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Introduction

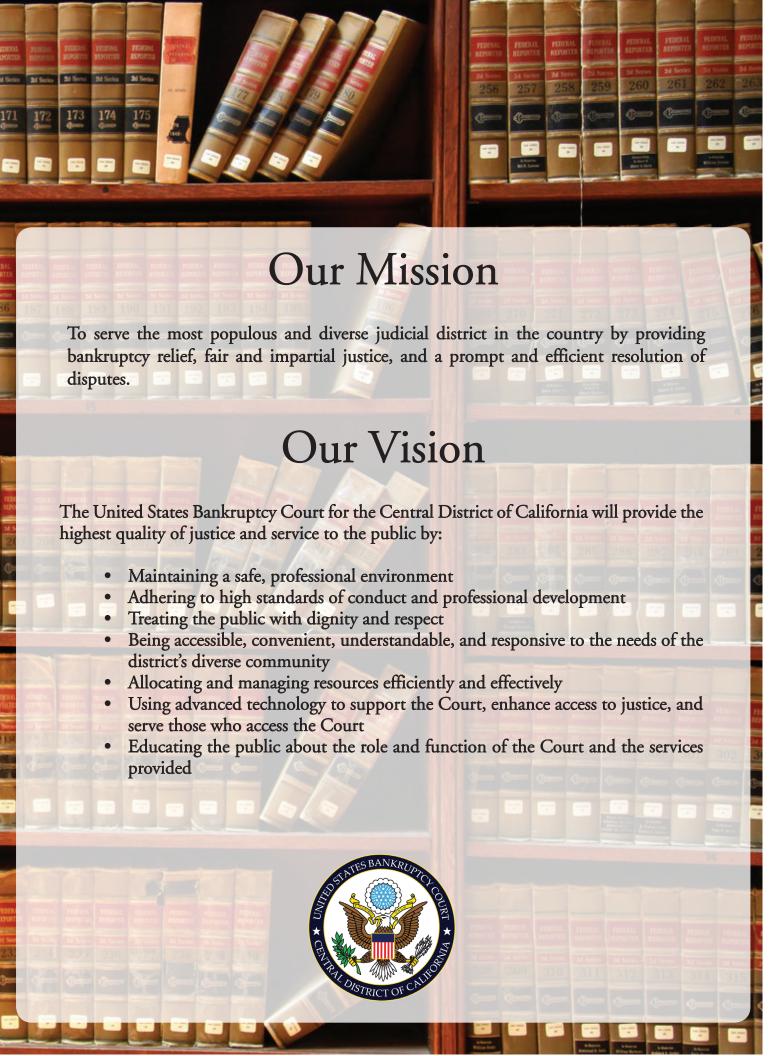
EXECUTIVE SUMMARY

In 2016, the United States Bankruptcy Court for the Central District of California took a leading role in national initiatives, engaged students and stakeholders through community outreach, and economized on spending and space. Highlights of the year include:

- After more than 10 years on the bench, Judge Richard M. Neiter retired on September 10.
- Judges Vincent P. Zurzolo and Peter H. Carroll were each reappointed to a 14-year term. Judges Zurzolo and Carroll have served the Court since 1988 and 2002, respectively.
- Judge Julia W. Brand was appointed to a sevenyear term on the Ninth Circuit Bankruptcy Appellate Panel, which resolves appeals arising out of bankruptcy court decisions in the Ninth Circuit.
- In September, the Clerk's Office took part in the Administrative Office of the U.S. Courts' Work Measurement Study. Conducted twice each decade, the study collects data about employees' tasks to determine staffing requirements. A new staffing formula based on the nearly 325,000 hours of work time collected in this study will be implemented in FY 2018.
- The Court's second Consumer Bankruptcy Litigation Practicum culminated in a mock hearing and reception on April 11. Over the course of the two-semester program, students from Loyola Law School gained real-life experience interviewing, counseling, and assisting unrepresented individuals.
- The Court welcomed high school and college students at events marking the 50th anniversary of the Supreme Court's decision in Miranda v. Arizona. On April 12, Captain Carroll Cooley, the detective who arrested Ernesto Miranda in 1963, was the

keynote speaker at the annual Law Day celebration. The <u>Miranda</u> decision was also the theme of this year's civics contest for high school students, whose local winners were honored in an awards ceremony on June 8.

- Receptions throughout the Central District recognized the service of *pro bono* volunteers. The attorneys, law students, paralegals, and interpreters who assist the district's self-represented litigants are listed in yearly updates to the Court's Honor Roll, published in conjunction with the American Bar Association's National *Pro Bono* Celebration Week.
- On December 5, the Court introduced Loan Modification Management, a pilot program that allows debtors and creditors to reach a consensual resolution when a debtor's property is at risk of foreclosure.
- For the fourth consecutive year, the Court supported cost containment efforts through its popular shared administrative services program. Federal court units from across the nation took advantage of the Court's training, IT web development and video production offerings.
- The Court continued to collaborate with the General Services Administration and the Administrative Office of the U.S. Courts on the realignment of the Edward R. Roybal Federal Building and U.S. Courthouse in downtown Los Angeles. When complete, the realigned space will accommodate additional magistrate and senior judges, as well as employees of other federal courts.
- The San Fernando Valley Division celebrated its 20th anniversary on August 5.



THE BANKRUPTCY JUDGES OF THE CENTRAL DISTRICT OF CALIFORNIA

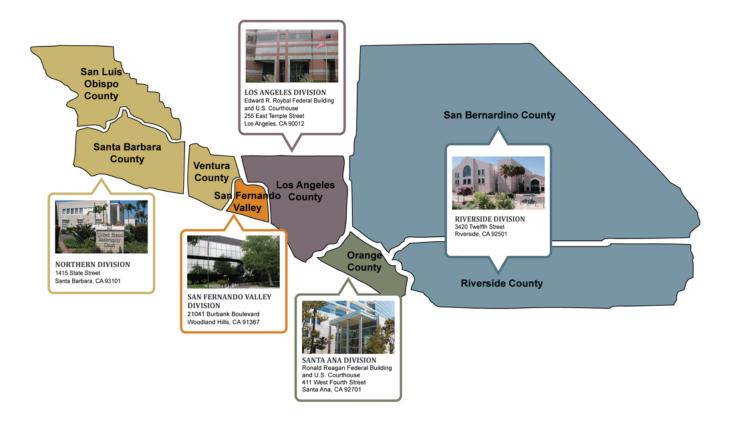


Top Row (left to right): Deborah J. Saltzman, Meredith A. Jury, Neil W. Bason, Ernest M. Robles, Victoria S. Kaufman, Scott C. Clarkson, Wayne Johnson, Martin R. Barash, Mark D. Houle, Mark S. Wallace

Middle Row (left to right): Erithe A. Smith, Catherine E. Bauer, Sandra R. Klein, Richard M. Neiter, Thomas B. Donovan, Julia W. Brand, Theodor C. Albert

Front Row (left to right): Robert N. Kwan, Maureen A. Tighe, Peter H. Carroll, Sheri Bluebond (Chief Judge), Vincent P. Zurzolo, Barry Russell, Scott H. Yun

In Profile



DISTRICT PROFILE

The Ninth Circuit is the largest of the 12 federal circuits in terms of size, population, number of federal judges, and volume of litigation. The U.S. Bankruptcy Court for the Central District of California is one of 13 bankruptcy courts within the Ninth Circuit, which includes the federal courts of Alaska, Arizona, California, Hawaii, Idaho, Montana, Nevada, Oregon, Washington, Guam (a U.S. Territory), and the Northern Mariana Islands (a U.S. Commonwealth).

Covering approximately 40,000 square miles, encompassing seven counties, and served by 24 judges, the U.S. Bankruptcy Court for the Central District of California is one of the largest bankruptcy courts in the United States. The Central District is comprised of five divisions: Los Angeles, Northern, Riverside, San Fernando Valley, and Santa Ana.

POPULATION SERVED

The Central District serves the residents of Los Angeles, Orange, Riverside, San Bernardino, Santa Barbara, San Luis Obispo, and Ventura Counties, with courthouses in Los Angeles, Riverside, Santa Ana, Santa Barbara, and Woodland Hills.

With a population of more than 19.4 million people, the Central District is home to nearly 50 percent of the state's population. According to the United States Census Bureau, the Central District of California is home to four of the five most populous counties in the state, and four of the 12 most populous counties in the United States (Los Angeles, Orange, Riverside, and San Bernardino Counties).

CASES OF INTEREST

The cases of interest in 2016 reflect the diverse population served and the unique businesses operating in the Central District. The following summaries include developments in select ongoing cases and highlights from cases initiated in 2016:

City of San Bernardino

The City of San Bernardino filed for chapter 9 bankruptcy protection on August 1, 2012. The case was assigned to Hon. Meredith A. Jury. In 2016, the City made significant progress toward confirmation of a plan. In a cost savings measure taken by the City, fire services will be provided by San Bernardino County. Hon. Gregg W. Zive, a recalled bankruptcy judge visiting from the U.S. Bankruptcy Court for the District of Nevada, assisted with the chapter 9 by overseeing mediation between parties.

East Coast Foods, Inc. (Roscoe's House of Chicken and Waffles)

On March 25, East Coast Foods, Inc. filed for chapter 11 bankruptcy protection. The debtor operates Roscoe's House of Chicken and Waffles, the popular Los Angeles restaurant chain. The debtor sought bankruptcy protection following a \$3.2 million judgment in a discrimination lawsuit brought by an employee. The case was assigned to Hon. Sheri Bluebond, Chief Judge. Initial case documents listed the debtor's assets between \$0 to \$50,000 and debts between \$10,000,001 to \$50 million. In September, the founder was replaced when a chapter 11 trustee was appointed. The chapter 11 trustee hired an outside consultant to run the restaurants during the course of the bankruptcy.

Law v. Siegel

Following a March 4, 2014, Supreme Court decision to reverse the bankruptcy court's decision to surcharge Mr. Law's homestead exemption in <u>Law v. Siegel</u>, the case

continued with an appeal pending in the Ninth Circuit. In 2016, Mr. Law received his \$75,000 homestead payment after purchasing a condominium in Las Vegas. As a result, the Ninth Circuit later dismissed Mr. Law's mandamus petition as moot. The case was assigned to Hon. Thomas B. Donovan.

Liberty Asset Management Corporation

Liberty Asset Management Corporation filed for chapter 11 bankruptcy protection on March 21. The case was assigned to Hon. Thomas B. Donovan and remained pending through 2016. Case documents reported over \$200 million in assets. The complex case includes several lawsuits that were filed prepetition and numerous adversary cases that were filed postpetition. The creditors committee was very active through 2016. During this year, the parties reached several stipulation agreements, including one that allowed the creditors committee to litigate adversary proceedings and insider complaints concerning avoidance and turnover claims. At the end of 2016, two appeals remained pending with the Bankruptcy Appellate Panel.

NG DIP INC. (f/k/a Nasty Gal, Inc.)

On November 9, NG DIP INC. filed for chapter 11 bankruptcy protection. The Los Angeles-based company is widely known for its online vintage clothing, Nasty Gal, Inc. The founder of Nasty Gal, Inc. Sophia Amoruso, began the company in her early twenties, and authored the 2014 New York Times best-selling book #Girlboss about Amoruso's life and rags-to-riches experience as a female entrepreneur. A Netflix series of Girlboss was in production during 2016 and is loosely based on the book. Ms. Amoruso had already stepped down as CEO of the company in the years before the bankruptcy filing. Initial case documents listed the debtor's assets between \$10,000,001 to \$50 million and debts between \$10,000,001 to \$50 million. The case was assigned to Hon. Sheri Bluebond, Chief Judge.

Judicial Transitions



JUDGE JULIA W. BRAND APPOINTED TO THE NINTH CIRCUIT BANKRUPTCY APPELLATE PANEL

On July 26, Ninth Circuit Chief Judge Sidney R. Thomas announced the appointment of Judge Julia W. Brand to a seven-year term on the Ninth Circuit Bankruptcy Appellate Panel (BAP), which resolves appeals arising out of bankruptcy court decisions in the Ninth Circuit. Judge Brand's term began December 1.

The BAP was established in 1979 by the Judicial Council of the Ninth Circuit as an alternative forum for hearing bankruptcy appeals. Since then, it has disposed of more than 15,000 cases, including more than 5,000 decided on the merits. Based in the Richard H. Chambers U.S. Court of Appeals Building in Pasadena, California, the BAP has, historically, handled between 49 and 60 percent of all bankruptcy appeals originating from bankruptcy courts throughout the Ninth Circuit.



BAP judges serve a term of seven years and are eligible for a three-year extension. Other bankruptcy judges from around the circuit also serve on appellate panels on a *pro tem* basis.

JUDGE VINCENT P. ZURZOLO REAPPOINTED

On April 18, Judge Vincent P. Zurzolo was reappointed to a third 14-year term on the bench. Judge Zurzolo has served the Court since 1988 and was its chief judge from 2007 to 2010.

Prior to his appointment to the bench, Judge Zurzolo engaged in private practice at Greenberg, Glusker, Fields, Claman and Machtinger LLP. In 1978, Judge Zurzolo received his bachelor's degree from the University of California, San Diego, and in 1982, he received his Juris Doctor from the University of California, Davis.



JUDGE PETER H. CARROLL REAPPOINTED

Effective August 1, Judge Peter H. Carroll was reappointed to a second 14-year term on the bench. Judge Carroll has served the Court since 2002 and was its chief judge from 2011 to 2014.

Prior to his appointment to the bench, Judge Carroll served as an assistant U.S. trustee for the Department of Justice and the Office of the U.S. Trustee. Prior to that, he engaged in private practice at Brite & Drought in San Antonio, Texas from 1978 to 1993.

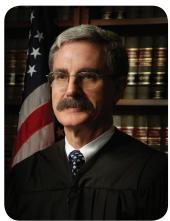
In 1974, Judge Carroll received his bachelor's degree from the University of California, Berkeley. In 1978, he earned his Juris Doctor from St. Mary's University at San Antonio.

JUDGES ROBIN L. RIBLET AND ALAN M. AHART ARE REAPPOINTED TO RECALLED STATUS

On December 31, 2015, Judges Robin L. Riblet and Alan M. Ahart's recalled status expired and they were reappointed through December 31, 2016. Judge Riblet has served the Court since March 30, 1988. After her retirement on May 9, 2014, she began serving as a recalled judge. Judge Ahart has served the Court since April 4, 1988. Subsequent to his retirement in January 2015, he also began serving as a recalled judge.



Judge Robin L. Riblet



Judge Alan M. Ahart

JUDGE RICHARD M. NEITER CELEBRATES RETIREMENT

On August 22, the Clerk's Office held a retirement celebration for Judge Richard M. Neiter in courtroom 1645 of the Edward R. Roybal Federal Building and U.S. Courthouse. Chief Judge Sheri Bluebond, Judge Barry Russell, Executive Officer/Clerk of Court Kathleen J. Campbell, Law Clerk Lovee Sarenas, Operations Manager Kevin Hernandez, Courtroom Services Supervisor Josie Hunt, Courtroom Services Deputy Phyllis Jones, and Courtroom Services Specialist Betty Pickett-Barber spoke, paying tribute to Judge Neiter's talents and temperament. On September 10, Judge Neiter retired after serving more than 10 years on the bench. He had practiced bankruptcy law for 40 years when he took the oath in February 2006.



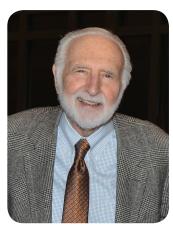
Judge Richard M Neiter

IN MEMORIAM HONORABLE WILLIAM J. LASAROW

The Honorable William J. Lasarow passed away on November 18, at the age of 94. Judge Lasarow was appointed to the bankruptcy bench in the Central District of California in 1973 and reappointed in 1986. He served as chief judge from 1978 to 1990 and on the Bankruptcy Appellate Panel as one its first members from 1979 to 1982. He retired in 1992 and continued to serve in a recalled capacity until 1994.

Judge Lasarow is credited with raising awareness of the need for *pro bono* representation of some bankruptcy filers. In recognition of his efforts, Public Counsel established the annual William J. Lasarow Awards, which honor bankruptcy *pro bono* volunteers. Judge Lasarow continued to be actively involved in the court's *pro bono* program for many years and attended annual awards receptions until 2015.

Judge Lasarow resided in Studio City, California, and is survived by his wife of many years, Marilyn.

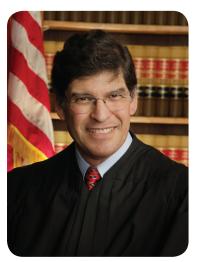


Judge William J. Lasarow

Profiles, Awards, and Committees

JUDICIAL PROFILES

State Bar's Insolvency Law Committee Profiles Judge Ernest M. Robles



Born in Mexico and raised in San Francisco when it was still "a workingman's town," Judge Robles majored in Political Science at the University of California, Berkeley. After graduating from Cal with distinction, he earned his J.D. at University of Michigan Law School in 1981 and returned to the Bay Area to work as a litigation associate at Musick Peeler & Garrett.

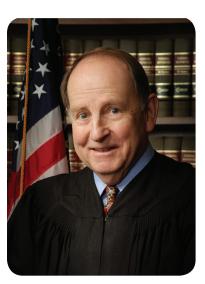
As a litigator at large firms in the Bay Area, Judge Robles tried a number of cases before juries. In 1988, looking to enter public service, he took a position as Assistant U.S. Trustee in San Jose, where he was soon elevated to head of the office. "I saw how judges ran cases, learned how they governed the courtroom and how they read pleadings," Judge Robles said of his time at the U.S. Trustee's Office. "I also got up to speed on bankruptcy law."

Judge Robles has served in the Los Angeles Division since his appointment to the bench in 1993. Speaking to writers from the Insolvency Law Committee, he discussed some of

his preferences for attorneys practicing in his courtroom, emphasizing the importance of written pleadings, professional civility, and honesty with the Court. He described his efforts to keep his chambers paperless, and spoke of his law clerks with pride: "The greatest feeling of accomplishment is my relationship with my law clerks. How they impacted me and how I impacted them."

On the topic of extracurricular activities, Judge Robles spoke of his fondness for the Los Angeles Philharmonic and the University of Michigan's football team, the Wolverines.

State Bar's Insolvency Law Committee Profiles Judge Thomas B. Donovan



Judge Thomas B. Donovan was featured as one of the latest subjects in a series of judicial profiles from the State Bar of California's Insolvency Law Committee. Committee members Corey Weber, Uzzi O. Raanan, Leib Lerner, and Asa S. Hami met with Judge Donovan to discuss his "personal and professional background, observations from the bench, and issues of interest."

A competitive golfer during his adolescent years in San Jose, Judge Donovan chose a career in law over a career in sports. After graduating from the University of California at Berkeley in 1957, he worked on a top-secret assignment for the U.S. Army Security Agency, where he was as valuable to the Army's golf team as he was to military intelligence. But he returned to UC Berkeley to study law. "I gave up golf because I figured out that my high school sweetheart (and later wife for 60 years and counting) would not have appreciated hearing about my golf game nearly as much as seeing me bringing home a regular paycheck from a law practice," Judge Donovan says, adding:

"What a privilege it has been to work with this court and staff in serving our court's practitioners and other customers; far more interesting and satisfying than hitting golf balls for a living."

Judge Donovan briefly worked as an associate at the Washington, D.C. firm of Covington and Burling before returning to the Bay Area in 1964 to take a position at Dinkelspiel and Dinkelspiel. As it happened, the first case he was assigned there was significant: not yet four years out of law school, the young attorney soon found himself arguing before the U.S. Court of Appeals for the Ninth Circuit and the Supreme Court. After five years at Dinkelspiel and Dinkelspiel, Judge Donovan left to start the new law firm Dinkelspiel, Donovan and Reder.

During his early 40s, Judge Donovan spent one month of his sabbatical volunteering at the Oakland-Piedmont Municipal Court, where he discovered that he "loved the experience of hanging out with the judges and seeing how they related to each other." After his children had graduated from college, he applied for bankruptcy judgeships in California and was appointed to his first term in March 1994. Though his current term ends in 2022, Judge Donovan plans to retire on March 24, 2017.

The profile looks at two high-profile cases over which Judge Donovan presided: <u>Law v. Siegel</u>, which raised a question about the bankruptcy court's authority that was eventually decided by the Supreme Court, and <u>In re Balas and Morales</u>, in which Judge Donovan ruled that the Defense of Marriage Act violated the Fifth Amendment.

State Bar's Insolvency Law Committee Profiles Judge Meredith A. Jury

An English major with minors in History and Journalism at the University of Colorado, Judge Jury graduated *cum laude* and Phi Beta Kappa. She earned master's degrees in Economics and Education from the University of Wisconsin–Madison before enrolling at UCLA School of Law, taking her J.D. in 1976. That same year, Judge Jury became the first female associate at the Riverside firm of Best Best & Krieger, where she soon became the first female partner.

After more than two decades in private practice, she applied for a bankruptcy judgeship in Riverside, where she has maintained chambers since her appointment to the bench in 1997.

Judge Jury shared a number of observations gathered during her two decades on the bench with the writers from the Insolvency Law Committee. Serving on the Ninth Circuit Bankruptcy Appellate Panel (BAP), of which she is the chief judge, is different



from "her day job" in bankruptcy court, she said: "The standard of review is everything on appeal. I didn't think of that as a trial judge." The BAP informed her reflections on the City of San Bernardino's ongoing chapter 9 case, initiated in 2012. "There is not really much appellate law on chapter 9 cases. It's mostly bankruptcy court judges opining." She said that she views her law clerks as part of her family, and has officiated at five of her law clerks' weddings.

In her free time, Judge Jury told the attorneys, she enjoys biking, hiking, and watching NCAA women's basketball.

State Bar's Insolvency Law Committee Profiles Judge Martin R. Barash

Judge Barash's alma mater, Taft High School, is less than two miles from the Court's San Fernando Valley Division, where he has maintained chambers since 2015. After graduating *magna cum laude* from Princeton, he returned to Southern California, enrolling at UCLA School of Law, where he was editor and business manager of the UCLA Law Review. He clerked for Judge Procter R. Hug, Jr. before embarking on a two-decade career in private practice at the bankruptcy firms Stutman, Treister & Glatt and Klee, Tuchin, Bogdanoff & Stern, making partner at the latter.

Asked by the Insolvency Law Committee's writers whether he modeled his style on a particular judge, Judge Barash expressed his admiration for Judge William J. Lasarow: "He exemplified open-mindedness, had an innate sense of getting parties to a place that is reasonable, was gentlemanly, and I thought the world of him." He also provided guidance to attorneys appearing before him, stressing the seriousness of service issues, and discussing his use of tentative rulings and his thoughts on the virtues of live testimony.



Judge Barash has long been associated with Junior State of America, a nonprofit, nonpartisan group he first encountered in junior high, and is the immediate past president of the Junior Statesmen Foundation. Outside of the Court, he enjoys photography, cooking, and gardening

AWARDS

Judge Maureen A. Tighe Inducted into American College of Bankruptcy

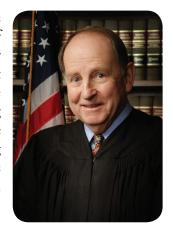
On March 18, Judge Maureen A. Tighe was inducted into the American College of Bankruptcy in a ceremony at the Smithsonian Donald W. Reynolds Center for American Art and Portraiture in Washington, D.C. The American College of Bankruptcy is an honorary association of bankruptcy and insolvency professionals who are distinguished by their outstanding professional qualifications, ethical standards, character, and scholarship, among other criteria.

Judge Tighe is one of two judges inducted in the college's 27th Class. Judge Tighe joins a number of her colleagues from the Central District as a fellow of the college. Chief Judge Sheri Bluebond and Judges Barry Russell, Geraldine Mund, Robin L. Riblet, and Thomas B. Donovan have been inducted into the prestigious association.



