2017 - 2019

Strategic Plan

Michael K. Jeanes

Clerk of the Superior Court

Maricopa County, Az.

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Reflections

Michael K. Jeanes

Clerk of the Superior Court

One of life's most valuable tools is reflection. Philosopher Soren Kierkegaard reminds us that "Life must be lived forward, but it can only be understood looking backward." In looking back at my 29 years with the Clerk's Office, 18 of those years as the Clerk of Superior Court, a theme emerges in my mind that defines the Office. That theme is one of continual forward movement.

From the Law of Motion we know an object in motion (in this case, a business) tends to stay in motion. This makes sense but it is hardly inspiring, because the object just keeps moving at the same pace and in the same direction while accomplishing the same result. Although the object is in balance, the business only survives but does not thrive. I would venture to say you would find this to be true of many businesses where the vision doesn't keep pace with the needs of the customers, employees and technology. The business exists, but it doesn't evolve until the component of unbalanced force is applied to it.

Benjamin Franklin tells us never to confuse motion with action. Countless businesses never thrive because they are unable to move past the motion of vision, mission, values and strategy. Motion is an essential part of the business so I do not want to minimize its importance. A business requires motion to set the direction; however, the key is to apply action to the motion. If a business only plans and never acts, measurable progress cannot be made.

Motion is essential because it allows for preparing, strategizing and learning. But motion will never — by itself — lead to the result you are looking to achieve. Action, on the other hand, is the type of behavior that will get you results.

Just a few examples come to mind…

- If I outline 20 ideas for articles I want to write, that's motion. If I actually write and publish an article, that's action.
- If I email 10 new leads for my business and start conversations with them, that's motion. If they actually buy something and turn into a customer, that's action.
- If I search for a better diet plan and read a few books on the topic, that's motion. If I actually eat a healthy meal, that's action.
- If I go to the gym and ask about getting a personal trainer, that's motion. If I actually step under the bar and start exercising, that's action.

As I look at the history of the Office, the philosophy of the Law of Motion has been the cornerstone of our business approach. We never stop moving, changing, evolving, and getting things done. There is always something to do and our employees are the force that turns motion into action. They are an infinite source of ideas and efforts.

The accomplishments of our dedicated public servants when considered individually are impressive; but when collectively considered, they are astonishing. In my tenure as the elected Clerk, our employees have brought about innumerable initiatives including electronic court records (ECR), eFiling, Minute Entry automation, electronic document certification, and automated financial accounting. We are not finished yet. Just because we have seen success, we cannot rest on our results. We must keep pace with new technologies and be watchful for opportunities to improve wherever the need arises. We have customers and employees who depend on us and responsibilities for which we are accountable.

I am excited for the next three years and everything we are looking to accomplish. Thank you to our customers, employees and partners for their support in the past and in the future, as we continue our forward motion. The following pages will detail the unbalanced force we plan to apply to carry on our history of achieving outstanding results.

Sincerely,

Michael K. Jeanes, Clerk of the Superior Court, Maricopa County, Az.

Executive Team

Chris Kelly – Chief Deputy

Chris has been with the Office for 11 years. She has solidified her belief that the Clerk's operations are not only vital to the health of the judiciary, but also one of the most complex in the process. She urges new employees to network with others and to study processes and procedures as much as possible. She enjoys her day-to-day operational responsibilities, especially her oversight of IT. She believes one of the most important business skills to have is a strong understanding of emotional intelligence. One of her favorite quotes is by Martin Luther King: "The ultimate measure of a man is not where he stands in moments of comfort and convenience, but where he stands at times of challenge and controversy."

Rebecca Steele – Deputy Director, Family Support/Finance Services, Juvenile Ops, Strategic Planning, EDM QC

Becky joined the Clerk's Office in 2010; she cautions new employees the work is complex so they should ask lots of questions, take notes, and be patient through the learning process. When asked who the most influential person in her life was she replied it was her grandfather who taught her to be strong, independent and stand up for what's right. She strives to live by that standard by taking ownership for her actions, believing individual choices have consequences and in living life on purpose rather than by accident.

