



# ANNUAL REPORT 2020



UNITED STATES BANKRUPTCY COURT - CENTRAL DISTRICT OF CALIFORNIA

HONORABLE MAUREEN A. TIGHE, CHIEF JUDGE  
KATHLEEN J. CAMPBELL, EXECUTIVE OFFICER/CLERK OF COURT

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# EXECUTIVE SUMMARY

In response to the COVID-19 pandemic and stay-at-home orders, the U.S. Bankruptcy Court, Central District of California was forced to immediately pivot from its normal day-to-day operations and implement programs and initiatives in an effort to continue court functions through these unprecedented times.

Within the days following the pandemic, all employees were authorized to telework and the Court provided and distributed the necessary equipment; Chief Judge Maureen A. Tighe, Executive Officer/Clerk of Court Kathleen J. Campbell, chief deputies, and the Director of Human Resources and Court Services regularly met with managers, supervisors, and other key staff members to provide updates and discuss the ever-changing needs of staff; Zoom for Government (ZoomGov) licenses were purchased to enable judges the ability to conduct court proceedings remotely via videoconference and to facilitate a variety of meetings, trainings, and award ceremonies; electronic Self-Representation (eSR), an online tool to help self-represented litigants complete a bankruptcy petition, was modified and made available to chapter 13 debtors; and the Court implemented an electronic drop box that enables self-represented litigants to electronically submit documents that do not require a fee.

In the months succeeding the pandemic and as courthouses in the Central District began to reopen, the Court released its Reconstitution Plan, outlining the Court's approach to the resumption of normal operations during the COVID-19 pandemic which sets out a phased-approach to the Court's re-opening to the public and return to the office and included safety measures and procedures to be implemented during each phase; Clerk's Office staff monitored, maintained, ordered, and deployed various pandemic supplies districtwide to all staff, courtrooms, video hearing rooms, and intake lobbies; new videoconferencing equipment and controls were tested and deployed to several courtrooms that rely heavily on videoconferencing. The upgrades improved the reliability and quality of the connection, while also providing high-definition video; the Court launched SAFER (Safe Actions for Employee Return), a program aimed at providing employees with resources and tools to safely return to work in a post-quarantine environment; and using supplemental funding provided by the Administrative Office of the U.S. Courts (AO), the Court purchased and deployed body temperature scanners.

In addition to its response to the global pandemic, the Court engaged local students and stakeholders through community outreach, expanded resources for self-represented litigants, and fortified IT security practices and policies. Other highlights of 2020 included:

- the Court's 2020-2024 Strategic Plan, which identifies four strategic issues that the Court will focus on for the next five years, was published on January 3;
- Chief Judge Maureen A. Tighe formed a Small Business Reorganization Task Force (SBRTF) and a final report that provides guidance and recommendations to increase access and fairness for small businesses was issued on December 22;
- the Court hosted a dialogue regarding race relations in America in light of the social unrest brought on by the deaths of George Floyd, Breonna Taylor, and others; and
- the U.S. District Court and U.S. Bankruptcy Court for the Central District of California hosted a Civics Contest (Local Contest) for high school students. The Local Contest was held in conjunction with an essay and video competition sponsored by the Ninth Circuit for high school students in the Western United States, "The Right to Vote: Milestone Anniversaries."

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## MISSION, VISION, AND VALUES OF THE COURT

### OUR MISSION

To serve the most populous and diverse judicial district in the country by providing bankruptcy relief, fair and impartial justice, and a prompt and efficient resolution of disputes.

### OUR VISION

The United States Bankruptcy Court for the Central District of California will be aligned with the public's needs and future trends and will be a model of exemplary service with expert, resourceful employees:

- Maintaining a safe, professional environment
- Adhering to high standards of conduct and professional development
- Treating the public with dignity and respect
- Being accessible, convenient, understandable, and responsive to the needs of the district's diverse community
- Allocating and managing resources efficiently and effectively
- Using advanced technology to support the Court, enhance access to justice, and serve those who access the Court
- Educating the public about the role and function of the Court and the services provided

### OUR VALUES

- Respect
- Integrity
- Diversity
- Exceptional Service
- Innovation
- Collaboration
- Education



## THE BANKRUPTCY JUDGES OF THE CENTRAL DISTRICT OF CALIFORNIA

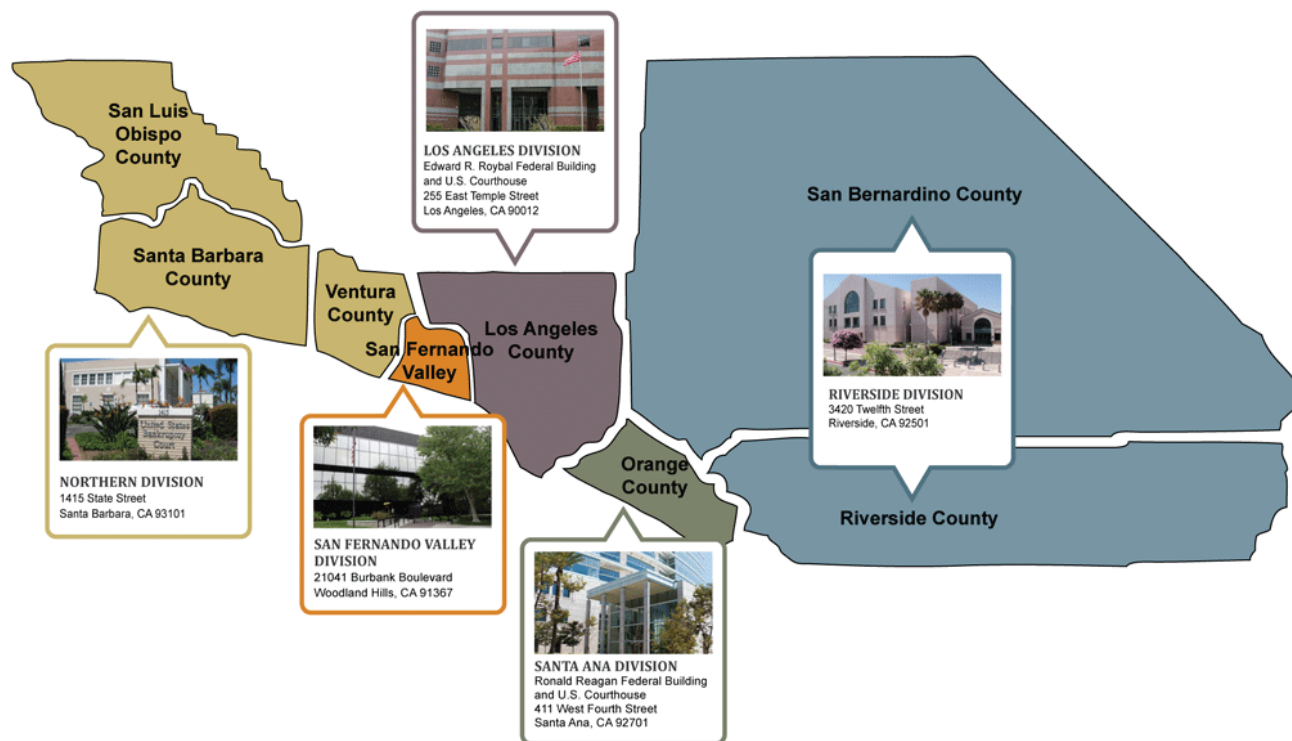
Top Row (left to right): Mark D. Houle, Martin R. Barash, Theodor C. Albert, Wayne Johnson, Scott C. Clarkson, Ernest M. Robles, Neil W. Bason, and Deborah J. Saltzman

Middle Row (left to right): Erithe A. Smith, Catherine E. Bauer (Retired), Sandra R. Klein, Victoria S. Kaufman, Robert N. Kwan (Recalled), Mark S. Wallace, and Scott H. Yun

Front Row (left to right): Barry Russell, Geraldine Mund (Recalled), Maureen A. Tighe (Chief Judge), Sheri Bluebond, Vincent P. Zurzolo, and Julia W. Brand

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## 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 United States Territory), and the Northern Mariana Islands (a United States Commonwealth).

Covering approximately 40,000 square miles, encompassing seven counties, and served by 20 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 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.

## POPULATION SERVED

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 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).



# PANDEMIC RESPONSE

## THE COURT RESPONDS TO THE GLOBAL PANDEMIC

On March 19, California Governor Gavin Newsom issued a stay-at-home order to protect the health and well-being of all Californians and to establish consistency across the state in order to slow the spread of COVID-19. Effective March 23, the bankruptcy courts in the Central District were closed to the public. However, despite COVID-19 restrictions, the Court was determined to provide access to justice to all litigants and implemented procedures and initiatives to continue to provide service to the public.

In 2020, measures taken in the Central District of California included:

### ***Telework Authorized for All Employees***

Due to the COVID-19 pandemic, all employees were authorized to begin working remotely on a full-time basis beginning March 23. Telework agreements were completed and approved, and the IT Department ensured all employees received IT Security Training. Employees were required to submit a daily report of the work that was completed during the telework day.

### ***Telework Equipment Distributed***

In March, the Court worked with the Administrative Office of the U.S. Courts (AO) to identify telework equipment needs, determine availability with vendors, and request supplemental funding. Necessitated by the pandemic, the supplemental allotment resulted in the purchase of videoconferencing enabled laptops, docking stations, monitors, keyboards, mice, and headsets for all court employees to utilize at home and work. Additionally, the supplemental allotment provided a printer for each judge to use at home.



*Telework Equipment Distributed*

To minimize contact points and respect social distancing, the IT Help Desk set appointments with staff to issue the new equipment. The massive undertaking concluded in August when all staff received court-issued devices.

In coordination with the rollout of telework equipment, the Court moved to a new means of connecting to court resources remotely. The newly installed Cisco AnyConnect software expedited the network connection process, while eliminating the need to remote into a desktop computer at work.



*Alexandra Ordaz*



*Anthony Gonzalez*

### ***Pandemic Information Sharing***

Throughout 2020, Emergency Preparedness team members Anthony Gonzalez and Alexandra Ordaz monitored Centers for Disease Control

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and Prevention, World Health Organization, General Services Administration, and the JNet websites for updated guidance, information and tips regarding the COVID-19 pandemic. As new information became available, the emergency preparedness team updated the Court's Intranet site and/or notified all staff via email.

Administrative Specialist Herbert Seales implemented and maintained the weekly COVID-19 Situational Report which contains local and national pandemic case trends and input from relevant departments and individuals at the Court to provide a big-picture of how the daily challenges associated with the pandemic were addressed. The report will serve as a reference and assist in producing an After-Action Report and Improvement Plan (AAR/IP) post-pandemic.



Also, throughout the year, information was frequently updated and posted on the Court's external and internal websites and submitted to the Administrative Office of the U.S. Courts for publication.

### ***COVID-19 Planning Meetings***

In an effort to increase communication during the COVID-19 pandemic, Executive Officer/Clerk of Court Kathleen J. Campbell, joined by Chief Judge Maureen A. Tighe, met with managers and supervisors daily for the first two weeks after the initial court closure, then weekly thereafter. During these teleconferences, Chief Judge Tighe and Ms. Campbell provided districtwide updates, general information, and answered questions, while managers and supervisors provided departmental updates and reported staff concerns. The COVID-19 planning meetings ensured that the Court was prepared for contingencies as the pandemic progressed.

### ***Reconstitution Plan Created and Implemented***

In June, the Court released its Reconstitution Plan, outlining the Court's approach to the resumption of normal operations during the COVID-19 pandemic. Drafted and approved by the Court's Reconstitution Committee, which included judges, chambers, and Clerk's Office staff, the Plan set out a phased-approach to the Court's re-opening to the public and return to the office and included safety measures and procedures to be implemented during each phase. Safety measures include limiting capacities in intake areas and courtrooms, requiring face coverings, providing pandemic supplies to staff, and installing clear plexiglass barriers. The Plan allows for movement between phases as the Court continues to deal with the ever-evolving nature of the pandemic.



### ***ZoomGov Videoconferencing***

In order to facilitate court operations during the COVID-19 pandemic, Zoom for Government (ZoomGov) licenses were purchased to enable judges the ability to conduct court proceedings remotely via videoconference. ZoomGov is a simplified messaging and videoconferencing tool available on PCs, laptops, tablets, and smartphones. The videoconference software has all of the same features as Zoom commercial, but operates in a dedicated, secure infrastructure designed to meet federal requirements.

Beginning in April, ZoomGov was used to facilitate a variety of meetings such as virtual court matters, trainings, meetings, and award ceremonies. Virtual court uses include reaffirmation hearings, evidentiary hearings, omnibus chapter 11 hearings, mediations, motion calendars, motion for a Temporary Restraining Order in an adversary

proceeding, relief from stays, confirmation and disclosure statement hearings, and the Bankruptcy Appellate Panel. As of December 31, Zoom usage included 2,172 meetings, 1,352,806 meeting minutes, and 23,534 participants.

To prepare for the wide use of ZoomGov, the Clerk's Office provided numerous training sessions centered around Zoom for Virtual Court, Zoom for trainers, Zoom for Digital Electronic Court Recording Operators (DECROs), and general Zoom use. The training and supporting materials were prepared and conducted by Chief Deputy of Administration John Hermann, Information Technology and Training Manager Padraic Keohane, and Executive Assistant Gabriela Huerta. Additionally, training materials on how to connect a courtroom's audio-visual system to Zoom and For-The-Record (FTR) recording software was created by Audio-Visual Specialist Brian Foxworth.

To prepare attorneys and other participants, the Zoom Video Hearing Guide for Participants was developed by Judge Martin R. Barash and Clerk's Office staff and made available via the Court's external website. The document guides participants through the technical needs and how to join a Zoom video hearing, details the available audio and video controls, and provides tips for a successful Zoom video hearing experience.

### ***Courtroom Videoconference Installations***

New videoconferencing equipment and controls were tested and deployed to several courtrooms that rely heavily on videoconferencing. The upgrades improved the reliability and quality of the connection, while also providing high-definition video.

### ***ADA Compliant Hearing Conducted***

Federal courts are required to provide reasonable accommodations to the deaf or hearing-impaired, or persons with other communication disabilities. The COVID-19 pandemic and safety measures created new challenges to the Court's

accommodation request procedures. However, the Court amended its procedures to conduct ADA compliant hearings remotely using a real-time caption writer and Zoom, along with a telephone connection through CourtCall. The new procedure allows a caption writer to listen to the proceedings and type the information to the debtor using Zoom.

### ***Remote Access to FTR Recording Technology***

The Audio-Visual Department developed a new process for remoting into court computers and telephonic systems to record hearings when there is no physical presence in the courtroom. Necessitated by the COVID-19 pandemic, this method enabled the Digital Electronic Court Recording Operator (DECRO) to access the For-The-Record (FTR) recording software within a courtroom through the virtual private network or VPN while all parties appear telephonically and the judge and DECRO remain offsite in an alternate location. The result is audio and log sheets of the hearing in the familiar and searchable FTR format.

### ***AT&T Bridge Lines used for Remote Recording***

With increased demand for teleconferencing due to the COVID-19 pandemic, each judge was assigned a judiciary provided AT&T bridge line that allows multiple callers to attend hearings remotely and simultaneously at no additional charge to the Court. In the first week of March, the Audio-Visual Department assisted with developing a procedure to leverage the capability of these lines while using existing courtroom hardware resulting in a "net-zero" cost expenditure to participants and expanding remote communication capabilities for judges and litigants.

### ***Clerk's Office Identifies Intake Appointment Scheduling System***

In December, the Court began development efforts to create an online Intake Appointment Scheduling System. The system allows members of the public to schedule appointments with

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Intake staff through an online portal. A link to the appointment scheduling software is accessible on the Court's website. The Intake Appointment Scheduling System allows customers to schedule a date and time to engage in transactions with Intake staff. Members of the public who use the system will avoid waiting in lines, thus, enabling the Court to continue socially distancing and potentially reducing the transmission of COVID-19. The Intake Appointment Scheduling System will be rolled out early 2021.

### ***eSR for Chapter 13***

On April 17, in response to the COVID-19 pandemic and stay-at-home orders, the Court's locally-developed electronic Self-Representation (eSR) module, a tool to help individuals complete a bankruptcy petition when they have decided to file bankruptcy without an attorney, was quickly modified and made available online to chapter 13 debtors to file a petition with the initial forms. eSR has been available to chapter 7 debtors since 2014.

### ***Electronic Drop Box***

In response to building closures due to the COVID-19 pandemic, the Court implemented an Electronic Drop Box (eDB) in April 2020. Originally developed by the New Mexico Bankruptcy Court, eDB enables self-represented litigants to electronically submit documents that do not require a fee.



### ***New USB Cameras***

New USB cameras were ordered and distributed to judges to enable flexibility with participating in videoconferences from chambers, the bench, or home. Each chamber received one camera to utilize in locations where the use of a camera-enabled laptop was not possible.



### ***New KITE Site Created***

The Keep in Touch Everyone (KITE) initiative was created to keep court staff and judges connected, engaged, and informed while practicing social distancing. Daily inspirational quotes, general information, COVID-19 information, telework tips, health and wellness tips, weekly activities, and a photo gallery with weekly photo themes helped to contribute to this effort. In addition, during Interactive Learning Mondays, participants watch the same training seminar simultaneously and engage in a Q&A discussion via Skype for Business. Let's Get Together Tuesdays were offered, in which participants Skype during the lunch hour on Tuesdays for fun games and regular chats. The KITE site was also shared with the Ninth Circuit and the Federal Judicial Center.



### ***Interactive Learning Monday Training Sessions***

As part of the Court's new KITE initiative, the Learning and Development Unit implemented a new way for court staff to learn and interact with one another in a virtual environment – Interactive Learning Monday.

During the inaugural training session on March 30, participants viewed a recorded presentation from WorkLife4You, entitled "Get Organized." Participants learned that being organized in both your home and work life can have many benefits. After the video presentation, participants assembled via Skype to discuss various aspects of the presentation and their key takeaways.



Throughout the year, every other Monday, 20-25 staff members joined Administrative Specialist Jan Zari to discuss other topics such as self-improvement, positivity, mental health, and wellness tips. The sessions allowed staff to connect, interact, and learn in a virtual environment during a period of change and uncertainty.



### ***Safe Actions for Employee Return Webpage Launched***

As the Court prepared to reopen to the public in June, the Court announced the launch of SAFER (Safe Actions for Employee Return), a program aimed at providing employees with resources and tools to safely return to work in a post-quarantine environment. The Court created a new SAFER webpage, located on the Court's Intranet. The new webpage includes a welcome back video, the Court's Reconstitution Plan, a daily health self-checker, employee training and resources, guidance on travel, health and wellness resources, a comprehensive listing of COVID-19 testing resources by county, and a link to the Employee Assistance Program (EAP) resources.

### ***Body Temperature Scanners***

Using supplemental funding provided by the Administrative Office of the U.S. Courts to address Enhanced Entry Security Screening (EESS), the Court purchased and deployed body temperature scanners for the San Fernando Valley and Northern Divisions. The body scanners were placed at both

public and employee entrances. The local Court Security Officers monitored the temperature scans as employees and members of the public entered the building using the public entrance and denied entry to anyone with a body temperature of 100.4 degrees or above. For individuals who were denied physical access, contact information was posted to enable them to contact the Clerk's Office if they required immediate assistance.

### ***Pandemic Supplies***

The Office Services Department monitored, maintained, ordered, and deployed various pandemic supplies districtwide to all staff, courtrooms, video hearing rooms, and intake lobbies. Pandemic supplies included hand sanitizer, disinfectant wipes, isopropyl alcohol (70%) with spray bottles, face masks, paper towels, additional trash cans, microphone covers, plexiglass barriers, hands-free hand sanitizer stands with dispensers, and non-latex disposable gloves.

### ***The Court Adopts Programs and Initiatives to Limit In-Person Appearances***

In response to the COVID-19 pandemic, the Court implemented programs and initiatives to limit in-person appearances.

The Clerk's Office developed a new option in CM/ECF that allows attorneys to electronically file an involuntary bankruptcy petition, open the case, and pay the filing fee online. Previously, filing parties or their attorneys were required to manually file involuntary bankruptcy petitions over the intake window.

Additionally, the Clerk's Office successfully developed and deployed a new docket event that allows ECF account holders to docket a request, upload a request form, and pay for a CD of a recorded hearing online. Clerks can also docket and upload the CD request forms that are received through the mail and in-person. Previously, the



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form could not be filed online by ECF account holders or docketed by the Clerk's Office staff. It was mailed or hand-delivered with the fee to an intake clerk to be received stamped and cashiered. In both the old and new methods, the requesting party is contacted when the CD is ready to be mailed or picked up.

### ***The Court Issued General Orders***

Throughout the year, the Court entered and posted several General Orders to keep the public informed during the ever-changing pandemic.

- March 19: General Order 20-02, closed court buildings and mandated telephonic appearances through April 30. As information regarding the nature of the pandemic was made available, this General Order was amended to extend through June 30.
- March 23: General Order 20-03 extended deadlines for meeting of creditors and granted U.S. Trustee's *Ex Parte* Motion to Extend Deadlines Pursuant to the Federal Rules of Bankruptcy Procedure and Bankruptcy Code.
- June 30: General Order 20-04 detailed procedures for its phased reopening, which included information regarding in-person hearings and physical access to the Court.
- August 6: General Order 20-05 granted the assigned judge discretion to determine whether remote hearings are possible.
- August 7: General Order 20-06 restricted physical access to the Court, except for the filing intake area of the Edward R. Roybal Federal Building and U.S. Courthouse in the Los Angeles Division, and restricted in-person hearings in all matters. This General Order was amended to reopen the Santa Ana Division's intake area on September 11.
- September 25: General Order 20-07 reopened the San Fernando Valley Division's intake area.
- September 28: General Order 20-08 authorized the U.S. Marshals Service to enforce safety measures, including denial of entry to the facility of anyone not wearing a face covering, anyone evidencing symptoms of COVID-19, and anyone not cleared through the temperature scanning devices in the San Fernando Valley Division.
- October 9: General Order 20-09 reopened the Northern Division's intake area. The Court also entered General Order 20-10 which authorized the U.S. Marshals Service to enforce safety measures, including denial of entry to the facility of anyone not wearing a face covering, anyone evidencing symptoms of COVID-19, and anyone not cleared through the temperature scanning devices in the Northern Division.
- November 27: General Order 20-11 closed the Santa Ana Intake area, following U.S. District Court's Amended General Order 20-15, to withdraw GO 20-12 and to make GO 20-09 effective once again.
- December 8: General Order 20-12 closed all courthouses and suspended in-person operations through January 8, 2021.

# Strategic Issue 1: Enabling Broad Access to the Court

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## TELEPHONE INTERPRETER PILOT FOR LIMITED-ENGLISH-PROFICIENT FILERS

Led by Judge Mark D. Houle, the Court initiated a telephone interpreter pilot program for limited-English-proficient filers. The telephone interpreter pilot program was designed to provide on-demand language interpretation services to the Central District's very diverse population.

In March, the pilot program which began in the Riverside and San Fernando Valley Divisions was placed on hold temporarily as a result of court closures necessitated by the COVID-19 pandemic. However, in August, the Riverside Division completed its testing phase, flyers were developed and disseminated to promote the program's availability in English and Spanish, courtroom procedures were updated, and staff received training on the new procedures.

In preparation for a surge in filings, the District Court's Attorney Admission Fund subsequently approved a funding increase for FY 2021 and the program was made available for use in all courtrooms.

## APPOINTMENT CARDS FOR SELF-REPRESENTED LITIGANTS

Initiated by Chief Judge Maureen A. Tighe, the Court distributed appointment cards to better assist self-represented litigants (SRLs) with tracking the next activity in a case, such as a 341(a) meeting or court appearance, and to provide remote access information for the Help Desk. These cards have specific information tailored to each division's corresponding Help Desk.

## COURT VOLUNTEER INTERPRETERS

Beginning in April, Jacqueline O'Neill Huerta, the Court's volunteer interpreter, translated the telephone meeting instructions from the Office of the U.S. Trustee, and assisted with the translation of the Court's electronic Self-Representation (eSR) webpage, eSR checklists for chapters 7 and 13, General Orders, and court flyers. Ms. O'Neill Huerta concluded her term on July 31.

From July 15 through early November, Ana Cuellar volunteered as a Court interpreter to assist with the translation of documents. Ms. Cuellar assisted with translating the Court's General Orders on its COVID-19 webpage as well as translating signs at entrances/exits regarding temperature scanners. Also, Ms. Cuellar collaborated with Neighborhood Legal Services of Los Angeles staff to translate bankruptcy petition schedules, the eSR landing page, eSR checklists, filing declaration and other chapter 13 documents. Lastly, before her term concluded, she assisted with translating flyers and appointment cards for self-represented litigants.

## PETITION PACKAGES AND OFFICIAL FORMS AND INSTRUCTIONS

On April 1, automatic adjustments to some dollar amounts were made in eight Official Forms and Instructions for Bankruptcy Forms. Prior to the effective date of the new forms, the Clerk's Office posted a public notice to announce the changes, updated the Official Forms, instructions, and Petition Packages on the Court's website. The Clerk's Office also updated electronic Self-Representation (eSR) software and electronic Proof of Claims (ePOC) to mirror the form revisions.

