



# JUDICIAL COUNCIL OF CALIFORNIA

INFORMATION TECHNOLOGY  
ADVISORY COMMITTEE

[www.courts.ca.gov/itac.htm](http://www.courts.ca.gov/itac.htm)  
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## INFORMATION TECHNOLOGY ADVISORY COMMITTEE

### MINUTES OF OPEN MEETING

June 22, 2018

10:00 AM to 12:00 PM

CONDUCTED BY ELECTRONIC MEANS AND RECORDED

<b>Advisory Body Members Present:</b>	Hon. Sheila F. Hanson, Chair; Hon. Louis R. Mauro, Vice Chair; Mr. Brian Cotta; Hon. Julie R. Culver; Hon. Tara Desautels; Mr. Jason Galkin; Ms. Alexandra Grimwade; Hon. Michael S. Groch; Mr. Paras Gupta; Hon. Kimberly Menninger; Hon. James Mize; Mr. Snorri Ogata; Mr. Darrel Parker; Hon. Alan G. Perkins; Hon. Peter Siggins; Hon. Bruce Smith; Ms. Jeannette Vannoy; Mr. Don Willenburg; Hon. Daniel J. Buckley; Mr. David H. Yamasaki
<b>Advisory Body Members Absent:</b>	Assemblymember Marc Berman; Hon. Samantha P. Jessner; Hon. Jackson Lucky; Mr. Terry McNally; Hon. Joseph Wiseman
<b>Others Present:</b>	Hon. Gary Nadler; Mr. Oyung; Mr. Patrick O'Donnell; Ms. Jamel Jones; Ms. Fati Farmanfarmaian; Ms. Nicole Rosa; Ms. Jackie Woods; and other JCC staff present

#### OPEN MEETING

##### Call to Order and Roll Call

The chair called the meeting to order at 10:00 AM and took roll call.

##### Approval of Minutes and Public Comment

The advisory body reviewed and approved the minutes of the April 30, 2018 Information Technology Advisory Committee meetings. No public comment.

#### DISCUSSION AND ACTION ITEMS (ITEMS 1-8)

##### Item 1

##### Opening Remarks and Chair's Report

Presenter: Hon. Sheila F. Hanson, Chair

**Update:** Judge Hanson welcomed members and provided her updates.

First, she provided updates on ITAC's progress to meet the Chief's directives related to the Futures Commission report. The 3 directives currently assigned to ITAC are: intelligent chat for self-help services, voice-to-text language services outside the courtroom, and remote video appearances for most non-criminal hearings. All 3 directives now have executive sponsors, business leads, and project managers assigned. Each

have held orientations with lead members to introduce them to their project and discuss an approach, set expectations, and identify next steps. Remote video and intelligent chat leads have reached out to the branch to solicit volunteers and expect to have membership formalized soon. All teams are revisiting and updating workplans developed by the CIO members last year, considering the changing technology and budget opportunities. Lastly, the budget change proposal requesting funding for Futures directives will go to the Judicial Council as part of their July meeting to decide if it will move forward to the Department of Finance for Fiscal Year 19/20 funding.

Judge Hanson announced that there are two upcoming retirees from ITAC. Mr. Terry McNally, Chief Executive Officer of the Superior Court of Kern County is retiring after 25 years with the branch. Additionally, Mr. Patrick O'Donnell, Principal Managing Attorney at the Judicial Council and ITAC's lead staff attorney will be retiring in October 2018. She thanked both for their service and commitment to ITAC and the branch.

## Item 2

### **Judicial Council Technology Committee Update (JCTC)**

Update on activities and news coming from this internal oversight committee.

Presenter: Hon. Gary Nadler, Vice-chair, JCTC

**Update:** Judge Nadler provided updates on behalf of Justice Marsha Slough, Chair, JCTC. Since the April 30 ITAC meeting, JCTC has held two telephonic meetings on May 14 and June 11; and an education session on May 23. ITAC updates were provided at each meeting. On May 14 the JCTC evaluated and ranked the potential technology BCPs and then provided prioritization to the JBBC. At the May 23 meeting the final report and deliverables from the Intelligent Forms Workstream was reviewed and approved, including next steps. Also, at the May 23 meeting, the Video Remote Interpreting Workstream sponsor provided an update and shared program milestones. Last, there was an overview of the Ability-to-Pay Tool program currently in development; this updated was presented by the Judicial Council Criminal Justice Services office.

At JCTC's June 11 meeting, there was a proposal to consider extending the use of funding approved by the Judicial Council in support of the V3 case management system. This funding will allow V3 courts to finish the transition off the V3 legacy system. The proposal was approved by the Trial Court Budget Advisory Committee (TCBAC) in May. This proposal is to extend use of pre-approved funding for an additional year (no new funding added). JCTC voted in favor of the proposal, which will now be recommended to the Judicial Council at its July meeting. Additionally, the JBBC's BCP prioritization for FY 19/20 will be heard at the same meeting.

Lastly, the Strategic Plan Update Workstream has been busy working and meeting since December 2017. Judge Hanson serves as an advisory member to ensure linkage to the Tactical Plan Workstream. The workstream has now examined and revised the 4 goal areas. A draft is nearing completion and will be shared for branch comments. The team expects to finish and present the final document to the Judicial Council by end of 2018.

**Item 3****Branch Budget Update (Report)**

Update on the status of the branch budget, along with any technology-related discussions with the Department of Finance and/or with Legislators.

**Presenter:** Mr. Zlatko Theodorovic, Director, Budget Services

**Update:** Mr. Theodorovic advised ITAC that the budget is expected to be signed within the week. This budget includes \$280 million in new funding for operations, \$1.3 billion for capital construction, and funding for a new self-help litigants e-services web portal. There is also funding for online traffic adjudication and ability-to-pay calculator that will pilot in 8 trial courts. The California Court Protective Order Registry (CCPOR) was also funded to extend to all 58 courts. There will be meetings over the summer with Department of Finance and Department of Technology to restate their support for the branch IT projects and address questions raised this past spring around unfunded case management and digitizing paper BCPs. Mr. Rob Oyung added that of the FY19/20 BCPs, the JBBC agreed to move forward with 5 technology BCPs, 3 were from this past FY and not included in the budget (CMS, digitizing documents, and upgrading Phoenix system). The two new BCPs are: 1) data analytics coupled with support for the second phase of identify management; and 2) additional funding for the Futures Commission projects.

**Item 4****Senate Bill 384 Sex Offender Registry (Information Item)**

Update on the impacts to court technology of changes required by SB 384 and planned by the California Department of Justice (CA DOJ) to process sex offenders.

**Presenter:** Ms. Kathleen Fink, Manager, Information Technology

**Information:** Ms. Fink provided an overview of SB-384. The bill establishes 3 tiers of registration to be effective January 1, 2021. They are based on specified criteria for periods of at least 10 years, at least 20 years, and life conviction of specified sex offenses. Five years for tier one and 10 years for tier two for adjudication of a ward of the juvenile court. The bill also provides for a termination process via petition to the court. The California Department of Justice (CA DOJ) is working with the Court Executive Advisory Committee (CEAC) on court impact. Disposition exchanges with the CA DOJ must be updated to include tier level and the CA DOJ is planning to retire "ATDR" Disposition reporting exchange and move partners to the NIEM-compliant CA DOJ Direct Web Service. CA DOJ is looking for ways to improve the completeness of its disposition data and is working with CEAC to find ways to do so.

**Item 5****Ability-to-Pay Tool Program Overview (Information Item)**

Receive an introduction and overview of the Ability-to-Pay tool program, currently in development.

**Presenters:** Ms. Shelly Curran, Director, Criminal Justice Services  
Ms. Martha Wright, Supervising Analyst, Criminal Justice Services

**Information:** Ms. Curran and Ms. Wright provided slides in the materials that outline this Judicial Council project funded by a US DOJ “Price of Justice” grant award for October 2016 – 2019. The focus is to develop an ability-to-pay tool with focus on traffic infractions. There are 5 partner courts and a traffic working group in the development phase of project. RFP selection is expected July 2018. The modules will include: defendants, judges, payments, integration to CMS, data point collection and administrative. Next steps will be to continue development and integration work; aiming for late summer deployment; continuing to monitor State Trailer Bull status; and to plan for future turnover, potential enhancements and on-going maintenance.

## Item 6

### **Court Information Officer Member Update (Report)**

Report from the Court Information Officer (CIO) members regarding their debrief with the ITAC Chairs following the last in-person ITAC meeting.

**Presenters:** Mr. Paras Guptas, Court Information Officer, Superior Court of Monterey County  
Mr. Brian Cotta, Assistant Court Executive Officer, Fifth District Court of Appeal

**Update:** Mr. Cotta explained the purpose of this post-ITAC meeting session is for the CIOs to debrief with ITAC chairs and JCIT staff. Discussions pertain to technical subject matter, and next steps in the workstream process. These have been good high-level working sessions and discussed shaping for phase 2 of the next-generation hosting and disaster recovery efforts. Also discussed were a cost recovery e-filing model and another branch IT event. Mr. Cotta explained in more detail the next-generation hosting and disaster recovery (see slides).

Mr. Gupta provided additional information on disaster recovery, explaining backup systems are important for the courts to have in place. Monterey Superior Court has a grant for cloud-based recovery and they can be a model for disaster recovery in the cloud for other courts. They did an RFP for vendors to show them current options. Three vendors responded: e+, Infiniti, and Dell EMC and all three are qualified to provide the necessary services to work with potential cloud vendors MS Azure or Amazon Web services. A May 2018 vendor presentation was attended by 32 people (11 in person and 21 online). Next steps include issuing an Intent to Award.

**Item 7****Branch IT Technical Symposium Planning (Discussion)**

Brainstorming session on potential topics to inform planning of a judicial branch technology symposium.

Presenter: Mr. Robert Oyung, Chief Operating Officer

Mr. Oyung asked members to share structure ideas and topics for a branch technology symposium. This would be a one-day event in October with the focus more on technical topics. One suggestion was to have a court showcase their next generation and/or cloud hosting solution. Another was to have Monterey share their progress in their disaster recovery grant project. Other suggestions: online dispute resolution, data analytics demonstration, data security, advancements in technology and physical plans security. Also, a section on policy, laws and rules; a showcase of innovation grants that are exportable that courts could adopt, update; reports from completed workstreams; and what the future of courts looks like especially around artificial intelligence (AI). Additional suggestions were for a demonstration on court interfaces or CCPOR, an update on technology contracts, highlighting branch technology accomplishments since the last summit as well as justice partner access progress. Members would like to have some vendor involvement but prefer more internal dialogue; also suggested to structure the event to highlight today and future. The agenda will be drafted and sent to courts and members to review.

**Item 8****General Updates/New Business**

Members are invited to highlight key accomplishments since the December meeting or other new business.

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**A D J O U R N M E N T**

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There being no further business, the meeting was adjourned at 12:00 PM.

**Adjourn**

ITAC Meeting Schedule for 2018

- July 2 (teleconference)
- August 27 (in person)
- October 26 (teleconference)
- December 3 (in person)

Important Dates:

- July 9 – Judicial Council Technology Committee Meeting (teleconference)
- July 19-20 – Judicial Council Meeting
- December 10-12 – eCourts Conference  
(*Note: Travel/registration expenses are the responsibility of the attendee.*)

Approved by the advisory body on enter date.



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## INFORMATION TECHNOLOGY ADVISORY COMMITTEE

### MINUTES OF OPEN MEETING

July 2, 2018

10:00 AM to 12:00 PM

CONDUCTED BY ELECTRONIC MEANS AND RECORDED

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<b>Advisory Body Members Present:</b>	Hon. Sheila F. Hanson, Chair; Hon. Louis R. Mauro, Vice Chair; Mr. Brian Cotta; Hon. Julie R. Culver; Hon. Tara Desautels; Hon. Samantha P. Jessner; Hon. Kimberly Menninger; Mr. Snorri Ogata; Mr. Darrel Parker; Hon. Alan G. Perkins; Hon. Peter Siggins; Hon. Bruce Smith; Ms. Jeannette Vannoy; Mr. Don Willenburg; Hon. Daniel J. Buckley; Mr. David H. Yamasaki
<b>Advisory Body Members Absent:</b>	Assemblymember Marc Berman; Mr. Jason Galkin; Ms. Alexandra Grimwade; Hon. Michael S. Groch; Mr. Paras Gupta; Hon. Jackson Lucky; Mr. Terry McNally; Hon. James Mize; Hon. Joseph Wiseman
<b>Others Present:</b>	Mr. Rob Oyung; Mr. Mark Dusman; Mr. Patrick O'Donnell; Mr. Ms. Jamel Jones; Ms. Fati Farmanfarmaian; Ms. Nicole Rosa; Ms. Jackie Woods; and other JCC staff present

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#### OPEN MEETING

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##### Call to Order and Roll Call

The chair called the meeting to order at 10:00 AM and took roll call.

##### Approval of Minutes

No minutes approved at this meeting.

No public comments received.

#### DISCUSSION AND ACTION ITEMS (ITEMS 1-4)

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##### Item 1

##### Chair's Opening Remarks

Presenter: Hon. Sheila F. Hanson, Chair

**Updates:** Judge Hanson did not have any updates to provide. This special meeting is to consider rules and forms proposals following their circulation for public comment.

**Item 2****Rules & Policy Subcommittee—Modernization Project Rules Proposal: Proposed Amendments to Title 2, Division 3, Chapter 2 of the California Rules of Court**

Review public comments received and decide whether to recommend the Judicial Council approve amendments to title 2, division 3, chapter 2 of the California Rules of Court. The proposed amendments respond to new requirements in Code of Civil Procedure section 1010.6, amend definitions in the rules, and ensure indigent filers are not required to have a payment mechanism to create an account with electronic filing service providers.

Presenters: Hon. Peter J. Siggins, Chair

Ms. Andrea Jaramillo, Attorney II, Legal Services

**Action:** Justice Siggins reminded members these rules were designed to facilitate legislative amendments to Code of Civil Procedure section 1010.6. They relate to electronic service and electronic filings, requiring express consent for electronic service for disability access. Four comments received, one comment was clarified when Ms. Jaramillo spoke with Los Angeles Superior Court, they were satisfied that they could use local rules on electronic filing concerning exhibits. There were also comments regarding the affirmative consent requirement, the subcommittee has been vigilant in tracking the statutory language and expanding, so didn't see any need to create an amendment for this comment.

**Motion to request to Approve the recommendation that the Judicial Council adopt the proposed amendments to Title 2, Division 3, Chapter 2 of the California Rules of Court in Code of Procedure 1010.6 as amended and be referred by ITAC to JCTC for further evaluation and implementation.**

**Approved.**

**Item 3****Rules & Policy Subcommittee—Modernization Project Rules Proposal: Form Proposal, Withdrawal of Consent to Electronic Service (Action Requested)**

Review public comments received and decide whether to recommend the Judicial Council approve Judicial Council form EFS-006, Withdrawal of Consent to Electronic Service. The purpose of the proposal is to comply with Code of Civil Procedure section 1010.6(a)(6), which requires the Judicial Council to create such a form by January 1, 2019. This is a joint proposal with the Civil and Small Claims Advisory Committee.

Presenters: Hon. Peter J. Siggins, Chair

Ms. Andrea Jaramillo, Attorney II, Legal Services

**Action:** Justice Siggins advised this is another means to implement changes to Code of Civil Procedure section 1010.6 in conjunction with Civil and Small Claims Advisory Committee, who did a form proposal for public comment regarding withdrawal of consent for electronic service. The Rules & Policy subcommittee added additional text to the notice on the form "not be used for mandatory electronic service". Civil and Small Claims has

concurred with this addition. There were minor suggested editorial changes to the document prior to submission to the Judicial Council.

**Motion to Approve the recommendation that the Judicial Council adopt the proposed Form Proposal, Withdrawal for Consent to Electronic Service.**

**Approved.**

#### Item 4

**Joint Ad Hoc Subcommittee on Remote Access—Remote Access to Electronic Rules Proposal: Proposed Adoption of New Rules and Amendments in Title 2, Division 1, Chapter 2 (Action Requested)**

Review public comments received and decide whether to recommend the Judicial Council adopt new rules and approve amendments in title 2, division 1, chapter 2 of the California Rules of Court. The goal of the proposed rules is to facilitate remote access to trial court records by state, local, and tribal government entities, parties, parties' attorneys, and court-appointed persons.

Presenters: Hon. Peter J. Siggins, Chair

Ms. Andrea Jaramillo, Attorney II, Legal Services

**Action:** Justice Siggins advised an independent workgroup has worked on this group of rules to facilitate remote access and provide a guideline for remote access to port records. There have been two new articles added to the rules because of the workgroup, these have gone out for public comment with less comments than anticipated.

