



OFFICE OF STATE COURTS ADMINISTRATOR

**From The Office Of State Auditor
Claire McCaskill**

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AUDIT REPORT



Office Of The
State Auditor Of Missouri
Claire McCaskill

November 2002

The following areas of concern were noted in our audit of the Office of State Courts Administrator (OSCA).

In 1994, the Missouri General Assembly established a seven dollar fee on court cases to be used to fund a statewide court automation program. During our review of the funding of statewide court automation we noted the following:

- The seven dollar fee was originally scheduled to expire in 1999; however, legislative action has extended this fee to 2004. If this fee, which generates about \$4.6 million annually for court automation, is not extended, the state's General Revenue Fund will have to bear the entire subsequent court automation costs or automation of all courts will not be completed.
- Based upon the original fiscal note and current revenue projection assumptions, up to \$70 million in court automation fees will be received through fiscal year 2009 (if the seven dollar fee is extended). Actual costs of court automation through 2001 and the current projected costs of implementing and maintaining the system in all courts through 2009 are expected to total approximately \$204 million. It appears approximately \$134 million in additional funding will be needed to implement and maintain the system in the state's courts.
- The current cost projection estimates the cost of maintaining the automated case management system after implementation in all courts will total approximately \$18 million annually.
- The fiscal note did not consider the long-term financial impact of the court automation program on the state's General Revenue Fund or local governments.

Part of the problem lies with the fiscal note process for long-term projects. Fiscal notes present financial information for only a three-year period. The long-term fiscal impact of programs such as court automation is not always requested or considered by the Oversight Division or the General Assembly. In addition, the financial impact on local governments of statewide programs is not always considered. For long-term projects, the fiscal note process should be re-evaluated and changed to consider the long-range impact on state and local governments.

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YELLOW SHEET

Other areas where improvements are needed include:

- Travel costs – During fiscal years 2001 and 2000, the OSCA incurred in-state travel costs totaling approximately \$3.3 million and out-of state travel costs totaling approximately \$380,000. We noted instances where travel costs did not appear reasonable and necessary. In other cases, improved policies for reviewing costs could have reduced some costs.
- Bidding Procedures – Although exempt from state purchasing laws, the OSCA's internal purchasing policy requires competitive pricing for items and services costing \$3,000 or more. Auditors found items purchased with either no bids taken or no bids documented. These items included: \$515,000 in consulting services, \$5,800 in moving services, \$44,700 in digital recording equipment, and a \$31,000 audio system.
- Agency Provided Meals – Between July 1, 1999 and December 31, 2001, the OSCA purchased \$540,000 in food for various meetings and training events. We noted several examples where the cost per person for agency provided food did not appear reasonable. The OSCA has no policy establishing limits or guidelines on food expenditures.
- Cellular Telephones – The OSCA has 73 cellular telephones. The office did not consistently monitor cellular telephone usage, did not ensure phone plans were consistent with business-related use, and appeared to have more cellular telephones than needed for efficient operation.

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STATE AUDITOR'S REPORT



CLAIRE C. McCASKILL
Missouri State Auditor

Members of the Supreme Court of Missouri
and
Michael Buenger, State Courts Administrator
Jefferson City, MO 65102

We have audited the Office of State Courts Administrator and, within the office, the Fine Collection Center and Statewide Court Automation Program. The scope of this audit included, but was not necessarily limited to, the years ended June 30, 2001 and 2000. The objectives of this audit were to:

1. Review certain management practices and financial information for compliance with applicable constitutional provisions, statutes, and rules.
2. Review the efficiency and effectiveness of certain management practices.
3. Review certain revenues received and expenditures made by the office.

Our audit was conducted in accordance with applicable standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and included such procedures as we considered necessary in the circumstances. In this regard, we reviewed applicable legal provisions, regulations, contracts, financial transactions, policies and procedures, and other pertinent documents, and interviewed office personnel.

As part of our audit, we assessed the office's management controls to the extent we determined necessary to evaluate the specific matters described above and not to provide assurance on those controls. With respect to management controls, we obtained an understanding of the design of relevant policies and procedures and whether they have been placed in operation and we assessed control risk.

Our audit was limited to the specific matters described above and was based on selective tests and procedures considered appropriate in the circumstances. Had we performed additional procedures, other information might have come to our attention that would have been included in this report.

The accompanying History, Organization, and Statistical Information is presented for informational purposes. This information was obtained from the office's management and was not subjected to the procedures applied in the audit of the Office of State Courts Administrator.

The accompanying Management Advisory Report presents our finding arising from our audit of the Office of State Courts Administrator.

A handwritten signature in black ink that reads "Claire McCaskill". The signature is written in a cursive, flowing style.

Claire McCaskill
State Auditor

March 29, 2002 (fieldwork completion date)

The following auditors participated in the preparation of this report:

Director of Audits:	Kenneth W. Kuster, CPA
Audit Manager:	Peggy Schler, CPA
In-Charge Auditor:	Robyn Lamb
Audit Staff:	Kelly Petree

MANAGEMENT ADVISORY REPORT -
STATE AUDITOR'S FINDINGS

OFFICE OF THE STATE COURTS ADMINISTRATOR
MANAGEMENT ADVISORY REPORT -
STATE AUDITOR'S FINDINGS'

1. Court Automation Program

In 1994, the Missouri General Assembly passed Senate Bill 420 establishing a seven dollar fee to be assessed on all circuit court civil cases, all criminal cases, and any criminal or traffic law violation in Missouri. All monies collected for this fee were to be deposited to the Statewide Court Automation Fund and used to fund purchases of goods and services for a statewide court automation system. Various features of the statewide court automation system that have been implemented or are works in process include: networking all state courts, providing courts with an e-mail system, installing the ACS Justice Information System (case management) and Jury Management System in all state courts, and developing Case.net to make public case information available on the internet. As of June 30, 2001, the Court Automation Fund had received approximately \$28.8 million in fee revenue, while Court Automation Program costs totaled approximately \$55.5 million. Approximately \$26.4 million of the total costs were expended from the Court Automation Fund with the remaining \$29.1 million funded by General Revenue Fund-State monies.

The Committee on Legislative Research, Oversight Division, prepared a fiscal note associated with Senate Bill 420 with information obtained from the Office of State Courts Administrator (OSCA). The fiscal note estimated a seven dollar fee could generate revenue of up to \$4.6 million annually for the Statewide Court Automation Fund. The fiscal note was unclear and provided incomplete information. Although fiscal notes present financial information for only a three-year period, the fiscal impact of a long-term program such as court automation was not requested by the Oversight Division or the General Assembly. As a result, the fiscal note did not consider the long-term financial impact of the court automation program to the General Revenue Fund-State or local governments. Specific issues noted regarding the fiscal note included:

- The fiscal note referenced the "Truly Agreed to and Finally Passed" version of Senate Bill 420 that stated, "The committee shall develop and implement a plan for a statewide court automation system". However, the fiscal note summary indicated the Statewide Court Automation Fund would be created to implement and maintain a statewide system of court automation, which was the language included in the original bill. As a result, it is unclear whether the fiscal note was intended to evaluate the fiscal impact related to the development and implementation of a plan for statewide court automation or should have considered all costs of implementing and maintaining an ongoing court automation system. Regardless of whether the fiscal note was intended to address development and implementation or implementation and maintenance, additional long-term (beyond three years) assumptions and estimates were needed to fully evaluate the fiscal impact of the court automation program.