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## Community Outreach Events



### COMMUNITY OUTREACH PORTAL

In June, the Court launched a new public facing community outreach section on the Court website. The section serves as a resource for the Court's community outreach activities and will be updated regularly with community outreach events. Each event includes the date of the event, a brief description, and photos. The events are categorized under one of six titles:

- Scouts
- FED Day
- Mock Trials
- Ninth Circuit Civics Contest
- Colleges/Law Schools
- Community Outreach

This new section of the Court's website furthers the Court's mission to enable broad access to the Court and showcases the various community outreach efforts throughout recent years to the public.

### COURT EVENTS AND COMMUNITY OUTREACH

#### ***Court Recognizes Volunteers During National Pro Bono Celebration Week***

During National Pro Bono Celebration Week, which took place October 25-31, an updated Honor Roll of pro bono volunteers was published

to the Court's website. The Honor Roll is based on the names submitted by each of the Court's self-help desks (for the 12 months ending in October) to recognize volunteers for each organization. In previous years, and with funding provided by District Court's Attorney Admission Fund (AAF), the Court hosted its own Honor Roll receptions or recognized volunteers by partnering with local bar association events. Due to the spread of COVID-19 and following Riverside's recognition event at the Inland Empire Bankruptcy Forum's "Ask the Judges Night," this year's remaining Honor Roll in-person receptions for volunteers were canceled or were not scheduled. Instead, the Court provided recognition to pro bono volunteers in the form of certificates of recognition and "swag bags," made possible by the AAF.



*Girl Scouts of Greater Los Angeles*

#### ***Girl Scouts Visit the Los Angeles Division***

Throughout the year, Girl Scout troops visited the Los Angeles Division. Judge Sandra R. Klein welcomed the Girl Scouts into her courtroom, where she spoke about the legal system and encouraged them to work hard so they could achieve their goals. Afterwards, all of the Girl Scouts were invited to put on a black robe and pose for pictures on the bench. Each Girl Scout 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.

## *Foreign Delegates Visit*

On January 22, the Court hosted nine Serbian delegates. The delegates included judges and attorneys who were interested in learning about the Court's organization, case management system, and the use of mediation. Their tour of the Court concluded with an observation in Judge Barry Russell's courtroom and further discussions in his chambers.



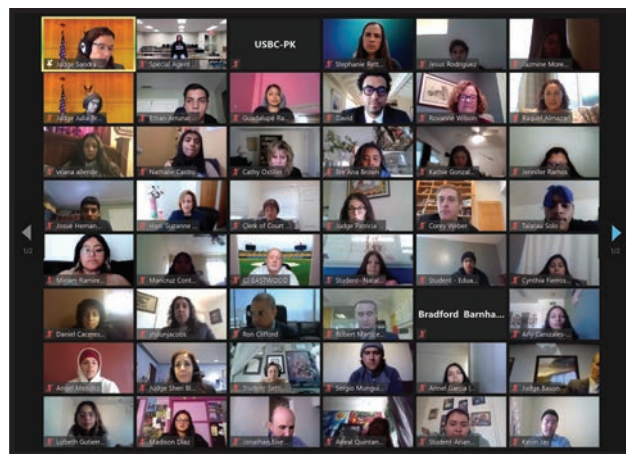
*Virtual Civics Contest Reception*

## *Civics Contest*

The U.S. District Court and U.S. Bankruptcy Court for the Central District of California hosted a Civics Contest (Local Contest) for high school students. The Local Contest was held in conjunction with an essay and video competition sponsored by the Ninth Circuit for high school students in the Western United States (Ninth Circuit Contest), "The Right to Vote: Milestone Anniversaries."

The Central District accounted for more than 20 percent of the Ninth Circuit's submissions. On June 26, Judge Sandra R. Klein hosted a virtual reception for the winners via Zoom. Before the reception, each student whose essay or video was selected as first, second, third place as well as honorable mention, received a certificate, and a red, white, and blue balloon bouquet. The top three students in each category also received cash prizes of \$1,000 for first place, \$750 for second place, and \$500 for third place. The first, second, and third place essays and videos were automatically entered into the Ninth Circuit

Contest to compete with winners from all other districts in the Ninth Circuit. Winners of the Ninth Circuit Contest, who received \$2,000 (first place); \$1,000 (second place), and \$500 (third place), were announced on June 30. Olivia Chen, who won first place for her essay in the Court's Local Contest, also won second place in the Ninth Circuit Contest.



## *FED Day*

On November 10, the U.S. Bankruptcy Court for the Central District of California hosted its annual Federal Exploration (FED) Day event remotely, during which approximately 35 students from Pacific High School in San Bernardino met and were mentored by an equal number of volunteers—judges, attorneys, and other professionals. The event had two parts: a mentoring lunch, with small groups of students discussing their post-graduation plans with professionals in Zoom "break out rooms," and a guest speaker, DEA Special Agent Khanh Vo, who spoke about "living the dream."

The event began with Bankruptcy Judge Sandra R. Klein welcoming everyone and introducing the participating judges: Chief Bankruptcy Judge Maureen Tighe; Magistrate Judges Patricia Donahue, Karen Scott, and Autumn Spaeth; Bankruptcy Judges Martin R. Barash, Neil W. Bason, Sheri Bluebond, and Julia W. Brand; Los Angeles Superior Court Judge Wesley Hsu; and



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retired Magistrate Judge Suzanne Segal. She also recognized Executive Officer/Clerk of Court Kathleen J. Campbell, Federal Public Defender Cuauhtemoc Ortega, Federal Public Defender Los Angeles Trial Chief David Sutton, Public Services Administrator Dr. Kari Kelso, and First Assistant U.S. Attorney Tracy Wilkinson.

During the mentorship session, each student shared their future plans and the mentors provided tips and guidance. After the mentorship sessions, Special Agent Vo discussed his path to the DEA and some of his interesting cases. He also offered career and life advice to the students, such as the importance of staying in school, listening to their parents, and gaining work experience.



*Rubidoux High School and Mentors*

### ***Law Day***

On February 20, in conjunction with the Ninth Circuit Civics Contest, themed: "The Right to Vote: Milestone Anniversaries," Judge Sandra R. Klein organized and hosted a Law Day event. Approximately 40 students from Rubidoux High School, and 40 volunteer mentors – judges, lawyers and other professionals -- participated in the program. Law Day included a mentoring lunch, during which the students shared lunch with the mentors and discussed their post-graduation plans, and a presentation by Loyola Law School Professor Jessica Levinson, who spoke about voting rights.

# Speaking Engagements, Events, and Programs

## January

- January 18: Judge Julia W. Brand spoke at *cdcbaa's* 14th Annual Review of Ninth Circuit Decisions on Bankruptcy in 2019.
- January 21: Judge Sheri Bluebond participated in the Los Angeles County Bar Association, Commercial Law and Bankruptcy Section's "Discussion of New Bankruptcy Laws that Help Small Business Owners" program.
- January 27: Judge Sandra R. Klein spoke to Professor Gary Williams' Ethical Lawyering Class at Loyola Law School.

## February

- February 4: Judge Geraldine Mund shared memories of Judge Richard M. Neiter at the Los Angeles Bankruptcy Forum's 17th Annual Joseph Bernfeld Distinguished Speakers Program.
- February 6: Judge Scott C. Clarkson was the keynote speaker at the Federal Bar Association's Art, Law, and Litigation Conference.
- February 11: Judges Scott C. Clarkson, Mark D. Houle, Mark S. Wallace, and Scott H. Yun were panelists at the Inland Empire Bankruptcy Forum's "Ask the Judges Night" program.
- February 19: Loyola Law School students studying for their LLM degree observed Judge Sandra R. Klein's hearings and discussed what they had observed.
- February 21: Judge Victoria S. Kaufman was a panelist at the San Fernando Valley Bar Association, Bankruptcy Section's "Selected Recent Ninth Circuit Cases" program.
- February 24: Judge Catherine E. Bauer spoke at Chapman Law School about externing and clerking at the Court.
- February 28 – 29: Judge Scott C. Clarkson participated as a judge for the St. John's University School of Law and American Bankruptcy Institute's Duberstein Bankruptcy Moot Court Competition.
- February 29: Judge Neil W. Bason was a panelist at the Central District Consumer Bankruptcy Attorneys Association's "Attorney Conduct and What to Do to Avoid Disgorgement and Sanctions the Interplay Between 11 U.S.C. §§329(b), 526 & 707(b)(4) and FRBP 2017 & 9011" program.



*Annual Inland Empire Bankruptcy Forum's  
"Ask the Judges Night"*

## March

- March 10: Judges Mark D. Houle and Scott H. Yun were panelists at Inland Empire Bankruptcy Forum's "How to Reorganize a Small Business Under the Recent Amendments to Chapter 11" program.

## April

- April 6: Chief Judge Maureen A. Tighe participated in the Orange County Bankruptcy Forum's "Presentation on the New Procedures and Requirements for Mandatory Offsite Telephonic/Video Meeting of Creditors (341a Hearings)" program.
- April 7: Judge Sandra R. Klein spoke to Professor Dan Martin's Ethical Lawyering Class at Loyola Law School.
- April 15: Judge Sandra R. Klein spoke to Professor Maureen Johnson's first year law students at Loyola Law School.

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- April 20: Judge Martin R. Barash moderated the Los Angeles Bankruptcy Forum's "Navigating SBRA: A Roadmap to SBRA's Updates and Changes for Small Businesses" Zoom videoconference.
  - April 27: Judge Martin R. Barash moderated the Los Angeles Bankruptcy Forum's "Navigating SBRA: A Roadmap to SBRA's Updates and Changes for Small Businesses" Zoom videoconference.
  - April 30: Judge Sandra R. Klein organized a program for Women Lawyers Association of Los Angeles addressing Alzheimer's and Dementia.

## May

- May 27: Judge Scott H. Yun participated in the Orange County Bankruptcy Forum and the Orange County Asian American Bar Association's "Bankruptcy 101: A Primer on Reorganization, Liquidation, and Credit Issues in a Post-COVID World" program.
- May 28: Judge Scott C. Clarkson spoke at the Orange County Bar Association, Commercial Law & Bankruptcy Section's "Flatten the Curve: A Panel Discussion on the Novel Issues Impacting Bankruptcy Cases Due to the COVID-19 Pandemic" webinar.

## June

- June 1: Judges Martin R. Barash, Neil W. Bason, Julia W. Brand, Sheri Bluebond, Victoria S. Kaufman, Robert N. Kwan, Barry R. Russell, Deborah J. Saltzman, and Maureen A. Tighe were panelists at the Los Angeles Bankruptcy Forum's annual "Judges' Night."
- June 2: Judge Mark S. Wallace was a co-panelist at the Association of Insolvency & Restructuring Advisors' 36th Annual Bankruptcy & Restructuring Conference's virtual session.
- June 3: Judge Sandra R. Klein administered the federal oath to new lawyers at Loyola Law School.
- June 4: Judge Scott C. Clarkson discussed "Bankruptcy Philosophy and History."
- June 8: Judge Catherine E. Bauer swore in new admittees from Chapman University.
- June 11: Judge Scott C. Clarkson discussed "Chapter 11 Process - The Oil Exploration and Extraction Industry Reorganization Experience."
- June 15: Judge Mark D. Houle presented at the Los Angeles County Bar Association's "Barristers/Young Attorneys Virtual Brown Bag Lunch with the Honorable Mark Houle" program.
- June 15: Judge Sandra R. Klein co-hosted a Federal Judicial Center program on Community Outreach.
- June 18: Judge Scott C. Clarkson spoke at the Los Angeles County Bankruptcy Association's Contemporary Developments in Insolvency Related Determination and Discharge of Taxes program.
- June 22: Judge Scott C. Clarkson discussed "Subchapter V of Chapter 11 Process - The Small Business Reorganization Model."
- June 25: Judges Scott C. Clarkson and Victoria S. Kaufman discussed "Adversary Proceedings in Bankruptcy."
- June 26: Judge Sandra R. Klein organized and hosted a virtual reception for the winners of the Central District of California's 2020 Civics Contest.
- June 29: Judge Sandra R. Klein assisted in organizing and hosting a program by Women Lawyers Association of Los Angeles, which highlighted Eve Rodsky's book, "Fair Play."

## July

- July 2: Chief Judge Maureen A. Tighe participated in the Federal Bar Association's "Our Paths to the Bench: A Conversation with LGBT+ Judges" informational webinar.
- July 7: Judge Scott C. Clarkson discussed "The California Real Property Non-Judicial Foreclosure Process."
- July 10: Judge Victoria S. Kaufman was a panelist at the Insolvency Committee of California Lawyer's Association and the Los Angeles County Bar Association's cohosted "Recovering Attorney's Fees in Bankruptcy Litigation" program.
- July 10: Judge Sandra R. Klein spoke during a presentation for judicial externs regarding "10 Things that I Wish I Knew When I Was in Law School."

- July 16: Judge Scott C. Clarkson discussed "Automobile Titles, Ownership and Repossessions."
- July 23: Judge Sandra R. Klein participated in a panel discussion, hosted by the Women Lawyers Association of Los Angeles, which addressed Civility in the Law.

## August

- August 18: Judge Sheri Bluebond participated in American College of Bankruptcy's "Small Business Reorganization Act" webinar.

## September

- September 23: Judge Scott C. Clarkson discussed "The Looming Insolvency Pandemic: A Guide for Fraud Examiners" at the Los Angeles Association of Certified Fraud Examiners.
- September 24: Judges Deborah J. Saltzman and Scott H. Yun spoke on the Potential Lasting Impact of Virtual Courtroom Appearances during the Financial Lawyers Conference program.
- September 25: Judge Sandra R. Klein spoke to the Loyola Law School Real Estate Law Society.

## October

- October 1: Judge Barry Russell spoke at the Federal Bar Association's Annual "Judge Barry Russell Federal Awards Luncheon." Judge Russell presented five honorees from local law schools including Loyola, Pepperdine, Southwestern, UCLA and USC with a plaque and copies of his annual "Bankruptcy Evidence Manual."
- October 2: Judge Neil W. Bason was a panelist for the Turnaround Management Association's "Boot Camp" on Ethics.
- October 5: Judge Sandra R. Klein addressed approximately 170 girl scouts during the Girl Scouts of Greater Los Angeles (GSGLA) virtual presentations.
- October 9: Judge Sheri Bluebond spoke at UCLA Lowell Milken Institute for Business Law & Policy's "COVID's Effect on Restructuring, Bankruptcy and Finance" program.
- October 14: Judge Scott H. Yun was a panelist for National Conference of Bankruptcy Judges' "Private Credit Lenders and the Changing Dynamics of Chapter 11" insolvency program.
- October 6: Judge Sandra R. Klein addressed approximately 150 girl scouts during the Girl Scouts of Greater Los Angeles (GSGLA) virtual presentations.
- October 22: Chief Judge Maureen A. Tighe and Judges Theodor Albert, Martin R. Barash, Sheri Bluebond, Scott C. Clarkson, and Erithe A. Smith participated in Orange County Bankruptcy Forum's Judges' Night: A Virtual Roundtable Discussion.
- October 22: Judge Sandra R. Klein organized and participated in a panel addressing federal court externships at Loyola Law School.
- October 26: Judge Julia W. Brand participated in the Los Angeles Bankruptcy Forum's Bankruptcy 101 Panel.
- October 26: Judge Scott C. Clarkson participated in the Los Angeles Bankruptcy Forum's New California Homestead Exemption Panel.

## December

- December 4: Judge Robert N. Kwan participated as a panelist in the San Fernando Valley Bar Association's "Late-Filed Returns and How to Discharge Them: Everything You Need to Know About the Two-Year Rule of §523(a)(1)(B)(ii)" discussion.

## Naturalization Ceremonies

In 2020, several bankruptcy judges from the Central District presided over naturalization ceremonies. Each led the swearing-in of new citizens in ceremonies throughout the year.



# Strategic Issue 2: Fair and Effective Court Operations

## JUDICIAL CASELOAD

### BANKRUPTCY FILINGS

In the Central District of California, a total of 27,852 bankruptcy cases were filed during the 12-month period ending December 31, 2020, a 27.0 percent decrease from 38,148 filings received in 2019.

Chapter 7 filings decreased by 20.2 percent to 23,910 filings in 2020 and accounted for 85.8 percent of all petitions filed districtwide. Chapter 7 filings also accounted for 77.6 percent of all business filings and 86.3 percent of all nonbusiness filings in 2020.

Chapter 11 filings decreased 15.4 percent to 329. Chapter 11 cases, which typically require more judicial resources than cases that are filed under other chapters, accounted for approximately 1.2 percent of all petitions filed in 2020, slightly higher than the percentage of chapter 11 filings in 2019. Over 75 percent of all chapter 11 petitions were business cases.

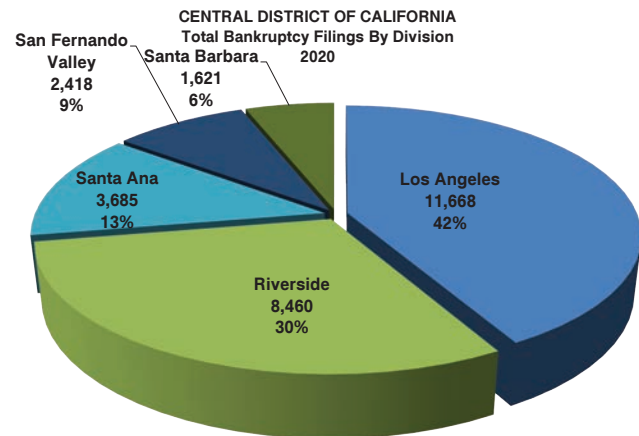
In February 2020, the Small Business Reorganization Act of 2019 went into effect adding a new subchapter V of chapter 11 of the Bankruptcy Code. This new legislation was designed to simplify and reduce the costs for small businesses filing under chapter 11. There was a total of 70 Subchapter V chapter 11 cases filed in 2020, 23 cases that were either amended or converted to a Subchapter V, and 22 cases that either had the Subchapter V designation withdrawn, were closed, or converted to another chapter. At year end, there were a total of 71 Subchapter V cases pending.

Chapter 13 filings decreased 53.6 percent to 3,609 filings in 2020. Chapter 13 petitions accounted for 13.0 percent of all filings in 2020, down from 20.4 percent in 2019. Chapter 13 petitions also accounted for 13.4 percent of all nonbusiness filings and 3.6 percent of all business filings in 2020.

CENTRAL DISTRICT OF CALIFORNIA  
BANKRUPTCY CASES FILED BY CHAPTER OF THE BANKRUPTCY CODE  
CALENDAR YEARS 2008 - 2020

Year	Total	Chapter				
		7	11	12	13	OTHER <sup>1</sup>
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
2017	38,704	28,657	407	2	9,634	4
2018	37,192	28,489	463	3	8,237	0
2019	38,148	29,972	389	0	7,786	1
2020	27,852	23,910	329	3	3,609	1
Percent Change 2019 - 2020	-27.0%	-20.2%	-15.4%	0.0%	-53.6%	0.0%

<sup>1</sup> Includes cases filed under chapters 9 and 15 of the bankruptcy code



Totals include chapters 9, 12, and 15.

CENTRAL DISTRICT OF CALIFORNIA  
BANKRUPTCY CASES FILED, CLOSED, AND PENDING  
CALENDAR YEARS 2008 - 2020

Year	Filed				
	Total	Nonbusiness	Business	Closed	Pending
2008	65,856	62,345	3,511	40,414	51,461
2009	108,647	103,539	5,108	85,719	74,443
2010	142,726	137,363	5,363	135,153	82,059
2011	134,501	130,188	4,313	146,224	70,383
2012	105,515	102,006	3,509	110,014	65,962
2013	75,581	72,896	2,685	90,429	51,136
2014	57,356	55,321	2,035	62,024	46,482
2015	46,523	44,653	1,870	50,599	42,415
2016	41,399	39,714	1,685	48,211	35,617
2017	38,704	37,127	1,577	44,893	29,090
2018	37,192	35,616	1,576	39,857	26,449
2019	38,148	36,572	1,576	38,869	25,740
2020	27,852	26,515	1,337	32,921	20,681
Percent Change	-27.0%	-27.5%	-15.2%	-15.3%	-19.7%

The number of bankruptcy petitions terminated by the Central District in 2020 dropped 15.3 percent to 32,921. Because terminations exceeded filings in 2020, there were 20,681 cases pending in December 2020, which was 19.7 percent less than the number of cases pending in December 2019.

According to the national filing data released by the Administrative Office of the U.S. Courts, for the twelve months ending December 31, 2020, the Central District of California received 10.9 percent more bankruptcy filings than the second largest filing district, the Northern District of Illinois. Additionally, the Central District of California had the third highest total of business filings in the nation behind the District of Delaware and the Southern District of Texas and led the nation in nonbusiness filings. Bankruptcy filings in the Central District of California account for slightly more than 5 percent of the nation's total filings.

## ADVERSARY FILINGS

During the twelve-month period ending December 31, 2020, adversary proceedings increased 8.3 percent from 1,181 in 2019 to 1,279.

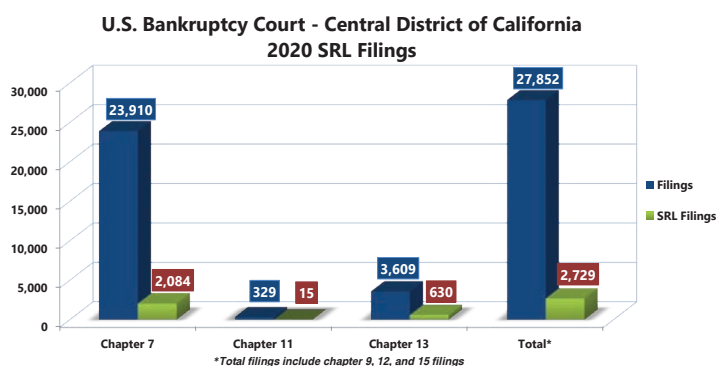
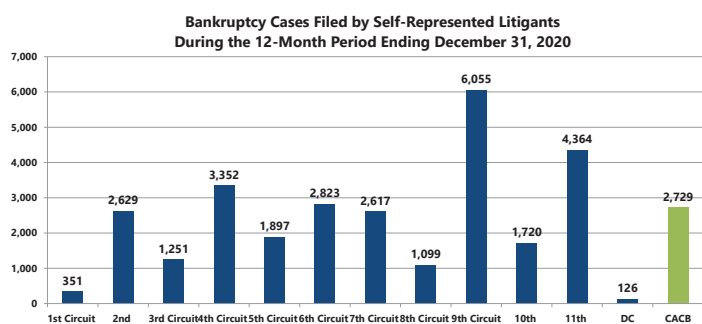
The number of adversary proceedings terminated in 2020 declined by 2.8 percent to 1,135 from 1,168 terminated in 2019. Pending adversary proceedings increased 9.5 percent, from 1,513 in 2019 to 1,657 in 2020.

## SELF-REPRESENTED LITIGANT FILINGS

The Central District of California led the nation in Self-Represented Litigant (SRL) filings for the twelve-month period ending December 31, 2020. The Central District's rate of SRL filings for the year was 9.8 percent, nearly two times the national average of 5.7 percent. The Central District handled 8.8 percent of the entire nation's SRL bankruptcy filings.

Of the 27,852 bankruptcy cases filed in the district, 2,729 were filed by SRL filers. Chapter 13 petitions had the highest SRL percentage with 17.5 percent, followed by chapter 7 petitions with 8.7 percent filed by SRL filers. Chapter 11 had the smallest percentage of SRL filings with 4.6 percent.

CENTRAL DISTRICT OF CALIFORNIA ADVERSARY PROCEEDINGS FILED, CLOSED, AND PENDING CALENDAR YEARS 2008 - 2020			
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
2017	1,358	1,759	1,744
2018	1,160	1,407	1,497
2019	1,181	1,168	1,511
2020	1,279	1,135	1,657
Percent Change 2019 - 2020	8.3%	-2.8%	9.7%



CENTRAL DISTRICT OF CALIFORNIA SRL CASES FILED BY CHAPTER OF THE BANKRUPTCY CODE CALENDAR YEARS 2008 - 2020						
Year	Total	Chapter				
		7	11	12	13	OTHER <sup>1</sup>
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
2017	7,877	4,559	20	1	3,297	0
2018	6,109	3,694	17	0	2,398	0
2019	5,863	3,764	20	0	2,079	0
2020	2,729	2,084	15	0	630	0
Percent Change 2019 - 2020	-53.5%	-44.6%	-25.0%	0.0%	-69.7%	0.0%

<sup>1</sup> Includes cases filed under chapters 9 and 15 of the Bankruptcy Code

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## CASES OF INTEREST

### *In re Verity Health System of California, Inc.*

Verity Health System of California, Inc., together with its subsidiary companies, sought chapter 11 bankruptcy in 2018 and a chapter 11 plan was confirmed in August 2020. The case is the second-largest healthcare bankruptcy filing in American history. The debtors owned six non-profit hospitals in Northern and Southern California that treated more than 500,000 patients annually. One of the hospitals—St. Vincent Medical Center—opened in 1869 and was the first hospital in Los Angeles. O'Connor Hospital and Saint Louise Regional Medical Center, both located in Northern California, were sold to the County of Santa Clara for approximately \$200 million in February of 2019 and St. Francis Medical Center, located in Lynwood, California, was sold to Prime Healthcare Services for approximately \$276 in August 2020.