Rule 2.516 – *Feasibility of providing remote access*: Explained that if a court can do some aspect of electronic access, they should. It's not all or none. Language will be revised.

Rule 2.518 – *Allowing a party to designate user to remotely access a party's electronic record*: If feasible to do at court. Will strike must be 18 years of age and add that person should have the capacity to be the designated user. Removing juvenile wording.

Rule 2.519 – *Allowing undisclosed attorney to remotely access a party's electronic records*: Comments were addressed, and this doesn't pose a risk to court data.

Rule 2.522 – *Allowing a qualified person from a qualified legal service project to remotely access a party's electronic records*: Going to clarify the courts and legal service have flexibility with this rule. This could require a new security layer and courts should base access on feasibility.

Rule 2.523 – *Requiring courts to verify identities of remote access users*: The court should use their own practices to identify party and users.

**Motion to Approve the recommendation that the identify verification requirement apply, except for remote access that is provided to a party's designee under Rule 2.518.**

**Approved**

Rule 2.526 – *Audit trails documenting information about user access*: Courts were concerned about storage capacity needs. A new approach is to make it a recommendation for courts to provide audit trail capacity as they can now and have a mandatory end-date in the future. There will be additional editorial changes before it moves forward.

Rule 2.540 – *Provisions for remote access by Department of Child Support Services (DCSS) and local child support agencies*: DCSS wanted several changes that Rules & Policy didn't feel could be made. They did agree that a court in one county could provide remote access in another county.

Rule 2.507 – Andrea will add an amendment for the future rules update.

**Motion to Approve with a friendly amendment for Rule 2.526 to reflect the permissive and recommended nature of the Audit Trails and that Article 4 be modified to compliment Article 3 before moving forward to JCTC for consideration then to the Judicial Council for approval.**

**Approved.**

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#### **A D J O U R N M E N T**

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There being no further business, the meeting was adjourned at 11:20 AM.

Approved by the advisory body on enter date.



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INFORMATION TECHNOLOGY ADVISORY COMMITTEE

MINUTES OF ACTION BY EMAIL BETWEEN MEETINGS  
JULY 19, 2017

**Email Proposal**

The Information Technology Advisory Committee (ITAC) was asked to approve recommendations from Joint Appellate Technology Subcommittee for responding to the comments, and the adoption of the rules modernization proposal for the Appellate Courts regarding sealed and confidential records including a report to the Judicial Council. Materials consisting of a cover memorandum specifying the proposal, the comment chart, and report to the Judicial Council were distributed to the members and publicly posted on the ITAC website.

Due to the limited availability of ITAC members and the body's other priorities, the ITAC did not have time to consider this request at a meeting in a timely manner. Accordingly, the Chair concluded that prompt action by email was necessary.

**Notice**

On July 12, 2018 a notice was posted advising that the ITAC was proposing to act by email between meetings under California Rules of Court, rule 10.75(o)(2).

**Public Comment**

Because the action by email concerned a subject that otherwise must be discussed in an open meeting, the ITAC invited public comment on the proposal under rule 10.75(o)(2). The public comment period began at 8:00 a.m. on July 12, 2018 and ended at 8:00 a.m. on July 17, 2018. No comments were received.

**Action Taken**

After the public comment period ended, ITAC members were asked to submit their votes by 8:00 a.m. on July 19. Seventeen (17) members voted to approve the request; zero (0) members opposed; four (4) members did not vote. The request was approved.

CALIFORNIA JUDICIAL BRANCH

# Tactical Plan for Technology

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2017–2018

**Information Technology Advisory Committee**

**Tactical Plan Update Workstream**

**January 30, 2017**

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## Tactical Plan Update Workstream Membership

**Hon. Terence L. Bruiniers, Chair**  
Associate Justice of the Court of Appeal,  
First Appellate District, Division Five

**Hon. Steven D. Barnes**  
Presiding Judge of the Superior Court of  
California, County of Kings

**Hon. Daniel J. Buckley**  
Judge of the Superior Court of California,  
County of Los Angeles

**Mr. Alan Carlson**  
Court Executive Officer of the Superior  
Court of California, County of Orange

**Hon. Robert B. Freedman**  
Judge of the Superior Court of California,  
County of Alameda

**Hon. Gary Nadler**  
Judge of the Superior Court of California,  
County of Sonoma

**Mr. Robert Oyung**  
Chief Information Officer for the Judicial  
Council of California

**Mr. Michael D. Planet**  
Court Executive Officer of the Superior  
Court of California, County of Ventura

**Mr. Anthony Rochon**  
Senior Business Applications Analyst,  
Judicial Council of California Information  
Technology

**Ms. Jeannette Vannoy**  
Chief Information Officer of the Superior  
Court of California, County of Napa

### COMMITTEE STAFF

**Ms. Kathleen Fink**  
Judicial Council of California Information  
Technology

**Ms. Jamel Jones**  
Judicial Council of California Information  
Technology

## INTRODUCTION

This Tactical Plan for Technology (2017–2018) is the first revision of the initial judicial branch Tactical Plan for Technology (2014–2016), which was established with the Court Technology Governance and Strategic Plan effective October 2014. The Technology Governance and Funding Model states:

**Recommendation 12: The Judicial Council should adopt a Tactical Plan for Technology every two years that will guide branch technology decisions.**

It is the responsibility of the Information Technology Advisory Committee to facilitate the process of updating the Tactical Plan for Technology, working with judicial branch stakeholders and other advisory committees. To accomplish this, the Tactical Plan Update Workstream was established in April 2016.

As a starting point for analysis, the workstream drafted a description of judicial branch business drivers (see Appendix A) using the “value disciplines” model (which posits three value disciplines or areas in which an enterprise can focus: operational excellence, customer intimacy, and product leadership)<sup>1</sup> and SWOT analysis—that is, strengths, weaknesses, opportunities, and threats. SWOT is a structured planning method that evaluates those four elements of a project or organization. The preliminary results were presented to the Court Executives Advisory Committee, the Trial Court Presiding Judges Advisory Committee, and the Court Information Technology Management Forum for feedback.

The consensus on the judicial branch’s primary service value focus is operational excellence by delivering to court users more effective, efficient court processes at a lower cost. Other value disciplines, including product leadership (delivering innovative services) and customer intimacy (delivering personalized services) should also have some emphasis. However, the judicial branch should not value innovation over improving access to justice, and the goal is to deliver individual justice, not customized justice.

With the Court Technology Strategic Plan and the business drivers as a foundation, the initiatives in the 2014–2016 tactical plan were updated. For a brief description of the initiatives, see the Technology Initiatives Summary (2017–2018) on page 16 in this document. A progress report for the initiatives is attached in Appendix B.

Suggestions for new tactical plan initiatives were solicited from across the judicial branch. Taking into consideration the limited branch resources currently available, two new initiatives were selected for inclusion in the 2017–2018 tactical plan:

- Digital evidence: acceptance, storage, and retention; and
- Expand collaboration within the branch IT community.

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<sup>1</sup> Michael Treacy and Fred Wiersema, *The Discipline of Market Leaders: Choose Your Customers, Narrow Your Focus, Dominate Your Market* (Addison-Wesley, 1995).

## Technology Planning Documents

Results from the Information Technology Advisory Committee’s Tactical Plan Update Workstream in 2016 include the following document:

Document	Description
Two-year Tactical Plan for Technology (2017–2018) (this document)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

Results from the Technology Planning Task Force in 2014 include the following documents:

Document	Description
<a href="#">Technology Governance, Strategy, and Funding Proposal: Executive Summary</a>	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
<a href="#">Technology Governance and Funding Model</a>	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year <a href="#">Strategic Plan for Technology (2014–2018)</a>	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
<b>Superseded:</b>	
Two-year <a href="#">Tactical Plan for Technology (2014–2016)</a>	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 19,000 court employees, and nearly 6.8 million cases—serves over 39 million people, 7 million of whom have limited English proficiency. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 10,000 while the largest has 585 judicial officers serving a population of almost 10 million. Courts have varying levels of fiscal health and capabilities and budget cuts have drastically affected their ability to maintain existing technology assets or invest in technology improvement. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court as they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written assuming a paper-based court and did not contemplate a digital, electronic one.

## Technology Vision

A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California's citizens. The vision for judicial branch technology is:

Through collaboration, initiative, and innovation on a statewide and local level, the judicial branch adopts and uses technology to improve access to justice and provide a broader range and higher quality of services to the courts, litigants, lawyers, justice partners, and the public.

This vision also sets forth the framework within which the guiding principles can readily be applied.

## Technology Principles

Guiding principles establish a set of considerations for technology project decision makers. They articulate the fundamental values that provide overall direction to technology programs within the justice community. As principles, they are not mandates nor do they establish conditions for technology project advancement. These guiding principles are in no way intended to obligate courts to invest in new, or to modify existing, solutions or services.

1. **Ensure Access and Fairness.** Use technologies that allow all court users to have impartial and effective access to justice.
2. **Include Self-Represented Litigants.** Provide services to those representing themselves, as well as those represented by attorneys.
3. **Preserve Traditional Access.** Promote innovative approaches for public access to the courts while accommodating persons needing access through conventional means.
4. **Design for Ease of Use.** Build services that are user-friendly, and use technology that is widely available.
5. **Provide Education and Support.** Develop and provide training and support for all technology solutions, particularly those intended for use by the public.
6. **Secure Private Information.** Design services to comply with privacy laws and to assure users that personal information is properly protected.
7. **Provide Reliable Information.** Ensure the accuracy and timeliness of information provided to judges, parties, and others.
8. **Protect from Technology Failure.** Define contingencies and remedies to guarantee that users do not forfeit legal rights when technologies fail and users are unable to operate systems successfully.
9. **Improve Court Operations.** Advance court operational practices to make full use of technology and, in turn, provide better service to court users.
10. **Plan Ahead.** Create technology solutions that are forward thinking and that enable courts to favorably adapt to changing expectations of the public and court users.
11. **Improve Branchwide Compatibility Through Technology Standards.** Provide branchwide technology standards or guidelines related to access to information or submission of documents that support the branch's goal of greater compatibility for the public and state justice partners.
12. **Consider Branchwide Collaboration and Economies of Scale.** Identify opportunities to collaborate on technologies to reduce costs, leverage expertise and training, and improve consistency.
13. **Foster Local Decisionmaking.** Develop, fund, and implement technologies to improve local business processes that may provide a model for wider implementation.
14. **Encourage Local Innovation.** When developing branchwide technologies, allow for adaptation to address local needs, foster innovation, and provide, where appropriate, a model for wider implementation.

## STRATEGIC PLAN

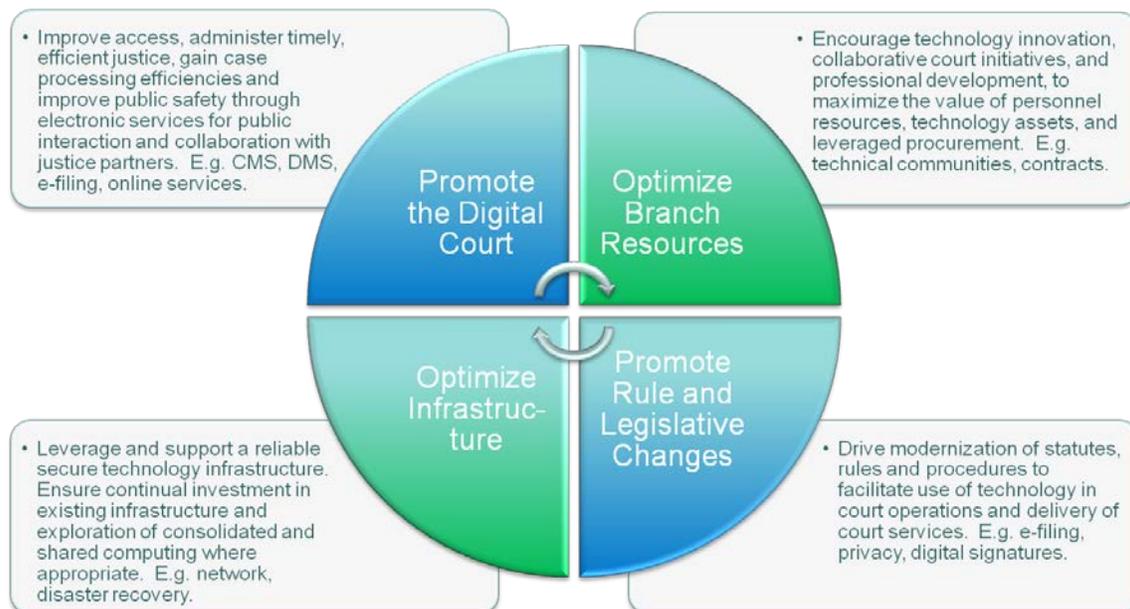
A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis.

All of these activities will align with the overall goals of the branch.

## Summary of Technology Goals (2014–2018)

The Technology Planning Task Force has identified four technology goals for the branch in support of the overall goal of providing access to justice.



## Goal 1: Promote the Digital Court—Part 1: Foundation

### ***Statement of Goal***

The judicial branch will increase access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for the Digital Court throughout California.

### ***Objectives (prioritized)***

- 1.1.1. Establish a digital court foundation by implementing modern and supportable case management systems (CMS) and document management systems (DMS) where needed to allow all courts to efficiently deliver services to the public.
- 1.1.2. Ensure that courts have the ability to operate independently of local government infrastructure for critical court operations.
- 1.1.3. Facilitate or provide shared technology infrastructure for courts without local resources and/or for those courts who wish to collaborate or leverage other opportunities for shared services.
- 1.1.4. Effectively utilize the digital court foundation to enable:
  - Extended access and services to the public, including electronic filing and enhanced access for those with limited English proficiency.
  - Enhanced judicial and administrative decision-making.
  - Data and information sharing across the courts.
  - Enhanced collaboration and cooperation between and among courts.
  - Enhanced collaboration and cooperation with local and statewide justice partners.

## **Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships**

### ***Statement of Goal***

The judicial branch will improve access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by implementing a comprehensive set of services for both public interaction with the courts and collaboration with branch justice partners.

### ***Objectives (prioritized)***

- 1.2.1. Provide consistent, convenient, and secure remote digital access to court information and services for court users and practitioners, including self-represented litigants and limited English proficiency litigants, regardless of geographic and jurisdictional limitations and local resource constraints.
- 1.2.2. Increase operational efficiencies by establishing new or expanding existing e-business opportunities.
- 1.2.3. Enhance public safety through expansion of statewide programs such as the California Courts Protective Order Registry (CCPOR) to include all courts.
- 1.2.4. Establish standardized, automated, and timely data exchanges with state (e.g., California Highway Patrol (CHP), Department of Justice (DOJ), Department of Child Support Services (DCSS)) and local partners (e.g., county agencies, collections providers, etc.), to promote public safety and improve overall effectiveness and efficiency of the California justice system.

## Goal 2: Optimize Branch Resources

### ***Statement of Goal***

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

### ***Objectives (prioritized)***

- 2.1. Reduce overall cost and effort when purchasing technology by forming groups and consortia to leverage procurements wherever possible.
- 2.2. Recruit, develop, and maintain a workforce with the knowledge, skill, and ability to deliver the full potential of information technology within the branch and to the public.
- 2.3. Maximize the value of limited branch resources through innovative technology solutions that can improve, enhance, and support the efficient and effective implementation and delivery of court programs, processes, and education.
- 2.4. Maximize the return on investment when leveraging existing technology assets and selecting new technologies.
- 2.5. Integrate branchwide strategic priorities into education and professional development programs for judicial officers and court staff.
- 2.6. Promote continual improvement of court practices by collaborating on court technology solutions, leverage and share technology resources, and creating tools to educate court stakeholders and the public.
- 2.7. Identify and implement technology best practices within the branch.

## **Goal 3: Optimize Infrastructure**

### ***Statement of Goal***

The judicial branch will leverage and support a reliable, secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

### ***Objectives (prioritized)***

- 3.1. Ensure secure and reliable data network connectivity throughout the branch.
- 3.2. Provide a consistent level of infrastructure security across the branch.
- 3.3. Determine if there is any efficiency that could be achieved through the deployment of converged voice and data technologies.
- 3.4. Develop a next-generation data center hosting model that will meet the current and anticipated future business needs of the branch.
- 3.5. Ensure that critical systems and infrastructure can be recovered in a timely manner after a disaster.

