

**State Bar Court
of California**

**2014 Report
Court Performance
Standards and Assessment**

Court Performance Standards Assessment

A Study of the State Bar Court

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State Bar Court of California
2014 Court Performance Standards Assessment

Introduction

The State Bar Court has used the Court Performance Standards Assessment to evaluate its overall performance since 2004. The goal is to comprehensively measure the court's performance on an ongoing basis at a modest cost in time and money.

We examine court performance in five specific areas:

1. Access to Justice
2. Expedition and Timeliness
3. Equality, Fairness, and Integrity
4. Independence and Accountability
5. Public Trust and Confidence

These performance measures are formulated from those recommended for courts of record by the National Center for State Courts. Several measures are based on existing State Bar Court timelines, which derive from the Rules of Procedure of the State Bar and pendency standards similar to those of the American Bar Association. The key performance measures analyze: time to trial, submission time for decisions and opinions, overall pendency of cases, and backlog reduction.

Over the past several years, the State Bar Court has improved overall efficiency in case processing in its effort to increase public protection without sacrificing due process rights of attorneys. Some of the 2014 accomplishments include:

Hearing Department

- Timely filed decisions and stipulations in 100% of the cases for the last 14 quarters. (Measure 5)
- Reduced backlog to 10% or less for the last five quarters. (Measure 4)
- Completed 83% of its cases within the timelines in the fourth quarter. The 90% goal was last met in the first quarter of 2013. (Measure 3)

Historically, more hearing department cases have been resolved by stipulation than by a decision following trial. In 2014, 50% of the cases resulted in a stipulated discipline, while trials accounted for 19% of the dispositions. The remaining cases were disposed of by default decision, ADP decision, dismissal, or other termination orders (due to death or disbarment in other cases).

Notably, the hearing department achieved these accomplishments despite fluctuations in judicial resources. Specifically, near the end of 2014, a new hearing judge joined the court, and a vacancy was created when another hearing judge was elevated to the Review Department.

Review Department

- Timely filed opinions in 100% of cases for over 11 years. (Measure 5)

Beginning in 2013 through the present, our court has experienced a significant increase in filings of petitions for review. For over a decade, two of the three review judges have maintained a part-time schedule (60%), while the presiding judge has worked full-time. To address the recent increase in case filings, one of the two part-time review judges assumed full-time status in 2014, temporary legal help was added, various internal procedures were streamlined, and a retired State Bar Court presiding judge was appointed (in February 2015) to serve pro bono as a pro tem review judge for 18 months. These actions have improved the efficient processing of review department cases.

Effectuations

- Achieved a 0% backlog for three of four quarters in 2014.

Conclusion

The State Bar Court has adopted high standards of performance to increase public protection and preserve confidence in the legal profession. We will endeavor to meet those standards while continuing to demonstrate the objectivity, effectiveness, and competence associated with our court.

I wish to acknowledge and thank the judges, managers, and all staff members for their dedication and hard work this past year and always.

Catherine D. Purcell
Presiding Judge, State Bar Court
May 2015

**State Bar Court of California
Core Performance Measures**

MEASURE	PERFORMANCE AREA	OPERATIONAL DEFINITION	METHODOLOGY	STANDARD
1. Survey of Court Performance	Area 1: Access to Justice	A survey administered to obtain perceptions about the court from litigants in five performance areas: Access to Justice; Equality, Fairness and Integrity; Expedition and Timeliness; Independence and Accountability; Effectiveness and Quality	Using a consultant's services, administer the Court Performance Inventory (CPI) Survey; distribute the survey to various litigants with a cover letter and due date; compile and review the results.	Improve performance in targeted areas; maintain performance in other areas; resurvey in 24-36 months.
2. Caseload Clearance	Area 2: Expedition and Timeliness	Number of cases "cleared" (completed) as a percent of total number of cases filed	Calculate the total number of cases closed in the State Bar Court and compare to the total number of cases filed during the same time period. Express results as a percentage.	100% clearance rate or a 1:1 ratio of dispositions to case filings.
3. On Time Case Processing	Area 2: Expedition and Timeliness	Closed Cases: Percent of cases reaching the first final outcome (i.e. resolved, disposed, or concluded) within established timeframes	For closed matters, calculate the number of days a case was open in Hearing, in Review, and in Effectuations. Using existing SBC Timelines, express results as the percentage of cases meeting the timeframes established at each level.	For Hearing and Review Departments, 90% of cases to be processed within case type timelines; 100% of cases to be processed within 150% of case type timelines; for Effectuations 100% of cases to be processed within timeline.
4. Case Backlog	Area 2: Expedition and Timeliness	Open Cases: Total workload represented by the pending cases that are "older" than the established time guidelines for these cases	For open matters, calculate the number of days the case has been open in Hearing, in Review, and in Effectuations. Using the existing SBC Timelines, express results as the percentage of open cases which exceed the guidelines.	For Hearing and Review Departments, backlog not to exceed 10%; for Effectuations, no backlog or 0%.
5. Commencement of Trials & Oral Arguments; Timeliness of Submissions	Area 2: Expedition and Timeliness	The percent of trials and oral argument commenced within established timeframes, and the percent of cases under submission in which the decision, order or opinion are filed within established timeframes	For Trials and Oral Argument conducted, calculate the number of days the case was pending before the Trial or Oral Argument commenced, and report the percent commenced within the SBC Timelines. For decisions, orders and opinions filed, calculate the number of days a case was under submission, and report the percent of cases in compliance with the SBC Timelines.	For Trials and Oral Arguments, 90% of cases commence Trial/Oral Argument within case type timelines; 100% commence within 150% of timelines. For Submission time, 100% compliance with case type timelines.

**State Bar Court of California
Core Performance Measures**

MEASURE	PERFORMANCE AREA	OPERATIONAL DEFINITION	METHODOLOGY	STANDARD
6. Case File Reliability and Accuracy	Area 3: Equality, Fairness and Integrity	Percentage of case files meeting established criteria of accuracy and completeness (integrity)	Establish criteria regarding timeliness and accuracy of case processing. Select a sample of various case types and compare to the established criteria to verify timely and accurate processing. Express results as the percentage of case files which met the criteria.	100% compliance with established audit criteria.
7. Accountability for Public Resources	Area 4: Independence and Accountability	Review of adopted budget as compared to actual expenditures	Compare the monthly and cumulative expenditures to the adopted budget. Report basis for over/under expenditures. Determine and report the impact of the current expenditure rate.	Operate within authorized budget.
8. Public Education - Outreach Events and Written Practice Guides	Area 4: Independence and Accountability	Assessment of Court's Community Outreach efforts	Assign responsibility for documenting and coordinating the State Bar Court's outreach efforts. Develop an evaluation survey to distribute at the close of each session; tabulate and report the results of the surveys.	Conduct at least 1 Annual Bench/Bar Meeting; Present at least 1 program at Section Education Institute and/or Annual Meeting; participate in at least 10 outreach activities per year; increase the written and electronic dissemination of materials.
9. Court Workforce Strength	Area 4: Independence and Accountability	A survey administered to court employees to obtain their views and opinions regarding Resources; Vision, Goals and Priorities; Management and Leadership; Job Satisfaction and Nature of Work; Communication; Teamwork; Structure and Organization	Resurvey staff regarding resources, goals, leadership, job satisfaction, communication, teamwork and organizational structure. Compile and review the results. Compare with prior survey results.	Improve performance in targeted areas; maintain performance in other areas; resurvey staff in 24-36 months.

State Bar Court of California
Timelines (not applicable to expedited proceedings)

Day	Department	Activity
Track 1 - Hearing Department (decision)		
1	Hearing	Case filed
5	Hearing	Case assigned to judge
10	Hearing	Notice of assignment prepared; Notice of 1st status conference served
25	Hearing	Response due (assumes date of filing and service are the same)
40	Hearing	Last day to request discovery
45	Hearing	1st status conference held; pre-trial conference and trial dates set
65	Hearing	Discovery served
75	Hearing	2nd status conference held; (as needed)
85	Hearing	Settlement conference held
95	Hearing	Exhibits and witness list due
105	Hearing	Pre-trial conference held
125	Hearing	Trial held
130	Hearing	Case submitted (when 5 or less days of trial required)
135	Hearing	Case submitted (when 5-10 days of trial required)
140	Hearing	Case submitted (when culpability and mitigation/aggravation phases are bifurcated)
230	Hearing	Decision filed
265	Hearing	Case closed out (sent to Effectuation) or forwarded to Review Department
295	Effectuation	Case transmitted to Supreme Court (probation, suspension, disbarment cases only)
Track 2 - Hearing Department (motion for reconsideration)		
250	Hearing	Last day to file motion for reconsideration (as appropriate)
265	Hearing	Opposition due
275	Hearing	Ruling on motion for reconsideration due
310	Hearing	Case closed out (sent to Effectuation) or forwarded to Review Department
340	Hearing	Case transmitted to Supreme Court (probation, suspension, disbarment cases only)
Track 1 - Review Department		
1 / 310	Review	Request for plenary review filed
45 / 355	Review	Transcript prepared, received by court, served on parties
95 / 405	Review	Opening brief due
130 / 440	Review	Responsive brief due
150 / 460	Review	Reply brief due; case assigned to judge/counsel
245 / 585	Review	Oral argument held; case submitted
335 / 675	Review	Opinion filed
355 / 695	Review	Case transmitted to Effectuations
385 / 725	Review	Case transmitted to Supreme Court (probation, suspension, disbarment cases only)

**State Bar Court of California
Timeline Standards by Case Type**

Timeline standards in days and Court Performance Measure(s) utilizing this standard.
(2011 revised standards based on new rules and timelines used to measure cases filed on and after July 1, 2011.)
(2014 revised standards based on revised rules effective July 1, 2014.)