The American Bankruptcy Institute (ABI) awarded the Verity case its "Asset Sale of the Year Award." The ABI stated that it selected Verity as the top asset sale case because the sales "(1) [were] part of one of the largest hospital bankruptcies ever filed; (2) established important precedent regarding the transfer of Medicare and Medicaid Provider Agreements in a bankruptcy case and the limited scope of the California Attorney General's powers over the sale of nonprofit health care assets in bankruptcy; and (3) saved important institutional hospitals, preserving thousands of jobs and ensuring that residents in these counties and communities continue to have access to critical health care."

### *Mad Dogg Athletics, Inc.*

Mad Dogg Athletics, Inc. is a retailer and wholesaler of fitness equipment, apparel, accessories, and educational products and programs in the Spinning, Peak Pilates, CrossCore, and Resist-a-ball business segments. It licenses

and sells its exercise programs and equipment worldwide through dealers, distributors, its own sales team, and websites, including spinning.com, peakpilates.com, and crosscore.com.

On January 28, 2019, Hymanson, Inc. obtained a judgment against Mad Dogg Athletics, Inc., which required it to turn over inventory and other assets and awarded Hymanson \$1,103,960.45 in damages and pre-judgment interest. Subsequently, Mad Dogg Athletics filed a chapter 11 case due to losses related to the dispute with Hymanson, defaults under its loan agreements, and increased competition from competitors like Peloton. The case involved extensive litigation between Mad Dogg and its largest unsecured creditor, Hymanson. Judge Julia W. Brand presided over a multi-day contested confirmation hearing virtually via ZoomGov and confirmed the First Amended Plan of Reorganization on June 29, 2020 which provided for the restructuring of the company's debt and payment in full of unsecured creditors.

### *Quality Reimbursement Services, Inc.*

Quality Reimbursement Services, Inc. is a California corporation that provides consulting services on a contingency basis to over 500 hospitals in the United States and related entities to facilitate Medicare and Medicaid reimbursements from government agencies by, *inter alia*, litigating reimbursement cases in federal and appellate courts.

Following an arbitration award in the amount of approximately \$8.2 million entered against Quality Reimbursement Services, Inc. and James Ravindran, Chief Executive Officer and President, and in favor of a former consultant, Eastpoint Corp. and its principal, Alvaro M. Gancman, Quality Reimbursement Services, Inc. filed a chapter 11 bankruptcy in 2019. Quality Reimbursement

Services, Inc. and Eastpoint Corp./Alvaro M. Gancman engaged in extensive litigation in 2020, including a multi-day contested confirmation hearing in November 2020.

#### *In re Hollister*

On March 6, 2018, debtor Dana Hollister filed chapter 11 bankruptcy concerning business debts. In her bankruptcy petition, Ms. Hollister is listed as the owner of The Paramour, a large property in Los Angeles that is used to host events such as weddings, and as a movie filming and photography site. The bankruptcy petition listed 50-99 creditors, with assets of \$10,000,001 - \$50 million and debts of the same range. In 2020, the Ninth Circuit authorized a direct appeal from denial, without an evidentiary hearing, of a proposed \$7 million debtor-in-possession priming loan. The proceeds would not be used to improve the property or pay the objecting lienholder; and, although the debtor alleged that the property was worth \$40 million, she failed to explain how a third lien could be the "indubitable equivalent" of a second lien. Meanwhile, a trial on the second lienholder's motion for relief from the automatic stay is set for August 2021, and the parties' valuations of the debtor's mansion now range from \$12 million to \$70 million.

#### *In re GL Master*

On December 7, 2018 GL Master Inc, doing business as Little Sheep International Inc., a restaurant supply company located in the City of Industry, filed for chapter 7 bankruptcy. The bankruptcy petition listed 1-49 creditors, with assets of \$100,001 - \$500,000 and debts of the same range. Contempt sanctions are being imposed on the debtor, its affiliates, and its non-bankruptcy lawyers to coerce discovery responses. The contemnors have asserted that the lawyers who handled the debtor's non-bankruptcy litigation for two years had no records – not a single email, retainer letter, or other document relating to that litigation.

#### *In re Thomas Vincent Girardi and In re Girardi Keese*

Chapter 7 involuntary cases were filed against attorney Thomas Girardi and his law firm, Girardi Keese, in December 2020. Girardi rose to national fame for his role in the case portrayed in the film "Erin Brockovich" and was a nationally prominent personal injury lawyer until he admitted stealing millions from clients in a plane crash suit. The Northern District of Illinois District Court ordered a trustee appointed in 2020 and all assets of Girardi and his firm were frozen.

Girardi is being investigated by the California State Bar regarding his ability to practice law and financial misdeeds. The cases generated heavy press coverage due to his fame and because his ex-wife is a cast member on the "Real Housewives of Beverly Hills" reality TV show.

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## KEY STUDIES, ACTIVITIES AND ACCOMPLISHMENTS

### SMALL BUSINESS REORGANIZATION TASK FORCE ISSUES REPORT

In February, Chief Judge Maureen A. Tighe formed a Small Business Reorganization Task Force (SBRTF) comprised of 25 members, including Judge Scott C. Clarkson as vice chair. The SBRTF included the following five subcommittees: 1) SBRTF Scope; 2) Rules and Forms; 3) Systemic Issues; 4) Outreach – Phase 1; and 5) Education and Training – Phase 2. The SBRTF subcommittees' duties included planning, research and development, and making recommendations. Throughout 2020, the SBRTF met monthly to produce a final report that provided guidance and recommendations to increase access and fairness for small businesses.



On December 22, the SBRTF issued its final report. The report details the Court's small business bankruptcy filings over the last 10 years, contains information about outreach programs intended to educate businesses in the community and provides advice on how to keep costs down. The report also includes recommendations for new local rules and forms to efficiently and effectively process cases under the Small Business Reorganization Act. The report is posted on the Court's website.

### COURT ISSUES 2020-2024 STRATEGIC PLAN

The 2020-2024 Strategic Plan was approved by the Board of Judges on December 13, 2019 and published January 3, 2020 on the Court's website. Developed over eight months, the plan articulates the Court's mission, vision, and values; identifies four strategic issues



on which the Court will focus during the next five years; and sets specific and measurable goals for each issue. Under the leadership of Chief Judge Maureen A. Tighe, the Strategic Planning Committee, comprised of Judges Sheri Bluebond, Victoria S. Kaufman, Scott C. Clarkson, Neil W. Bason, and Scott H. Yun; Executive Officer/Clerk of Court Kathleen J. Campbell; and representatives of court management and staff, crafted the plan with input from court stakeholders. Affirming the Court's commitment to enabling broad access, fair and effective court operations, employing a judiciary workforce of the future, and a solid infrastructure, the Strategic Plan is a blueprint for the Court's future.

### STRATEGIC PLANNING COUNCIL

Effective January 1, the Court's new Strategic Plan includes an updated mission statement, seven values, and addresses four issues. The Strategic Plan affirms the importance of four fundamental issues upon which the Court will focus over the next five years to achieve specific and measurable results: enabling broad access to the Court; fair and effective court operations; the judiciary workforce of the future; and a flexible and responsive infrastructure. The Plan also includes seven core values that will serve to guide the Court's actions and decision-making in meeting its mission and vision.

In an effort to monitor and track the Court's progress, the Clerk's Office has established the Strategic Planning Council. The council consists of the chief judge, clerk of court, chief deputies, managers, supervisors, law clerks, and other staff members. On November 24, the Court's Strategic Planning Council held its inaugural meeting to welcome its new members. After a brief message from the Executive Team, the Director of Human Resources and Court Services Beryl Dixon and Planning & Research Manager Blake Francois



provided council members with an overview of the Court's Strategic Plan, Top Priority Project List, and Action Plan. Ms. Dixon also presented and discussed a draft of the Strategic Planning Council's Charter. Senior Court Analyst Estella Chavarin discussed the Court's Case Survey and demonstrated how to use and navigate the Strategic Planning Council's SharePoint site.

## COURT PREPARES FOR FUTURE FILINGS

On behalf of Executive Officer/Clerk of Court Kathleen J. Campbell, a survey was sent out district-wide to all chambers and Clerk's Office staff to gather ideas on how the Court could prepare for a surge in bankruptcy filings. The survey contained 13 questions, including: 1) what processes or systems could be streamlined or automated; 2) what type of training needs to be done among court staff, or attorneys and self-represented litigants; 3) what type of communication can be provided to the public and attorneys; and 4) how could the Court's public website be enhanced to improve information and communication. Several suggestions were provided by the respondents with an average of 60 responses received per question. An analysis was conducted on the responses to establish recurring themes and ideas. Some common themes included standardizing procedures, cross training staff across divisions, establishing flexible schedules, automating payments and other processes for electronic Self-Representation (eSR), and increasing community outreach/training and social media presence. The complete analysis report was reviewed by the Court's executive team and new policies and procedures were implemented as a result.

In response to the Court's survey, the Clerk's Office revamped its current committee structure and incorporated new working groups under the umbrella of its existing Centers of Excellence (CoEs). This allows the Court to focus on specific areas of improvement and expeditiously implement ideas. CoEs were created for: NextGen Migration, NextGen eSR, Operations Improvement, Website Enhancement, Court Technologies, and Employee Engagement. Each CoE is responsible for creating

proposals to plan and execute desired initiatives and process improvements. Applicants included chambers and the Clerk's Office staff from all divisions. On November 6, the chairs received guidelines and procedures at the CoE's inaugural meeting and monthly meetings commenced in mid-November.

## CYCLICAL AUDIT

Every 2.5 years, the Administrative Office of the U.S. Courts' contract firm, Kearney & Company, P.C., conducts its mandatory cyclical financial and compliance audit, covering the areas of management controls, budget, procurement, financial management, property management, and time and attendance. The main objective of audits is to ensure the Judiciary's financial statements are free of any material misstatements and, ultimately, to provide an independent opinion to stakeholders.

The Clerk's Office continuously prepares for external audits by setting the "tone at the top" and emphasizing the importance of strong internal controls. Additionally, internal processes and control activities across all of the areas are continually assessed and evaluated to ensure the Court has a strong internal control framework and that internal controls are working as intended. In preparation for the audit and to facilitate the process, the Clerk's Office gathered and organized the requested documentation, performed a self-review, made staff available during the fieldwork, and maintained communication with the audit team throughout the fieldwork.

The engagement team performed the audit virtually, referred to as a "remote desk audit," during the period of June 29 through December 16, 2020. The scope of the audit included an evaluation of the Clerk's Office management controls, collections and deposits, fund control, procurement, property, voucher processing activities pertaining to appropriated funds, Government travel cards, Public Access to Court Electronic Records System (PACER), and time and attendance administration. Audit procedures

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included testing the accuracy of a sample of financial transactions processed between October 1, 2017 and April 30, 2020, and an assessment of the internal accounting controls that were in place during the audit period. The auditors conducted the audit in accordance with the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States and reported for the 31-month period that all financial statements were presented in accordance with the *Guide to Judiciary Policy* and the audit did not disclose any events of noncompliance with Judiciary guidance.

## INVENTORY

As required by the *Guide to Judiciary Policy*, a physical sighting of all accountable property, excluding offsite equipment, was completed locally by the Court's custodial officers. As a result of the pandemic, the Administrative Office of the U.S. Courts extended the physical sighting time period by the amount of time the Court suspended normal operations. After the Court resumed normal operations, the physical sighting of offsite equipment continued, and staff brought accountable property to the Court for a physical sighting.

## CLERK'S OFFICE CONTINUES TO OFFER SHARED ADMINISTRATIVE SERVICES

The Court's long-standing agreements were renewed in 2020, along with a few additional projects for the year. Since 2013, the Court has published an offerings catalog with 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 a Memorandum of Understanding (MOU). Individual service offerings were posted to JShare, the Judiciary's shared services webpage and catalog. The Court also used services from other courts by transferring funds or by trading services. Throughout 2020, the Court completed the following shared services:

- *Website Design for the AO*  
Web Developer Kimberly Rubal continued working on an Extended Collaborative Assignment (ECA) for the Administrative Office of the U.S. Courts (AO) on the development, testing, documentation and training associated with the Website Toolbox Project and other web projects. She also assisted courts with technical problems affecting their websites. Under a separate MOU, Ms. Rubal assisted the U.S. Bankruptcy Court, District of Hawaii with Drupal training and website design beginning in August 2020.
- *Software Development*  
Applications Developer Keith Klein continued to share time and work for the Administrative Office of the U.S. Courts (AO) on an Extended Collaborative Assignment (ECA) basis, interpreting requirements and developing software components for CM/ECF NextGen.
- *IT Security Services*  
The Court continued to host an IT Security contractor hired by the Office of the Circuit Executive of the Ninth Circuit. IT Security contractor Ty Ford provided support regarding IT Security requirements, documenting and sharing best practices and internal controls audit requirements. Mr. Ford also served as a resource for any questions from other court units within the Circuit.
- *Programming Services*  
On October 1, 2017, the Court entered into an MOU to share a programmer with the U.S. Bankruptcy Courts for the Northern and Middle Districts of Alabama. The agreement was arranged so that a 40 percent share of Programmer Analyst Mai Kha's work product was received by the Central District of California, in an ongoing agreement that was initiated in 2016. The agreement continued through September 2020.

- *Statistician*  
Since June 2019, the Court agreed in an MOU to share a Statistician with the Office of the Executive for the Ninth Circuit. The agreement was arranged so that a 50 percent share of Court Statistician Arevik Chukhuryan's work hours were spent on projects for the Circuit and the remaining 50 percent were devoted to court projects.
- *Combined Courier Services*  
Since 2017, the Court has split the cost of courier services with the U.S. District Court for the Central District's Santa Ana Division. By combining a pick-up location, both courts are able to achieve cost savings by splitting the cost of one pick up from the same courier.
- *Microsoft Office Services*  
Information Technology & Training Manager Padraic Keohane assisted Southern District of Alabama with the conversion of a jury macro package of documents from WordPerfect to Microsoft Word, including developing VBA code to populate the forms with data provided by a web service.
- *Vertical Sharing*  
At the Northern Division, Clerk's Office staff provided IT, mail, and facility assistance for Magistrate Judge LaMothe, who has no resident staff at that location.
- *Horizontal Sharing*  
Since 2019, the U.S. Bankruptcy Court, Western District of Oklahoma has operated under a service-level agreement to provide the Court with support for its Case Management Assist (CMA) program for internal staff assignments. The Oklahoma Court maintains the software, licenses, and upgrades for the CMA system, and provides Help Desk Support.



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## Strategic Issue 3: Judiciary Workforce of the Future

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### JUDICIAL TRANSITIONS AND MILESTONES

#### JUDGE VICTORIA S. KAUFMAN REAPPOINTED

Effective May 2, Judge Victoria S. Kaufman was reappointed to her second 14-year term. Judge Kaufman, who maintains chambers in the District's San Fernando Valley Division, has served the Court since 2006. Prior to her appointment to the bench, Judge Kaufman was of counsel at the law firm of Paul, Hastings, Janofsky & Walker LLP in Los Angeles, and held a number of positions in San Diego, New York, and Los Angeles, where she practiced bankruptcy and non-bankruptcy litigation.



*Judge Kaufman*

#### JUDGE CATHERINE E. BAUER RETIRES

On September 1, Judge Catherine E. Bauer retired from the bench after serving over 10 years as a bankruptcy judge. The former recipient of the William J. Lasarow Award and Public Counsel Advocate of the Year was appointed to her judgeship on February 26, 2010. Judge Bauer's pending cases and related bankruptcy proceedings were reassigned to the other judges at the Santa Ana Division.



*Judge Bauer*

#### PASSING OF JUDGE RICHARD M. NEITER

On January 10, Judge Richard M. Neiter passed away at the age of 82. Judge Neiter served on the bankruptcy bench for 10 years from 2006 to 2016. A graduate of University of Southern California Law Center, he began his legal career in 1963 as a member of Stutman Treister & Glatt, PC, a Los Angeles based law firm. He worked on many significant reorganization cases and frequently mediated cases in Delaware and in California before becoming a judge in 2006.

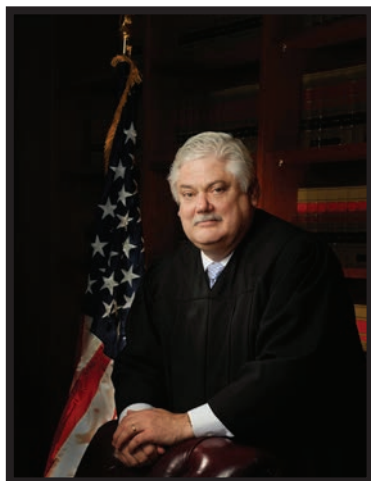
Judge Neiter was active in various bar associations and professional organizations. He took a genuine interest in the well-being of others and was a great mentor, friend, and counselor to many individuals.

He is survived by his wife, children, and five grandsons.



*Judge Neiter*

## YEARS ON THE BENCH



*Judge Albert*  
*Celebrated 15 Years on the Bench*



*Judge Saltzman*  
*Celebrated 10 Years on the Bench*



*Judge Barash*  
*Celebrated 5 Years on the Bench*

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### CHIEF JUDGE MAUREEN A. TIGHE INTERVIEWED FOR CDCBAA'S SEPTEMBER NEWSLETTER

In September, Attorney M. Jonathan Hayes interviewed Chief Judge Maureen A. Tighe for Central District Consumer Bankruptcy Attorney Association (*cdcbaa's*) "Judges are People Too: An Interview with Judge Maureen Tighe" newsletter. During the interview, Chief Judge Tighe discussed her early life and growing up in Neptune, New Jersey. When asked, "what did you learn from your parents," she replied, "Pragmatism. Both were very down to earth people. They taught me to use your gifts for good. My father was active in the civil rights movement. He always stood up for the downtrodden. My mother was a nurse and always helping people." The interview further chronicles her life before law school, including her attendance at Douglass Residential College at Rutgers University in New Brunswick, New Jersey where she studied German and her employment in New York City with international high school study abroad programs.



After her dad suggested law school, Chief Judge Tighe enrolled in Rutgers Law School. She cites Constitutional Law as her favorite course and recalls fond memories of Professor Arthur Kinoy. After law school, she clerked for District Court Judge Harold Ackerman in Newark for two years. Then, she worked at the Wall Street firm of Sullivan & Cromwell in New York City. Chief Judge Tighe was recruited by a U.S. Trustee in Los Angeles to start a Bankruptcy Fraud Task Force, a specially funded program at the U.S. Attorney's Office dealing with bankruptcy fraud, and she later became the U.S. Trustee before her appointment as a bankruptcy judge for the Central District of California in 2003 and her appointed as chief judge in 2019.

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## COMMITTEE APPOINTMENTS

### CHIEF JUDGE TIGHE SERVES ON THE NINTH CIRCUIT CONFERENCE OF CHIEF BANKRUPTCY JUDGES

On January 1, 2019, Chief Judge Maureen A. Tighe was appointed to serve on the Ninth Circuit Conference of Chief Bankruptcy Judges. 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. Chief Judge Tighe's term will end on December 31, 2021.



*Chief Judge Tighe*

### JUDGE BRAND SERVES ON NINTH BANKRUPTCY APPELLATE PANEL

Judge Julia W. Brand serves on the Ninth Circuit's Bankruptcy Appellate Panel (BAP). With the consent of all parties, the BAP is authorized to hear Bankruptcy Court appeals that would otherwise be heard in District Court. Judge Brand's term will end on November 30, 2023.



*Judge Brand*

### JUDGE HOULE SERVES ON NINTH CIRCUIT PRO SE LITIGATION COMMITTEE

Judge Mark D. Houle served on the Ninth Circuit Pro Se Litigation Committee. Pursuant to its mission, the Ninth Circuit Pro Se Litigation Committee considers the impact of the legal process on self-represented litigants and makes recommendations with respect to assisting self-represented litigants and improving the administration of such cases. Judge Houle's term ended on September 30, 2020.



*Judge Houle*

### JUDGE KLEIN SERVES ON NINTH CIRCUIT PUBLIC INFORMATION & COMMUNITY OUTREACH COMMITTEE

Judge Sandra R. Klein continues to serve on the Ninth Circuit Public Information & Community Outreach Committee. Charged with educating the public about federal courts, the Public Information & Community Outreach Committee promotes community outreach programs and cultivates relationships between the courts and media. Judge Klein's term will end on September 30, 2024.



*Judge Klein*



## JUDGES RUSSELL AND SALTZMAN SERVE ON NINTH CIRCUIT BANKRUPTCY JUDGES EDUCATION COMMITTEE

Judges Barry Russell and Deborah J. Saltzman 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 Russell's term ended on July 31, 2020. Judge Saltzman's term will end on July 31, 2022.



*Judge Russell*



*Judge Saltzman*

## JUDGE YUN SERVES ON NINTH CIRCUIT IT COMMITTEE

Judge Scott H. Yun serves on the Ninth Circuit Information Technology (IT) 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 Yun's term will end on September 30, 2023.



*Judge Yun*

## JUDGE SALTZMAN SERVES ON NINTH CIRCUIT WELLNESS COMMITTEE

On October 16, Judge Deborah J. Saltzman was appointed to serve on the Ninth Circuit Wellness Committee. The Wellness Committee addresses disability, promotes wellness, and provides support and assistance to Ninth Circuit Judicial Officers by developing and maintaining programs and procedures to address these issues. Judge Saltzman's term will end on September 30, 2023.



*Judge Saltzman*

## EXECUTIVE OFFICER/CLERK OF COURT KATHLEEN J. CAMPBELL SERVES ON NATIONAL AND CIRCUIT COMMITTEES

Executive Officer/Clerk of Court Kathleen J. Campbell continues to serve on the Space and Security Advisory Council. The council advises the AO on matters related to courthouse facilities and security. The committee meets twice yearly in Washington, D.C. Ms. Campbell's appointment will end on October 20, 2021.

Ms. Campbell also served on the Ninth Circuit Space and Security Committee. The committee focuses on issues that affect the quality and effectiveness of space and security of court buildings in the United States. Ms. Campbell's term ended on September 30, 2020.



*Kathleen J. Campbell*

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Ms. Campbell continues to serve as a member on the Bankruptcy Court Clerks Liaison Committee and was appointed *Pro Tem* Chair for FY 2021. The Bankruptcy Court Clerks Liaison Committee was formed to promote communication about court procedures, etiquette, filings and other issues, and to assist the Court and attorneys in creating a more efficient environment. Additionally, the Committee develops and sponsors education programs concerning issues affecting the bench, attorneys, financial institutions and consumers. The Committee also creates social opportunities to allow greater interaction between the Court and those who appear before it. Members of the community are welcome to relay issues, concerns, or ideas to the Committee anonymously through any of its members. The information will then be presented to the bankruptcy judges for their review and consideration. Ms. Campbell's term will end on September 30, 2021.

Ms. Campbell continues to serve on the Federal Judicial Center's National Leadership Conference for Court Unit Executives Planning Committee. The Federal Judicial Center provides education and training for judges and employees of the federal courts and conducts empirical and exploratory research into various aspects of judicial administration, including case management and potential changes to the federal rules of procedure. Ms. Campbell's term will end on October 31, 2021.

Ms. Campbell was appointed to serve on the Common Support Study Staffing Formula Development Steering Group (Steering Group) in January 2020. The Steering Group assists the Administrative Office of the U.S. Courts by providing advice to help develop a staffing formula, or staffing formulas, for support functions across the Judiciary. Ms. Campbell's term will end on December 31, 2022.

## **NEXTGEN EXPERT PANEL SELECTIONS FOR 2020-2021**

In the spring of 2020, the Administrative Office of the U.S. Courts (AO) announced its second national Next Generation (NextGen) Expert Panels. The purpose of the Expert Panels is to advise the AO on CM/ECF functions and to help with the continued implementation of NextGen CM/ECF. This assistance provides a better and more robust product for both internal and external users. The Expert Panels are grouped by NextGen products and then further subdivided into Bankruptcy and District Court groups.

Panelists selected are from a variety of backgrounds and experience levels and are also members of the Court's local CM/ECF Committee. AO selections for the second panels will serve from April 1, 2020 through March 31, 2021. Expert panels and panelists are as follows:

<b>NextGen Expert Panel</b>	<b>Panelists</b>
Central Sign-On	Special Projects Manager Robin Beacham
Automatic Judge/Trustee Assignment (AJTA)	Team Leader Mark Francisco
Operations & Maintenance (O&M)	Team Leader Olivia Ventura
Docketing and QC	Software Developer Christina Yip
Workspace	Special Projects Manager Robin Beacham and Courtroom Deputy Wendy Jackson
Case Opening/Electronic Self-Representation (eSR)	Project Specialist Meredith Klassen and Case Management Administrators Kimberly Romero and Andrea Gomez

## 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 2020:

### **Executive Committee**

*Maureen A. Tighe, Chair*  
Martin R. Barash  
Sheri Bluebond  
Julia W. Brand  
Wayne Johnson  
Erithe A. Smith  
Vincent P. Zurzolo

### **Case Management Committee**

*Vincent P. Zurzolo, Chair*  
Theodor C. Albert  
Scott C. Clarkson  
Ernest M. Robles  
Deborah J. Saltzman

### **Chapter 13 Committee**

*Mark D. Houle, Chair*  
Catherine E. Bauer  
Julia W. Brand  
Wayne Johnson

### **Community Outreach**

*Sandra R. Klein, Chair*  
Martin R. Barash  
Sheri Bluebond  
Erithe A. Smith  
Law Clerk: Stephanie Rettier

### **Education & Training/Retreat**

*Deborah J. Saltzman, Chair*  
Neil W. Bason  
Sandra R. Klein  
Erithe A. Smith  
Mark S. Wallace  
Scott H. Yun

### **IT Committee**

*Scott H. Yun, Chair*  
Martin R. Barash  
Neil W. Bason  
Sheri Bluebond  
Scott C. Clarkson  
Mark D. Houle

### **Rules Committee**

*Scott C. Clarkson, Chair*  
Victoria S. Kaufman  
Robert N. Kwan\*  
Ernest M. Robles  
Barry Russell

### **Space & Security Committee**

*Victoria S. Kaufman, Chair*  
Catherine E. Bauer  
Deborah J. Saltzman  
Scott H. Yun  
Vincent P. Zurzolo

\* Judge Kwan also serves as the official style editor for the Local Rules.