## **Goal 4: Promote Rule and Legislative Changes**

### ***Statement of Goal***

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

### ***Objectives (prioritized)***

- 4.1. Determine if it is necessary to add new rules or legislation or modify any existing ones in anticipation of technology solutions that will be deployed in the near term.
- 4.2. Ensure current rules and legislation do not inhibit the use of current technology solutions.
- 4.3. Ensure rules and legislation support the four-year strategic plan and the two-year tactical plan.

## TACTICAL PLAN

A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Every two years, the branch will update its tactical plan to support the four-year strategic plan. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis. All of these activities will align with the overall goals of the branch.

This tactical plan represents the revisions to the initial two-year Tactical Plan for Technology (2014–2016).

This 2017–2018 tactical plan contains a set of technology initiatives encompassed in a number of focused, ambitious projects with a two-year time frame for completion. These initiatives should be launched or continue in 2017 and be completed by 2018. Each initiative supports the roadmap, which propels the branch toward the four strategic goals.

Although some requests for funding of specific projects have been recently granted (e.g., budget change proposals for completing the branch LAN/WAN<sup>2</sup> deployment and transitioning courts to modern case management systems), judicial branch funding for technology continues to be inconsistent, ad hoc, and less than what is needed to fully leverage its potential. Technology investments at the branch and local levels are still severely limited, particularly as local reserves have been spent down and cannot be rebuilt. Therefore, the revised tactical plan again reflects the reality of scarce resources. Initiatives continue to focus on planning and investigation, on projects that can be self-funded or are low or no cost, and on developing budget change proposals to request state funding. Once consistent funding is restored, the judicial branch can make further progress on many initiatives not currently feasible, and can move into design, development, and deployment of more ambitious projects and programs.

Most of the tactical plan initiatives are continuing projects from the 2014–2016 plan. Two new initiatives were selected based on their ability to support the four strategic technology goals and judicial branch technology business drivers. Initiatives continue to be prioritized based on their foundational aspects, dependency on other initiatives, and amount of time required to realize benefits. For example, initiatives focused on core components of the Digital Court such as case management systems and document management systems were given a higher priority than initiatives such as developing case management system interfaces and data exchanges since these depend on completion of the core components.

A comprehensive business analysis will be performed for each initiative to ensure that the return on investment can be maximized. A collaborative and inclusive process will be used to

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<sup>2</sup> Local area network and wide area network, respectively.

form project teams with members from the trial courts, appellate courts, and Judicial Council staff.

The initiatives will be governed under the model described in the Technology Governance and Funding Model. The majority of the initiatives will be managed by the Information Technology Advisory Committee, while the Judicial Council Technology Committee may identify some initiatives that they wish to oversee directly.

Timelines for initiatives have been estimated and are assumed to continue or begin in the first quarter (Q1) of calendar year 2017, but initiatives may be delayed if adequate funding or resources are not available at the scheduled start time.

Nevertheless, this tactical plan provides a roadmap and intended direction for the judicial branch in moving toward its vision to promote the Digital Court.

## Technology Initiatives Summary (2017–2018)

Technology initiatives are listed in priority order within each of the strategic goals.

Strategic Goal	Initiative	Objectives Supported	Disposition for Tactical Plan 2017–18
Promote the Digital Court	Case management system (CMS) assessment and prioritization	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Continuing, revised
	Document management system (DMS) expansion	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Continuing, revised
	Courthouse video connectivity (including video remote interpreting)	1.2.1., 1.2.2.	Continuing, revised
	California Courts Protective Order Registry (CCPOR)	1.2.1., 1.2.2., 1.2.3.	Continuing, revised
	Implement self-represented litigants (SRL) e-services	1.2.1., 1.2.2.	Continuing, revised
	Jury management technology enhancements (trial courts)	1.1.4.	Defer for consideration in next tactical plan
	Statewide e-filing program development	1.2.1., 1.2.2.	Continuing, revised
	E-filing deployment	1.2.1., 1.2.2.	Continuing, revised
	Identify and encourage projects that provide innovative services	1.2.1., 1.2.2.	Continuing, revised
	Establish an “open source” application-sharing community	1.2.1., 1.2.2.	Defer for consideration in next tactical plan
	Develop standard CMS interfaces and data exchanges	1.2.1., 1.2.4.	Completed
Digital evidence: acceptance, storage, and retention	1.1.4, 1.2.1., 1.2.2.	New initiative	
Optimize Branch Resources	Establish hardware and software master branch purchasing/licensing agreements	2.1.	Defer for consideration in next Tactical Plan
	Expand collaboration within the branch IT community	2.2., 2.5., 2.6., 2.7.	New initiative
Optimize Infrastructure	Extend LAN/WAN initiative to remaining courts	3.1.	Continuing, revised
	Transition to next-generation branchwide hosting model	3.1., 3.4., 3.5.	Continuing, revised
	Security policy framework for court information systems	3.1., 3.2.	Completed
	Court disaster recovery framework and pilot	3.1., 3.5.	Continuing, revised
Promote Rule and Legislative Changes	Identify new policy, rule, and legislative changes	4.1., 4.3.	Continuing, revised

## Detailed Description of Technology Initiatives

This section provides a detailed description of each technology initiative along with a high-level summary project template. These templates are not intended to document approved commitments but rather to act as a tool to help project teams create detailed project plans once proper funding and resources are available. Scope, deliverables, and timelines are estimated and subject to change.

Each project template contains the following sections:

- **Description**—Detailed description of the initiative along with potential business drivers, background, and history.
- **Major Tasks**—High-level list of expected major tasks and outcomes.
- **Dependencies**—Requirements that the initiative relies on for successful completion.
- **Funding Requirements**—Estimated one-time costs to launch and deploy the initiative and estimated ongoing costs for maintenance and operation.
- **Potential Funding Sources**—Suggested options for funding one-time and ongoing expenses.
- **Types of Courts Involved**—Could be based on type (trial court, appellate court), size (small, medium, large), location (northern, southern), or consortium (case management specific, etc.).
- **Sample Timeline**—List of major milestones, if known, and estimated time frame for completion.

## Technology Initiatives to Promote the Digital Court

### ***Case Management System (CMS) Migration and Deployment***

#### **Description**

This project continues from the previous tactical plan and will determine a high-level approach to identifying strategies and solutions for implementing case management systems with document management functionality that support the Digital Court. The original scope of this initiative was to perform business analysis and planning and did not include the actual deployment of CMS solutions. Several CMS deployment initiatives were launched after the initial assessment was conducted and the focus has now primarily changed to migration and implementation of system deployments in progress; however, there are still courts that have not yet established a CMS modernization plan.

#### **Major Tasks**

- Update the inventory of existing case management systems within the branch.
- Determine strategy and approach for existing CMS environments.
  - Plan CMS V3 phase out using received budget change proposal funds.
  - Plan Journal Technologies/Sustain Justice Edition migrations based on pending budget change proposal.
  - Determine approach for courts that have not been able to establish a CMS modernization plan.
- Continue to leverage best practices for CMS migrations and deployments already in progress.
- Identify potential consortia for related systems.
- Determine strategies for facilitating successful consortia.
- Identify replacement cost.
- Identify available funding for prioritized projects.
- Identify resources to support courts through the project request process.

#### **Dependencies**

- Need to receive funds for Journal Technologies/Sustain Justice Edition CMS budget change proposal.
- Need to identify resources that will support the courts through the project request process.

#### **Funding Requirements**

##### ***One-Time***

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

##### ***Ongoing***

- None required for this assessment.

#### **Potential Funding Sources**

None required for this assessment, but budget change proposals will be necessary for funding CMS deployments and migrations.

**Types of Courts Involved**

All trial courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
V3 CMS planning	Q4 2016
Sustain Justice Edition CMS planning	Q2 2017
Approach for courts without a plan	Q4 2017
CMS budget change proposal	2018

## ***Document Management System (DMS) Expansion***

### **Description**

To achieve the full benefit and efficiencies of electronic filing, a court's case management system must integrate with a document management system (DMS)/enterprise content management (ECM) system. DMS/ECM provides for a true paper-on-demand environment with configurable workflows and other operational benefits. While the majority of modern case management systems include integrated DMS, extending existing case management systems with DMS/ECM where feasible is far less expensive and disruptive than acquiring new case management systems.

DMS/ECM also provides support and operational efficiencies for trial court administration (e.g., fiscal, facilities, human resources, procurement, and the like).

### **Major Tasks**

- Identify opportunities for acquisition and integration of DMS/ECM with existing branch and local case management systems, and for administrative use at both branch and local court levels.
  - Implement DMS/ECM for the current Appellate Court Case Management System to take full advantage of the e-filing pilot program currently underway, and to leverage that system for use by Judicial Council staff.
- Identify the most efficient and cost-effective model for implementation.
- Leverage branchwide master services agreements for document management system software procurement.
- For courts that have not yet implemented a DMS, develop educational sessions on transitioning from paper to electronic case files.

### **Dependencies**

- Available budget for DMS acquisition through a budget change proposal (BCP).
- Coordination and alignment with CMS assessment.

### **Funding Requirements**

#### ***One-Time***

- Hardware, software, and services for DMS implementation at identified courts.

#### ***Ongoing***

- Annual maintenance; periodic software and hardware upgrades.

### **Potential Funding Sources**

- Grant funding or BCP for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Submit BCP for appellate courts	Q4 2016
Deploy solutions	Q3 2017

## ***Courthouse Video Connectivity***

### **Description**

The initiative will restore and enhance public access to court information and services, promote safety for court users, where allowable, and will create court cost savings and efficiencies by:

- Expanding use of remote video appearances and hearings in appropriate case types and matters;
- Expanding remote availability of certified and registered court interpreter services; and
- Expanding use of remote video outside of the courtroom (e.g., self-help center/family law facilitator and/or mediation).

Almost two decades ago, the Court Technology Task Force (predecessor to the Court Technology Advisory Committee), in its 1995 report to the Judicial Council, identified nine technology goals, including:

To promote efficiency, access, convenience, and cost reduction, interactive video technology should be incorporated into all justice proceedings and administrative functions as permitted by law and consistent with the purposes of the judicial branch.<sup>3</sup>

In August 1997, the Court Technology Advisory Committee presented a report to the Judicial Council titled *Report on the Application of Video Technology in the California Courts*. While primarily focused on the use of video arraignments, the report noted the important benefits achievable by using this technology in other areas, including motions, mental health proceedings, and other pretrial matters.

Use of telepresence technology (e.g., videoconferencing) will allow courts to provide the public with ongoing access to court proceedings at a time when court resources are being substantially reduced and courthouses are being closed.

### ***Project 1: Remote Video Hearings - Expanded Remote Traffic Appearances***

In December 2012, the Judicial Council adopted rule 4.220 of the California Rules of Court, authorizing trial courts to conduct remote video proceedings (RVP) in cases involving traffic infractions and approving a pilot project in the Superior Court of Fresno County. The authorization for remote video proceedings in rule 4.220 applies to any alleged infraction involving a violation of the Vehicle Code or any local ordinance adopted under the Vehicle Code, with certain exceptions. Rule 4.220 defines a “remote video proceeding” as an arraignment, trial, or related proceeding conducted by two-way electronic audiovisual communication between the defendant, any witnesses, and the court in lieu of the physical presence of both the defendant and any witnesses in the courtroom. (See Cal. Rules of Court, rule 4.220(b)(2).) The rule requires semiannual reports from any pilot court, including evaluations and assessments of the costs and benefits of the projects.

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<sup>3</sup> Judicial Council of Cal., *Justice in the Balance 2020: Report of the Commission on the Future of the California Courts* (1993), p. 107.

The experience gained from the pilot project of the Superior Court of Fresno County can be leveraged to:

1. Identify other courts able and willing to implement remote video traffic appearances;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed;
3. Identify other appropriate case types and participants (e.g., minors, victims of violence, or pro bono attorneys) for remote video appearances; and
4. Pursue any statutory/rule changes required to allow use of remote appearance technology in additional case types.

***Project 2: Video Remote Interpreting (VRI) - Remote Spoken Language Interpreting***

In 2011, the Superior Courts of Riverside, Shasta, Sonoma, and Stanislaus Counties began a video remote interpreting pilot program for hearing-impaired court users, providing certified American Sign Language (ASL) court interpreters by courtroom video connection. As a result, the participating courts have increased access to certified ASL court interpreters, and interpreters can be scheduled quickly and conveniently. VRI allows use of the same interpreter in multiple court facilities in the same half-day sessions, makes more efficient use of a limited resource, and eliminates travel expenses.

Other jurisdictions have pioneered the use of remote language interpreting. Seven states have successfully implemented VRI. The Ninth Judicial Circuit in Florida provides centralized Spanish-language interpreting for over 22,000 court hearings per year in 67 courtrooms in seven court facilities covering 2,229 square miles. Certified interpreters are provided for initial appearances, arraignments, dependency and delinquency hearings and trials, traffic and misdemeanor cases, and felony pretrial hearings.

A 2013 National Call to Action report sponsored by the National Center for State Courts and the State Justice Institute addressed the critical need for courts to develop, improve, or expand resources for individuals with limited English proficiency (LEP). A key recommendation was that courts utilize remote interpreting technology to fulfill LEP needs and ensure quality services.

In August 2013, the Chief Justice announced Access 3D, her vision for improving access to justice for all Californians that involves physical, remote, and equal access to the justice system: Courts must be safe, secure, accessible, and open during hours that benefit the public; court users should be able to conduct their business online; and courts must serve people of all languages, abilities and needs, in keeping with California's diversity. Efforts to enhance language access for LEP court users are a critical component of this vision.

In January 2015, following an extensive stakeholder participation process that included public hearings and public comment, the Judicial Council adopted the [Strategic Plan for Language Access for the California Courts](#). This plan provides a comprehensive set of 75 recommendations to help create a branchwide approach to language access. Recommendation 16 proposed that the Judicial Council conduct a pilot VRI project, in alignment with the judicial branch's Tactical Plan for Technology (2014–2016).

The experience gained from the California ASL pilot programs and from use of remote language interpreting in other jurisdictions can be leveraged to:

1. Identify one or more courts willing and able to implement remote video language interpreting;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed; and
3. Pursue any statutory/rule changes required.

### **Major Tasks**

- Implement remote video language interpreting in at least one foreign language, in at least two courts as a pilot.
- Evaluate the remote video language interpreting pilot and report recommendations to the Judicial Council.

### **Dependencies**

- Infrastructure/equipment.
- Collaboration/cooperation with other advisory committees, working groups, and other programs (Civil and Small Claims, Traffic, Court Interpreters Advisory Panel) and with the Technological Solutions Subcommittee of the Judicial Council's Language Access Plan Implementation Task Force.
- Collaboration/cooperation with local government and the public for remote traffic appearances in non-court locations.
- Collaboration/cooperation with justice partners.
- Collaboration/cooperation with other stakeholders (e.g., interpreters, bar associations).

### **Funding Requirements**

#### ***One-Time***

- Hardware, software, and telecommunications infrastructure if not currently available.
- Bandwidth/network upgrades if required.

#### ***Ongoing***

- Annual maintenance and/or lease expenses for hardware and software.

### **Potential Funding Sources**

- Grant funding or BCP for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

### **Types of Courts Involved**

All courts serving large geographic areas, with diverse demographics, with sufficiently robust existing LAN/WAN or other supporting infrastructure.

**Sample Timeline****Project 1: Expanded Remote Traffic Appearances**

<b>Milestone</b>	<b>Time Frame</b>
Project launch	Q3 2014
Identify additional participating courts and requirements (funding/IT support)	Q3 2014
Implement video appearances in additional participating courts	Q1 2015
Evaluate projects and identify expansion opportunities for additional courts/case types	Q4 2015
Prepare any necessary rule of court amendments/legislative change proposals for submission to Judicial Council	Q2 2016

**Project 2: Remote Spoken Language Interpreting**

<b>Milestone</b>	<b>Time Frame</b>
Define implementation guidelines/infrastructure and hardware requirements; draft any required enabling rules of court	Q1 2015
Identify pilot project courts/vendors; prepare RFP if required	Q3 2016
Select vendors; obtain Judicial Council adoption of enabling rules of court	Q3 2016
“Go-live” in one or more pilot courts	Q1 2017
Evaluate project and report to Judicial Council	Q3 2017

## ***California Courts Protective Order Registry (CCPOR)***

### **Description**

The California Courts Protective Order Registry is a system developed and maintained by Judicial Council staff. Currently, the system is used by 43 counties to electronically process and access all restraining and protective orders and their proofs of service. Pending Trial Court Budget Advisory Committee approval for a long-term funding increase for additional storage, by the end of fiscal year 2016–2017, the Superior Courts of Orange County and Sacramento County will deploy CCPOR.