Case Type (see following page for descriptions)	<i>Hearing Pendancy (Time spent open in the Hearing Department) (Measures 3 and 4)</i>	<i>Review Pendancy (Time spent open in Review Department) (Measures 3 and 4)</i>	<i>Effectuations Pendancy (Time spent open in Effectuations) (Measures 3 and 4)</i>	<i>Pendency at Time of Trial (Time spent open in the Hearing Department at commencement of trial) (Measure 5)</i>	<i>Pendency at Time of Oral Argument (Time spent open in Review Department at time of Oral Argument) (Measure 5)</i>	<i>Hearing Submission Time (Number of days matter was submitted for decision in the Hearing Department) (Measure 5)</i>	<i>Review Submission Time (Number of days the matter was submitted for Opinion in the Review Department) (Measure 5)</i>	<i>Hearing Submission Time for Stips (Number of days matter was submitted for order re: stipulation in the Hearing Department) (Measure 5)</i>	<i>Hearing Pendancy at Completion of Alternative Discipline Program (Number of days in Referral, Evaluation and Program) (Measure 3)</i>
AE	95	*	30	45	*	30	*	30	~
C##	265	355	30	125	245	90	90	30	1395
G	110	*	30	60	*	30	90	30	~
H##	265	355	30	125	245	90	90	30	1395
J##	220	355	30	90	245	90	90	30	1395
M	335	355	30	200	245	90	90	30	~
N##	265	355	30	125	245	90	90	30	1395
O##	265	355	30	125	245	90	90	30	1395
PF#	50	*	30	25	*	5	*	0	~
PM##	125	355	30	60	245	30/90***	90	30	1395
Q	0	125	15	0	0	0	0	0	~
R##	335	355	30	200	245	90	90	30	~
S	175	355	30	110	245	90	90	30	~
TB	80	*	30	30	*	30	*	30	~
TE##	85	*	30	35	*	30**	*	30**	~
TH	69	*	30	35	*	10**	*	10**	~
TR	80	*	30	30	*	30	*	30	~
TT	150	*	30	100	*	30	*	30	~
V	115	*	30	80	*	15	*	15	~
W#	~	~	30	~	~	~	~	~	~
ZA	44	*	30	0	*	10**	*	10**	~
ZB	80	*	30	30	*	30	*	30	~
ZE	64	*	30	30	*	10**	*	10**	~
ZH	64	*	30	30	*	10**	*	10**	~
ZR	80	*	30	30	*	30	*	30	~
ZT	80	*	30	30	*	30	*	30	~

= new standard for Case Type starting 7/1/2011

= revised standard effective 7/1/2014

~ = standard not applicable

* = matters subject to interlocutory review only

** = court days

*** = Stip/Decision ADP

**State Bar Court of California
Case Types and Descriptions**

Case Type	Description
AE	Fee Arbitration Enforcement
C	Conviction Referral
G	Legal Services Trust Fund
H	Rule 9.19 (Violation of reproof conditions)
J	Discipline in Other Jurisdiction
M	Moral Character
N	Rule 9.20 (Duties of Disbarred, Resigned, Suspended Attorneys)
O	Original Matter
PM	Probation Revocation - Motion
Q	Resignation with Charges Pending
R	Reinstatement
S	Legal Specialization
TB	Inactive Enrollment §6007(b)(1) (Insanity Defense)
TE	Inactive Enrollment §6007(c) (Substantial Threat of Harm)
TH	Interim Remedies §6007(h) (Restricted Practice)
TR	Inactive Enrollment §6007(b)(2) (Court Jurisdiction of Law Practice)
TT	Inactive Enrollment §6007(b)(3) (Mental Illness/Substance Abuse)
V	Standard 1.4(c)(ii) (Relief from Actual Suspension)
ZA	Return from Inactive Arbitration Enforcement
ZB	Return from Inactive §6007(b)(1) (Insanity Defense)
ZE	Return from Inactive §6007(c) (Substantial Threat of Harm)
ZH	Interim Remedies §6007(h) (Restriction Lifted)
ZR	Return from Inactive §6007(b)(2) (Court Jurisdiction of Law Practice)
ZT	Return from Inactive §6007(b)(3) (Mental Illness/Substance Abuse)

Measure 1

Survey of Court Performance

Definition

This measure reports the results of a survey administered to litigants to obtain their perceptions about the court in the following performance areas: Access to Justice; Equality, Fairness and Integrity; Expedition and Timeliness; Independence and Accountability; and Effectiveness and Quality.

Standard

Based on the first survey results in 2004, the following standard was adopted:

Identify and improve performance in targeted areas; maintain performance in other areas; resurvey approximately every 24-36 months.

Methodology

In 2008, the court contracted with consultant Dr. Brenda J. Wagenknecht-Ivey to re-administer the survey of court users. Using a consultant outside the court ensured that survey responses would be confidential. This survey evolved from surveys used by courts of record to assess their performance, with the questions adapted to reflect the procedures of the State Bar Court. Those surveyed included attorneys from the Offices of Chief Trial Counsel, Probation, and Fee Arbitration, respondents, and respondents' counsel. The survey results highlighted the following three areas for improvement: (1) procedural fairness; (2) perception of independence; and (3) timeliness.

In 2013, the court worked with the National Center for State Courts to administer a self-assessment questionnaire to measure court performance, which was adapted from the International Framework for Court Excellence. Refer to Measure 9 for more details.

Measure 2 Caseload Clearance

Definition

A comparison of the number of cases closed to the number of cases filed.

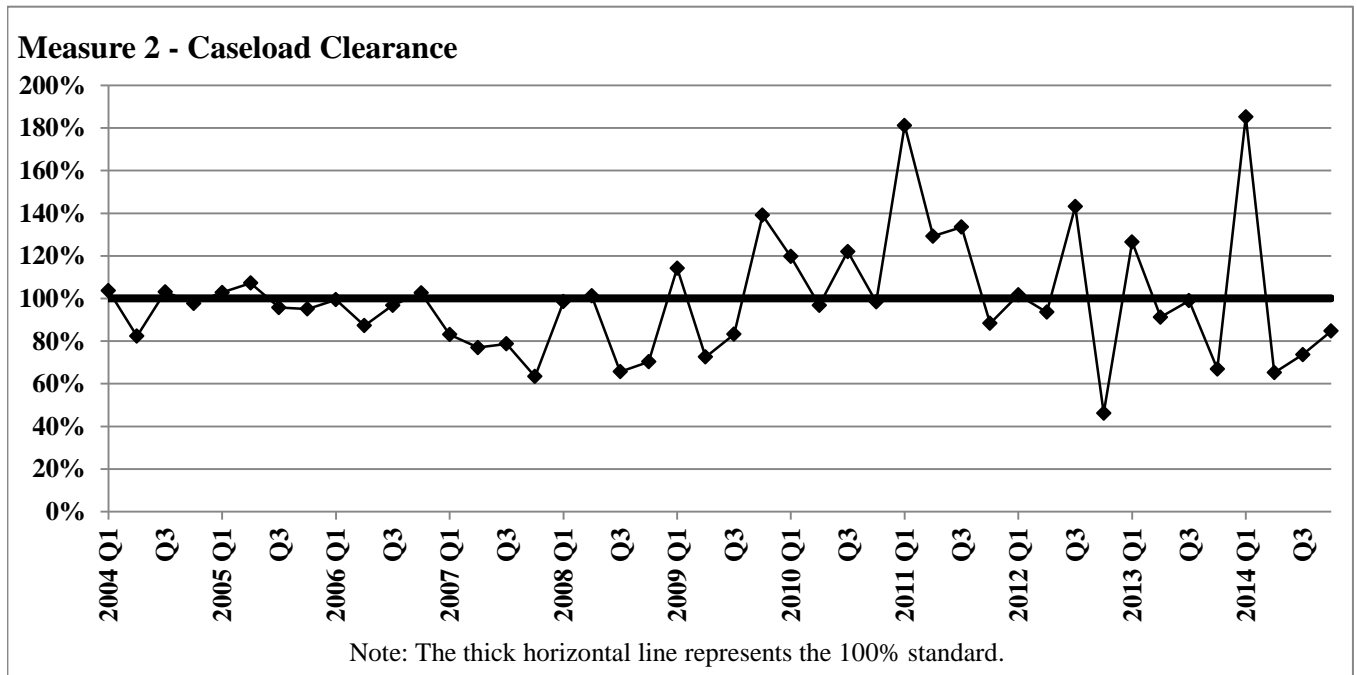
Standard

100% clearance rate or a 1:1 ratio of cases closed to cases filed.

Methodology

Each quarter, the number of cases closed (i.e., final disposition) is calculated and compared to the number of cases filed. If the court closed as many cases as were filed during the quarter, the percentage cleared would be 100%. If the court closed fewer cases than were filed, the percentage would be less than 100%; and if the court closed more cases than were filed, the percentage would be greater than 100%. Generally accepted court performance standards suggest that courts aspire to clear at least as many cases as are filed within the reporting period.

Beginning in 2011, two additional case types are tracked: pre-filing matters and voluntary resignations without charges pending. Pre-filing matters (e.g., motion to quash subpoena) are included in the Caseload Clearance chart, but voluntary resignations are not. However, the resignations are tracked since the high volume can impact the court's overall workload but not reported here. In 2013, 362 voluntary resignations were processed and 524 have been processed through the fourth quarter of 2014.



Measure 2 - Caseload Clearance

		Cases Cleared	Cases Filed	Percent Cleared
<i>Adoption of CPS Standards</i>	2004 Q1	223	215	104%
	Q2	210	255	82%
	Q3	231	224	103%
	Q4	212	217	98%
	2005 Q1	218	212	103%
	Q2	177	165	107%
	Q3	202	211	96%
	Q4	174	183	95%
	2006 Q1	185	186	99%
	Q2	205	235	87%
	Q3	182	188	97%
	Q4	197	192	103%
	2007 Q1	152	183	83%
	Q2	144	187	77%
	Q3	133	169	79%
	Q4	111	175	63%
	2008 Q1	137	139	99%
	Q2	167	165	101%
	Q3	134	204	66%
	Q4	156	222	70%
	2009 Q1	169	148	114%
	Q2	119	164	73%
	Q3	159	191	83%
	Q4	242	174	139%
	2010 Q1	219	183	120%
	Q2	184	190	97%
	Q3	244	200	122%
	Q4	246	250	98%
2011 Q1	328	181	181%	
Q2	296	229	129%	
Q3	303	227	133%	
Q4	287	325	88%	
2012 Q1	178	175	102%	
Q2	190	203	94%	
Q3	229	160	143%	
Q4	135	292	46%	
2013 Q1	167	132	127%	
Q2	198	217	91%	
Q3	189	191	99%	
Q4	194	290	67%	
2014 Q1	213	115	185%	
Q2	146	224	65%	
Q3	171	232	74%	
Q4	216	255	85%	

Measure 3 On Time Case Processing

Definition

The percentage of closed cases that were processed within established timelines.

Standard

Hearing and Review:

90% of cases to be processed within the case type timelines;

100% of cases to be processed within 150% of the case type timelines.