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## CLERK'S OFFICE STAFF MEMBERS SERVE ON NCBC COMMITTEES

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 by telephonic conference. The Central District of California Clerk's Office staff served on several NCBC boards and committees.



Jan Zari

Monica Yepes

Tanisha Carrillo

***Jan Zari Serves as NCBC Impact Editor and Monica Yepes and Tanisha Carrillo Serve on NCBC Impact Editorial Committee***

Administrative Specialist Jan Zari, Case Management Administrator Monica Yepes, and Case Management Administrator Tanisha Carrillo continue to serve on the Impact Editorial Committee. As Impact Editor, Mr. Zari chairs the NCBC Editorial Committee and serves on the NCBC Board, while Ms. Yepes and Ms. Carrillo serve on the Editorial Committee, which is tasked with producing and editing the NCBC's quarterly newsletter, Impact. Each issue includes updates from the NCBC Board and news about the

organization's activities, as well as the latest from the Administrative Office of the U.S. Courts, the Federal Judicial Center, and from courts across the nation. Mr. Zari's term will end on December 31, 2023, while Ms. Yepes and Ms. Carrillo will serve until December 31, 2021.

***Johanne Remy Serves as NCBC Board Member and Chair of the NCBC Awards and Scholarships Committee and Co-Chair of the Mentorship Committee***

Team Leader Johanne Remy continues to serve as a member of the NCBC Board and as Chair for the NCBC Awards and Scholarships Committee and Co-Chair of the NCBC Mentorship Committee. The Awards and Scholarships Committee reviews nominations for awards and applications for scholarships and administers them on an annual basis, while the Mentorship Committee facilitates the NCBC's mentorship program. Ms. Remy will continue to serve in her current role until December 31, 2022.



***Monica Yepes, Sandra Mohammad, and Heidi Corona Serve as NCBC Local Representatives***

Case Management Administrators Monica Yepes and Sandra Mohammad and Team Leader Heidi Corona continue to serve as the NCBC Local Representative for the Central District. In addition to acting as the Court's local contacts for the annual NCBC Conference, Ms. Yepes, Ms. Mohammad, and Ms. Corona work with the organization's Ninth Circuit liaison to promote membership in the NCBC and increase participation within the Court. Their two-year terms will end on December 31, 2022.



### ***Web Developer Kimberly Rubal Serves on the NCBC Website Committee***

Web Developer Kimberly Rubal continued to serve on the NCBC Website Committee for the fifth consecutive year. The Website Committee is responsible for promoting NCBC conferences, history, and managing NCBC websites including mobile apps.



### ***Estella Chavarin, Sandy Mohammad, and Jan Zari Serve on NCBC Education Committee***

Senior Court Analyst Estella Chavarin, Case Management Administrator Sandy Mohammad, and Administrative Specialist Jan Zari serve on the NCBC Education Committee. The committee is responsible for planning the NCBC's educational program on an annual basis. With the cancellations of the 2020 and 2021 annual conferences as a result of the pandemic, the Education Committee planned and executed a series of virtual training offerings that were offered to all NCBC members in 2020. Ms. Chavarin, Ms. Mohammad, and Mr. Zari's terms will end on December 31, 2021.

### ***Cristina Querubin Rogers Serves on NCBC Benefits Committee***

Human Resources Administrator Cristina Querubin Rogers serves on the NCBC Benefits Committee. The committee is responsible for researching members' benefits needs, evaluating available programs, and disseminating reminders and information to NCBC members as needed. Ms. Rogers' term will end on December 31, 2021.



### ***Johanne Remy Serves as Co-Chair on the NCBC Mentorship Committee***

Team Leader Johanne Remy continues to serve as co-chair for the NCBC Mentorship Committee. As co-chair, Ms. Remy's responsibilities include recruiting and vetting NCBC members to participate as mentors and mentees in a 6-month NCBC Mentor program.



The program aims to enhance the participants' professional and personal development while increasing their knowledge and understanding of the judicial system and court operations through a one-to-one relationship. Ms. Remy's term end on December 31, 2020.

### ***LEAD ACADEMY***

Courtroom Deputy James Le was selected to participate in NCBC's 4-month Leadership, Excellence, Achievement, and Development (LEAD) Academy. The program teaches future leaders how to apply essential leadership skills at the Court. During the program, Mr. Le was paired with a mentor from another court. Typically, the program concludes at the NCBC conference with a workshop; however, as a result of the pandemic, the NCBC hosted a virtual workshop. The weeklong program consisted of two-hour morning sessions via Zoom with approximately 40-50 participants. The Zoom breakout rooms were a success as it allowed participants to have smaller group discussions away from the main room.

### ***Human Resources Academy Goes Virtual***

From April 21 to 23, the Human Resources (HR) Department, including Director of Human Resources and Court Operations Beryl Dixon, Senior Court Analyst Estella Chavarin, Human



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Resources Specialist Michele Moore, Human Resources Administrator Jane Fomocod, Human Resources Administrator Cristina Rogers, and Administrative Specialist Jan Zari, attended the 2020 Virtual Human Resources Academy. The three-day event, hosted by several subject matter experts and trainers from the Court Human Resources Division at the Administrative Office of the U.S. Courts (AO), covered a variety of topics, including HR training, judiciary-wide HR projects and initiatives, the new paid parental leave for federal employees, and employee dispute resolution (EDR) updates.

Attended daily by over 500 HR professionals, supervisors, managers, and executives from across the judiciary, the Virtual HR Academy was an eye-opening experience showcasing what could be accomplished in a remote environment with a high number of attendees. Valuable information was shared, and interaction was facilitated between the presenters and attendees via WebEx.

## HUMAN RESOURCES AND ORGANIZATIONAL DEVELOPMENT

### TWO JUDGESHIP OPPORTUNITIES ANNOUNCED FOR THE CENTRAL DISTRICT

On July 29, the U.S. Court of Appeals for the Ninth Circuit announced two judgeship opportunities for the Central District of California. The official duty stations for these positions will be in Riverside and Santa Barbara.

### CLERK'S OFFICE RESTRUCTURING AND STAFF REDUCTION

Over nine months, the Executive team worked on a restructuring plan to reduce the number of on-board staff to prepare for the Court's FY 2021 budget shortfall. A restructuring plan was submitted to the Administrative Office of the U.S. Courts (AO) and approved on November 13, 2020.

After the restructuring plan was approved, the Court submitted a supplemental funding request to the AO for buyouts and severance payments. The funding request was approved and 16 employees separated from the Court by the end of 2020.

All employees affected by the staff reduction were given 30 days written notice. Due to the pandemic, the Court was unable to host an in-person career transition center. However, all employees were offered an opportunity to participate in classes on resume writing, interviewing skills, and job search methods. Each person was provided with a package outlining their benefits, unemployment information, and job search resources.

### DIALOGUE REGARDING RACE RELATIONS

In light of the social unrest brought on by the deaths of George Floyd, Breonna Taylor, and others, the Court hosted a dialogue regarding race relations in America on July 14. Approximately 100 participants, including judges, law clerks,

and Clerk's Office staff, attended the Zoom presentation moderated by Judge Erithe A. Smith, Director of Human Resources and Court Services Beryl Dixon, and Operations Manager Fern Campbell. During this dialogue, judges and staff shared their stories and offered insight about their experiences with racism. The presentation received positive feedback and set the stage for future conversations.



### 2020 WINTER EDUCATION SEMINAR: ADJUSTING OUR SAILS TOWARD NEW BEGINNINGS

On December 11, more than 100 participants attended the Court's first-ever virtual Winter Education Seminar via Zoom. This year's seminar theme "Adjusting Our Sails Toward New Beginnings" focused on changes in the world and the Court.

The first half of the seminar featured a presentation, "Financial Management for Federal Employees," by James "Jim" De La Torre, a well-known federal benefits and financial planning presenter. Mr. De La Torre's presentation focused on the six areas of the financial planning process, including cash management, risk management, investment planning, managing taxes, saving for retirement, and leaving a legacy. He discussed the advantages of developing realistic financial goals and overcoming common roadblocks to financial success. After lunch, judges, chambers, and Clerk's Office staff received length of service awards.

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Lastly, “Protecting Personal Information – A High Level Overview with Practical Steps” was presented by Amy Bennett, the Ninth Circuit IT Security Director. Ms. Bennett took attendees on a nightmare ride through the threats to and vulnerabilities from misuse of personal information widely available on the internet, how data aggregators are collecting and using people’s personal information, and how such personal information, including age, phone number, residence, and purchases are being continually gathered and sold.

## **NEW EMPLOYEE DISPUTE RESOLUTION POLICY AND TRAINING**

On October 22, the Judicial Council approved, and the Court adopted the Ninth Circuit’s Employment Dispute Resolution (EDR) Policy. Most notably, the new policy includes additional publication and annual training requirements for judges and all staff, including chambers. Pursuant to the publication requirements, a link labeled “Your Employee Rights and How to Report Wrongful Conduct” is posted on the Court’s internal and external homepages, and EDR posters were sent to each division for display in breakrooms or common areas.

Designed to ensure that everyone is aware of their rights and obligations under the EDR Policy, mandatory training for managers, supervisors, and staff will be provided by the Ninth Circuit via CourtsLearn at the beginning of 2021.

## LEARNING & DEVELOPMENT

### LEARNING & DEVELOPMENT COURSES TRAIN AND EDUCATE COURT PERSONNEL

In 2020, the Clerk's Office staff participated in 1,796 hours of learning opportunities, of which almost all were virtual-based and equivalent to filling 1,294 student seats. The training topics ranged from personal and professional development to technical skill development related to specific job functions. Training delivery included live webinars, pre-recorded sessions, and videos-on-demand and were offered from both internal and external sources.

### BRINGING THE FUTURE INTO FOCUS

The Court's 2020 theme, "Bringing the Future into Focus," was introduced at the 2019 Winter Education Seminar. This year's theme emphasized the notion that the future is here: 2020 is the start of a new decade with a newly implemented strategic plan to execute. Related to last year's theme, "Together Toward Tomorrow," in which court staff learned the importance of preparation, teamwork, and vision of the future, "Bringing the Future into Focus" focused on preparing for the future. Various trainings and districtwide initiatives were introduced in early 2020 that aligned court staff with the Court's mission, vision, values, and new five-year strategic plan.



### SHOT! LEADERSHIP DEVELOPMENT PROGRAM

As part of its succession planning strategy aimed at cultivating an effective, versatile, and high-performance work force, the Clerk's Office developed and launched a 12-month professional



development program. Called "Success Happens Over Time!" or SHOT!, the program incorporates various learning tools such as live training sessions, self-paced learning modules, action learning projects such as a process improvement plan and team presentations, self-reflection exercises and self-assessments that measure strengths and areas ripe for development. The SHOT! program had 13 participants from throughout the Clerk's Office who were assigned coaches to help participants target their individual development plans and provide guidance and support during the program. The inaugural cohort included Administrative Specialist Sonia Cheek, Administrative Specialist Hannah Gae, Courtroom Services Specialist Susan Hawkinson, Executive Assistant Gabriela Huerta, Courtroom Deputy Wendy Jackson, Case Management Administrator Tamika Law, Courtroom Services Specialist Litaun Lewis, Case Management Administrator Tanisha Carrillo, Courtroom Services Specialist Audrey McCall, Administrative Specialist Kelly Reaves, Team Leader Johanne Remy, Case Management Administrator Monica Yepes, and Property and Facilities Technician Nathaniel Ziomek. Managers, supervisors, and senior staff also volunteered to serve as career coaches for the program.

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In February, SHOT! participants had a “reflection month” instead of a live training session. During this month, participants worked on their individual development plans and process improvement proposals. For the March session, the speaker panel consisting of leaders from Orange County and Los Angeles Superior Courts shared their career paths and leadership experiences with the SHOT! participants. The participants thoroughly enjoyed hearing from a diverse speaker panel and the different perspectives they brought on leadership. In addition, attendees participated in mock interviews and received feedback. The April session was cancelled due to the COVID-19 pandemic. During this time, the SHOT! participants continued their self-paced learning modules and other assignments as scheduled. In May, the SHOT! Program held a condensed live training session related to the Results-Driven competency via WebEx.

The SHOT! Program held its last live training session in June 2020. SHOT! participants took the month of July to complete their final Process Improvement Plan and other final program requirements. Due to the pandemic, the SHOT! Program Graduation Ceremony was held via ZoomGov on August 14. The Court’s executive team, the program coaches and the participants’ direct supervisors and managers were all invited to attend. SHOT! participants gave reflective speeches on what they learned throughout the program and their key takeaways.

## ONLINE LEARNING PATHS FOR COURT STAFF

The Learning and Development Department continued to produce online learning paths for court staff. These self-paced learning paths are based on the general competencies for court staff and leadership competencies for supervisors and managers. Participants could elect to complete all learning paths to receive a Certificate of Completion or may opt to view one or more courses. For court staff competencies, participants were required to complete a series of reflection

questions after viewing the online webinars. For leadership competencies, supervisors and managers were required to complete reflection questions as well as a post-reflection activity. Additional learning paths related to technical skills and modern technology were also offered this year.



## SPIRIT! INITIATIVE

The Court formed a SPIRIT! working group for each of the four strategic issues stemming from its new 2020-2024 Strategic Plan. In March 2020, the SPIRIT! working groups, led by Planning & Research Manager Blake Francois and Senior Court Analyst Estella Chavarin, consisted of 17 participants among four groups. There were 97 ideas for projects and process improvement studies were identified collectively. These ideas were submitted through a SharePoint form and tracked and vetted by the Strategic Planning Council.

In 2020, as a result of the information and ideas received from the working groups, the Court highlighted and promoted the Strategic Plan’s newly adopted values; established working groups for staff to share ideas; and implemented flexible workplace environments such as telework.

## LAW CLERK/EXTERN TRAINING PROGRAM

In 2020, the Court held three Law Clerk/Extern training sessions. As a result of the COVID-19 pandemic, two of the three training sessions were held virtually via Zoom. More than 100 participants attended, including participants from the U.S. District Court. The training program is designed to provide bankruptcy knowledge and other relevant information to chambers staff and future members of the bar.



## **SURF, TURF, AND BEYOND: HOW TO NAVIGATE THROUGH CHANGING CONDITIONS WITH YOUR TEAM**

Senior Court Analyst Estella Chavarin facilitated two NCBC sessions with a combined participation of almost 90 NCBC members. The one-hour training course, "Surf, Turf, and Beyond: How to Navigate through Changing Conditions with Your Team," was provided as NCBC's first virtual session on September 22 and 24.

## **STRATEGIC PLAN – NEW COURT VALUES**

Beginning in February 2020, the Court highlighted one of the seven values (respect, integrity, diversity, exceptional service, innovation, collaboration, and education) found in its newly implemented 2020 – 2024 Strategic Plan. The Court celebrated each value through an email and Full Court Press newsletter article along with a specially created court activity. Also, for each new court value highlighted, the Communications Department created a new logo and intranet banner to display on the Court's internal website.

## **FEDERAL COURT LEADERSHIP DEVELOPMENT PROGRAM UPDATE**

Administrative Specialist Jan Zari and Operations Team Leader Mark Francisco were selected to participate in the 2019-2020 class of the Federal Judicial Center's (FJC) Federal Court Leadership Development Program (FCLDP). The FCLDP is a twelve-month program designed for non-supervisory staff working in appellate, district, and bankruptcy courts, circuit offices, and probation and pretrial services offices. The program is designed to help participants develop their leadership knowledge and skills and prepare for future leadership roles. Mr. Zari and Mr. Francisco were among the 75 applicants out of the 300 CUE-approved candidates from across the judiciary who were selected to participate in the program.



*Jan Zari*



*Mark Francisco*

In February, participants took part in a site visit with an outside organization, where they visited the site for three days to observe and interview the organization's leaders. The final phase of the program was a two-day workshop in May on topics including servant leadership, emotional intelligence, job crafting, and professional development planning.

After participating in a virtual FCLDP Phase III Workshop on December 1 and 2, Mr. Zari and Mr. Francisco completed the 17-month leadership program and graduated on December 3.

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## Strategic Issue 4: Flexible and Responsive Infrastructure

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### FINANCIAL

#### FY 2020 JUDICIARY APPROPRIATIONS

The Court began the fiscal year operating under a Continuing Resolution (CR) and received a partial year/interim allotment on October 1, 2019. Based on FY 2020 full-formula court requirements and expected available financing, a 9.4 percent across-the-board reduction from full-formula requirements was applied equally to all discretionary formulas and programs, except for the IT Infrastructure formula for which a 14.4% reduction was applied.

CRs are intended to fund government operations in the absence of enacted, full-year appropriations, allowing operations to continue at a specified rate for a specific period. Court

units are required to exercise restraint in obligating discretionary funds during the CR period until a full-year appropriations bill is enacted and final allotments are distributed. Final allotments were issued on February 7, 2020.

Budget reductions, coupled with the Court's decline in filings in recent years, once again resulted in a salary shortfall for FY 2020. To mitigate the shortfall, the Court worked with the Administrative Office of the U.S. Courts and other courts to obtain supplemental funding through participation in national initiatives and projects and shared administrative services.



## TECHNOLOGY AND INNOVATION

### COURTROOM OF THE FUTURE

In conjunction with the Roybal Realignment project, the Administrative Office of the U.S. Courts (AO) partnered with the Court to fund extensive technology enhancements in the Edward R. Roybal Federal Building and U.S. Courthouse courtrooms. In 2020, the project planning and design phases continued to improve the audio, replace wiring, and establish new standards for evidence display and videoconferencing capabilities in 10 courtrooms. The design phase included the creation of simplified audio-visual controls, construction drawings, and documentation for millwork, infrastructure, and construction modification details as well as the identification of viable scenarios for the concurrent upgrading of multiple courtrooms. After the working designs of the audio-visual control panels were completed, stakeholder feedback sessions were held. The sessions enabled the project team to document and ensure the needs of the judge, Digital Electronic Court Reporting Operators (DECROs), attorneys, trustees, and other participants are integrated into the new control panels within the updated courtrooms.

### CLERK'S OFFICE CONTINUES TO APPLY SHAREPOINT TO IMPROVE COURT PROCESSES

Since its adoption, SharePoint has received several upgrades and its uses have been significantly expanded. In January, the Court migrated its local sites to the Administrative Office of the U.S. Courts' cloud hosted server. The following sites were launched in 2020:

#### *Judicial Committees Hub*

In January, the Court launched its Judicial Committees Hub. Training was provided to the judicial committee coordinators on the multiple features and functionality of the site. Meeting minutes, agendas, and other materials from the legacy file management solution to the corresponding sites on the judicial committee's hub were successfully migrated. The Judicial Committees Hub is a valuable resource in allowing for a collaborative space for participant engagement.

#### *COMMUNITY OUTREACH EVENTS*

In August, the Court launched its Community Outreach SharePoint site. Enhancements to the site were made prior to the launch based on feedback during user acceptance testing. A guide to the site was developed and distributed to coincide with the launch. The site is a valuable resource, allowing for a collaborative space for planning and participation in upcoming community outreach.



#### *JUDICIAL RESEARCH LIBRARY SITE*

In August, the Court launched its Judicial Research Library (JRL) SharePoint site. The JRL allows chambers to research bankruptcy-related topics that impacts the Court. A guide to the site's enhanced search features and process for uploading materials was developed and distributed to users. The design, development, and implementation of the JRL site was a collaborative effort between chambers and Clerk's Office staff.



### *Assuring Court Excellence (ACE)*

In November, the Court launched its SharePoint site titled Assuring Court Excellence (ACE). The site was developed as a centralized repository for capturing key documents required by various national, regional, and local policies and other preferred items requiring documentation and tracking. ACE allows for the streamlining and reporting of processes including calendaring, email reminders, formal summaries of items, and due dates. Individuals are assigned access to subsites within ACE based on their roles and duties. Examples of items captured in ACE include: Delegations of Authority and Training, Recurring Reports, Exposure Drafts and Comments, Electronic Status of Funds, Projected Spending Plans, and audit information.

### **WiFi SERVICE UPGRADE THROUGHOUT THE DISTRICT**

In an effort to expand wireless coverage and increase bandwidth, WiFi equipment was upgraded in the Riverside, Santa Ana, San Fernando Valley, and Northern divisions. The improvements provide attorneys with expanded internet access and WiFi-enabled calling.

### **FIVE-YEAR IT SECURITY ASSESSMENT**

The Court assisted the Administrative Office of the U.S. Courts' (AO) Information Technology Security Office (ITSO) to complete a five-year Information Technology Security Assessment, which is a thorough assessment of all security controls, providing insight on how to approve the Court's security. The assessment took four days to complete and included vulnerability scans, policy and procedure reviews, and interviews with a

variety of staff to thoroughly assess the Court's security controls. The findings are designed to help the Court gain insight on how to improve and prioritize its security posture. This is the Court's second full AO security assessment.



### **THE COURT PREPARES FOR NEXTGEN**

The Central District was part of "Wave 9" of the nationwide implementation of Next Generation (NextGen) CM/ECF. On April 30, the implementation process began with a "kick-off" call with the Administrative Office of the U.S. Courts' (AO) NextGen team and the local NextGen Implementation Team. The Court was provided with its own wiki page that contained NextGen related resource materials. Later, a WebEx meeting was held with the IT stakeholders to discuss steps and resources to set up NextGen in the Court's test environment.

In an effort to assist the Court throughout the implementation process, the AO assigned team members from the following offices and divisions: Court Services Office (CSO); Judicial Services Office (JSO); Systems Deployment and Support Division's Release and Communications Management Branch (SDSO-RCMB); Training Division; and National Support Desk (NSD). The District of New Jersey served on the team as the NextGen mentor.

On October 27, the AO's NextGen Implementation Team and representatives from the U.S. Bankruptcy Court, District of New Jersey held a status call with the Court's local NextGen Implementation Leads and Executive Team. In November, virtual workshops were held by the AO's Training Branch via WebEx for Clerk's Office staff tasked with setting up the Court's central sign on environments for both internal and external CM/



ECF account holders in test and training CM/ECF. The U.S. Bankruptcy Court, District of New Jersey, made a virtual visit on December 4 to answer questions regarding setting up central sign on and Automated Judge Trustee Assignment (AJTA). After the U.S. Bankruptcy Court, District of New Jersey's virtual visit, the Clerk's Office began testing NextGen central sign on and local modifications and programs that interface with CM/ECF.

NextGen is scheduled to go live on April 26, 2021.

## **COURT RECORDING SOFTWARE UPGRADE TO FTR GOLD VERSION 6**

The Court completed the upgrade of its recording software to the new Windows 10 compatible version 6. This multi-phase project began October 2019 with several months of testing all For-The-Record (FTR) Gold Version 6 software and warehouse servers. The servers synchronize and catalogue years of recorded hearings for fast and easy searching, indexing, and provides increased security. After successfully piloting new digital audio recording computers from August to September 2020 in the Santa Ana division, the upgrade was finalized with the rollout of new Windows 10 computers with FTR Gold version 6 software to all courtrooms districtwide in November 2020. Digital Electronic Court Reporting Operators (DECROs) received WebEx overviews of the software's recording feature: a feature that is transparent to chambers.

## **AO CLOUD SERVICES**

In 2020, the Court signed up for Cloud Hosting Services provided by the Administrative Office of the U.S. Courts (AO). The coordinated effort included senior management and various representation from the Administrative Services, Networking, Systems Integration, IT Help Desk and Audio-Visual Departments. The service provides courts with a secure and reliable infrastructure within enterprise-class data centers, continuity of operation (COOP) environments, and centralized

support. Utilization of the AO's hosting services enabled the Court to reduce costs associated with the cyclical replacement of equipment, and annual maintenance of servers while also potentially eliminating cooling expenses as the server room space is reduced. In July, the Network Management Department created a number of virtual servers hosted by the AO in the San Diego and Ashburn data centers. The For-The-Record (FTR) recording software archive server was one of the first servers to be deployed. FTR archives older than 2009 were moved from the local network drive to the AO Cloud service server. This move freed up disk space on the local network.

## **ATCOP VIRTUAL OPEN SPACE SESSIONS HELD**

On August 25, Project Specialist Jessica Garibay attended the Automation Training Community of Practice's (ATCOP) series of virtual open space discussion sessions via Microsoft Teams. During these sessions, attendees were able to attend their choice of interactive discussions on topics including training in a virtual environment, OneDrive, IT security training, Outlook, Teams, remote hearings and trials, IT resources best practices, electronic documentation, remote team building, Zoom, and SharePoint.