Judge Thomas B. Donovan Honored for Achievements

Numerous organizations in the Central District honored Judge Thomas B. Donovan's contributions to the judicial profession and the bankruptcy community in advance of his planned retirement from the bench. On November 3, the Central District Consumer Bankruptcy Attorney Association (*cdcbaa*) presented Judge Donovan with its achievement plaque, and on November 10, Public Counsel awarded him its service plaque. At Judge Donovan's retirement ceremony on December 5, he received a plaque commemorating his 23 years of service on behalf of the Los Angeles Bankruptcy Forum, *cdcbaa*, the Financial Lawyers Conference, the International Women's Insolvency and Restructuring Confederation, the Turnaround Management Association of Southern California, the Los Angeles Commercial Bar Association, the Beverly Hills Bar Association, and the Federal Bar Association.



Judge Richard M. Neiter Receives LABF Award

At the Los Angeles Bankruptcy Forum's (LABF) Annual Night with the Judges program on June 6, Judge Richard M. Neiter was honored for his outstanding service and achievements. The well-attended program, moderated by Chief Judge Sheri Bluebond, included a distinguished panel discussing recent cases with special meaning to the participating judges and bankruptcy practitioners. During the program, Judge Neiter was presented with a plaque to commemorate his more than 10 years of service to the bench. Judge Neiter later retired on September 10.



CALIFORNIA CENTRAL DISTRICT JUDICIAL COMMITTEES

In accordance with the Court Governance Plan, judicial committees appointed by the Chief Judge address court-related issues and provide feedback to the entire Board of Judges regarding court operations and administrative issues. The Chief Judge and the Executive Officer/Clerk of Court are ex officio members of each committee. Clerk's Office staff members attend meetings and support the judicial committees.

The Court's judicial committees were comprised of the following members in 2016:

Executive Committee

Sheri Bluebond, Chair Theodor C. Albert Peter H. Carroll Meredith A. Jury Victoria S. Kaufman Barry Russell Vincent P. Zurzolo

Alternative Dispute Resolution Committee

Barry Russell, Chair Richard M. Neiter Law Clerk: Lovee Sarenas

Case Management Committee

Martin R. Barash, Chair Julia W. Brand Scott C. Clarkson Maureen A. Tighe Scott H. Yun Vincent P. Zurzolo Law Clerk: Enid Colson

Chapter 13 Committee

Meredith A. Jury, Chair Julia W. Brand Catherine E. Bauer Wayne Johnson Mark D. Houle Martin R. Barash

Community Outreach

Sandra R. Klein, Chair Mark D. Houle Deborah J. Saltzman Erithe A. Smith Law Clerk: Stephanie Rettier

Education & Training/Retreat

Deborah J. Saltzman, Chair Neil W. Bason Julia W. Brand Erithe A. Smith Scott H. Yun

IT Committee

Deborah I. Saltzman, Chair Martin R. Barash Neil W. Bason Scott C. Clarkson Mark D. Houle

Pro Se Committee

Catherine E. Bauer, Chair Sandra R. Klein Robert N. Kwan Ernest M. Robles Maureen A. Tighe Vincent P. Zurzolo

Rules Committee*

Neil W. Bason, Chair Theodor C. Albert Robert N. Kwan Scott H. Yun Martin R. Barash

Space & Security Committee

Mark S. Wallace, Chair Peter H. Carroll Wayne Johnson Victoria S. Kaufman Sandra R. Klein Richard M. Neiter

^{*}Although Judge Thomas B. Donovan was not an official member of the Rules Committee, he served as style editor.

COMMITTEE APPOINTMENTS

Administration of the Bankruptcy System

Judge Erithe A. Smith continues to serve as member of the U.S. Judicial Conference's Committee on the Administration of Bankruptcy System the (Bankruptcy Committee). Charged with oversight of the bankruptcy system, the Bankruptcy Committee monitors and analyzes bankruptcy operations



throughout the nation. It also makes recommendations to the Judicial Conference on the numbers and locations of bankruptcy judgeships, issues that affect the office of bankruptcy judge, the allocation of judicial resources to bankruptcy courts, and other matters. Judge Smith's term will end on October 1, 2018.

Chief Judge Sheri Bluebond Serves on the Conference of Chief Bankruptcy Judges of the Ninth Circuit



Throughout the year, Chief Judge Sheri Bluebond continues to serve on the Conference of Chief Bankruptcy Judges of the Ninth Circuit. Chief Judge Bluebond also served on the Conference's Executive Committee. Her term will end on December 31, 2018.

The Conference, which meets twice per year, supports the effective and expeditious administration of justice and the safeguarding of fairness in the administration of the bankruptcy courts within the circuit. It also serves as a resource for the Judicial Council of the Ninth Circuit and its representatives to the Judicial Conference. To these ends, it promotes the fair and prompt resolution of disputes, ensures the effective discharge of court business, prevents any form of invidious discrimination, enhances public understanding of, and confidence in,

the Judiciary and the bankruptcy system, and keeps apprised of and advises the Judicial Council on issues which may affect these goals.





Judge Maureen A. Tighe

Judge Catherine E. Bauer

Judges Tighe and Bauer Serve on the Ninth Circuit Pro Se Litigation Committee

Judges Maureen A. Tighe and Catherine E. Bauer served on the Ninth Circuit *Pro Se* Litigation Committee. Pursuant to its mission, the Ninth Circuit *Pro Se* Litigation Committee considers the impact on unrepresented litigants and makes recommendations with respect to improving the administration of such cases. Judge Tighe served as chair and her term ended in December 2016. Judge Bauer's term will end on September 30, 2017.

Judge Sandra R. Klein Serves on the Ninth Circuit Courts & Community Committee

Sandra Judge Klein continues to serve on the Ninth Circuit Courts & Community Committee. Charged with educating the public about federal courts, the Ninth Circuit Courts Community Committee & promotes community outreach programs cultivates and relationships between the courts and media. Judge Klein's term will end on September 30, 2018.









Judge Scott C. Clarkson Judge Julia W. Brand

Judge Martin R. Barash

Judges Clarkson, Brand, and Barash Serve on the Ninth Circuit Bankruptcy Judges **Education Committee**

Judges Scott C. Clarkson, Julia W. Brand, and Martin R. Barash serve on the Ninth Circuit Bankruptcy Judges Education Committee. The committee was formed more than 20 years ago to provide an educational program exclusively devoted to bankruptcy topics. Members are either elected by their peers or volunteer to serve three-year terms. The committee consists of six or seven bankruptcy judges from the Ninth Circuit who work together to create a pre-conference program that is presented at the annual Ninth Circuit Judicial Conference. Members of the committee also participate in an annual review of Ninth Circuit bankruptcy decisions and in the annual New Judges Orientation. Judge Brand served as the chair until her term ended on September 30. Judge Clarkson's term ended on July 31 and Judge Barash's term will end on September 30, 2018.

Judge Geraldine Mund Serves on the Advisory Council for the Ninth Judicial Circuit Historical Society

Judge Geraldine Mund continues to serve on the Advisory Council for the **Judicial** Ninth Circuit Historical Society (NJCHS) Committee. The NJCHS was founded in 1985 to collect, preserve, and present to the public the history of law in the western United States and the Pacific Islands. The organization



also educates children and the general public about the judicial system, the rule of law, and other civic values. As a longtime member of the NJCHS, Judge Mund has been instrumental in overseeing the national implementation of oral histories for bankruptcy judges and attorneys, constructing NJCHS's Strategic Plan, and much more.

Judge Peter H. Carroll Serves on the Ninth Circuit IT Committee

Judge Peter H. Carroll continues to serve on the Ninth Circuit Information Technology Committee. The committee discusses IT trends and directions, establishes guidelines and makes recommendations for implementation of new initiatives within the Ninth Circuit, and demonstrates new technologies which can be beneficial to Ninth



Circuit courts. The committee also discusses training court staff on new software, hardware, processes, and mandated procedures. Judge Carroll's term will end in September 2017.

Executive Officer/Clerk of Court Kathleen J. Campbell Serves on the Ninth Circuit Courts & Community Committee, EPA Working Group, and Staffing Formula Development Steering Group

Executive Officer/Clerk of Court Kathleen J. Campbell continues to serve on the Ninth Circuit Courts & Community Committee through September. As a member of the committee, Ms. Campbell aids in educating the public about the work of the federal courts by promoting community outreach programs facilitating relations between the courts and the news media.



In December, Ms. Campbell was appointed to the Electronic Public Access (EPA) Working Group and the Staffing Formula Development Steering Group. The EPA Working Group provides advice to the Administrative Office of the U.S. Courts (AO) on issues concerning public access to electronic court records. These services include, but are not limited to PACER, the Case Locator, and Multi-Court Voice Case Information System (McVCIS).

The Staffing Formula Development Steering Group, which consists of ten clerks and two chief deputies, works with the AO's Policy and Strategic Initiatives Division to identify and address issues in the staffing formula development process and to review alternative options based on data collected. Two critical issues before the group are options to address the volatility of bankruptcy filings and a review of IT in support of court operational functions.

In February, Ms. Campbell attended a two-day meeting of the Staffing Formula Development Steering Group in Washington, D.C., and in March, she joined the EPA Working Group for its biannual meeting. Her term on the EPA Working Group ends December 31, 2017, and the Staffing Formula Development Steering Group is scheduled to meet through June 2017, when it will present its recommendations to the Judicial Resources Committee.

Project Specialist Meredith Klassen Appointed to the Operations Subgroup of the Bankruptcy Best Practices Working Group

Project Specialist Meredith Klassen was appointed by the Director of the Administrative Office, James C. Duff, to the Operations Subgroup of the Bankruptcy Best Practices Working Group. Ms. Klassen is one of 10 clerks who will examine selected business practices in bankruptcy clerks' offices, identify opportunities to increase efficiency and



effectiveness or improve customer service, and develop

recommendations to effect positive change. The subgroup will also develop new business processes, incorporating the technology-based solutions identified and analyzed by the Technology Subgroup. Ms. Klassen's appointment will end on December 31, 2018.

Beryl Dixon Served on the Committee on Management and Professional Development Education

Officer of Planning Personnel Management Beryl Dixon served on the national Committee on Management and Professional Development Education, a Federal Judicial Center advisory (FJC) committee. The advisory committee develops leadership and management education initiatives and programs for



supervisors and managers, as well as professional development educational opportunities for court employees across the judiciary. Ms. Dixon's term will end on October 31, 2019.

CLERK'S OFFICE STAFF SERVES NCBC

The National Conference of Bankruptcy Clerks (NCBC) is a private association that was created in 1980 to address the ongoing needs of bankruptcy clerks. Since then, NCBC has evolved to include deputy clerks and other parties interested in



the welfare of the bankruptcy system. NCBC's main goals are to provide its members with training and development opportunities, advocate for bankruptcy clerks and the bankruptcy system, and foster leadership and input on a national level. NCBC is governed by officers, board members, and committees who meet in person and via telephonic conference. Central District of California Clerk's Office staff served on several NCBC committees and boards.

Jan Zari Serves as Editor of the NCBC Newsletter

Administrative Specialist Jan Zari continued to serve as the editor of NCBC's newsletter, *Impact*. As editor, he chairs the NCBC Editorial Committee and serves on the NCBC Board. The official newsletter of the NCBC, the *Impact*, is distributed to all members. Each issue includes updates from the NCBC Board and the various activities of



the organization, as well as news and updates from the Administrative Office of the U.S. Courts (AO) and from local courts across the nation. Mr. Zari's appointment will end in December 2018.

Jennifer Paro Appointed as NCBC Historian

At the conclusion of her threeyear term, Courtroom Technology Specialist Jennifer Paro was reappointed as the NCBC historian. Ms. Paro maintains NCBC's existing historical records and documents its activities in photographs, videos, and audio recordings. Serving jointly with longtime NCBC Historian



Mary Lynn Wilson, Ms. Paro focuses on digitizing the association's existing historical documents and recording oral histories, among other duties. Ms. Paro's term will end on December 31, 2019.

Jessica Garibay Serves as Ninth Circuit Liaison of the NCBC

Administrative Specialist Jessica Garibay served as NCBC's Ninth Circuit liaison, representing the Circuit constituency, coordinating NCBC activities within the Circuit, chairing teleconferences meetings and with the NCBC Board, and disseminating membership and other information as necessary.



Ms. Garibay's appointment ended in December.

Sabrina Palacio-Garcia Elected to NCBC Board of Governors

Self Help Desk Team Leader Sabrina Palacio-Garcia's twoyear term on the NCBC Board of Governors concluded this year. As a member of the Board of Governors, Ms. Palacio-Garcia is responsible for completing at least one project assigned or designated by the president of NCBC or agreed upon by a majority vote of the



Board of Governors. Additionally, Ms. Palacio-Garcia was selected to chair the Membership Committee by the president of NCBC.





Veronica Magno

Monica Yepes

Veronica Magno and Monica Yepes Serve as NCBC Local Representatives

Financial Specialist Veronica Magno was appointed and Operations Support Clerk Monica Yepes was reappointed to serve as NCBC local representatives for the Central District on October 31, 2016. In addition to acting as the Court's local contact for the annual NCBC Conference, Ms. Magno and Ms. Yepes worked with the Ninth Circuit liaison to promote and increase NCBC membership and participation within the Court. Their two-year terms will end on October 31, 2018.

Judicial Caseload

CENTRAL DISTRICT OF CALIFORNIA BANKRUPTCY CASES FILED BY CHAPTER OF THE BANKRUPTCY CODE CALENDAR YEARS 2008 - 2016

| | | | | Chapter | | |
|----------------|---------|---------|-------|---------|--------|--------------------|
| Year | Total | 7 | 11 | 12 | 13 | OTHER ¹ |
| | | | | | | |
| 2008 | 65,856 | 49,451 | 789 | 2 | 15,611 | 3 |
| 2009 | 108,647 | 83,656 | 1,126 | 9 | 23,853 | 3 |
| 2010 | 142,726 | 109,415 | 1,123 | 13 | 32,174 | 1 |
| 2011 | 134,501 | 99,170 | 1,165 | 9 | 34,154 | 3 |
| 2012 | 105,515 | 81,128 | 904 | 7 | 23,473 | 3 |
| 2013 | 75,581 | 61,127 | 725 | 2 | 13,726 | 1 |
| 2014 | 57,356 | 45,710 | 502 | 3 | 11,140 | 1 |
| 2015 | 46,523 | 35,266 | 460 | 5 | 10,791 | 1 |
| 2016 | 41,399 | 30,403 | 433 | 8 | 10,555 | 0 |
| Percent Change | | | | | | |
| 2015 - 2016 | -11.0% | -13.8% | -5.9% | 60.0% | -2.2% | -100.0% |

¹ Includes cases filed under chapters 9 and 15 of the bankruptcy code

CENTRAL DISTRICT OF CALIFORNIA Total Bankruptcy Filings By Division Santa Barbara 2016 2,502 San Fernando Valley 6% 17,764 43% Santa Ana 5,461 13% Riverside 11,817 29%

CENTRAL DISTRICT OF CALIFORNIA BANKRUPTCY CASES FILED, CLOSED, AND PENDING CALENDAR YEARS 2008 - 2016

| Filed | | | | |
|-------------------|--|--|--|---|
| Total | Nonbusiness | Business | Closed | Pending |
| 65,856 108 647 | 62,345 103 539 | 3,511 5 108 | 40,414 85 719 | 51,461 74.443 |
| 142,726 | 137,363 | 5,363 | 135,153 | 82,059 70,383 |
| 105,515 | 102,006 | 3,509 | 110,014 | 65,962 |
| 57,356 | 55,321 | 2,035 | 62,024 | 51,136 46,482 |
| 46,523 41,399 | 44,653 39,714 | 1,870 1,685 | 50,599 48,211 | 42,415 35,617 |
| -11.0% | -11.1% | -9.9% | -4.7% | -16.0% |
| | 65,856 108,647 142,726 134,501 105,515 75,581 57,356 46,523 41,399 | Total Nonbusiness 65,856 62,345 108,647 103,539 142,726 137,363 134,501 130,188 105,515 102,006 75,581 72,896 57,356 55,321 46,523 44,653 41,399 39,714 | Total Nonbusiness Business 65,856 62,345 3,511 108,647 103,539 5,108 142,726 137,363 5,363 134,501 130,188 4,313 105,515 102,006 3,509 75,581 72,896 2,685 57,356 55,321 2,035 46,523 44,653 1,870 41,399 39,714 1,685 | Total Nonbusiness Business Closed 65,856 62,345 3,511 40,414 108,647 103,539 5,108 85,719 142,726 137,363 5,363 135,153 134,501 130,188 4,313 146,224 105,515 102,006 3,509 110,014 75,581 72,896 2,685 90,429 57,356 55,321 2,035 62,024 46,523 44,653 1,870 50,599 41,399 39,714 1,685 48,211 |

BANKRUPTCY FILINGS

A total of 41,399 bankruptcy cases were filed in the Central District of California during the 12-month period ending December 31, 2016, an 11 percent decrease from the previous year's total of 46,523 filings. While filings for all chapters continued to decline, the rate for chapters 11 and 13 lessened significantly compared to the rate of decline from 2014 to 2015.

Chapter 7 filings decreased by 13.8 percent to 30,403 filings in 2016, accounting for 73.4 percent of all petitions filed district-wide. Chapter 7 filings also accounted for 78.3 percent of all business filings and 73.2 percent of the year's nonbusiness filings.

Chapter 11 filings decreased 5.9 percent to 433. Chapter 11 cases, which typically require more judicial resources than cases that are filed under other chapters, accounted for approximately 1 percent of all petitions filed in 2016, about the same as the percentage of chapter 11 filings in 2015. Over 60 percent of all chapter 11 petitions were business cases.

Chapter 13 filings decreased 2.2 percent to 10,555 filings in 2016. Chapter 13 petitions accounted for 25.5 percent of the year's filings, up from 23.2 percent in 2015. Chapter 13 petitions also accounted for 26.3 percent of all nonbusiness filings and 5.6 percent of all business filings.

The number of bankruptcy petitions terminated by the Central District in 2016 dropped 4.7 percent to 48,211. Because terminations exceeded filings this year, there were 35,617 cases pending in December, a 16.0 percent decrease from the number of cases pending one year earlier.

According to the national filing data released by the Administrative Office of the United States Courts, for the twelve months ending December 31, the Central District of California received 7.9 percent less bankruptcy filings than the district with the highest number of filings, the Northern District of Illinois. The Central District of California led the nation with the highest total of business filings, and

was second in non-business filings. Bankruptcy filings in the Central District of California account for over 5 percent of the nation's filings.

ADVERSARY PROCEEDINGS

During the 12-month period ending December 31, adversary proceedings decreased 24.2 percent from 1,922 to 1,457.

The number of adversary proceedings terminated in 2016 declined by 6 percent to 1,828 from 1,945 terminated in 2015. Pending adversary proceedings fell 14.3 percent, from 2,572 in 2015 to 2,204 in 2016.

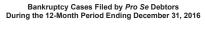
CENTRAL DISTRICT OF CALIFORNIA ADVERSARY PROCEEDINGS FILED, CLOSED, AND PENDING CALENDAR YEARS 2008 - 2016

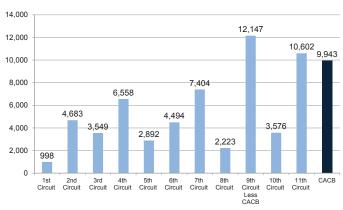
| Year | Filed | Closed | Pending |
|----------------|--------|--------|---------|
| | | | |
| 2008 | 2,976 | 2,286 | 3,211 |
| 2009 | 5,057 | 2,254 | 6,014 |
| 2010 | 4,853 | 5,350 | 5,521 |
| 2011 | 4,927 | 6,133 | 4,394 |
| 2012 | 3,670 | 4,450 | 3,632 |
| 2013 | 2,834 | 3,434 | 3,042 |
| 2014 | 1,981 | 2,444 | 2,579 |
| 2015 | 1,922 | 1,945 | 2,572 |
| 2016 | 1,457 | 1,828 | 2,204 |
| Percent Change | | | |
| 2015 - 2016 | -24.2% | -6.0% | -14.3% |

PRO SE FILINGS

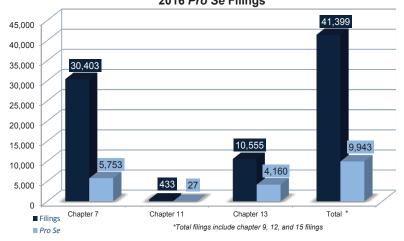
The Central District of California led the nation in the number of *pro se* filings for the twelve-month period ending December 31. The Central District's rate of *pro se* filings for the year was 24 percent, nearly three times the national average of 8.7 percent and 14.8 percentage points higher than the next-highest district, the Northern District of Illinois, with 9.2 percent. The Central District handled 14.4 percent of the entire nation's *pro se* bankruptcy filings. Excluding the remainder of the Ninth and Eleventh Circuits, the Central District alone handles more *pro se* filings than all remaining individual circuits.

Of the 41,399 bankruptcy cases filed in the district, 9,943 were filed by *pro se* filers. Chapter 13 petitions had the highest *pro se* percentage with 39.4 percent, followed by chapter 7 petitions with 18.9 percent filed by *pro se* filers. Chapter 11 had the smallest percentage of *pro se* filings with 6.2 percent.





U.S. Bankruptcy Court - Central District of California 2016 *Pro Se Filings*



CENTRAL DISTRICT OF CALIFORNIA PRO SE CASES FILED BY CHAPTER OF THE BANKRUPTCY CODE CALENDAR YEARS 2008 - 2016

| | | Chapter | | | | |
|--|--------|---------|------|-------|--------|--------|
| Year | Total | 7 | 11 | 12 | 13 | OTHER* |
| | | | | | | |
| 2008 | 15,095 | 8,198 | 74 | 2 | 6,821 | 0 |
| 2009 | 25,904 | 15,526 | 112 | 0 | 10,266 | 0 |
| 2010 | 36,731 | 22,093 | 98 | 1 | 14,538 | 1 |
| 2011 | 38,098 | 21,594 | 78 | 0 | 16,426 | 0 |
| 2012 | 28,731 | 18,230 | 60 | 1 | 10,440 | 0 |
| 2013 | 18,655 | 13,314 | 40 | 1 | 5,300 | 0 |
| 2014 | 13,329 | 9,447 | 30 | 0 | 3,851 | 1 |
| 2015 | 11,395 | 7,323 | 26 | 2 | 4,044 | 0 |
| 2016 | 9,943 | 5,753 | 27 | 3 | 4,160 | 0 |
| Percent Change | | | | | | |
| 2015 - 2016 | -12.7% | -21.4% | 3.8% | 50.0% | 2.9% | 0.0% |
| *Includes cases filed under chapters 9 and 15 of the Bankruptcy Code | | | | | | |

Court Events and Community Outreach



Attorneys Magdalena Reyes Bordeaux, Thomas B. Walper, and Jeffrey C. Krause and Judge Vincent P. Zurzolo

LASAROW AWARDS HONOR *PRO*BONO VOLUNTEERS IN CENTRAL DISTRICT

On the evening of November 10, Public Counsel hosted the 2016 William J. Lasarow Awards in the lobby of the Edward R. Roybal Federal Building and U.S. Courthouse in Los Angeles. Named after the beloved bankruptcy judge from the Central District, the annual awards honor the service of *pro bono* volunteers. A little over a week after the ceremony, on November 18, Judge Lasarow passed away at the age of 94.

Over 50 guests were welcomed by Public Counsel Supervising Senior Staff Attorney Magdalena Reyes Bordeaux, whose opening remarks described how *probono* attorneys have helped clients and the Court by protecting vulnerable individuals. Attorneys, court staff, and judges were in attendance, including Chief District Court Judge Virginia A. Phillips, Chief Bankruptcy Judge Sheri Bluebond, and Bankruptcy Judges Vincent P. Zurzolo, Ernest M. Robles, Thomas B. Donovan, Robert N. Kwan, Deborah J. Saltzman, Sandra R. Klein, Julia W. Brand, and Martin R. Barash.

