Team-based training. Ongoing training, including Federal Judicial Television Network training broadcasts, Zenger-Miller programs, etc. Encompassed by HR1E and HR1F.				<b>C</b>
HR1C	Develop and implement an online training system covering all automated system applications used by the Court.	Online Manuals: NIBS Docket Code Dictionary, Citrix Users Manual, Attorney Admissions Database Instructions, and Print-on-Demand.			<	
HR1D	Create a training program for all staff using the Code of Conduct.	Clerk's Office provided a Code of Conduct section for their Personnel Policies and Information Handbook in 1996. All Clerk's Office staff were provided with an overview upon its introduction.			<	
HR1E	Develop in-house training programs to prepare staff for broader technical, analytical, and managerial responsibilities, including compliance with government contracting laws.	Classes provided to staff: Adaptive Manager, Working, FAS <sub>4</sub> T, Train the Trainer, Presentation and Development Techniques, Leadership 2000, Hire the Right Person, Applied Supervision, writing and grammar classes, QuattroPro, WordPerfect, PowerPoint, etc.			<	

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HR1F	Continue the development of training programs to further develop employee job skills.	Classes provided to staff: writing and grammar classes, software training (QuattroPro, WordPerfect, Power Point, etc.), customer service, video production, CAC operations software (ICS, NIBS, CCP, VRMS, etc.), and others. Library (list posted on Court's web site) made available to staff consisting of books, audio and video tapes on subjects ranging from communication and management skills to bankruptcy.			<	
HR1G	Increase training and development of leadership skills at <u>all levels</u> .	Classes provided to staff: Applied Supervision, Performance Management, Presentation Skills, grammar and writing classes, etc., cross-training, certification program, staff details, etc.			<	
HR1H	Increase training to develop written communication skills at all levels.	Writing and grammar classes provided regularly by outside vendor. Detail staff to assess and develop skills (e.g., Fiscal Manual).			<	
HR1I	Train staff to recognize and effectively deal with cultural diversity.	EDR training provided for management staff.			<	
HR1J	Train staff on providing helpful and courteous service.	Clerk's Office developed and introduced customer service training program "The Public: How to Deal with Them," and AO-sponsored "Deputy Clerks Making a Difference" program, and "Dealing with Difficult People."			<	
HR1K	Provide increased staff education about importance and role of bankruptcy system in general economy and legal system, tying that education to importance of job performance for real-life concerns of users.	"Lunch and Learn" programs, and "Deputy Clerks Making a Difference," "Introduction to Bankruptcy," Extern and Law Clerk training, Full Court Press "Ask the Judges" column.			<	

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HR2A	<p>Improve the performance evaluation process.</p> <p>Replaced with new goal #HR6B.</p>	<p>Performance Evaluation (PE) form simplified; management staff received training in improving staff performance through enhanced written evaluations; “Administering Performance Appraisals” training provided; implementation of Abra (personnel automation) enables management to track performance evaluation due dates to ensure timeliness. Clerk’s Office also performs statistical analysis of summary PE ratings for all staff at each division.</p>				<b>C</b>
HR2B	<p>Establish performance standards.</p> <p>Replaced with New Goal #HR6B.</p>	<p>Within Grade Increase certifications have been combined with the annual Performance Evaluations process, eliminating redundancies and discrepancies in assessing job performance. Synchronized with step increase; track mean/median by division.</p> <p>Performance Management Retreat held for team leaders, supervisors, managers included classes in analysis of performance management, administering performance appraisals, and planning the Court’s performance management system.</p> <p>A Performance Standards Committee was formed that has reviewed performance standards from other courts and other related material and has also drafted performance standards for a number of positions.</p>				<b>C</b>
HR2C	<p>Develop procedure manual for each position as training tool to encourage uniformity and facilitate establishing performance standards.</p>	<p>Intake Manual(s), Certification training, Comprehensive docketing procedures, Established uniform district-wide policies for use of the Order to Comply (ORCO), Case Commencement Deficiency Notice (CCDN), Case Initiation Action Notice (CIAN), and Rejection Notice.</p>			<	