ATCOP contributes to the overall mission of the Judiciary by connecting trainers, IT staff, and others who provide training in their court, so they can collaborate and share tacit knowledge.

## **KACE INVENTORY AND PATCH MANAGEMENT**

The Network Management Department installed new patches and asset management software on all active servers to improve both inventory and patch management processes. The software allows efficient management of server inventory and ensures security and feature related patches are implemented. Additionally, the software produces timely reports which facilitate the review and confirms adherence to local and national security requirements.



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## FACILITIES AND SECURITY

### SANTA ANA LAW CLERK WORKSTATIONS REPLACED

To enhance the functionality of the law clerk workstations in the Santa Ana Division, the Space and Facilities staff coordinated the replacement of the existing systems furniture, which did not offer ergonomic or technological features. The new workstations offer enhanced privacy and storage space, along with height-adjustable work surfaces and sorting spaces.



*Santa Ana Workstations*

## EMERGENCY PREPAREDNESS

### THE GREAT SHAKEOUT 2020

On October 15, in observance of the yearly ShakeOut event, the COOP Coordinator activated the Court's emergency notification systems, which generated a brief test emergency response message to Judges, Chambers staff, and Clerk's office staff. Recipients had to acknowledge receipt of the test emergency message within the predefined goal of a one-hour timeframe. Additionally, all court staff were encouraged to practice the "Drop, Cover, and Hold On" technique described in the ShakeOut Recommended Safety Actions. This event is intended to remind all staff of the need to prepare for a major earthquake and to test the Court's emergency response systems and procedures.

# APPENDICES

## 2020 – 2024 Court Strategic Plan Accomplishments

### Issue 1: Enabling Broad Access to the Court

1.1 Outreach for Individuals	
STRATEGIES:	ACCOMPLISHMENTS:
1.1.1 Expand outreach and education about attorney referrals, self-help desks, website resources, and financial literacy, as well as unethical bankruptcy petition preparers	<p><b><u>Clerk's Office Promotes Self-Represented Litigants' Resources</u></b> Clerk's Office staff continued to publicize the Court's self-represented litigants' resources throughout the Central District.</p> <p><b><u>DAP</u></b> 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.</p> <p><b><u>Dedicated Email Box Directs SRLs to Help During Pandemic</u></b> As the pandemic caused the closure of court buildings, where Help Desks operate, the Clerk's Office provided an email box so that self-represented litigants (SRLs) could contact the Court and be connected remotely with a Help Desk.</p> <p><b><u>Diverse Community Outreach Efforts</u></b> 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.</p> <p><b><u>eSR Promotion</u></b> 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.</p> <p><b><u>Online Chat Program</u></b> The Clerk's Office has offered its online chat program continuously since 2014. Through this chat program, visitors to the Court's website can conduct a real-time, online conversation with a Call Center representative. Online chat is available in both English and Spanish.</p> <p><b><u>Public Counsel</u></b> The Court continued to partner with Public Counsel to co-sponsor events aimed at educating practitioners on the Court's policies and procedures.</p>

1.1 Outreach for Individuals	
STRATEGIES:	ACCOMPLISHMENTS:
1.1.1 Expand outreach and education about attorney referrals, self-help desks, website resources, and financial literacy, as well as unethical bankruptcy petition preparers (cont.)	<p><b><u>Self-Help Desk Honor Roll</u></b> 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.</p> <p><b><u>Self-Help Desks</u></b> Self-help desks are available in all five divisions. The Court actively works with pro bono organizations to provide staffing for the self-help desks.</p> <p><b><u>Telephone Interpreter Pilot for Limited-English-Proficient Filers</u></b> Led by Judge Mark D. Houle, the Court initiated a telephone interpreter pilot program for limited-English-proficient filers. The telephone interpreter pilot program was designed to provide on-demand language interpretation services to the Central District's very diverse population.</p> <p><b><u>Third-Party Filer Tracker</u></b> The Court uses the Third-Party Tracker to track unscrupulous bankruptcy petition preparers. The information is exported to Excel and submitted to the Office of the U.S. Trustee every other month. The US Trustee uses it to track serial runners and for their investigations and prosecutions as they deem necessary.</p>

1.1 Outreach for Individuals	
STRATEGIES:	ACCOMPLISHMENTS:
1.1.2 Identify issues, conditions, and trends likely to have a significant impact on the Court	<p><b><u>Appointment Cards for Self-Represented Litigants</u></b> Initiated by Chief Judge Tighe, the Court distributed appointment cards to better assist self-represented litigants (SRLs) with tracking the next activity in a case.</p> <p><b><u>District Profile</u></b> Each year, the Court publishes a <a href="#">District Profile</a>. The profile provides a snapshot of the Central District's filings, demographics, poverty and income, and labor statistics.</p> <p><b><u>Intake Appointment System</u></b> Implemented the Intake Appointment System to address limited traffic in the Clerk's Office.</p> <p><b><u>Long-Range Space Utilization Plan</u></b> The Court maintained and updated its Long-Range Space Utilization Plan.</p> <p><b><u>Self-Represented Litigants Report</u></b> The Court collects and compiles data in its Self-Represented Litigants Report. The report profiles litigants in bankruptcy, examines the district's self-represented filers, provides a statistical review of outcomes, and an overview of programs and available services.</p> <p><b><u>Small Business Reorganization Task Force</u></b> Established and chaired by Chief Judge Tighe as a twelve-month task force, the Small Business Reorganization Task Force (SBRTF) explored obstacles that small businesses face in seeking bankruptcy relief. The SBRTF Final Report published in December 2020 can be read <a href="#">here</a>.</p> <p><b><u>Statistical Analysis and Reporting</u></b> Provided regular statistical information (weekly, monthly, quarterly, yearly).</p> <p><b><u>Judges Speaking Engagements and Programs</u></b> See the Speaking Engagements and Programs section of this report.</p> <p><b><u>DAP</u></b> See 1.1.1</p> <p><b><u>Third-Party Filer Tracker</u></b> See 1.1.1</p>

## 1.1 Outreach for Individuals

### STRATEGIES:

**1.1.3 Enhance and improve the Court's website for maximum effectiveness**

### ACCOMPLISHMENTS:

#### 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.

#### Community Outreach Portal

In June, the Court launched a new public facing community outreach section on the Court website. The section serves as a resource for the Court's community outreach activities and is updated regularly with community outreach events.

#### Educational Videos in Spanish

The Court produced several videos in Spanish to promote understanding and improve service for Spanish speakers.

#### eSR FAQs

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.

#### Interactive Statistics Webpage

The Court continued to update its statistics dashboard with yearly and monthly filings and closings.

#### Online Chat Program FAQs

FAQs were maintained and updated for the Online Chat program in English and Spanish.

#### Website

The Court continues to improve and update its website with current information and resources for self-represented litigants and others.

#### Website Translation

The Court provides a Google Translate feature on its website to enable visitors to translate webpage content into several languages.

#### eSR for Chapter 13

See the eSR for Chapter 13 article in this report.



## 1.1 Outreach for Individuals

STRATEGIES:	ACCOMPLISHMENTS:
<p><b>1.1.4 Increase outreach to underserved communities and partner with organizations such as educational institutions, charities, houses of worship, uniformed services, groups with potential vulnerable populations, and other governmental organizations</b></p>	<p><b><u>CARE Program</u></b> 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.</p> <p><b><u>Community Outreach Committee</u></b> Active Community Outreach Committee led by Judge Klein, chair of the Court’s Community Outreach Committee.</p> <p><b><u>Court Hosts Law Day Celebration</u></b> Building on the Ninth Circuit’s Civics Contest theme, “The Right to Vote: Milestone Anniversaries,” the 2020 Law Day program educated judges, court staff, and over 40 high school students on the right to vote.</p> <p><b><u>FED Day</u></b> On November 10, the U.S. Bankruptcy Court for the Central District of California hosted its annual Federal Exploration (FED) Day event remotely, during which approximately 35 students from Pacific High School in San Bernardino met and were mentored by an equal number of volunteers—judges, attorneys, and other professionals.</p> <p><b><u>Foreign Delegates Visit</u></b> On January 22, the Court hosted nine Serbian delegates. The delegates included judges and attorneys who were interested in learning about the Court.</p> <p><b><u>Girl Scouts Visit the Los Angeles Division</u></b> Throughout the year, Girl Scout troops visited the Los Angeles Division.</p> <p><b><u>Ninth Circuit Public Information and Community Outreach Committee</u></b> Judge Klein continued to serve on the Ninth Circuit Public Information and Community Outreach Committee, which focuses on circuit-wide initiatives.</p> <p><b><u>Civics Contest</u></b> See the Civics Contest article in this report.</p> <p><b><u>Court Events and Community Outreach</u></b> See the Court Events and Community Outreach section of this report.</p> <p><b><u>Diverse Community Outreach Efforts</u></b> See 1.1.1</p>

1.1 Outreach for Individuals	
STRATEGIES:	ACCOMPLISHMENTS:
1.1.5 Support and facilitate self-help centers and pro bono programs throughout the District	<p><u>Clerk's Office Promotes Self-Represented Litigants' Resources</u> See 1.1.1</p> <p><u>DAP</u> See 1.1.1</p> <p><u>Dedicated Email Box Directs SRLs to Help During Pandemic</u> See 1.1.1</p> <p><u>Self-Help Desk Honor Roll</u> See 1.1.1</p> <p><u>Self-Help Desks</u> See 1.1.1</p>
1.2 Outreach for Businesses	
STRATEGIES:	ACCOMPLISHMENTS:
1.2.1 Have sufficient outreach and public education to ensure that businesses in financial distress are aware of bankruptcy laws, referral resources, and bankruptcy-related fraudulent schemes	<p><u>Small Business Reorganization Task Force</u> See 1.1.2</p>
1.2.2 Investigate and identify barriers that prevent small businesses from accessing court resources	<p><u>Small Business Reorganization Task Force</u> See 1.1.2</p>
1.2.3 Maintain and develop relationships with a diverse range of organizations, community groups, and bar associations	<p><u>Bar Advisory Board</u> 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. In 2020, 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.</p> <p><u>Bar Association Meetings</u> Judges and the Executive Officer/Clerk of Court or designee update members of the Bar on court business during bar association meetings.</p> <p><u>Judges Speaking Engagements and Programs</u> See the Speaking Engagements and Programs section of this report.</p> <p><u>Clerk's Office Promotes Self-Represented Litigants' Resources</u> See 1.1.1</p>

## 1.2 Outreach for Businesses

STRATEGIES:	ACCOMPLISHMENTS:
1.2.3 Maintain and develop relationships with a diverse range of organizations, community groups, and bar associations (cont.)	<u>DAP</u> See 1.1.1  <u>Diverse Community Outreach Efforts</u> See 1.1.1
1.2.4 Study the existing business bankruptcy procedures to see whether there are barriers to business access	<u>Small Business Reorganization Task Force</u> See 1.1.2

## Issue 2: Fair and Effective Court Operations

2.1 Non-Discrimination	
STRATEGIES:	ACCOMPLISHMENTS:
2.1.1 Provide sufficient explanations for litigants to understand rulings	<p><b><u>Don't Have an Attorney Page</u></b> The Don't Have an Attorney (DHAA) page on the Court's website features "Bankruptcy Basics" videos that explain the significance of court hearings and rulings, such as for reaffirmation hearings. Additionally, the Court's DHAA page links to resources and materials provided by pro bono organizations to illustrate common actions in bankruptcy cases.</p> <p><b><u>Explanation of Reaffirmation Hearings</u></b> During reaffirmation hearings, judges and volunteer attorneys provide explanations to litigants. Many judges explain the reaffirmation process in Spanish through volunteer interpreters.</p>
2.1.2 Ensure that the Court's website has multi-functional navigational tools for all individuals	<p><b><u>Accommodations for Deaf and Hearing Impaired</u></b> Judicial Conference policy requires federal courts to provide reasonable accommodations to the deaf or hearing impaired, or persons with other communication disabilities. Applicants with hearing impairments may request auxiliary aids and services such as qualified sign language interpreters, assisted listening devices or systems, or other effective assistance. Portable headsets are available for each courtroom.</p> <p><b><u>ADA Accommodations</u></b> On its ADA accommodations webpage, the Court maintained maps for entry to each court location to assist disabled parties.</p> <p><b><u>Educational Videos in Spanish</u></b> See 1.1.3</p> <p><b><u>Interactive Statistics Webpage</u></b> See 1.1.3</p> <p><b><u>Online Chat Program FAQs</u></b> See 1.1.3</p> <p><b><u>Website</u></b> See 1.1.3</p> <p><b><u>Website Translation</u></b> See 1.1.3</p>

2.1 Non-Discrimination	
STRATEGIES:	ACCOMPLISHMENTS:
2.1.3 Promote the education of judges and court personnel on issues of diversity, implicit bias, and cultural literacy	<p><b><u>Dialogue Regarding Race Relations</u></b> In light of the social unrest brought on by the deaths of George Floyd, Breonna Taylor, and others, the Court hosted a dialogue regarding race relations in America on July 14. Approximately 100 participants, including judges, law clerks, and Clerk's Office staff, attended the Zoom presentation moderated by Judge Smith, Director of Human Resources and Court Services Beryl Dixon, and Operations Manager Fern Campbell.</p>
2.1.4 Consider adverse impact on parties or professionals with limited financial resources when developing procedures	<p><b><u>Judges' Committees Consider Procedural Changes</u></b> Throughout the year, judges' committees consider procedural changes that affect the population in the Central District.</p> <p><b><u>Research of Online Payment by SRLs Using Pay.gov</u></b> In response to the closure of Court buildings, the Clerk's Office conducted preliminary research of electronic payments for self-represented litigants (SRLs) through Pay.gov. In late 2020, the online payment pilot was approved by the judicial committee for limited use including: copies, certified copies, and installment payments after the first installment.</p> <p><b><u>Bar Advisory Board</u></b> See 1.2.3</p>
2.1.5 Facilitate access to court proceedings for all individuals	<p><b><u>Courtroom of the Future</u></b> 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 design phase of the project to improve the audio, replace wiring and establish new standards for evidence display and videoconferencing capabilities in ten courtrooms. The design phase includes the creation of construction drawings and documentation for millwork, infrastructure and construction modification details as well as the identification of viable scenarios for the concurrent upgrading of multiple courtrooms.</p> <p><b><u>Hybrid Hearings</u></b> To prepare for hybrid hearings, where court participants without access to technology appear in-person and others participate via videoconference, the Court designed and developed a low-cost, flexible solution that included the use of available and excess equipment, with only a small purchase of equipment required to complete the system. These new systems corresponded with reconstitution efforts as courthouses re-opened.</p>



2.1 Non-Discrimination	
STRATEGIES:	ACCOMPLISHMENTS:
2.1.5 Facilitate access to court proceedings for all individuals (cont.)	<p><b><u>Hybrid Hearings (cont.)</u></b>  The “hybrid” system’s design was shared and discussed with judges, as well as chambers and court staff, to obtain feedback on optimal setup and functionality. The design was also shared with other courts in the Ninth Circuit.</p> <p><b><u>Mothers’ Room in Northern Division</u></b>  The Los Angeles, Santa Ana, Riverside, and Northern Divisions have Mothers’ Rooms, or Lactation Rooms, available for the public and staff. The rooms feature comfortable seating, electrical outlets, a refrigeration unit, a self-locking door, and washroom.</p> <p><b><u>Ongoing Monitoring</u></b>  The Office Services Manager monitors physical access to court buildings and court improvements as needed.</p> <p><b><u>Videoconferences and Telephonic Hearings Across Divisions</u></b>  Throughout 2020, the Court permitted telephonic appearances immediately after the Court’s first closure on March 23, 2020 and quickly implemented the ability to appear by video using Zoom. This massive effort required deployment of new equipment, new procedures for litigant check-in, development of training materials for judges, court staff, attorneys and the general public. A specialized Zoom Guide and training videos were also developed and posted on the Court’s website. In a nine-month span in 2020, the Court hosted 2,172 meetings for a total of 1,352,693 minutes with the majority of use being directly related to hearings and courtroom matters. The Zoom use included a total of over 23,000 participants in those matters.</p> <p><b><u>Access to eSR and Online Chat Program</u></b>  See 1.1.3</p> <p><b><u>Accommodations for Deaf and Hearing Impaired</u></b>  See 2.1.2</p> <p><b><u>ADA Accommodations</u></b>  See 2.1.2</p>

## 2.2 Clear and Understandable Information and Procedures

STRATEGIES:	ACCOMPLISHMENTS:
<p><b>2.2.1 Simplify forms, rules, and other resources (“plain English”)</b></p>	<p><b><u>Local Bankruptcy Rules</u></b> The Court’s Rules Committee and the Clerk’s Office review all pending changes to national rules and forms and revise the Court’s Local Bankruptcy Rules (LBRs) and forms as needed. Amendments to the LBRs were submitted for public comment and approved by the Board of Judges.</p> <p><b><u>Petitions, Forms, and Instructions Updated</u></b> Throughout the year, the Court updated the Petition Packages and Official Forms and Instructions as needed.</p> <p><b><u>Plain English</u></b> The Court’s Rules Committee ensures that all LBR and LBR form revisions are in plain English. Other documents, such as the <i>Court Manual</i>, Court website, Public Notices, etc., are also published in plain English.</p> <p><b><u>Specific Procedures Provided on Each Judge’s Webpage</u></b> The Court continued to update and provide practitioners with judge-specific procedures on each judge’s webpage found on the Court’s website.</p>
<p><b>2.2.2 Draft critical forms and information in common languages spoken in the District</b></p>	<p><b><u>Spanish-speaking Customer Service Representative</u></b> In 2020, the Court continued to provide a Spanish-speaking Customer Service Representative to answer phone calls in the Call Center.</p> <p><b><u>Educational Videos in Spanish</u></b> See 1.1.3</p> <p><b><u>Online Chat Program FAQs</u></b> See 1.1.3</p> <p><b><u>Website Translation</u></b> See 1.1.3</p>
<p><b>2.2.3 Strive to limit variances and effectively communicate unique procedural requirements</b></p>	<p><b><u>Judges Speaking Engagements and Programs</u></b> See the Speaking Engagements and Programs section of this report.</p> <p><b><u>Bar Advisory Board</u></b> See 1.2.3</p> <p><b><u>Specific Procedures Provided on Each Judge’s Webpage</u></b> See 2.2.1</p>

## 2.2 Clear and Understandable Information and Procedures

STRATEGIES:	ACCOMPLISHMENTS:
2.2.4 Develop mechanisms to improve proceedings involving non-English-speaking individuals and others with communication barriers, including the expanded use and funding of interpreter and translator tools and services	<p><b><u>Spanish Interpreter Volunteer</u></b> Throughout the year, the Court was aided by a Spanish interpreter volunteer who translated court forms and flyers into Spanish.</p>
2.2.5 Continue to develop and create a central repository of informational materials and media for court users	<p><b><u>SharePoint</u></b> See Clerk's Office Continues to Apply SharePoint to Improve Court Processes article in this report.</p>
2.2.6 Provide the public with instructions that are easily understandable and readily available	<p><b><u>Printed Materials and Videos</u></b> Throughout 2020, 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.</p> <p><b><u>Public Use Computers</u></b> Prior to the pandemic, 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.</p> <p><b><u>eSR FAQs</u></b> See 1.1.3</p> <p><b><u>Bar Advisory Board</u></b> See 1.2.3</p> <p><b><u>Local Bankruptcy Rules</u></b> See 2.2.1</p>
2.2.7 Expand the availability of automated court information and data to the public and staff	<p><b><u>Online Chat Program</u></b> See 1.1.1</p> <p><b><u>Interactive Statistics Webpage</u></b> See 1.1.3</p> <p><b><u>Website</u></b> See 1.1.3</p> <p><b><u>Bar Advisory Board</u></b> See 1.2.3</p>

## 2.2 Clear and Understandable Information and Procedures

### STRATEGIES:

### ACCOMPLISHMENTS:

2.2.8 Evaluate and utilize social media as appropriate

#### Twitter

The Court continues to utilize Twitter as a social medium for communication.

## 2.3 Informed Judging

### STRATEGIES:

### ACCOMPLISHMENTS:

2.3.1 Promote educational opportunities and access to the latest developments in the law and training for judges and staff

#### Bringing the Future into Focus

The Court's 2020 theme, "Bringing the Future into Focus," was introduced at the 2019 Winter Education Seminar. This year's theme focused on preparing for the future. Various trainings and district-wide initiatives were introduced in early 2020 that aligned court staff with the Court's mission, vision, values, and new five-year strategic plan.

#### Central District Judicial Education Committee Annual Conference

In 2020, 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.

#### Federal Court Leadership Development Program Update

Administrative Specialist Jan Zari and Operations Team Leader Mark Francisco were selected to participate in the 2019-2020 class of the Federal Judicial Center's (FJC) 12-month Federal Court Leadership Development Program (FCLDP).

#### Law Clerk/Extern Training Sessions

In 2020, the Court held three full-day Law Clerk/Extern training sessions. More than 150 participants attended, including participants from the U.S. District Court.

#### Online Learning Paths for Court Staff

The Learning and Development Unit continued to produce online learning paths for court staff. These self-paced learning paths are based on the general competencies for court staff and leadership competencies for supervisors and managers.

#### Success Happens Over Time (SHOT) Professional Development Program

The 12-month program, facilitated by Senior Court Analyst Estella Chavarin, EdD., included courses such as: Overview of 7 Habits of Highly Effective People, Business Writing & Email Etiquette, and Overview of Crucial Conversations. For more information, see the SHOT! Leadership Development Program article in this report.

2.3 Informed Judging	
STRATEGIES:	ACCOMPLISHMENTS:
2.3.1 Promote educational opportunities and access to the latest developments in the law and training for judges and staff (cont.)	<p><b><u>Training Courses and Programs</u></b> The Clerk's Office offered over 95 training courses and programs in 2020, filling a total of 1,294 student seats across the Central District. Each division hosted classroom training on desktop applications. Some sessions were conducted remotely through WebEx and Skype for Business, providing uniform training at a reduced cost.</p> <p><b><u>Winter Education Seminar</u></b> The 2020 Winter Education Seminar, "Adjusting Our Sails Toward New Beginnings," was held virtually on December 11, 2020. Topics included Financial Management led by James De La Torre, FedAdvantage, and Protecting Personal Information led by Amy Bennett, Ninth Circuit.</p> <p><b><u>Local Bankruptcy Rules</u></b> See 2.2.1</p> <p><b><u>Petitions, Forms, and Instructions Updated</u></b> See 2.2.1</p>
2.3.2 Provide accurate and timely procedures and rules to judges and staff	<p><b><u>Pandemic General Orders</u></b> See the Court Issued General Orders article in this report.</p> <p><b><u>Local Bankruptcy Rules</u></b> See 2.2.1</p> <p><b><u>Petitions, Forms, and Instructions Updated</u></b> See 2.2.1</p>
2.3.3 Ensure court procedures remain in compliance with relevant statutes, rules, and policies	<p><b><u>Petitions, Forms, and Instructions Updated</u></b> See 2.2.1</p>
2.3.4 Make certain that court proceedings are recorded accurately and completely, and that high-quality transcripts and audio recordings are readily accessible	<p><b><u>Court Recorders</u></b> The Court's court recorders ensure that all hearings are properly recorded into digital files by listening to the actual recording of a court hearing and monitoring the digital recording application while the hearing is underway. Transcript quality is ensured as parties requesting court transcripts can only do so from transcription agencies that meet the Court's quality standards and are listed on the Court's website. Clerk's Office staff who perform the court recording functions have been trained to record a hearing from anywhere (e.g., a court recorder stationed in the Los Angeles Division can record a proceeding in the Riverside Division).</p> <p><b><u>FTR Gold Upgrade Preparations</u></b> See the Court Recording Software Upgrade to FTR Gold Version 6 article in this report.</p>



2.3 Informed Judging	
STRATEGIES:	ACCOMPLISHMENTS:
2.3.5 Provide resources and training on strategies for effectively dealing with litigants who may have a mental health condition	
2.4 Cost-Effectiveness	
STRATEGIES:	ACCOMPLISHMENTS:
2.4.1 Support and encourage the use of alternative dispute resolution procedures	<p><b><u>Bankruptcy Mediation Program</u></b>  The Mediation Program entered into its 25<sup>th</sup> year in 2020 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.</p>
2.4.2 Develop clear procedures for remote telephonic and video appearances that are dependable and effective	<p><b><u>National Video Teleconference Service</u></b>  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.</p> <p><b><u>ZoomGov User Guides</u></b>  Created user guides and facilitated training to use ZoomGov videoconferencing for court hearings and general meetings.</p> <p><b><u>Videoconferences Across Divisions</u></b>  See 2.1.5</p>
2.4.3 Evaluate and implement systems to broaden self-help resources available via video	<p><b><u>eSR Promotion</u></b>  See 1.1.1</p>
2.4.4 Consider commuting challenges and their impact on litigants when implementing court procedures	<p><b><u>Remote Access to Court Hearings</u></b>  Following the pandemic, the Court held hearings remotely by telephone or by video. Efficiencies gained by holding some court hearings remotely have been enjoyed by self-represented litigants and attorneys, saving all parties the travel time and expense associated with traveling to court. The Court is taking into account the positive feedback on holding remote hearings for some matters, for future business even after the pandemic concludes.</p> <p>In reaction to the closure of Court buildings, throughout 2020, the Court shared information with SRLs and attorneys regarding suspended or discounted rates offered by the telephonic hearing provider, Court Call.</p>