Cathy Clarich – Deputy Director, Adult/Juvenile Courtroom Services

Cathy came to the Clerk's Office three years ago and feels the position has provided great learning opportunities all the while being the most challenging of her 30 year court career. In order to be successful, she believes a good attitude and a willingness to learn are essential. One of her favorite quotes is "Life is 10 percent of what happens to you and 90 percent of how your respond to it." As a single mom in the early stages of her career, she often had to make the best of each situation and still believes these challenges helped her to become successful in her career and in life.

Nancy Rodriguez – Deputy Director, Document/Records Management and Marriage License/Passports

Nancy joined the Clerk's Office in 2013. When asked what she enjoys most about her job, she said the complexity and variety of work we do here is challenging and very rewarding; she learns something new about our operations on a regular basis and finds that to be very fulfilling. She believes to be successful you must believe in the mission and vision of the organization and be committed to working hard. Nancy's favorite quote is from Coco Chanel, "The most courageous act is still to think for yourself; aloud." She agrees it's important to stand up for what you believe in and do the right thing – even when no one's looking.

Vision

- The vision of the Clerk of the Superior Court is to be the most technologically advanced organization focused on delivering outstanding customer and employee satisfaction in every aspect of our operations.

Mission

- The mission of the Clerk of the Superior Court is to provide progressive and efficient court related records management and financial services for the justice system, legal community, and public so they have fair and timely access to accurate court records and services.

Values

- The Clerk of the Superior Court values innovation, collaboration, excellence and diversity.

Around the Clerk's Office…

The Clerk's Office was established by the State Constitution to serve the citizens, legal community, and the Superior Court. The Office was created to be responsive to the public, mindful of the taxpayer, and independent of the court itself. The specific and special duties of the Office are assigned by statute, the Arizona Supreme Court, and local and statewide court rules.

The functions of the Clerk satisfy more than 500 state statutes and court rules. Primary among the Office's responsibilities are:

- Provide public access to the records of the actions of Superior Court, Maricopa County
- Keep a docket
- Attend each Superior Court session to record the actions of the court
- Receive filings for Superior Court actions in civil, criminal, mental health, probate, tax, family court, and juvenile
- Provide various support services to the public
- Receive and disburse court-ordered fees, fines, and victim restitution
- Receive, distribute, and preserve official court documents
- Store exhibits for all court cases
- Process passport applications
- Issue and record marriage licenses

Daily Averages

33,228	pieces of paper filed daily
9,412	daily financial transactions
13,992	documents processed daily
$438,000	in monies processed daily

FY15 Statistics

Passports

49,209 applications

Marriage Licenses

24,464 ML's issued

Case Filings

146,716 new cases filed

OUR 3 STRATEGIC PRIORITIES

As the Clerk's Office looks forward into the next three years, we are ever more mindful of the vision, mission and values that energize us in actualization of our three strategic priorities: **customer satisfaction**, **employee development**, and **financial management**.

Since 2005, the Clerk's strategic plan serves as the guiding force for how we operate and innovate, and where efforts are focused. During that time, sweeping changes have taken place to usher in new methods for how we do business. Electronic court records, eFiling, eCertification, and the launch of the Mentor program are just a few examples that clearly demonstrate our commitment to delivering easy access and a better experience for customers, as well as simpler processes and development for employees.

Due to these successes and in support of the fiduciary role of the Clerk, the Clerk's Office will shift attention to much needed development and upgrade of our supporting financial systems during this plan year. In 2015, the Clerk completed business requirement development for the Restitution, Fines and Reimbursements (RFR) system and technical development is now underway. Additionally, business requirements for a general ledger system are complete, positioning the Office to move forward with procuring a vendor to replace aging technology for our general ledger system. To capitalize on the breadth of functionality these systems will bring, the Clerk will be migrating functions managed in other stand-alone systems into one ERP (Enterprise Resource Planning) system.

The following pages include illustrations of our strategic planned actions across the Office and the goals supporting each priority.

1

CUSTOMER SATISFACTION

Karl Albrecht, founder of Aldi's, defines a customer as, "…anyone who is affected by your work output." Our customers require advanced, accurate tools and services that are easily accessible to them whenever and wherever they are needed.

For the external customer, we recognize that trust and confidence in the courts is shaped by the public's personal experiences within the justice system. Often the Clerk's Office is the first face the public interacts with the court system. As a result, we begin our customer approach with the philosophy of respect for everyone. Secondly, we understand that access to the tools a customer may need to navigate through the process is vital to a positive experience. For our internal customers, working closely with the court and supporting agencies, timeliness of processing and access to the Clerk's products and services is paramount to their needs.