- The fiscal note states that "actual expenditures would be kept within actual receipts" of the Statewide Court Automation Fund. The fiscal note did not define whether the intent of the expenditures statement was that court automation program expenditures would not exceed Statewide Court Automation Fund revenues, or whether other sources of funding would be necessary to implement and maintain a statewide system of court automation.
- The fiscal note indicated that the seven dollar fee would sunset (expire) on September 1, 1999. However, because the court automation program was not complete and required continued funding, legislative action in 1997 extended the sunset provision to September 1, 2004. A current cost projection prepared by OSCA of court automation revenues and costs assumes the seven dollar fee will be extended beyond September 1, 2004. If the fee is not extended, the General Revenue Fund-State will have to bear the entire subsequent court automation costs or the automation of all courts will not be completed.
- Based upon the fiscal note and current revenue projection assumptions, up to \$70 million in court automation fees will be received through fiscal year 2009 (if the seven dollar fee is extended). Actual costs of court automation through 2001 and the current projected costs of implementing and maintaining the automated case management system in all courts through 2009 total approximately \$204 million. The end result is a program that could require resources in addition to court automation fees of \$134 million to completely implement and maintain the case management system in the state's courts.
- It does not appear that funding for ongoing maintenance costs was considered in the original fiscal note. Based upon the current cost projection prepared by OSCA, the cost of maintaining the automated case management system after implementation in all courts will total approximately \$18 million annually.
- The fiscal note indicated that 11 full-time employees (FTE) would be required for statewide court automation; however, as of June 30, 2001, there were 113 Statewide Court Automation employees. According to OSCA management, the initial plan was to outsource all aspects of automation and have only a small core of FTE for managerial purposes. After a consulting firm helped to implement the ACS Justice Information System in eleven courts at a cost of approximately \$3.1 million, outsourcing the case management rollout project was determined to be too costly. According to OSCA personnel, an analysis was prepared for the legislature presenting the cost savings to the state by using state employees for all further rollouts, and additional FTE were approved; however, OSCA was unable to provide us with documentation of this analysis.
- The fiscal note did not note the long-term financial impact on local county governments. The Statewide Court Automation Program pays program related costs of implementing the automated court system, such as servers, software and software upgrades, and maintenance on local county government equipment.

However, the local county governments are responsible for costs associated with upgrading existing equipment or purchasing new equipment capable of operating the automation software. Some local courts that implemented the case management system paid all equipment costs, while others received state and federal funding to purchase the necessary equipment. In addition, in November 2001, OSCA informed counties on schedule for automation equipment replacement in 2002 of the General Assembly's intent for counties to match at least one-half of their respective equipment replacement costs. OSCA calculated the estimated costs of each county and recommended they consider including the costs in their 2002 budgets. OSCA also informed the counties that, "If the equipment is not replaced/upgraded appropriately, there could be degradation in performance for the local entity or circuit court users".

It is clear that significant, additional costs will be incurred to complete all aspects of the court automation program. A funding source for these additional costs does not currently exist. We realize that computer technology changes rapidly and that when a long-term program is initiated that involves such technology the potential for some additional costs exists. However, the costs of this program are in excess of the amounts noted when the program was first considered by the legislature. It appears the potential total costs of this program was not documented or considered when the court automation program was initially considered and authorized by the legislature. The OSCA and the Missouri Court Automation Committee must now find a significant funding source if all benefits envisioned as a result of court automation are going to be achieved.

WE RECOMMEND the Office of State Courts Administrator discuss with the Missouri Court Automation Committee the possibility of pursuing other sources of funding, such as increasing the court automation fee. In addition, the cost benefit to the state and local governments should be seriously considered prior to implementing and maintaining other features of a statewide court automation system. Finally, in future amendments to the court automation project, we recommend the OSCA go beyond the current requirements for fiscal notes and provide additional details as to the long-term fiscal impact of the program. This approach will ensure clear, accurate, and complete information on the amendment and will enable the legislature to review actual costs with projected costs at any future date.

AUDITEE'S RESPONSE

We are pleased with the general results of the audit of receipts and expenditures relative to the statewide court automation program. The audit did not reveal any fiscal mismanagement, accounting problems, or inventory irregularities. We will continue to work to ensure accurate accounting of all resources dedicated to this effort because we are properly accountable for the use of public resources. We are, however, concerned with other aspects of the report.

As an initial matter, we believe it is important to note that the cost of the court automation program is relatively small within the overall size of the judiciary's annual budget. In fiscal year (FY) 2002, the combined (state and county) budget of the Judiciary was approximately

\$268.2 million. Of that amount, some \$12.3 million was spent by the state on court automation efforts, or 4.6% of the overall budget. Even acknowledging that several larger counties have contributed local resources to automation efforts, the combined totals account for no more than approximately 5.5% of overall expenditures.

The following are our responses to specific concerns raised in the audit report:

- Audit Report Statement: “The fiscal note was unclear and provided incomplete information. Although fiscal notes present financial information for only a three-year period, the fiscal impact of a long-term program, such as court automation, was not requested by the Oversight Division or the General Assembly. As a result, the fiscal note did not consider the long-term financial impact of the court automation program to the General Revenue Fund – State or local governments.”

Response: The concerns expressed in the report appear more appropriately directed to the General Assembly, which established the process followed in the preparation of the 1994 fiscal note. In providing information to the Legislative Oversight Division (“Division”) for preparation of the 1994 fiscal note, the OSCA complied with the then established process. We agree with the Auditor that the current fiscal note process may need to be examined. However, as the General Assembly is the exclusive appropriating authority, the court automation program must comply with the General Assembly’s directive on such matters until instructed otherwise.

We are concerned that the report’s analysis of the court automation program rests exclusively on the 1994 fiscal note, which the Division prepared in response to specific legislation creating the court automation fund – not the court automation program. It should be noted that a subsequent fiscal note was prepared in 1998 when the fee was extended. The report appears to focus on the 1994 fiscal note to the exclusion of subsequent fiscal notes and subsequent clarifications of the 1994 fiscal note. We believe a more balanced analysis of program expenditures would include all fiscal information supplied throughout the life of the program, particularly information provided as the program adapted to changing circumstances.

Finally, we submit that the drafters could not have anticipated such developments as the 1995 reform of the juvenile justice system, changes in sentencing laws, creation of the Fine Collections Center, the effects of Y2K, rapid advancements in technology, new federal mandates, changes in network costs, and the costs of establishing an infrastructure where none had existed.

- Audit Report Statement: “[I]t is unclear whether the fiscal note was intended to evaluate the fiscal impact related to the development and implementation of a plan for statewide court automation or should have considered all costs of implementing and maintaining an ongoing court automation system. Regardless of whether the fiscal note was intended to address development and implementation or implementation and maintenance, additional long-term (beyond three years) assumptions and estimates were needed to fully evaluate the fiscal impact of the court automation system.”

Response: The question of the underlying intent of the fiscal note is more properly directed to the Division. Again, the 1994 fiscal note was prepared in response to a fee bill codified at Section 476.055, RSMo. The legislation clearly did not contemplate implementing a full statewide court automation system, only developing and implementing a plan.

We submit further that, as a practical matter, it would have been impossible to develop a meaningful fiscal note projecting long-term (beyond three years) costs of the program given the wide range of unknown variables. The statutorily created Missouri Court Automation Committee (“MCA”) had not been appointed or begun its work when the fiscal note was prepared. The type of architecture had not been discussed much less determined. A fiscal note drafted in 1994 based on information obtained in 1993 projecting long-term costs of the program before any full assessment of what was needed would have provided little useful information. The information in the fiscal note regarding receipts and expenditures was accurate for the period FY 1995-1998.

- Audit Report Statement: “The fiscal note did not define whether the intent of the expenditures statement was that court automation program expenditures would not exceed Statewide Court Automation Fund revenues, or whether other sources of funding would be necessary to implement and maintain a statewide system of court automation.”

Response: During the three-year life of the fiscal note prepared by the Division, expenditures for developing the plan and financing the pilot projects stayed within the fund’s receipts. It was not until FY 1999 that the judiciary proposed an actual plan for automation and worked with then Governor Carnahan and the General Assembly to find money for the program. The need to use General Revenue funds for the program was compelled primarily by two events. First, the judiciary originally proposed a \$12 automation fee. However, the General Assembly reduced the fee to \$7 and in place thereof eventually provided general revenue to assist in rolling out the program.