2.4 Cost-Effectiveness	
STRATEGIES:	ACCOMPLISHMENTS:
2.4.4 Consider commuting challenges and their impact on litigants when implementing court procedures (cont.)	<u><b>Videoconferences and Telephonic Hearings Across Divisions</b></u> See 2.1.5

2.5 Assess and Enhance Case Management Procedures	
STRATEGIES:	ACCOMPLISHMENTS:
2.5.1 Maximize system performance to allow timely access to process and review court documents	<p><u><b>Case Management Assist (CMA)</b></u> 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. Additionally, CMA provides superior 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 the distribution of work in CMA to increase productivity.</p> <p><u><b>CIAO! "Click-Once" Upgrade</b></u> The CIAO! application was upgraded and tested in July 2020 with "click-once" technology to improve application performance when working remotely. The application was upgraded in August 2020.</p> <p><u><b>Network Upgrades</b></u> From February through April, the Network Management department replaced the Los Angeles network core switches and the closet switches in Northern and Santa Ana Divisions. The new switches have speed and capacities many times that of the replaced equipment. In addition, the Network Management department replaced all patching cable at these divisions to improve the network infrastructure. In May, the Network Management department continued to cyclically replace closet switches in the Riverside and Los Angeles Divisions.</p> <p><u><b>SSL Certificates</b></u> The Network Management department renewed and replaced Secure Sockets Layer (SSL) certificates on all CM/ECF - Live, Test, and Train environments. In February, SSL certificates on Central District's public facing CM/ECF servers were renewed with Symantec SSL certificates. All SSL certificates on private facing CM/ECF servers were replaced with new, Administrative Office of the U.S. Courts (AO)-issued SSL certificates.</p>

## 2.5 Assess and Enhance Case Management Procedures

STRATEGIES:	ACCOMPLISHMENTS:
<p><b>2.5.2 Streamline and simplify case management policies, procedures, and practices</b></p>	<p><b><u>CMA Reports</u></b> 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.</p> <p><b><u>CM/ECF Fee Waiver Program</u></b> Under the direction of the Case Management Committee, the Court continued its expanded CM/ECF fee waiver program that was initiated in April 2014.</p> <p><b><u>Notices Updated</u></b> The Clerk's Office's "Rejection Notice" and "Deficiency Notice" were updated to align with the manual and electronic petition procedures.</p> <p><b><u>Clerk's Office Identifies Intake Appointment Scheduling System</u></b> See the Clerk's Office Identifies Intake Appointment Scheduling System article in this report.</p> <p><b><u>Electronic Drop Box</u></b> See the Electronic Drop Box article in this report.</p> <p><b><u>eSR for Chapter 13</u></b> See the eSR for Chapter 13 article in this report.</p> <p><b><u>Research of Online Payment by SRLs Using Pay.gov</u></b> See 2.1.4</p> <p><b><u>Case Management Assist (CMA)</u></b> See 2.5.1</p>
<p><b>2.5.3 Identify enhancements to calendaring and order upload programs to provide more efficient processes and additional management tools</b></p>	<p><b><u>Calendaring and Order Alternatives Examined</u></b> Examined calendaring and order alternatives for streamlining purposes.</p> <p><b><u>CIAO! Databases Merge Project</u></b> In preparation for NextGen, the CIAO! databases were centralized from five servers onto one CIAO! server. The project began in the fall of 2019 with preliminary test merges and data verification by the CIAO! support team and designated Operations staff. Since merging nearly 20 years of data takes up to 30+ hours and requires verification, each merge was scheduled over a weekend. By early 2020, all five CIAO! databases were centralized onto one server.</p>

## 2.5 Assess and Enhance Case Management Procedures

STRATEGIES:	ACCOMPLISHMENTS:
2.5.3 Identify enhancements to calendaring and order upload programs to provide more efficient processes and additional management tools (cont.)	<u><b>New Appearance Report in CIAO!</b></u> Implemented new Appearance Report in CIAO! to assist with the logging of parties appearing for remote hearings.  <u><b>CIAO! "Click-Once" Upgrade</b></u> See 2.5.1
2.5.4 Review and enhance the use of and content provided through digital systems	<u><b>Online Chat Program</b></u> See 1.1.1  <u><b>Interactive Statistics Webpage</b></u> See 1.1.3  <u><b>Website</b></u> See 1.1.3  <u><b>Public Use Computers</b></u> See 2.2.6  <u><b>Twitter</b></u> See 2.2.8

## 2.6 Self-Represented Access to Technology

STRATEGIES:	ACCOMPLISHMENTS:
2.6.1 Improve website resources and access for self-represented parties	<u><b>eSR</b></u> The Court continued to use and promote the use of Electronic Self-Representation (eSR) software.  <u><b>Intake Drop Boxes</b></u> Beginning in July 2020, the Clerk's Office provided physical drop boxes for documents that were not emergency filings. The public drop box station provided sealable bags so documents could be filed, and the related payment submitted together.  <u><b>Survey Regarding Self-Help Resources</b></u> Since 2014, the Court's Don't Have an Attorney (DHAA) web page has linked to a Survey Regarding Self-Help Resources so that the Court may collect feedback on the self-represented litigant (SRL) experience when visiting Help Desks and identify the resources most frequently used by SRLs. Since 2017, the Court has also offered the Survey Regarding Self-Help Resources in Spanish.  <u><b>Electronic Drop Box</b></u> See the Electronic Drop Box article in this report.

## 2.6 Self-Represented Access to Technology

STRATEGIES:	ACCOMPLISHMENTS:
2.6.1 Improve website resources and access for self-represented parties (cont.)	<p><u><a href="#">eSR Promotion</a></u> See 1.1.1</p> <p><u><a href="#">eSR FAQs</a></u> See 1.1.3</p> <p><u><a href="#">Online Chat Program FAQs</a></u> See 1.1.3</p> <p><u><a href="#">Printed Materials and Videos</a></u> See 2.2.6</p>
2.6.2 Enhance functionality of electronic filing	<p><u><a href="#">eSR for Chapter 13</a></u> See the eSR for Chapter 13 article in this report.</p> <p><u><a href="#">eSR</a></u> See 2.6.1</p>
2.6.3 Encourage electronic filing where consistent with court rules	<p><u><a href="#">eSR Promotion</a></u> See 1.1.1</p> <p><u><a href="#">eSR FAQs</a></u> See 1.1.3</p>

## 2.7 Non-Attorney Services

STRATEGIES:	ACCOMPLISHMENTS:
2.7.1 Continue to monitor and work to eliminate abusive and fraudulent conduct by bankruptcy petition preparers	<p><u><a href="#">Third-Party Filer Tracker</a></u> See 1.1.1</p>
2.7.2 Study new and emerging projects and research on effective and legal use of non-attorney assistance	

## 2.8 Systemic Improvement

STRATEGIES:	ACCOMPLISHMENTS:
2.8.1 Continue to provide accurate and helpful case data and information	<p><u><a href="#">DAP</a></u> See 1.1.1</p> <p><u><a href="#">Interactive Statistics Webpage</a></u> See 1.1.3</p> <p><u><a href="#">Bar Association Meetings</a></u> See 1.2.3</p>



2.8 Systemic Improvement	
STRATEGIES:	ACCOMPLISHMENTS:
2.8.1 Continue to provide accurate and helpful case data and information (cont.)	<p><u>Case Management Assist (CMA)</u> See 2.5.1</p> <p><u>CMA Reports</u> See 2.5.2</p>
2.8.2 Foster dialogue between bench, bar, and staff on best practices	<p><u>Judges Speaking Engagements and Programs</u> See the Speaking Engagements and Programs section of this report.</p> <p><u>Public Counsel</u> See 1.1.1</p> <p><u>Bar Advisory Board</u> See 1.2.3</p>
2.8.3 Identify and communicate issues on which data and information would be most helpful to judges, federal and state lawmakers, and organizations	<p><u>Court is Open Flyer</u> The Court distributed the “Court is Open” flyer (in English and Spanish) to an extensive list of contacts, including over 700 recipients such as state and local representatives and bar association members. The flyer was developed by Chief Judge Tighe and Clerk’s Office staff and posted to the entrance of each court building.</p> <p><u>Interactive Statistics Webpage</u> See 1.1.3</p> <p><u>Printed Materials and Videos</u> See 2.2.6</p>
2.8.4 Continue to evaluate and expand alternative dispute resolution programs	<p><u>Bankruptcy Mediation Program</u> See 2.4.1</p>
2.8.5 Evaluate and respond, when appropriate, to obstacles litigants may encounter when there are multiple venue choices	
2.9 Resource Management	
STRATEGIES:	ACCOMPLISHMENTS:
2.9.1 Manage the Court’s budget effectively and request supplemental funding when necessary (cont.)	<p><u>Monthly Spending Plans</u> The Clerk of Court submits a monthly spending plan to the Executive Committee for its review and approval. The monthly spending plans ensure that the Court remains a good steward of public funds and support the Court’s mission.</p>

2.9 Resource Management	
STRATEGIES:	ACCOMPLISHMENTS:
2.9.1 Manage the Court's budget effectively and request supplemental funding when necessary	<p><b><u>Supplemental Funding Requests</u></b> Supplemental funding opportunities are monitored, and funding is requested from the Administrative Office of the U.S. Courts and Ninth Circuit when appropriate. Opportunities for shared services funding are actively pursued by a designated Clerk's Office team.</p> <p><b><u>Spending Considerations List</u></b> The Administrative Services Manager maintains an ongoing Spending Considerations list with spending needs identified and prioritized, for consideration by the Court's Executive Committee. Purchase orders and spending are closely monitored throughout the year and reports provided to executive management to ensure proper oversight of government funds.</p>
2.9.2 Offer intern and extern opportunities and pursue grant funding to provide the Court with resources for special projects	<p><b><u>Internships and Externships</u></b> Throughout the years, the Court continued to offer intern and extern opportunities.</p> <p><b><u>Court Volunteer Interpreters</u></b> See the Court Volunteer Interpreters article in this report.</p>
2.9.3 Maintain a culture of responsible stewardship of all court resources	<p><b><u>Reporting Allegations of Fraud, Waste, and Abuse</u></b> In 2020, the Court continued to remind Clerk's Office staff of the methods available to report allegations of fraud, waste, and abuse by employees or contractors who have engagements with the Court.</p> <p><b><u>Cyclical Audit</u></b> See the Cyclical Audit report of this article.</p> <p><b><u>Facilities and Security</u></b> See the Facilities and Security section of this report.</p>
2.9.4 Develop procedures and systems for contingencies including government shutdown, mega case filings, or sudden budgetary constraints	<p><b><u>Case Filings Survey</u></b> Distribute the Case Survey and compiled survey results to assess areas ripe for improvement or vet through ideas on handling a case surge.</p> <p><b><u>Procedures for a Government Shutdown</u></b> Throughout the year, the Court reviewed its procedures for contingencies for a government shutdown.</p> <p><b><u>Reconstitution Plan</u></b> In response to the pandemic and after staff completed an Employee Return-to-Work survey to gather feedback on reopening needs and preferences, the Court drafted a Reconstitution Plan to implement a phased approach to return to the office.</p>

## Issue 3: Judiciary Workforce of the Future

3.1 Standards of Conduct	
STRATEGIES:	ACCOMPLISHMENTS:
3.1.1 Maintain a workplace that fosters dignity, courtesy, patience, and respect	<p><b><u>Ethics Training</u></b> 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 to the Court.</p> <p><b><u>Excellent Customer Service Encouraged</u></b> 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.</p> <p><b><u>"Great Place to Work" Campaign</u></b> The "Great Place to Work" campaign continued throughout 2020. 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.</p> <p><b><u>Wellness Campaign Events</u></b> In 2020, the Human Resources Department offered monthly wellness communications, as well as programming throughout the year to share health-related information and encourage employees to live a healthy lifestyle.</p> <p><b><u>Court Values Campaign</u></b> See the Strategic Plan – New Court Values article in this report.</p> <p><b><u>Dialogue Regarding Race Relations</u></b> See Dialogue Regarding Race Relations article in this report.</p> <p><b><u>Reporting Allegations of Fraud, Waste, and Abuse</u></b> See 2.9.3</p>
3.1.2 Promote performance based on integrity, efficiency, helpfulness, and empathy	<p><b><u>Performance Management Program</u></b> In 2020, 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.</p>

3.1 Standards of Conduct	
STRATEGIES:	ACCOMPLISHMENTS:
3.1.3 Encourage the reporting of workplace misconduct and reduce barriers to reporting workplace misconduct by implementing an interactive Employment Dispute Resolution process	<p><u>Employee Dispute Resolution and Commitment to a Fair and Respectful Workplace Plan</u></p> <p>The Court adopted the Ninth Circuit’s Model EDR Plan and held mandatory EDR training.</p>
3.2 Recruitment and Development	
STRATEGIES:	ACCOMPLISHMENTS:
3.2.1 Educate judges and court personnel on existing and emerging technologies	<p><u>Automation T-15 Training Courses</u></p> <p>Throughout the year, the Court offered automation T-15 training courses to judges and staff.</p> <p><u>Remote Access Training</u></p> <p>The Information Security Officers also held multiple Information Security Remote Access Training classes for staff who were preparing to telework during the pandemic-related divisional closures. Also, Clerk’s Office staff provided training on virtual private network (VPN) usage and security. Additionally, judges and staff were trained on remote recording procedures.</p> <p><u>ZoomGov Videoconferencing</u></p> <p>See the ZoomGov Videoconferencing article in this report.</p> <p><u>Winter Education Seminar</u></p> <p>See 2.3.1</p> <p><u>ZoomGov User Guides</u></p> <p>See 2.4.2</p>
3.2.2 Foster a culture of learning where judges, chambers, and Clerk’s Office staff work to keep needed skills current	<p><u>Executive Team Performance Appraisal</u></p> <p>The Court continued with the performance appraisal system for the Executive team that was initiated in 2014.</p> <p><u>Human Resources Academy Goes Virtual</u></p> <p>From April 21 to 23, court staff attended the 2020 Virtual Human Resources Academy.</p> <p><u>Interactive Mondays</u></p> <p>Throughout the year, every other Monday, 20-25 staff members joined Administrative Specialist Jan Zari to discuss other topics such as self-improvement, positivity, mental health, and wellness tips. The sessions allowed staff to connect, interact, and learn in a virtual environment during a period of change and uncertainty.</p>

## 3.2 Recruitment and Development

### STRATEGIES:

3.2.2 Foster a culture of learning where judges, chambers, and Clerk's Office staff work to keep needed skills current (cont.)

### ACCOMPLISHMENTS:

#### Keep in Touch Everyone (KITE)

Implemented by the Human Resources Department, Learning & Development Unit, and Communications Department, the Keep in Touch Everyone (KITE) initiative provided resources, activities, and a sense of belonging during the unexpected work-from-home period due to the COVID-19 pandemic.

#### LEAD Academy

Courtroom Deputy James Le was selected to participate in NCBC's 4-month Leadership, Excellence, Achievement, and Development (LEAD) Academy. The program teaches future leaders how to apply essential leaderships skills at the Court.

#### Professional Development Opportunities

The Court created professional development opportunities in the Communications and Planning & Research Departments. These one-year development opportunities concluded in March 2020.

#### Together Tuesdays

Let's Get Together Tuesdays were offered in which participants Skype during the lunch hour on Tuesdays for fun games and regular chats.

#### Bringing the Future into Focus

See 2.3.1

#### Federal Court Leadership Development Program Update

See 2.3.1

#### Law Clerk/Extern Training Sessions

See 2.3.1

#### Online Learning Paths for Court Staff

See 2.3.1

#### Success Happens Over Time (SHOT) Professional Development Program

See 2.3.1

#### Training Courses and Programs

See 2.3.1

#### Winter Education Seminar

See 2.3.1

#### "Great Place to Work" Campaign

See 3.1.1

#### Wellness Campaign Events

See 3.1.1



## 3.2 Recruitment and Development

STRATEGIES:	ACCOMPLISHMENTS:
3.2.3 Increase retention of high-performing employees by offering continual, meaningful work tailored toward both the individual's existing and potential skillsets	<p><u>Bringing the Future into Focus</u> See 2.3.1</p> <p><u>Success Happens Over Time (SHOT) Professional Development Program</u> See 2.3.1</p> <p><u>"Great Place to Work" Campaign</u> See 3.1.1</p> <p><u>Wellness Campaign Events</u> See 3.1.1.</p> <p><u>Professional Development Opportunities</u> See 3.2.2</p>
3.2.4 Establish programs to become an employer of choice	<p><u>Court Vacancies</u> The Court advertises vacancies on the Court's website, Twitter, and its bimonthly newsletter. Additionally, vacancies are published on the Ninth Circuit's website.</p> <p><u>Judges Reach Potential Applicants</u> Judges provide outreach and information to potential applicants through various speaking engagements on an ongoing basis.</p> <p><u>Bringing the Future into Focus</u> See 2.3.1</p> <p><u>Law Clerk/Extern Training Sessions</u> See 2.3.1</p> <p><u>Success Happens Over Time (SHOT) Professional Development Program</u> See 2.3.1</p> <p><u>Training Courses and Programs</u> See 2.3.1</p> <p><u>Winter Education Seminar</u> See 2.3.1</p> <p><u>Wellness Campaign Events</u> See 3.1.1</p> <p><u>Professional Development Opportunities</u> See 3.2.2</p>

3.2 Recruitment and Development	
STRATEGIES:	ACCOMPLISHMENTS:
3.2.5 Recruit people who possess the education, skills, experience, commitment, and desire to serve the public	<p><u>Court Vacancies</u> See 3.2.4</p> <p><u>Judges Reach Potential Applicants</u> See 3.2.4</p>
3.2.6 Examine workforce demographics, assess future human capital needs, and maintain a current workforce succession plan	<p><u>Success Happens Over Time (SHOT) Professional Development Program</u> See 2.3.1</p> <p><u>Professional Development Opportunities</u> See 3.2.2</p> <p><u>Court Vacancies</u> See 3.2.4</p>
3.2.7 Encourage judges to obtain feedback from the bankruptcy bar on judicial performance	<p><u>Mid-Term Evaluations</u> Bankruptcy judges for the Central District of California voluntarily request midterm evaluations offered by the Ninth Circuit.</p>
3.3 Employee Engagement	
STRATEGIES:	ACCOMPLISHMENTS:
3.3.1 Maintain a positive work environment that recognizes high achievement, satisfaction, and employee engagement	<p><u>Employee Recognition Programs</u> The Court continues to promote the Employee Recognition programs as methods to enhance employee satisfaction through the acknowledgement of outstanding service and commitment to the workplace.</p> <p><u>Years of Service Awards</u> In 2020, The Court virtually presented years of service awards, honoring Clerk's Office employees throughout the Central District for outstanding service to the public and dedication to the Court.</p> <p><u>Safe Actions for Employee Return (SAFER)</u> See the Safe Actions for Employee Return Webpage Launched article in this report.</p> <p><u>Interactive Mondays</u> See 3.2.2</p> <p><u>Keep in Touch Everyone (KITE)</u> See 3.2.2</p> <p><u>Together Tuesdays</u> See 3.2.2</p>

3.3 Employee Engagement	
STRATEGIES:	ACCOMPLISHMENTS:
3.3.2 Boost work performance and embrace change through continuous reinforcement of mutual trust, active participation, and connection to a shared purpose	<p><u><b>Court Values Campaign</b></u> See Strategic Plan – New Court Values article in this report.</p> <p><u><b>Interactive Mondays</b></u> See 3.2.2</p> <p><u><b>Together Tuesdays</b></u> See 3.2.2</p> <p><u><b>Keep in Touch Everyone (KITE)</b></u> See 3.2.2</p>
3.3.3 Expand ongoing opportunities for employees to provide regular feedback	<p><u><b>New Centers of Excellence (CoE)</b></u> Established six new Centers of Excellence (CoE) comprised of interested staff and managers to help push forward in achieving the strategic goals.</p> <p><u><b>Strategic Planning Council</b></u> Reconvened the Strategic Planning Council with new and additional staff representatives to review and approve projects and initiatives aligned with achieving the Court's strategic goals.</p> <p><u><b>Strategic Planning Involves Responsive and Innovative Teamwork! (SPIRIT!)</b></u> Established Strategic Planning Involves Responsive and Innovative Teamwork! (SPIRIT!) focus groups to gather feedback on how to achieve the strategic goals set forth in the Court's new Strategic Plan 2020 -2024.</p> <p><u><b>Case Filings Survey</b></u> See 2.9.4</p>
3.3.4 Incorporate employee engagement strategies that recognize and promote the importance of public service and each employee's role in the Judiciary	<p><u><b>Employee Recognition Programs</b></u> See 3.3.1</p> <p><u><b>New Centers of Excellence (CoE)</b></u> See 3.3.3</p> <p><u><b>Strategic Planning Council</b></u> See 3.3.3</p>
3.3.5 Offer a variety of activities to work together as one team representing the organization	<p><u><b>2020 NCBC Conference at Anaheim</b></u> Prior to the pandemic, the Court was selected to host the 2020 National Conference of Bankruptcy Clerks (NCBC) Conference. The Court's Planning Committee worked closely with the NCBC Board of Directors to suggest potential conference speakers, educational break-out sessions, and activities. Unfortunately, on April 30, the NCBC Board made the difficult decision to cancel the 2020 Educational Conference in Anaheim on July 6 – 9, 2020.</p>

3.3 Employee Engagement	
STRATEGIES:	ACCOMPLISHMENTS:
3.3.5 Offer a variety of activities to work together as one team representing the organization (cont.)	<p><u>Safe Actions for Employee Return (SAFER)</u> See the Safe Actions for Employee Return Webpage Launched article in this report.</p> <p><u>Dialogue Regarding Race Relations</u> See 2.1.3</p> <p><u>"Great Place to Work" Campaign</u> See 3.1.1</p> <p><u>Interactive Mondays</u> See 3.2.2</p> <p><u>Keep in Touch Everyone (KITE)</u> See 3.2.2</p> <p><u>Together Tuesdays</u> See 3.2.2</p>
3.3.6 Strengthen current employee and judicial involvement with the new-hire onboarding process	<p><u>Law Clerk/Extern Training Sessions</u> See 2.3.1</p>
3.4 Lines of Communication	
STRATEGIES:	ACCOMPLISHMENTS:
3.4.1 Promote programs and activities that enhance communication among judges, chambers, and staff	<p><u>Dialogue Regarding Race Relations</u> See 2.1.3</p> <p><u>Interactive Mondays</u> See 3.2.2</p> <p><u>Keep in Touch Everyone (KITE)</u> See 3.2.2</p> <p><u>Together Tuesdays</u> See 3.2.2</p>
3.4.2 Implement initiatives to ensure that all divisions communicate and collaborate effectively	<p><u>Pandemic Information Sharing</u> Clerk's Office prepared townhall presentations about the COVID-19 virus and a weekly Situational Report to record how challenges associated with the pandemic were addressed.</p> <p>During the first two weeks following the closure of court buildings, the Clerk of Court and Chief Judge conducted daily meetings with managers districtwide, and managers and supervisors provided departmental updates. The meetings occurred on a weekly basis for the remainder of the year.</p>

3.4 Lines of Communication	
STRATEGIES:	ACCOMPLISHMENTS:
3.4.2 Implement initiatives to ensure that all divisions communicate and collaborate effectively (cont.)	<p><b><u>Pandemic Information Sharing (cont.)</u></b> A dedicated Operations-specific COOP intranet page includes videos on remote access in the court, such as recording telephonic hearings conducted remotely.</p> <p><b><u>COVID-19 Planning Meetings</u></b> See the COVID-19 Planning Meetings article in this report.</p> <p><b><u>Dialogue Regarding Race Relations</u></b> See 2.1.3</p> <p><b><u>Bringing the Future into Focus</u></b> See 2.3.1</p> <p><b><u>Winter Education Seminar</u></b> See 2.3.1</p> <p><b><u>Interactive Mondays</u></b> See 3.2.2</p> <p><b><u>Keep in Touch Everyone (KITE)</u></b> See 3.2.2</p> <p><b><u>Together Tuesdays</u></b> See 3.2.2</p>
3.4.3 Build on an organizational culture that encourages open communication, transparency, civility, and consideration of all perspectives	<p><b><u>Court Values Campaign</u></b> See Strategic Plan – New Court Values article in this report.</p> <p><b><u>Dialogue Regarding Race Relations</u></b> See 2.1.3</p> <p><b><u>Bringing the Future into Focus</u></b> See 2.3.1</p> <p><b><u>Winter Education Seminar</u></b> See 2.3.1</p> <p><b><u>Case Management Assist (CMA)</u></b> See 2.5.1</p> <p><b><u>“Great Place to Work” Campaign</u></b> See 3.1.1</p> <p><b><u>Interactive Mondays</u></b> See 3.2.2</p>