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HR2D	<p>Establish consistent performance expectations and measurements for all positions.</p> <p>Replaced with New Goal #HR6B.</p>	<p>District-wide operations job descriptions were revised and specific skill sets were delineated for each classification. Training outlines identifying expected performance at each level have been drafted. Certification program developed and implemented.</p> <p>Performance Management Retreat held for management that included classes in analysis of performance management, administering performance appraisals, and planning the Court's performance management system. A Performance Standards Committee was formed that has reviewed performance standards from other courts and other related material and has drafted performance standards for many positions.</p>				<b>C</b>
HR2E	<p>Establish job performance self-evaluation as part of performance review process.</p> <p>Replaced with New Goal #HR6B.</p>	<p>Staff do self-evaluation and submit to supervisor, who considers self-rating before actual evaluation is prepared and discussed with employee. Discrepancies between self and actual ratings are key discussion points during administration of PE.</p>			<	
HR2F	<p>Monitor and support the transition to automation.</p>	<p>Measurement of performance on time-to-docket, time-to-image quality, and QC/ICS. Enhancements are tested and piloted, with employee's experiences and feedback considered before implementation.</p>				<b>C</b>
HR2G	<p>Develop and implement a program to enhance employee job satisfaction.</p>	<p>Annual Awards Ceremonies, Employee of the Month (district-wide), and various Employee of the month/quarter programs in divisions. Cross-training of new skills, Certification Program, EAP presented "Coping With Change" all divisions.</p>			<	

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HR3A	Create employee feedback mechanisms.  Replaced with New Goal #HR6B.	Team-based management structure. Statistics and feedback on: QC/ICS, docketing quality, case close, time to docket, imaging speed. PE process/discussions.				C
HR3B	Clarify role definition for chambers and courtroom staff, including Courtroom Deputies, Judicial Assistants, Law Clerks, Electronic Court Recording Operators, and Relief Courtroom Deputies.	Created new positions of Case Initiation Clerk and Courtroom Services Clerk. New Positions - reflect new skill sets, new promotional opportunities, cross-training opportunities, etc.				C
HR3C	Develop and implement employee orientation program for Clerk's Office and Chambers staff.	Intern/Extern training for new interns/externs. Full day orientation for Clerk's Office staff including Personnel Handbook, half-day orientation for judicial staff.				C
HR3D	Improve upward and downward communications among divisions and between divisional offices.	E-mail, monthly senior staff meetings, annual seminars for team leaders and above, participants rotated. District-wide training. Full Court Press. Joint efforts: NIBS Procedures Manual, ICS/NIBS Committee, etc. Group Training: Abra, VRMS, FAS <sub>4</sub> T, leadership.			<	
HR4A	Provide multilingual service capability (e.g., bilingual staff).	Translation services currently available within AO guidelines and a list of qualified interpreters (language and sign) is available through the JNet. Bi-lingual Clerk's Office staff assist public as needed.			<	
HR4B	Improve human resource programs that ensure parity between the employee force and the labor force.	Employment Dispute Resolution Plan implemented, commuter benefits; child care; cafeteria plan; flexible spending plan; medical spending accounts; long-term care; retirement services; open season information; COLAs, Family Friendly Leave, locality pay differential, tuition reimbursement program, etc.			<	

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HR5A	Compare current personnel practices to personnel practices of other organizations and identify possible improvements in each practice.	<p><i>Benefits:</i> HR staff members attended 9<sup>th</sup> Circuit Annual HR Conferences in 1999 and 2000 with AO's Personnel Office and other federal judiciary HR professionals. Compared personnel practices in the areas of recruitment, benefits administration, personnel manual layouts, etc. HR also attended Judiciary Benefits Conferences in 1999 and 2000 to discuss personnel issues and network with other HR professionals.</p> <p><i>As a result of the conferences:</i> Identified a need to create a Benefits Specialist position to handle the growing area of benefits administration in order to provide more effective service to Court staff. Filled the position in March 2000. Utilized knowledge gained at conferences to assist in implementation reduction in work force December 2000, which became especially useful in areas of save grade/saved pay and severance regulations. Able to effectively develop and present training seminars to staff on various benefits programs. As a result of training received, HR's ability to counsel staff on benefits programs, especially in retirement planning area, was enhanced. Based upon AO information receive at seminars, initiated an ongoing internal HR project to ensure that all staff are classified in correct retirement system.</p>			<	
HR6A	Create training and staff development programs to address the identified needs of all staff.	NewGoal		<		