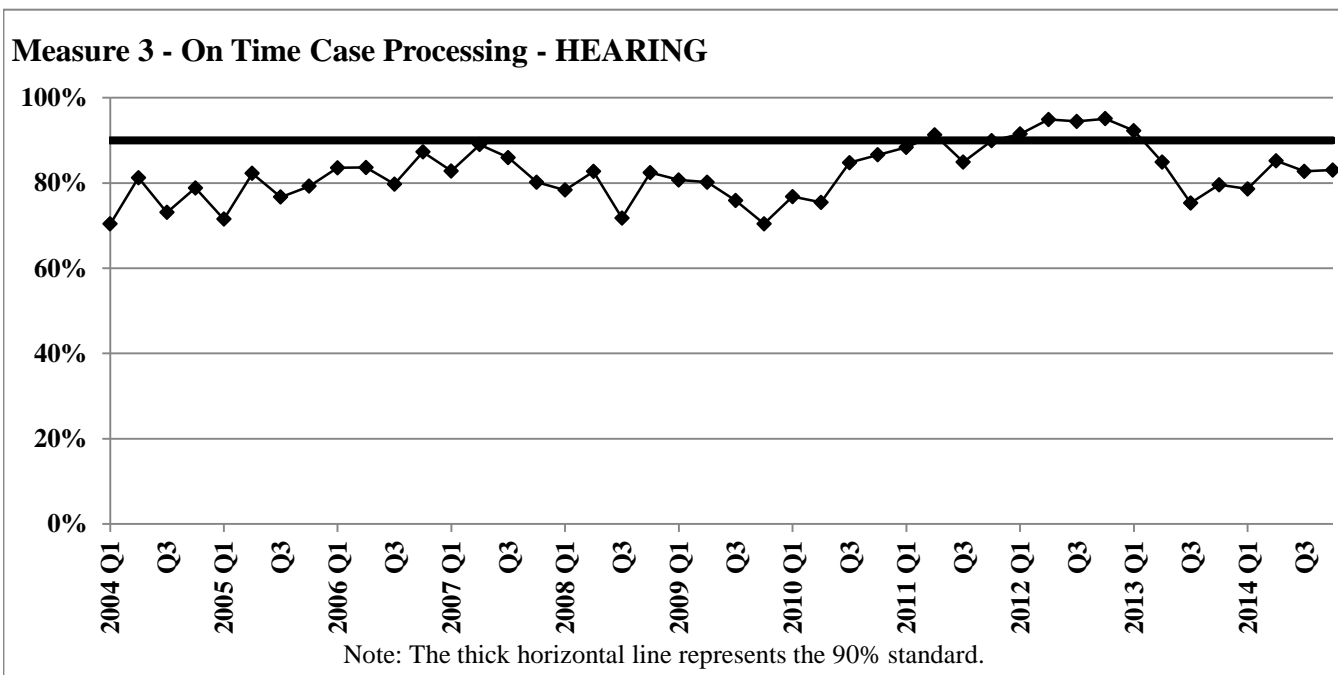
Effectuations:

100% of cases to be processed within the timeline.

Methodology

The cases examined are those cases closed (i.e., final disposition) during the quarter. The number of days the case was open in each department (Hearing, Review, and Effectuations) is calculated. An open case is one that is pending in a department, which is not abated and not in the State Bar Court's Alternative Discipline Program (ADP). The number of days open in each department is then compared to the existing timelines for that department and case type (see "Timeline Standards by Case Type"). Results are reported for each department.

Beginning in 2012, the ADP cases in the Hearing Department are measured against timelines based on all phases of the program: referral, evaluation, and program status. Also, all reports have been adjusted to exclude the time a case is in default.



Measure 3 - On Time Case Processing - Hearing

	Cases Closed	Cases Within Timeline	Percentage Within Timeline	Cases Within 150% of Timeline	Percentage Within 150% of Timeline
2004 Q1	206	145	70%	-	-
Q2	181	147	81%	-	-
<i>Adoption of CPS Standards</i>	Q3	197	73%	178	90%
	Q4	184	79%	165	90%
2005 Q1	193	138	72%	169	88%
Q2	152	125	82%	145	95%
Q3	180	138	77%	159	88%
Q4	159	126	79%	148	93%
2006 Q1	164	137	84%	152	93%
Q2	177	148	84%	168	95%
Q3	153	122	80%	139	91%
Q4	173	151	87%	165	95%
2007 Q1	122	101	83%	116	95%
Q2	118	105	89%	114	97%
Q3	114	98	86%	110	96%
Q4	106	85	80%	102	96%
2008 Q1	120	94	78%	110	92%
Q2	127	105	83%	120	94%
Q3	124	89	72%	115	93%
Q4	148	122	82%	140	95%
2009 Q1	140	113	81%	134	96%
Q2	106	85	80%	100	94%
Q3	145	110	76%	128	88%
Q4	223	157	70%	198	89%
2010 Q1	211	162	77%	198	94%
Q2	175	132	75%	151	86%
Q3	236	200	85%	218	92%
Q4	216	187	87%	209	97%
2011 Q1	275	243	88%	263	96%
Q2	274	250	91%	265	97%
Q3	265	225	85%	246	93%
Q4	267	240	90%	258	97%
2012 Q1	164	150	91%	161	98%
Q2	176	167	95%	174	99%
Q3	216	204	94%	215	100%
Q4	122	116	95%	121	99%
2013 Q1	155	143	92%	154	99%
Q2	185	157	85%	181	98%
Q3	174	131	75%	163	94%
Q4	186	148	80%	181	97%
2014 Q1	201	158	79%	184	92%
Q2	135	115	85%	132	98%
Q3	162	134	83%	155	96%
Q4	206	171	83%	195	95%

Measure 3 - On Time Case Processing - Review

	Cases Closed	Cases Within Timeline	Percentage Within Timeline	Cases Within 150% of Timeline	Percentage Within 150% of Timeline	
<i>Adoption of CPS Standards</i>	2004 Q1	8	1	13%	-	-
	Q2	4	2	50%	-	-
	Q3	6	2	33%	3	50%
	Q4	6	2	33%	4	67%
	2005 Q1	7	2	29%	4	57%
	Q2	3	1	33%	2	67%
	Q3	7	0	0%	2	29%
	Q4	12	3	25%	5	42%
	2006 Q1	15	9	60%	11	73%
	Q2	8	7	88%	8	100%
	Q3	5	0	0%	1	20%
	Q4	10	1	10%	8	80%
	2007 Q1	11	3	27%	6	55%
	Q2	5	0	0%	2	40%
	Q3	5	1	20%	3	60%
	Q4	9	3	33%	7	78%
	2008 Q1	4	2	50%	4	100%
	Q2	4	2	50%	3	75%
	Q3	13	6	46%	12	92%
	Q4	11	9	82%	10	91%
2009 Q1	7	6	86%	7	100%	
Q2	2	2	100%	2	100%	
Q3	6	3	50%	6	100%	
Q4	21	13	62%	20	95%	
2010 Q1	13	8	62%	13	100%	
Q2	16	13	81%	15	94%	
Q3	14	10	71%	14	100%	
Q4	15	15	100%	15	100%	
2011 Q1	18	18	100%	18	100%	
Q2	12	12	100%	12	100%	
Q3	21	21	100%	21	100%	
Q4	14	14	100%	14	100%	
2012 Q1	8	8	100%	8	100%	
Q2	6	6	100%	6	100%	
Q3	10	10	100%	10	100%	
Q4	6	6	100%	6	100%	
2013 Q1	12	12	100%	12	100%	
Q2	16	16	100%	16	100%	
Q3	23	22	96%	22	96%	
Q4	11	11	100%	11	100%	
2014 Q1	15	14	93%	15	100%	
Q2	13	12	92%	13	100%	
Q3	18	15	83%	18	100%	
Q4	12	9	75%	12	100%	

Measure 3 - On Time Case Processing - Effectuations

	Cases Closed	Cases Within Timeline	Percentage Within Timeline	
2004 Q1	122	87	71%	
Q2	99	88	89%	
<i>Adoption of CPS Standards</i>	Q3	118	84%	
	Q4	123	93%	
	2005 Q1	115	108	94%
	Q2	102	91	89%
	Q3	120	107	89%
	Q4	90	88	98%
	2006 Q1	114	108	95%
	Q2	103	98	95%
Q3	98	94	96%	
Q4	105	91	87%	
2007 Q1	80	71	89%	
Q2	88	71	81%	
Q3	57	50	88%	
Q4	62	55	89%	
2008 Q1	82	58	71%	
Q2	106	63	59%	
Q3	84	70	83%	
Q4	89	62	70%	
2009 Q1	95	45	47%	
Q2	51	31	61%	
Q3	95	5	5%	
Q4	152	9	6%	
2010 Q1	158	81	51%	
Q2	116	113	97%	
Q3	157	147	94%	
Q4	172	143	83%	
2011 Q1	225	178	79%	
Q2	221	203	92%	
Q3	225	193	86%	
Q4	231	226	98%	
2012 Q1	110	102	93%	
Q2	136	126	93%	
Q3	182	172	95%	
Q4	92	81	88%	
2013 Q1	121	111	92%	
Q2	140	126	90%	
Q3	142	123	87%	
Q4	117	108	92%	
2014 Q1	158	150	95%	
Q2	90	83	92%	
Q3	115	109	95%	
Q4	151	144	95%	

Measure 4 Case Backlog

Definition

The percentage of open cases that are older than the established timelines.

Standard

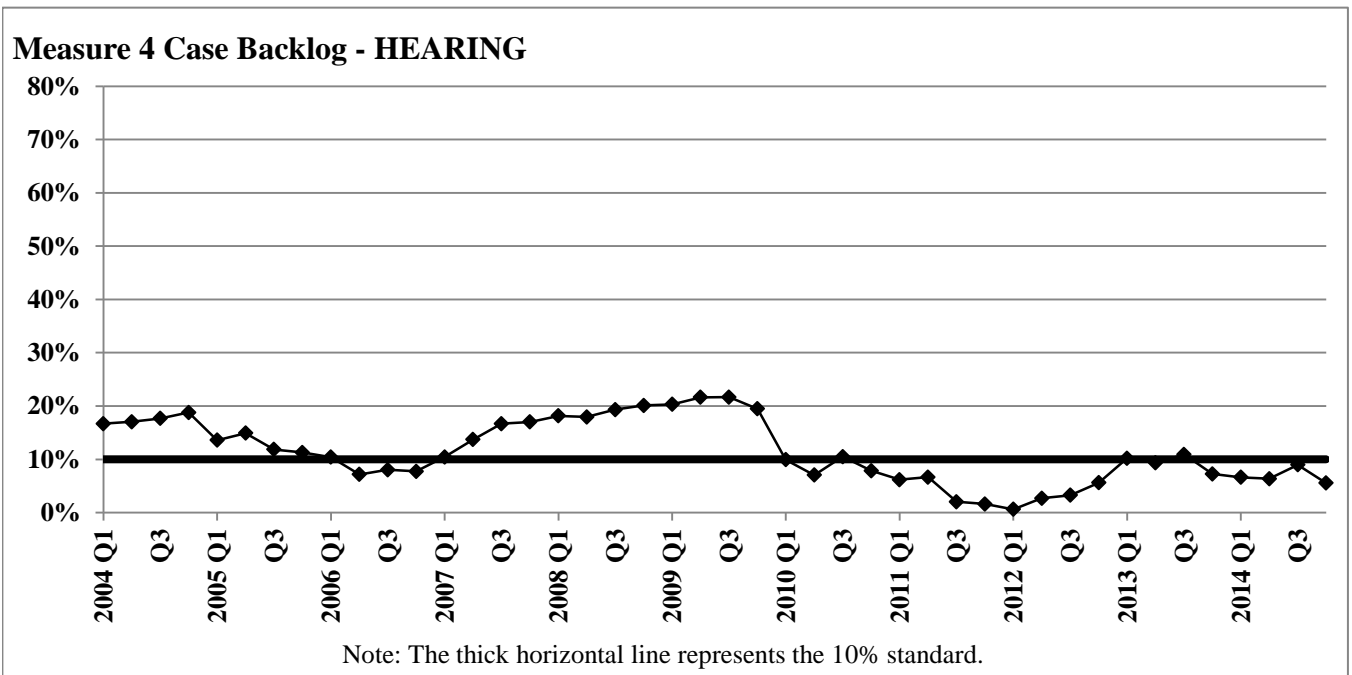
Hearing and Review: backlog not to exceed 10%.