Several keynote speakers recognized the volunteers in their remarks. Public Counsel President and CEO Margaret Morrow spoke about the importance of the time and effort volunteers spend to ensure bankruptcy filers have the opportunity to get a fresh start. She noted that the volunteers play a critical role in ensuring

access to justice while also helping to streamline court proceedings and guard against fraud and abuse in bankruptcy cases. Chief Judge Bluebond spoke about Judge Lasarow's distinguished career serving on both the bench and on the Bankruptcy Appellate Panel, and the way he laid the groundwork for the Court today. Chief Judge Bluebond also stressed the importance of volunteers, especially in the Central District, which handles 15 percent of the nation's pro se bankruptcy filings. Executive Officer/Clerk of Court Kathleen J. Campbell also reflected on Judge Lasarow's service to the Court and emphasized the positive impact that volunteers made in 2015, serving approximately 4,900 visitors districtwide. She noted that during the same year the Court took in 11,395 pro se filings, comprising 25 percent of the Court's filings. Data from a national work measurement study in which the Court participated in September 2016 reflected that pro se cases take almost three times as much clerical effort as attorney-represented cases. Ms. Campbell said that the Court's partnership with pro bono volunteers enables the Clerk's Office to operate more efficiently.

For each division's self help desk, awards were presented to volunteers by representatives from the *pro bono* organization sponsoring that location. Award winners included the following attorneys: Brian Brumfield (Los Angeles Division/Public Counsel's Debtor Assistance Project), Christopher Gautschi (Northern Division/Legal Aid Foundation of Santa Barbara County), Christian Uchechukwu Anyiam (Riverside Division/Public Service Law Corporation), Lydia Tse (Santa Ana Division/Public Law Center), and Nan Blitman (San Fernando Valley Division/Neighborhood Legal Services). Each recipient present spoke about the personal satisfaction gained from assisting bankruptcy litigants with resolving questions about their bankruptcy cases.

Three other special awards were presented by Judge Zurzolo and Ms. Bordeaux. First, Judge Zurzolo presented the Lasarow Founders Award to attorneys Jeffrey Krause and Thomas Wolper. Judge Zurzolo spoke about the way the *pro bono* effort has grown as a result of the founders' efforts: it began with non-dischargeability defense but now includes everything

from assistance at reaffirmation hearings to helping debtors to determine whether to file at all. When accepting their awards, Mr. Krause and Mr. Wolper also expressed their support for the way the *pro bono* effort has grown since its inception. Ms. Bordeaux presented a surprise award to Hon. Thomas B. Donovan in honor of his extraordinary career and contributions to the bankruptcy community. Ms. Bordeaux spoke of Judge Donovan's intelligence, compassion, and temperament, and described his background: his time as a competitive golfer, service in the army, career in private practice, and eventual appointment to the bankruptcy bench. Judge Donovan accepted his award by distinguishing his service from the volunteers', noting that he gets paid, and he "was just doing his job."



Interpreters Cesar Hernandez, Mariela Z. Torrez, Stacey Tennyson; Attorneys Christian Cooper and Magdalena Reyes Bordeaux; and Paralegal Vikki Padilla in the Los Angeles Division

COURT PUBLISHES HONOR ROLL UPDATE FOR 2016

The week of October 23, the Court published its annual update to the Honor Roll for *pro bono* volunteers. The Honor Roll is featured on the scrolling banner on the Court's website and is published each year in conjunction with the American Bar Association's National *Pro Bono* Celebration Week. Each September, participating *pro bono* organizations submit the updated list of volunteers for the previous 12 months. The 2016 Honor Roll lists 291 volunteers, including attorneys, law students, paralegals, and interpreters.



Judge Sandra R. Klein, Judge Thomas B. Donovan, Attorney Magdalena Reyes Bordeaux, Chief Judge Sheri Bluebond, Judge Vincent P. Zurzolo, Judge Julia W. Brand, Attorney Christian Cooper, Judge Robert N. Kwan, and Paralegal Vikki Padilla in the Los Angeles Division

COURT HOSTS *PRO BONO* RECEPTIONS FOR HONOR ROLL VOLUNTEERS

The Court hosted receptions for *pro bono* volunteers listed on its Honor Roll on April 5 at the Los Angeles Division, April 12 at the Northern Division, April 26 at the Santa Ana Division, and April 28 at the San Fernando Valley Division. The Riverside Division opted to honor volunteers in conjunction with an Inland Empire Bankruptcy Forum event earlier in the year. Published on the Court's website under "Programs and Services for Attorneys," the Honor Roll is based on the names submitted on an ongoing basis by each of the Court's self-help desks. The district-wide receptions were part of an initiative by the Court's *Pro Se* Committee to make these events more accessible to the volunteers being honored.

POWER LUNCH BRINGS 50 STUDENTS FROM LA PUENTE VALLEY REGIONAL OCCUPATIONAL PROGRAM TO COURT

On November 9, the Court hosted a Power Lunch for approximately 50 students from the La Puente Valley Regional Occupational Program. Students met with a group of approximately 40 judges, special guests, and lawyers to learn about the law and the legal profession.



Participating judges included Chief Bankruptcy Judge Sheri Bluebond; Bankruptcy Judges Barry Russell, Sandra R. Klein, and Neil W. Bason; Senior District Judges Terry Hatter, Jr. and Consuelo B. Marshall; District Judges John A. Kronstadt and Beverly Reid O'Connell; and Magistrate Judges Jean P. Rosenbluth and Steve Kim. Bankruptcy Executive Officer/Clerk of Court Kathleen J. Campbell and members of her staff helped make the event a huge success.

In addition to the judges listed above, a number of attorneys volunteered, including assistant United States attorneys, deputy federal public defenders, and attorneys from private practice. Members of the U.S. Marshals Service and the U.S. Pretrial Services Office, as well as numerous judicial law clerks and externs, also participated.

Judge Klein kicked off the program by introducing the guest speaker, Magistrate Judge Steve Kim, who encouraged the students to seek out "plus, minus, and equal" mentors—terms Judge Kim discovered in *Ego is the Enemy* by Ryan Holiday. "Pluses" are people from whom you can learn, experts in their fields who can show you how to improve and where you might be going wrong. "Equals" are your peers, people who are equally as good as you and who challenge, support, and motivate you. Finally, "minuses" are people you can teach and help by passing on your knowledge, experience, and skills.

Chief Bankruptcy Judge Bluebond, Senior District Judge Marshall and Magistrate Judge Rosenbluth welcomed the students on behalf of their colleagues. After Bankruptcy Judge Klein introduced the judges and provided "fun facts" about them, Judge O'Connell led the students in a game of *Legal Jeopardy!* At the end of the Lunch, Judge Klein thanked everyone for participating and gave a heartfelt thank you to the Clerk's Office staff who worked hard behind the scenes to make the Power Lunches such successful, worthwhile events.



RIVERSIDE HOSTS POWER LUNCH

On February 29, Judge Mark D. Houle hosted a Power Lunch in Riverside for 50 junior and senior high school students from San Gorgonio High School located in San Bernardino. The event was attended by district, magistrate, and bankruptcy judges as well as a number of law clerks and other attorneys. The students played a game of *Legal Jeopardy!* after lunch.



COURT HOSTS LAW DAY CELEBRATION FOR HIGH SCHOOL AND COLLEGE STUDENTS

On April 12, the Court hosted a Law Day celebration to commemorate the 50th anniversary of the Supreme Court's Miranda v. Arizona decision. More than 150 people attended the celebration, including students from Alliance Judy Ivie Burton Technology Academy High School and Alliance Susan & Eric Smidt Technology High School. College students involved in the California Courts' JusticeCorps program also attended. In addition to Bankruptcy Judge Sandra R. Klein, who chaired the celebration, Chief District Judge Virginia A. Phillips;

Senior District Judge Terry J. Hatter, Jr., District Judge John A. Kronstadt; Magistrate Judges Suzanne H. Segal and Rozella A. Oliver; Chief Bankruptcy Judge Sheri Bluebond; Bankruptcy Judge Barry Russell; and California Superior Court Judge Melissa N. Widdifield participated in the event.

During the hosted lunch, judges, lawyers, and other professionals engaged the students in a discussion of Miranda. Judge Klein encouraged the students to ask the professionals questions about how they were able to achieve success. After lunch, Judge Klein introduced the Law Day keynote speaker, Captain Carroll Cooley (ret.) of the Phoenix police department. Captain Cooley was the detective who investigated and arrested Ernesto Miranda in 1963. Captain Cooley also testified at Miranda's trial, and again at his retrial after the Supreme Court overturned Miranda's conviction. His recollection of the events leading to Miranda's arrest was riveting.



COURT HOSTS CELEBRATION FOR CENTRAL DISTRICT CIVICS CONTEST WINNERS

On June 8, the U.S. District and Bankruptcy Courts for the Central District of California hosted an award ceremony and reception for the winners of the Central District's local civics contest.

To celebrate the 50th Anniversary of the Supreme Court's Miranda v. Arizona decision, the Ninth Circuit Court of Appeals sponsored a civics contest for high school students throughout the Western United States. The contest's theme was "50 Years After the Miranda Decision: How Federal Courts Defined the Rights of the Accused."

The District and Bankruptcy Courts jointly sponsored the Central District's local contest. First, attorneys Magdalena Bordeaux, Nina Marino, Anna Park, and Tony Raphael reviewed and ranked the submissions; then, U.S. District Judge John A. Kronstadt, U.S. Bankruptcy Judges Sandra R. Klein and Martin R. Barash, and U.S. Magistrate Judges Rozella A. Oliver, Karen L. Stevenson, and Michael R. Wilner selected essays for the top three prizes and honorable mention.

Chief Bankruptcy Judge Sheri Bluebond, Bankruptcy Judges Thomas B. Donovan, and Sandra R. Klein, Julia W. Brand, and Neil W. Bason; Senior District Judges Manuel L. Real, Terry J. Hatter, Jr., and District Judge John A. Kronstadt; Magistrate Judges Michael R. Wilner and Jean P. Rosenbluth; Bankruptcy Judge Sandra R. Klein; and Daniela



Daniela (Dani) Mirell, First-Place Winner, and Judge Sandra R. Klein

(Dani) Mirell, winner of the first-place prize, participated in the ceremony. Also attending were Bankruptcy Executive Officer/Clerk of Court Kathleen J. Campbell, members of the Clerk's Office staff, and many proud family members and friends of the finalists.

Following introductory remarks from Chief Judge Bluebond, Judge Klein, and Judge Kronstadt, Judge Klein recognized the students whose essays received an honorable mention: Simran Chopra, Andy Escobar, Marc Flores, Camille Lin, Tayanna Torres Montelongo, Osvaldo Ramirez, Marquise Sanders, and Jennifer Biempica Villalba. Judge Klein then presented awards to the winners of the Central District Contest: Emily Ramirez, who was awarded third place and received \$500, Serena Davis, who was awarded second place and received \$750, and Daniela (Dani) Mirell who was awarded first place and received \$1,000.

The first, second, and third-place prize winners were automatically entered in the Ninth Circuit contest. In her insightful essay, which also won the Ninth Circuit contest's first-place prize, Ms. Mirell discussed how the courts safeguard "Miranda rights" and why those rights are so important to our system of justice. As the winner of the Ninth Circuit Contest, Ms. Mirell received an additional \$2,000, two round-trip airplane tickets and two nights' accommodations to attend the Ninth Circuit Judicial Contest in Big Sky, Montana, where she was presented with her award.



Top row: Loyola Law Student Kimiko Eguea, Paralegal Vikki Padilla, Attorney Christian Cooper, Loyola Law Student Kathie Sierra, Law Clerk Skye Serijan, and Attorney Magdalena Reyes Bordeaux Bottom row: Judge Sandra R. Klein and Professor Anne Welles

LOYOLA LAW SCHOOL CONSUMER BANKRUPTCY LITIGATION PRACTICUM RETURNS FOR MOCK HEARING AND RECEPTION

On April 11, the Court hosted a mock hearing and reception for the Loyola Law School Consumer Bankruptcy Litigation Practicum (CBLP). The CBLP is a two-semester program during which students gain real-life experience interviewing, counseling, and assisting unrepresented individuals. The students also had an opportunity to conduct mock hearings before Judge Sandra R. Klein. After receiving feedback from Judge Klein, Professor Anne Wells, and the students' coaches, Christian Cooper and Magdalena Reyes Bordeaux, the students took a tour of Judge Klein's chambers.

Judge Klein and the students then attended a catered reception. Approximately 40 people participated in the reception, including Chief Judge Sheri Bluebond, Judge Julia W. Brand, Judge Klein, Executive Officer/Clerk of Court Kathleen J. Campbell, and members of her staff. In addition, attorneys from all over the district and law clerks showed their support by attending.

FEDERAL CAREER DAY

On March 11, representatives of the Court, including Judge Maureen A. Tighe, Judge Sandra R. Klein, and Executive Officer/Clerk of Court Kathleen J. Campbell,



Federal Career Day

participated in Federal Career Day at College of the Canyons' Santa Clarita campus. Over 120 students attended the event, which featured Senior District Judge Consuelo B. Marshall and Bankruptcy Judge Tighe as the keynote speakers. Representatives from each of the participating federal agencies spoke briefly to the assembled students about how they began their careers with the federal government, and why they enjoy their work. These representatives also had the opportunity for one-on-one conversations with students about their academic and career goals, and how the knowledge and skills they learned in the classroom could be applied in diverse and rewarding careers with the Court and in public service.

The event was planned by Bankruptcy Judge Maureen A. Tighe and U.S. Probation Officers Shannon Angelidis and Brent Udolph, working in conjunction with Professors Anne Marenco and Katie Coleman of the College of the Canyons. Court staff also participated in the planning, coordination, and execution of the event, and answered individual students' questions at the meet-and-greet portion of the event. Members of the Clerk's Office staff interviewed students, faculty and representatives from the various federal agencies in attendance and prepared a video of the event. Among the approximately 20 participating federal agencies, the Internal Revenue Service, U.S. Attorney's Office, Federal Bureau of Investigation, and Department of Homeland Security were in attendance. Alberto Gudiño provided music and served as the emcee for the event.

The event closed with an inspirational message from Judge Tighe, encouraging the students to keep working towards their educational goals and completing their degrees, followed by a raffle for various prizes provided by the agencies.



STATE v. JACK ROBINSON MOCK TRIALS

On April 7, approximately 100 fourth and fifth grade students from Canfield Elementary School arrived at the Bankruptcy Court to participate in a mock trial. At the beginning of the students' trip, they entered the Roybal Federal Building and experienced courthouse security lines. Once the students had successfully passed through security, they were led into Chief Judge Sheri Bluebond's courtroom for a brief civics lesson. Chief Judge Bluebond began by discussing each branch of the federal government before delving into how the American court system functions. She mentioned the differences between state and federal courts and civil and criminal proceedings.

Afterward, the students were escorted to one of three courtrooms to participate in the mock trial <u>State v. Jack Robinson</u>. In addition to Chief Judge Bluebond, Judges Sandra R. Klein and Julia W. Brand assisted the students throughout the mock trials. Before the trials began in each of the courtrooms, Chief Judge Bluebond and Judges Klein and Brand explained trial procedures, ensured that all of the students were seated in the appropriate place, and then took the student judges into chambers to help the students with their judicial robes.

All three juries were hung. In Chief Judge Bluebond's and Judge Brand's courtrooms, nine out of 12 jurors voted in favor of a guilty verdict. The jury in Judge Klein's courtroom had six jurors who voted in favor of acquitting Jack and six jurors who voted in favor of finding him guilty. Regardless of each jury's decision, all of the students gained a newfound respect for serving on jury duty. Lastly, the three classes reconvened in Chief Judge Bluebond's courtroom to discuss the results.



POWER LUNCH AT THE NINTH CIRCUIT COURT OF APPEALS IN PASADENA

On May 13, a Power Lunch was held at the Ninth Circuit Court of Appeals in Pasadena. Thirty-three students from John Muir High School attended, along with 45 judges, attorneys, and other professionals. After Bankruptcy Judge Sandra R. Klein's introductory remarks, she introduced Circuit Judge Dorothy W. Nelson and District Judge Beverly Reid O'Connell, who welcomed the students and guests. Circuit Judge Jacqueline H. Nguyen gave the keynote address. Also attending were Senior District Judge Terry J. Hatter, Jr., District Judge Dale S. Fischer, and John A. Kronstadt; Bankruptcy Judges Ernest M. Robles, Thomas B. Donovan, and Erithe A. Smith; and Superior Court Judges Nicole C. Bershon, Sherilyn Garnett, and Rupa S. Goswami.

During the Power Lunch, legal professionals met with small groups of students over lunch and shared their experiences about law, the legal system, and their careers. In addition to lunch, the event included a slide show that highlighted the judges in attendance, a keynote speaker, and a rousing game of *Legal Jeopardy!*.

OUTSIZED *PRO SE* POPULATION ADDRESSED

Through direct community engagement, multilingual marketing, and expanded public outreach, the Court proactively addressed the challenges of its outsized *pro se* population. The judges on the Court's *Pro Se* Committee, together with members of the Clerk's Office staff, have



Operations Support Team Leader Sharon Sampson

worked hard to identify and eliminate barriers to access and provide much-needed information on the Court's services, in alignment with the goals of the Court's Strategic Plan.

Clerk's Office staff members enthusiastically forward, stepped volunteering to speak at events hosted in the evenings and even on weekends. Throughout 2016, volunteers delivered presentations to a wide range of groups, including the Motion Picture and Television Fund, Paul Robeson Free Legal Clinic, LIFT LA,



Operations Support Clerk Otoniel Gonsales

and neighborhood councils of Harbor Gateway South, Empowerment Congress West, Foothill Trails District, Northridge South, Torrance, and West Los Angeles. They also spoke at local government events, such as home foreclosure resource fairs in Boyle Heights and Huntington Park, and visited senior centers in South Pasadena, El Monte, and Jurupa Valley. Volunteers formed multilingual teams, so that they could present in languages other than English, including Spanish and Mandarin. Local politicians and community leaders were appreciative of and extremely satisfied with the presentations. Audiences were surprised to learn about the many services offered by the Court.

The Court also took a fresh look at its website with a *pro se* perspective in mind. To collect information about the needs of *pro se* filers and improve content accordingly, the Court posted a new survey tool on its website and





Court Marketing in Publications

opened a dialogue with pro se debtors, seeking feedback on the website's self-help areas, through in-person interviews with self-represented parties. In response to user comments, the Court added translation links in the top five languages used in the Central District, and simplified and reorganized web content so that a visitor would be able to access desired information from a variety of paths. The Court also produced a number of informational videos in English and Spanish and posted them on the website to assist debtors in using court services. Produced in a shared services partnership with the U.S. Bankruptcy Court for the District of New Mexico, the videos include topics such as credit counseling, financial management, electronic Self-Representation (eSR) software, filing fees, proofs of claim, and reaffirmation agreements. The Court expects to feature these videos in future social media posts.

Follow-up surveys have indicated that the combination of these outreach efforts have been overwhelmingly positive and have made a significant impact. Traffic to the self-help desks in each of the Court's five divisions has remained steady or even increased, despite a decline in filings. All of these efforts equate to better results for *pro se* debtors.

OUTREACH EVENT AT SENIOR EXPO

On April 20, staff members from the Riverside Division participated in a community outreach program at the Eddie Dee Smith Senior Center 12th Annual Senior Expo in Riverside. Volunteers Melissa English, Susan Hawkinson, Sandy Mohammad, and Justin Olmos, along with attorney Bob Simmons of the Riverside Division *Pro Se* Clinic, discussed the various services that are available to the public on the Court's website, and distributed eSR and DeBN materials in multiple languages.



Judge Maureen A. Tighe with students from CHIME Charter School



Judge Martin R. Barash with students from CHIME Charter School

MOCK TRIALS IN SAN FERNANDO VALLEY

On June 6, approximately 100 fifth grade students from CHIME Charter School in Woodland Hills visited the San Fernando Valley Division to hold three concurrent mock trials. Before the trials began, Judges Maureen A. Tighe and Martin R. Barash, their law clerks and externs, and members of the Clerk's Office welcomed the students and took questions. After the verdicts, the judges posed for a photo at the bench with each student. This is the seventh year CHIME Charter School visited the San Fernando Valley Courthouse to participate in mock trials.



Judge Victoria S. Kaufman with Girl Scout Troops



Judge Sandra R. Klein with Girl Scout Troops

GIRL SCOUTS VISIT THE LOS ANGELES AND SAN FERNANDO VALLEY DIVISIONS

During September, October, and November, multiple Girl Scout Troops visited the Los Angeles Division. Judge Sandra R. Klein welcomed the Girl Scouts into her courtroom, where she spoke with them about the legal system and encouraged them to work hard so they can achieve their goals. Afterwards, all of the girls were invited to put on a black robe and pose for pictures on the bench. Each of the Girl Scouts received the Court's red, white, and blue patch, and their visit to the courthouse counts toward earning the Girl Scouts of Greater Los Angeles' Justice Patch.

On December 19, Girl Scout Troop 476 came for a tour of the San Fernando Valley Division and to meet with Judge Victoria S. Kaufman. After a tour of the intake area and other areas of the San Fernando Valley Division, conducted by the Clerk's Office staff, the troop members met with Judge Kaufman in her courtroom. Judge Kaufman gave a brief introduction and then answered the troop's questions about what she does as a judge. Each of the Girl Scouts then had a chance to have their pictures taken wearing a judicial robe in their size.



Judge Catherine E. Bauer at Naturalization Ceremony



Judge Sandra R. Klein at Naturalization Ceremony

CONSTITUTION DAY AND CITIZENSHIP DAY NATURALIZATION CEREMONIES

On September 22, in celebration of Constitution Day and Citizenship Day, Judges Catherine E. Bauer and Sandra R. Klein each presided over a naturalization ceremony at the Los Angeles Convention Center. During the morning ceremony, over which Judge Klein presided, the Henry E. Huntington Middle School's Bel Canto Choir sang the national anthem, and 4,140 applicants from 126 countries were sworn in. Judge Bauer presided over the standing room only afternoon ceremony, swearing in 4,584 applicants from 127 countries. Portions of the morning ceremony were included in the Administrative Office of the U.S. Court's video of more than 40 naturalization ceremonies that took place in celebration of Constitution Day and Citizenship Day.

NATURALIZATION CEREMONY AT AMERICAN HEROES AIR SHOW

On June 18, Judge Geraldine Mund presided over a naturalization ceremony at Hansen Dam Recreation Area in Lake View Terrace, administering the oath to 52 new citizens at the annual American Heroes Air Show. Though the helicopter air show has been held at Hansen Dam for two decades, this was only the second time the event opened with a naturalization ceremony.

RIVERSIDE OPERATIONS STAFF PARTICIPATES IN PUBLIC SERVICE LAW OUTREACH

Operations staff from the Riverside Division participated in a community outreach project sponsored by the Public Service Law Corporation of the Riverside County Bar Association on August 21. The staff members provided an overview of resources available on the Court's website, demonstrated the Electronic Self-Representation (eSR) module, and answered procedural questions.

RIVERSIDE STAFF DISCUSSES NEW FORMS AT IEBF PROGRAM

On April 26, Operations Supervisor Melissa English and Team Leader Mark Francisco served as panelists at the Inland Empire Bankruptcy Forum's program "Spring Cleaning: A Review of the New Forms and How They Affect Us All." The panel also included a creditor attorney, a trustee attorney, and a member of the Office of the United States Trustee. The panelists discussed their perspectives on the impact of the Official Forms that became effective on December 1, 2015.