The CCPOR system provides for the participating courts:

- A statewide registry for storing data and images of restraining and protective orders;
- A service allowing judicial officers and law enforcement agencies to access and view outstanding orders, reducing the possibility of conflicting orders across departments;
- A gateway for processing orders to the Department of Justice’s California Restraining and Protective Order System (CARPOS) quickly and accurately; and
- A data exchange (specification DSP917) allowing court case management systems to send protective order data and the required Judicial Council forms to the CCPOR repository.

Two key components of CCPOR are the ability to enter and upload protective order data into the system either directly or through the data exchange and to search and retrieve that data, including electronic images of court orders. Viewing these electronic images is particularly valuable because this allows judicial officers and authorized court staff to view special conditions and notes added by judges that are not available through the California Law Enforcement Telecommunications System (CLETS). In addition, information about court orders that is entered into CCPOR is automatically transmitted to CLETS.

### **Major Tasks**

- Develop cost projections and recommend an appropriate funding approach for each of the remaining 15 courts/counties. The funding requirements will include the hardware and software necessary to onboard into CCPOR, as well as one-time and ongoing costs (e.g., scanners for smaller courts and the additional storage needed to onboard the larger courts).
- Develop a deployment roadmap using experiences of past court CCPOR deployments. The roadmap will take into consideration the environments of the courts yet to implement CCPOR. Some courts may already have a DMS and electronic protective orders. Other courts may rely on manual processes. Funding for a court that is already scanning should support the migration of the scanned orders and associated data in the form of additional storage required for the CCPOR central repository. The roadmap will also address the unique challenges of coordinating with the larger courts as well as the local law enforcement agencies to gain the greatest benefits from CCPOR.
- Identify the sequence, time frames, and costing by rollout for the deployment of CCPOR to the 15 remaining courts.

**Dependencies**

- The program relies on an electronic image of each protective order. While a DMS is not required for CCPOR, courts with existing document management systems may have fewer challenges with configuration during deployment.
- Local law enforcement agencies must be willing and able to participate in the deployment of the system in each court.

**Funding Requirements*****One-Time***

- Scanners and associated software, and storage for document images.
- Services to assist with the deployment of the system.

***Ongoing***

- Annual server hosting, restraining and protective order (RPO) data, and associated document image storage fees.
- Annual maintenance cost for purchased hardware and software.

**Potential Funding Sources**

- Grant funding, if available, or BCP for continued deployments.

**Types of Courts Involved**

This initiative will be focused on the 15 remaining trial courts that have not implemented CCPOR:

1. Courts that have deployed or are planning on deploying a case management system that has the DSP917 data exchange module enabled for integration with CCPOR.
2. Courts that have data conversion requirements wishing to onboard into CCPOR can leverage the DSP917 data exchange module for loading of historical and active RPOs. Both Orange County and Sacramento County superior courts would likely onboard into CCPOR using this mechanism. Additional ongoing funding is required.
3. Courts that have no CMS RPO module and no historical data to convert will need to be assessed.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q4 2016
Assess remaining courts	Q1 2017
Develop funding requirements and model	Q2 2017
Secure funding	Q3 2017
Deploy next-phase courts	Q4 2017–Q4 2018
Publish project report	Q1 2019

## ***Self-Represented Litigants (SRL) E-Services***

### **Description**

Self-represented litigants (SRLs) are an increasingly large segment of the population that our courts serve, particularly in case types such as family law. Self-represented parties often have extreme difficulty in identifying the pleading forms they require, completing them accurately and legibly, and filing them in a timely manner. Self-help resources vary widely from jurisdiction to jurisdiction and have suffered from recent budget cuts. Restrictions on the filing hours in many courts have placed significant additional burdens on both court personnel and on litigants.

The SRL E-Services initiative will envision and define a digital services strategy for SRLs that will take advantage of both existing and available branch resources to provide more convenience to the public, and provide tangible benefits and cost efficiencies to the courts. The initiative will develop a comprehensive set of business and technical requirements intended to deliver increased online assistance, greater integration of self-help resources, and greater self-reliance for those hoping to resolve legal problems without representation.

A central access point for SRLs (and for community organizations that assist them) will provide consistent information resources and can utilize already developed question-and-answer interview processes, “smart” Judicial Council forms, and document assembly tools to create complete, accurate, and legible form sets. Those forms can then be electronically filed with those courts that have the ability to accept the filings, or electronically delivered to those courts without e-filing capacity, using current branch infrastructure.

The cost of developing and implementing such a system could be largely borne by a modest service fee paid by non-indigent SRLs. Such a fee would represent far less expense for the SRL than now incurred when he or she must take time from work and travel to what may be a distant courthouse to submit documents. It is critical that the full scope of services are accessible to indigent SRLs and do not require any form of payment or credit card.

### **Major Tasks**

- Determine and validate both litigant needs and court requirements;
- Identify existing technology and infrastructure solutions that can be leveraged;
- Identify and gather information resources to assist litigants;
- Identify pilot project participant courts;
- Develop an RFP for an SRL e-services solution to solicit vendors and identify initial costs;
- Plan and fund a scalable statewide prototype;
- Design, build, and deploy the prototype as a pilot for one case type or a limited feature set with one or more courts;
- Evaluate prototype/pilot and refine; and
- Design and execute additional phases with additional case types, features, and courts.

### **Dependencies**

- Funding requirements, funding sources, timeline, and milestones to be determined by project team.

- Existing branch infrastructure, including California Courts Technology Center resources, the integrated services backbone (ISB), and LAN/WAN could be used to complement and supplement local court resources.
- Integration with other related projects and workstreams, including E-Filing, Intelligent Forms, and Identity Management.
- Smart forms have already been developed for many Judicial Council pleading forms, and document assembly software is already licensed at the branch level. There are a multitude of existing self-help resources at the branch and local court levels that could be coordinated and leveraged.
- Courts committing to engage in the prototype/pilot and later phases.

### **Funding Requirements**

#### ***One-Time***

- Initial design, testing, and development and deployment costs, based on a phased rollout.

#### ***Ongoing***

- Operational expenses associated with maintaining new e-services; maintaining and updating forms, information, resources, and instructional materials.

### **Potential Funding Sources**

- There may be sufficient vendor interest to allow initial development costs to be funded in whole or in part by one or more service providers. A request for information (RFI), would be required to assess interest.
- Ongoing operational costs could be supported, in whole or in part, by user fees paid by non-indigent self-represented litigants.

### **Types of Courts Involved**

Courts with existing e-filing solutions can benefit from a simplified SRL filer interface and integration with interview software and Smart Forms. Courts without e-filing capability can benefit from e-delivery of complete, accurate, and legible pleadings.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Business charter with high-level business requirements	Q4 2016
Functional requirements with statewide deployment plan (phased or “Big Bang”)	Q1 2017
Funding requirements and BCP or RFI	Q2 2017
Functional prototype and pilot	Q3 2017
Design and build	Q4 2017
Launch Phase 1	Q1 2018
Launch other phases	Q3 2018

## ***Statewide E-Filing Program Development***

### **Description**

Rule 2.253(b) of the California Rules of Court allows courts to mandate electronic filing of “documents in civil actions directly with the court, or directly with the court and through one or more approved electronic filing service providers, or through more than one approved electronic filing service provider, subject to [specified conditions].”

While courts are not required to use an e-filing service provider (EFSP), many will choose this route as the EFSP will shoulder much of the workload in training users and providing technical support for e-filing transactions from the point of e-filing all the way to integration with the courts’ case and document management systems.

California courts currently support two e-filing standards for civil actions: the legacy 2GEFS (Second-Generation Electronic Filing Specifications) and the recently approved ECF/NIEM (Electronic Court Filing/National Information Exchange Model) standard. All case management system vendors looking to do business in California are being required to support the ECF/NIEM standards. The scope of this project is for ECF/NIEM EFSPs.

Onboarding (or certifying) a new EFSP is an involved process that typically moves through solicitation, selection, contracting, integrating, and testing with the court CMS, and finally implementing. Historically, each court would certify EFSPs individually for its particular CMS and jurisdiction. Today there are between 15 and 20 EFSPs doing business in some part of California.

The statewide Electronic Filing Workstream has taken the approach of selecting multiple e-filing manager (EFM) vendors to service California’s trial court e-filing needs. This multi-EFM model shifts the duty of EFSP selection and certification away from the EFM vendor and to the branch. EFSPs will be required to work with all statewide EFMs, which will be required to work with the core four CMS vendors (Tyler Technologies, Thomson Reuters, Justice Systems, and Journal Technologies).

Each EFSP will need to have contractual relationships with filers, the EFM vendors, individual trial courts, and the judicial branch. The Electronic Filing Workstream will formally define these relationships.

### **Major Tasks**

- Complete the EFM procurement.
- Develop an operating model for court, EFM, and EFSP participation.
- Document EFSP interactions with EFMs, branch financial gateway vendors, and identify a possible statewide identity management solution.
- Develop an EFSP certification framework.

### **Dependencies**

- Certification process must adhere to the *Judicial Branch Contracting Manual*.
- Alignment with CMS strategy required.
- Completion of the E-Filing Workstream RFP.

**Funding Requirements*****One-Time***

- To be determined, although a BCP placeholder request has been submitted for financial gateway integration and identity management.

***Ongoing***

- Judicial Council staff or trial court staff to administer the overall EFSP program.

**Potential Funding Sources**

- Recovered through user fees paid by filers.
- BCP funding or grant funding on an ad hoc basis.

**Types of Courts Involved**

This initiative is applicable to trial courts participating in the statewide E-Filing Manager agreement.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
EFM RFP and selection	January 2017
Financial gateway integration	June 2017
Identity management integration	June 2017
EFSP certification program	June 2017

## ***E-Filing Deployment***

### **Description**

Electronic filing and storage of court documents is a national trend that is becoming a permanent feature of how litigants interact with the courts. When implemented, e-filing provides immediate benefits to the court through cost efficiency and accuracy and convenience to the filer. In California, a rapidly expanding number of courts are benefiting from e-filing.

A fully successful e-filing implementation is typically characterized by:

- Majority of data entry is performed by the filer through a portal.
- Filing data and attached documents are transmitted to the court using Extensible Markup Language (XML).
- A court e-filing manager (EFM) tracks all inbound and outbound transmissions and performs some validation checking.
- Remaining validations are handled through a “clerk review” process, which can be automated.
- Accepted filing data is stored in the court case management system, the document is stored in the court document management system, and the notification of acceptance is sent back to the user.
- Court filing fees are typically paid electronically directly by the filer or through an intermediary.

In May 2015 the Information Technology Advisory Committee commissioned an E-Filing Workstream to define and implement a statewide e-filing solution. The workstream is slated to complete the RFP and selection process in early 2017.

### **Major Tasks**

- Complete the E-Filing Manager RFP and selection process.
- Develop an operating model for court, EFM, and EFSP participation.
- Determine the level of support for trial courts utilizing a CMS outside of the core four (Tyler Technologies, Thomson Reuters, Justice Systems, and Journal Technologies).
- Create and publish an e-filing implementation plan for trial courts participating in the statewide e-filing program.

### **Dependencies**

- To achieve maximum benefit, the program relies on case and document management systems capable of supporting e-filing.
- In order to mandate e-filing, a court will need at least two e-filing service providers (EFSPs) or the court (or Judicial Council staff) will need to provide and operate an e-filing portal.
- Courts lacking a modern case and/or document management system can implement a variation of e-filing called “e-delivery.” E-delivery removes the dependency on modern case and document management systems but provides reduced benefits.

## Funding Requirements

### *One-Time*

- None identified. It is believed that the program will be funded through transactional costs.
- Court staff costs to design the new procedures for handling case flow and filing fee management.

### *Ongoing*

- None identified.

## Potential Funding Sources

- User fees paid by the filers.

## Types of Courts Involved

This initiative is applicable to trial courts operating one of the core four case management systems or courts opting for standalone e-delivery solutions.

## Sample Timeline

<b>Milestone</b>	<b>Time Frame</b>
Conduct RFP and vendor selection	Q4 2016
Vendor contracting	Q1 2017
EFSP integration	Q3 2017
Pilot court	Q3–4 2017
General availability for any trial court	Q4 2017

## ***Identify and Encourage Projects that Provide Innovative Services***

### **Description**

This initiative will investigate the potential for starting projects focused on providing innovative services to the public, the State Bar, justice partners, and law enforcement agencies. These services will provide a conduit for easier access to court resources and generate automated mechanisms relating to conducting court business. In addition, these innovative services will generate efficiencies within each judicial branch entity, thereby promoting more effective utilization of branch resources and existing infrastructure.

### **Major Tasks**

- Establish a process for fostering local court and branch innovation.
- Determine available funding resources or cost-recovery models.
- Submit proposals to utilize fiscal year 2016–2017 innovation grants.
- Examples might include:
  - A common identity management platform to enable members of the public and attorneys to register once and utilize a single login to access all services across all courts.
  - An electronic search warrants system with the versatility to be hosted centrally or deployed independently at various courts.
  - An electronic probable cause declaration system with the versatility to be hosted centrally or deployed independently at various courts.
  - Self-service kiosks to provide courthouse visitors access to services electronically.

### **Dependencies**

The availability of branchwide innovation funds would accelerate the identification and pilot of innovative services.

The Budget Act of 2016 provided \$25 million for a Court Innovations Grant Program. The funds are designated for a competitive grant program developed and administered by the Judicial Council. The grant program will focus on proposals for high-priority innovations, modernizations, and efficiencies in the trial and appellate courts, with \$12 million to be awarded for collaborative courts, \$8 million for self-help, family, and juvenile courts, and \$5 million for other efficiencies across all types of courts. Up to five percent of the total appropriation is for the Judicial Council for the administration of the program.

### **Funding Requirements**

#### ***One-Time***

- Unknown.

#### ***Ongoing***

- Unknown.

### **Potential Funding Sources**

Initial funding through innovation grants, with ongoing funding from restoration of branch technology funding.

**Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Project proposals	Q4 2016
Project launches	2017–2018

## ***Digital Evidence: Acceptance, Storage, and Retention***

### **Description**

Develop statutes, rules, business practices, and technical standards governing digital evidence.

Trial exhibits are increasingly offered into evidence or are available in digital form, including data files, images of documents, audio recordings, video recordings, and digital images. Since there are few specific laws and virtually no technical standards regarding digital evidence, courts are struggling with what to do with exhibits offered in various forms (CD, DVD, thumb drive, cell phone). Ensuring the integrity of digital evidence admitted by the court may become increasingly difficult when such evidence may be subtly altered by the method of access. Although this type of evidence is not new to courts, the dramatic increase in video recordings from law enforcement body-worn cameras, surveillance cameras, and the public's prolific capturing of videos on cell phones strongly suggests courts reevaluate their approach to handling and preservation of digital evidence.

Updating the law and developing standards will improve access to justice as well as make courts more efficient. Developing technical standards and reengineering court business practices will increase the effectiveness of courts and reduce costs. It will also result in greater consistency and predictability across courts for litigants (including self-represented litigants), lawyers, and the public.

Statutes and rules need to be reviewed and amended where necessary to authorize courts to: a) accept a broad range of digital evidence, and b) require digital exhibits to be offered in standard and secure formats. Policies and business practices need to be reviewed and technical standards developed for maintaining, providing access to, retaining, and destroying digital evidence

### **Major Tasks**

- Review existing statutes and rules of court to identify impediments to the use of digital exhibits and opportunities for improved processes;
- Survey courts for existing business practices and policies regarding acceptance and retention of digital evidence;
- Survey other courts and justice system groups for possible technical standards and business practices regarding acceptance and storage of digital evidence;
- Propose revisions to statutes and rules;
- Develop standards and recommended business practices for courts to use in handling digital exhibits, possibly using pilot projects;
- Circulate draft statute and rule revisions, suggested business practices, and technical standards for comment;
- Finalize statute proposals, rule revisions, business practices, and technical standards;
- Seek legislation, as needed;
- Adopt and promulgate rule revisions; and
- Revise the *Trial Court Records Manual* to reflect revisions of statutes, rules, and recommended policies and business practices.

## Dependencies

- Rule and statute changes should align with the strategy and roadmap of the existing electronic court initiatives.

## Funding Requirements

### *One-Time*

- Funds possibly needed for consulting assistance regarding possible technical standards;
- Funds may be needed to host a “digital evidence summit” to discuss options and potential solutions;
- Costs of modifying existing document or case management systems to accept, store, and provide access to digital exhibits.