Second, one of the underlying assumptions in 1994 was that the court automation fee would cover the costs of software development and the purchasing of servers. Local government would cover other costs such as local hardware and cabling. It became clear by 1999 as the plan for automation was completed that most counties could not be relied upon to purchase equipment that met state functional standards. When presented with this reality and the counties’ active lobbying efforts, the General Assembly relieved the counties of the requirement to obligate local funding and transferred substantially all the costs to the state. This decision increased not only the costs of the program but also the state’s long-term maintenance responsibilities.

- Audit Report Statement: “If the fee is not extended, the General Revenue Fund-State will have to bear the entire subsequent court automation costs or the automation of all courts will not be complete.”

Response: We agree.

- Audit Report Statement: “It does not appear that funding for ongoing maintenance costs was considered in the original fiscal note.”

Response: Given the purpose of the original fiscal note, ongoing maintenance costs were not considered. It is important to emphasize that the fiscal note was prepared in response to a fee bill, not an implementation bill. Moreover, it would have been impossible to predict with any accuracy the long-term maintenance costs when (1) no system design was available, (2) software products had not been identified, and (3) hardware and network needs were not known. The enabling legislation funded an exploration of court automation, not an overarching statewide implementation program.

- Audit Report Statement: “The fiscal note indicated that 11 full-time employees (FTE) would be required for statewide court automation; however, as of June 30, 2001, there were 113 Statewide Court Automation employees.”

Response: One could read into this statement that representations were made in 1994 that only 11 FTE would ever be needed for automation of the courts. It must be noted that in 1994 OSCA employed 26 FTE dedicated to data processing projects. Regardless of whether the Supreme Court and General Assembly would have approved of the court automation program, the rapid pace of technological development in the late 1990’s would have demanded additional FTE to support even rudimentary court automation projects. Clearly, adoption of the court automation program fueled the need for more FTE. However, not all FTE dedicated to court technology efforts, or obtained between 1994 and 2002, can be attributed solely to the particular program of court automation. Much of the increase would have occurred naturally in response to the courts’ growing statewide technology needs.

The original fiscal note actually provides as follows, “[T]he dedicated fund would be used to provide equipment, software, services and 11 FTE to automate case and accounting records and the operation of the state courts.” (Emphasis added.) The dedicated fund was used for precisely this purpose. The fiscal note did not state that additional FTE would never be needed. Actually, the original April 13, 1994 memorandum from OSCA to the Division made no representations on the actual number of FTE needed. The reason for requesting some of the additional FTE obtained between 1995 and 2001 rested on the fact that using private contractors to implement the case management system was outrageously expensive. According to an internal analysis dated March 1999, it would have cost the MCA \$2.4 million in FY 1999 for private vendors to plan the implementation. Those costs would have skyrocketed in FY 2000 to \$9.6 million if the MCA used private vendors to implement the case management system at 28 sites. Neither figure included the costs of equipment, wide area network, support personnel, maintenance, or management of the system. All FTE were obtained with the approval of the General Assembly after full disclosure as to the needs of the program.

- Audit Report Statement: “The fiscal note did not note the long-term financial impact on local county governments.”

Response: OSCA supplied requested information to the Division. If an analysis of the fiscal impact on county government was needed, the appropriate authority on this matter would have been the Missouri Association of Counties.

- *Audit Report Statement: “We realize that computer technology changes rapidly and that when a long-term program is initiated that involves such technology the potential for some additional costs exists. However, the costs of this program are in excess of the amounts noted when the program was first considered by the legislature.”*

Response: We do not agree that the costs of the program are excessive. In 1994, the legislature was presented with a proposal for funding the design of a court automation program for Missouri. It must be emphasized that all funds appropriated to the court automation program came only after full disclosure and full discussion with the General Assembly.

- *Audit Report Statement: “WE RECOMMEND the Office of State Courts Administrator discuss with the Missouri Court Automation Committee the possibility of pursuing other sources of funding, such as increasing the court automation fee. In addition, the cost benefit to the state and local governments should be seriously considered prior to implementing and maintaining other features of a statewide court automation system. Finally, in future amendments to the court automation project, we recommend the OSCA go beyond the current requirements for fiscal notes and provide additional details as to the long-term fiscal impact of the program. This approach will ensure clear, accurate, and complete information on the amendment and will enable the legislature to review actual costs with projected costs at any future date.”*

Response: By statute, the MCA is vested with overseeing all aspects of the court automation program. OSCA will forward to the MCA the report’s recommendation for consideration.

As to the pursuit of other funding sources, we are pursuing other funding sources because we recognize that the current fiscal crisis may inhibit our ability to move forward on several critical aspects of the program. However, we also believe that the operations of the judiciary are fundamental to the operations of state government. As such, judicial operational needs – including its technology needs - should be given due accounting in the allocation of state resources, just as the General Assembly does with the automation needs of other state operations.

Automation and technology are increasingly needed to support the business operations of the courts in the execution of the judiciary’s constitutional responsibilities. Court automation allows for more efficiency, better accounting of funds, broader public access to court records, and near real-time data exchanges between the courts and various law enforcement agencies. In an increasingly electronic age, the issue is not whether to fund automation but what is the best, most affordable technology available to support the courts’ operations.

In closing, where possible, the OSCA, acting as agent of the MCA, will go beyond current fiscal note requirements and provide the General Assembly with further information concerning long-term costs.

2.

Travel Costs

The OSCA incurs in-state and out-of-state travel costs for its employees, court employees, circuit and associate circuit judges, and contractors. These travel costs include mileage, commercial transportation, lodging, and meals for such activities as court visits, conferences, and training. During fiscal years 2001 and 2000, the OSCA incurred in-state travel costs of approximately \$1.8 million and \$1.5 million, respectively, and out-of-state travel costs of approximately \$166,000 and \$214,000, respectively. Our review of OSCA travel costs noted the following:

A. An OSCA consultant did not purchase airline tickets in advance, and as a result, may have been reimbursed for excessive airfare costs. The OSCA's agreement with the consultant stated, "OSCA will reimburse Consultant for the most economical roundtrip, coach class flight between his home base...and either Columbia Regional Airport..., St. Louis International Airport, or KC International Airport. Consultant agrees to secure an advance purchase ticket to maximize savings to the Project." The consultant and the OSCA entered into an agreement on July 28, 2000, for training to be performed on March 8, 2001, and May 3, 2001. The Consultant purchased the tickets for the cost of \$1,223 and \$1,290. We questioned these costs and, according to the OSCA Fiscal Administrator, the airfare costs were excessive and were reimbursed due to an oversight in the payment process.

In March 2002, the OSCA revised their contractor travel policy to provide that contractors must purchase tickets in advance at a cost of no more than \$600, unless they obtain written approval from the State Courts Administrator.

B. Seventeen of thirty-eight expense accounts reviewed claimed reimbursement at the maximum amount allowed for nearly all meals claimed. OSCA policy allows meal reimbursements for actual costs (including gratuity) of up to approximately \$30 or \$41 per day depending upon location. In addition, although the maximum amount allowed was not claimed, four other expense accounts claimed the same amount for each breakfast, lunch, and dinner. According to OSCA policy, employees are to be reimbursed for actual costs; they do not receive a per diem amount for meals. It does not appear reasonable that every meal claimed would be for the same amount or the maximum allowable amount. It appears that some additional review of meal claims for reasonableness is necessary to ensure compliance with OSCA policy.

C. Twenty-two of thirty-one expense accounts reviewed which claimed breakfast or evening meals when leaving and/or returning to the official domicile did not

indicate that an early departure or late arrival was necessary to conduct state business. OSCA policy states, "In instances where employees incur breakfast or evening meals when leaving and returning to their official domicile, they should indicate on their expense account that an early departure or late arrival was required to conduct state business."