Speaking Engagements and Programs



Judges Scott H. Yun, Mark S. Wallace, Meredith A. Jury, Mark D. Houle, Wayne Johnson, and Scott C. Clarkson at the IEBF's Judges' Night



Judge Scott C. Clarkson with Attorneys Kathleen McCarthy, Christopher Green, and William Lobel at the January Meeting of the Orange County Bar Association



Judge Sandra R. Klein (Center) and Loyola Law School Students

JANUARY

- January 2 and 3: Judge Sandra R. Klein was an instructor at the National Institute of Trial Advocacy Program in Los Angeles.
- January 7: Judge Sandra R. Klein participated in two Loyola Law School panels on interviewing.
- January 19: Judges Meredith A. Jury, Mark S. Wallace, Scott C. Clarkson, Wayne Johnson, Mark D. Houle, and Scott H. Yun served as panelists at the Inland Empire Bankruptcy Forum's Ask the Judges Night program.
- January 27: Judge Sandra R. Klein spoke to an Ethical Lawyering class at Loyola Law School about ethics.
- January 28: Judge Scott C. Clarkson presented on "Ethical Issues in Bankruptcy Debtor Representation" at the January Meeting of the Orange County Bar Association, Commercial Law & Bankruptcy Section.
- January 30: Judges Meredith A. Jury and Julia W. Brand spoke at the Central District Consumer Bankruptcy Attorney Association's 10th annual review of Ninth Circuit decisions on bankruptcy.

FEBRUARY

- February 4: Judges Erithe A. Smith, Theodor C. Albert, Catherine E. Bauer, Mark S. Wallace, and Scott C. Clarkson participated in the Orange County Bankruptcy Forum Judges' Night.
- February 8: Judge Sandra R. Klein participated in a panel on interviewing sponsored by Women Lawyers Association of Los Angeles at Loyola Law School.
- February 9: Judge Sandra R. Klein was the guest speaker at the James T. King Inn of Court in Los Angeles, moderated by Judge Neil W. Bason.
- February 18: Judge Theodor C. Albert presented at the Orange County Bar Association, Commercial Law and Bankruptcy Section Meeting's <u>HSBC v. Blendheim</u> discussion.
- February 18: Judge Deborah J. Saltzman presented at the Los Angeles County Bar Association's "The Force Awakens: Objections to Exemptions after <u>Law v. Siegel</u>" program.



Top row: Attorney Jess R. Bressi and Judges Scott C. Clarkson and Mark S. Wallace Bottom row: Judges Catherine E. Bauer, Erithe A. Smith, and Theodor C. Albert at the OCBF's Judges' Night.

February 29: Judges Mark D. Houle and Scott H. Yun were keynote speakers at the Power Lunch held at the Riverside Division.

MARCH

- March 8: Judge Neil W. Bason moderated the James T. King Inn of Court in Los Angeles.
- March 24: Judge Sandra R. Klein moderated the panel discussion "If It's Not One Thing It's A Mother (Or Father): Legal, Financial and Emotional Issues Caring for Older Adults."
- March 26: Judge Ernest M. Robles discussed "Representing Spouses and Domestic Partners in Bankruptcy: What You Don't Know Can Hurt You" at the Bankruptcy and Family Law Crossover event hosted by the Central District Consumer Bankruptcy Attorney Association (*cdcbaa*).

APRIL

- April: Judge Julia W. Brand discussed important Ninth Circuit cases with Judges Thomas M. Renn, M. Elaine Hammond, and Marc L. Barreca.
- April 7: Judge Meredith A. Jury discussed chapter 9 bankruptcy with the Beverly Hills Bar Association.
- April 9: Judge Neil W. Bason spoke about the intersection of divorce and bankruptcy at the Northern District Judicial Conference in Napa.
- April 13: Judges Erithe A. Smith and Sandra R. Klein spoke at an FBA-LA brown bag lunch for young lawyers about their career paths, the importance of networking, and practicing in Bankruptcy Court.
- April 15: Judges Martin R. Barash and Gregg W. Zive participated in the American Bankruptcy Institute's Annual Spring Meeting.



Judges Scott C. Clarkson, Catherine E. Bauer, Theodor C. Albert, Mark D. Houle, and Mark S. Wallace at Third Annual Consumer Bankruptcy Law Update

April 28: Judges Theodor C. Albert, Catherine E. Bauer, Scott C. Clarkson, Mark S. Wallace, and Mark D. Houle
were panelists at the Orange County Bar Association's "Third Annual Consumer Bankruptcy Law Update," held
at Chapman University School of Law in Orange.

MAY

- May 10: Judge Neil W. Bason moderated the James T. King Inn of Court in Los Angeles.
- May 11: Judge Scott C. Clarkson presented at the Orange County Bankruptcy Forum-sponsored "Successor Liability and Chapter 11" lunch program.
- May 12: Judge Martin R. Barash was a panelist at the Los Angeles County Bar Association's "The Creditors Committee: Ethical Traps for the Unwary and..."
- May 20: Judges Julia W. Brand and Martin R. Barash discussed "The Clash The Intersection between Intellectual Property and Bankruptcy Law" on an American Bankruptcy Institute panel at the California Bankruptcy Forum's 28th Annual Insolvency Conference.
- May 21: At the California Bankruptcy Forum's 28th Annual Insolvency Conference, Judge Meredith A. Jury moderated a panel on unbundling/limited scope for the Consumer Section of the California Bankruptcy Forum, Judge Neil W. Bason spoke about social media and ethics and hosted a round-table discussion about effective advocacy for the Young Insolvency Professionals (YIP), Judge Julia W. Brand was a panelist in the YIP discussion "Welcome to the Jungle Tips for Navigating Your Way through the Evidentiary Jungle That Is Trial," and Judges Barry Russell, Erithe A. Smith, Maureen A. Tighe, Julia W. Brand, Neil W. Bason, and Martin R. Barash served as panelists for the annual game show hosted by Chief Judge Sheri Bluebond.

JUNE

- June 2: Judge Theodor C. Albert and Judge Scott H. Yun spoke at the panel discussion "Cramdown: Establishing Interest Rates and New Value in Contested Confirmation Hearings" sponsored by the Orange County Bankruptcy Forum.
- June 6: Judge Richard M. Neiter was honored by the Los Angeles Bankruptcy Forum (LABF) during the "Annual Night with the Judges" program. Chief Judge Sheri Bluebond moderated the panel discussion with Judges Barry Russell, Victoria S. Kaufman, Deborah J. Saltzman, Martin R. Barash, Sandra R. Klein, Neil W. Bason, and Julia W. Brand.
- June 8: Judge Mark S. Wallace presented "Views from the Bench" at the Bankruptcy Taxation program at the 32nd Bankruptcy & Restructuring Conference of the Association of Insolvency & Restructuring Advisors.



Top row: Judges Neil W. Bason, Martin R. Barash, Victoria S. Kaufman, Sheri Bluebond (Chief), and Barry Russell Bottom row: Judges Julia W. Brand, Sandra R. Klein and Deborah J. Saltzman at the LABF's Annual "Night with the Judges"

- June 9: At the 32nd Bankruptcy & Restructuring Conference of the Association of Insolvency and Restructuring Advisors,
 Chief Judge Sheri Bluebond participated in a panel discussion by federal and state judges on judges and the media for the
 annual Journalist Law School hosted by Loyola Law School; Judge Barry Russel moderated and participated in a panel
 discussion entitled "So What Makes You the Expert?"; and Judge Mark S. Wallace participated in the "Peril of Family
 Owned Businesses" panel discussing how issues related to family owned businesses emerge in bankruptcy.
- June 10: Judge Robert N. Kwan participated in a panel discussion entitled "Are You Ready for the New Bankruptcy Forms?" at the 32nd Bankruptcy & Restructuring Conference of the Association of Insolvency & Restructuring Advisors.
- June 11: Judge Meredith A. Jury discussed chapter 9 issues on the panel "Puerto Rico Where Is It Going?" at the Association of Insolvency & Restructuring Advisors' 32nd Annual Bankruptcy & Restructuring Conference on Coronado Island.
- June 14: Judge Mark S. Wallace took part in a dinner program hosted by the Inland Empire Bankruptcy Forum at the Marriott Riverside at the Convention Center. Judge Neil W. Bason moderated the James T. King Inn of Court in Los Angeles.
- June 29 and 30: Judge Sandra R. Klein spoke to the inaugural Los Angeles class of the Summer Legal Institute, a legal immersion program for high school students offered by Just the Beginning.

JULY

- July 5: Judge Sandra R. Klein spoke to a bankruptcy class at Loyola Law School about the importance of written advocacy, mentorships, and being open to opportunities.
- July 13: Judges Meredith A. Jury and Martin R. Barash were panelists for "Splits within the Circuit Issues without Controlling Ninth Circuit Authority," a discussion of cutting edge and undecided bankruptcy issues for the BAP and the Ninth Circuit, held at the Ninth Circuit Judicial Conference in Big Sky, Montana.
- July 21: Judge Neil W. Bason spoke about the intersection of divorce and bankruptcy at the Beverly Hills Bar Association.
- July 25: Judge Vincent P. Zurzolo held a brown bag program at the Los Angeles Division to discuss RARA fees as they apply in dismissed cases without Plan confirmation; presumptively reasonable fees in chapter 13 cases; title clearance after consummation of a chapter 13 plan; voluntary dismissal as it



Judge Vincent P. Zurzolo presenting at the Brown Bag Program

applies to motions, and adversary proceedings; request for the Clerk to issue another summons; valuation of property by a court appointed expert; avoiding unnecessary appearances at hearings; judge's copies issues—timing, method, Appendix F; rejected LOU orders; email to attorneys; common docket errors; and notice to filer.

• July 27: Judge Neil W. Bason discussed "Crafting a Chapter 13 Plan" at Public Counsel's lunch program.

• July 28: Judge Julia W. Brand took part in "Successor Liability in Bankruptcy," a program sponsored by the Bankruptcy Section of the Los Angeles County Bar Association.

AUGUST

- August 2: Judge Theodor C. Albert and Judge Sandra R. Klein presented at the luncheon program "Do Not Pass Go, Do Not Collect \$200: Criminal Law and Bankruptcy Issues," sponsored by the Orange County Bankruptcy Forum.
- August 13: Judge Martin R. Barash discussed "Judicial Philosophy: Interpreting the Bankruptcy Code" at the Third Annual James T. King Bankruptcy Symposium hosted by the Central District Consumer Bankruptcy Attorney Association (*cdcbaa*).
- August 16: Judge Erithe A. Smith was a panelist at the Orange County Bar's Association's "<u>Husky Int'l Electronics v. Ritz</u> – What You Need to Know about the Landmark U.S. Supreme Court Decision."
- August 18: Judge Scott C. Clarkson joined panelists from the U.S. Court of Appeals for the Ninth Circuit and the U.S. District Court for the Central District of California for the dinner and discussion "Law & Politics: The Impact on Our Courts" held by the Orange County Bar Association, Commercial Law & Bankruptcy Section.



Judges Theodor C. Albert and Sandra R. Klein at the OCBF Program

- August 25: Judge Catherine E. Bauer moderated and participated in a panel discussion at the Ninth Circuit Pro Se Conference.
- August 30: Judge Mark D. Houle and Judge Scott H. Yun discussed "Compensation and Disgorgement: Section 329 and Rule 2017 Proceedings; Earned upon Receipt Retainers (Do they Exist?); Security Retainers; Required Disclosures by Debtor's Counsel; Chapter 13 Fee Application Issues and Other Current Fee Issues" at a dinner event hosted by the Inland Empire Bankruptcy Forum.

SEPTEMBER

- September 9: Judge Deborah J. Saltzman discussed updates on consumer bankruptcy law, Judge Scott C. Clarkson discussed recovering and protecting legal fees, and Judge Gregg R. Zive discussed recent chapter 11 developments at the 24th Annual Southwest Bankruptcy Conference hosted by the American Bankruptcy Institute.
- September 15: Judge Martin R. Barash discussed "Chapter 11 Reform at LSTA?" at the Financial Lawyers Conference.
- September 22: Judge Sandra R. Klein took part in a panel discussion at Loyola Law School on the benefits of externing for a federal judge. Judge Mark S. Wallace participated in the brown bag discussion "Is a Late Filed Return a Return?" presented by the Orange County Bankruptcy Forum.

OCTOBER

- October 4: Judge Sandra R. Klein addressed approximately 500 high school seniors at Bonita High.
- October 5: Judge Neil W. Bason moderated the James T. King Inn of Court in Los Angeles.

- October 8: Judges Mark S. Wallace, Scott C. Clarkson, Wayne Johnson, Mark D. Houle, and Scott H. Yun participated in the Twenty-Third Annual Survey of Consumer Bankruptcy Law event hosted by the Inland Empire Bankruptcy Forum.
- October 11: Judges Scott C. Clarkson, Mark D. Houle, and Scott H. Yun discussed relevant issues and interests with other local insolvency professionals at the International Women's Insolvency & Restructuring Confederation and the Inland Empire Bankruptcy Forum's co-sponsored Fall Social Hour.
- October 14: Judge Sandra R. Klein participated in a mentoring event for law school students and recent law school graduates sponsored by the Center for Women in the Law and the Women Lawyers Association of Los Angeles.



Attorney David W. Meadows, Chief Judge Sheri Bluebond, and Attorney David W. Levene at the Annual State of the Court

- October 17: Chief Judge Sheri Bluebond presented on the "Annual State of the Court," while Judge Scott C. Clarkson participated in the panel discussion "The Structured Dismissal Menu: Three Entrees That Might, or Might Not, Be Made to Order" at a dinner program hosted by the Los Angeles Bankruptcy Forum.
- October 28: Judge Robert N. Kwan participated in a panel discussion entitled "Forum Shopping--Get Your Judge's Perspective: Tax Court, District Court, Court of Federal Claims or Bankruptcy Court" at the Annual Meeting of the Taxation Section of the State Bar of California.

NOVEMBER

- November 2: Judge Sandra R. Klein took part in a panel presentation at UCLA School of Law on the benefits of
 externing for a federal judge.
- November 3: Judge Deborah J. Saltzman was a panelist for "Trust-Fund Debtors: The Intersection between Bankruptcy and Trusts," a discussion presented by the Bankruptcy Law and Trusts & Estates Sections of the Beverly Hills Bar Association.
- November 4: Judge Neil W. Bason discussed chapter 11 for chapter 13 practitioners at a seminar sponsored by Pincus Professional Education.
- November 9: Judge Meredith A. Jury discussed "Hot Topics in Chapter 13 Practice and Making Sure You Hit a Home Run" at an event hosted by the Inland Empire Bankruptcy Forum. Judge Neil W. Bason moderated the James T. King Inn of Court in Los Angeles.
- November 18: Judges Deborah J. Saltzman and Sandra R. Klein participated in the Los Angeles Federal Bar Association's 13th Annual Bankruptcy Ethics Symposium.
- November 29: Judge Scott H. Yun participated in a brown bag discussion "Loan Modification Management Pilot Program" held at the United States Bankruptcy Court in Riverside.

KEY STUDIES, ACTIVITIES, AND ACCOMPLISHMENTS



COURT LAUNCHES LOAN MODIFICATION MANAGEMENT PILOT PROGRAM

On December 5, the Court introduced a pilot program to manage loan modifications involved in bankruptcy cases. The Loan Modification Management Program (LMM) is designed as a forum for debtors and creditors to reach a consensual resolution when a debtor's property is at risk of foreclosure. Judges Catherine E. Bauer, Julia W. Brand, Neil W. Bason, Scott H. Yun, and Martin R. Barash are participating in the LMM pilot.

COURT ASSISTS AO RECORDS MANAGEMENT PROJECT

The Court is one of 12 courts assisting the Administrative Office of the U.S. Courts (AO) by providing guidance on email retention and transmitting permanent electronic case records to National Archives and Records Administration. In February, the Clerk's Office began communicating with Judiciary Records Officer Omar Herran of the AO. A team composed of Systems Integration Manager Samuel Abram, Deputy-In-Charge Dennis Tibayan, Case Initiation Supervisor Jose Arias, Self Help Desk Team Leader Sabrina Palacio-Garcia, and Administrative Specialist Jessica Garibay is tasked with providing the information requested by the AO and responding to questionnaires.

CLERK'S OFFICE PARTICIPATES IN NATIONAL WORK MEASUREMENT STUDY FOR NEW STAFFING FORMULA

Approximately every five years, the Administrative Office of the U.S. Courts (AO) conducts a Work Measurement Study (WMS) of the bankruptcy courts' clerks' offices to gather data on the human resource needs for each district. The AO then utilizes the data to develop statistical formulas that use workload and court size to determine staffing levels. In other words, the AO wishes to provide an empirically driven answer to the question: "what is the appropriate level of staffing for each district?" The resulting model is commonly referred to as the staffing formula.

During 2016, the AO conducted a WMS. For 16 business days in September, the Court took part in the data collection process, gathering a total of nearly 325,000 hours of work time for all staff in the district. Staff on the operational side of the Clerk's Office reported time by breaking down employees' daily tasks by case type (e.g., chapter 7 pro se cases or chapter 11 mega cases). For the administrative side, hours were broken down by administrative category (e.g., procurement or human resources). After validating the data, the Court transmitted it to the AO. As of this writing, several options for the new staffing formula have been developed and are being considered for final approval for implementation in FY 2018.

In essence, this formula takes in the number of filings for each year, the number of authorized judgeships in each district, the number of divisional offices, and other factors that determine workload. Using these inputs, the formula then computes the amount of work generated in the district, measured as a total number of full-time staff members working for a whole year.

INTERNAL CONTROLS AND AUDIT

The Clerk's Office completed its internal audit schedule covering operations for FY 2015. The intended purpose of the audits is to provide an objective analysis of each department at the Court in an effort to help management improve its operations. The audits are essential in providing accountability for public resources.

The internal audits are required by the framework prescribed by the Administrative Office of the U.S. Courts and complement national cyclical audits, ensuring continuous monitoring of financial controls.

Audits were completed for the areas of financial management, FAS4T Security, property management, procurement, time and attendance, and budget. The audit objective was to assess and evaluate the internal control framework within each department and the Court's management controls.

SHARED ADMINISTRATIVE SERVICES UPDATE

The demand for the Court's shared administrative services (SAS) remained strong in 2016. Since 2013, the Court has published a catalog of its offerings in three strategic lines of business: Human Capital, Information Technology, and Space and Facilities. Services were offered to court units on a cost-reimbursable basis established through Memoranda of Understanding (MOU). Individual service offerings were posted to JShare, the judiciary's SAS webpage and catalog. The Court also used services from other courts for which it paid by transferring funds or by trading services. Throughout 2016, the Court engaged in the shared services detailed below.

• Website Toolbox Project for the Administrative Office of the United States Courts

In 2016, Kimberly Rubal assisted the Administrative Office of the United States Courts (AO) with the development, testing, documentation, and training associated with the Court Website Toolbox Project and other web projects. The initial agreement was reached in July 2015 and has been renewed every six months since it began.

• Web Design for the Sixth Circuit

From April to June, Kimberly Rubal assisted the Sixth Circuit with website customization, content migration, and related training.

• Shared Districtwide Training

Court staff attended Windows training along with personnel from District Court, Probation and Pretrial Services, and the Federal Public Defender. The training hosted 20 students offsite. By coordinating across the district to assemble a larger class size, the participating organizations obtained a discount for the proportionally-shared cost.

Wisconsin Eastern District Court Web Design

In FY 2016, Kimberly Rubal assisted the Wisconsin-Eastern District Court with website customization, content migration, and related training. Ms. Rubal traveled to Wisconsin to provide the training onsite.

• Florida Southern Bankruptcy Court Web Design Kimberly Rubal provided onsite Drupal website toolbox training to Florida Southern Bankruptcy Court from November 2 through November 4.

California Southern Bankruptcy Court Web Design

On August 30, California-Southern Bankruptcy Court finalized its MOU for Kimberly Rubal's web design services through the remainder of 2016.

North Dakota Bankruptcy Court Microsoft Word Training

In September, the Court provided Microsoft Word training by WebEx to North Dakota Bankruptcy Court. The training, provided by Information Technology & Training Manager Padraic Keohane, received positive reviews.

New Mexico Bankruptcy Court Videos

The Court produced several videos for New Mexico Bankruptcy Court in English and Spanish. Video topics included eSR, Proofs of Claim, and Electronic Proofs of Claim. Courtroom Technology Specialist Jennifer Paro led the video project with Administrative Specialist Jessica Garibay as the presenter. When the videos were relevant to the Central District, the team made alternate versions for local use.

• IT Services for Georgia-Northern

In the fall of 2015, the Court entered into an MOU with Georgia-Northern Bankruptcy regarding an agreement for IT services to be provided by Applications Developer Keith Klein. The agreement provided for Georgia-Northern to use up to 50 percent of Mr. Klein's work hours on its projects through the end of the year.

• Received Architectural Services from CASD

On September 24, the Court renewed the MOU that had just concluded with the United States District Court for the Southern District of California's Space & Facilities Manager David Allen to assist the Court with the Roybal realignment effort. The agreement will continue through the end of FY 2016.

SAN FERNANDO VALLEY DIVISION CELEBRATES 20TH ANNIVERSARY

On August 5, the San Fernando Valley Division celebrated its 20th anniversary with a "20 Years of Fiesta" reception. The division opened its doors in July 1996, offering San Fernando Valley residents convenient access to court services. The fifth bankruptcy court site in the Central District, the San Fernando Valley Division handles cases from the northwestern part of Los Angeles County and portions of Ventura County.

REQUEST FOR EXTENSION TO FILE SCHEDULES PILOT PROGRAM

Judges Vincent P. Zurzolo, Deborah J. Saltzman, and Julia W. Brand, working with Operations staff, Public Counsel, and the Office of the U.S. Trustee, developed a pilot program to provide *pro bono* support to *pro se* debtors who file a request for an extension of time to file schedules. Under the pilot program, requests for extension of time filed by *pro se* debtors in cases assigned to the pilot judges (Judges Zurzolo, Saltzman, and Brand) will require a hearing. The hearings will be bundled on one day each month and handled by a rotating judge.

Prior to the hearings, *pro bono* attorneys will be available to provide counseling and develop plans for debtors to follow

in subsequent meetings. To leverage the available *pro bono* attorneys, bundled requests for extension of time hearings will be held at the same time as the Court's bundled *pro se* reaffirmation hearings. After consulting with an attorney, each debtor will attend a hearing and commit to a time frame and a plan of action for curing case deficiencies. The pilot program will launch with Los Angeles Division hearings for the three pilot judges in January 2017.

LBRs APPROVED

On October 26, the District Court approved amendments to the Local Bankruptcy Rules (LBRs) that were approved by the Board of Judges and were submitted for public comment, to take effect January 3, 2017. The Clerk's Office posted the amended LBRs in December and issued a Public Notice and other communications announcing their availability.

ARCHIVED FILES SHIPPED TO FEDERAL RECORDS CENTER

On September 28, the Clerk's Office shipped 165 boxes to the Federal Records Center in Perris, California. The shipment comprised 124 boxes of CDs and calendar logs from the San Fernando Valley Division and 41 boxes of CDs and calendar logs from the Los Angeles Division.

BUDGET CHALLENGES

The Judiciary operated under a continuing resolution, which delayed receipt of the final budget allotments for FY 2016 until January. Overall funding for court allotments represented a net increase of 2.5% funding over FY 2015, but a 1.3% across-the-board reduction to FY 2016 formula requirements. Despite an anticipated budget shortfall as a result of declining bankruptcy filings combined with other judiciary-wide budget cuts, the Court was able to avoid staff reductions during FY 2016. The Court addressed its budget challenges with conservative spending, offering early retirement/buyout opportunities, and by participating in shared services.