### *Ongoing*

- Digital evidence will require greater hardware storage capacity, possibly including associated storage and retrieval software;
- New policies and business practices will be implemented by court staff on an ongoing basis.

## Potential Funding Sources

### *One-Time*

- Grant from State Justice Institute or another federal agency interested in developing standards for digital evidence—in particular, law enforcement body-worn cameras;
- Budget change proposal funding could also be sought, as this is a statewide solution.

### *Ongoing*

- Existing court funding for staff participating in workstream;
- Funding for records retention associated with digital evidence. There could be savings, as storing exhibits electronically should be cheaper than the cost of the space needed to store physical exhibits.

## Types of Courts Involved

All courts statewide—Supreme Court, Courts of Appeal, and superior courts—need a consistent, stable set of laws, rules, business practices, and technology standards to accept and exchange electronic exhibits.

## Sample Timeline

Milestone	Time Frame
Initiative launch	Q1 2017
Gather information about existing laws, rules, business practices, and technical standards	Q1–2 2017
Draft revisions and circulate for comment	Q3–4 2017
Introduce legislation and seek passage	Q1–2 2018
Finalize rules, technical standards, business practices, and <i>Trial Court Records Manual</i> revisions to take effect January 1, 2018	Q3–4 2018

## Technology Initiatives to Optimize Branch Resources

### *Expand Collaboration within the Branch IT Community*

#### **Description**

This initiative is intended to identify opportunities for sharing technical resources, advancing technology leadership, and expanding collaboration throughout the judicial branch. During the tactical plan revision process, judges, CEOs, and CIOs identified that, although there are experienced technological staff branchwide, insufficient technology resources within individual courts continues to be a challenge. A skilled technologist who understands the business of the courts and court systems is a unique and treasured resource. Furthermore, the branch is competing with private industry for talent. A strategy should be developed to increase the sharing of technical resources throughout the branch by conducting a needs assessment and determining additional opportunities for how best to share these unique resources.

In addition to skilled technologists, strong information technology (IT) leaders with access to industry resources are required to achieve the branch strategic technology goals. Opportunities for education and access to industry resources for IT leaders can provide exposure to information and networks while expanding capabilities and increasing IT leadership skills. Court IT leaders will be better suited to meet the leadership and technological needs of the courts with continued professional development. A survey can be conducted to determine the needs and interests of the court and Judicial Council IT leaders. A strategy would then be developed to determine how best to pursue relevant opportunities (e.g., statewide membership in the Court IT Officers Consortium (CITOC), an annual IT summit aligned with the branchwide tactical plan, continuing education opportunities, industry research, and advisory group memberships).

Aside from the need for skilled IT resources, the branch has adopted an IT governance model that relies on collaboration. Technology initiatives managed by statewide workstreams, the Court Information Technology Management Forum (CITMF), and court-to-court collaborations have proven successful in recent years across the branch and between courts. In order to further support this collaborative model, the branch should adopt tools to work together more effectively, encourage innovation, and increase technological maturity throughout the branch. Resources and talent can be better leveraged across the branch by utilizing a statewide collaboration platform. Branch CEOs and CIOs can also help assess individual court IT capabilities through an IT peer consulting program to include informal audits, visitation programs, and the like.

#### **Major Tasks**

##### *Resource Sharing*

- Conduct an IT resource needs survey.
- Identify opportunities and priorities.
- Brainstorm strategies and costs (e.g., develop centers of excellence, shared services, and centralized resources, and augment staff with vendor support).
- Make recommendations for leveraging branch technical resources.

***IT Leadership Development***

- Expand CIO Executive Board membership.
- Establish branchwide CITOC membership.
- Evaluate branchwide Gartner Group membership.
- Hold an annual IT summit aligned with the branchwide tactical plan.
- Conduct an IT leadership needs survey to identify additional priorities.
- Brainstorm strategies and costs.

***Increased Collaboration to Support Innovation***

- Identify collaboration tools currently used within the branch.
- Identify priority collaboration needs (e.g., a central repository of IT policies, applications, and best practices).
- Increase the use of Microsoft Office 365 messaging and web conference capabilities.
- Determine CEO/CIO interest in an IT peer consulting program.
- Develop program based on interest.
- Determine costs.

**Dependencies**

- Branchwide support and open collaboration.
- Program management support for conducting surveys and consolidating results.
- Funding for recommended strategies.
- Common platforms and development tools.
- Sponsorship of IT leadership development and participation.

**Funding Requirements*****One-Time***

- Judicial Council program support to conduct the needs assessment.
- Establishment of a branch collaboration platform
- Travel for face-to-face collaboration and participation in initiative development.

***Ongoing***

- Judicial Council program support as required.
- Annual memberships—CITOC, CIO Executive Board, Gartner Group.
- IT summit development and coordination.
- Travel for face-to-face collaboration and participation in events (e.g., IT summit, IT peer consulting program, etc.).
- Maintenance and licensing of branch collaboration platform.

**Potential Funding Sources**

- Cost agreements for shared resources.
- BCP for necessary funding.

**Types of Courts Involved**

- All small, medium, and large courts statewide
- Trial and appellate courts
- Consortiums (e.g., case management specific, statewide initiatives, etc.)

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q1 2017
Draft initial assessment	Q4 2017
Final assessment report	Q3 2018

## Technology Initiatives to Optimize Infrastructure

### ***Review Funding and Procurement Models for LAN/WAN Initiative***

#### **Description**

The current funding source for the LAN/WAN initiative, the State Trial Court Improvement and Modernization Fund (IMF), is operating at a structural deficit. In addition, the primary procurement vehicle, the CALNET 2 leveraged purchasing agreement, expires in 2018 with no clear follow-on option for the purchase of hardware and related maintenance and support coverage.

#### **Major Tasks**

- Working with Judicial Council Procurement staff, Department of General Services, the California Office of Technology Services's Statewide Telecommunications and Network Division (STND), and technology vendors as appropriate, identify alternative procurement models, including the CALNET 3 replacement for the CALNET 2 leveraged purchasing agreement.
- Review options, identify gaps, and select finalized procurement model.
- Identify current cost projections of all goods and services over one full lifecycle of the hardware supported by the program, to include the completion of an updated branchwide inventory.
- Compare cost projections with current funding projections for the IMF.
- Identify and submit potential funding remediation options for review and selection.
- Formally prepare and submit selected funding remediation option(s) for ratification.

#### **Dependencies**

- Current court LAN/WAN hardware inventories are required.
- Staff at the identified courts must be able to dedicate the resources necessary to support the project.

#### **Funding Requirements**

##### ***One-Time***

- N/A

##### ***Ongoing***

- Continuing costs for the ongoing refresh of program hardware.
- Continuing costs for the ongoing renewal of program services and maintenance and support coverage.

#### **Potential Funding Sources**

Funding to rectify the current IMF structural deficit would potentially be provided through the BCP process and, given the ongoing, steady-state status of this program, shifting funding to the General Fund.

#### **Types of Courts Involved**

This initiative is focused on all courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch <sup>4</sup>	Q1 2017
Map out procurement options	Q2 2017
Map out funding options	Q2 2017
Establish new procurement model	Q3 2017
Prepare and submit funding requests	Q4 2017

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<sup>4</sup> This initiative began in Q1 2014.

## ***Transition to Next-Generation Branchwide Hosting Model***

### **Description**

The current California Courts Technology Center (CCTC) hosting model for information technology applications and services was developed largely based on the strategy of central hosting of court case management systems and other shared applications. The branchwide strategy for the hosting of court case management systems has changed; therefore, the branch should reevaluate branch and court hosting models to ensure resources and opportunities are being utilized as effectively as possible to address the needs of courts in alignment with the new strategic direction.

As hosting models and technology evolve, the most cost-effective branchwide strategy for application and services hosting may be enabled through a combination of selective consolidation, virtualization, and implementation of secure private and public cloud environments. The goal of this tactical initiative will be to determine an updated model for branchwide hosting, including all judicial branch entities.

### **Major Tasks**

- Complete needs assessment including branch recommended service levels, develop implementation recommendations, and determine the necessary funding changes.
- Develop toolset for courts to utilize when determining needs and funding requirements.
- Publish findings, including a hosting implementation toolset and branch-suggested service levels.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Assist judicial branch entities with decommissioning old services and implementing new services in alignment with the needs assessment and transition plan.

### **Dependencies**

- The needs assessment should align with the strategy and roadmap for the Digital Court initiatives.

### **Funding Requirements**

#### ***One-Time***

- Initial year one purchase of products, services, and maintenance contracts as identified in the needs assessment and project plan.

#### ***Ongoing***

- Continuing monthly costs for specified ongoing services and maintenance contracts initiated in year one.

### **Potential Funding Sources**

- Branch funding for hosting services that are shared across the branch.
- Direct billing to the courts for court-specific services.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts. All courts and the Judicial Council will benefit from an updated branchwide hosting model tightly aligned with current and anticipated future business requirements.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q4 2015
Complete needs assessment and develop implementation recommendations	Q4 2016
—Develop toolset for courts to utilize when determining needs and funding requirements	Q4 2016
—Publish findings including, hosting implementation toolset, branch suggested service levels	Q4 2016
Determine the necessary branchwide funding changes	Q1–Q2 2017
Finalize recommended product, service, and maintenance offerings with vendor partners; publish RFP for vendor services	Q1–Q2 2017
Publish new master service agreements to be utilized by all judicial branch entities for all hosting services	Q3 2017

## ***Court Disaster Recovery Framework and Pilot***

### **Description**

While a robust and annually tested disaster recovery program has been instituted for the California Courts Technology Center, this is not the case for the Supreme Court, the appellate courts, the trial courts, and the Judicial Council, which have varying degrees of preparedness for disaster recovery of their technology resources.

This initiative would result in a framework and recommended solutions to assist judicial branch entities with a process for implementing a disaster recovery program that meets each individual organization's specific needs while leveraging resources and knowledge for the benefit of the entire branch.

The goals of the framework are:

- To suggest an overall disaster recovery model for the judicial branch to leverage in building individual organization disaster recovery plans and to identify which components, if any, would apply branchwide.
- To collaboratively develop model disaster recovery requirements, service-level agreements, and restoration/recovery priorities for each of the major technology systems within the branch (excluding those hosted at the CCTC), such as networks, infrastructure, applications, security systems, data, and the like.
- To work with one or more model courts to test or “pilot” the framework by using it to develop a court-specific disaster recovery plan.
- To provide guidance to all courts and the Judicial Council on the use of the framework and practical implementation guidelines.
- To develop a plan for implementing technology components (products and/or services) that could be leveraged by all courts for disaster recovery purposes.

### **Major Tasks**

- Model disaster recovery requirements, standard recovery times, and priorities for each of the major technology components of the branch.
- Develop a disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.
- Create a plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.

### **Dependencies**

- Access to resources necessary to research and gather requirements and create the deliverables.
- Many of those resources would need to be court business and technical experts, while others would be disaster recovery planning experts.

### **Funding Requirements**

#### ***One-Time***

- Funding for one or more pilot courts to test/pilot the model disaster recovery plan. Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

- Funding to assist the courts with adapting the framework into their local needs. The amount will depend on the number of participating courts in the initial pilot.
- Funding for the implementation of any branchwide recommendations with respect to transitioning away from existing antiquated backup/disaster recovery technologies and/or adopting certain modern technologies necessary to support each court’s mission of providing consistent and reliable IT services.

#### ***Ongoing***

- Minimal ongoing funds would be necessary to maintain the framework to ensure its ongoing relevance and effectiveness and to ensure alignment with current technologies and systems deployed within the judicial branch, in addition to ensuring the recommendations continue to be centered around industry standards and best practices
- Additional funding requests would be developed out of this process for the purpose of procuring and implementing the technical components that can be leveraged by multiple courts and determining what else may be needed at the individual court level for unique court needs.

#### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts. The framework should be applicable to all judicial branch entities.

#### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2016
Select disaster recovery (DR) court subject matter expert (SME)	Q2 2016
Identify workstream participants and relevant SMEs throughout the judicial branch, ensuring small/large superior and appellate courts and the Judicial Council are represented	Q2 2016
Develop requirements and recovery standards and overall DR framework	Q2 2016–Q1 2017
Develop a funding request for a DR pilot program at one or more courts	Q1–Q2 2017
Test with pilot court(s)	Q3–Q4 2017
Develop funding request for DR at branch and court levels (inclusive of all judicial branch entities to support their DR implementation)	Q2–Q3 2017

## Technology Initiatives to Promote Rule and Legislative Changes

### *Identify New Policy, Rule, and Legislative Changes*

#### **Description**

To align policies, rules of court, and legislation supporting the use of technology in the courts consistent with the Strategic Plan for Technology.

#### **Major Tasks**

- Identify the highest-priority statutes and rules that require review and changes in order to facilitate the move to the digital court.
- Continue modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.
- Develop rules, standards, and guidelines for electronic signatures on documents submitted to the trial courts, for justice partner data exchanges, for online access to court records for parties and justice partners, for court records maintained as data, and for other areas where new technologies affect court operations and access to the courts.
- Develop branch and model court privacy policies on electronic access to court records and other court-held information.
- Revise the *Trial Court Records Manual* to reflect changes in the law, new standards and guidelines, and best practices relating to court records.

#### **Dependencies**

Action by:

- Judicial Council internal committees;
- Judicial Council advisory committees;
- Judicial Council Legal Services Office;
- Judicial Council Office of Governmental Affairs; and
- External stakeholders (e.g., Legislature, law enforcement, etc.).

#### **Funding Requirements**

##### *One-Time*

- None required. This initiative requires staff support for Judicial Council internal and advisory committees for initial assessments and proposals.
- Time required for judicial officer and staff training on changes.

##### *Ongoing*

- None required. This initiative requires time for routine reviews of policies, rules, and legislation needs.

#### **Potential Funding Sources**

None required.

#### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Develop standards and guidelines for electronic signatures on documents submitted to the trial courts	Q4 2017
Complete Phase II of the rules and legislative modernization process	Q4 2017
Update the <i>Trial Court Records Manual</i> and recommend revisions and additions	Q4 2017

## Initiative Timeline Summary

Strategic Goal	Initiative	2016				2017				2018			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Promote the Digital Court	CMS Migration & Deployment												
	DMS Expansion												
	Courthouse Video												
	CCPOR												
	SRL e-Services												
	EFSP Selection/ Certification												
	E-Filing Deployment												
	Identify Innovative Services												
	CMS Data Exchange— Governance & Maint.												
	Digital Evidence												
Optimize Resources	IT Community & Collaboration												
Optimize Infrastructure	Extend LAN/WAN Initiative												
	Next-Generation Hosting Plan												
	Information Security Framework												
	Disaster Recovery Framework												
Legislative Changes	Identify New Rules & Legislation												

## CONCLUSION

The California judicial branch is as complex and diverse as the population that it serves. The judicial branch has diversity in geography, court size, and case types. Courts have varying fiscal health and capabilities, and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court as they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, rules and legislation were historically written to address a paper-based court rather than a digital, electronic one.

This Tactical Plan for Technology (2017–2018) and the associated Strategic Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level that address the diversity and challenges the branch is facing.

The proposed tactical plan recognizes the need for judicial, management, and technical experts located at the trial, appellate, and Supreme Court levels, and including Judicial Council staff, to work together as an IT community. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and the public, increasing access to the courts.

## APPENDIX A: Judicial Branch Business Drivers

- Provide foundational technology
- Support a culture of innovation and collaboration
- Optimize the use of experienced staff branchwide
- Serve and learn from California’s tech-savvy population
- Refine and enhance the case management system ecosystem
- Reengineer processes to increase effectiveness for the branch or public
- Leverage innovation within the branch
- Address the lack of predictable funding
- Address insufficient resources
- Solidify technology management processes
- Promote branchwide sharing
- Attract private industry talent
- Support internal change management to increase technology use
- Improve technology security
- Assist the strategic planning process

## APPENDIX B: Tactical Plan for Technology Progress Report (December 2016)

### Executive Summary

The California Judicial Branch *Tactical Plan for Technology* outlines a set of initiatives for the branch, and specifically the Information Technology Advisory Committee (ITAC), to undertake. Each initiative spans up to two years. The *Governance and Funding Model* explains there are several methods in which initiatives may be implemented: branchwide (using a workstream team, traditional subcommittee, or hybrid of these), through court consortium, and/or locally. This document presents the progress report of the initiatives in the current [Tactical Plan for Technology \(2014-2016\)](#). Summarily, the report shows:

- The current plan consists of 17 tactical initiatives aligning to 4 branch strategic goals.
- Of all 17 tactical initiatives: 2 projects are complete; 12 are projected to continue into 2017; and 3 have not yet begun and have been deferred for consideration in the next Tactical Plan.
- ITAC is using workstreams to complete 7 initiatives.