Failure to ensure early departure or late arrival is documented provides less assurance that reimbursement of these costs are valid and proper, reduces the reliance on the review process, and results in noncompliance with OSCA policy.

- D. Excessive lodging rates were reimbursed for out-of-state lodging. We noted rates ranging from \$207 to \$372 (includes applicable taxes) per night.

According to OSCA management, if an excessive lodging rate comes to their attention, the Office of Administration will be contacted for the *Runzheimer International Guide To Daily Travel Prices* (Runzheimer) rate applicable to the city in question. This process is not performed for all out-of-state lodging costs, only costs that appear excessive. The Runzheimer guide includes lodging rates for three classifications: deluxe, first class, and economy. Each classification lists a range and an average, which include applicable sales and lodging taxes.

Four of five out-of-state lodging rates reviewed exceeded the first class or deluxe Runzheimer ranges or averages at that time by \$6 to \$149 per night. We also compared the lodging rates to federal government rates for 2001 from the U.S. General Services Administration website used by federal employees. All five lodging expenses we reviewed exceeded the maximum federal government reimbursement rates by \$47 to \$206. Expending state monies for excessive out-of-state lodging is an unnecessary and imprudent use of state funds.

- E. The OSCA held a retreat for 25 senior managers domiciled in Jefferson City at a resort at the Lake of the Ozarks. Meals and lodging totaled approximately \$5,700 for the two-day retreat. This amount does not include mileage costs to Lake Ozark from Jefferson City. According to OSCA management, the retreat was not held in Jefferson City due to numerous distractions that could have occurred, resulting in ineffective use of the senior managers' time. However, if the retreat had been held in Jefferson City, some costs could have been avoided, including lodging, mileage, and some, if not all, meals.

WE RECOMMEND the Office of State Courts Administrator:

- A. Review all airfare reimbursement requests to ensure compliance with the updated contractor policy.
- B. Review meal costs claimed on expense reports for reasonableness.

- C. Ensure documentation of early departure and/or late arrival is included on expense account claim forms when applicable.
- D. Develop and adopt a formal out-of-state travel policy establishing reasonable lodging rates such as those provided by federal reimbursement guidelines.
- E. Ensure expenditures are necessary for the operation of the office.

AUDITEE'S RESPONSE

The State Courts Administrator:

- A. *Agrees.*
- B. *Will review practices with respect to meal reimbursements.*
- C. *Agrees and will take steps to ensure that such documentation is on the expense form.*
- D. *Will review practices with respect to the current travel policy. It has been the practice, and often a requirement due to presentation obligations, to allow staff to stay at the hotels where conferences are held. This was the case in the items noted by the auditor.*
- E. *Will take this recommendation under advisement, but believes there was a viable benefit to the meeting in question.*

3. General Fixed Assets

Our review of OSCA general fixed asset records and procedures indicated the following areas in which improvements are needed:

- A. Physical inventories of general fixed assets are not conducted annually. OSCA administration personnel indicated that a physical inventory was not performed during fiscal years 2000 or 2001 for all divisions. During fiscal year 2001, a physical inventory was conducted for all OSCA owned information technology equipment. Annual physical inventories are necessary to ensure the accuracy of fixed asset records and to detect loss, theft, and misuse of assets.
- B. The OSCA records fixed assets in the Statewide Advantage System for Missouri (SAM II) Fixed Asset Tracker based upon the purchase order amount of the asset. During our review, we noted seventeen laptop computers, along with other hardware, were overstated in the SAM II Fixed Asset Tracker by approximately \$4,500. This overstatement occurred because the purchase order amount was entered instead of the invoice amount. To accurately account for fixed asset costs, it is necessary to use correct documentation when entering the cost of assets into the SAM II Fixed Asset Tracker.

- C. General fixed assets totaling approximately \$172,000 could not be traced to the SAM II Fixed Asset Tracker. The unrecorded assets include data processing hardware totaling approximately \$61,700, and some modifications to the Information Technology building totaling \$49,500. Failure to properly record inventory items reduces the control and accountability over fixed assets and increases the potential for loss, theft, or misuse of assets.

WE RECOMMEND the Office of State Courts Administrator:

- A. Ensure annual physical inventories of general fixed assets are performed.
- B&C. Ensure all general fixed assets are recorded in the SAM II Fixed Asset Tracker at actual cost.

AUDITEE'S RESPONSE

The State Courts Administrator:

- A. *Agrees and will perform a physical inventory this year and in the years ahead.*
- B&C. *Agrees and believes that this will not be a problem in the future.*

4. Bidding Procedures

Bids were not always solicited and documentation of quotes was not always retained for various purchases made by the OSCA during the audit period. The OSCA is not governed by state purchasing law; however, the internal purchasing policy requires competitive pricing for items or services costing \$3,000 or more. In addition, the Missouri Court Automation Committee (committee), is required by Section 476.055, RSMo 2000, to follow the bidding requirements of the Office of Administration (OA) for lowest and best bid for purchases of computer software and hardware over \$5,000. All other purchases made by the committee are subject to OSCA internal purchasing policy. Examples of items purchased for which bids were not taken or documentation retained are as follows:

- The OSCA entered into an agreement with a consulting firm to define and document a testing approach for Juvenile Case-Management Automated Information System (JCAIS) software. Expenditures related to this agreement totaled approximately \$515,700. OSCA management indicated the consultant was selected based on prior work experience and knowledge of the JCAIS; however, there was no documentation to support this decision.
- Approximately \$5,800 was expended for moving services. OSCA management indicated the moving service was selected based upon past experience and price; however, there was no documentation to support this decision.

- Digital recording equipment was purchased by the OSCA on behalf of Missouri's circuit courts at a cost of approximately \$44,700. We were provided no information or evidence that this purchase was bid.
- The OSCA did not formally bid the purchase of an audio system for the Judicial Department Education Division. However, the department researched available audio systems at a computer training and support conference. We were informed that price quotes were obtained from the two vendors at the conference. Based upon these quotes, the OSCA purchased an audio system for approximately \$31,000; however, documentation supporting the quotes received was not retained.

Formal bidding procedures for major purchases provide a framework for economical management of state resources and help ensure that the OSCA receives fair value by contracting with the lowest and best bidders. Competitive bidding also helps ensure all parties are given equal opportunity to participate. While such procedures have been established, the OSCA should ensure compliance with the procedures. The OSCA should also ensure that documentation is retained supporting bids and quotes received.

WE RECOMMEND the Office of State Courts Administrator ensure bids are solicited in accordance with the internal purchasing policy. In addition, the OSCA should retain documentation of all bids and quotes received.

AUDITEE'S RESPONSE

The State Courts Administrator agrees and believes the office has addressed and substantially improved practices in this area.

5.

Agency Provided Meals

During the six months ended December 31, 2001, and the years ended June 30, 2001 and 2000, the OSCA supplied food at various events totaling approximately \$102,000, \$248,000, and \$192,000, respectively. These amounts represent meals provided to attendees of OSCA-sponsored programs and amounts billed by various food service providers for other events, such as training sessions and meetings. During a typical day of these programs, breakfast, two breaks, lunch, and dinner are often provided for attendees. For other events, lunch and refreshments are often provided.

We noted various expenditures for food provided to state employees for which the cost per person did not appear reasonable. The OSCA paid up to \$16.98 per person for breakfast, \$22.25 per person for lunch, \$10.94 per person for breaks, and \$33.82 per person for dinner. OSCA policies do not establish limits/guidelines for reasonable per person meal costs.