Through the establishment of the Clerk's Electronic Court Record (ECR), the Office is able to offer greater access to records and related services for our customers. Over 20 million additional records were added to the ECR since 2013, bringing the totals records housed to over 51 million.

Priority

Our priority is to expand services across the Office, leveraging our ECR to supply our customers with timely service by utilizing technology that allows them to access these services. With the completion of the Clerk's eFile Foundation project, we successfully expanded eFile usage through the development of Judicial Review, as well as broader usage within internal processes. In the previous plan period, we successfully expanded eFiling to include court customers outside of the civil case type.

Goals

1. eAccess to ECR

Since 2007, the Clerk has digitized incoming adult case paper records into an electronic format in order to facilitate greater access to all users. In 2013, the Office successfully completed the expansion of case record digitization to include Juvenile paper records. To further expand on this success, in this plan period a

project will launch aimed at digitizing historical Juvenile paper records. To further capitalize on the flexibility of the ECR, the Clerk is collaborating with the Administrative Office of the Courts (AOC) to offer access of court records from a remote environment. Ultimately, records that are currently viewable at the Clerk's Office public terminals could be accessed from anywhere and at any time.

2. eFile Expansion

Between 2013 and 2016, the Clerk experienced a 46% increase in eFiled documents due to expansion in Civil, Criminal and Family Court cases. Additionally, eFiling was rolled out to judicial Officers to support electronic handling beyond the borders of the Clerk's processes. In this plan period, additional expanded access to eFiling service will provide modern filing services for all our customers.

3. Expanded Payment Options

Today, the Clerk accepts payments in person, through mail and over the phone. Customers seek options to pay at any time of the day, through an electronic media capable of posting payments in real time. In this plan period, the Office plans to implement online and kiosk payments to allow customers the freedom to conveniently pay outside of normal business hours.

4. eCertification

Public agency and self-represented customers require certified copies for a variety of needs. Historically, certified copies were printed to paper and certified in the traditional fashion with the application of a certification stamp, handwritten signature, and raised seal. Since 2013, the Clerk's Office has successfully implemented eCertification with multiple public agency partners. In this plan period, this functionality will be expanded to self-represented customers beginning with marriage license copies.

"Quality of a product or service is not what you put into it. It is what the customer gets out of it."
Peter Drucker

Situation

Record retention guidelines can span from three years to 100 years. It is incumbent for the appointed record keeper to ensure records, regardless of type and volume, are protected and catalogued in a manner that provides for easy access to interested and authorized parties.

As time has passed, methods for recordkeeping have evolved from paper to microfiche/microfilm to electronic media. The Clerk has kept pace with changing technologies to continuously provide our customers with the most effective records management systems available.

Our Office leads the industry in electronic records management. Today, over 11,000 attorneys, 30,000 self-represented litigants, and 57 government agencies utilize the ECR online to access an ever growing electronic repository of court documents, currently in excess of 51 million.

These records are currently available through ECR and public terminals across Maricopa County in all Clerk of the Superior Court locations.

Strategy

As the need for access to court records expands beyond traditional jurisdictional boundaries, the necessity for additional public access tools also grows. Customers desire the ability to view accessible records from a variety of electronic media, when and where it is convenient for them.

Objective

A project to back-scan historical, inactive, Juvenile paper case records to digital images will launch in FY17. It is estimated this project will add approximately 2,000,000 images to the repository.

Also, in collaboration with the AOC, the Clerk's Office will broaden access to public court records through a fee based state portal that will better serve a greater population of external and internal customers. Customers will be given online capability to search the document repository and pay the associated fees.

"Meet your customers in the environment of their choice, not where it's convenient for you."
Eric Schmidt - Google

eFile Expansion

Situation

The growth of eFile usage in Family Court, Criminal and Tax cases over the prior strategic plan period, caused eFiling volumes to increase more than originally expected. On average, the Clerk's Office receives **188,509** paper documents monthly that are scanned, converted to electronic format, and stored in our EDMS.