Effectuations: no backlog or 0%.

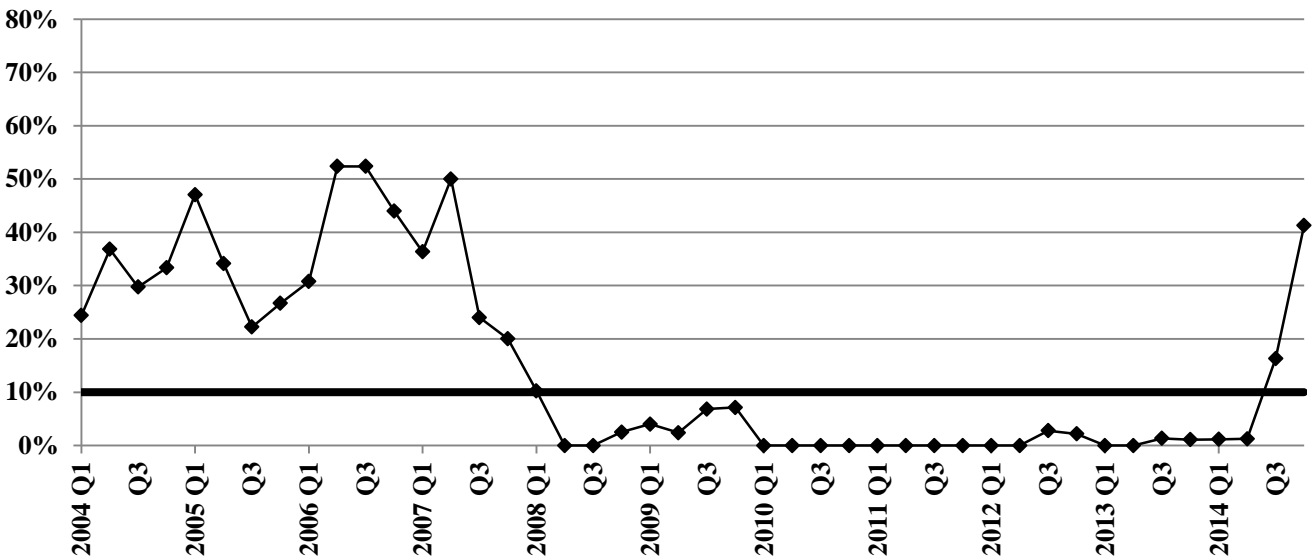
Methodology

The cases examined are those cases open during the quarter in Hearing, Review, or Effectuations. An open case is one which is pending in a department, which is not abated and not in the State Bar Court's Alternative Discipline Program (ADP). The number of days a case is open in a department is calculated and compared to the existing timelines for the department and case type (see "Timeline Standards by Case Type"). Cases exceeding the timelines are reported as the backlog. Results are reported for each department.

Beginning in 2012, the ADP cases in the Hearing Department are measured against timelines based on all phases of the program: referral, evaluation, and program status. Also, all reports have been adjusted to exclude the time a case is in default.

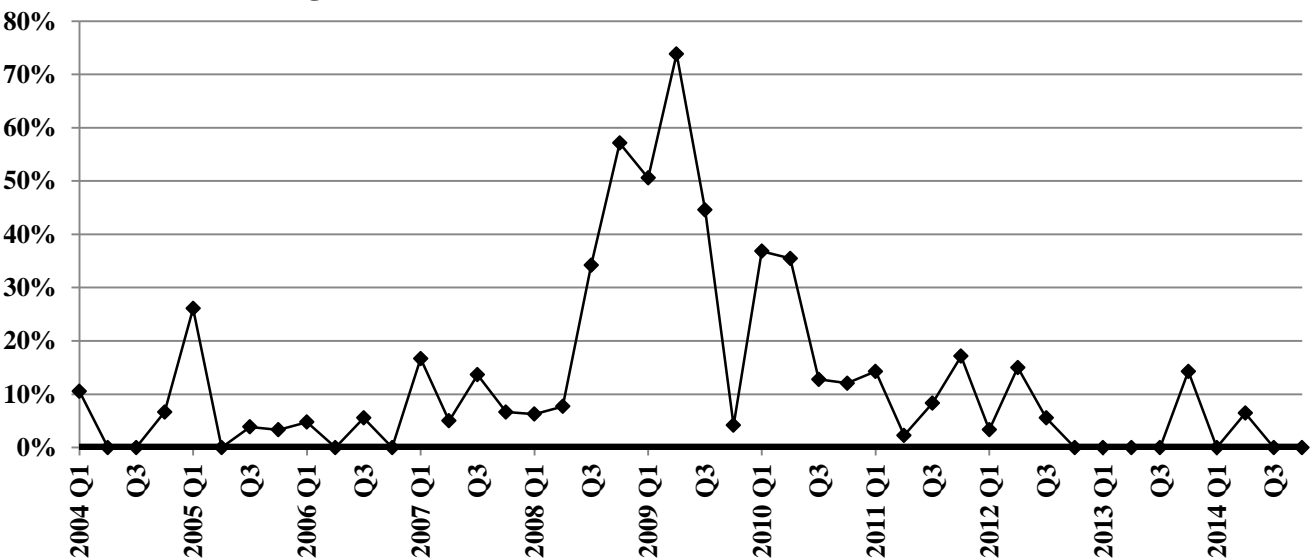


Measure 4 Case Backlog - REVIEW



Note: The thick horizontal line represents the 10% standard.

Measure 4 Case Backlog - EFFECTUATIONS



Note: The thick horizontal line represents the 0% standard.

Measure 4 Case Backlog - Hearing

	Cases Open	Cases in Backlog	Percentage in Backlog	
<i>Adoption of CPS Standards</i>	2004 Q1	390	65	17%
	Q2	434	74	17%
	Q3	413	73	18%
	Q4	399	75	19%
	2005 Q1	368	50	14%
	Q2	302	45	15%
	Q3	321	38	12%
	Q4	293	33	11%
	2006 Q1	298	31	10%
	Q2	321	23	7%
	Q3	299	24	8%
	Q4	310	24	8%
	2007 Q1	316	33	10%
	Q2	321	44	14%
	Q3	324	54	17%
	Q4	376	64	17%
2008 Q1	358	65	18%	
Q2	362	65	18%	
Q3	409	79	19%	
Q4	443	89	20%	
2009 Q1	389	79	20%	
Q2	388	84	22%	
Q3	374	81	22%	
Q4	313	61	19%	
2010 Q1	332	33	10%	
Q2	369	26	7%	
Q3	362	38	10%	
Q4	407	32	8%	
2011 Q1	340	21	6%	
Q2	315	21	7%	
Q3	296	6	2%	
Q4	432	7	2%	
2012 Q1	331	2	1%	
Q2	410	11	3%	
Q3	431	14	3%	
Q4	536	30	6%	
2013 Q1	471	48	10%	
Q2	451	42	9%	
Q3	449	49	11%	
Q4	538	39	7%	
2014 Q1	437	29	7%	
Q2	457	29	6%	
Q3	480	43	9%	
Q4	522	29	6%	

Measure 4 Case Backlog - Review

	Cases Open	Cases in Backlog	Percentage in Backlog	
2004 Q1	41	10	24%	
Q2	38	14	37%	
<i>Adoption of CPS Standards</i>	Q3	37	30%	
	Q4	39	33%	
	2005 Q1	34	16	47%
	Q2	41	14	34%
	Q3	45	10	22%
	Q4	45	12	27%
	2006 Q1	39	12	31%
	Q2	21	11	52%
Q3	21	11	52%	
Q4	25	11	44%	
2007 Q1	22	8	36%	
Q2	20	10	50%	
Q3	25	6	24%	
Q4	30	6	20%	
2008 Q1	39	4	10%	
Q2	34	0	0%	
Q3	29	0	0%	
Q4	40	1	3%	
2009 Q1	50	2	4%	
Q2	42	1	2%	
Q3	44	3	7%	
Q4	42	3	7%	
2010 Q1	37	0	0%	
Q2	43	0	0%	
Q3	36	0	0%	
Q4	29	0	0%	
2011 Q1	30	0	0%	
Q2	30	0	0%	
Q3	28	0	0%	
Q4	23	0	0%	
2012 Q1	25	0	0%	
Q2	27	0	0%	
Q3	36	1	3%	
Q4	46	1	2%	
2013 Q1	49	0	0%	
Q2	60	0	0%	
Q3	75	1	1%	
Q4	91	1	1%	
2014 Q1	87	1	1%	
Q2	80	1	1%	
Q3	98	16	16%	
Q4	92	38	41%	

Measure 4 Case Backlog - Effectuations

	Cases Open	Cases in Backlog	Percentage in Backlog	
2004 Q1	19	2	11%	
Q2	18	0	0%	
<i>Adoption of CPS Standards</i>	Q3	18	0%	
	Q4	15	7%	
	2005 Q1	23	6	26%
	Q2	12	0	0%
	Q3	26	1	4%
	Q4	30	1	3%
	2006 Q1	21	1	5%
	Q2	20	0	0%
Q3	18	1	6%	
Q4	20	0	0%	
2007 Q1	6	1	17%	
Q2	20	1	5%	
Q3	22	3	14%	
Q4	15	1	7%	
2008 Q1	32	2	6%	
Q2	26	2	8%	
Q3	38	13	34%	
Q4	56	32	57%	
2009 Q1	176	89	51%	
Q2	153	113	74%	
Q3	74	33	45%	
Q4	24	1	4%	
2010 Q1	57	21	37%	
Q2	62	22	35%	
Q3	47	6	13%	
Q4	58	7	12%	
2011 Q1	49	7	14%	
Q2	44	1	2%	
Q3	36	3	8%	
Q4	35	6	17%	
2012 Q1	30	1	3%	
Q2	20	3	15%	
Q3	18	1	6%	
Q4	26	0	0%	
2013 Q1	26	0	0%	
Q2	42	0	0%	
Q3	35	0	0%	
Q4	14	2	14%	
2014 Q1	37	0	0%	
Q2	31	2	6%	
Q3	28	0	0%	
Q4	32	0	0%	