### Progress Report Summary

The following chart overviews initiative status and, if appropriate, implementation method.

#### Legend

Not Started = Project effort, as defined, has not begun.

Ongoing (2017+) = Effort is underway and needs to continue into calendar year 2017.

Complete = Project effort, as defined, is complete; there may be subsequent activities initiated.

	STATUS	METHOD(S)
<b>Goal 1: Promote the Digital Court</b> (Part I: Foundation, Part II: Access, Services, Partnerships)		
(a) Case Management System (CMS) Assessment and Prioritization	Ongoing (2017+)	Consortium
(b) Document Management System (DMS) Expansion	Ongoing (2017+)	
(c) Courthouse Video Connectivity	Ongoing (2017+)	Workstream
(d) California Courts Protective Order Registry (CCPOR)	Ongoing (2017+)	JCIT <sup>5</sup> Managed
(e) Implement a Portal for Self-Represented Litigants	Ongoing (2017+)	Workstream
(f) Jury Management Technology Enhancements (Trial Courts)	Not Started	
(g) E-Filing Service Provider (EFSP) Selection/Certification	Ongoing (2017+)	Workstream

<sup>5</sup> JC IT = Judicial Council Information Technology

**Legend**

Not Started = Project effort, as defined, has not begun.

Ongoing (2017+) = Effort is underway and needs to continue into calendar year 2017.

Complete = Project effort, as defined, is complete; there may be subsequent activities initiated.

	STATUS	METHOD(S)
(h) E-Filing Deployment (roadmap and strategy)	Ongoing (2017+)	Workstream
(i) Identify and Encourage Projects That Provide Innovative Services	Not Started	
(j) Establish an “Open Source” Application-Sharing Community	Not Started	
(k) Develop Standard CMS Interfaces and Data Exchanges	Complete	Workstream
<b>Goal 2: Optimize Branch Resources</b>		
(a) Establish Hardware and Software Master Branch Purchasing/Licensing Agreements	Not Started	
<b>Goal 3: Optimize Infrastructure</b>		
(a) Extend LAN/WAN Initiative to Remaining Courts	Ongoing (2017+)	JCIT Managed
(b) Transition to Next-Generation Branchwide Hosting Model	Ongoing (2017+)	Workstream
(c) Security Policy Framework for Court Information Systems	Complete	Workstream
(d) Court Disaster Recovery Framework and Pilot	Ongoing (2017+)	Workstream
<b>Goal 4: Promote Rule and Legislative Changes</b>		
(a) Identify New Policy, Rule, and Legislation Changes	Ongoing (2017+)	Subcommittee

# Information Technology Advisory Committee Status Report - August 2018

This report was provided at the **August 27, 2018** ITAC meeting. Status updates are submitted by workstream sponsors and subcommittee chairs.



# 1.1. Futures Commission Directive: Intelligent Chat (Phase 1)

 **Highlight:** Workstream formed; in person meeting being held August 28—including orientation and technology demonstrations. FY19-20 BCP funding requested.

Key Objectives	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	In Progress	<p><b>The core team has been formed.</b> It includes: Executive Sponsor, Judge Michael Groch (San Diego); Technical Lead, John Yee, JCIT; Project Manager, Fati Farmanfarmaian, JCIT, along with JCIT technical resources. <b>The full workstream team/membership has been formed.</b> Executive Sponsor, Judge Groch, distributed a branch memorandum inviting nominations for workstream membership. The request called for those individuals with an interest and experience in intelligent chat and the technology to deliver court services. The request also set membership expectations and defined next steps. A final membership list was approved by the ITAC and JCTC Chairs.</p> <p><b>A workstream kickoff meeting is scheduled for August 28</b> and is anticipated to include a full team orientation and educational demos of the intelligent chat technology.</p> <p>Note that the <b>estimated completion date</b> was based on a start date of January 2018; however, given that the workstream began later, this initial target date is being reassessed and will be updated for the next report.</p> <p>Additionally, staff has prepared and the Judicial Council approved the submission of a <b>budget change proposal requesting FY19-20 funding</b> to support more formalized piloting.</p>
(a) Identify and monitor a series of court proofs of concepts (POCs) to assess technology readiness for various cases (e.g., Court of Appeal, E-Filing, Self-Help).	In Progress	Staff conducted initial technology research via Gartner on intelligent chat technologies and platforms; also, received vendor demonstration from Nuance Communications. Discovery will continue into the next quarter to help further identify and monitor court proofs of concepts.
(b) Identify key performance indicators and benchmark before/after success.	Not Started	
(c) Capture learnings and report findings.	Not Started	
(d) Update Phase 2 of workplan based on results.	Not Started	
(e) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; annual agenda accordingly.	Not Started	

## 1.2. Futures Commission Directive: Voice-To-Text Language Services Outside the Courtroom (Phase 1)



**Highlight:** In progress of identifying a full workstream team. FY19-20 BCP funding requested.

Key Objectives	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	In Progress	<p><b>The core team has been formed.</b> It includes: Executive Sponsor, Judge James Mize, (Sacramento); Business Lead, Heather Pettit, Judicial Council Information Technology (JCIT); and Project Manager, Rick Walery, (IT Director, San Mateo).</p> <p>On August 21, a memorandum was distributed to the branch (appellate and trial court presiding judges, CEOs, and CIOs) seeking nominations for members, and including expectations and next steps. Final membership is expected to be approved in September, after which a kickoff meeting will be scheduled.</p> <p>The target timeframe for completion of Phase 1 of this effort is 6-9 months from the workstream kickoff. After that time, it will be determined if a Phase 2 workstream will need to be established.</p> <p>Additionally, staff has prepared and the Judicial Council approved the submission of a <b>budget change proposal requesting FY19-20 funding</b> to support more formalized piloting.</p>
<b>(NEW)</b> Define the standard of success and how to measure it as well as define the difference between translation and interpretation.	Not Started	Once the project team is formed, define what the standard of success is for voice-to-text language services. Part of the comparator for success will be the current level of accuracy for non-machine language services. Part of the definition of success will also need to include definitions of the terms <u>translation</u> and <u>interpretation</u> since the differences may be somewhat nuanced.
<b>(NEW)</b> Determine how or if the work for this initiative aligns with existing work of the Language Access Plan Implementation Task Force (LAPITF) and the work of The Legal Design Lab at the Stanford University Law School.	Not Started	
(a) Setup a technical lab environment at the Judicial Council or a local court to test the technical recommendations of the Futures Commission for this initiative.	Not Started	

August 2018 Progress Report

## 1.2. Futures Commission Directive: Voice-To-Text Language Services Outside the Courtroom (Phase 1 – cont.)



**Highlight:** In progress of identifying a full workstream team. FY19-20 BCP funding requested.

Key Objectives	Status	Description
(b) Pilot various voice-to-text language services in a lab environment, will allow for exposure to more technologies and shorter learning cycles than if a specific technology is deployed at a court for piloting.	Not Started	
(c) Capture learnings and draft a white paper report on the lessons learned, findings, and recommendations for next steps.	Not Started	
(d) Update Phase 2 of workplan based on results.	Not Started	
(e) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the Annual Agenda accordingly.	Not Started	

## 1.3. Futures Commission Directive: Remote Video Appearances for Most Non-Criminal Hearings (Phase 1)



**Highlight:** Workstream formed and meeting monthly. Divided into subcommittees and is preparing topics list for recommendations. FY19-20 BCP funding requested.

Key Objectives	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	Completed	<p><b>The core team has been formed.</b> It includes: Executive Sponsor, Judge Samantha Jessner (Los Angeles); Court Lead, Jake Chatters (CEO, Placer); Project Manager, Alan Crouse (Deputy CEO, San Bernardino), along with support from the Judicial Council Information Technology Office (JCIT), Language Access Plan and VRI programs.</p> <p><b>The full initiative team/membership has been formed and approved.</b> Eight courts, representing a diversity of size; participants from the VRI Workstream and remote video innovation grant, are a part of the team for this directive—specifically, the Superior Courts of Fresno, Los Angeles, Merced, Mono, Orange, Placer, Sacramento, and San Bernardino.</p> <p><b>The workstream held its kickoff and meets monthly.</b> It has formed 4 subgroups/subcommittees and assigned a Chair/lead to each - Procedures, Evidence, Rules, and Technology. The subcommittees will develop initial recommendations on topics including but not limited to user technical requirements, evidence exchange, and presentation rules.</p> <p>Note that the <b>estimated completion date</b> was based on a start date of January 2018; however, given that the workstream began later, this initial target date is being reassessed and will be updated for the next report.</p> <p>Additionally, staff has prepared and the Judicial Council approved the submission of a <b>budget change proposal requesting FY19-20 funding</b> to support pilot deployments to the courts.</p>
(a) Identify and conduct a mock remote video hearing using a web conferencing system for a specific hearing type (e.g., Civil – Small Claims) as a Proof of Concept (POC) in a court. Include one or more mock hearings of the selected hearing type.	In Progress	The Core Team identified a number of recent studies by the Center for Legal and Court Technology, the National Association for Presiding Judges and Court Executive Officers, the State Justice Institute, and the Self-Represented Litigation Network. Thus, an initial set of challenges to be explored has been developed for further refinement and investigation by the team.

August 2018 Progress Report

## 1.3. Futures Commission Directive: Remote Video Appearances for Most Non-Criminal Hearings (Phase 1 – cont.)



**Highlight:** Workstream formed and meeting monthly. Divided into subcommittees and is preparing topics list for recommendations. FY19-20 BCP funding requested.

Key Objectives	Status	Description
(b) Capture learnings and report findings.	Not Started	
(c) Update Phase 2 of workplan based on results.	Not Started	
(d) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; annual agenda accordingly.	Not Started	

## 2. Tactical Plan for Technology Update



**Highlight:** First working meeting held, resulting in proposed assignments for updating current initiatives and work in progress. Next meeting scheduled for September 7.

Key Objectives	Status	Description
(a) Initiate workstream, including formation of membership and conduct orientation/kickoff meeting.	Completed	Kickoff meeting held.
(b) Review, gather input, and update the Tactical Plan for Technology.	In Progress	First working meeting held, proposing assignments for updating current initiatives and work in progress that is not included in the current Tactical Plan. Planning next meeting to review drafts and prioritize new ideas for initiatives.
(c) Circulate the draft plan for branch and public comment; revise as needed.	Not Started	
(d) Finalize, and seek approval by the JCTC and the Judicial Council; thereafter, formally sunset the workstream.	Not Started	

### 3. Video Remote Interpreting (VRI) Pilot



**Highlight:** July-2018 - VRI was conducted successfully from county to county (inter-court). The six-month VRI Pilot concluded on July 31, 2018.

Key Objectives	Status	Description
(a) Support implementation of the Assessment Period of the VRI pilot program (including kickoff, court preparations, site visits, and deployment), as requested.	In Progress	<ul style="list-style-type: none"> <li>January 2018: Onsite training was conducted at the three VRI pilot courts: Sacramento, Merced and Ventura Superior Courts. The pilot courts went live with VRI events.</li> <li>February 2018: SDSU Research Foundation (the independent evaluator) began collecting data.</li> <li>March-April 2018: SDSU conducted onsite observation in Sacramento to gather additional data.</li> <li>July 2018: The pilot courts successfully shared interpreters from county to county (inter-court). The VRI pilot was completed on July 31, 2018.</li> </ul>
(b) Review pilot findings; validate, refine, and amend, if necessary, the technical standards.	In Progress	<ul style="list-style-type: none"> <li>August 2018: SDSU will conduct an online survey with stakeholders (including attorneys) to gather feedback and additional data. SDSU will then begin work to prepare a final report with findings and recommendations, which will be included in a report to the Judicial Council on VRI in early 2019.</li> </ul>
(c) Identify whether new or amended rules of court are needed (and advise the Rules & Policy Subcommittee for follow up).	Not Started	
(d) Consult and collaborate with LAPITF, as needed, in preparing recommendations to the Judicial Council on VRI implementations.	Not Started	
(e) Coordinate and plan with JCIT regarding operational support, if appropriate.	Not Started	

## 4. E-Filing Strategy



**Highlight:** Continued progress on EFM negotiations; and report on progress of EFSP accessibility.

Key Objectives	Status	Description
(a) Finalize master agreements with the three (3) E-Filing Managers (EFMs) selected to provide services.	In Progress	We continue to negotiate with 2 of the 3 chosen EFM Vendors Tyler, JTI and ImageSoft. We have an executed master agreement with JTI. We are close to agreement with ImageSoft who still must submit a SOW. Issues remain with Tyler that Snorri will discuss with the other courts using Tyler's Odyssey CMS.
(b) Develop the E-Filing Service Provider (EFSP) selection/certification process.	Not Started	Developing the certification process will require the JCIT staff positions, already identified, be filled. The initial position has been advertised with announcement of the selected candidate expected soon.
(c) Monitor the progress of EFSP accessibility compliance.	In Progress	In March 2018, the Judicial Council Information Technology Office conducted a survey of the 58 trial courts to determine compliance with AB 103. Based on survey results, currently 24 of the 58 trial courts provide electronic filing and electronic document service either directly, through vendor services, or a combination of vendor and in-house services. Preliminary feedback from the courts and vendors indicates a substantial level of compliance, with plans for achieving full compliance within the specified time frame of June 2019.
(d) Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives.	Not Started	
(e) Report on the plan for implementation of the approved NIEM/ECF standards, including effective date, per direction of the Judicial Council at its June 24, 2016 meeting.	Not Started	
(f) Consult and report on the implementation of the court cost recovery fee that will support the statewide e-filing program.	In Progress	We have held a number of discussions with regard to the cost recovery fee. Currently the legal department are reviewing statutes to determine feasibility of implementing the cost recovery fee and distributing the funds collected.
(g) Coordinate and plan with JCIT regarding operational support of the ongoing e-filing program being funded through the court cost-recovery fee.	In Progress	The JCIT have identified the positions required for operational support of the statewide eFiling program. The initial JCIT position has been advertised with announcement of the selected candidate expected soon.
(h) At the completion of these objectives and with the approval of the JCTC, formally sunset the workstream.	Not Started	

## 5. Identity and Access Management Strategy



**Highlight:** Phase 2 of the workstream, to identify policy and process recommendations as well as a strategy and roadmap, has started.

Key Objectives	Status	Description
(a) Develop and issue an RFP for a statewide identity management service/provider; identify and select.	Completed	Microsoft Azure AD Identity Service acquired under a Leveraged Procurement Agreement (LPA), County of Riverside RFQ #PUARC-1518, Microsoft Master Agreement Number 01E73970.
(b) Develop the roadmap for a branch identity management strategy and approach.	In Progress	Nominations for phase 2, which will address the roadmap, have been received and the roster is being updated for approval.
(c) Determine policies and processes for identity management (including proofing and access management).	In Progress	Nominations for phase 2, which will address policy and process recommendations, have been received and the roster is being updated for approval.
(d) Ensure linkage and alignment with other branchwide initiatives such as E-Filing, SRL Portal, Next Generation Hosting, CMS Migration and Development.	In Progress	Sponsors or project managers for the aligned initiatives are members of the workstream.
(e) Coordinate and plan with JCIT regarding operational support, if appropriate.	In Progress	JCIT staff are participating in the pilot at Los Angeles Superior Court and are on the workstream.