Today's customers are seeking alternatives to conduct court business. Travel to physical sites can be expensive, time consuming and inconvenient. Our Office understands that customers need access to filing their documents electronically at any hour of the day, including holidays.

The AOC successfully implemented civil case initiation through the statewide eFile initiative in Pima County in 2015, and is currently piloting the program in Yavapai County.

In support of this AOC initiative, the Clerk's Office completed business requirements for civil case initiating documents in 2015. Recently the Clerk renewed discussions with the AOC to discuss migration of civil case initiation in Maricopa County through the AOC statewide eFiling portal.

The Office successfully migrated interagency documents, Initial Appearance and Petitions to Revoke along with other criminal sentencing minute entries through partnering with the Superior Court.

It is estimated that **35,000 civil** case initiating documents are received in paper annually. The volume of the identified agency related documents are estimated to be **240,000** annually.

Other documents that would benefit from eFiling are generated by case initiation or information submitted within the judicial system.

For example, Superior Court has recently collaborated with our Office to become the largest eFile service provider. This initiative will begin with the development of eFile capabilities for eSentencing and Family Court case processing within their case management system, iCIS NG.

Strategy

Electronic filing services will be expanded to cultivate an easy and more accessible remote platform for all customer groups. This will reduce costs and promote value to our customers, while delivering superior service.

Objective

Through partnership with the AOC and Superior Court, the Office will participate in the planning and implementation civil case initiating documents through the statewide eFile portal, as well as the eSentencing and Family Court eFile initiatives underway in iCIS NG.

In the previous strategic plan period, the Clerk's Office increased eFiled documents by 46%.

Expand Payment Options

Situation

As the fiduciary for the Superior Court in Maricopa County, the Clerk receives an average of 187,000 payments each month, with an average value of $10,049,000. Payments are taken through the mail, over the telephone, through judicial partner agencies, and across the filing counter.

By policy and statute, some payment methods are limited to guaranteed funds such as cash or wire, while others may be paid by credit card or money order. The type of payment required or allowed determines whether the customer will have to appear in person to make a payment, or whether it can be submitted through the mail or by phone. Depending on the method used, there may be a delay in processing the payment due to mailing time, bank hold policies, or other reasons.

In keeping with establishing processes and tools that are available to customers, our Office will continue to explore options for payment remittance outside the confines of normal office hours and traditional payment methods.

Strategy

Our plan will expand and simplify the payment remittance and intake process to strengthen the value and reduce application time, travel and postage costs for the customer. Internal processing costs will also be reduced by providing our customers with the ability to make automated payments.

Objective

Our goal is to partner with bank card service providers to establish a payer-facing payment tool accessible on the Clerk's website for customers to execute PCI compliant credit card and NACHA compliant ACH payments. This will satisfy court ordered fines/fees, using any personal electronic device at their dispos-

To deliver the desired value, the tool will also simplify administrative functions by electronically conveying remittance data for payment posting and cash application, thus providing reconciliation, reporting and inquiry history.

"There are no traffic jams along the extra mile!"
Roger Staubach

Situation

Public agency and self-represented customers require certified copies of the official court record for various reasons. Historically, certified copies were printed on paper and certified in the traditional application of a certification stamp, handwritten signature, and raised seal.

Although the Clerk's Office has been successful in providing direct access to the ECR via remote electronic means to many customers, we still receive a significant number of requests daily for certified copies.

Since 2013, the Office has successfully implemented eCertification with multiple public agency partners.

Strategy

With the success experienced with public agency partners, the Clerk is positioned to offer this service to external customers with certified copies of Marriage Licenses.

Growth potential will continue to be assessed to expand eCertification functionality to other documents for our customers as a matter of standard operating procedure.

Objective

In this plan period, **eCertification** of court documents **will be expanded to self-represented customers** beginning with **marriage license copies.**

This will be achieved in a secure application that will be utilized by staff to permanently affix requisite certification language and representation of the Clerk's seal attesting to the document's authenticity.

In FY17, the Clerk's Office will expand electronically certified copies of documents to self-represented customers, beginning with marriage license copies and ensuring certified copies generated by the process are capable of being verified as to their authenticity.

2

EMPLOYEE SATISFACTION

Satisfied employees create satisfied customers.