Measure 5 Commencement of Trials - Hearing Department

Definition

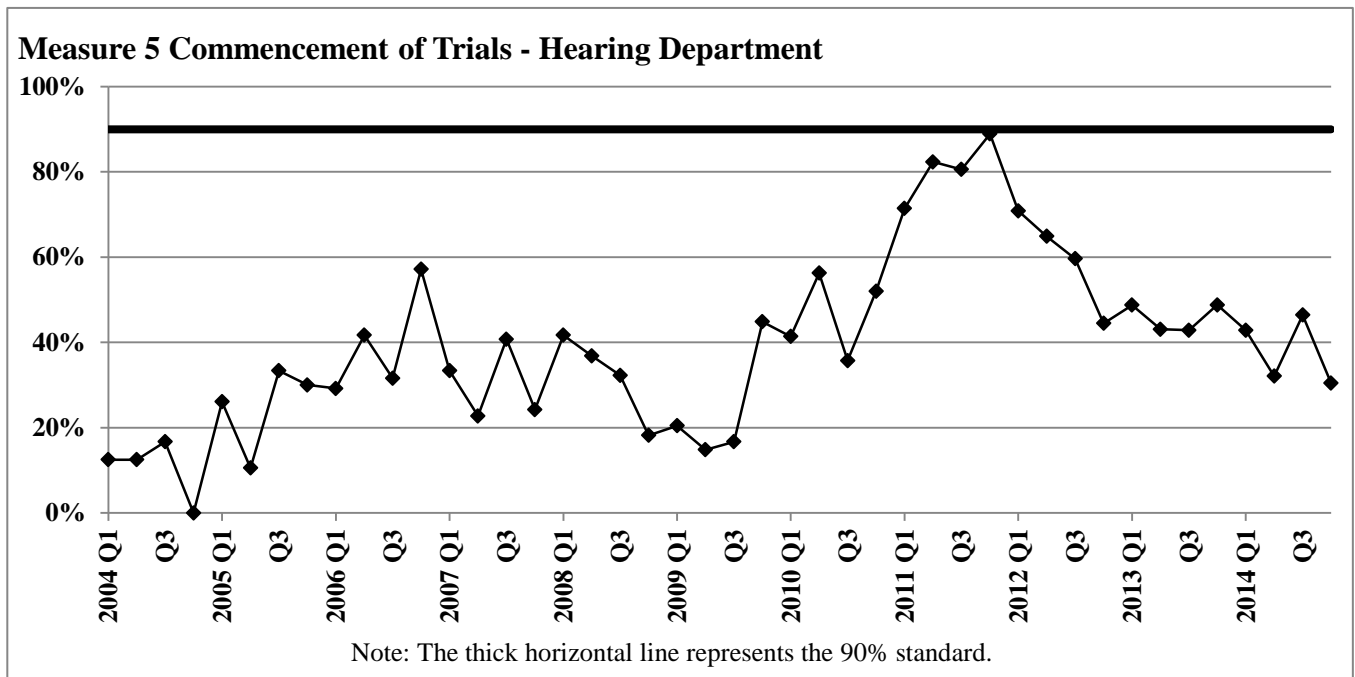
The percentage of trials started within established timelines.

Standard

90% of cases are to commence trial within case type timelines;
100% of cases are to commence trial within 150% of case type timelines.

Methodology

The first part of this measure examines the pendency of cases in the Hearing Department at the start of trial. For each case in which trial started during the quarter, the number of days from the date the case was filed to the date of trial is calculated and compared to the timeline for the case type (see "Timeline Standards by Case Type").



Measure 5 Commencement of Trials - Hearing Department

	Cases Trial Commenced	Cases Within Timeline	Percentage Within Timeline	Cases Within 150% of Timeline	Percentage Within 150% of Timeline
2004 Q1	16	2	13%	-	-
Q2	16	2	13%	-	-
<i>Adoption of CPS Standards</i>	Q3	18	17%	10	56%
	Q4	15	0%	7	47%
2005 Q1	23	6	26%	17	74%
Q2	19	2	11%	13	68%
Q3	6	2	33%	5	83%
Q4	10	3	30%	8	80%
2006 Q1	24	7	29%	15	63%
Q2	12	5	42%	9	75%
Q3	19	6	32%	11	58%
Q4	7	4	57%	7	100%
2007 Q1	21	7	33%	16	76%
Q2	22	5	23%	14	64%
Q3	27	11	41%	18	67%
Q4	33	8	24%	17	52%
2008 Q1	36	15	42%	28	78%
Q2	38	14	37%	24	63%
Q3	31	10	32%	22	71%
Q4	22	4	18%	14	64%
2009 Q1	44	9	20%	31	70%
Q2	27	4	15%	12	44%
Q3	24	4	17%	16	67%
Q4	29	13	45%	18	62%
2010 Q1	29	12	41%	21	72%
Q2	16	9	56%	14	88%
Q3	42	15	36%	29	69%
Q4	25	13	52%	21	84%
2011 Q1	21	15	71%	20	95%
Q2	17	14	82%	15	88%
Q3	36	29	81%	32	89%
Q4	27	24	89%	26	96%
2012 Q1	24	17	71%	20	83%
Q2	37	24	65%	34	92%
Q3	52	31	60%	47	90%
Q4	63	28	44%	48	76%
2013 Q1	80	39	49%	56	70%
Q2	65	28	43%	51	78%
Q3	56	24	43%	41	73%
Q4	41	20	49%	30	73%
2014 Q1	42	18	43%	32	76%
Q2	53	17	32%	38	72%
Q3	28	13	46%	21	75%
Q4	23	7	30%	13	57%

Measure 5

Timeliness of Submissions - Hearing Department

Definition

The percentage of cases in which submission time meets the established timelines.

Standard

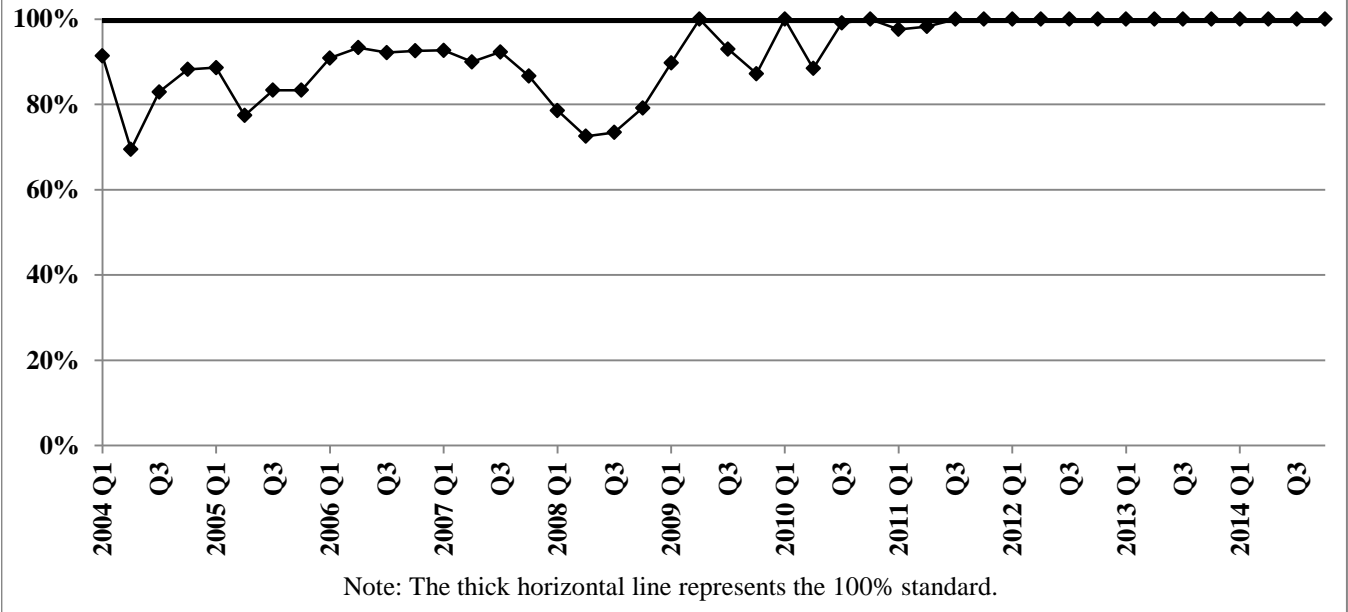
100% compliance with case type timelines for submission of decisions and stipulations.

Methodology

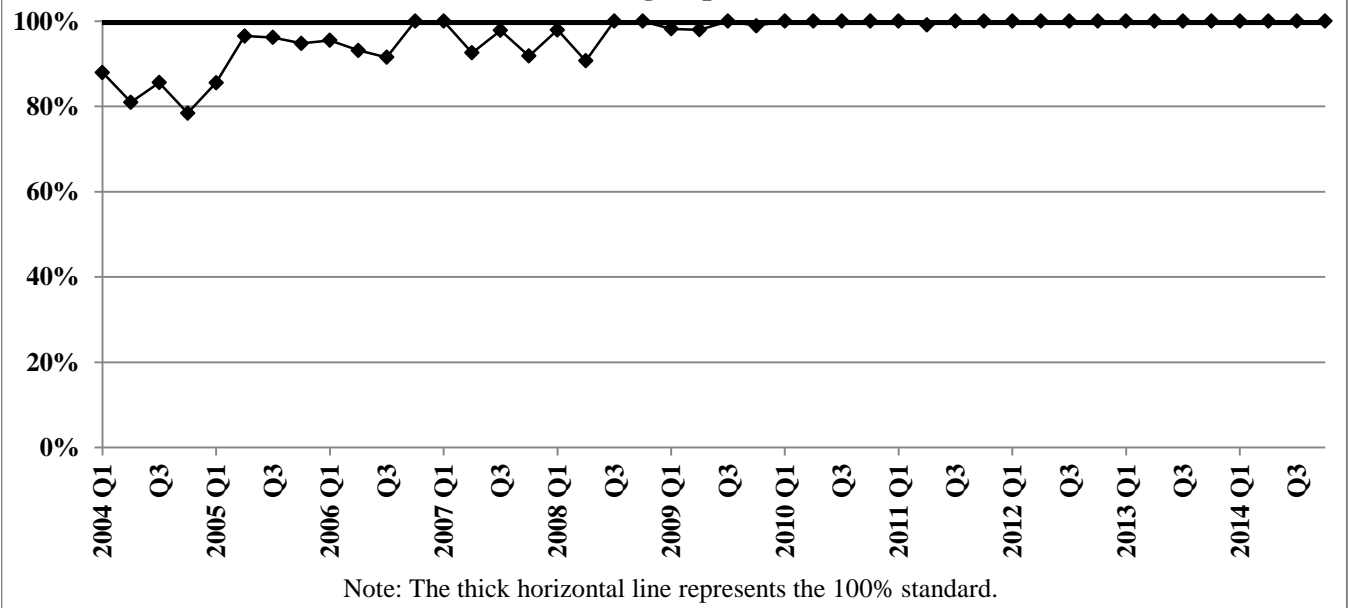
The second part of this measure examines the submission time of decisions and stipulations in the Hearing Department. For cases closed during the quarter, the number of days the case was under submission is calculated and compared to the timeline for the case type (see "Timeline Standards by Case Type").

See chart next page.