Examples of costs per person which did not appear reasonable included the following:

- The OSCA paid the following amounts per person for meals during a retreat for senior managers at the Lake of the Ozarks: breakfast of \$13.09, lunch of \$19.93, and dinner of up to \$33.82.
- Approximately \$42,000 was spent on agency-provided food for a five day, OSCA-sponsored, judicial college at a resort at the Lake of the Ozarks. Excessive meal costs per person during this event included breakfast of up to \$16.98, and lunch of up to \$20.23, per person.
- Approximately \$2,300 was spent on agency-provided meals and breaks for a presiding judges meeting in St. Louis. Amounts per person for breakfast and lunch were \$16.96 and \$22.55, respectively.
- Approximately \$1,700 was spent on agency-provided meals and breaks for a presiding judges meeting in Springfield. Amounts per person were the following: breaks of \$10.94, breakfast of \$11.94, and lunch of \$15.54.

WE RECOMMEND the Office of State Courts Administrator develop and adopt a policy regarding state agency-provided food purchases. The policy should establish guidelines regarding maximum costs allowable and purchases that are proper and necessary for the operation of the office.

AUDITEE'S RESPONSE

The State Courts Administrator indicated the office endeavors to get the best prices it can for conference meals and will continue to do so. The Office of States Courts Administrator is in a unique position in that only a handful of venues in the state can sufficiently handle the number of participants at some of the meetings/conferences. The State Courts Administrator will review practices with respect to breaks to ensure reasonableness.

6. Cellular Telephones

The OSCA has seventy-three cellular telephones. The cellular telephones are allocated as follows: forty to the Information Technology Division, three to the Administration and Budget Division, two to the Judicial Department Education Division, one to the Juvenile and Adult Court Programs Division, and twenty-seven to be maintained in OSCA state vehicles. During fiscal years 2001 and 2000, cellular telephone expenditures totaled approximately \$21,000 and \$12,000, respectively. During our review of OSCA cellular telephone procedures and usage, we noted the following:

- A. Division personnel responsible for the review and payment of cellular telephone services do not consistently review cellular usage, resulting in costs that could have been avoided. Personnel from one division stated cellular usage is analyzed

when the state contract is changed, while another division analyzes usage monthly, and yet another division indicated the cellular telephones are new and a pattern has not yet been established to determine typical monthly usage. However, our analysis of six months' usage data for each of these divisions revealed that very few changes were made to cellular plans for the six-month period reviewed. In addition, we noted that some plans did not match the usage patterns of the cellular telephones.

Failure to monitor cellular telephone usage on a routine basis and adjust plans accordingly results in unnecessary cost to the state.

The state entered into new cellular telephone contracts for the contract period December 4, 2001, through December 3, 2002. We obtained the Division of Information Technology's proposed plans for its cellular telephones under the new state contract. The proposal showed an improvement in the plans selected for all cellular telephones reviewed during our audit work. Proposals for the other divisions with cellular telephones were not available.

- B. There are twenty-seven cellular telephones assigned to state owned vehicles. We reviewed the usage of three of these telephones for a six month period. Two of the telephones reviewed averaged less than seven minutes usage per month. The third phone was used an average of 106 minutes per month. Based on the usage of these three cellular telephones, it does not appear necessary to have a cellular telephone in each OSCA vehicle. In addition, there are twenty-eight individuals assigned a cellular telephone who would have no need for a telephone specifically assigned to a vehicle.

Implementing a policy of checking out a cellular telephone, if necessary, when a vehicle is checked out could reduce the number of vehicular cellular telephones.

- C. Cellular telephone invoices are not processed in a timely manner. Of twenty-five invoices reviewed, sixteen included past due balances of one month and nine included past due balances of two months. The OSCA receives separate cellular telephone invoices for all four state plans under state contract; each invoice includes detail for more than one cellular telephone. Once the invoice is received, it is forwarded to each of the applicable divisions to review for accuracy and to code the expenses to the appropriate SAM II accounts. To ensure accounts are properly credited, payments should be made on a timely basis. Furthermore, the large number of cellular telephones, some of which appear unnecessary, may be creating an administrative burden that is contributing to the processing deficiencies noted above.

WE RECOMMEND the Office of State Courts Administrator:

- A. Develop procedures to ensure the most cost effective cellular telephone plans are selected based on actual usage by OSCA employees. In addition, the OSCA

should consider whether cellular telephones with significantly low usage are necessary for the operation of the office.

- B. Consider reducing the number of cellular telephones assigned to vehicles and adopt a checkout policy for cellular telephones to be used in OSCA vehicles.
- C. Develop procedures to pay cellular telephone invoices in a timely manner.

AUDITEE'S RESPONSE

The State Courts Administrator indicated:

- A. *The Office of States Courts Administrator is currently reviewing the use of cell phones and calling plans. Based on that review, a plan will be devised to ensure a cost-effective use of the cell phones.*
- B. *This recommendation is among the considerations that will be addressed in the cell phone usage review.*
- C. *The Office of States Courts Administrator will endeavor to pay all bills in a timely manner. They will, however, review procedures to determine if they can further expedite the process.*

7.

Circuit Court Payroll

The OSCA processes the payroll for all state paid circuit employees through the state's SAM II Human Resources (HR) system. Due to the decentralized nature of the circuit court payroll process, the OSCA relies on various court employees for assistance entering information into the SAM II HR system or providing the OSCA with the necessary payroll documents. Once payroll information is submitted to the state, OSCA regional accounting coordinators handle additional payroll processing requirements. During our review of circuit court employee payroll, we noted that some circuit court employee payroll procedures do not appear to be adequately segregated as follows:

- A. We noted thirteen employees in various counties whose appointing authority and payroll designee or alternate payroll designee were the same individual.

The appointing authority for circuit court employees is the Circuit Clerk of each county, while the appointing authority for associate circuit court employees is the Associate Circuit Judge. The appointing authorities are responsible for hiring, firing, promoting, and demoting court employees, and submitting a Personnel Change Authorization form to the OSCA when such changes occur.

The Presiding Circuit Judge appoints a payroll designee for each county who is responsible for ensuring circuit court employees' leave and/or time are entered

into the SAM II HR system. An alternate payroll designee is also often appointed to perform these duties in the event the payroll designee is unable to perform this function. For full-time and standard (.5 FTE) part-time employees, the payroll designee enters leave used by each employee into the SAM II HR system. For those who are not considered standard part-time employees, timesheets are submitted to the payroll designee, who then faxes the timesheets to the OSCA, where the information is entered into the SAM II HR system by Regional Accounting Coordinators.

When the individual with the authority to hire and promote is the same individual responsible for ensuring leave and/or time is entered or submitted, it produces an environment for possible misuse of state funds through the creation of fictitious employees. To safeguard against this possibility, it is necessary to segregate these two functions.

- B. The OSCA regional accounting coordinators enter personnel change authorizations and employee time worked and leave used into the SAM II HR system for some circuit court employees. In addition, they distribute direct deposit advices or payroll checks to these employees.

To safeguard against possible theft or misuse of state funds, internal controls should provide reasonable assurance that all payroll functions are adequately segregated.

WE RECOMMEND the Office of the State Courts Administrator:

- A. Ensure the payroll designee and appointing authority functions, where possible, are segregated in each court.
- B. Segregate the accounting and cash distribution functions for all circuit court employees.

AUDITEE'S RESPONSE

The State Courts Administrator:

- A. *Agrees and is currently in the process of implementing this recommendation.*
- B. *Agrees and has implemented this recommendation.*

8. Information System Access Controls
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The OSCA processes all financial accounting activity including budget, purchasing and expenditures, revenues, payroll, and fixed assets using SAM II. The SAM II system includes over 570 on-line screens for data entry, inquiry, or modification. The

significance of the information processed through SAM II requires that controls be in place to adequately restrict access to the system. To provide access control over SAM II, employees are assigned a unique user identification code (user ID). The OSCA is responsible for determining what each user is allowed to do in SAM II, and grants these permissions by assigning specific access rights to each user ID. Controls over the issuance and maintenance of user IDs and access rights are critical to the effectiveness of system access controls.

The Fiscal Administrator, who is responsible for assigning and removing access rights, is not notified by the Personnel Division of staff who have terminated employment with the OSCA. As a result, SAM II IDs and SAM II access may not always be properly removed.