For the first time in American history there are four distinct generations working side-by-side in the workplace. This presents a new challenge in the workplace that is unrelated to downsizing, market competition, tenure in position, or even experience in the industry. Individuals with different values, ideas, ways of getting things done and different ways of communicating in the workplace have always existed, but not with such dramatic differences. Each generation has distinct attitudes, behaviors, expectations, habits and motivational buttons that bring change to traditional rules and roles of employer/employee relationships.

Today's employees desire additional flexibility to balance their work commitments with their personal lives, as well as advancement opportunities. To attract and retain today's employee, the Office is committed to providing our employees with opportunities for advancement through leadership development and a work environment that promotes the recognition and rewarding of high performance, as well as supporting the generational needs and values important to our team members.

In FY16 we experienced a turnover rate of **25%.** Our Office is dedicated to addressing this by being an employer of choice, providing an environment where employees thrive, develop, and experience career growth.

In addition to being an employee advocate in the merit process, in this plan period the Clerk's Office will implement a number of strategies to address the needs of our employees. This includes succession planning and mentor relationships intended to identify and prepare participants with upward mobility opportunities. Employees desire flexible work hours to spend more time with families or leisure activities. Also, employees often operate in a fast paced, stressful environment with complex work duties. As a result, standardization can be difficult to accomplish while learning the ever-changing steps in the process. This requires a simplified training model to allow for faster onboarding, achieving work duty delivery while reducing the related stress factors. In order to accomplish this more effectively, training methods will be reviewed and revised.

Mentor Program and Succession Planning

Situation

The Clerk's Office is fortunate to have a diverse, talented and dedicated workforce, many of whom have been with the Office for their entire career. They serve our diverse customers well, especially during the economic crisis when salaries held flat due to necessity.

As the economy began to recover we experienced turnover at a rapid pace, averaging over **20%**. When in recovery, the private sector continued to outpace the public sector in areas such as compensation and attracted valuable employees.

The leadership team has advocated diligently for performance increases for our staff, and the County has generously responded. Although slow to heal, we believe this trend will improve over the coming years.

We understand employees want more than compensation. They desire learning and advancement opportunities and greater workplace flexibility. We are ready for the challenge.

Strategy

In fiscal 2016 the Clerk's Office implemented a successful pilot mentoring program. The program was aimed at not only identifying talented employees who need advice and support in their current position, but helping them prepare for potential advancement through career planning.

We believe the ideal place to target succession planning is our current employee population, filled with talented individuals who the agency and the operations. Where better to grow our next generation of leaders and mentors?

Objective

In this plan period, the Clerk's Office will **expand the mentoring program to encourage mentors at the Administrator and Manager level** to diversify and encourage more employees to participate in the program.

Additionally, the Clerk will **develop a succession plan** to address the **19% of employees who are eligible to retire** by fiscal year 2020. This number includes many of whom are in management positions.

> **"The growth and development of people is the highest calling of leadership."**
>
> **Harvey S. Firestone**

Flexible Hours and Training

Situation

As the number of generations represented in the workforce expands, the values and preferences of employees who are born of those generations have evolved.

Baby Boomers (1946 – 1964), who have dominated the workforce culture for decades, were born with a commitment to the employer. They often placed work as a higher priority than leisure and family time.

Gen X's (1965 – 1980) look for a work/life balance and believe they achieve their goals by working smarter not longer. Millennials (1981 – 2001) expand upon this belief, looking for concepts such job sharing, flexible schedules and self-development.

As the Baby Boomers retire, it is incumbent upon employers to shift traditional paradigms to better attract and retain employees of all generations. Common to diverse generations is the desire to perform well and be rewarded for a job well done. To achieve this, employees must have an environment conducive to learning.

Traditional training methods must be evaluated to identify new, more advanced platforms to learn.

Strategy

In fiscal 2016 the Clerk's Office implemented a pilot program to offer employees the opportunity to participate in flexible schedules.

Since that pilot launched, 53% of employees have opted into the program, with schedules ranging from earlier and later start times, to longer work days with half-days or full-days off.

Additionally, the Clerk has taken a new approach toward employee training, shifting from one-on-one training to classroom or group job training sessions.

Additionally, the Office is committed to further developing computer based training. In 2015, we began these efforts with a pilot group of Courtroom Clerks, who work inside the courtroom. The results were extremely successful.