Measure 5 Timeliness of Submissions - Hearing Dept. - DECISIONS



Measure 5 Timeliness of Submissions - Hearing Dept. - STIPULATIONS



Measure 5 Timeliness of Submissions - Hearing Department - Decisions

		Cases Submitted	Cases Meeting Timeline	Percentage Meeting Timeline
<i>Adoption of CPS Standards</i>	2004 Q1	58	53	91%
	Q2	36	25	69%
	Q3	41	34	83%
	Q4	34	30	88%
	2005 Q1	44	39	89%
	Q2	31	24	77%
	Q3	54	45	83%
	Q4	48	40	83%
	2006 Q1	55	50	91%
	Q2	45	42	93%
	Q3	51	47	92%
	Q4	54	50	93%
	2007 Q1	41	38	93%
	Q2	40	36	90%
	Q3	39	36	92%
	Q4	30	26	87%
	2008 Q1	42	33	79%
	Q2	51	37	73%
	Q3	64	47	73%
	Q4	48	38	79%
2009 Q1	39	35	90%	
Q2	26	26	100%	
Q3	57	53	93%	
Q4	86	75	87%	
2010 Q1	103	103	100%	
Q2	78	69	88%	
Q3	111	110	99%	
Q4	89	89	100%	
2011 Q1	84	82	98%	
Q2	116	114	98%	
Q3	72	72	100%	
Q4	79	79	100%	
2012 Q1	38	38	100%	
Q2	37	37	100%	
Q3	60	60	100%	
Q4	52	52	100%	
2013 Q1	62	62	100%	
Q2	70	70	100%	
Q3	81	81	100%	
Q4	77	77	100%	
2014 Q1	90	90	100%	
Q2	46	46	100%	
Q3	58	58	100%	
Q4	72	72	100%	

Measure 5 Timeliness of Submissions - Hearing Department - Stipulations

	Cases Submitted	Cases Meeting Timeline	Percentage Meeting Timeline
2004 Q1	108	95	88%
Q2	100	81	81%
<i>Adoption of CPS Standards</i>	Q3	111	95%
	Q4	102	78%
2005 Q1	97	83	86%
Q2	86	83	97%
Q3	79	76	96%
Q4	77	73	95%
2006 Q1	67	64	96%
Q2	73	68	93%
Q3	59	54	92%
Q4	71	71	100%
2007 Q1	48	48	100%
Q2	54	50	93%
Q3	46	45	98%
Q4	49	45	92%
2008 Q1	49	48	98%
Q2	43	39	91%
Q3	37	37	100%
Q4	75	75	100%
2009 Q1	56	55	98%
Q2	50	49	98%
Q3	67	67	100%
Q4	92	91	99%
2010 Q1	87	87	100%
Q2	66	66	100%
Q3	82	82	100%
Q4	85	85	100%
2011 Q1	153	153	100%
Q2	116	115	99%
Q3	162	162	100%
Q4	163	163	100%
2012 Q1	99	99	100%
Q2	112	112	100%
Q3	128	128	100%
Q4	49	49	100%
2013 Q1	74	74	100%
Q2	74	74	100%
Q3	76	76	100%
Q4	73	73	100%
2014 Q1	81	81	100%
Q2	61	61	100%
Q3	70	70	100%
Q4	100	100	100%

Measure 5 Commencement of Oral Arguments - Review Department

Definition

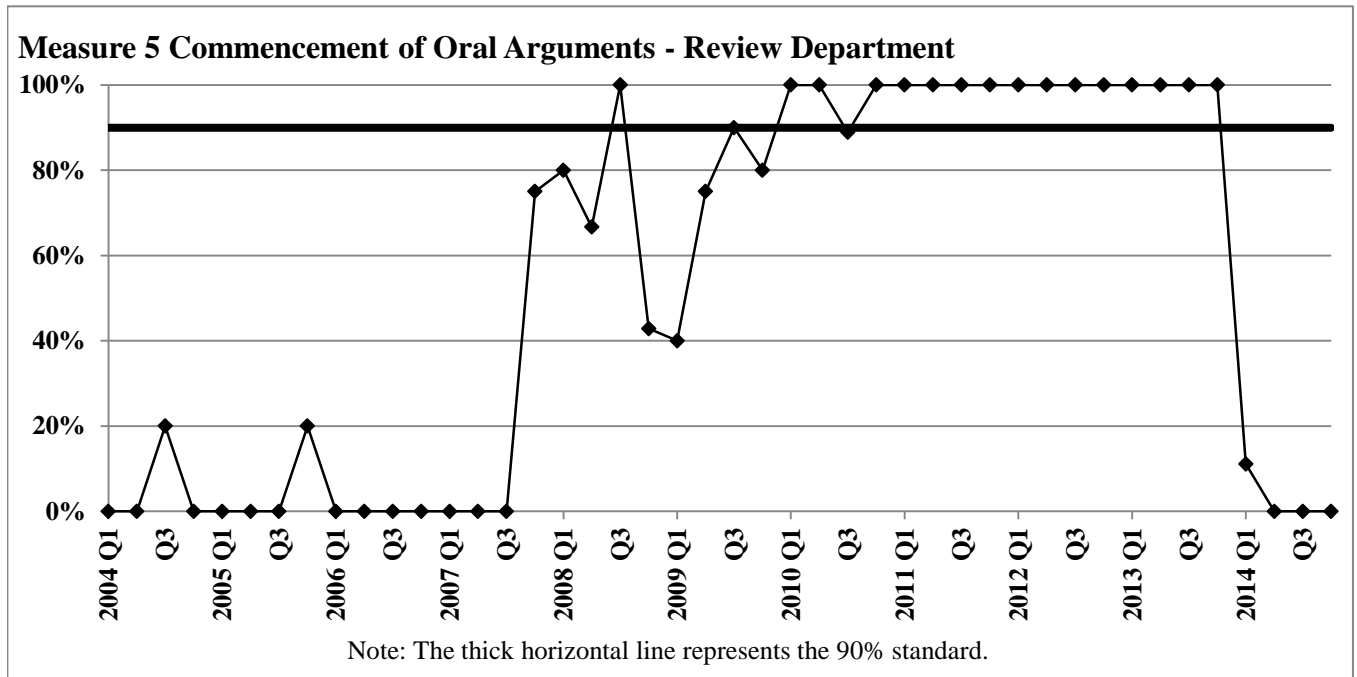
The percentage of oral arguments started within the established timelines.

Standard

90% of cases are to commence oral argument within Review Department timelines;
100% of cases are to commence oral argument within 150% of Review Department timelines.

Methodology

The first part of this measure examines the pendency of cases in the Review Department at the time oral argument was held. For each case in which oral argument was held during the quarter, the number of days from the date the request for review was filed to the date of oral argument is calculated and compared to the timeline (see "Timeline Standards by Case Type").



Measure 5 Commencement of Oral Arguments - Review Department

	Cases Oral Argument Commenced	Cases Within Timeline	Percentage Within Timeline	Cases Within 150% of Timeline	Percentage Within 150% of Timeline	
2004 Q1	4	0	0%	-	-	
Q2	2	0	0%	-	-	
<i>Adoption of CPS Standards</i>	Q3	5	20%	3	60%	
	Q4	6	0%	0	0%	
	2005 Q1	5	0	0%	1	20%
	Q2	4	0	0%	0	0%
Q3	3	0	0%	1	33%	
Q4	5	1	20%	3	60%	
2006 Q1	1	0	0%	0	0%	
Q2	4	0	0%	1	25%	
Q3	2	0	0%	0	0%	
Q4	6	0	0%	2	33%	
2007 Q1	5	0	0%	2	40%	
Q2	4	0	0%	2	50%	
Q3	6	0	0%	2	33%	
Q4	4	3	75%	4	100%	
2008 Q1	5	4	80%	5	100%	
Q2	6	4	67%	6	100%	
Q3	4	4	100%	4	100%	
Q4	7	3	43%	7	100%	
2009 Q1	5	2	40%	5	100%	
Q2	8	6	75%	8	100%	
Q3	10	9	90%	10	100%	
Q4	10	8	80%	10	100%	
2010 Q1	6	6	100%	6	100%	
Q2	8	8	100%	8	100%	
Q3	9	8	89%	9	100%	
Q4	9	9	100%	9	100%	
2011 Q1	10	10	100%	10	100%	
Q2	7	7	100%	7	100%	
Q3	7	7	100%	7	100%	
Q4	7	7	100%	7	100%	
2012 Q1	7	7	100%	7	100%	
Q2	4	4	100%	4	100%	
Q3	9	9	100%	9	100%	
Q4	9	9	100%	9	100%	
2013 Q1	9	9	100%	9	100%	
Q2	12	12	100%	12	100%	
Q3	8	8	100%	8	100%	
Q4	12	12	100%	12	100%	
2014 Q1	9	1	11%	9	100%	
Q2	11	0	0%	11	100%	
Q3	9	0	0%	8	89%	
Q4	15	0	0%	9	60%	

Measure 5 Timeliness of Submissions - Review Department

Definition

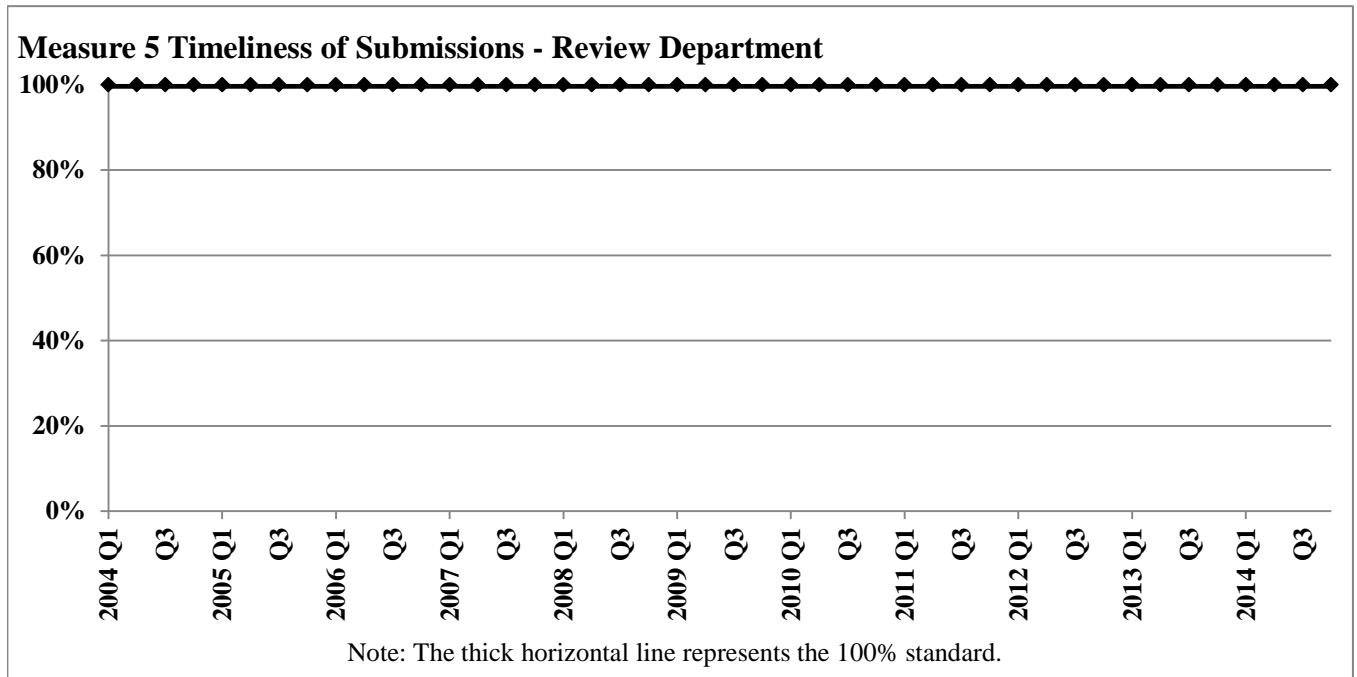
The percentage of cases in which submission time meets the established timeline.