MEDIATION PROGRAM

The Court established its Bankruptcy Mediation Program in 1995 to provide the public with effective and reliable assistance in resolving disputes without the time and expense associated with litigation. The mediation panel consists of attorneys and non-attorney professionals such as accountants, real estate brokers, physicians, and professional mediators, and in 2016 had 192 members. The Court continues to add new members on an ongoing basis as mediators who joined the panel at its inception in 1995 retire. In its 21st year, the Mediation Program remained the largest and most robust bankruptcy mediation program in the nation.

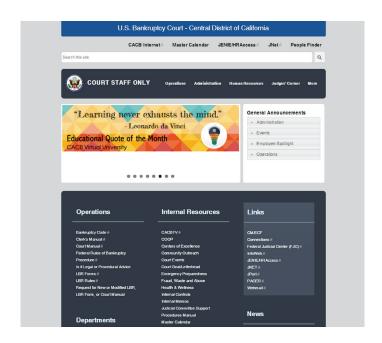
Since the program was introduced, the judges have assigned 5,655 matters to mediation. Of those matters, 5,516 concluded and 3,457 of the concluded matters were settled. The settlement rate has held steady over the years at 63 percent.

BAR ADVISORY BOARD FACILITATES EXCHANGE OF INFORMATION AND IDEAS

The Court formed the Bar Advisory Board in 2009 to serve as a conduit of ideas and information between the Court and the local bar associations. Each bar association throughout the district selects a representative to participate on the Bar Advisory Board. Comprised of U.S. Trustees and attorneys, the Bar Advisory Board provided the Court with perspective regarding the potential elimination of the electronic filing declaration requirement. The Bar Advisory Board also provided the Court with suggestions for improving, updating, and introducing processes related to CM/ECF, Local Bankruptcy Rule form motions, the judge's copy requirement, mortgage reaffirmations, tax preparer fees, foreign language interpreters in the Court, and other items of interest.

The Bar Advisory Board is chaired by Chief Judge Sheri Bluebond. All interested judges and the Executive Officer/Clerk of Court also participate. The members of the Bar Advisory Board for 2016 included: U.S. Trustee Peter C. Anderson; Keith A. Higginbotham of the Central District Consumer Bankruptcy Attorney Association; Jenny L. Doling of the Inland Empire Bankruptcy Forum; Theodore A. Cohen of the Los Angeles Bankruptcy Forum; Jeffrey A. Krieger, Ashley M. McDow, and Roksana D. Moradi of the Los Angeles County Bar Association; Anthony Bisconti and David M. Goodrich of the Orange County Bankruptcy Forum; Anerio V. Altman, Richard A. Marshack, and Kyra E. Andrassy of the Orange County Bar Association; and David R. Hagen of the San Fernando Valley Bar Association.

Technology and Innovation



NEW INTRANET SITE DEPLOYED

On November 17, the Court unveiled a clean, easily navigable interface for the intranet. Tailored to the needs of the judges and staff, the new design foregrounds the most useful links and introduces new features such as scrolling banners, a search form, and a dedicated Judges' Corner. Familiar features from the old intranet, such as the People Finder, have been upgraded for ease of use.

Over a year of research and fact-gathering went into the development of the new intranet. The Communications Department sought input from judges, chambers staff, and the Clerk's Office about how they use the intranet, asking the judges and staff which pages they found most useful, what they would change, and what they wanted to see included in the new environment. Staff members volunteered for a focus group, offering feedback that contributed greatly to the final design. Judges and employees were given an opportunity to preview the new site before it launched.

Communications Analyst Kimberly Rubal built the new intranet in Drupal, using her extensive knowledge of web development and design. Communications Specialist Laura Piedra and Operations Analyst Nick Tam were responsible for most of the content migration, creating or entering over 2,300 forms, memos, photos,

public notices, and webpages. On the networking side, Systems Manager Jon Sheldon made sure the new intranet complied with all IT security mandates.

THE COURT TWEETS

This year, the Court's 565 tweets included public notices, announcements, notices of sale, system updates, judicial opinions, and other information. Beyond the Court's followers on Twitter



(over 700), the tweets reached 128,832 accounts. Since joining Twitter in January 2011, the Court has sent over 3,300 tweets.

SMARTSCAN ELECTRONIC DOCUMENT DELIVERY SERVICE

On June 1, the Court implemented SmartScan, an electronic document delivery service. Through SmartScan, users can receive PDF copies of documents stored in the Federal Records Centers (FRC) by email.

Requesting electronic copies of documents through SmartScan is faster, cheaper, and easier than retrieving paper documents from the FRC. For a fee, users can request a PDF of any archived court document up to a maximum of 100 pages. Requests may be submitted to the Court at the intake windows or by mail.

CLERK'S OFFICE STAFF COMPLETES CAPTIVATE 8 TRAINING

Clerk's Office staff participated in a weeklong webinar on Adobe Captivate, a program for creating interactive instructional material offered by the Systems Deployment and Support Office (SDSO) Training Branch. Captivate is a powerful tool for creating software program simulations. The Clerk's Office uses Captivate to create CM/ECF electronic learning modules (ELMs)

for attorneys. In early 2009, these ELMs allowed the Court to replace the attorney training classes with online instruction, giving attorneys and their staff around-the-clock access to CM/ECF training.

Because the Operations Support Department is responsible for attorney electronic filing registrations and external user CM/ECF training, the staff needed Captivate training to be able to revise and create ELMs. During the weeklong SDSO course, trainees were split into two groups to ensure the ECF and CIAO! Help Desks and Call Center were covered. Each morning, trainees watched the San Antonio facilitators create ELMs via WebEx while listening to them lecture over the phone. Trainees followed along on Captivate-equipped PCs. Afternoons were spent working through lab assignments.

The Operations Support Department now has seven employees trained to use Captivate 8, and several personnel from the Communications and Staff Development Departments have also been trained.

CLERK'S OFFICE UPDATES eSR FOR COMPATIBILITY WITH CM 5.1.1

In preparation for the live implementation of eSR's case upload feature, the Clerk's Office tested the feature in CM 5.1.1. Six eSR-generated cases were uploaded and opened in CM Test with no errors. The case upload feature went live on January 20.

The Central District has the nation's largest number of both filing *pro se* debtors and bankruptcy petition preparers. Through eSR, many *pro se* debtors who would otherwise file without assistance have been able to complete and submit chapter 7 petitions with guidance from the program and the self-help attorneys at the Court's Self-Help Desks. eSR also provides an alternative to bankruptcy petition preparers, who are not attorneys and whose services are often deficient.

Moreover, the eSR system encourages users to complete chapter 7 filings, increasing their chances of receiving a standard discharge. About 3 percent of eSR-generated cases are dismissed for failure to file information. In

comparison, about 20 percent of non-eSR *pro se* filings are dismissed for failure to file information. Cases created and submitted through eSR have an average 80 percent standard discharge rate, an improvement over the average rate of 60 percent for non-eSR *pro se* filings. eSR furthers the Court's mission of providing access to justice to debtors who cannot afford an attorney or who live at a distance from courthouses, since it is accessible from any computer with internet access.

INFORMIX UPGRADED IN PREPARATION FOR NEXTGEN

On January 16, the Clerk's Office upgraded the version of Informix in use in the live CM/ECF environment. While the Court has not established a date for converting to NextGen, the upgrading of Informix, combined with the earlier migration to a centralized server, was a necessary step in the process.

IT SECURITY STATISTICS AND UPDATE

In support of the Clerk's Office's ongoing efforts to provide essential and relevant IT security awareness training, the IT security officers continued to send IT security awareness alerts to all employees. Examples included an alert regarding an Adobe Flash Player vulnerability that was actively being used to deploy ransomware; an alert regarding spam emails with virus or ransomware payloads; and an alert notifying staff of security vulnerabilities with iDevices (iPhones and iPads), offering instructions on how to upgrade each device.

IT security awareness tip emails were also sent to staff. Examples included tips guarding against hackers, safe browsing habits, two-factor authentication, avoiding ransomware, and updates on the OPM breach. The officers also distributed links to educational resources from the US Computer Emergency Readiness Team in support of National Cyber Security Awareness month.

Additionally, the IT security officers completed the FY 2016 IT Security Training action plan and conducted IT security awareness training classes for all Clerk's Office

and chambers staff. This mandatory annual training reinforces the critical role all employees have in protecting the Court's network and data. This year's annual IT security awareness training was provided as an Electronic Learning Module (ELM) created in cooperation with the AO. To complete the training, Court employees were required to view a 40-minute ELM and answer the "Knowledge Check" questions at the end of each section. The topics included remote access, social engineering and safe use of social media. The IT security officers also conducted training on security for new employees and teleworkers.

The IT Department implemented the National Logging System that collects and allows designated IT staff to review and filter server event logs from a single console. This new service makes it possible to set up alerts for certain types of events, such as brute force attacks, and proactively prevent some security breaches.

The IT Department continues to use Windows Server Update Services (WSUS) to ensure timely deployment of Microsoft operating system and application updates, and Zenworks Patch Management to deploy third-party patches to end-user devices. The Court's anti-virus and anti-malware software was updated twice, once in preparation for the Court's move to Windows 10 on Surface Pros and once due to a security vulnerability.

CALL CENTER AND ECF HELP DESK MERGE

In February, the Clerk's Office merged the Court's Call Center with the ECF Help Desk in order to improve customer service, handle inquiries more efficiently, and streamline Operations. The combined services are managed by Operations Support. Before the departments merged, the ECF Help Desk managed ECF-related technical calls and emails, and assisted in troubleshooting end-user filing issues for the district, while the Court's Call Center handled general telephone, online chat, and email inquiries from the public for the district. Cross-training the staff improved the quality of customer service available to the public, and merging the departments into a single clearinghouse for information enabled Operations to redeploy personnel to other areas.

CIAO! VERSION 6.2 TESTED AND RELEASED

After testing, a new version of the Calendar Information and Orders (CIAO!) program, CIAO! v6.2, was released on August 5. In the new version, users can unlink an order from a motion, search and filter docket events using an order entry dialog box, control the docket entry and hearing that an order is related to, and view a range of documents determined by filing date or document number. Among other improvements, the new "closing event" feature looks for orders that may still be open in the background, which has occasionally prevented users from editing or docketing an order.

COURT ATTENDS NINTH CIRCUIT TECHNOLOGY USERS GROUP (TUG) CONFERENCE

In August, Judge Peter H. Carroll and several IT staff members attended the Ninth Circuit Technology Users Group (TUG) Conference in Phoenix, Arizona. Presentations focused on IT security, courtroom technology, and national programs and offerings.

Alpha and beta testing for the Unify project, which will replace the Judiciary's email, instant messaging, and collaboration platform and will implement a government cloud, will begin in April 2017. Skype for Business, which will replace Sametime before the end of this year, will be the first component to go live.

The National Active Directory presentation reviewed its benefits, including single sign-on. There was also a discussion of new trends in audio, video, and evidence-sharing technologies in the courtroom, and how to improve statements of work when upgrading these technologies.

IT security presentations included a deep dive into three national offerings: the network log management program Splunk, the web-based threat protection software Websense, and the Judiciary's firewall service for boundary protection. The Court will be making use of all three services.

WINDOWS 10 TRAINING

During the last week in July, 10 members of the IT staff traveled to New Horizons Computer Learning Center in Burbank for training in the latest Microsoft operating system, Windows 10. Another 10 students from District Court, Probation and Pretrial Services, and the Federal Public Defender also attended.

JUDICIARY FIREWALL SERVICE EQUIPMENT INSTALLED

During September and October, Clerk's Office staff installed AO-provided network firewall equipment in Los Angeles. The equipment is used to implement the AO's Judiciary Firewall Service (JFS). This firewall service adds an additional layer of network boundary protection against threats within the network. The JFS firewalls are designed to block specific threats identified by the Security Operation Center (SOC). When threats match SOC-defined rules on the firewalls, SOC and court staff are notified, and in some instances, network traffic is automatically blocked to protect the Court from malware and possible Trojan horse programs. The JFS firewalls can also block peer-to-peer traffic and other unauthorized network protocols. JFS firewalls have been installed in each division.

APPLE iDEVICES UPGRADED TO iOS 10

In September, Apple announced a new version of their mobile operating system, iOS 10. The IT Department tested iOS 10 on Court iDevices, confirming it works with Court applications and reviewing new settings for security and functionality. This new iOS is not supported on some of the Court's older iDevices, such

as iPad 2 and 3. In late October, an announcement was sent to all holders of Court iDevices with instructions on how to install the update.

SURFACE PROS DEPLOYED

In October and November, the IT Department deployed Surface Pros to judges, the Clerk's Office Executive Team, and IT Help Desk staff. These devices run on Windows 10, are lightweight, run all Court programs and provide greater mobility.

These devices enable the Court to replace multiple devices (e.g., desktops and laptops) currently assigned to each staff member. This reduces future cyclical replacement costs in furtherance of Goal 4.3 of the Court's Strategic Plan.

Human Resources and Organizational Development

STAFF DEVELOPMENT DEPARTMENT HOLDS TRAINING COURSES AND PROGRAMS

The Staff Development Department offered over 100 training courses and programs this year. A total of 2,427 student seats were filled across the five divisions. Classroom training on desktop applications was offered at all divisions. The sessions, conducted remotely through WebEx, provided uniform training to all divisions at a reduced cost. Annual programs including Law Clerk/Extern Training, IT Security Training, and the Winter Education Seminar were offered.

In 2015, the Court launched the Talent Management program to build the workforce of the future. The program's certificate programs help staff members develop within their current positions and prepare for future opportunities as they arise. Students participate in self-directed online courses in the areas of Business Essentials, Business Communication, and Leadership and Management.

The Passing the Baton Training and Succession Planning program, developed to provide participants with core bankruptcy knowledge with a primary focus on court operations and case management, ended with 23 graduates in March 2016. Team leaders, supervisors, and managers received a new learning session each month, spanning over the course of approximately 18 months. Session topics included Financial Management and Stewardship, Case Management and Calendaring Systems, Statistics and Information, Case Initiation – Special Programs for Self-Represented Litigants, Writs and Abstracts, Appeals Processing, Judicial Committees and Legal Research.

OPERATIONS MANAGER SELECTED FOR FJC MANAGEMENT DEVELOPMENT PROGRAM

Operations Manager Winnie Diep-Shen was selected to participate in the Federal Judicial Center's Management Development Program for experienced supervisors. The program is designed to help supervisors address daily challenges and achieve organizational goals. It consists of three components: a preworkshop webinar, a two-and-a-half-day in-person workshop at the Thurgood Marshall Federal Judiciary Building in Washington, D.C., and a post-workshop webinar. By focusing



on different areas, the program helps supervisors develop critical thinking ability, enhance work relationships, master conflict, conduct difficult conversations, and foster a motivating and engaging workplace.

LEADERSHIP DEVELOPMENT: "DEALING WITH DIFFICULT SITUATIONS"

On February 4, Clerk's Office managers and supervisors participated in an off-site training day at the Pasadena Court of Appeals. The session began with a Clerk's Office update from Executive Officer/Clerk of Court Kathleen J. Campbell, during which managers and supervisors also discussed their departmental goals for 2016. Afterwards, attendees participated in a three-hour training on "Dealing with Difficult Situations and Decisions." Offered by the Federal Judicial Center, this session was taught by Edward Emmons, Clerk of Court of the U.S. Bankruptcy Court for the Northern District of California. In the interactive class, video vignettes helped participants analyze common interactions with others and choose appropriate responses.

On February 5, Mr. Emmons facilitated the class again for the Leadership and Management Certificate program participants and Paths to Success graduates.

TEMPORARY DUTY ASSIGNMENTS WITH THE AO

Communications Analyst Kimberly Rubal continued to assist the Web Communications & New Media department of the Administrative Office of U.S. Courts (AO) as a web analyst. Ms. Rubal assisted the AO with identifying steps required for courts to take during their upgrade to the new responsive design platform and identifying requirements for court intranet Applications Developer Keith Klein also continued to assist the AO with interpreting requirements and developing software for NextGen CM/ECF. Under these shared services agreements, the Court was reimbursed for Ms. Rubal's and Mr. Klein's services.



Kimberly Rubal



Keith Klein

NATIONAL CONFERENCE OF BANKRUPTCY CLERKS (NCBC)

The NCBC and the Federal Court Clerks Association (FCCA) held a combined educational conference from August 8 to August 11 in Washington, D.C. Educational programs covered topics such as communication skills, team building, facilities management, emergency planning, leadership, and NextGen CM/ECF.

During the business meeting, it was announced that Communications Analyst Kimberly Rubal and Courtroom Technology Specialist Jennifer Paro were recipients of Special Service Awards. Ms. Rubal's award was presented for her efforts in developing and maintaining the new website for the NCBC, and Ms. Paro was recognized for her work in editing and creating a video for the Central District's Federal Career Day.



Court Staff at the National Conference of Bankruptcy Clerks

The Court's attendees were heavily involved during the Information Sharing session. Administrative Specialist Jan Zari and Project Specialist Meredith Klassen invited conference attendees to consider contributing articles or joining the editorial staff of the NCBC's *Impact* newsletter. Additionally, Ms. Rubal joined staff from the Administrative Office to introduce conference attendees to the Court Website Toolbox. Mr. Zari and several members of the Clerk's Office staff also introduced attendees to the Central District's Talent Management program.

2016 JOINT *PRO SE*, DEATH PENALTY, AND BANKRUPTCY CONFERENCE

Judges and Clerk's Office staff traveled to Spokane, Washington for this year's Ninth Circuit Joint *Pro Se*, Death Penalty, and Bankruptcy Conference, held from August 24 to 26. The conference was sponsored by the Ninth Circuit's *Pro Se* Litigation Committee and chaired by Judge Maureen A. Tighe. Judges Barry Russell and Catherine E. Bauer, Executive Officer/Clerk of Court Kathleen J. Campbell, Law Clerk Gerrick Warrington, Project Specialist Meredith Klassen, and Self-Help Desk Team Leader Sabrina Palacio-Garcia attended. Many of those in the Court's delegation were featured as speakers at the conference: Judges Russell, Tighe, and Bauer, and Ms. Campbell, Ms. Klassen, and Ms. Palacio-Garcia all spoke.

The conference agenda, which included both joint sessions and breakout sessions, focused on methods of effective *pro se* and capital case management for prisoner

and non-prisoner cases in district and bankruptcy courts and legal issues associated with *pro se* and capital habeas litigants. Conference attendees included Ninth Circuit district, bankruptcy, and magistrate judges, clerks of court from district, bankruptcy, and appellate courts, as well as death penalty law clerks, *pro se* law clerks, staff attorneys, and staff from the Administrative Office of the U.S. Courts and Federal Judicial Center.

CLERK'S OFFICE STAFF GRADUATES FROM FJC LEADERSHIP PROGRAM

After nearly two and a half years of work and dedication, Information Technology & Training Manager Padraic Keohane and Legal Analyst Jennifer Kohout (Wright) graduated from the Federal **Judicial** Center's Federal Court Leadership Program (FCLP). In the program's own words, it "combines online computer instruction, face-to-face workshops and self-directed projects at the court unit level to teach and develop management and leadership skills." Students are required to write a paper on leadership; create an "In Court Management Project"; attend webinars on topics such as research, writing, presentation skills, and project management; and study other topics associated with leadership.



Padraic Keohane



Jennifer Kohout

During the week of August 22, FCLP students met in Washington, D.C., where the program culminated in a workshop about negotiating, peer coaching, and overcoming biases. The students also toured the Holocaust Museum and Supreme Court. At this year's graduation ceremony, the class enjoyed inspirational speeches from

distinguished guests, fellow participants, and current court unit executives. Both graduates enthusiastically recommend the program to staff members who are interested in enhancing their leadership abilities.

COURT REPRESENTATIVES ATTEND BANKRUPTCY OPERATIONAL PRACTICES FORUM

The Administrative Office of U.S. Courts (AO) hosted the Bankruptcy Operational Practices Forum in Orlando, Florida on September 19 and 20. Attendees from the Court included Judge Scott C. Clarkson, Management Analyst Vickie Alcala, Special Projects Manager Robin Beacham, Senior Court Analyst Marty Bracciotti, Team Leader Mark Francisco, Project Specialist Meredith Klassen, Law Clerk Claudia Lee, Law Clerk Kristin Smith, and Software Developer Christina Yip. NextGen CM/ECF was the main focus of the forum. Several NextGen sessions covered an overview of its implementation, central sign-on, calendars, workspace, judge review packets, and hands-on access in a NextGen test environment. Other sessions included topics such as the Utah court's CHAP calendaring system, records management, problem ECF filers, pro se debtors, bankruptcy petition preparers, cybersecurity, Active Directory, and AO-led initiatives.

MICHIGAN STATE UNIVERSITY JUDICIAL ADMINISTRATION COURSES

In an effort to make the Michigan State University (MSU) Judicial Administration noncredit certificate available to all members of the staff who are interested, the Los Angeles Division offered the same courses that were part of this year's NCBC conference. Barry Lander, the Clerk of Court for the Bankruptcy Court in California Southern and an MSU-approved instructor, was tapped to teach the courses. Mr. Lander taught "Essential Components of Courts" on August 30 and "Resources, Budget, and Finance" on September 14. Both courses were attended by 17 Bankruptcy Court staff and several District Court employees.

Michigan State University also allows the staff to earn the Judicial Administration noncredit certificate through Online online coursework. classes are offered from September through April with each session lasting three weeks. Administrative Specialist Jan Zari, a graduate of the MSU Judicial Administration noncredit certificate program,



Jan Zari

is certified to facilitate online courses. Mr. Zari will facilitate "Education, Training, and Development" in November and "Human Resources Management" in March of next year.

FEHB OPEN SEASON AND HEALTH FAIR

Open season for Federal Employee Health Benefits (FEHB) and Federal Employees Dental and Vision Insurance Program (FEDVIP) began on November 14 and ran through December 12.

On November 2, the Clerk's Office hosted the interagency Open Season Health Fair in the lobby of the Edward R. Roybal Federal Building and U.S. Courthouse. A variety of health plan providers sent representatives to provide up-todate benefits information. Numerous displays and exhibits shared information about health and safety.



"A GREAT PLACE TO WORK" MONTHLY HEALTH AND WELLNESS **CAMPAIGN**

The Human Resources Department marked its second year of support for the "Great Place to Work" campaign. At the beginning of the year, the Clerk's Office kicked off the wellness campaign with "How to Reset for a Healthier Attitude" and "Get Pumped up for Heart Health." Every month thereafter, the Court introduced new topics such as proper nutrition, stress management, physical fitness and sports, promoting men's and women's health, immunization, and resources for tobacco cessation. The 2016 campaign concluded with the "Bounce Back: Six Ways to be More Resilient" and "Tis the Season to be Healthy" articles.

WELLNESS CAMPAIGN EVENTS

Throughout 2016, the Court provided "Lunch & Learn" sessions presented by health professionals. On July 12, a certified dietitian spoke about "What You Did Not Know about Sugar," and a certified health and fitness specialist demonstrated the benefits of staying active at the "Walking Works" and "Keeping Fit While You Sit" presentations.

The Court also offered seven Benefit for Life (BFL) "Lunch & Learn" sessions provided by the Administrative Office of the U.S. Courts throughout the year. Topics ranged from retirement planning to the Thrift Savings Plan. The sessions also covered important "points to remember" during open enrollment.

Additionally, on August 24, the Court sponsored "Get in the Know with Free Health Screening." During this event, licensed registered nurses provided cholesterol, glucose, and blood pressure tests.

Facilities, Security, and Emergency Preparedness

ROYBAL REALIGNMENT PROJECT

Throughout 2016, the Court continued to collaborate with the General Services Administration (GSA) and Administrative Office of the U.S. Courts (AO) on realigning the Edward R. Roybal Federal Building and U.S. Courthouse and releasing approximately 33,000 square feet of space to accommodate additional magistrate and senior judges, as well as displaced District Court and U.S. Pretrial Services staff from the Spring Street Courthouse. As part of the project, the Court will also release 26,696 square feet in the adjacent federal building.