Objective

In this plan period, the Clerk's Office will expand flexible schedules to enable more employees to participate in the program.

Additionally, we will continue to focus on training, specifically computer based.

We will solidify our efforts in Courtroom Services through a modified courtroom clerk curriculum to replace 75% of time consuming training for new clerks with alternative methods including classroom and video learning. To date, 20 classes have been identified and storyboards have been created.

For tenured clerks, our goal is to cross train across case types to support deployment according to need. Classes are held on weekends and to date, 45% of clerks are cross trained in at least one other case type. The completion date of this initiative is targeted for June 30, 2017.

Similar tools will also be used for all clerks to develop knowledge across soft skill and business process disciplines.

"The competition to hire the best will increase in the years ahead. Companies that give extra flexibility to their employees will have the edge in this area."
Bill Gates

3

FINANCIAL MANAGEMENT

Fiduciary of the Court - Servant of the Public

In this capacity, the Clerk receives, manages, and disburses all fees, fines, bonds and restitution for the Court. The Clerk also receives monies to be held in trust in a fiduciary capacity for the Court. Proper and accurate accounting of these monies is paramount to preserving the trust of those we serve.

As the fiduciary for the Superior Court, each year the Clerk's Office receives and distributes an average of **$120,597,000** in support, restitution, and other court related fees. Our commitment to ensure recipients receive funds due them requires timely and accurate management of the resources necessary to process these funds.

These monies are receipted into the Receipting system developed and implemented by the Clerk's Office in 2010. The receipting system is integrated with other Clerk of Court systems that manage a variety of monetary obligations driven by statute or Court order.

These highly advanced and specialized systems require the attention of our Information Technology Group (ITG) and therefore will be the Clerk's primary focus through much of this plan period.

The RFR (Restitution/Fines/Reimbursements) system manages over $2.5 billion in court ordered assessments, and exists on aged technology. It is imperative the system be upgraded. It will be necessary for the Clerk's general ledger system to be upgraded as well. To leverage these upgrades to the fullest extent, the Clerk will integrate other stand-alone systems currently in place for accounts receivable, accounts payable, and purchasing into a comprehensive ERP platform to lay the foundation for implementing the RFR system in early 2018.

"Design is not just what it looks like and feels like; it's about how it works."
Steve Jobs

Replace Existing Financial Systems

Situation

The Clerk's Office identified a long-term strategy to develop an integrated financial system to ensure the effective management of all financial transactions. This strategy included the replacement of several legacy systems including RFR, general ledger, Receipting Billing and Trust.

In 2010, the Clerk's Office implemented a new Receipting System developed internally by the Clerk's ITG team utilizing the latest technologies. Since its implementation, the Office has benefitted from the efficiency users have experienced through improved functionality and enhanced integration with other systems.

In 2012, the Office upgraded the Revenue Results system that manages filing fee deferral payments. That effort allowed for better management for deferred filing fees and other court ordered fees, by providing a more robust billing platform that includes email billing notification.

In 2015, the Office completed development of business requirements for a new RFR system. Being the single most complex of the systems in the Clerk's toolbox, the efforts of our most experienced and talented business analysts and ITG resources, along with outside contractors tackled this initiative. Technical development is currently progressing according to the established timetable.

In concert with this effort, business requirements for a new general ledger system were finalized in early 2016. This effort included requirements for procurement, accounts payable, accounts receivable, and fixed assets.

Strategy

In support of the goal to achieve a fully integrated financial system, it is necessary to replace multiple aging legacy systems and automate current manual processes.

To accomplish this goal, our RFR, general ledger, the trust application, and billing systems will be replaced with a fully functional ERP system to provide the necessary functionality needed to integrate with the new RFR system.

Additionally, the ERP system will house other modules that allow for staged deployment for replacing these legacy systems. This will deliver functionality for automating manual processes currently in place, including asset management and purchasing processes.

Objective

The Office will continue our in-house development of the RFR system targeting early 2018 for implementation.

The Office will acquire and implement a mid-range ERP system in fiscal 2017, to support the general ledger needs for the planned deployment of RFR.

As resource availability allows, staged deployment of additional integrated modules will precede and/or follow integration of RFR in 2018.

This approach will ensure a fully integrated financial system is achieved, while supplying the flexibility to migrate systems in a staged manner.