WE RECOMMEND the Office of the State Courts Administrator require the Personnel Division to notify the Fiscal Administrator when staff terminates employment with the OSCA. The Fiscal Administrator should then immediately request removal of SAM II IDs and access rights for the terminated employee.

AUDITEE'S RESPONSE

The State Courts Administrator agrees and is working on a process that will implement this recommendation.

9.

Title IV-D Reimbursement Claims

During our review of Title IV-D reimbursement claims submitted to the Department of Social Services, Division of Child Support Enforcement (DCSE), for expenses incurred during fiscal years 2001 and 2002, we noted that the OSCA has not submitted claims for circuit clerk activity on a timely basis. The first reimbursement claim submitted for fiscal year 2001 was not submitted until June 2001. This claim of approximately \$1 million was for a 10-month period from July 2000 through April 2001. An additional reimbursement claim of approximately \$144,000 was submitted in December 2001 for May through June 2001. In February 2002, a reimbursement claim of approximately \$391,000 was submitted for the first two quarters of fiscal year 2002 (July 2001 through December 2001).

Each fiscal year, the OSCA enters into a Child Support Cooperative Agreement with the DCSE. The agreement provides reimbursement of the personnel expenses incurred by the judiciary which are attributable to collection of IV-D child support payments by Circuit Clerks and their Deputy and Division Clerks. According to the agreement, the OSCA is to submit reimbursement claims for circuit clerk activity at least quarterly. Reimbursement will then be made in the form of a fund transfer to the General Revenue Fund - State for all personnel expenses attributable to circuit clerk activity on IV-D cases.

To ensure the state receives the federal financial assistance to which it is entitled in a timely manner and to fully comply with the terms of the cooperative agreement, reimbursement claims should be submitted on a quarterly basis.

WE RECOMMEND the Office of State Courts Administrator submit Title IV-D reimbursement claims at least quarterly as required by the Child Support Cooperative Agreement.

AUDITEE'S RESPONSE

The State Courts Administrator believes the office has strengthened procedures in this area and that timely submission will be the rule in the future.

This report is intended for the information of the management of the Office of State Courts Administrator and other applicable government officials. However, this report is a matter of public record and its distribution is not limited.

HISTORY, ORGANIZATION, AND
STATISTICAL INFORMATION

OFFICE OF STATE COURTS ADMINISTRATOR
HISTORY, ORGANIZATION, AND STATISTICAL INFORMATION

State Courts Administrator

The Office of State Courts Administrator (OSCA) is responsible for providing administrative and technical support to the courts of Missouri. The duties and responsibilities assigned to the state courts administrator are broad in scope and relate to all levels of the state court system.

Since the appointment of the first state courts administrator in 1970, the office has been responsible for providing technical assistance, management services, education and training programs, data processing and systems analysis, administrative procedure evaluation, compilation of statistics, and case processing support to the courts. The Office also assists courts in developing and implementing court improvement projects in such areas as child abuse and neglect, juvenile services, family preservation, criminal history reporting, crime victims' rights, mediation services, alcohol and drug abuse treatment and prevention, and the implementation of time standards for case disposition. Since 1994, the office has worked on the Statewide Court Automation program which is a multi-year project to automate all the courts in the state. The office is organized into five divisions: Administration and Budget, Court Services, Information Technology, Juvenile and Adult Court Programs, and Judicial Department Education.

Michael Buenger currently serves as State Courts Administrator.

The Office of State Courts Administrator included 91.25 FTE (full time equivalents) at June 30, 2001. The court administrator also supervises 22.25 FTE in various federally funded programs and provides administrative support for 113 FTE of the Statewide Court Automation Program and 16 FTE of the Judicial Education and Training Program under the direction of the Missouri Court Automation Committee and the Judicial Education and Training Committee, respectively.

In addition to administering the payroll for all regular employees of its own office, the State Courts Administrator administered the payroll for the following state employees at June 30, 2001:

<u>Description</u>	<u>Number</u>
Circuit court judges	135
Presiding judges' secretaries	45
Circuit court clerks	116
Associate division judges	186
Probate, deputy probate, family court and drug court commissioners	36
Court reporters	135
Juvenile officers	10
Circuit court classified personnel	<u>2,252</u>
Total	<u>2,915</u>

Missouri Court Automation Program History

During the mid 1980s, Missouri courts were experiencing trends of crowded dockets, increasing crime rates, complex civil litigation, increasing statutory reporting requirements, and rapidly growing domestic relations caseloads. These business factors made providing access to timely justice with the same amount of staff and resources an increasingly impossible challenge. It became imperative that the Judiciary utilize automation to improve services and reduce administrative burdens on the limited clerk staff.

In 1985, Missouri Supreme Court Operating Rule 1 (COR1) authorized the development of a Statewide Judicial Information System to provide statistical and management information to the state courts. As the business need for automation became increasingly great throughout the late 1980s and early 1990s, the role of COR1 was significantly expanded in 1994, with the enactment of Missouri Revised Statutes Section 476.055. This statute provided for three things. It established a statewide court automation program, provided a seven dollar per-case court fee to help fund the program for a five-year period, and created an oversight body called the Missouri Court Automation Committee.

The Missouri Court Automation Committee (MCA) consists of the chief justice of the Missouri Supreme Court, one judge from the court of appeals, four circuit judges, four associate circuit judges, four employees of the circuit court, the commissioner of the Office of Administration, two members of the Missouri Bar, two representatives from the State Senate and two representatives from the State House. Its role was, and remains, to establish and oversee the services and activities deemed necessary to plan and build an electronic network and a collection of automated systems that will connect all Missouri courts and address identified business needs. The MCA is also responsible for administration of the funds acquired through the seven dollar fee. In 1997, Senate Bill 248 extended the seven dollar court fee until September 1, 2004.

A joint legislative committee on court automation was also established to track the progress of the court automation program. The membership of this oversight committee includes the chair of the House Budget Committee, the chair of the Senate Appropriations Committee, the chair of the House Judiciary Committee, the chair of the Senate Judiciary Committee, one member of the minority party of the House appointed by the Speaker of the House of Representatives, and one member of the minority party of the Senate appointed by the President pro tempore of the Senate. The MCA reports to this body four times each year.

In Fiscal Year 1996, the MCA hired staff to facilitate the program development and selected a consultant to design an Enterprise Information Architecture (EIA).

The EIA was designed to serve as the statewide infrastructure so courts could be electronically connected through e-mail and collaborative database capabilities. This network was completed during Fiscal Year 2001. Courts' staff have attended training and received the necessary software and hardware. One hundred percent of judges, clerks and juvenile officers now have access to this communication tool.

In March of 1997, the state awarded a contract for its Banner Courts case management system (ACS Justice Information System - JIS). Within thirty days of procurement, the MCA had selected its first pilot site and began to pilot the system in Montgomery County. After a successful pilot in the small Montgomery County court, pilots were also completed in the large metropolitan court in Jackson County and at the Eastern District Court of Appeals. With three pilots completed, a phased rollout approach to the remainder of the state began. Currently, there are sixty-four counties using the JIS case management system in addition to the three appellate courts, the Supreme Court and the centralized Fine Collection Center.

OSCA has also developed an Internet based program called Case.net. Case.net pulls public case information from the JIS system, and displays it through the Judiciary's Internet page. Attorneys, litigants, media, abstractors, and anyone with Internet access can search for public court records by litigant name, filing date, case number, calendar date, attorney Bar number, or the name of a judge or commissioner. The goal of instituting this program was to reduce interruptions to court clerks by empowering attorneys and litigants to look up their own case information without calling or visiting the courthouse.

The state also awarded a statewide contract for the ACS Jury Management System (JMS) in Fiscal Year 2000. This software program provides for a larger and more accurate pool of jurors and offers management tools for jury trials including random seating, tracking, and immediate payment for service. This software has been installed in sixty counties, with plans to complete installation by the end of Fiscal Year 2003 if funding is available.