Congress authorized approximately \$19 million in funding for the Roybal realignment project, which GSA awarded to Stronghold Engineering. In April, representatives of the Court, GSA, and Stronghold Engineering toured the Court's space in the Roybal Building and the proposed swing space at 300 North Los Angeles Street. They continued to meet through the summer and fall, discussing the design drawings and selecting noise-reducing walls for the renovated areas.

During Phase Zero of the Roybal realignment project, demolition began on the building's 12th and 14th floors. The Clerk's Office removed and itemized all of the Court's assets before the demolition began. In December, the designer selected by GSA presented furniture plans for the Clerk's Office's space on the terrace level and the ninth and 10th floors.

CLERK'S OFFICE REPRESENTATIVES LEARN ABOUT SPACE PLANNING SOFTWARE

During January, Office Services Manager Roland Blanco and Facilities Project Coordinator Jennifer Harmon participated in a weeklong webinar with other Judiciary representatives and a project team from IBM. As part of an AO-driven initiative, the Judiciary is adopting the web-based space planning program TRIRIGA, which will help courts track and efficiently manage space. Court representatives had an opportunity to familiarize themselves with the new software and provide feedback to the project team.

GSA-JUDICIARY SERVICE VALIDATION INITIATIVE PRESENTED IN SAN FRANCISCO

On January 20, Executive Officer/Clerk of Court Kathleen J. Campbell, Chief Deputy of Administration Steven A. Sloniker, and Office Services Manager Roland Blanco traveled to San Francisco for a presentation of the General Services Administration's (GSA) Service Validation and Service Delivery Excellence Initiatives. GSA has pledged to work together with the Judiciary to support its space reduction and cost-containment measures while improving the quality of its services. The meeting, the first of its kind in the nation, allowed court representatives to share suggestions with GSA.

COOP COORDINATOR REAPPOINTED AS CONTINUITY WORKING GROUP CO-CHAIR

In January, Continuity of Operations (COOP) Coordinator Herbert Seales was reappointed as co-chair of the Greater Los Angeles Area Federal Executive Board Continuity Working Group until 2018. This group assists employees and contractors with emergency management responsibilities throughout the Los Angeles



area by providing access to plan development tools, training, and consulting services, ensuring agencies' responses to an emergency are coordinated throughout the region.

ANNUAL MAY DAY EMERGENCY NOTIFICATION SYSTEM EXERCISE

On May 2, Continuity of Operations (COOP) Coordinator Herbert Seales, in conjunction with the Court's Crisis Communication Team, conducted the annual "May Day" Emergency Notification System (ENS) exercise. This exercise is designed to give all Crisis

Communication Team members the opportunity to practice utilizing the Court's ENS and to familiarize Court staff with the types of notifications they can expect during an actual disruption.

COOP ON-SITE SUPPORT OFFICIAL TRAINING

On May 12, Continuity of Operations Coordinator Herbert Seales met with managers and supervisors to discuss their roles as on-site support officials during an event requiring the activation of the Court's COOP plan. This training was intended to define the roles managers and supervisors at the relocation sites will play in preparing the relocation space, supporting continuity efforts during a disruption, and assisting in the reconstitution process.

COOP ANNUAL TRAINING

During the month of October, all members of the Clerk's Office staff attended a mandatory Continuity of Operations (COOP) refresher course intended to review the basic elements of the Court's COOP Plan and ensure that all staff are familiar with the events that will occur following a COOP activation. The annual COOP training is one component of the Court's overall COOP strategy to provide COOP-related information in a tailored and precise manner, making certain all staff know their roles, understand their responsibilities, and have the necessary knowledge to function at full capacity following a major emergency.

ANNUAL SHAKEOUT ENS EXERCISE

On October 20, the Court's Continuity of Operations (COOP) Coordinator conducted the yearly Emergency Notification System (ENS) exercise in observance of the Annual Great California ShakeOut event. This event is intended to remind all Californians of the real need to prepare for a major earthquake in the region.

OCCUPANT EMERGENCY PLAN FOR NORTHERN DIVISION FINALIZED

Working with the U.S. Marshals Service, the Federal Protective Service, and the General Services Administration, the Clerk's Office has updated the

Occupant Emergency Plan (OEP) for the Northern Division. The OEP was distributed to the members of the Northern Division Facility Security Committee in September 2015, and the members signed off on the plan at the committee's January 13 meeting.

NORTHERN AND RIVERSIDE DIVISIONS RELEASE SPACE

Nearly three years ago, the Court began discussions with the Ninth Circuit to renew the third-party leases for the Santa Barbara and Riverside Divisions, both scheduled to expire in 2017. During these discussions, the Court was informed that it would have to reduce its space footprint. This request triggered a thorough and thoughtful process to first identify the appropriate space to be released, then an even more challenging process to rethink the existing space layout and finally, to see if this release effort could be interpreted in such a way that other federal agencies could backfill the released spaces. The Court succeeded in meeting all three objectives.

At the Northern Division, a space measuring roughly 1,600 square feet was identified for release. The Office of the U.S. Trustee, which occupied a separate third-party lease facility nearby, met with the Court to review proposed space layouts and subsequently decided to relocate into the 1,600 square feet vacated by the Court. The move consolidated two federal organizations and reduced the judiciary's real estate footprint and rental expenses. It also provided the Office of the U.S. Trustee with increased security and faster access to the court, and the accessible and free parking facilities benefited its personnel and customers.

At the Riverside Division, the Clerk's Office released over 12,000 square feet to GSA: over 8,000 square feet on the first floor and the remainder on the second floor. As at the Northern Division, the Court energetically sought a federal agency to backfill this space. After identifying the U.S. Probation Office as a prospective tenant, the Court and the Ninth Circuit drafted preliminary housing plans to discuss with the agency, which agreed to leave its leased location and move into the vacated space in the Riverside Division. Cooperation between agencies reduced the rent burden associated with the judiciary's rent burden, operating expenses, and overall rental footprint.

APPENDICES

2014-2019 COURT STRATEGIC PLAN ACCOMPLISHMENTS

ISSUE 1: ADMINISTRATION OF JUSTICE

| sexual orientation, religion, age, economic | ially without regard to race, ethnicity, national origin, gender, c status, or disability. | | | |
|---|---|--|--|--|
| GOALS: | ACCOMPLISHMENTS: | | | |
| 1.1.1 Confirm that court procedures conform to relevant statutes, rules, and policies. | LBRs Approved On October 26, the District Court approved amendments to the Loca Bankruptcy Rules (LBRs) that were approved by the Board of Judges and were submitted for public comment, to take effect January 3, 2017. | | | |
| 1.1.2 Promote the education of judges and court personnel on issues of diversity. | Diversity Celebrations Throughout 2016, the Court participated in celebrating African America Heritage Month, LGBTQ Pride Month, Women's Month, Asian an Pacific Islander Month, and Hispanic Heritage Month. | | | |
| 1.1.3 Foster diversity in the court's workforce by maximizing efforts to attract and retain employees of differing backgrounds, foreign language capabilities, and experiences. | The Court expanded recruitment efforts to law schools, minority bar | | | |
| 1.1.4 Make sure the court's community outreach efforts include all of the district's diverse community. | Diverse Community Outreach Efforts Throughout the year, with the assistance of the Community Outreach Committee, the Court continued to ensure that its community outreach efforts, including Power Lunches, Law Day, and other activities, included representatives of the Central District's diverse community. Clerk's Office Promotes Pro Se Resources Clerk's Office staff continued to publicize the Court's pro se resources throughout the Central District. | | | |
| 1.1.5 Clarify and inform practitioners of the unique procedural requirements of each judge while striving to limit variances and increase uniformity in judicial practices within the district. | Specific Procedures Provided on Each Judge's Webpage The Court continued to update and provide practitioners with judge-specific procedures on each judge's webpage found on the Court's website. Bar Advisory Board The Court's Bar Advisory Board was initially formed in 2009 and meets quarterly with the Chief Bankruptcy Judge, other interested judges, and the Executive Officer/Clerk of Court. The Bar Advisory Board members | | | |

provided substantial input from their respective bar associations in response

to the Court's request for ideas to improve court operations.

1.2 Structure court operations in a manner that best facilitates the expeditious, economical, and fair resolution of disputes.

GOALS: 1.1.5 Clarify and inform practitioners of the unique procedural requirements of each judge while striving to limit variances and increase uniformity in judicial practices within the district. (cont.)

ACCOMPLISHMENTS:

Judges Speaking Engagements and Programs

Throughout 2016, judges participated in various speaking engagements and programs, For more information, see the Speaking Engagements and Programs section of this report.

1.2.1 Build and maintain an effective executive management structure that guarantees the court's ability to achieve its mission, vision, and strategic goals.

Executive Team Performance Appraisal

The Court continued the performance appraisal system for the Executive team.

1.2.2 Standardize operations to provide a uniform system of justice and consistent quality of service.

Case Initiation Action Notice

The Clerk's Office continued to use its modified Case Initiation Action Notice (CIAN) procedures that were approved by the Case Management Committee and adopted by the Court at the December 6, 2013, Board of Judges meeting. Intake staff received comprehensive training and the CM/ECF and local case commencement deficiency notice (CCDN) procedures have been extensively modified.

Attorney and Staff Training

The Clerk's Office provided comprehensive training for staff and attorneys to highlight the changes in the updated national forms.

1.2.3 Institute case management plans that utilize best practice and time standards to expedite case processing appropriate to the type and complexity of the case.

CM/ECF Fee Waiver Program

Under the direction of the Case Management Committee, the Court continued its expanded CM/ECF fee waiver program that was initiated in April 2014.

Tapeless Backup

The Clerk's Office continued supplementing its backup of users' data files on magnetic tape with a tapeless backup. Under this system, network data is backed up on a storage area network (SAN) disk storage and replicated to the Administrative Office of the U.S. Courts' remote data center in San Diego. Backup and restoring data from tape is time-consuming and labor intensive. With this system, the Clerk's Office can quickly and easily restore users' data.

Case Management Assist (CMA)

The Court continued to maximize efficiency through use of Case Management Assist (CMA). Developed by the U.S. Bankruptcy Court for the Western District of Oklahoma, CMA is a quality review program designed to enhance daily operations and case management. CMA also provides internal reports that enable supervisors, managers, and the Executive team to measure the productivity and accuracy of court staff and external users. The Executive team continued to evaluate CMA's full capability and reconfigured tasks in CMA to increase productivity.

Case Closing Goals

The Clerk's Office continued focusing on achieving monthly closing goals established for each division. A closing formula uses filing data to set individual closing goals that keeps pace with new filings and consistently puts dents into the backlog. As a friendly competition, the division that meets and exceeds in closings is acknowledged as the district-wide closing champion for the month.

1.3 Administer the court according to sound management practices, and seek ways to create efficiencies through streamlining processes and implementing new technology.

GOALS:

ACCOMPLISHMENTS:

1.3.1 Implement "vertical" sharing of administrative services consistent with 28 U.S.C. §§ 154(b) & 156(d), provided that shared administrative services result in measurable savings to the court and no degradation in the quality and timeliness of service to the judiciary and the public.

District Court Partnership

The Court continues to share emergency preparedness services with the U.S. District Court for the Central District of California.

Internal Audit

The Court's Internal Auditor provided auditing services under a shared services agreement to the U.S. District Court for the Central District of California.

1.3.2 Identify and market opportunities for sharing administrative services with other court units nationwide on a cost reimbursable basis in core business areas including Human Capital, Information Technology, and Space Planning.

Shared Administrative Services

The Court continued its lead in offering and providing shared administrative services to many court units and the Administrative Office. For more information, see the Clerk's Office Continues to Offer Shared Administrative Services Update article in this report.

Temporary Duty Assignments with the AO

Training Specialist Kimberly Rubal and Applications Developer Keith assisted the AO with various projects. For more information, see the Temporary Duty Assignments with the AO article in this report.

Court Assists AO Records Management Project

The Court continued to assist the AO with its records management project. For more information, see the Court Assists AO Records Management Project article in this report.

1.3.3 Participate in national committees and programs to develop court technology and implement best practices.

<u>Judges and Clerk's Office Staff Participate in National Committees and Programs</u>

Numerous judges and Clerk's Office staff have continued to participate in assignments that benefit the Judiciary at both the national and circuit level. For more information, see the Committee Appointments section of this report.

1.3.4 Continue to review policies and procedures to improve service delivery, and to develop reports to assist decision making.

CMA Reports

Managers and supervisors analyzed multiple CMA reports to assess the staff's workload and productivity. Based on these CMA reports, managers and supervisors re-assigned the workload across the divisions and teams to meet court requirements. See Case Management Assist (CMA) 1.2.3

Check Capture

The Court continued processing checks, money orders, and cashier's checks electronically using Check Capture.

1.3.5 Educate judges and court personnel on existing and emerging technologies.

NCBC Conference

From August 18 to August 11, the U.S. Bankruptcy Court for the Central District of California was represented by 27 delegates at the National Conference of Bankruptcy Clerks (NCBC) Conference hosted by the U.S. Bankruptcy Court for the Northern District of Georgia. Attendees experienced an event-filled week that included many educational opportunities and networking events. Various informative breakout sessions were offered covering topics such as leadership and teamwork lessons; negotiating and mediating disputes; career and retirement planning; BNC noticing; records retention; and NextGen CM/ECF.

TUG Conference

In August, Judge Peter H. Carroll and several IT staff members represented the Court at the 26th Ninth Circuit Technology Users Group (TUG) conference held in Phoenix. Presentations focused on IT security, courtroom technology, and national programs and offerings.

Desktop Applications

Classroom training on desktop applications was offered at all divisions.

Judges Training

Throughout 2016, the Information Technology and Training Manager trained judges on iPad and iPhone technologies. The Information Technology and Training Manager also provided judges with Remote Desktop, FileBrowser, iOS 10, Surface Pro, and Microsoft Office 365 training.

Legal Research

Court staff completed Bloomberg Law, Lexis Advance, and WestlawNext training offered by the Ninth Circuit Librarian.

1.4 Ensure informed judicial decision-making.

| GOALS: | ACCOMPLISHMENTS: | | |
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| 1.4.1 Provide accurate, timely, and complete procedures and rules to judges, court personnel, and other court participants. | Revised Local Bankruptcy Rules The revised Local Bankruptcy Rules (LBRs) were released and posted on January 4. | | |
| 1.4.2 Make certain that court proceedings are recorded accurately and completely, and that high quality transcripts are produced timely. | The Clerk's Office continued to use FTR Gold recording software to | | |
| 1.4.3 Promptly implement changes in law and procedure. | Revised Local Bankruptcy Rules See 1.4.1 | | |

| 1.5 Continue to assess | emerging trend | s and changing | needs of indi | viduals, famili | es, and business | es within |
|------------------------|----------------|----------------|---------------|-----------------|------------------|-----------|
| the district. | | | , | | | |

| the district. | |
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| GOALS: | ACCOMPLISHMENTS: |
| 1.5.1 Identify issues, conditions, and trends likely to have a significant impact on the court. | Clerk's Council Meetings The Clerk's Council is comprised of members of senior management and was developed to collaborate and prioritize initiatives, while properly allocating resources. The Clerk's Council met throughout 2016 to discuss and strategize the Court's high priority initiatives. All efforts are designed to effectively monitor and address initiatives identified in the 2014 -2019 Strategic Plan. |
| 1.5.2 Develop procedures to meet changing conditions. | eSR The Court continues to use and promote the use of Electronic Self-Representation (eSR) software. Court Space Reservations The Court implemented a streamlined space reservation policy and application form. The policy and application applies to reservations requested by outside organizations. |

1.6 Seek the resources necessary to maintain effective and efficient operations, and manage and expend such resources judiciously.

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| GOALS: | ACCOMPLISHMENTS: |
| 1.6.1 Timely assess future resource needs necessary to accomplish the court's mission. | AO Supplemental Funding The Court began 2016 with a projected salary shortfall. As a result of conservative spending, buyouts, and separations, combined with the Court's success in obtaining supplemental funding from the Administrative Office of the U.S. Courts (AO) for participation in national initiatives, projects and shared administrative services, the Court was able to end the year without the need to implement layoffs. The Court was able to secure supplemental funding from the AO this year for participation in Debtor Electronic Bankruptcy Noticing (DeBN), records digitizing, and NextGen programming, as well as through shared administrative services for web design and other areas. The Court continues to review projected resources and filings to assess staffing needs and prepare for the future. |
| 1.6.2 Produce comprehensive budget submissions to support resource requests necessary to achieve the court's mission, goals, and strategies. | The Clerk of Court submits a monthly spending plan to the Executive |

that the Court remains a good steward of public funds and support the Court's mission.

Records Digitizing Project Funding

As part of the Roybal Realignment Project, the Court continued to receive funding from the Administrative Office of the U.S. Courts (AO) who agreed to provide funding for estimated labor costs for digitizing, scanning, and processing all paper records in the Los Angeles Division. Scanning the documents has freed up some of the space where paper records were previously stored.

DeBN Funding

The Court continued to receive funding from the Administrative Office of the U.S. Courts (AO) for its participation in the Debtor Electronic Bankruptcy Noticing (DeBN) project.

1.6.3 Identify and pursue grant funding opportunities.

Haynes Foundation Grant

The Court applied for a grant from the Haynes Foundation to study issues related to aging, finance, and bankruptcy and provide assistance to those facing these issues. The Haynes Foundation declined to fund the grant opportunity; however, the Court continued to pursue other avenues for providing further assistance to seniors in bankruptcy.

Virtual Counselor Network

The Court entered preliminary discussions to partner with Virtual Counselor Network (VCN). VCN is a nonprofit program that connects customers with virtual counselors. As a result of change in leadership at VCN, the Court has decided to defer future discussions until 2017.

1.6.4 Establish performance criteria and measurement systems that link budgetary resources to strategic goals.

Performance Management Program

The Human Resources Department reviewed the competencies identified in the Court's Performance Management Program to determine budget and resources required to create new opportunities and develop training programs.

<u>Clerk's Office Participates in National Work Measurement Study for New Staffing Formula</u>

Every five years, the AO conducts a Work Measurement Study (WMS) of the bankruptcy courts' clerks' offices to gather data on the human resource needs for each district. During 2016, the AO conducted a WMS. For 16 business days in September, the Court took part in the data collection process, gathering a total of nearly 325,000 hours of work time for all staff in the District. For more information, see the Clerk's Office Participates in National Work Measurement Study for New Staffing Formula article in this report.

ISSUE 2: ACCESS TO JUSTICE AND SERVICE TO THE PUBLIC

2.1 All persons will have effective access to justice, including the opportunity to resolve disputes without undue hardship, cost, inconvenience, or delay.

| undue hardship, cost, inconvenience, or delay. | | | | |
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| GOALS: | ACCOMPLISHMENTS: | | | |
| 2.1.1 Support and encourage the use of alternative dispute resolution methods. | Judge Zive's Mediation Sessions Recalled Judge Gregg W. Zive continued to provide mediation services for the City of San Bernardino chapter 9 case. | | | |
| | Bankruptcy Mediation Program The Mediation Program entered in its 21st year in 2016 and remains the largest and most robust bankruptcy mediation program in the nation. The mediation panel consists of attorneys and non-attorney professionals such as accountants, real estate brokers, physicians, and professional mediators, and in 2016, had 192 members. | | | |
| | Court Launches Loan Modification Management Pilot Program The Court introduced a pilot program to manage loan modifications involved in bankruptcy cases. For more information, see the Court Launches Loan Modification Management Pilot Program article in this report. | | | |
| 2.1.2 Increase the use and availability of | Videoconferences Across Divisions | | | |
| videoconferencing to enhance access to the court. | Throughout 2016, Judge Deborah J. Saltzman heard Northern Division matters from the Los Angeles Division via videoconference. Judges Mark S. Wallace and Scott C. Clarkson also continued to hear cases via video from Riverside from their courtrooms in the Santa Ana Division. | | | |
| | National Video Teleconference Service The National Video Teleconferencing Service (NVTCS) was established to offer courts the ability to do point-to-point, multi-point, and audio conferences. The Court's Courtroom Technology staff continued to use the NVTCS's bridging service to conduct internal videoconferences in Los Angeles and Santa Ana Divisions. The Court plans to expand the usage of NVTCS as funding permits. | | | |
| 2.1.3 Develop simplified procedures to encourage electronic filing by self-represented parties. | eSR Promotions The Court continues to promote the use of eSR software through various mediums including videos, flyers, and other informational materials distributed throughout the Central District. | | | |
| | DeBN After the Court implemented Debtor Electronic Bankruptcy Noticing (DeBN), debtors in the Central District were able to request orders and court-generated notices by email through the DeBN program. | | | |
| | Online Chat Program Since its inception in 2014, the Clerk's Office continued to use the full version of its online chat program. Through this chat program, visitors to the Court's website can enter into real-time chat with a Call Center representative. Online chat is available in both English and Spanish. | | | |

2.1.3 Develop simplified procedures to encourage electronic filing by self-represented parties. (cont.)

Request for Extension to File Schedules Pilot Program

The Court developed a pilot program to provide *pro bono* support to *pro se* debtors who file a request for an extension of time to file schedules. For more information, see the Request for Extension to File Schedules Pilot Program article in this report.

2.1.4 Establish and maintain a project in each of the district's five divisions designed to provide free legal assistance to self-represented parties.

Self-Help Desks

Self-help desks are available in all five divisions.

Call Center and ECF Help Desk Merge

The Clerk's Office merged the Court's Call Center with the ECF Help Desk in order to improve customer service, handle inquiries more efficiently, and streamline Operations. For more information, see the Call Center and ECF Help Desk Merge article in this report.

DAP

Debtor Assistance Project (DAP) is an association of *pro bono* organization representatives, bar associations, volunteer attorneys, judges, court staff and trustees, who meet bi-monthly to report on the status of their services and discuss issues related to serving self-represented parties in the Central District. DAP organizations provide free or low cost legal services to qualified self-represented parties.

Self-Help Desk Honor Roll

In order to encourage volunteer participation by attorneys at each self-help desk location, the Court has continued its recognition program of posting an Honor Roll and hosting a reception for volunteers. The Court also published its annual Honor Roll to commemorate the beginning of the American Bar Association's National *Pro Bono* Celebration week.

Lasarow Awards Honor Self-Help Desk Volunteers

On November 10, Public Counsel hosted the 2016 William J. Lasarow Awards and reception to honor volunteers serving the *pro se* bankruptcy population throughout the Central District.

2.1.5 Explore opportunities for partnerships with educational institutions to increase access to justice by underserved populations.