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HR6B	Redesign employee performance evaluation process to incorporate performance standards and measurement, convey performance expectations, and provide employee feedback mechanisms.	NewGoal		<		
HR6C	Conduct a needs assessment to identify training and development needs as they are reflected in the mission, duties and goals of the area of assignment and/or in the performance review process. Incorporate a competency gap analysis into the assessment process.	NewGoal	<			
HR6D	Develop and implement a method for evaluating training and development to ensure application of skill learned.	NewGoal	<			
HR6E	Develop and implement a program for succession planning to ensure the availability of a highly qualified work force to cover vacancies experienced through retirement, promotion and other attrition.	NewGoal		<		

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HR6F	Create individual development plans for Clerk's Office staff which specify the training and development activities the employee was involved in during that previous rating period, the impact those activities had on the individual's performance, and the educational activities which would enhance performance during the next rating period.	NewGoal		<		
HR6G	Enhance HR and employee communication through implementation of programs to provide "Employee Self-Service."	NewGoal	<			
HR6H	Revise <i>Personnel Policies and Information Handbook</i> and make available on web site.	NewGoal	<			
HR6I	Develop mechanism to automate recording of time and attendance, ensuring that all audit guidelines are followed.	NewGoal		<		

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HR6J	Develop a management training program regarding the <i>Personnel Policies and Information Handbook</i> to ensure Court established guidelines are followed.	NewGoal		<		
HR6K	Provide a comprehensive training program to employees regarding all Federal Employee Benefits.	NewGoal		<		
HR6L	Develop a supervisory training/orientation program on HR polices and procedures including time and attendance, performance evaluation and jury service.	NewGoal		<		
HR6M	Establish an employee development component as part of the recruitment process to provide career counseling to employees applying for positions where they are minimally qualified but not competitive.	NewGoal		<		
HR6N	Develop a program for judges and their staffs to foster appreciation and understanding of the duties, responsibilities, and contributions that deputy clerks make to the Court.	NewGoal		<		

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SF1A	Establish automated information systems in Court lobbies for tentative rulings and Court calendar information.	Kiosks in lobbies display judicial calendars.				C
SF1B	Establish pro bono lawyer consultation rooms in Court intake offices.	Facilities provided at Clerk's offices for reaffirmation counseling ( <i>pro bono</i> ).				C
SF1C	Factor technology needs of public users into the development of facilities (for example, space for portable terminals, copiers).	Electric outlets in public carrels. Free on-site webPACER access; multiple terminals. Print on demand. Policy on use of personal photocopiers.				C
SF2A	Advocate revision of <u>AO Design Guides</u> and <u>GSA Standards and Guidelines</u> regarding employee break rooms and restrooms, size of courtrooms, public space areas for high volume Courts, pro bono lawyer consultation facilities, and handicapped access (including hearing and visually impaired).	At the national level, the December 1997 revision of the U.S. Courts Design Guide addressed some of these issues including employee break rooms, restrooms and handicapped access.				C

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SF2B	Develop procedures to create a security system that protects Court documents and property.	Numerous programs, upgrades and activities outlined in Clerk's Office Reports, including: imaging (less handling of files/less risk of loss/damage), archiving files faster (i.e., DNC), computer equipment and data safeguarded by upgrading UPS and air conditioning units, public carrels modified district-wide, additional cameras added at key locations, data base backup tapes exchanged between divisions, etc. webPACER allows public to access documents without the need to have the actual case file/docket in their possession.		<b>C</b>		