## 6. Self-Represented Litigants (SRL) E-Services



**Highlight:** BCP approved; began kickoff for pre-RFP planning.

Key Objectives	Status	Description
(a) Provide input for, and track, a SRL E-Services Budget Change Proposal (BCP) process for FY 18-19 funding.	Complete	<ul style="list-style-type: none"> <li>• BCP was approved</li> <li>• \$3.2 million in FY 2018–19</li> <li>• \$1.9 million in FY 2019–20</li> <li>• \$709,000 ongoing</li> </ul>
(b) Develop requirements for branchwide SRL e-capabilities to facilitate interactive FAQ, triage functionality, and document assembly to guide SRLs through the process, and interoperability with the branchwide e-filing solution. The portal will be complementary to existing local court, and vendor resources.	In Progress	<ul style="list-style-type: none"> <li>• This is being done in conjunction with the next line item (c) as part of the development of the RFP</li> </ul>
(c) Develop and issue a request for proposal (RFP) or other solicitation, as needed, to support the implementation of the branchwide e-services portal.	In Progress	<ul style="list-style-type: none"> <li>• In person kickoff meeting held on 7/12/18</li> <li>• RFP scope and initial content outline completed</li> <li>• Follow-up meetings begin 7/30/18</li> </ul>
(d) Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources.	In Progress	<ul style="list-style-type: none"> <li>• JCIT is funding a project as a pre-cursor to the SRL portal project which will pilot a small subset of features to get some experience and understanding in this area.</li> <li>• SRL E-Services workstream members participating on the advisory council for this Digital Services project</li> </ul>
(e) Coordinate and plan with JCIT regarding operational support, if appropriate. Note: In scope for 2018 is the submission and tracking of a budget change proposal (BCP) and development of an RFP; out of scope is the actual implementation.	Not Started	

## 7. IT Community Development



**Highlight:** Conducted Workstream Kick-off and forming individual tracks.

Key Objectives	Status	Description
Initiate new workstream: Identify sponsor and leads; form workstream membership; hold kickoff meeting(s).	Complete	Orientation and introduction meeting held on July 30, 2018 for members and workstream track leads to review the three workstream tracks (Resources, Education, Tools) and related key objectives. Next steps are for each track to solicit additional workstream participants as needed based on the area of focus and kick off the individual tracks.  Workstream would like to amend its target end date from December 2018 to end of March 2019.
(a) Survey the courts to identify (i) their interest in exploring opportunities to share key technical resources and (ii) IT leadership and resource development needs and priorities; report findings.	In Progress	(ii) At the CITMF July 2018, there was a CIO development introductory session. Following the training, a survey was distributed to CIOs and participants on professional development opportunities for top 5 areas of focus for leadership development.
(b) Assess court CEO/CIO interest in an IT peer consulting program and develop recommendations.	Not Started	
(c) <b>(NEW)</b> Partner with CJER to develop and implement an annual plan for keeping judicial officers, CEO's, and CIO's abreast of technology trends <b>and tools</b> .	Not Started	
(d) Identify, prioritize, and report on collaboration needs and tools for use within the branch.	Not Started	
(e) Evaluate and prioritized possible technologies to improve advisory body and workstream meeting administration; pilot recommended solutions with the committee.	Not Started	
(f) Coordinate and plan with JCIT regarding operational support, as appropriate.	In Progress	Workstream Sponsor and Track Leads are working closely with JCIT to determine inclusive and appropriate workstream track membership and alignment with JCIT resources.

## 8. Intelligent Forms Strategy: Research & Scope (Phase 1)



**Highlight:** Workstream concluded at April 2018 ITAC meeting; JCIT tasked with identifying path forward.

Key Objectives	Status	Description
(a) Evaluate Judicial Council form usage (by courts, partners, litigants) and recommend a solution that better aligns with CMS operability and better ensures the courts' ability to adhere to quality standards and implement updates without reengineer.	Completed	Final recommendation, Target Solutions Two and Five: Create and publish Application Programming Interface (API) that will merge data files with Judicial Council forms.
(b) Address form security issues that have arisen because of the recent availability and use of unlocked Judicial Council forms in place of secure forms for e-filing documents into the courts; seek solutions that will ensure the forms integrity and preserves legal content.	Completed	Final recommendation, Target Solutions One, Two and Five: Identify and deploy resources to certify all Judicial Council forms. Assign version numbering to all forms. Host all forms on a separate "Judicial Council forms server". Populate forms by merging data files with Judicial Council forms. Move away from filling out PDFs to completing web forms instead.
(c) Investigate options for redesigning forms to take advantages of new technologies, such as documents assembly technologies.	Completed	Final recommendation, Target Solutions Two, Six and Seven: The proposed solution will eventually separate the PDF from the data gathering tool, allowing a multitude of ways to populate forms, including third-party app developers. This proposal also recommends creating a clearinghouse for interview-based solutions so that best practices can be shared across platforms.
(d) Investigate options for developing standardized forms definitions and delivery methods that would enable forms to be efficiently electronically filed into the various modern CMSs across the state.	Completed	Final recommendation, Target Solutions Two, Four and Five: Standardize form field naming conventions by extending NIEM/ECF standards, preferably in collaboration with courts and vendors. Assign version numbering to all forms. Design form update governance standard to enable courts and vendors to easily identify changes.

## 8. Intelligent Forms Strategy: Research & Scope (Phase 1 – cont.)



**Highlight:** Workstream concluded at April 2018 ITAC meeting; JCIT tasked with identifying path forward.

Key Objectives	Status	Description
(e) Explore the creation and use of court generated text-based forms as an alternative to graphic forms.	Completed	Final recommendation, Target Solution Six: Develop pilot project to create truly dynamic forms. Such forms include only mandatory items and any optional items that contain data, but would not display empty fields.
(f) Investigate whether to recommend development of a forms repository by which courts, forms publishers, and partners may readily and reliably access forms in alternate formats.	Completed	Final recommendation, Target Solution Two: Host all Judicial Council forms on a separate “Judicial Council forms server”.
(g) Develop recommendations for a potential BCP to support proposed solutions. (Note: Drafting a BCP would be a separate effort.)	Completed	An Initial Funding Request for three additional positions to support the recommendations in the workstream’s report was drafted and submitted to the JCTC and JBBC for consideration.
(h) Initiate Phase 2 of the workstream, based on the recommendations.	On Hold- Pending JCIT Review	At the April 30, 2018, ITAC meeting, ITAC asked JCIT to investigate the basis for any next steps. Suggestions included developing pilots, a Request for Information (RFI), and seeking funding for development and deployment. JCIT is expected to report back to ITAC on next steps, including if a Phase 2 workstream is needed.

## 9. Digital Evidence: Assessment (Phase 1)



**Highlight:** Report on branchwide survey is being drafted. Justice Partner surveys completed.

Key Objectives	Status	Description
(a) Review existing statutes and rules of court to identify impediments to use of digital evidence and opportunities for improved processes.	In Progress	Existing statewide statutes and rules reviewed and documented. Will review survey results for local rules and statutes.
(b) Survey courts for existing business practices and policies regarding acceptance and retention of digital evidence.	In Progress	Report on branch wide survey being drafted.
(c) Survey courts and justice system groups regarding possible technical standards and business practices for acceptance and storage of digital evidence.	In Progress	Justice partner surveys completed
(d) Report findings to ITAC and provide recommendations on next steps.	In Progress	Report on branch wide survey being drafted.
(e) Coordinate and plan with JCIT regarding operational support, if appropriate.	Not Started	

## 10. Data Analytics : Access and Report (Phase 1)



Highlight: Workstream holds in person meeting August 30<sup>th</sup> to kick off project and review test cases.

Key Objectives	Status	Description
(a) Research, scope, and recommend a data analytics strategy for the branch (e.g., this may include gaining case processing and resource data).	In Progress	Members have been identified (E&P is in the process of approving the membership) and will meet in person on August 30 <sup>th</sup> .
(b) Investigate possible policies, processes, and technologies to help the branch utilize data analytics to improve business effectiveness.	In Progress	The Judicial Council Legal Services Office has and will provide feedback about Rule 10.500 in the context of data analytics
(c) Assess priorities for data collection and present findings to ITAC.	Not Started	
(d) Identify possible data analytical tools and templates.	In Progress	Members will view a data presentation in Tableau (software package for data analytics) at the August 30 <sup>th</sup> meeting.

## 11.1. Disaster Recovery (DR) Framework Phase 1



**Highlight:** Completed Phase 1 workstream deliverables, including Judicial Council approval.

Key Objectives	Status	Description
(a) Coordinate with JCIT to define and plan the operational or ongoing support needed to maintain the <i>Disaster Recovery Framework Guide</i> and associated deliverables.	Completed	The final report included the recommendation that Judicial Council IT would update the document on a periodic basis, as needed.
(b) Seek approval of the proposed framework from the JCTC and adoption by the Judicial Council; thereafter, formally sunset this phase of the workstream.	Completed	Framework and toolkit was approved by the Judicial Council on March 2, 2018. Additionally, a presentation was made to the Executive Committees of the Trial Court Presiding Judges Advisory Committee and Court Executive Advisory Committee. ITAC formally approved closure of Phase 1 workstream at April 30, 2018 meeting.

## 11.2. Disaster Recovery (DR) Framework Phase 2



**Highlight:** Initiating workstream in coordination with Innovation Grant pilot.

Key Objectives	Status	Description
Initiate new workstream: Identify sponsor and leads; form workstream membership; hold kickoff meeting(s).	In Progress	Sponsor and Project Manager have been identified. Through our collaborative efforts initiated by the Innovation Grants funded Cloud-Based Disaster Recovery project, members representing 26 JBEs have formed two teams with the objective of crafting a branch-wide RFP that serves the majority of the courts. Kick-off meetings were held in November 2017, and the RFP is still in progress. We plan to seek members of the workstream from the RFP strategy and review teams.
(a) Leverage the innovation grant awarded to the Superior Court of Monterey County for a Cloud DR Pilot Program.	In Progress	We expect to have master agreements completed by the end of September 2018. The next phase will include Monterey County Superior Court to select one for the award vendor solution, design and implement recovery for selected systems and programs.
(b) Recommend a list of critical technology services that make business sense for cloud-based recovery adoption.	Not Started	
(c) Establish a cloud DR master agreement with a short list of cloud service providers for judicial branch entities/courts to leverage.	In Progress	Master agreements with three vendors are expected to be completed by the end of September 2018. All three have been found to be capable of developing and implementing Cloud Based Disaster Recovery
(d) Publish design solution templates using technologies and solutions from vendors selected in the cloud DR master agreement.	Not Started	
(e) Host knowledge sharing sessions for interested judicial branch entities/courts (including tools to estimate cost for deploying recovery solution using a particular cloud service provider; and Monterey solution case study).	In Progress	As part of the RFP for the Cloud-Based Disaster Recovery project, a proposal conference was held on May 31, 2018 to build knowledge on leveraging cloud technologies for disaster recovery. After the conclusion of the pilot phase, additional avenues for knowledge sharing will be made available to the judicial branch technology community.
(f) Provide input to JCIT that will be used in drafting a BCP to fund a pilot group of courts interested in implementing Cloud-based DR for critical technology services (see (b)).	Not Started	
(g) Coordinate and plan with JCIT regarding operational support, if appropriate.	Not Started	

## 12.1. Next-Generation Hosting Strategy Phase 1



**Highlight:** Completed Phase 1 workstream deliverables, including Judicial Council approval.

Key Objectives	Status	Description
(a) Coordinate with JCIT to define and plan the operational or ongoing support needed to maintain the <i>Next-Generation Hosting Framework Guide</i> and associated deliverables.	In Progress	
(b) Seek approval of the proposed framework from the JCTC and adoption by the Judicial Council; thereafter, formally sunset this phase of the workstream.	Completed	Framework and toolkit was approved by the Judicial Council on March 2, 2018. Seeking formal approval from ITAC to sunset this phase of the workstream.

## 12.2. Next-Generation Hosting Strategy Phase 2



**Highlight:** Surveyed courts assessing hosting status; plan to formally solicit for membership.

Key Objectives	Status	Description
Initiate new workstream: Identify sponsor and leads; form workstream membership; hold kickoff meeting(s).	In Progress	Continue to work on workstream membership utilizing a survey to courts to gather data and feedback.
(a) Identify and implement a pilot program to test the branch Next-Generation Hosting Framework and report findings. Pilot courts to include those with available funding; also, will include collaboration with courts already in progress of transitioning to next-generation hosting.	In Progress	Investigating current next generation hosting programs throughout the branch, including trial courts and judicial council technology projects.
(b) Establish master agreements for cloud service providers. (Potential shared effort with DR Workstream initiative.)	In Progress	Monterey Court DR in cloud has concluded it's RFP and a Master Agreement with three vendors is in process.
(c) Establish the judicial branch support model for IT services.	Not Started	
(d) Determine funding mechanism to transition courts to new hosting models; this includes exploring a potential Budget Change Proposal (BCP)	Not Started	

## 13.1. Modernize Trial Court Rules



**Highlight:** Amendments to title 2, division 3, chapter 2 of the California Rules of Court were submitted for public comment.

Key Objectives	Status	Description
<p>(a) <b>Proposals to create and amend rules to conform to legislation enacted in 2017.</b> For example, new provisions of Code of Civil Procedure section 1010.6 expressly require the Judicial council to adopt rules of court related to disability access and electronic signatures for documents signed under penalty of perjury. The new provisions also require express consent for electronic service, which will require a rule amendment, and creation of a form for withdrawal of consent.</p>	In Progress	<ul style="list-style-type: none"> <li>Amendments to title 2, division 3, chapter 2 of the California Rules of Court are being circulated for public comment. The proposed amendments respond to new requirements in Code of Civil Procedure section 1010.6, amend definitions in the rules, and ensure indigent filers are not required to have a payment mechanism to create an account with electronic filing service providers.</li> <li>Proposed Judicial Council form EFS-006, <i>Withdrawal of Consent to Electronic Service</i> is being circulated for public comment. The purpose of the proposal is to comply with Code of Civil Procedure section 1010.6(a)(6), which requires the Judicial Council to create such a form by January 1, 2019. This is a joint proposal with the Civil and Small Claims Advisory Committee.</li> </ul> <p>The public comment period ended on June 8, 2018. RPS, ITAC, JCTC and RUPRO have reviewed the rule and form proposals and recommended them to the Judicial Council. The Judicial Council will vote on whether to amend the rules and approve the form at its September meeting.</p>
<p>(b) <b>Proposals based on suggestions from the public</b> such as revising definitions and addressing a barrier to indigent users accessing services of electronic filing service providers.</p>	In Progress	See above.
<p>(c) <b>Proposals for technical amendments</b> to amend rules language that is obsolete or otherwise unnecessary.</p>	In Progress	See above.

## 13.2 Standards for E-Signature



**Highlight:** E-signature rule proposal presented to CEAC Records Management Subcommittee and circulation for public comment.

Key Objectives	Status	Description
(a) CEAC Records Management Subcommittee to develop standards governing electronic signatures for documents filed into the court with input from the Court Information Technology Managers Forum (CIOs). Rules & Policy Subcommittee to review.	In Progress	<p>AB 976 amended Code of Civil Procedure section 1010.6 to require express consent for electronic service and not allow the act of electronic filing to be deemed as consent to electronic service. The proposed e-signature rule was presented to CEAC Records Management Subcommittee. The proposed rule defines electronic signature as it is defined in California's Uniform Electronic Transactions Act (UETA) and bases process for using an electronic signature under penalty of perjury on the process in UETA. The subcommittee did not raise any concerns with this approach.</p> <p>The public comment period ended on June 8, 2018. RPS, ITAC, JCTC and RUPRO have reviewed the rule and recommended it to the Judicial Council. The Judicial Council will vote on whether to amend the rules at its September meeting.</p>

## 13.3. Remote Access Rules for Government Entities, Parties, Attorneys



**Highlight:** The Joint Ad Hoc Subcommittee reviewed/approved rules proposal, which is currently posted for public comment.

Key Objectives	Status	Description
(a) Lead the Joint Ad Hoc Subcommittee on Remote Access to amend trial court rules to facilitate remote access to trial court records by state and local government entities, parties, parties' attorneys, and certain court-appointed persons.	In Progress	The public comment ended on June 8, 2018. The Joint Ad Hoc Subcommittee on Remote Access, ITAC, JCTC and RUPRO have reviewed the rule proposal and recommended it to the Judicial Council. The Judicial Council will vote on whether to adopt the rules at its September meeting.

## 13.4. Standards for Electronic Court Records as Data



**Highlight:** Members of CEAC Records Management Subcommittee have started working on this project.

Key Objectives	Status	Description
(a) CEAC Records Management Subcommittee – in collaboration with the Data Exchange Workstream governance body – to develop standards and proposal to allow trial courts to maintain electronic court records as data in their case management systems to be included in the “Trial Court Records Manual” with input from the Court Information Technology Managers Forum (CITMF). Rules & Policy Subcommittee to review.	In Progress	The CEAC Records Management Subcommittee work is in progress.
(b) Determine what statutory and rule changes may be required to authorize and implement the maintenance of record in the form of data; develop proposals to satisfy these changes.	In Progress	Same as above.