3.4 Lines of Communication	
STRATEGIES:	ACCOMPLISHMENTS:
3.4.3 Build on an organizational culture that encourages open communication, transparency, civility, and consideration of all perspectives (cont.)	<p><u>Keep in Touch Everyone (KITE)</u> See 3.2.2</p> <p><u>Together Tuesdays</u> See 3.2.2</p>
3.5 Diversity	
STRATEGIES:	ACCOMPLISHMENTS:
3.5.1 Foster diversity in the Court's workforce by maximizing efforts to attract and retain employees of differing backgrounds, foreign language capabilities, and experiences	<p><u>Diversity Celebrations</u> Throughout 2020, the Court participated in celebrating African American Heritage Month, LGBTQ Pride Month, Women's Month, Asian and Pacific Islander Month, and Hispanic Heritage Month.</p> <p><u>Diversity Hiring Committee Participation</u> In an effort to attract diverse candidates, the Court participated in the Diversity and Hiring Committees of the U.S. Attorney's Office for the Central District of California interactive discussion on October 22.</p> <p><u>Judiciary Fair Employment Practices (FEPS) Annual Report</u> 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.</p> <p><u>Recruitment Expansion</u> The Court expanded recruitment efforts to law schools, minority bar associations, and other organizations. Judges participated in speaking engagements at local law schools to promote diversity in the recruitment of externs and law clerks. The Court continued its partnership with Loyola Law School to provide bankruptcy law students with hands on experience in working with Public Counsel and the Court. The Court hosted high school and grade school students for mock trials, Law Day, and court visits where attorneys and court staff discussed their career paths and how those paths led to a career in the Judiciary.</p> <p><u>Employee Dispute Resolution and Commitment to a Fair and Respectful Workplace Plan</u> See 3.1.3</p> <p><u>Dialogue Regarding Race Relations</u> See 2.1.3</p>

3.5 Diversity	
STRATEGIES:	ACCOMPLISHMENTS:
3.5.2 Provide outreach and information to potential judicial applicants to encourage highly-qualified individuals to apply for judicial openings	<p><u>Judges Reach Potential Applicants</u> See 3.2.4</p> <p><u>Diversity Hiring Committee Participation</u> See 3.5.1</p>
3.5.3 Encourage law students and attorneys to enter the bankruptcy field to provide a diverse and qualified pool of applicants for future judgeship openings	<p><u>Law Clerk/Extern Training Sessions</u> See 2.3.1</p> <p><u>Judges Reach Potential Applicants</u> See 3.2.4</p>
3.6 Collaboration	
STRATEGIES:	ACCOMPLISHMENTS:
3.6.1 Pursue opportunities to share services within the Judiciary, including no cost and cost-reimbursable services	<p><u>Collaboration with District Court</u> The Court's COOP Coordinator collaborated with the U.S. District Court's Emergency Preparedness and Security Officer.</p> <p><u>Shared Services Plan</u> The Shared Services Plan has been implemented and a court catalog of shared services was developed. Individual service offerings were updated on JShare, the Judiciary's SAS webpage and catalog. The Court also used services from other courts by transferring funds or by trading services.</p> <p><u>Shared Administrative Services</u> See the Clerk's Office Continues to Offer Shared Administrative Services article in this report.</p>
3.6.2 Consider sharing positions within the Judiciary when a full-time position is not warranted or funds are limited	<p><u>Court Statistician Shared with the Ninth Circuit</u> Established a shared position of a Court Statistician with the Ninth Circuit.</p> <p><u>District Court Partnership</u> The Court continues to share emergency preparedness services with the U.S. District Court for the Central District of California. At the Northern Division, Clerk's Office staff provides mail and facility assistance for Magistrate Judge LaMothe. Additionally, the Court shares courier services with District Court at the Santa Ana Division.</p>
3.6.3 Encourage collaborative work efforts through the adoption of project management principles, software, team building exercises, action learning teams, and other efforts	<p><u>New Centers of Excellence (CoE)</u> See 3.3.3</p>

3.6 Collaboration	
STRATEGIES:	ACCOMPLISHMENTS:
3.6.4 Volunteer to serve on national, circuit, and other committees and working groups to ensure the Court has a voice on critical initiatives and programs	<p><b><u>Clerk's Office Staff Serve on NCBC Committee</u></b> Clerk's Office staff continued to serve on various NCBC Committees.</p> <p><b><u>Federal Executive Board</u></b> 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.</p> <p><b><u>Judicial Committee Participation</u></b> Chambers and Clerk's Office staff continued to enhance communication through judicial committee participation.</p> <p><b><u>NextGen Expert Panel Selections for 2020-2021</u></b> Court staff were selected for NextGen Expert Panel.</p> <p><b><u>Judges and Clerk's Office Staff Participate in National Committees and Programs</u></b> See the Committee Appointments section of this report.</p>
3.6.5 Share the innovative uses of technologies which highlight the individual strengths and talents of the Court	<p><b><u>Art of Possible</u></b> The Court continues to provide on-demand videos on creative uses of technology by the Clerk's Office and chambers, such as "Using OneNote to Organize Your Next Trial."</p> <p><b><u>Centers of Excellence and SharePoint</u></b> The Clerk's Office established dedicated SharePoint pages for each Center of Excellence to share project information, and the pages are accessible to the Court to view the CoE's progress.</p> <p><b><u>Hybrid Hearings</u></b> See 2.1.5</p>
3.7.1 Prepare employees to perform one another's jobs where feasible and appropriate to ensure uninterrupted coverage	<p><b><u>Success Happens Over Time (SHOT) Professional Development Program</u></b> See 2.3.1</p> <p><b><u>Professional Development Opportunities</u></b> See 3.2.2</p>
3.7.2 Increase flexibility to share work among staff in different divisions	<p><b><u>Court Recorders</u></b> See 2.3.4</p> <p><b><u>Case Management Assist (CMA)</u></b> See 2.5.1</p>

3.7 Flexibility	
STRATEGIES:	ACCOMPLISHMENTS:
3.7.3 Enhance video hearing capability so that judges can easily hear cases in any division	<u>Videoconferences Across Divisions</u> See 2.1.5  <u>National Video Teleconference Service</u> See 2.4.2
3.7.4 Conduct ongoing reviews of Clerk's Office organizational structure to ensure effective management practices	<u>Organizational Review</u> Throughout the year, the Court reviews the Clerk's Office's organizational structure.

## Issue 4: A Flexible and Responsive Infrastructure

4.1 Technology	
STRATEGIES:	ACCOMPLISHMENTS:
4.1.1 Maintain an IT project review process to determine project feasibility and prioritization	<b><u>IT Strategic Plan</u></b> The IT Committee reviews and approves technology improvements and monitors the initiatives to ensure IT Strategic Plan alignment.
4.1.2 Review the IT Strategic Plan to ensure alignment with the vision, goals, and initiatives of the Court and compliance with the <i>Guide to Judiciary Policy</i>	<b><u>IT Strategic Plan</u></b> See 4.1.1
4.1.3 Enhance and support the IT infrastructure to provide a consistent, reliable, accessible and secure technology experience	<b><u>Annual IT Security Scan of Servers</u></b> The Court participated in the annual security scan of servers at Internet Data Centers, resolving all issues found on local, court-owned servers. The Court also completed a quarterly backup restoration test.  <b><u>KACE Inventory and Patch Management</u></b> The Network Management Department installed new unified endpoint management (UEM) software on more than 60 active servers on the Court's network. The UEM software allows efficient management of server inventory and patches. The new software can generate quarterly reports that meet IT Security Scorecard requirements.  <b><u>IT Awareness Tips</u></b> The IT security officers emailed awareness tips throughout the year to all employees.  <b><u>IT Security Enhancements</u></b> In a joint effort with the Administrative Office of the U.S. Courts (AO), two Security Assessments were finalized, assessing new web-facing applications and servers. IT staff also participated in the Administrative Office's Security Posture Scan. A web application firewall was activated on an outward-facing server. IT Security Officers participated in an internal IT security audit. IT staff prepared and participated in AO's five-year security assessment, which is a thorough assessment of all security controls, providing insight on how to approve the Court's security posture. This is the Court's second full AO security assessment. The Court's patch management server and proxy server were upgraded during this period. Servers were added to the new patch management server. All outstanding end-user devices were upgraded to a newer Windows 10 feature update. Log alerts and event logs were monitored, and actions were taken as needed. The IT security section of the Internal Controls document were reviewed and updated. Review of outstanding exception requests were completed.



## 4.1 Technology

STRATEGIES:	ACCOMPLISHMENTS:
<p><b>4.1.3 Enhance and support the IT infrastructure to provide a consistent, reliable, accessible and secure technology experience (cont.)</b></p>	<p><b><u>IT Security Scorecard Requirements Review</u></b>  Several policies were reviewed and updated in accordance with the IT Scorecard requirements. Print management, GUPs, and HP management software were migrated to a new server in order to decommission five older servers that were no longer supported by Microsoft in compliance with the IT Scorecard.</p> <p><b><u>IT Security Training</u></b>  In accordance with the <i>Guide to Judiciary Policy</i>, 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. All new employees, including non-paid employees, and all who requested new remote access (VPN) accounts completed the appropriate training.</p> <p><b><u>IT Staff Training</u></b>  To learn and implement security best practices with new and existing technologies, IT staff members participated in security-related training classes.</p> <p><b><u>Proxy Server and Patch Management Applications Upgraded</u></b>  The Court's proxy server and patch management applications were upgraded. Agents were distributed to offsite devices so vulnerability scans could continue on offsite devices. Replication failover testing was performed successfully.</p> <p><b><u>Quarterly IT Security Assessment</u></b>  The Network Management Department (NMD) completed quarterly vulnerability scans on LAN and server equipment on the network. Based on the vulnerability reports, the NMD patched and remedied the reported vulnerabilities for more than 80 physical, virtual, and Administrative Office of the U.S. Courts (AO)-hosted servers. In addition, the NMD updated firmware on over 100 network infrastructure devices including network switches, UPS's, and data closet environmental monitors.</p> <p><b><u>FTR Gold Upgrade</u></b>  See the Court Recording Software Upgrade to FTR Gold Version 6 article in this report.</p>
<p><b>4.1.4 Assess needs and implement improvements in case management systems</b></p>	<p><b><u>Auto Discharge Interface</u></b>  The Court implemented auto closing for chapter 13 dismissals, chapter 7 cases without discharge and no financial management filed, dismissed chapter 7 cases, and chapter 13 cases without a plan.</p>

4.1 Technology	
STRATEGIES:	ACCOMPLISHMENTS:
4.1.4 Assess needs and implement improvements in case management systems (cont.)	<p><b><u>Electronic Drop Box</u></b> See the Electronic Drop Box article in this report.</p> <p><b><u>NextGen Preparation</u></b> See the Court Prepares for NextGen article in this report.</p> <p><b><u>Programs and Initiatives to Limit In-Person Appearances</u></b> See the Court Adopts Programs and Initiatives to Limit In-Person Appearances article in this report.</p> <p><b><u>Intake Appointment System</u></b> See 1.1.2</p> <p><b><u>Intake Drop Boxes</u></b> See 2.6.1</p>
4.1.5 Participate in national committees and programs to further the development and advancement of court technology and implementation of best practices	<p><b><u>Judges and Clerk's Office Staff Participate in National Committees and Programs</u></b> See the Committee Appointments section of this report.</p> <p><b><u>Judicial Committee Participation</u></b> See 3.6.4</p>
4.1.6 Evaluate new and existing national applications on a frequent basis	<p><b><u>National Applications Evaluated and Implemented</u></b> In 2020, court staff evaluated the Administrative Office of the U.S. Courts (AO) offerings for videoconferencing (Skype, WebEx, Cisco Meeting) for remote hearings and general meeting use. Additionally, the Court migrated SharePoint sites from locally hosted systems to the AO's SharePoint Online offering, upgraded CM/ECF to release 5.3.3, began testing of NextGen release 1.5.2, and moved to the AO provided AT&amp;T teleconferencing services.</p>
4.1.7 Institute IT project management and software development methodologies	<p><b><u>Project Management Software Developments</u></b> The Court leveraged training in Agile, Scrum, and Kanban to conceptualize a Project Management System. A working version of the system was modeled and developed in Microsoft Access to facilitate the tracking of the Court's portfolio of projects, programs, and tasks. The model is the basis for future developments in SharePoint.</p>
4.2.1 Examine courtroom technology guidelines and requirements	<p><b><u>Courtroom of the Future</u></b> See 2.1.5</p> <p><b><u>Hybrid Hearings</u></b> See 2.1.5</p>

4.2 Courtroom Technology	
STRATEGIES:	ACCOMPLISHMENTS:
4.2.2 Upgrade courtrooms to maximize use of modern courtroom technology and video appearance capability	<p><u>Courtroom of the Future</u> See 2.1.5</p> <p><u>Hybrid Hearings</u> See 2.1.5</p>
4.2.3 Implement procedures for the electronic submission of exhibits for evidentiary hearings	<p><u>Electronic Exhibit Submission</u> Clerk's Office staff worked with chambers to review electronic exhibit submission options and provide feedback on verbiage for hearing notices, instructions, and procedures.</p> <p><u>Courtroom of the Future</u> See 2.1.5</p> <p><u>Hybrid Hearings</u> See 2.1.5</p>
4.2.4 Keep current on emerging technologies used by courts and public and private sector organizations	<p><u>IT Solutions and Developments</u> The Court's IT Security Officers and IT Managers participated in the monthly Assistant Circuit Executives conference calls to discuss IT developments and solutions for security, network, and telecommunications. Additionally, all IT staff members participated in the annual technology conference hosted by the Ninth Circuit. In preparation for the Courtroom of the Future, staff from the Audio Visual, Space and Facilities, and Operations departments visited a high-tech, multi-purpose room to review audio visual equipment options.</p> <p><u>Electronic Drop Box</u> See the Electronic Drop Box article in this report.</p> <p><u>Courtroom of the Future</u> See 2.1.5</p> <p><u>Hybrid Hearings</u> See 2.1.5</p>
4.2.5 Analyze the technologies necessary to implement courtroom sharing and the associated costs	
4.2.6 Ensure court recording systems are current and optimized for audio quality	<p><u>Administrative Office of the U.S. Courts' Cloud Services</u> See the AO Cloud Services article in this report.</p> <p><u>FTR Gold Upgrade</u> See the Court Recording Software Upgrade to FTR Gold Version 6 article in this report.</p>

4.2 Courtroom Technology	
STRATEGIES:	ACCOMPLISHMENTS:
4.2.6 Ensure court recording systems are current and optimized for audio quality (cont.)	<p><u>Court Recorders</u> See 2.3.4</p> <p><u>FTR Gold Upgrade Preparations</u> See 2.3.4</p>
4.3 Information Technology Security	
STRATEGIES:	ACCOMPLISHMENTS:
4.3.1 Implement Judiciary IT Security Scorecard requirements	<p><u>Five-Year IT Security Assessment</u> The Court assisted the Administrative Office of the U.S. Courts' (AO) Information Technology Security Office (ITSO) to complete a five-year Information Technology Security Assessment, which is a thorough assessment of all security controls, providing insight on how to approve the Court's security.</p> <p><u>IT Security Monthly Meetings</u> In an effort to safeguard judiciary information and systems, the Clerk of Court, Chief Deputy of Administration, IT Security Officers, Network Manager, IT Help Desk Manager, Special Projects Manager, and a team member from the Ninth Circuit's IT Security team met monthly throughout 2020. The meeting focused on a review of the Court's compliance with AO and local IT security policies and needs. Each month the team provided updates on a variety of security metrics and the efforts with each to ensure an optimal security posture for the Court.</p> <p><u>IT Security Scorecard Requirements Review</u> See 4.1.3</p> <p><u>Quarterly IT Security Assessment</u> See 4.1.3</p>
4.3.2 Participate in IT Security Assessments and programs offered by the Ninth Circuit and the Administrative Office of the United States Courts to promote security	<p><u>Participated in National IT Initiatives and Programming Offers</u> The Court volunteered to participate in national IT initiatives and programming, including NextGen CM/ECF programming opportunities. The Court also volunteered to participate in AO programming offers related to NextGen CM/ECF.</p> <p><u>IT Awareness Tips</u> See 4.1.3</p>

### 4.3 Information Technology Security

STRATEGIES:	ACCOMPLISHMENTS:
4.3.3 Leverage available security tools, resource packets, templates, and awareness materials	<p><b><u>IT Platforms Leveraged</u></b> Information Security Officers (ISOs) used Skype and Teams to perform Remote Access IT Security training as part of implementing telework for all staff. Agents were distributed to offsite devices so vulnerability scans could continue on offsite devices. The IT security COVID-19 page was updated with relevant articles related to remote access and COVID-19 related scams. Event logs were monitored, with a focus on remote access issues. A web application firewall was activated on an outward-facing server. IT staff prepared and participated in an AO Security Posture Scan as well as an AO five-year security assessment, which is a thorough assessment of all security controls, providing insight on how to approve the Court's security posture. An annual review of IT security policies and plans were completed, using the <i>Guide to Judiciary Policy</i> and various resource packets as references.</p> <p><b><u>IT Security Training</u></b> See 4.1.3</p>
4.3.4 Establish and maintain redundancies to all critical systems	<p><b><u>Administrative Office of the U.S. Courts' Cloud Services</u></b> See the AO Cloud Services article in this report.</p>
4.3.5 Expand security awareness through training and frequent communication	<p><b><u>IT Awareness Tips</u></b> See 4.1.3</p> <p><b><u>IT Security Training</u></b> See 4.1.3</p>

### 4.4 Mobility

STRATEGIES:	ACCOMPLISHMENTS:
4.4.1 Provide staff with the required training and equipment to successfully work remotely when necessary	<p><b><u>Remote Software Updates</u></b> Using Zenworks, The Clerk's Office increasingly "pushed out" software updates to all of the Court's computers and devices remotely, saving time and labor. Zenworks was also used to upgrade end-user devices to Windows operating system feature update v. 1909.</p> <p><b><u>Telework Training Provided to All Staff</u></b> Provided telework training to all staff when required to work from home during the COVID-19 pandemic.</p> <p><b><u>Telework Equipment</u></b> See Telework Equipment Distributed article in this report.</p> <p><b><u>Remote Access Training</u></b> See 3.2.1</p>



4.4 Mobility	
STRATEGIES:	ACCOMPLISHMENTS:
4.4.2 Utilize platform-agnostic applications and consider the potential for mobile solutions when initiating new IT projects	
4.4.3 Promote opportunities for digital collaboration and continuous improvement in audio and video technology	<p><b><u>Collaborative Platforms Used</u></b>  Collaborative platforms such as Skype, Teams and Zoom were prominently used in 2020. Skype and Teams were leveraged to facilitate meetings with staff and externs, alert court support staff that the judge was about to take the virtual bench, and other necessary communications that otherwise would have been in-person prior to the pandemic. Zoom was vital to conducting remote hearings and training sessions.</p> <p><b><u>Courtroom Videoconference Installations</u></b>  New videoconferencing equipment and controls were tested and deployed to Judge Saltzman’s courtroom, with plans underway to provision identical systems in Judge Barash’s courtroom and Courtroom 201 in the Northern Division. The upgrades improved reliability and quality of the connection, while also providing high-definition video. On March 2, 2020, additional courtrooms with similar needs were identified and subsequently funded. As a result, systems have been procured and await installation.</p> <p><b><u>SharePoint</u></b>  See Clerk’s Office Continues to Apply SharePoint to Improve Court Processes article in this report.</p> <p><b><u>Courtroom of the Future</u></b>  See 2.1.5</p> <p><b><u>Hybrid Hearings</u></b>  See 2.1.5</p>
4.4.4 Share and promote the use of collaboration tools and unified messaging applications	<p><b><u>Assuring Court Excellence (ACE)</u></b>  In November, the Court launched its SharePoint site titled Assuring Court Excellence (ACE). The site was developed as a centralized repository for capturing key documents required by various national, regional, and local policies and other preferred items requiring documentation and tracking.</p> <p><b><u>Community Outreach Events</u></b>  In August, the Court launched its Community Outreach SharePoint site. Enhancements to the site were made prior to the launch based on feedback during user acceptance testing. A guide to the site was developed and distributed to coincide with the launch. The site is a valuable resource, allowing for a collaborative space for planning and participation in upcoming community outreach.</p>

#### 4.4 Mobility

STRATEGIES:	ACCOMPLISHMENTS:
4.4.4 Share and promote the use of collaboration tools and unified messaging applications (cont.)	<p><b><u>Judicial Committees Hub</u></b> In January, the Court launched its Judicial Committees Hub. Training was provided to the judicial committee coordinators on the multiple features and functionality of the site. Meeting minutes, agendas, and other materials from the legacy file management solution to the corresponding sites on the judicial committee's hub were successfully migrated. The Judicial Committees Hub is a valuable resource in allowing for a collaborative space for participant engagement.</p> <p><b><u>Judicial Research Library Site</u></b> In August, the Court launched its Judicial Research Library (JRL) SharePoint site. The JRL allows chambers to research bankruptcy-related topics that impacts the Court. A guide to the site's enhanced search features and process for uploading materials was developed and distributed to users. The design, development, and implementation of the JRL site was a collaborative effort between chambers and Clerk's Office staff.</p> <p><b><u>SharePoint</u></b> See Clerk's Office Continues to Apply SharePoint to Improve Court Processes article in this report.</p>

#### 4.5 Paper Reduction

STRATEGIES:	ACCOMPLISHMENTS:
4.5.1 Conduct a feasibility study on existing paper-based procedures to determine what processes may be automated or digitized	
4.5.2 Examine the Administrative Office of the United States Courts' guidelines detailing the use of digital signatures	<p><b><u>Clerk's Office Conducts Research</u></b> The Clerk's Office gathered preliminary research regarding the Administrative Office of U.S. Courts' policies regarding the use of digital signatures.</p>
4.5.3 Encourage use of existing electronic systems in lieu of paper to save time and space while improving access to information	<p><b><u>Archiving Project</u></b> In 2020, the Court continued to archive case records to free up valuable space.</p> <p><b><u>Records Digitizing Project</u></b> 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.</p>

4.5 Paper Reduction	
STRATEGIES:	ACCOMPLISHMENTS:
4.5.3 Encourage use of existing electronic systems in lieu of paper to save time and space while improving access to information (cont.)	<p><b><u>Records Shredded and Disposed</u></b> 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.</p> <p><b><u>Electronic Drop Box</u></b> See the Electronic Drop Box article in this report.</p> <p><b><u>Programs and Initiatives to Limit In-Person Appearances</u></b> See the Court Adopts Programs and Initiatives to Limit In-Person Appearances article in this report.</p> <p><b><u>SharePoint</u></b> See Clerk's Office Continues to Apply SharePoint to Improve Court Processes article in this report.</p> <p><b><u>Assuring Court Excellence (ACE)</u></b> See 4.4.4</p> <p><b><u>Community Outreach Events</u></b> See 4.4.4</p> <p><b><u>Judicial Committees Hub</u></b> See 4.4.4</p> <p><b><u>Judicial Research Library Site</u></b> See 4.4.4</p>
4.6.1 Involve public stakeholders in the development and upgrades of technological systems and solutions	<p><b><u>Courtroom of the Future Collaborative Discussions</u></b> Throughout 2020, Clerk's Office staff continued needs gathering and design discussions for the Courtroom of the Future. Judges, law clerks, and court staff met at key decisions milestones to ensure the selection of new technologies matched the proposed use in a courtroom setting. Information was shared and feedback received at a variety of occasions such as the Board of Judges and Los Angeles judges' meetings. Additionally, multiple feedback sessions were held for attorneys.</p>

## 4.6 Stakeholder Feedback

STRATEGIES:	ACCOMPLISHMENTS:
4.6.1 Involve public stakeholders in the development and upgrades of technological systems and solutions (cont.)	<p><b><u>Public Stakeholders Involved</u></b>  The Court continued to involve public stakeholders in the development of new systems and solutions. Attorney J. Scott Bovitz participated in the IT Committee meetings to provide feedback and gain insight into court technology improvement efforts. Mr. Bovitz was active in evaluating document cameras and general lectern design for the Courtroom of the Future project in the Los Angeles Division. Additionally, multiple feedback sessions were held in December 2020 via Zoom for attorneys to preview and comment on the proposed design for the new audio visual technologies and the lectern control panel to be used in all Courtroom of the Future courtrooms.</p> <p><b><u>Hybrid Courtrooms</u></b>  See 2.1.5</p>
4.6.2 Implement new systems and solutions through pilot project initiatives	<p><b><u>Telephone Interpreter Pilot for Limited-English-Proficient Filers</u></b>  See 1.1.1</p> <p><b><u>Research of Online Payment by SRLs Using Pay.gov</u></b>  See 2.1.4</p>
4.6.3 Deliver pre-development stakeholder training	<p><b><u>Courtroom of the Future Collaborative Discussions</u></b>  See 4.6.1</p>
4.6.4 Promote communication and facilitate the exchange of ideas through outreach and user satisfaction surveys	<p><b><u>Ninth Circuit Survey for Pro Bono Attorneys Distributed to the DAP</u></b>  Pro bono attorneys in the Ninth Circuit were invited by the Ninth Circuit's Pro Se Litigation Committee to respond to a survey about pro bono representation experience. The survey was distributed to DAP members and was distributed by individual Help Desks to attorney volunteers</p>
4.6.5 Expand attorney representation and participation on IT issues	<p><b><u>Public Stakeholders Involved</u></b>  See 4.6.1</p> <p><b><u>Courtroom of the Future Collaborative Discussions</u></b>  See 4.6.1</p>