The Fine Collection Center

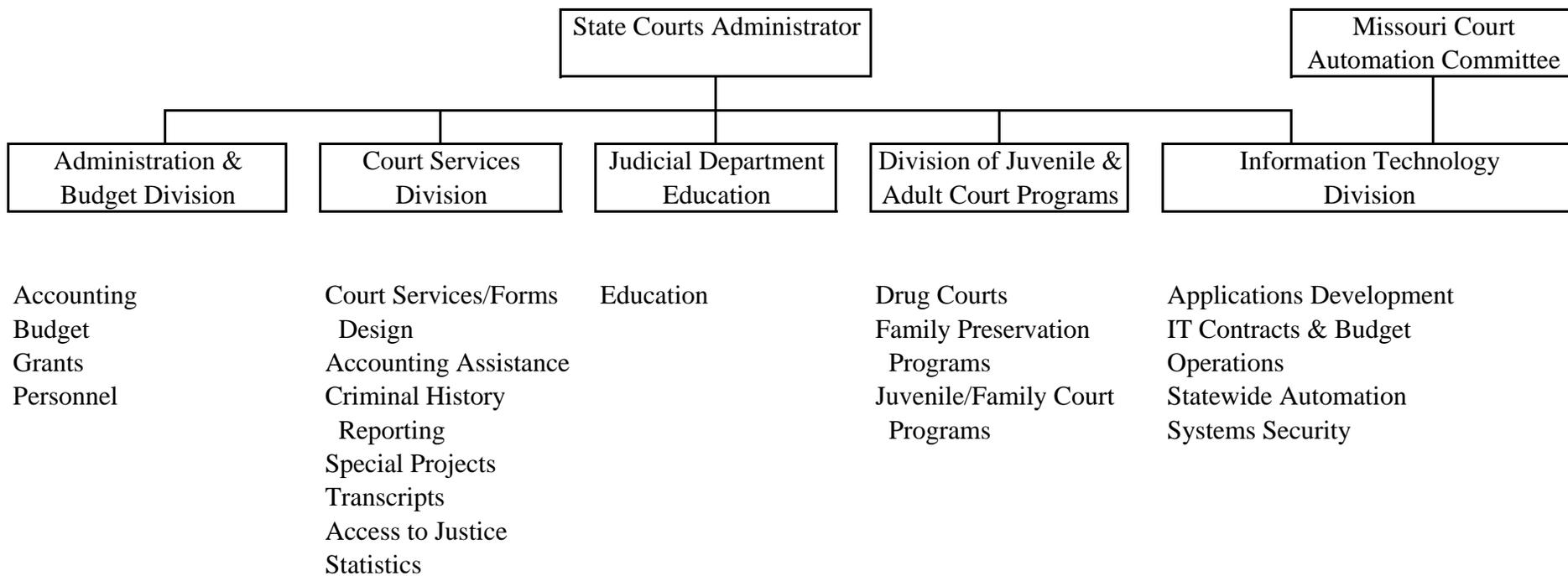
In late 1997, the Missouri Supreme Court created the Fine Collection Center (FCC) pursuant to Section 476.385, RSMo. This statute also authorized the Supreme Court to appoint a committee consisting of at least seven associate circuit judges who would establish and maintain a schedule of fines to be paid for violations of section 210.104, RSMo, and chapters 252, 301, 302, 304, 306, 307 and 390, RSMo. The Fine Collection Center (originally called the Central Violations Bureau) can process most traffic, conservation, and watercraft offenses for counties that voluntarily join the program.

The associate circuit judges of each county have the authority to join this centralized collection program and adopt the uniform fine schedule set by the FCC Advisory Committee. The FCC may accept guilty pleas with full payment of fines and costs and may accept not guilty pleas. The FCC returns not guilty plea cases to the prosecuting attorney in the county where the offense occurred for normal court processing. All fines and costs collected by the FCC are sent either to the county treasurers or to various state agencies entitled to receive a share of court costs.

The FCC is a voluntary membership program. The FCC began operation on July 1, 1999, with Boone and Callaway counties as its pilot sites. As of June 30, 2001, the program's membership had grown to fifty-one counties. During Fiscal Year 2000, the FCC filed 52,964 cases, disposed of 31,248 cases, and collected \$2,867,498 in fines and costs for its members. During Fiscal Year 2001, the FCC filed 99,793 cases, disposed of 59,157 cases, and collected \$5,746,673 in fines

and costs for its members. The FCC staff consists of 25 employees including a Manager, a CPA, and accounting, data processing, and customer service specialists.

OFFICE OF STATE COURTS ADMINISTRATOR
 ORGANIZATION CHART
 JUNE 30, 2001



Appendix A

OFFICE OF THE STATE COURTS ADMINISTRATOR
 COMPARATIVE STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 (INCLUDES CIRCUIT COURT APPROPRIATIONS AND EXPENDITURES)

	Year Ended June 30,					
	2001			2000		
	<u>Appropriation</u>	<u>Expenditures</u>	<u>Lapsed Balances</u>	<u>Appropriation</u>	<u>Expenditures</u>	<u>Lapsed Balances</u>
GENERAL REVENUE FUND - STATE						
State Courts Administration Expense and Equipment	\$ 1,097,291	953,820	143,471	1,161,424	1,132,697	28,727
State Courts Administration Personal Service	3,380,972	3,369,334	11,638	3,247,260	3,197,874	49,386
Court Automation Personal Service	1,567,928	1,555,699	12,229	846,678	845,866	812
Judges Salaries Circuit	14,904,000	14,731,900	172,100	14,490,000	14,388,192	101,808
Associate Judges Salaries	20,256,000	19,605,709	650,291	18,623,060	18,620,118	2,942
Court Automation Speedup Personal Service	1,545,798	1,533,036	12,762	1,491,900	1,490,675	1,225
Court Automation Speedup Expense and Equipment	2,730,397	2,722,680	7,717	4,392,197	4,390,954	1,243
Circuit Courts Personal Service Expense and Equipment Flex	1,200,000	1,171,396	28,604	0	0	0
Circuit Court Administration Expense and Equipment	99,000	69,796	29,204	0	0	0
Associate Judges Supplement Personal Service	0	0	0	441,940	41,463	400,477
Circuit Personnel Personal Service	72,157,753	69,892,050	2,265,703	67,050,910	66,825,409	225,501
Permanency Planning	134,500	134,500	0	134,500	117,021	17,479
Court Automation Expense and Equipment	8,432,603	8,352,537	80,066	1,895,664	1,854,191	41,473
Appellate Judicial Commission	10,550	5,299	5,251	21,650	13,268	8,382
Circuit Personnel Expense and Equipment	1,351,860	1,099,172	252,688	992,360	911,456	80,904
Reporters' Fees	226,000	87,115	138,885	266,584	108,676	157,908
Circuit Court Administration Personal Service	1,000	0	1,000	100,000	61,671	38,329
Senior Judge Compensation	641,783	641,667	116	614,493	614,344	149
Total General Revenue Fund - State	<u>129,737,435</u>	<u>125,925,710</u>	<u>3,811,725</u>	<u>115,770,620</u>	<u>114,613,875</u>	<u>1,156,745</u>
SUPREME COURT FUND (FEDERAL)						
Court Improvement Project Expense and Equipment	9,349,210	3,844,608	5,504,602	9,222,455	4,154,818	5,067,637
Circuit Personnel Personal Service	931,530	463,133	468,397	2,472,951	1,384,890	1,088,061
Managed by Facilities Management	14,004	14,004	0	14,004	14,004	0
Circuit Personnel Expense and Equipment	111,360	0	111,360	0	0	0
State Courts Administration Personal Service	43,998	0	43,998	104,023	93,606	10,417
State Courts Administration Expense and Equipment	41,401	0	41,401	41,401	646	40,755
Court Improvement Project Personal Service	1,085,972	909,593	176,379	1,373,810	1,097,758	276,052
Total Supreme Court Fund	<u>11,577,475</u>	<u>5,231,338</u>	<u>6,346,137</u>	<u>13,228,644</u>	<u>6,745,722</u>	<u>6,482,922</u>