Consumer Bankruptcy Litigation Practicum

The Court continued its partnership with Loyola Law School through the Consumer Bankruptcy Litigation Practicum (CBLP). Judge Sandra R. Klein, chair of the Court's Community Outreach Committee, launched the CBLP to be offered to Loyola Law School students. CBLP is a year-long course that provides students with an understanding of the law governing consumer bankruptcies and an opportunity to develop practical legal skills though engaging in skills-based simulations and providing assistance to consumer debtors. This course is comprised of two four-unit semesters, offered in the fall and spring.

| 2.2 Provide the public with information that is easily understandable and readily available. | | | |
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| GOALS: | ACCOMPLISHMENTS: | | |
| 2.2.1 Improve and expand services, assistance, and information for self-represented parties. | Clerk's Office Promotes Pro Se Resources See 1.1.4 eSR See 1.5.2 Bankruptcy Mediation Program See 2.1.1 DeBN See 2.1.3 Online Chat Program See 2.1.3 Self-Help Desks See 2.1.4 | | |
| 2.2.2 Continue to develop a variety of informational materials, such as brochures and checklists, for debtors and other court users. | Public Use Computers Public use computers continued to be made available in each division for the public to use Electronic Self-Representation (eSR) software for preparing bankruptcy petitions electronically. Additional computers were also available in each division for the public to use as a resource to research bankruptcy information or to find credit and financial management courses. Printed Materials and Videos Throughout 2016, the Court continued to produce educational videos and distribute 341(a) printable brochures with directions to 341 meeting of creditors, free or low cost bankruptcy help materials in English and Spanish, abbreviated fee schedules, and "Before and After You File" course information flyers. All materials are available on the Court's "Don't Have an Attorney" webpage. eSR FAQS and Other Information In addition to a link to Electronic Self-Representation (eSR) software on the Court's website, a dedicated webpage has eSR Frequently Asked Questions, links to additional forms to be completed and filed with an eSR petition, and also an electronic bankruptcy petition checklist to assist debtors with gathering all the required documents before getting started on a petition. See eSR Promotions See 2.1.3 | | |

| 2.2.3 Maintain court forms and informational materials in plain, understandable language. | Revised Local Bankruptcy Rules See 1.4.1 |
|---|--|
| 2.2.4 Expand the availability to the public of automated court information and data through internet technologies and the court's website. | The Court continues to utilize Twitter as a social medium for communication. |
| | Website The Court continues to improve and update its website with current information and resources. |
| 2.2.5 Regularly review and update court forms as needed. | Revised Local Bankruptcy Rules See 1.4.1 |
| 2.3 Make certain that court rules, proce | edures, and processes are free of unnecessary barriers to access. |
| GOALS: | ACCOMPLISHMENTS: |
| 2.3.1 Identify and revise court rules, procedures, and processes that are unreasonable barriers to access. | |
| 2.3.2 Develop mechanisms to improve proceedings involving non-English-speaking persons and others with communication or language challenges, including the expanded use of interpreter/translator services. | Online Chat Program FAQs FAQs were maintained and updated for the Online Chat program in English and Spanish. See Online Chat Program 2.1.3 Spanish-Speaking Customer Service Representative The Court continued to provide a Spanish-speaking Customer Service |
| | Representative to answer phone calls in the call center. Educational Videos in Spanish The Court produced several videos in Spanish to promote understanding and improve service for Spanish speakers. |
| | California State University, Northridge Interpreters The Court continued to use student-volunteers from California State University, Northridge to provide interpreter services. |
| 2.3.3 Provide periodic training to judges and court staff on issues of fairness and diversity to increase cultural awareness and sensitivity. | Diversity Celebrations See 1.1.2 |

and sensitivity.

ISSUE 3: JUDICIARY WORKFORCE OF THE FUTURE

| ISSUE 3: JUDICIARY WORKFORCE OF THE FUTURE | | | | |
|--|--|--|--|--|
| 3.1 Employ a highly-skilled and well-trained workforce. | | | | |
| GOALS: | ACCOMPLISHMENTS: | | | |
| 3.1.1 Recruit personnel who possess the education, skills, and experience to provide effective services. | Filled Key Positions in Operations and Administration The Court filled several key positions in both Operations and Administration, including a Planning & Research Manager in Los Angeles, a Courtroom Deputy (detail) in Riverside, a Court Statistician in Los Angeles, a Project Specialist in Northern, two Administrative Specialists in Los Angeles, an Executive Assistant in Los Angeles, a Property and Facilities Technician in Los Angeles, an Operations Support Clerk in San Fernando Valley, and an Operations Support Clerk in Northern. | | | |
| 3.1.2 Attract and retain personnel of varying experiences and backgrounds to promote diversity. | · · · · · · · · · · · · · · · · · · · | | | |
| 3.1.3 Support the professional development of judges and court personnel to improve their service to the court and the public. | Central District Judicial Education Committee Annual Conference The Central District bankruptcy judges convened for their Annual Educational Conference. The educational program was designed by the Court's Judicial Education Committee and addressed a number of relevant topics, including updates on bankruptcy issues. The annual conference provided an excellent opportunity to acquire new information and to promote dialogue amongst the judges to best support the public. | | | |
| | Training Courses and Programs The Staff Development Department offered over 100 training courses and programs. A total of 2,427 student seats were filled across the five divisions. Annual programs including the Paths to Success Leadership Development Program, Law Clerk/Extern Training, IT Security Training, and the Winter Education Seminar were offered. | | | |
| | Winter Education Seminar The 2016 Winter Education Seminar, "Fitting the Pieces Together," was held on December 2, at the Edward R. Roybal Federal Building and U.S. Courthouse in Los Angeles. The topics covered included health, financial, and safety matters. | | | |
| | Law Clerk/Extern Training Sessions The Court held three full-day Law Clerk/Extern training sessions in the Edward R. Roybal Federal Building and U.S. Courthouse in Los Angeles. More than 150 participants attended, including participants from the U.S. District Court. | | | |
| | Ninth Circuit Human Resources Conference Executive Officer/Clerk of Court Kathleen J. Campbell, Human Resources Administrators Cristina Rogers and Jane Fomocod, and Administrative Specialist Jan Zari attended the Ninth Circuit Human Resources Conference in Portland, Oregon from May 4 to 6. The conference included a number of workshops, including discussions on retirement, succession planning, workers' compensation, and other relevant Human Resources topics. | | | |

3.1.3 Support the professional development of judges and court personnel to improve their service to the court and the public. (cont.)

Michigan State University Judicial Administration Courses Offered

Michigan State University Judicial Administration courses were offered at the Los Angeles Division. For more information, see the Michigan State University Judicial Administration Course Offered article in this report.

Court Representatives Attend Bankruptcy Operational Practices Forum

On September 19 and 20, Judge Scott C. Clarkson, Management Analyst Vickie Alcala, Special Projects Manager Robin Beacham, Senior Court Analyst Marty Bracciotti, Team Leader Mark Francisco, Project Specialist Meredith Klassen, Law Clerk Claudia Lee, Law Clerk Kristin Smith, and Software Developer Christina Yip attended the Bankruptcy Operational Practices Forum in Orlando, Florida. For more information, see the Court Representatives Attend Bankruptcy Operational Practices Forum article in this report.

Clerk's Office Staff Graduates from FJC Leadership Program

Information Technology & Training Manager Padraic Keohane and Legal Analyst Jennifer Kohout (Wright) graduated from the Federal Judicial Center's Federal Court Leadership Program (FCLP). For more information, see the Clerk's Office Staff Graduated from FJC Leadership Program article in this report.

Operations Manager Selected for FJC Management Development Program

Operations Manager Winnie Diep-Shen was selected to participate in the Federal Judicial Center's Management Development Program for experienced supervisors. For more information, see the Operations Manager Selected for FJC Management Development Program article in this report.

Leadership Development: "Dealing with Difficult Situations" by the Federal Judicial Center

On February 4, Clerk's Office managers and supervisors participated in an off-site training day at the Ninth Circuit Court of Appeals in Pasadena. For more information, see the Leadership Development: "Dealing with Difficult Situations" by the Federal Judicial Center article in this report.

2016 Joint Pro Se, Death Penalty, and Bankruptcy Conference

From August 24 to 26, Judges and Clerk's Office staff attended the Ninth Circuit Joint *Pro Se*, Death Penalty, and Bankruptcy Conference in Spokane, Washington. For more information, see the 2016 Joint *Pro Se*, Death Penalty, and Bankruptcy Conference article in this report.

NCBC Conference

See 1.3.5

TUG Conference

See 1.3.5

3.1.4 Examine workforce demographics, assess future human capital needs, and formulate a workforce succession plan.

Judiciary Fair Employment Practices (FEPS) Annual Report

The Court compiled its Fair Employment Practices (FEPS) Annual Report, which was updated with workforce demographics and utilized to assess staffing and succession planning needs.

3.1.5 Provide outreach and information to potential judicial applicants to encourage highly qualified individuals to apply for future judicial openings.

Court Vacancies

The Court advertises vacancies on the Court's website, Twitter, and its bi-monthly newsletter. Additionally, vacancies are published on the Ninth Circuit's website.

Judges Reach Potential Applicants

Judges provide outreach and information to potential applicants through various speaking engagements on an ongoing basis.

3.1.6 Encourage judges to use existing programs that enable the bankruptcy bar to provide feedback to judges utilizing standardized evaluation tools.

Mid-Term Evaluations

Bankruptcy judges for the Central District of California voluntarily request mid-term evaluations offered by the Ninth Circuit.

3.2 Maintain a positive work environment that fosters high achievement, satisfaction, and employee engagement among judges and court personnel.

GOALS:

ACCOMPLISHMENTS:

3.2.1 Implement programs, policies, and initiatives to enhance employee performance, satisfaction, and retention.

"Great Place to Work" Campaign

The "Great Place to Work" campaign continued throughout 2016. The purpose of the campaign is to build on past successes, communicate upcoming programs, and provide all employees with an opportunity to offer new ideas. A broad based initiative, "Great Place to Work" includes the use of CACBtv (the Court's private YouTube channel which addresses the strategic plan, pertinent court updates, and community outreach), the Talent Management Program, Centers of Excellence Open Forums, and various wellness initiatives.

Talent Management Program

The Court continued its Talent Management Program. The program hosted a series of informational sessions, where 100 staff attended to learn more about how they can develop within a current position, prepare for potential future opportunities as they arise, and support the Court's ongoing effort to build the workforce of the future. Highlights of the Talent Management program included the development of three certificate programs in the areas of Business Essentials, Business Communication, and Leadership and Management, as well as the creation of Talent Management webpage, which contains resources and information regarding career management and planning.

Centers of Excellence Open Forums

The Court's Centers of Excellence for Employee Engagement and Communication and Process Improvement jointly held open discussion forums at each division to ensure that all staff has an open arena to provide feedback, ideas, and suggestions to consistently improve the Court's programs, processes, and procedures.

3.2.1 Implement programs, policies, and initiatives to enhance employee performance, satisfaction, and retention. (cont.)

Annual Awards Ceremony

The 2016 Annual Awards Ceremonies, held at all five divisions in September, honored Clerk's Office employees throughout the Central District for outstanding service to the public and dedication to the Court.

Employee Recognition Programs

The Court continues to promote the SOAR Employee Recognition program and High Five online recognition forum as methods to enhance employee satisfaction through the acknowledgement of outstanding service and commitment to the workplace.

Wellness Campaign Events

The Court provided "Lunch & Learn" sessions presented by health professionals throughout 2016. For more information, see the Wellness Campaign Events article in this report.

Training Courses and Programs

See 3.1.3

Winter Education Seminar

See 3.1.3

Law Clerk/Extern Training Sessions

See 3.1.3

3.2.2 Develop an organizational culture that increases the joint involvement of judges and court personnel in court planning and operations, and facilitates increased communications between judges and court personnel.

Appreciation Days

The judges hosted staff appreciation days throughout the Central District.

Judges' Meetings

The Clerk's Office staff met regularly with the judges throughout the year to discuss operations and administration issues and concerns.

<u>Judicial Committee Participation</u>

Chambers and Clerk's Office staff continued to enhance communication through judicial committee participation.

3.3 Promote high standards of conduct and personal behavior among participants.

GOALS:

3.3.1 Enforce adherence to codes of professional conduct, ethical practice standards, and civility standards for judges, court personnel, and members of the bar.

ACCOMPLISHMENTS:

Ethics Training

In an effort to support adherence to professional conduct, the Court continues to offer online ethics training annually to all Clerk's Office and Chambers staff. New employees also take the "Avoiding Ethics Pitfalls" course as part of their orientation process.

<u>Judicial Disability Procedures</u>

The *Ad Hoc* Judicial Wellness Committee continued to develop policy and procedures pertaining to Judicial Disability, permitting members of the bar and the general public to informally and confidentially communicate concerns about the mental or physical disability of a bankruptcy judge of the Court to either the Chief Bankruptcy Judge or to an Ombudsperson designated by the Chief Bankruptcy Judge. The policies and procedures were approved by the Court and information posted on the Court's website.

3.3.2 Require appropriate and respectful conduct, dress, and behavior by judges, court personnel, and those appearing in court.

Communication of Mission and Vision

Throughout the year, the Court continued to communicate its mission and vision to staff, focusing on the importance of customer service and meeting the strategic goals of the Court.

Dress Code Reminders

Throughout 2016, the Clerk's Office sent out dress code reminders via email on every casual dress occasion.

Excellent Customer Service Encouraged

Throughout the year, the Court continued to encourage staff to provide excellent customer service to the public. The importance of good customer service was emphasized in presentations, exercises, and team meetings. Employees providing excellent customer service were recognized throughout the year.

"Great Place to Work" Casual Dress Fridays

In an effort to promote uniformity and increase morale and in furtherance of the "Great Place to Work" campaign, the Court offered casual dress Fridays during the summer. During the designated months, staff was permitted to wear court-branded shirts, along with appropriate jeans, slacks, or skirts. This initiative was in alignment with fundraising efforts of the Holiday Committee, who sold court-branded shirts in each division to support the Court's annual Holiday Party.

Ethics Training

See 3.3.1

ISSUE 4: A SOLID INFRASTRUCTURE

| 4.1 Court facilities must be safe and acc | cessible. |
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| GOALS: | ACCOMPLISHMENTS: |
| 4.1.1 Make certain that court facilities are accessible to all persons, particularly those with disabilities. | Ongoing Monitoring The Office Services Manager monitors physical access to court buildings and court improvements as needed. |
| | Access to eSR and Online Chat Program The Electronic Self-Representation (eSR) software and Online Chat Program continues to provide additional convenience to parties in remote locations or disabled parties who have difficulty visiting the Court's onsite self-help desks. |
| | ADA Accommodations On its ADA accommodations webpage, the Court maintained maps for entry to each court location to assist disabled parties. |
| 4.1.2 Identify and address needed safety improvements. | Ongoing Safety Improvements The Office Services Manager conducts surveys and requests funds as needed for safety improvements. |
| 4.2 Create a master plan for the develop | pment of court facilities to meet the needs of the future. |
| GOALS: | ACCOMPLISHMENTS: |
| 4.2.1 Review the utilization of existing space to optimize cost effectiveness. | Negotiation of Leases In an effort to reduce facility costs, the Court re-designed space to reduce square footage in both the Northern and Riverside Divisions in conjunction with the initiation of new lease agreements. |
| | Archiving Project The Court continued to archive case records to free up valuable space. |
| | Records Shredded Significantly reducing the total volume of storage space required, the Los Angeles, San Fernando Valley, and Northern Divisions shredded boxes of petitions, subsequent documents, claims, financial records, paper documents, old transcripts that were already disposed of by Federal Records Center, and miscellaneous folders. Along with these paper records, the Court was able to dispose of shelving units, storage boxes, and file cabinets. |
| | Records Digitizing Project In an effort to maximize the utilization of existing space and reduce the Court's footprint in the Los Angeles Federal Building and the Edward R. Roybal Federal Building and U.S. Courthouse, the Records team scanned boxes of documents for both Operations and Administration. |

| 4.2.1 Review the utilization of existing space to optimize cost effectiveness. (cont.) | Roybal Realignment Project The Court continued to participate in an extensive space planning effort with the Administrative Office of the U.S. Courts (AO), AO contractors Ninth Circuit Space and Facilities staff, General Services Administration and other Central District court units. Tentative plans call for the Bankruptcy Court to release over 33,000 square feet of Clerk's Office space and 24,000 square feet of judicial space in both the Los Angeles Federal Building and Edward R. Roybal Federal Building and U.S. Courthouse to accommodate the needs of the U.S. District Court and Pretrial Services. | | |
|---|--|--|--|
| 4.2.2 Analyze the need for additional chambers and courtrooms for future judgeships. | District-wide Space Plan The Court's Space and Security Committee held preliminary discussions to formulate a district-wide space plan. The Space and Security Committee intends to discuss this concept further once the new Los Angeles Courthouse and the Roybal Realignment Projects are completed. | | |
| 4.2.3 Evaluate the need for space for expanded video hearings. | Videoconferences Across Divisions See 2.1.2 | | |
| 4.3 Establish a technology infrastruct technology needs, and maintaining a st | ure by assessing the court's evolving information and courtroom rategic plan to address those needs. | | |
| GOALS: | ACCOMPLISHMENTS: | | |
| 4.3.1 Remodel or construct at least one courtroom as a high technology courtroom. | High Technology Courtroom In conjunction with the Roybal Realignment project, the Administrative Office of the U.S. Courts (AO) is partnering with the Court to fund extensive technology enhancements in the Edward R. Roybal Federal Building and U.S. Courthouse courtrooms. Spectrum Engineering and AO staff visited the Court to determine requirements and prepare recommendations as part of the overall project. | | |
| 4.3.2 Maintain up-to-date internal and external websites. | Court Websites The Court's internal and external websites continue to be refreshed as rules, procedures, and program changes occur. The internal website was redesigned to be more user-friendly and include additional features. | | |
| 4.3.3 Ensure the court has adequate skilled technology staff to support court operations. | IT Security Officers Attend Webinars The IT security officers attended webinars on a vulnerability scanning tool the Administrative Office of the U.S. Courts (AO) uses to scan outward-facing court sites. In conjunction with the AO Security Operations Center, the IT Department also implemented the use of Host Intrusion Prevention System (HIPS) software on all outward-facing servers to provide increased protection of these servers. TUG Conference | | |
| | See 1.3.5 | | |

4.3.4 Investigate and implement technologies and strategies to reduce costs, eliminate waste, maximize efficiency, minimize environmental impact, and protect the privacy of litigants and employees.

IT Security Training

In accordance with the *Guide to Judiciary Policy*, Vol. 15, § 340, court employees completed the annual IT Security Awareness Training. The IT Security Awareness Training was provided as an Electronic Learning Module (ELM), which was created in cooperation with the Administrative Office of the U.S. Courts. The New Employee IT Security Awareness Training and the Remote Access IT Security Awareness Training were updated in 2014. All new employees, including non-paid employees, and all who requested new remote access (VPN) accounts completed the appropriate training

IT Awareness Tips

The IT security officers emailed awareness tips throughout the year to all employees.

Remote Software Updates

The Clerk's Office increasingly "pushed out" software updates to all of the Court's PCs remotely, saving time and labor.

Secure Print

The Clerk's Office continued to use the Secure Print function on the Court's printers. The Secure Print function allows users to store password-protected print jobs in the copiers' memory until the password is entered at the copier control panel. Greater use of networked copiers reduces the need to maintain and purchase toner for personal printers.

Surface Pros Deployed

The IT Department deployed Surface Pros to judges, the Clerk's Office Executive Team, and IT Help Desk staff. For more information, see the Surface Pros Deployed article in this report.

Technology and Innovation

Throughout 2016, the Court implemented various technological improvements and strategies. For more information, see the Technology and Innovation section of this report.

Case Management Assist (CMA)

See 1.2.3

Check Capture

See 1.3.4

4.3.5 Continually evaluate and update the court's information technology strategic plan.

IT Strategic Plan

The IT Committee reviews and approves technology improvements and monitors the initiatives to ensure IT Strategic Plan alignment.

4.3.6 Allow proof of claims to be filed electronically.

ePOC

The Clerk's Office reviewed existing Electronic Proof of Claims (ePOC) and Electronic Claims (eClaims) programs from other courts as possible options for the electronic monitoring of claims. This initiative will be further addressed in 2017.

| 4.4 Protect people, processes, | technology, and facilitie | s to ensure employe | ee and public | safety as well as |
|--|---------------------------|---------------------|---------------|-------------------|
| 4.4 Protect people, processes, continuity of operations in the | e event of an emergency o | r disaster. | | |

| continuity of operations in the event of | an emergency or disaster. | | | |
|--|--|--|--|--|
| GOALS: | ACCOMPLISHMENTS: | | | |
| 4.4.1 Review and periodically re-evaluate the court's security and emergency procedures. | | | | |
| | Facility and Security Committees Throughout the year, judges and court staff participated in the Facility and Security Committee in each divisional location. | | | |
| 4.4.2 Conduct systematic training on security and emergency procedures. | Floor Warden/Emergency Preparedness Training The Emergency Preparedness team conducted Floor Warden/Emergency Preparedness training in every division. Additionally, floor wardens from throughout the Central District participated in the Weapons of Ma Destruction (WMD) training, conducted by the WMD coordinator for the FBI. | | | |
| | COOP Emergency Relocation Group Selected A select group of employees with specific expertise were selected as members of the Emergency Relocation Group (ERG). The ERG is tasked with reestablishing the Court's essential business functions in the event of an emergency or natural disaster at the workplace. Upon activation notification, members of the ERG will be deployed to a designated alternate facility to initiate the essential functions of the Court within a 12-hour period and may be asked to continue to perform the functions for a period of up to thirty (30) days. Members of the ERG participate in additional periodic continuity exercises and receive further training to validate the COOP. | | | |
| | Facilities, Security, and Emergency Preparedness Numerous activities in this area were completed in all divisions during 2016. For more information, see the Facilities, Security, and Emergency Preparedness section of this report. | | | |
| | IT Security Statistics and Update Throughout 2016, IT security officers continued to send IT security awareness alerts to all employees. For more information, see the IT Security Statistics and Update article in this report. | | | |
| 4.4.3 Review and update the court's Continuity of Operations Plan ("COOP"). | COOP Plan Revised COOP personnel continued their efforts to revise the Court's COOP plan, including the Pandemic component. COOP personnel conducted meetings with staff; consulted local representatives from city, county, state, and other federal agencies; and analyzed COOP plans from other bankruptcy courts, e.g., New York and Louisiana that have faced severe and long-term COOP plan activation. | | | |

4.4.3 Review and update the court's Continuity of Operations Plan ("COOP"). (cont.)

COOP Training

Throughout 2016, the Court's COOP Coordinator conducted various COOP training, testing, and exercises including May Day Emergency Notification Exercise, Onsite Support Official Training, COOP Refresher, and a Great California Shakeout Exercise.

COOP Webpage

The Court continued to maintain its COOP webpage.

4.4.4 Confirm that the court's COOP is communicated to, and coordinated with, other courts units and appropriate public safety agencies.

Collaboration with District Court

The Court's COOP Coordinator continued to collaborate with the U.S. District Court's Emergency Preparedness and Security Officer on COOP initiatives.

Federal Executive Board

The Court's Continuity of Operations Coordinator continued to collaborate with the Federal Executive Board (FEB), serving on their Greater Los Angeles Area Federal Executive Board (GLAFEB) Continuity Working Group (CWG) steering Committee.