Standard

100% compliance with timeline for submission.

Methodology

The second part of this measure examines the submission time of opinions in the Review Department. For cases closed during the quarter, the number of days a case was under submission is calculated and compared to the timeline (see "Timeline Standards by Case Type").



Measure 5 Timeliness of Submissions - Review Department

		Cases Submitted	Cases Meeting Timeline	Percentage Meeting Timeline
<i>Adoption of CPS Standards</i>	2004 Q1	7	7	100%
	Q2	3	3	100%
	Q3	5	5	100%
	Q4	5	5	100%
	2005 Q1	5	5	100%
	Q2	2	2	100%
	Q3	7	7	100%
	Q4	9	9	100%
	2006 Q1	7	7	100%
	Q2	1	1	100%
	Q3	4	4	100%
	Q4	6	6	100%
	2007 Q1	7	7	100%
	Q2	5	5	100%
	Q3	3	3	100%
	Q4	6	6	100%
	2008 Q1	5	5	100%
	Q2	1	1	100%
	Q3	8	8	100%
	Q4	8	8	100%
	2009 Q1	5	5	100%
	Q2	1	1	100%
	Q3	5	5	100%
	Q4	14	14	100%
	2010 Q1	12	12	100%
	Q2	12	12	100%
	Q3	10	10	100%
	Q4	6	6	100%
2011 Q1	9	9	100%	
Q2	11	11	100%	
Q3	15	15	100%	
Q4	6	6	100%	
2012 Q1	4	4	100%	
Q2	5	5	100%	
Q3	8	8	100%	
Q4	5	5	100%	
2013 Q1	8	8	100%	
Q2	9	9	100%	
Q3	16	16	100%	
Q4	5	5	100%	
2014 Q1	13	13	100%	
Q2	10	10	100%	
Q3	16	16	100%	
Q4	10	10	100%	

Measure 6

Case File Reliability and Accuracy

Definition

The percentage of case files meeting established criteria of accuracy and completeness.

Standard

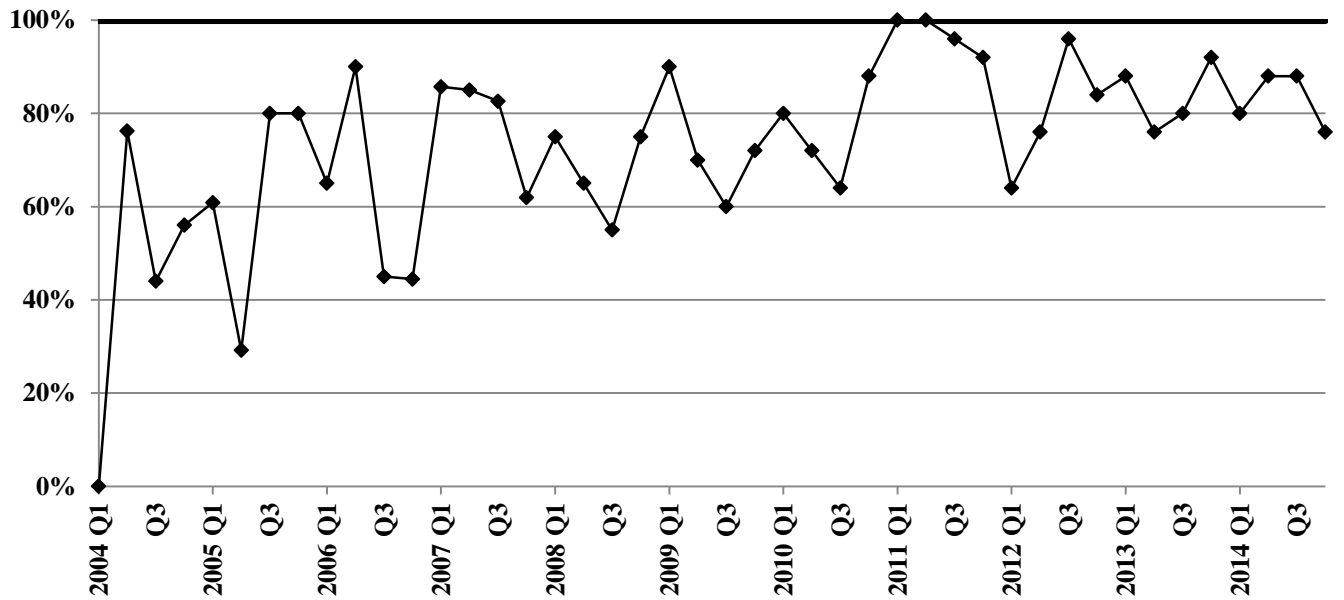
100% compliance with established audit criteria.

Methodology

For each quarter, 25 case files are randomly selected for audit. The initial assessment included 24 different criteria covering content (each section of the file), timeliness (notice of assignment, orders, decisions, transcript), and accuracy (data entry, exhibits) of court files. Since 2006, two criteria have been the sole focus: timely issuance of the Notice of Assignment (referred to as Timeliness in the chart/graph) and accuracy of exhibits (marking, indexing, and assembling).

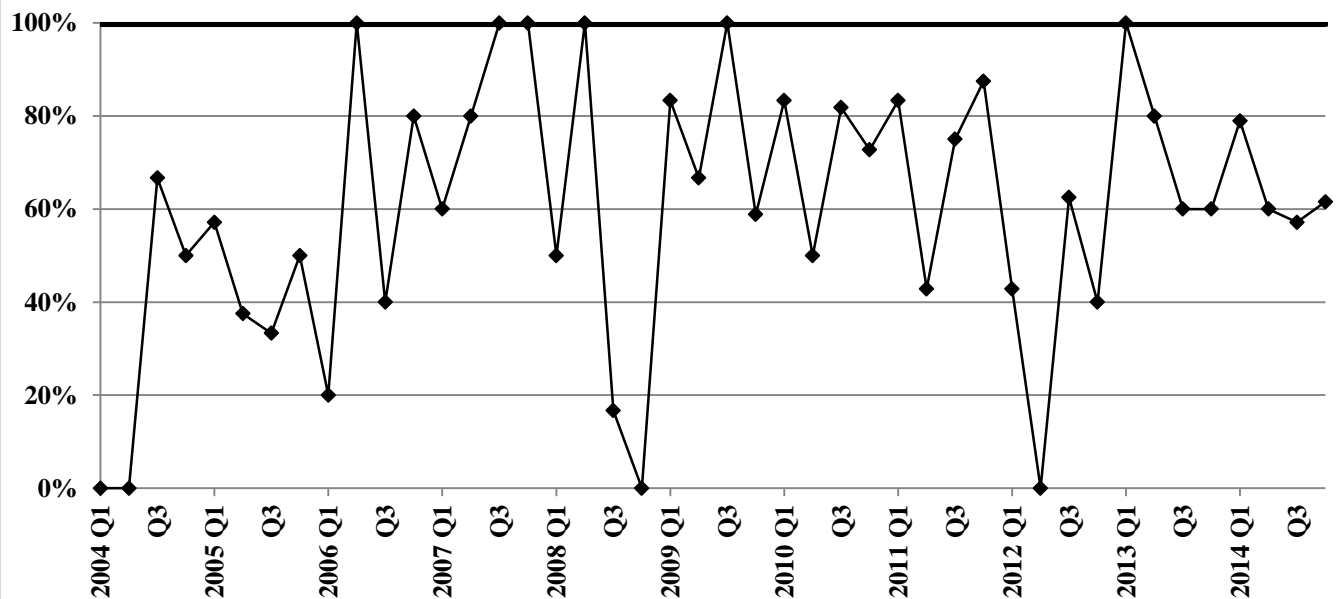
See chart on next page.

Measure 6 Case File Reliability and Accuracy - Timeliness



Note: The thick horizontal line represents the 100% standard.

Measure 6 Case File Reliability and Accuracy - Exhibits



Note: The thick horizontal line represents the 100% standard.

Measure 6 Case File Reliability and Accuracy - Timeliness

	Cases Audited	Cases in Compliance	Percentage in Compliance
<i>Adoption of CPS Standards</i>	2004 Q1	*	*
	Q2	21	16
	Q3	25	11
	Q4	25	14
	2005 Q1	23	14
	Q2	24	7
	Q3	20	16
	Q4	20	16
	2006 Q1	20	13
	Q2	20	18
	Q3	20	9
	Q4	18	8
	2007 Q1	21	18
	Q2	20	17
	Q3	23	19
	Q4	21	13
	2008 Q1	20	15
	Q2	20	13
	Q3	20	11
	Q4	20	15
2009 Q1	20	18	
Q2	20	14	
Q3	25	15	
Q4	25	18	
2010 Q1	25	20	
Q2	25	18	
Q3	25	16	
Q4	25	22	
2011 Q1	25	25	
Q2	25	25	
Q3	25	24	
Q4	25	23	
2012 Q1	25	16	
Q2	25	19	
Q3	25	24	
Q4	25	21	
2013 Q1	25	22	
Q2	25	19	
Q3	25	20	
Q4	25	23	
2014 Q1	25	20	
Q2	25	22	
Q3	25	22	
Q4	25	19	

* Baseline data not gathered.

** Data not available.

Measure 6 Case File Reliability and Accuracy - Exhibits

	Cases Audited	Cases in Compliance	Percentage in Compliance
<i>Adoption of CPS Standards</i>	2004 Q1	*	*
	Q2	2	0
	Q3	6	4
	Q4	4	2
	2005 Q1	7	4
	Q2	8	3
	Q3	3	1
	Q4	4	2
	2006 Q1	5	1
	Q2	5	5
	Q3	5	2
	Q4	5	4
	2007 Q1	5	3
	Q2	5	4
	Q3	2	2
	Q4	3	3
	2008 Q1	4	2
	Q2	1	1
	Q3	6	1
	Q4	7	0
2009 Q1	6	5	
Q2	3	2	
Q3	3	3	
Q4	17	10	
2010 Q1	12	10	
Q2	10	5	
Q3	11	9	
Q4	11	8	
2011 Q1	6	5	
Q2	7	3	
Q3	12	9	
Q4	8	7	
2012 Q1	7	3	
Q2	2	0	
Q3	8	5	
Q4	5	2	
2013 Q1	5	5	
Q2	5	4	
Q3	5	3	
Q4	5	3	
2014 Q1	19	15	
Q2	15	9	
Q3	14	8	
Q4	13	8	

* Baseline data not gathered.