Appendix A

OFFICE OF THE STATE COURTS ADMINISTRATOR
 COMPARATIVE STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 (INCLUDES CIRCUIT COURT APPROPRIATIONS AND EXPENDITURES)

	Year Ended June 30,					
	2001			2000		
	<u>Appropriation</u>	<u>Expenditures</u>	<u>Lapsed Balances</u>	<u>Appropriation</u>	<u>Expenditures</u>	<u>Lapsed Balances</u>
CHILD SUPPORT ENFORCEMENT COLLECTION FUND						
State Courts Administration Personal Service	\$ 0	0	0	34,515	0	34,515
State Courts Administration Expense and Equipment	0	0	0	9,764	333	9,431
Total Child Support Enforcement Collection Fund	0	0	0	44,279	333	43,946
STATEWIDE COURT AUTOMATION FUND						
Court Automation Personal Service	1,153,814	940,406	213,408	1,299,100	756,724	542,376
Court Automation Personal Service - Expense and Equipment Flex	200,000	0	200,000	0	0	0
Court Automation Expense and Equipment	3,333,900	1,933,452	1,400,448	4,568,900	4,373,420	195,480
Total Statewide Court Automation Fund	4,687,714	2,873,858	1,813,856	5,868,000	5,130,144	737,856
STATE COURT ADMINISTRATION REVOLVING FUND						
Court Administration Revolving Fund	90,000	7,751	82,249	90,000	4,581	85,419
Total State Court Administration Revolving Fund	90,000	7,751	82,249	90,000	4,581	85,419
JUDICIARY EDUCATION AND TRAINING FUND						
Judicial Training and Education Personal Service	605,006	489,004	116,002	165,290	164,654	636
Judicial Training and Education Expense and Equipment	2,502,350	2,352,855	149,495	1,883,187	1,814,865	68,322
Total Judiciary Education and Training Fund	3,107,356	2,841,859	265,497	2,048,477	1,979,519	68,958
DOMESTIC RELATIONS RESOLUTION FUND						
State Courts Administration Expense & Equipment	500,000	1,966	498,034	500,000	44,354	455,646
Total Domestic Relations Resolution Fund	500,000	1,966	498,034	500,000	44,354	455,646
CENTRAL VIOLATIONS BUREAU FUND						
Circuit Personnel Expense & Equipment	250,000	0	250,000	250,000	0	250,000
Total Central Violations Bureau Fund	250,000	0	250,000	250,000	0	250,000
Total All Funds	\$ 149,949,980	136,882,482	13,067,498	137,800,020	128,518,528	9,281,492

Appendix B

OFFICE OF STATE COURTS ADMINISTRATOR
 COMPARATIVE STATEMENT OF EXPENDITURES
 (FROM APPROPRIATIONS - INCLUDING CIRCUIT COURT)

	Year Ended June 30,	
	2001	2000
Salaries and wages	\$ 114,194,560	107,687,396
Travel	1,919,593	1,755,213
Fuel and utilities	117,810	111,935
Supplies:		
Administrative	347,221	347,707
Repair and maintenance	37,156	27,109
Specific use	16,895	42,416
Other	0	945
Professional development	558,365	473,994
Services:		
Communications	1,526,464	920,772
Business	272,312	254,105
Professional	7,089,099	8,444,875
Housekeeping and janitorial	61,129	46,962
Equipment repair and maintenance	1,857,383	1,318,560
Other	3,321	1,309
Equipment:		
Computer	6,648,313	5,194,048
Educational equipment	31,425	90,964
Electronic and photo	262,975	100,962
Motorized	72,400	82,327
Office equipment	236,401	584,900
Specific use	38,289	105,833
Other	0	22,000
Property and Improvements	77,080	8,735
Real property rentals and leases	703,856	402,375
Equipment lease payments	6,654	7,641
Building and equipment rentals	110,783	13,076
Rebillable expenses	361,898	228,111
Program distributions	80,919	50,611
Other	250,181	193,647
Total Expenditures	\$ 136,882,482	128,518,528

Appendix C

OFFICE OF STATE COURTS ADMINISTRATOR
 COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY
 THE FINE COLLECTION CENTER

County	Year Ended June 30,			
	2001		2000	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas
Andrew	\$ 93,053	1,005	\$ N/A	N/A
Audrain	83,523	852	76,216	802
Barry	84,227	958	34,414	412
Barton	58,306	575	47,685	492
Benton	186,441	2,116	76,090	840
Bollinger	12,700	149	5,670	89
Boone	325,095	3,416	445,678	4,741
Buchanan	203,762	2,089	67,370	753
Butler	152,171	2,210	42,238	634
Caldwell	81,373	925	37,112	412
Callaway	148,420	1,413	247,138	2,410
Cape Girardeau	182,916	1,982	66,491	766
Cass	155,829	1,468	23,911	262
Cole	78,820	888	60,939	688
Cooper	171,946	1,689	156,507	1,565
Crawford	99,894	1,090	69,499	793
Dekalb	45,005	541	17,279	203
Dent	38,168	492	21,355	276
Dunklin	25,658	329	25,467	307
Franklin	315,555	2,433	N/A	N/A
Henry	180,948	2,089	62,847	840
Holt	126,520	1,213	48,624	475
Howard	10,974	113	14,238	160
Iron	3,527	59	N/A	N/A
Jackson	197,493	1,790	218,453	2,373
Jasper	125,061	1,310	66,046	735
Laclede	220,205	2,493	121,808	1,399
Lafayette	106,165	827	N/A	N/A
Lawrence	86,295	901	108,293	1,098
Macon	131,605	1,556	76,692	937
Madison	55,677	617	N/A	N/A
Mississippi	79,547	643	N/A	N/A

Appendix C

OFFICE OF STATE COURTS ADMINISTRATOR
COLLECTIONS AND GUILTY PLEAS BY COUNTY FOR TICKETS PROCESSED BY
THE FINE COLLECTION CENTER

County	Year Ended June 30,			
	2001		2000	
	Total Collections	Guilty Pleas	Total Collections	Guilty Pleas
Montgomery	\$ 72,066	932	\$ 56,383	680
Nodaway	111,391	1,449	114,470	1,486
Osage	7,672	89	N/A	N/A
Perry	77,152	683	18,920	170
Phelps	49,823	540	N/A	N/A
Polk	27,870	250	N/A	N/A
Ralls	48,421	661	3,648	52
Randolph	102,672	1,107	37,897	444
Ripley	17,523	337	6,615	110
Saline	206,503	1,879	57,264	513
Shannon	52,190	662	46,635	584
Shelby	54,288	643	28,154	334
St. Charles	730,520	6,204	207,820	1,777
St. Francois	101,380	1,081	N/A	N/A
Ste. Genevieve	65,148	638	13,700	147
Vernon	61,220	712	37,936	489
Washington	20	2	N/A	N/A
Wayne	15,611	188	N/A	N/A
Webster	78,332	869	N/A	N/A
Total	\$ 5,746,673	59,157	\$ 2,867,498	31,248

Notes: The Fine Collection Center also processed 40,636 and 21,716 tickets during the years ended June 30, 2001 and 2000, respectively, which were not disposed of in the year filed or were forwarded to the respective local courts for further processing.

The numbers presented above may not be comparable between fiscal years. The counties joined the Fine Collection Center at various times during the two year audit period. The N/A listed for total collections and total guilty pleas in fiscal year 2000 represent counties which joined the Fine Collection Center in fiscal year 2001.

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