COOP Webpage

See 4.4.3

ISSUE 5: PUBLIC UNDERSTANDING, TRUST, AND CONFIDENCE

| 5.1 The court must increase its commu | unity outreach. | | | | |
|--|--|--|--|--|--|
| GOALS: | ACCOMPLISHMENTS: | | | | |
| 5.1.1 Establish an Office of Public Communications and designate an Officer of Public Communications. | Office of Public Communications and Officer of Public Communications The Court developed a media strategy to publicize the Court's service offer in furtherance of its goal to establish an Office of Public Communication | | | | |
| 5.1.2 Through the court's Community Outreach Committee, identify opportunities and craft seminars, outreach programs, and publications to educate the public on the role of the courts and the importance of the rule of law. | Active Community Outreach Committee led by Judge Sandra R. Klein, chair of the Court's Community Outreach Committee. | | | | |
| 5.1.3 Collaborate with educational institutions, legal service providers, bar associations, and organizations that promote excellence in the judicial system to develop outreach programs and to promote community awareness of the court and its mission. | Judges Deborah J. Saltzman and Sandra R. Klein, and Clerk of Court/Executive Officer Kathleen J. Campbell serve on the Ninth Circuit Courts & Community Committee, which focuses on circuit-wide initiatives. | | | | |
| 5.1.4 Increase the use of technology and on-line resources to communicate more effectively with the public. | | | | | |
| 5.1.5 Design and implement an activity in conjunction with Law Day. | Court Hosts Law Day Celebration On April 12, the Court hosted a Law Day celebration to commemorate the 50th anniversary of the Supreme Court's Miranda v. Arizona decision. For more information, see the Court Hosts Law Day Celebration for High School and College Students article in this report. | | | | |
| 5.1.6 Create educational programs to increase financial literacy and understanding among all age groups. | CARE Program In conjunction with Law Day, the Court's Credit Abuse Resistance Education (CARE) Program provided financial literacy to assist students with managing finances, using credit wisely, saving money, and avoiding financial problems. Additionally, the CARE program materials were updated, posted, and made available to judges for future presentations. Court Hosts Law Day Celebration See 5.1.5 | | | | |

| 5.1.7 Provide training for other federal |
|--|
| and state court judges to increase their |
| understanding of bankruptcy-related |
| issues that may arise in their cases. |

Speaking Engagements and Programs See 1.1.5

| GOALS: | ACCOMPLISHMENTS: |
|---|---|
| 5.2.1 Provide means for input and discussion with the court's stakeholders regarding the court's strategic planning process and progress towards its goals. | Bar Advisory Board See 1.1.5 |
| 5.2.2 Identify frequently asked questions ("FAQs") and post FAQs and answers on the court's website. | FAQs FAQs are updated as rules, policies, and procedures change. Online Chat Program FAQs See 2.3.2 |
| 5.2.3 Provide means for the public to comment on the court's rules, procedures, processes, and operations, and consider the comments received. | Public Notice Prior to adopting proposed revisions to its Local Bankruptcy Rules (LBRs), the Court posted a Public Notice to announce a 30-day public comment period on the proposed revisions. |
| | Bankruptcy Judges Reappointment The Court publicized procedures for the public to provide comments on the reappointment of bankruptcy judges. |
| | Bar Advisory Board See 1.1.5 |
| | <u>Judicial Disability Procedures</u> See 3.3.1 |

BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* CENTRAL DISTRICT OF CALIFORNIA Ch 7 % Chg **Total** Year % Chg Ch 11 % Chg Ch 13 % Chg 1980 317 17,935 N/A 1,963 N/A 20,215 N/A N/A 787 5,723 1981 19,145 6.7% 148.3% 191.5% 25,655 26.9% 2.022 30.9% 1982 21,027 9.8% 156.9% 10.528 84.0% 33,577 1983 21,831 3.8% 2,128 5.2% 11,074 5.2% 35,033 4.3% 1984 22,669 3.8% 2,003 -5.9% 10.001 -9.7% 34,673 -1.0% 1985 14.6% 1,937 -3.3% 9,018 -9.8% 6.5% 25,983 36,938 1986 34,286 32.0% 7.3% 15.9% 46,817 26.7% 2,079 10,452 1987 -19.4% 9.903 -5.3% 49.675 6.1% 38.097 11.1% 1.675 1988 39,962 4.9% 1,360 -18.8% 9,548 -3.6% 50,870 2.4% 41,869 1,394 1989 4.8% 2.5% 10,838 13.5% 54,101 6.4% 1990 47,663 13.8% 1,482 6.3% 10,345 -4.5% 59,490 10.0% 1991 2,272 64,338 35.0% 53.3% 12,355 78,965 32.7% 19.4% 1992 76,842 11.9% 14,483 93,867 18.9% 19.4% 2,542 17.2% 1993 -2.6% -4.7% 6.0% -1.3% 74,864 2,423 15,353 92,640 1994 -8.6% 65,933 -11.9% 2,057 -15.1% 16,696 8.7% 84,686 1995 66,276 -29.6% 15,104 82,829 -2.2% 0.5% 1,449 -9.5% 1996 83,366 25.8% -26.5% 18,253 20.8% 102,684 24.0% 1.065 1997 96.277 15.5% 911 -14.5% 20.999 15.0% 118.187 15.1% 1998 99,461 3.3% 622 -31.7% 20,904 -0.5% 120,987 2.4% 1999 82,623 -16.9% 472 -7.5% 102,435 -24.1% 19,340 -15.3% 2000 64.183 -22.3% 573 21.4% 16,028 -17.1% 80.784 -21.1% 2001 9.2% 73,179 14.0% 573 0.0% 14,482 -9.6% 88,234 2002 69,940 -4.4% 484 -15.5% 13.686 -5.5% 84.110 -4.7% -10.0% 2003 65,227 -6.7% 371 -23.3% 10,088 -26.3% 75,686 2004 54,892 302 60,639 -15.8% -18.6% 5,445 -46.0% -19.9% 2005 79,948 45.6% 268 -11.3% 4,028 -26.0% 84,244 38.9% 2006 14,278 -82.1% 241 -10.1% -17.4% 17,845 -78.8% 3,326 2007 25,688 79.9% 344 42.7% 8,014 141.0% 34,046 90.8% 2008 49,451 92.5% 789 129.4% 15,611 94.8% 65,851 93.4% 2009 83,674 69.2% 1,129 43.1% 23,848 52.8% 108,651 65.0% 2010 109,488 1,125 32,176 34.9% 31.4% 30.9% -0.4% 142,789 2011 99,370 -9.2% 1.171 4.1% 34,161 6.2% 134,702 -5.7% 2012 81,200 -18.3% 908 -22.5% 23,472 -31.3% 105,580 -21.6% 2013 61,135 -24.7% 725 -20.2% 13,725 -41.5% 75,585 -28.4% 505 2014 -25.3% -30.3% 11,200 -18.4% -24.1% 45,655 57,360 2015 35,255 459 10,800 -3.6% 46,514 -18.9% -22.8% -9.1% -11.0% 2016 30.384 -13.8% 433 -5.7% 10.569 -2.1% 41,386 150% -- Ch 7 Percent Change in Filings Per Year 100% Ch 11 50% Ch 13 Total -50% -100% 2010 2013 2003 2012 1993 1994 1995 2000 2001 2002 2011 2014 1991 1992 9661

*Based on CA Central District internal filings data

BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* LOS ANGELES DIVISION **Ch 7** % Chg % Chg Total Year % Chg Ch 11 Ch 13 % Chg 1980 12,430 N/A 202 N/A 1.041 N/A 13,673 N/A 1981 13,055 5.0% 508 151.5% 4,162 299.8% 17,725 29.6% 1.291 1982 13,868 6.2% 154.1% 7.655 83.9% 22,814 28.7% 1983 14,825 6.9% 1,361 5.4% 8,074 5.5% 24,260 6.3% 1984 15,950 7.6% 1,309 -3.8% 7,484 -7.3% 24,743 2.0% 1985 18.051 13.2% 1,263 -3.5% 6,473 -13.5% 25.787 4.2% 1986 23,206 28.6% 1,423 12.7% 7,169 10.8% 31.798 23.3% 1987 25,599 10.3% 1,125 -20.9% 6,392 -10.8% 33,116 4.1% 1988 26,365 3.0% 886 -21.2% 5,746 32,997 -0.4% -10.1% 1989 28.017 6.3% 870 -1.8% 5.423 -5.6% 34.310 4.0% 1990 32,306 15.3% 1.008 15.9% 5.718 5.4% 39.032 13.8% 1991 42,894 32.8% 1,586 57.3% 7,107 24.3% 51,587 32.2% 1992 47,853 11.6% 1,768 11.5% 8,678 22.1% 58,299 13.0% 1993 -4.2% 9,286 7.0% -5.6% 44,065 -7.9% 1,694 55,045 1994 -1.0% -30.8% 27,701 -37.1% 1,190 -29.8% 9,189 38,080 1995 26,661 -3.8% 700 -41.2% 7.485 -18.5% 34.846 -8.5% 1996 34,165 -26.0% 28.1% 518 8.989 20.1% 43.672 25.3% 1997 39,533 498 -3.9% 10,086 12.2% 50,117 14.8% 15.7% 1998 42,181 6.7% 343 -31.1% 10,721 6.3% 53,245 6.2% 1999 220 -35.9% -0.5% **36**.837 -12.7% 10,668 47.725 -10.4% 2000 28,008 203 -7.7% 8,306 -22.1% -24.0% 36,517 -23.5% 2001 32.010 14.3% 296 45.8% 7.009 -15.6% 39.315 7.7% 2002 30,626 -4.3% 181 -38.9% 6,252 -10.8% 37.059 -5.7% 2003 28,661 146 -19.3% 4,380 -29.9% -10.4% -6.4% 33,187 2004 -13.9% **153** 4.8% 2,204 -49.7% -18.6% 24,664 27,021 2005 37,166 91 -40.5% 38.799 50.7% 1.542 -30.0% 43.6% 2006 6,043 -83.7% 97 6.6% 1,119 -27.4% 7,259 -81.3% 9.664 115 2007 59.9% 18.6% 2.857 155.3% 12.636 74.1% 2008 16,574 71.5% 185 60.9% 6,438 125.3% 23,197 83.6% 2009 28.028 69.1% 348 88.1% 9.100 41.3% 37.476 61.6% 2010 42,186 50.5% 485 39.4% 14,064 54.5% 56,735 51.4% 2011 38,586 -8.5% 541 11.5% 7.8% 54.293 -4.3% 15,166 2012 32,571 -15.6% 421 -22.2% 11,181 -26.3% 44,173 -18.6% 325 -28.4% 2013 24,573 -24.6% -22.8% 6,717 -39.9% 31,615 2014 19.042 -22.5% 232 -28.6% 5,528 -17.7% 24,802 -21.5% 2015 14,826 -22.1% 218 -6.0% 5,252 -5.0% 20,296 -18.2% 2016 -16.3% 210 -2.2% -12.5% 12,414 -3.7% 5,136 17,760 250% Percent Change in Filings Per Year (Los Angeles) – – Ch 7 200% 150% - Ch 11 100% - - Ch 13 50% Total -50% -100% 2010 0661 1992 1993 1995 1996 1997 1999 1999 2000 1991 2011

*Based on CA Central District internal filings data

| BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* | | | | | | | | | |
|--|-------------|--------------|---|--------|---------------------|--------|----------------------|-----------|--|
| SAN FERNANDO VALLEY DIVISION (Filings prior to 1994 were included in Los Angeles Division) | | | | | | | | | |
| Year C | ch 7 | % Chg | Ch 11 | % Chg | Ch 13 | % Chg | Total | % Chg | |
| 1994 | 8,560 | N/A | 261 | N/A | 1,859 | N/A | 10,680 | N/A | |
| 1995 | 8,524 | -0.4% | 239 | -8.4% | 1,794 | -3.5% | 10,557 | -1.2% | |
| 1996 | 12,470 | 46.3% | 167 | -30.1% | 2,836 | 58.1% | 15,473 | 46.6% | |
| 1997 | 14,451 | 15.9% | 131 | -21.6% | 3,466 | 22.2% | 18,048 | 16.6% | |
| 1998 | 14,490 | 0.3% | 62 | -52.7% | 3,531 | 1.9% | 18,083 | 0.2% | |
| 1999 | 12,005 | -17.1% | 68 | 9.7% | 3,088 | -12.5% | 15,161 | -16.2% | |
| 2000 | 9,344 | -22.2% | 101 | 48.5% | 2,284 | -26.0% | 11,729 | -22.6% | |
| 2001 | 10,123 | 8.3% | 76 | -24.8% | 2,164 | -5.3% | 12,363 | 5.4% | |
| 2002 | 9,652 | -4.7% | 68 | -10.5% | 2,019 | -6.7% | 11,739 | -5.0% | |
| 2003 | 9,063 | -6.1% | 52 | -23.5% | 1,505 | -25.5% | 10,620 | -9.5% | |
| 2004 | 7,440 | -17.9% | 45 | -13.5% | 873 | -42.0% | 8,358 | -21.3% | |
| 2005 | 11,083 | 49.0% | 68 | 51.1% | 658 | -24.6% | 11,809 | 41.3% | |
| 2006 | 2,054 | -81.5% | 41 | -39.7% | 626 | -4.9% | 2,721 | -77.0% | |
| 2007 | 3,674 | 78.9% | 75 | 82.9% | 1,633 | 160.9% | 5,382 | 97.8% | |
| 2008 | 7,123 | 93.9% | 121 | 61.3% | 3,579 | 119.2% | 10,823 | 101.1% | |
| 2009 | 12,454 | 74.8% | 238 | 96.7% | 5,342 | 49.3% | 18,034 | 66.6% | |
| 2010 | 12,059 | -3.2% | 204 | -14.3% | 4,852 | -9.2% | 17,115 | -5.1% | |
| 2011 | 10,337 | -14.3% | 175 | -14.2% | 4,969 | 2.4% | 15,481 | -9.5% | |
| 2012 | 8,340 | -19.3% | 157 | -10.3% | 3,211 | -35.4% | 11,708 | -24.4% | |
| 2013 | 6,331 | -24.1% | 151 | -3.8% | 1,915 | -40.4% | 8,397 | -28.3% | |
| 2014 | 4,504 | -28.9% | 86 | -43.0% | 1,356 | -29.2% | 5,946 | -29.2% | |
| 2015 | 3,179 | -29.4% | 82 | -4.7% | 1,156 | -14.7% | 4,417 | -25.7% | |
| 2016 | 2,624 | -17.5% | 90 | 9.8% | 1,140 | -1.4% | 3,854 | -12.7% | |
| 200% | | | | | | | | | |
| Percent | Change in F | ilings Per Y | ear (San Fernando V | allev) | | | | — — Ch 7 | |
| 100% | | 0 | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | 1 = - 1 | | _ | — Ch 11 | |
| 50% | | | ^ | | | | | – – Ch 13 | |
| 0% | | | | | | | | | |
| -50% Overall | | | | | | | | | |
| -100% | | | | | | | | | |
| 1994 | 1996 | 1999 | 2001 2002 2003 2004 | 2005 | 2007 2008 2009 2010 | 2011 | 2014 2015 2016 | | |

*Based on CA Central District internal filings data

BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* RIVERSIDE DIVISION % Chg % Chg Year **Ch** 7 Ch 11 Ch 13 % Chg Total % Chg 1980 2,324 N/A 25 N/A 417 N/A 2.766 N/A 1981 2.886 24.2% 91 264.0% 696 66.9% 3.673 32.8% 1982 3,370 200 119.8% 1.354 94.5% 34.1% 16.8% 4,924 1983 3.394 0.7% 202 1.0% 1,540 13.7% 5,136 4.3% 1984 3,255 -4.1% 220 8.9% -10.1% -5.4% 1,384 4,859 1985 3.994 22.7% 194 -11.8% 1.363 -1.5% 5.551 14.2% 1986 5,622 40.8% 194 0.0% 1,861 36.5% 38.3% 7,677 1987 6,483 166 2,091 8,740 13.8% 15.3% -14.4% 12.4% 1988 7,403 14.2% 164 -1.2% 2,570 22.9% 10,137 16.0% 1989 162 -1.2% 7,838 5.9% 3,428 33.4% 11,428 12.7% 1990 8,017 2.3% 164 1.2% 2,908 -15.2% 11,089 -3.0% 1991 11,494 43.4% 229 39.6% 3,255 11.9% 14,978 35.1% 1992 14,715 237 18,565 28.0% 3.5% 3,613 11.0% 23.9% 1993 2.5% -10.1% 3.4% 2.5% 15,080 213 3,737 19,030 1994 13.846 -8.2% 189 -11.3% 3,128 -16.3% 17,163 -9.8% 1995 15,015 8.4% 146 -22.8% 3,343 6.9% 18,504 7.8% 1996 116 14.9% 22,441 21.3% 18.484 23.1% -20.5% 3.841 1997* 18,616 0.7% 77 -33.6% 4.093 6.6% 22.786 1.5% 1998 21,761 16.9% 65 -15.6% 4,062 -0.8% 25,888 13.6% 1999 18,110 -16.8% 48 -26.2% 3,658 -9.9% 21,816 -15.7% 2000 8.0% 18,977 -13.0% 14,933 -17.5% 93 93.8% 3,951 2001 17,540 17.5% 46 -50.5% 4.080 3.3% 21,666 14.2% 2002 17,026 -2.9% 67 45.7% 4,185 2.6% 21,278 -1.8% 2003 15,445 -4.5% 18,775 -9.3% 64 3,266 -22.0% -11.8% 2004 12,306 -20.3% 31 -51.6% 1,751 -46.4% 14,088 -25.0% 2005 15,623 27.0% 40 29.0% 1,185 -32.3% 16,848 19.6% 2006 3,020 -80.7% 36 -10.0% -1.8% 4,220 -75.0% 1,164 2007 6,440 48 128.5% 9,148 116.8% 113.2% 33.3% 2,660 2008 14,928 131.8% 302 529.2% 4.009 50.7% 19.239 110.3% 2009 25,800 72.8% 232 -23.2% 6.733 67.9% 32.765 70.3% 2010 180 -22.4% 40.8% 43,276 32.1% 33.618 30.3% 9.478 2011 31.147 158 40,504 -7.4% -12.2% 9.199 -2.9% -6.4% -44.5% 2012 24,451 -21.5% 129 -18.4% 5,103 29,683 -26.7% 2013 18,557 -24.1% **72** -44.2% 2.946 -42.3% 21,575 -27.3% 2014 13,416 -27.7% 38 -47.2% 2,553 -13.3% 16,007 -25.8% 2015 -19.4% 10,281 -23.4% 38 0.0% 2,580 1.1% 12,899 2016 9,215 -10.4% 40 5.3% 2,556 -0.9% 11,811 -8.4% 250% Percent Change in Filings Per Year (Riverside) — — Ch 7 200% 150% Ch 11 100% – Ch 13 50% 0% Overall -50% -100% 2005 2005 2007 2007 2009 2010 2011 2013 2013

*Based on CA Central District internal filings data

BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* SANTA ANA DIVISION % Chg % Chg **Ch** 7 % Chg Ch 11 Ch 13 % Chg Total Year 1980 3,181 N/A 90 N/A 505 N/A 3,776 N/A 1981 3,204 0.7% 188 865 4,257 12.7% 108.9% 71.3% 1982 3.789 18.3% 531 182.4% 1.519 75.6% 5.839 37.2% 1983 3,612 -4.7% 565 6.4% 1.460 -3.9% 5,637 -3.5% 1984 3,464 -4.1% 474 -16.1% 1,133 -22.4% -10.0% 5,071 1985 3,938 13.7% 480 1.3% 1,182 4.3% 10.4% 5,600 1986 5,458 38.6% 462 -3.8% 1,422 20.3% 7,342 31.1% 1987 6,015 10.2% 384 -16.9% 1,420 -0.1% 6.5% 7,819 1988 6.194 3.0% 310 -19.3% 1.232 -13.2% 7.736 -1.1% 1989 6,014 -2.9% 362 16.8% 1,987 61.3% 8,363 8.1% 1990 22.0% 7,340 310 -14.4% 1,719 -13.5% 9,369 12.0% 1991 9,950 35.6% 457 47.4% 1,993 15.9% 12,400 32.4% 1992 12.095 21.6% 416 -9.0% 1.841 -7.6% 14.352 15.7% 1993 11.933 -1.3% 394 -5.3% 1.764 -4.2% 14.091 -1.8% 1994 10,929 -8.4% 301 -23.6% 1.945 10.3% 13,175 -6.5% 1995 11,149 2.0% 285 -5.3% 1,933 -0.6% 13,367 1.5% 19.8% 217 -23.9% 5.3% 16.8% 1996 13,361 2.036 15,614 1997* **17.839** 33.5% 171 -21.2% 2.647 30.0% 20,657 32.3% 1998 124 15,548 -12.8% -27.5% 1.936 -26.9% 17,608 -14.8% 1999 11.449 -26.4% 119 -4.0% 1.405 -27.4% 12.973 -26.3% 2000 8.599 -24.9% 150 26.1% 1.094 -22.1% 9.843 -24.1% 2001 9,736 13.2% 118 -21.3% 899 10,753 9.2% -17.8% 2002 -6.6% 19.5% 924 2.8% 10,157 -5.5% 9,092 141 2003 8.780 -3.4% 77 -45.4% 714 -22.7% 9.571 -5.8% 2004 7,434 -15.3% 53 -31.2% 443 -38.0% 7,930 -17.1% 2005 11,505 480 54.8% 58 9.4% 8.4% 12,043 51.9% 2006 2,212 -80.8% **57** -1.7% 314 -34.6% 2,583 -78.6% 2007 4.007 81.1% 94 64.9% 629 100.3% 4.730 83.1% 7,626 **157** 2008 90.3% 67.0% 1,183 8,966 89.6% 88.1% 2009 12,444 63.2% 258 64.3% 2,037 72.2% 14,739 64.4% 2010 15,764 26.7% 203 -21.3% 2,894 42.1% 18,861 28.0% 2011 14,351 -9.0% 238 17.2% 3,783 30.7% 18,372 -2.6% 2012 -39.1% **15**,173 11,920 -16.9% 145 3,108 -17.8% -17.4% 159 10,775 2013 8,902 -25.3% 9.7% 1,714 -44.9% -29.0% 7,702 -28.5% 2014 6,303 -29.2% 111 -30.2% 1,288 -24.9% 2015 4,939 -21.6% 97 -12.6% 1.255 -2.6% 6.291 -18.3% 2016 4,216 -14.6% 65 -33.0% 1,180 -6.0% 5,461 -13.2% 150% Percent Change in Filings Per Year (Santa Ana) — — – Ch 7 100% Ch 11 50% - Ch 13 0% Overall -50% -100% 1991 1992 1994 1995 1996 1997 1998 1999 2000 2001 2002 2003 2010

*Based on CA Central District internal filings data

BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2016* NORTHERN DIVISION (Filings prior to 1992 were included in Los Angeles Division) Ch 7 Ch 11 Ch 13 Year % Chg % Chg % Chg Total % Chg 1992 2,179 N/A 121 N/A 351 N/A 2,651 N/A 1993 3,786 73.7% 122 0.8% 566 61.3% 4,474 68.8% 1994 4,897 29.3% 116 -4.9% 575 1.6% 5,588 24.9% 1995 -4.5% -0.6% 4,927 0.6% 79 -31.9% 549 5,555 1996 5,484 -1.3% 4,886 -0.8% 47 -40.5% **551** 0.4% 1997 19.5% 20.0% 5,838 34 -27.7% 707 28.3% 6,579 1998 -7.5% -6.3% 5,481 -6.1% 28 -17.6% 654 6,163 1999 4.222 -23.0% 17 -39.3% 521 -20.3% 4.760 -22.8% 2000 3,299 -21.9% 26 52.9% 393 -24.6% 3,718 -21.9% 2001 3,770 14.3% **37** 42.3% 330 -16.0% 4,137 11.3% 2002 3,544 -6.0% 27 -27.0% 306 -7.3% -6.3% 3,877 2003 3,278 -7.5% 32 18.5% 223 -27.1% -8.9% 3,533 2004 -7.0% 20 -37.5% 174 -8.2% 3,048 -22.0% 3,242 2005 4,571 50.0% 11 -45.0% -6.3% 4,745 46.4% 163 2006 949 -79.2% 10 -9.1% 103 -36.8% 1,062 -77.6% 2007 1,903 100.5% 12 20.0% 235 128.2% 2,150 102.4% 2008 3,200 68.2% 24 100.0% 402 71.1% 3,626 68.7% 2009 4,948 54.6% **53** 120.8% 636 58.2% 5,637 55.5% 2010 5,861 18.5% 53 0.0% 888 39.6% 6,802 20.7% 2011 4,949 -11.0% -15.6% 59 11.3% 1,044 17.6% 6,052 2012 3,918 -20.8% 56 -5.1% 869 -16.8% 4,843 -20.0% 2013 2,772 -29.2% 18 -67.9% 433 -50.2% 3,223 -33.5% 2014 9.7% -9.9% 2,390 -13.8% 38 111.1% 475 2,903 2015 24 2,030 -15.1% -36.8% 557 17.3% 2,611 -10.1% 2016 1,915 -5.7% 28 16.7% 557 0.0% 2,500 -4.3% 150% — - Ch 7 Percent Change in Filings Per Year (Northern) 100% — Ch 11 50% – Ch 13 0% Overall -50% -100% 2004 2010 2013 2012 2011

*Based on CA Central District internal filings data

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