** Data not available.

Measure 7 Accountability for Public Resources

Definition

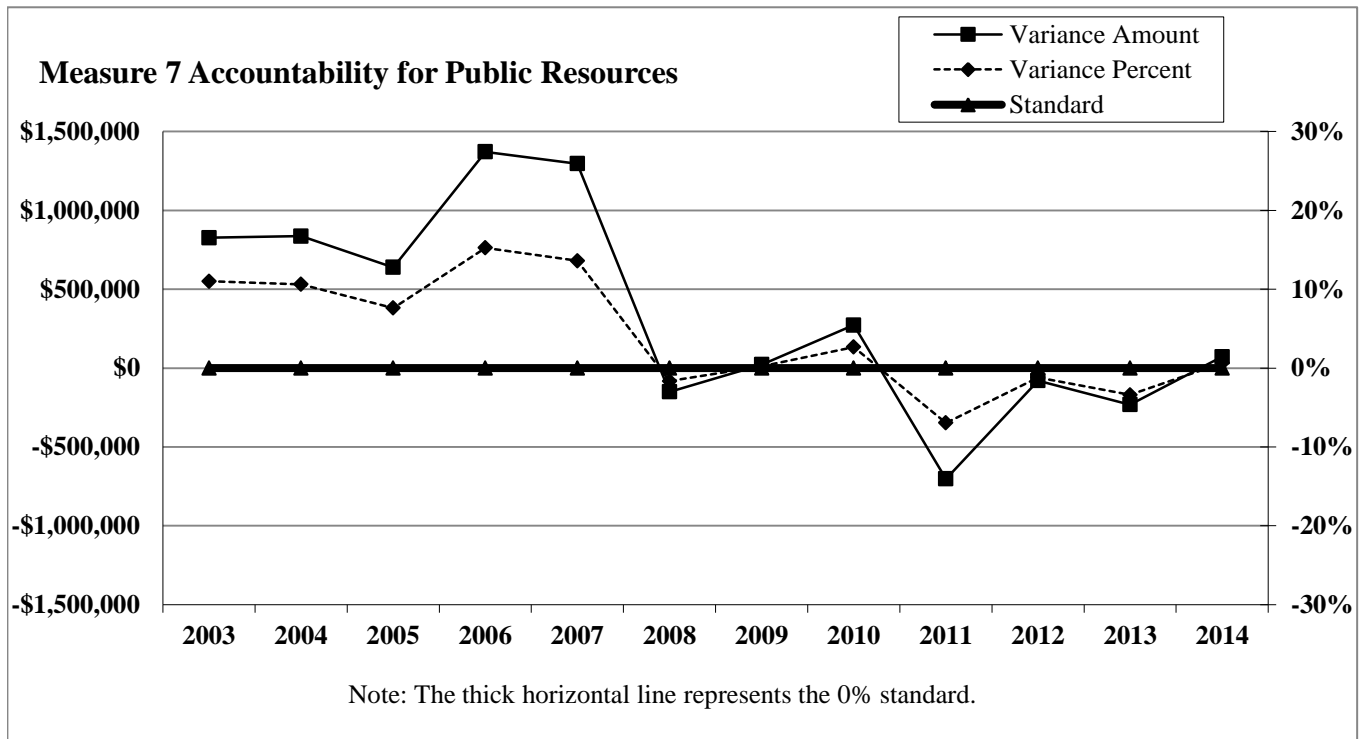
The court's accounting of its fiscal resources.

Standard

Operate within authorized budget.

Methodology

The State Bar Board of Trustees approves an annual budget, funded by attorney membership dues, for allocation to the State Bar Court. For each year reported, year-to-date actual expenditures are compared to year-to-date budgets. The variance amounts are then compared to the overall budget as a percentage. Budgets are monitored monthly and research is routinely conducted to determine the causes of both positive and negative variances.



Measure 7 Accountability for Public Resources

	Annual Budget	Year End Operating Expense	Variance Amount	Percentage of Variance
2003	\$7,515,090	\$6,687,866	\$827,224	11.01%
2004	\$7,871,961	\$7,035,235	\$836,726	10.63%
2005	\$8,373,309	\$7,733,891	\$639,418	7.64%
2006	\$8,988,764	\$7,617,630	\$1,371,134	15.25%
2007	\$9,522,479	\$8,226,286	\$1,296,193	13.61%
2008	\$9,140,703	\$9,291,343	-\$150,640	-1.65%
2009	\$9,895,655	\$9,873,873	\$21,782	0.22%
2010	\$10,219,946	\$9,947,450	\$272,496	2.67%
2011	\$10,105,618	\$10,807,472	-\$701,854 *	-6.95%
2012	\$6,727,568	\$6,806,381	-\$78,813	-1.17%
2013	\$6,819,000	\$7,050,802	-\$231,802	-3.40%
2014	\$11,309,329 **	\$11,237,279	\$72,050	0.64%

* Most of the variance (\$673,714) is attributable to State Bar Inter-Fund Allocation (indirect costs for internal services provided by Finance, Human Resources, General Counsel, Real Property, Communications, and Information Technology) that is set by the State Bar Finance Department.

** In March 2015, the State Bar Finance Department adjusted the year-end final operating statement by adding a budget of \$4,153,525 for Inter-Fund Allocation (indirect costs as listed above) and LA Facilities plus a corresponding expense of \$4,119,956.

Measure 8 Public Education - Outreach Events and Written Practice Guides

Definition

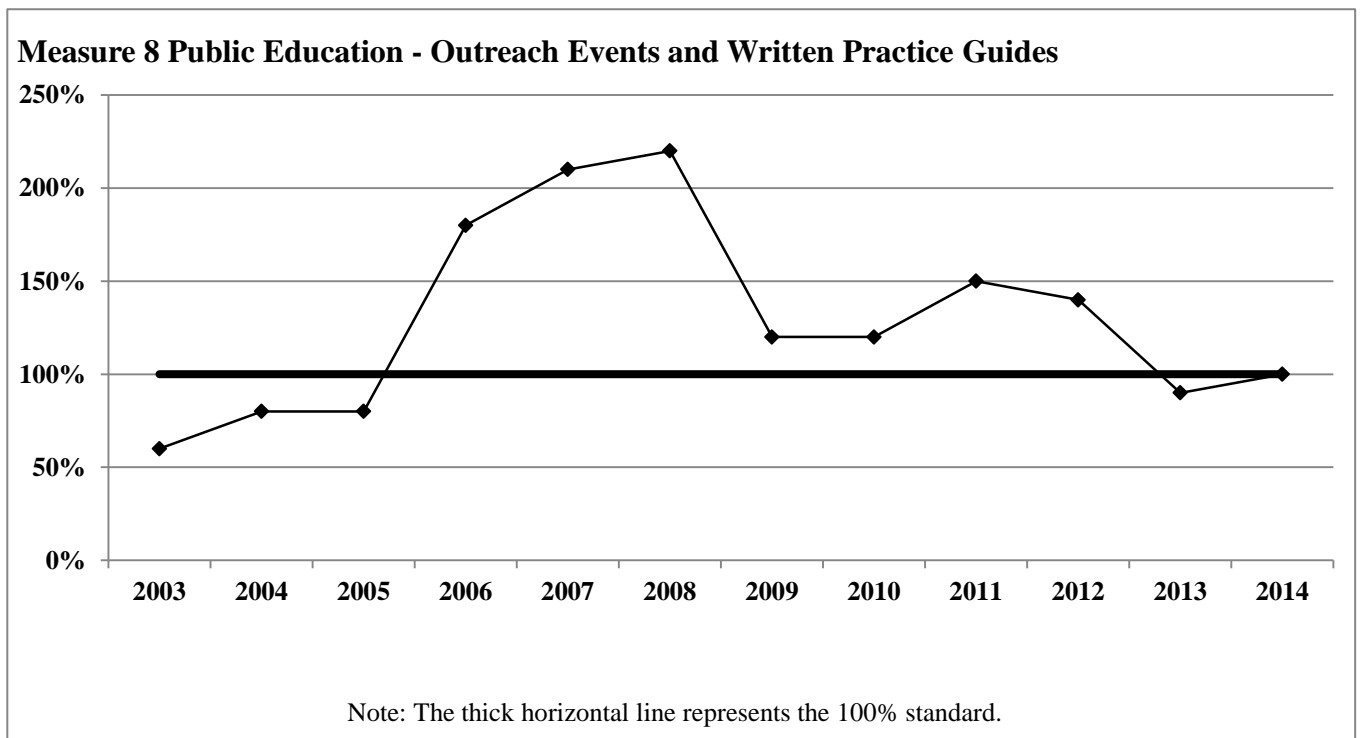
Assess community outreach efforts and measure the extent the State Bar Court disseminates information about its purpose, operations, and programs to State Bar personnel, the public, attorneys, and professional or regulatory agencies.

Standard

- (1) Conduct at least one Bench/Bar conference per year;
- (2) Present at least one program at Section Education Institute and/or Annual Meeting;
- (3) Participate (judicial officers and/or court staff) in a total of at least ten outreach activities per year;
- (4) Increase written and electronic dissemination of informative materials.

Methodology

For each year, the number of outreach events is calculated. Starting in 2011, the definition of a qualifying outreach event has been expanded to include the creation and dissemination of written materials without an accompanying conference or program. In 2013, the court reduced outreach efforts to devote resources to cases.



Measure 8 Public Education - Outreach Events and Written Practice Guides

	Year End Total	Goal to Participate in Events Per Year	Percentage of Compliance with Goal at Year End	Year End Total Number of Attendees
2003	6	10	60%	*
2004	8	10	80%	*
2005	8	10	80%	** 140
2006	18	10	180%	** 999
2007	21	10	210%	** 370
2008	22	10	220%	1053
2009	12	10	120%	664
2010	12	10	120%	1415
2011	15	10	150%	617
2012	14	10	140%	540
2013	9	10	90%	200
2014	10	10	100%	1005

* Data not gathered.

** Incomplete data.

Measure 9

Court Workforce Strength

Definition

This measure reports the results of a survey administered to all court employees to obtain their opinions about the following performance areas: Resources; Vision/Goals/Priorities; Management/Leadership; Job Satisfaction/Nature of Work; Communication; Teamwork; and Structure/Organization.

Standard

Improve performance in targeted areas; maintain performance in other areas; re-survey staff approximately every 24-36 months.

Methodology

In May 2003, all court employees were asked to provide their views of court performance by consultant Dr. Brenda Wagenknecht-Ivey. In May 2004, the same survey was re-administered by Dr. Wagenknecht-Ivey. The 2004 survey results were compared to the 2003 results, and that comparison illustrated four priority areas for improvement: (1) teamwork, (2) management structure, (3) communication, and (4) employee recognition.

In late 2012, the court secured the services of the National Center for State Courts to conduct an additional assessment using The International Framework for Court Excellence developed by a consortium of organizations. The Framework provides clear guidance on standard performance measures, but, more importantly, it offers a course of action for improvement in overall court performance. It focuses on seven areas of court excellence, including public trust, court access, processes and proceedings, resources, policies, and leadership. The assessment identifies issues that should be addressed immediately and those that require long-term planning.

As a result of the 2013 assessment, the court adopted an internal action plan to: (1) improve communication between staff and management, (2) support additional training and encourage continuing education, and (3) increase staff participation and input in policy decisions.