4.7 Facilities and Security	
STRATEGIES:	ACCOMPLISHMENTS:
4.7.1 Identify, monitor, and address building and safety improvements	<p><b><u>Court Security Practices</u></b> Throughout 2020, the Court continued to meet regularly with the U.S. Marshals Service and Federal Protective Service representatives to discuss court security practices and procedures.</p> <p><b><u>Ongoing Safety Improvements</u></b> The Office Services Manager conducts surveys and requests funds as needed for safety improvements.</p> <p><b><u>Pandemic Supplies Distributed</u></b> See the Pandemic Supplies article in this report.</p> <p><b><u>Ongoing Monitoring</u></b> See 2.1.5</p> <p><b><u>Reconstitution Plan</u></b> See 2.9.4</p> <p><b><u>Keep in Touch Everyone (KITE)</u></b> See 3.2.2</p> <p><b><u>Pandemic Information Sharing</u></b> See 3.4.2</p>
4.7.2 Maintain an updated district-wide long-range space plan	<p><b><u>Long-Range Space Utilization Plan</u></b> See 1.1.2</p>
4.7.3 Pursue funding to ensure all courtrooms are ADA compliant	<p><b><u>ADA Accommodations</u></b> See 2.1.2</p> <p><b><u>Accommodations for Deaf and Hearing Impaired</u></b> See 2.1.2</p>
4.7.4 Participate in security committees to enhance security and safety	<p><b><u>Facility and Security Committees</u></b> Throughout the year, judges and court staff participated in the Facility Security Committee in each divisional location and in the Court Security Committee with US Marshals Service and General Services Administration.</p> <p><b><u>Court Security Practices</u></b> See 4.7.1</p>
4.7.5 Design cost-effective office spaces as funding permits to incorporate healthy, well- building inspired principles	<p><b><u>Space and Facilities Reconstitution Efforts</u></b> The Space and Facilities team gathered information and space dimensions to support the Court's reconstitution efforts. The team collected clear face shields, created social distancing space-plan drawings, researched (distanced) courtroom seating positions, and researched self-cleaning surfaces. The team also conducted research into post-COVID workplace concerns and anticipated trends.</p>



## 4.7 Facilities and Security

STRATEGIES:	ACCOMPLISHMENTS:
4.7.6 Continue to strengthen the Court's relationship with both the United States Marshals Service and the Federal Protective Service	<p><u>Facility Security Committee and Court Security Committee</u> See 4.7.4</p>
4.7.7 Cultivate close working relationships with all federal court representatives to ensure the space needs of the Court are addressed	<p><u>Court Staff Meets with the AO's Space and Facilities Division</u> Court management, Space Planning, and Audio Visual team members met frequently to plan for the Edward R. Roybal Federal Building and U.S. Courthouse's courtroom upgrades with the Administrative Office of the U.S. Courts' (AOs) Space and Facilities Division.</p> <p><u>General Services Administration (GSA)</u> The Court worked closely with GSA to ensure cleaning and disinfection protocols were implemented and followed during the pandemic.</p> <p><u>Lease Negotiation</u> The Space Planning Department worked with the Ninth Circuit and GSA to finalize the lease of the San Fernando Valley divisional space. The new lease is 10 years, comprised of eight fixed and two optional years.</p> <p><u>Ninth Circuit Space and Security Committee</u> Executive Officer/Clerk of Court Kathleen J. Campbell served on the Ninth Circuit Space and Security Committee. The committee focuses on issues that affect the quality and effectiveness of space and security of court buildings in the United States. Ms. Campbell's term ended on September 30, 2020.</p> <p><u>Space and Security Advisory Council</u> Executive Officer/Clerk of Court Kathleen J. Campbell continued to serve on the Space and Security Advisory Council. The council advises the Administrative Office of the U.S. Courts on matters related to courthouse facilities and security. The committee meets twice yearly in Washington, D.C. Ms. Campbell's appointment will end on October 20, 2021.</p> <p><u>Space Planning Meet and Greet</u> The Space Planning Department hosted a virtual meet and greet with the Circuit Executive's Space and Facilities Office's new Project Manager Janet Goodman.</p> <p><u>Facility Security Committee and Court Security Committee</u> See 4.7.4</p>

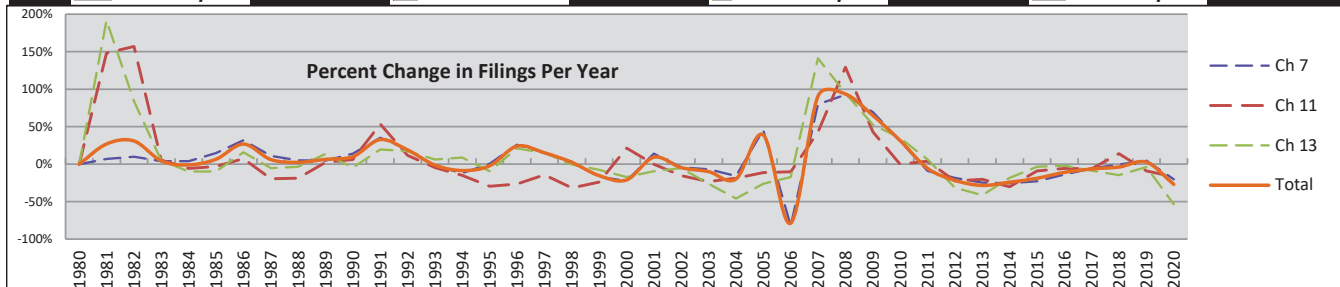
## 4.8 Emergency Preparedness and Continuity of Operations

STRATEGIES:	ACCOMPLISHMENTS:
4.8.1 Review and periodically re-evaluate the Court's security and emergency procedures	<p><b><u>Annual Review of the Court's Security and Emergency Procedures</u></b> The Court's Information Security Officers (ISO) led the annual review and updating of the twenty-four policies and plans which detail and support adherence to the <i>Guide to Judiciary Policy</i> and strengthen the security posture for court resources. Additionally, a team comprised of ISOs, operations managers, Administrative Specialist, and IT managers led backup and restoration efforts to verify and ensure access to court systems in the event of an emergency.</p> <p><b><u>Reconstitution Plan</u></b> See 2.9.4</p> <p><b><u>Pandemic Information Sharing</u></b> See 3.4.2</p>
4.8.2 Conduct systematic testing and training on security and emergency procedures	<p><b><u>Court Tests the Emergency Notification System</u></b> Throughout 2020, the Crisis Communication Team conducted monthly tests of the Court's Emergency Notification System to familiarize staff with emergency notifications and the steps that should be taken to confirm receipt of notifications.</p> <p><b><u>The Great ShakeOut 2020</u></b> On October 15, in observance of the yearly ShakeOut event, the COOP Coordinator activated the Court's emergency notification systems, which generated a brief test emergency response message to judges, chambers, and Clerk's Office staff.</p>
4.8.3 Maintain an up-to-date Continuity of Operations Plan for the Court and Occupant Emergency Plan for all court facilities	<p><b><u>COOP Plan Revised</u></b> 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 that have faced severe and long-term COOP plan activations such as New York and Louisiana.</p>
4.8.4 Communicate and coordinate the Court's Continuity of Operations Plan and strategies with other court units and appropriate public safety agencies	<p><b><u>COOP Webpage</u></b> The Court continued to maintain its COOP webpage.</p> <p><b><u>Collaboration with District Court</u></b> See 3.6.1</p> <p><b><u>District Court Partnership</u></b> See 3.6.2</p> <p><b><u>Federal Executive Board</u></b> See 3.6.4</p>

# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## CENTRAL DISTRICT OF CALIFORNIA

Year	Ch 7	% Chg	Ch 11	% Chg	Ch 13	% Chg	Total	% Chg
1980	17,935	N/A	317	N/A	1,963	N/A	20,215	N/A
1981	19,145	6.7%	787	148.3%	5,723	191.5%	25,655	26.9%
1982	21,027	9.8%	2,022	156.9%	10,528	84.0%	33,577	30.9%
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	25,983	14.6%	1,937	-3.3%	9,018	-9.8%	36,938	6.5%
1986	34,286	32.0%	2,079	7.3%	10,452	15.9%	46,817	26.7%
1987	38,097	11.1%	1,675	-19.4%	9,903	-5.3%	49,675	6.1%
1988	39,962	4.9%	1,360	-18.8%	9,548	-3.6%	50,870	2.4%
1989	41,869	4.8%	1,394	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	64,338	35.0%	2,272	53.3%	12,355	19.4%	78,965	32.7%
1992	76,842	19.4%	2,542	11.9%	14,483	17.2%	93,867	18.9%
1993	74,864	-2.6%	2,423	-4.7%	15,353	6.0%	92,640	-1.3%
1994	65,933	-11.9%	2,057	-15.1%	16,696	8.7%	84,686	-8.6%
1995	66,276	0.5%	1,449	-29.6%	15,104	-9.5%	82,829	-2.2%
1996	83,366	25.8%	1,065	-26.5%	18,253	20.8%	102,684	24.0%
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	-24.1%	19,340	-7.5%	102,435	-15.3%
2000	64,183	-22.3%	573	21.4%	16,028	-17.1%	80,784	-21.1%
2001	73,179	14.0%	573	0.0%	14,482	-9.6%	88,234	9.2%
2002	69,940	-4.4%	484	-15.5%	13,686	-5.5%	84,110	-4.7%
2003	65,227	-6.7%	371	-23.3%	10,088	-26.3%	75,686	-10.0%
2004	54,892	-15.8%	302	-18.6%	5,445	-46.0%	60,639	-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%	3,326	-17.4%	17,845	-78.8%
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	30.9%	1,125	-0.4%	32,176	34.9%	142,789	31.4%
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%
2014	45,655	-25.3%	505	-30.3%	11,200	-18.4%	57,360	-24.1%
2015	35,255	-22.8%	459	-9.1%	10,800	-3.6%	46,514	-18.9%
2016	30,384	-13.8%	433	-5.7%	10,569	-2.1%	41,386	-11.0%
2017	28,641	-5.7%	407	-6.0%	9,652	-8.7%	38,700	-6.5%
2018	28,481	-0.6%	464	14.0%	8,247	-14.6%	37,192	-3.9%
2019	29,807	4.7%	421	-9.3%	7,922	-3.9%	38,150	2.6%
2020	23,812	-20.1%	350	-16.9%	3,683	-53.5%	27,845	-27.0%

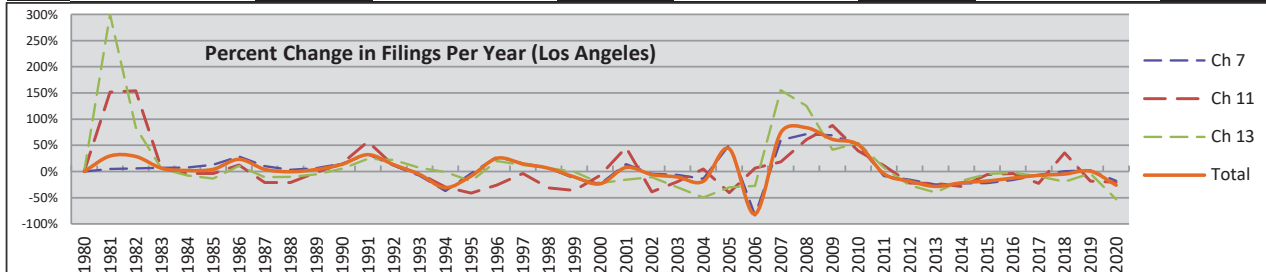


\*Based on CA Central District internal filings data

# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## LOS ANGELES DIVISION

Year	Ch 7	% Chg	Ch 11	% Chg	Ch 13	% Chg	Total	% 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%
1982	13,868	6.2%	1,291	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	-10.1%	32,997	-0.4%
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	44,065	-7.9%	1,694	-4.2%	9,286	7.0%	55,045	-5.6%
1994	27,701	-37.1%	1,190	-29.8%	9,189	-1.0%	38,080	-30.8%
1995	26,661	-3.8%	700	-41.2%	7,485	-18.5%	34,846	-8.5%
1996	34,165	28.1%	518	-26.0%	8,989	20.1%	43,672	25.3%
1997	39,533	15.7%	498	-3.9%	10,086	12.2%	50,117	14.8%
1998	42,181	6.7%	343	-31.1%	10,721	6.3%	53,245	6.2%
1999	36,837	-12.7%	220	-35.9%	10,668	-0.5%	47,725	-10.4%
2000	28,008	-24.0%	203	-7.7%	8,306	-22.1%	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	-6.4%	146	-19.3%	4,380	-29.9%	33,187	-10.4%
2004	24,664	-13.9%	153	4.8%	2,204	-49.7%	27,021	-18.6%
2005	37,166	50.7%	91	-40.5%	1,542	-30.0%	38,799	43.6%
2006	6,043	-83.7%	97	6.6%	1,119	-27.4%	7,259	-81.3%
2007	9,664	59.9%	115	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%	15,166	7.8%	54,293	-4.3%
2012	32,571	-15.6%	421	-22.2%	11,181	-26.3%	44,173	-18.6%
2013	24,573	-24.6%	325	-22.8%	6,717	-39.9%	31,615	-28.4%
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	12,414	-16.3%	210	-3.7%	5,136	-2.2%	17,760	-12.5%
2017	11,629	-6.3%	163	-22.4%	4,675	-9.0%	16,467	-7.3%
2018	11,682	0.5%	221	35.6%	3,767	-19.4%	15,670	-4.8%
2019	11,967	2.4%	181	-18.1%	3,628	-3.7%	15,776	0.7%
2020	9,816	-18.0%	144	-20.4%	1,707	-52.9%	11,667	-26.0%

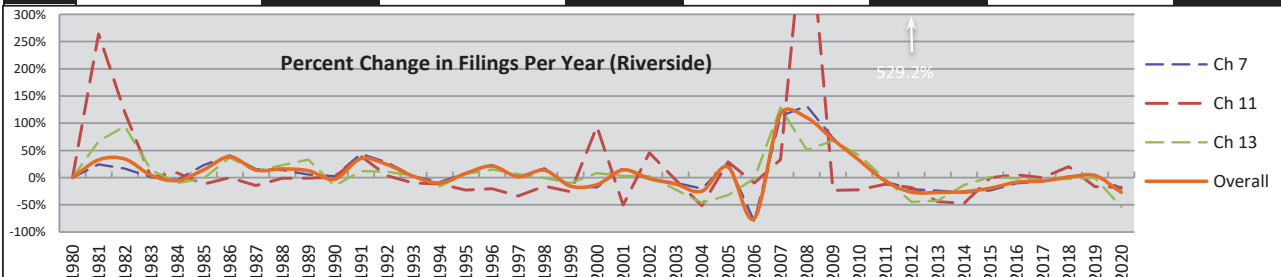


\*Based on CA Central District internal filings data

# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## RIVERSIDE DIVISION

Year	Ch 7	% Chg	Ch 11	% Chg	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	16.8%	200	119.8%	1,354	94.5%	4,924	34.1%
1983	3,394	0.7%	202	1.0%	1,540	13.7%	5,136	4.3%
1984	3,255	-4.1%	220	8.9%	1,384	-10.1%	4,859	-5.4%
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%	7,677	38.3%
1987	6,483	15.3%	166	-14.4%	2,091	12.4%	8,740	13.8%
1988	7,403	14.2%	164	-1.2%	2,570	22.9%	10,137	16.0%
1989	7,838	5.9%	162	-1.2%	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	28.0%	237	3.5%	3,613	11.0%	18,565	23.9%
1993	15,080	2.5%	213	-10.1%	3,737	3.4%	19,030	2.5%
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	18,484	23.1%	116	-20.5%	3,841	14.9%	22,441	21.3%
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	14,933	-17.5%	93	93.8%	3,951	8.0%	18,977	-13.0%
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	-9.3%	64	-4.5%	3,266	-22.0%	18,775	-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%	1,164	-1.8%	4,220	-75.0%
2007	6,440	113.2%	48	33.3%	2,660	128.5%	9,148	116.8%
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	33,618	30.3%	180	-22.4%	9,478	40.8%	43,276	32.1%
2011	31,147	-7.4%	158	-12.2%	9,199	-2.9%	40,504	-6.4%
2012	24,451	-21.5%	129	-18.4%	5,103	-44.5%	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	10,281	-23.4%	38	0.0%	2,580	1.1%	12,899	-19.4%
2016	9,215	-10.4%	40	5.3%	2,556	-0.9%	11,811	-8.4%
2017	8,606	-6.6%	40	0.0%	2,431	-4.9%	11,077	-6.2%
2018	8,770	1.9%	48	20.0%	2,373	-2.4%	11,191	1.0%
2019	9,204	4.9%	40	-16.7%	2,358	-0.6%	11,602	3.7%
2020	7,330	-20.4%	33	-17.5%	1,094	-53.6%	8,457	-27.1%

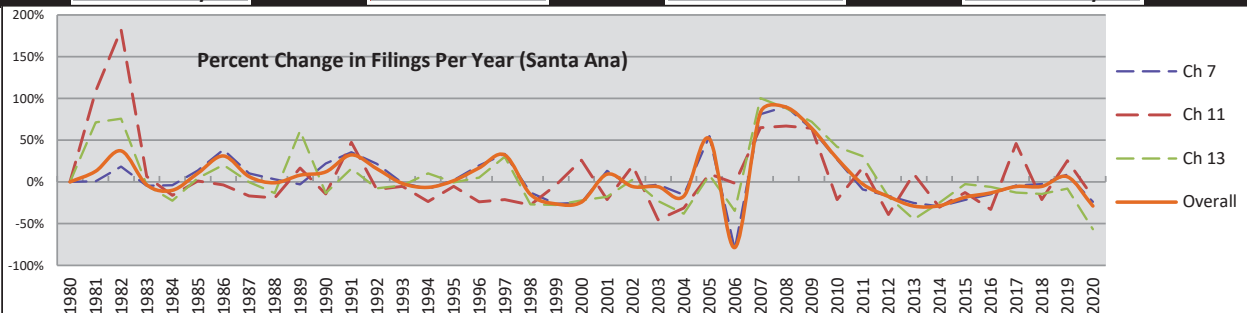


\*Based on CA Central District internal filings data

# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## SANTA ANA DIVISION

Year	Ch 7	% Chg	Ch 11	% Chg	Ch 13	% Chg	Total	% Chg
1980	3,181	N/A	90	N/A	505	N/A	3,776	N/A
1981	3,204	0.7%	188	108.9%	865	71.3%	4,257	12.7%
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%	5,071	-10.0%
1985	3,938	13.7%	480	1.3%	1,182	4.3%	5,600	10.4%
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%	7,819	6.5%
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	7,340	22.0%	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%
1996	13,361	19.8%	217	-23.9%	2,036	5.3%	15,614	16.8%
1997*	17,839	33.5%	171	-21.2%	2,647	30.0%	20,657	32.3%
1998	15,548	-12.8%	124	-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	-17.8%	10,753	9.2%
2002	9,092	-6.6%	141	19.5%	924	2.8%	10,157	-5.5%
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	54.8%	58	9.4%	480	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%
2008	7,626	90.3%	157	67.0%	1,183	88.1%	8,966	89.6%
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	11,920	-16.9%	145	-39.1%	3,108	-17.8%	15,173	-17.4%
2013	8,902	-25.3%	159	9.7%	1,714	-44.9%	10,775	-29.0%
2014	6,303	-29.2%	111	-30.2%	1,288	-24.9%	7,702	-28.5%
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%
2017	4,033	-4.3%	95	46.2%	1,031	-12.6%	5,159	-5.5%
2018	3,924	-2.7%	75	-21.1%	882	-14.5%	4,881	-5.4%
2019	4,277	9.0%	94	25.3%	812	-7.9%	5,183	6.2%
2020	3,256	-23.9%	77	-18.1%	352	-56.7%	3,685	-28.9%



\*Based on CA Central District internal filings data

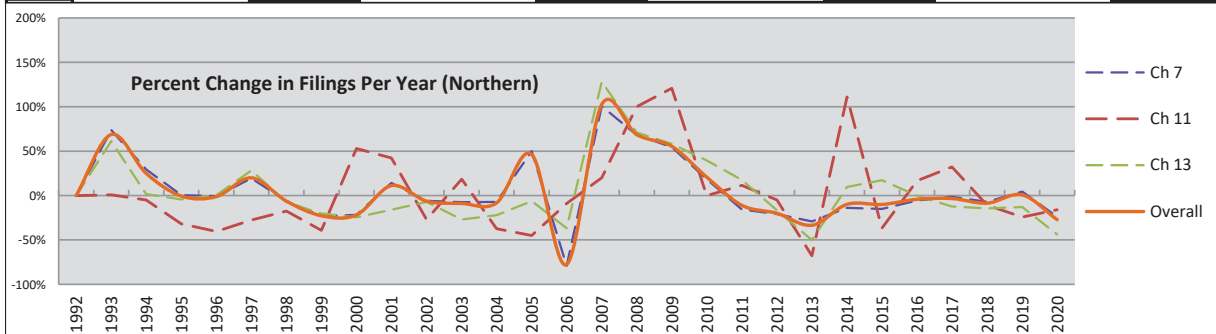


# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## NORTHERN DIVISION

(Filings prior to 1992 were included in Los Angeles Division)

Year	Ch 7	% Chg	Ch 11	% Chg	Ch 13	% 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	4,927	0.6%	79	-31.9%	549	-4.5%	5,555	-0.6%
1996	4,886	-0.8%	47	-40.5%	551	0.4%	5,484	-1.3%
1997	5,838	19.5%	34	-27.7%	707	28.3%	6,579	20.0%
1998	5,481	-6.1%	28	-17.6%	654	-7.5%	6,163	-6.3%
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%	3,877	-6.3%
2003	3,278	-7.5%	32	18.5%	223	-27.1%	3,533	-8.9%
2004	3,048	-7.0%	20	-37.5%	174	-22.0%	3,242	-8.2%
2005	4,571	50.0%	11	-45.0%	163	-6.3%	4,745	46.4%
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	-15.6%	59	11.3%	1,044	17.6%	6,052	-11.0%
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	2,390	-13.8%	38	111.1%	475	9.7%	2,903	-9.9%
2015	2,030	-15.1%	24	-36.8%	557	17.3%	2,611	-10.1%
2016	1,915	-5.7%	28	16.7%	557	0.0%	2,500	-4.3%
2017	1,890	-1.3%	37	32.1%	488	-12.4%	2,415	-3.4%
2018	1,756	-7.1%	33	-10.8%	418	-14.3%	2,207	-8.6%
2019	1,835	4.5%	25	-24.2%	364	-12.9%	2,224	0.8%
2020	1,393	-24.1%	21	-16.0%	205	-43.7%	1,619	-27.2%



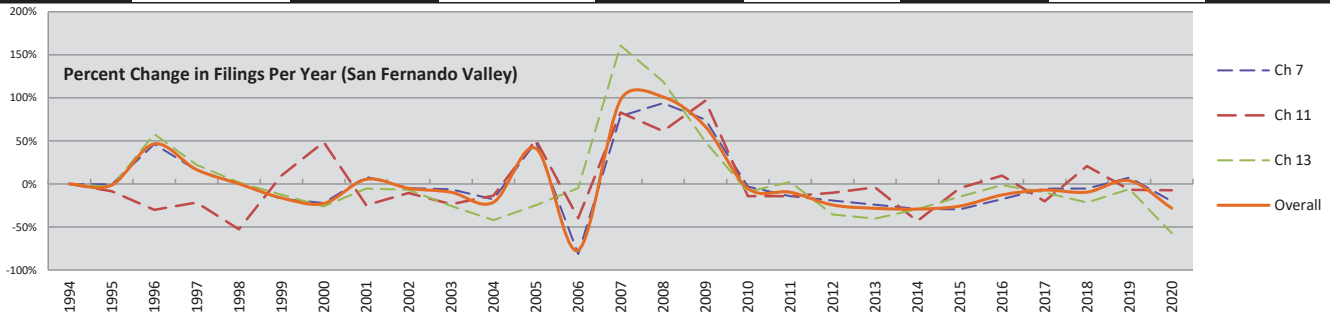
\*Based on CA Central District internal filings data

# BANKRUPTCY FILINGS AND PERCENTAGE CHANGES 1980-2020\*

## SAN FERNANDO VALLEY DIVISION

(Filings prior to 1994 were included in Los Angeles Division)

Year	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%
2017	2,483	-5.4%	72	-20.0%	1,027	-9.9%	3,582	-7.1%
2018	2,349	-5.4%	87	20.8%	807	-21.4%	3,243	-9.5%
2019	2,524	7.4%	81	-6.9%	760	-5.8%	3,365	3.8%
2020	2,017	-20.1%	75	-7.4%	325	-57.2%	2,417	-28.2%



\*Based on CA Central District internal filings data

United States Bankruptcy Court  
Central District of California



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**United States Bankruptcy Court  
Central District of California**

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**United States Bankruptcy Court  
Central District of California**

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For additional information regarding this report or the United States Bankruptcy Court for the Central District of California, you may contact the Clerk's Office at the locations below.

Kathleen J. Campbell  
Executive Officer/Clerk of Court

Benjamin Varela  
Chief Deputy of Operations

John C. Hermann  
Chief Deputy of Administration

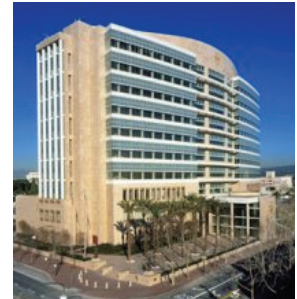
### LOCATIONS



Los Angeles Division  
255 East Temple Street  
Los Angeles, CA 90012



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Riverside, CA 92501



Santa Ana Division  
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