## 13.5. Privacy Resource Guide



**Highlight:** The draft text of a Privacy Resource Guide (PRG) has been prepared and is continuing to be finalized.

Key Objectives	Status	Description
(a) Continue development of a comprehensive statewide privacy resource guide addressing, among other things, electronic access to court records and data, to align with both state and federal requirements.	In Progress	Finalizing the draft Privacy Resource Guide that will assist the branch in addressing privacy issues; addressing among other things, confidential treatment of court records and data, and administrative records, consistent with statutes and case law. This preliminary draft will be presented to the committee.
(b) Continue development of court privacy resource guide, outlining the key requirements, contents, and provisions for courts to address within its specific privacy policy.	In Progress	The Privacy Resource Guide will include a section on best privacy practices for local courts to refer to regarding confidential treatment of court records and administrative records, and model templates for them to use. Legal staff has contacted various committees and divisions for assistance with this project

## 14.1. Modernize Appellate Court Rules



**Highlight:** JATS recommended amended rules proposals following public comment. ITAC and AAC approved; Judicial Council will consider in September. Initiating annual agenda planning for 2019.

Key Objectives	Status	Description
(a) <b>Formatting of electronic reporters' transcripts:</b> Rule 8.144 was amended in the prior rules cycle to provide format requirements for electronic court reporter transcripts consistent with amendments to Code of Civil Procedure section 271. In this rules cycle JATS will consider whether additional amendments to Rule 8.144 are needed.	In Progress-Monitoring	JATS has not received reports of concerns or problems with the rule amendment in practice. The subcommittee will continue to monitor and be responsive to comments or concerns if they are raised.
(b) <b>Sealed &amp; Confidential Material:</b> Rules for the handling of sealed or confidential materials that are submitted electronically.	In Progress	The public comment period ended for the rule amendment proposal. JATS and the Appellate Advisory Committee recommended that the amendments be adopted. The Rules & Projects internal committee will consider the proposal on Aug 23; subject to that review, the Judicial Council will consider the matter at its September meeting. If approved, the rules will become effective January 1, 2019.
(c) <b>Return of lodged electronic records:</b> The trial court rule modernization changes made in 2016 amend rules 2.551(b) and 2.577)d)(4) to give the moving party ten days after a motion to seal is denied, to notify the court if the party wants the record to be filed unsealed. If the clerk does not receive notification in then days, the clerk must return the record, if lodged in paper form, or permanently delete it if lodged in electronic form. JATS will consider whether equivalent appellate rules are desirable.	In Progress	This proposal was consolidated with the proposal regarding sealed and confidential material. See above.
(d) <b>Rule amendments regarding access:</b> JATS will consider possible rule amendments to address online access to trial court records for parties, their attorneys, local justice partners, and other government agencies. The plan is for JATS to review what is ultimately proposed at the trial court level and use that as a basis for developing a companion proposal for access to appellate court records.	Not Started-On Hold	This project is dependent on pending action related to the trial court rules. JATS will review what is ultimately proposed for the trial courts and consider whether similar rules should be developed for appellate court records.

## 14.1. Modernize Appellate Court Rules (cont'd)



**Highlight:** JATS will consider whether to pursue these projects in the coming rules cycle. It is initiating annual agenda planning for 2019.

Key Objectives	Status	Description
(e) <b>Bookmarking:</b> The 2016 trial court rules modernization changes include a new requirement, added to rule 3.1110(f), that electronic exhibits be electronically bookmarked. This issue was set aside by JATS for 2016, to permit those appellate courts new to e-filing at the time (or not yet on e-filing at the time) a chance to gain some experience with e-filing before participating in statewide decisions on this topic.	Not Started-Deferred	This subject was consolidated with item (f) below. After discussions and recommendations from JATS, the Appellate Advisory Committee deferred this project in order to expand the scope to develop uniform format requirements for electronic documents in the appellate courts. JATS and the AAC will decide whether to pursue the expanded project this year.  In August, Justice Mauro (chair) and staff met with Justice Hull (chair, RUPRO) in a preliminary planning session to initiate the next annual agenda cycle.
(f) <b>Exhibits:</b> Create a requirement that exhibits submitted in electronic form be submitted in electronic volumes, rather than individually.	Not Started-Deferred	See above.
(g) <b>Numbering of materials in requests for judicial notice:</b> Consider amending rule 8.252, which requires numbering materials to be judicially noticed consecutively, starting with page number one. The materials are attached to a motion and declaration(s) and are electronically filed as one document, making pagination and references to these materials in the briefs confusing for litigants and the courts.	Not Started	This is a two year project. The subcommittee will consider whether to begin this work in the Fall of 2018, based on priorities.

## 14.2. Rules Regarding Certification of Electronic Records, E-Signature, and Paper Copies



**Highlight:** The start of this project is dependent upon development of trial court rules proposals.

Key Objectives	Status	Description
(a) Provide input on proposed changes to the trial court rules of court governing certifications of electronic records, standards for electronic signatures, and requirements for paper copies of e-filed documents that will impact the appellate courts.	Not Started	JATS is holding on this item while the Rules & Policy Subcommittee develops the applicable trial court rules. It is anticipated that this item will remain on the annual agenda for the coming year.
(b) Consider whether to propose changes to the appellate court rules on this topic.	Not Started	This project is dependent on action related to trial court rules (see above). JATS will review what is ultimately proposed for the trial courts and consider whether similar rules should be developed for the appellate courts.

## 14.3. Input on Appellate Document Management System



**Highlight:** JATS is monitoring and providing input.

Key Objectives	Status	Description
(a) Monitor and provide input on the implementation of a new document system (DMS) for the appellate courts.	In Progress-Monitoring	Phase 1 of this project has begun. The Third Appellate District and Fifth Appellate District will pilot initial implementation. JATS is monitoring and providing input through its Chair, Justice Mauro.

## 15. Liaison Collaboration



**Highlight:** Liaisons assigned; reports to be received at the next ITAC meeting.

Key Objectives	Status	Description
(a) Appoint ITAC members to serve as liaisons to identified advisory bodies.	Completed	Members assigned to liaison roles. Eliminated the liaison relationship with the Jury Instructions advisory body, due to a lack of need.
(b) Share ITAC status reports with advisory body chairs and attend liaison committee meetings.	In Progress	
(c) Identify opportunities to collaborate and share liaison feedback to ITAC, the JCTC, the Judicial Council, and the branch, as appropriate.	In Progress	Liaisons are invited to report at the April 30 ITAC meeting.



## JUDICIAL COUNCIL OF CALIFORNIA

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### MEMORANDUM

<p>Date August 15, 2018</p> <p>To Members of the Information Technology Advisory Committee</p> <p>From David Yamasaki, Data Exchange Working Group Executive Sponsor</p> <p>Alan Crouse, Data Exchange Working Group Technical Lead</p> <p>Subject 2017-2018 Annual Report for Data Exchange Working Group</p>	<p>Action Requested Review as Information Item</p> <p>Deadline August 27, 2018</p> <p>Contact Mr. Alan Crouse, CIO San Bernardino Superior Court 909-708-8748 phone <a href="mailto:ACrouse@sb-court.org">ACrouse@sb-court.org</a></p> <p>Ms. Suzanne Schleder Information Technology 916-643-7038 phone <a href="mailto:suzanne.schleder@jud.ca.gov">suzanne.schleder@jud.ca.gov</a></p>
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#### Executive Summary

This Annual Report serves to provide performance information to ITAC which includes ongoing status and progress information on the data exchange development, implementation and coordination among the participants, as directed in the Case Management System Data Exchange Workstream Final Report & Governance Plan.

#### Background

On March 17, 2017, the Information Technology Advisory Committee (ITAC) established the Data Exchange Working Group to operationalize support for establishing and maintaining standardized exchanges between the courts, justice partners and case management system vendors. The workstream work group is charged with providing continued oversight of the

Members of the Information Technology Advisory Committee

August 15, 2018

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structure and function of data exchanges, and facilitate the adoption of common solutions, policies and standards that best serve the implementation of existing and future technology and processes.

#### Committee Task

Members are requested to review this report and to send questions to Alan Crouse at [ACrouse@sb-court.org](mailto:ACrouse@sb-court.org) or (909) 708-8748. If you would like to request an ITAC meeting agenda discussion or action item based on this report, please contact [itac@jud.ca.gov](mailto:itac@jud.ca.gov).

#### Attachments

1. 2017-2018 Annual Report for Data Exchange Working Group



2017-18

## Annual Report

FOR

DATA EXCHANGE WORKING GROUP

DRAFT

DATE JUNE 30, 2018

455 Golden Gate Avenue, San Francisco, CA 94102-3688

## **INTRODUCTION**

The Judicial Council Information Technology Advisory Committee (ITAC) Data Exchange Workstream was established December 5, 2014 to align the requirements of justice partners regarding the exchange of information between courts and their case management system vendors.

It became clear during the Workstream activities that an organized, on-going effort would be required to nurture and maintain the voluntary collaboration and cooperation among the Justice Partners, vendors, courts and Judicial Council. This was largely the case due to the varying technological solutions that each of the vendors were developing in conjunction with the needs of local trial courts and the varying requirements expressed by justice partners with their existing or emerging information system solutions. Absent a solution, there existed the risk of developing 58 different data exchange solutions for each of the trial courts to communicate with a single justice partner. This approach would have been costly to maintain and would have slowed the development process between vendors and justice partners.

The establishment of the Data Exchange Working Group by the Judicial Council Information Technology Advisory Committee at their March 17, 2017 meeting was the means of achieving that on-going oversight. While there is no overriding mandate to participate; voluntary effort between multiple agencies with agreement between the parties to preserve and extend the benefits achieved by the Data Exchange Workstream is in the best interest of all participants.

The Working Group provides continued oversight of the structure and function of data exchanges; facilitates the adoption of common solutions, policies and standards that best serve the implementation of existing and future technology and processes.

## **COMMUNICATIONS**

Data Exchange Working Group communications plan includes communications between the Judicial Council, trial and appellate courts, Justice Partners and case management system vendors in regards to automated data exchange. The Working Group:

- Maintains a secured document repository – currently in SharePoint, hosted by the Judicial Council – of relevant materials to update all parties involved in standards, data exchange implementations, technical improvements, and relationships;
- Coordinates electronic communications management: e.g. e-mail, teleconference, video and web conferences, web publishing (e.g. to the Judicial Resources Network “JRN” web site), as appropriate to facilitate standardized data exchanges

- Meets in-person at least annually in synchronization with the Judicial Council Annual Agenda timeline (travel and lodging expenses are covered by individual members, if applicable);
- Provides performance information to ITAC which includes ongoing status and progress information on the data exchange development, implementation and coordination among the participants on the working group;
- Meets quarterly to review progress and status of current exchange information and discuss new exchange solutions;
- Maintains a list of justice partners and vendor contacts.

## **STAKEHOLDER MANAGEMENT**

There are six primary justice partner exchanges that have been designated as the initial focus of the working group: Department of Justice (DOJ); California Highway Patrol (CHP); Department of Child Support Services (DCSS); California Department of Corrections and Rehabilitation (CDCR); Department of Motor Vehicles (DMV); Department of Social Services (DSS).

A Court Information Officer liaison has been assigned to each of the six primary justice partner exchanges. The role of the court liaison is to act as the technical lead for their assigned exchange; maintain communications and update primary contact information as required; collect relevant materials for the secured document repository (standard exchange documentation, implementations, technical improvements, etc.); continue collaboration and foster appropriate engagement in committee activities.

Court Liaisons submit quarterly status reports to the Working Group chair with updates on their exchanges; status of documentation in the repository; progress, successes, and any issues for discussion with the Working Group.

This annual report, celebrating the collaborative efforts of this initiative, is prepared by the Working Group and distributed to: ITAC, the Justice Partner Liaisons, the head of Information Technology for each Justice Partner, and the State Chief Information Officer at the California Department of Technology.

## **CHANGE CONTROL PROCESS**

The data exchange documentation repository is maintained by Judicial Council Information Technology (JCIT). SharePoint is the collaboration software currently used. Court liaisons upload and update documentation as needed.

Requests for new data exchanges are submitted to and discussed by the Working Group, including potential new liaison candidates. Judicial Council Information Technology (JCIT) assist with coordination and submission for approval to ITAC by the Working Group. Major decisions or issues are also raised to ITAC through the same process – Working Group for analysis, discussion, recommendations, and submission to ITAC.

## **RESULTS ACHIEVED - 2017/18**

### Department of Justice (DOJ):

- Significant DOJ resources were made available to assist courts in certifying new systems for DOJ reporting, reducing the review time for test submissions to as little as three days;
- Courts made significant progress in the electronic reporting of disposition information from new case management systems to the DOJ, with hundreds of thousands of transactions submitted;
- A monthly court/DOJ meeting was established to address any questions/concerns.

### California Highway Patrol (CHP):

- The availability of electronic citations from CHP continued to expand and now includes:
  - o Fresno
  - o Kings
  - o Merced
  - o Orange
  - o Sacramento
  - o San Bernardino
  - o Santa Clara
- Two issues were discovered and resolved over the course of the year:
  - o The original e-citation service required courts to pull the electronic citations from the CHP. Orange County noted that statute requires the CHP to submit the citations to court and that the courts' pulling of citations may be in conflict with that. This was subsequently resolved when CHP updated their service to allow for courts to receive a notification when citations were ready for submission.
  - o CHP updated their violation code tables as part of a larger clean-up effort and removed spaces from a portion of the XML files. Courts utilizing the Tyler Technologies case management system (CMS) experienced problems in that the data being submitted no longer matched what was in the CMS configuration tables. This was resolved by courts updating their configuration tables to match the values coming from CHP's web service.
- CHP is no longer deploying the Motorola hand-held citation units and is moving to a tablet-based solution. Tablets will be deployed to south Los Angeles County. Going

Data Exchange Working Group

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forward, CHP will continue to support both devices until all the Motorola units are phased out over time.

## Department of Child Support Services (DCSS);

- There are a total of 14 courts utilizing the Tyler Single Solution automated interface with DCSS. Seven of those courts were added in the 2017/2018 timeframe.
- Four courts converted from their own court solution to the Tyler Single Solution during the same timeframe.
- A few operational issues arose with the Tyler Single Solution but Tyler Technologies was quick to respond and to resolve the identified issues.

## California Department of Corrections and Rehabilitation (CDCR)

- CDCR launched an initiative to electronically exchange prison commitment paperwork with the courts. This ambitious program could result in significant time and labor savings for both the courts and CDCR.

## Department of Motor Vehicles (DMV)

- The data exchange between the courts and DMV matured and stabilized significantly during 2017/18. The interfaces with new case management systems became a routine part of court operations;
- Efforts were successful to ensure a smooth implementation of a major security upgrade at DMV on June 1, 2018;
- A meeting will be held in July to work on a possible issue with DMV and CHP regarding integrity of information captured in the mag-stripe and/or bar code on the California Driver's License.

## Department of Social Services (DSS)

- DSS made tremendous progress in specifying the data exchanges necessary to electronically interface with the courts throughout the lifecycle of a case. The goal is to electronically transfer all case data; from filing through disposition. Courts and our data exchange workstream liaison have been directly participating in these efforts.

**OUTLOOK FOR 2018/19**

## Department of Justice (DOJ):

- DOJ is signaling that the existing "ADTR" exchange no longer meets the business needs and efforts to replace it will begin in 2018/19 with a target in June 2020. The existing paper process is also expected to sunset, increasing the importance of fully functional exchanges.

Data Exchange Working Group

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## California Highway Patrol (CHP):

- Pending funding approval, the CHP has projected that two additional courts, Santa Barbara and Stanislaus, could join the program in 2018/19.
- Deployments to other counties is completely dependent on funding for the acquisition and deployment of hardware. CHP is focusing initially on areas with higher levels of citation issuances.

## Department of Child Support Services (DCSS);

- Planning for additional courts to implement the interface with DCSS is currently on hold while DCSS implements additional functionality for existing courts.
- The DCSS interface currently supports 13 form sets. DCSS is expanding the interface to support an additional 49 form sets. This project is schedule to be completed in Q1 or Q2 of 2019. Following the release of this project, additional courts will be added to the schedule for the DCSS interface.

## California Department of Corrections and Rehabilitation (CDCR)

- CDCR has been working with 2 Tyler courts, Santa Cruz and San Mateo, to ensure Odyssey is able to produce a paper packet suitable for submission to CDCR. The working group is encouraging the courts and Tyler to continue work on the project to allow for electronic submittal of the packets to the state.
- Sacramento's vendor, Thomson Reuters, is working on their design of this part of the exchange. The estimated date for completion of Thompson's development is mid-September.
- San Joaquin is still mapping data to the data exchange provided by CDCR. San Joaquin's issue is reconciling data fields that are not in the CMS. They recently restarted following an unexpected 90 day delay.

## Department of Motor Vehicles (DMV)

- No planned changes.

## Department of Social Services (DSS)

- During 2018/19, DSS expects to complete the data exchange specifications, prepare and approve the technical specifications, develop and test the data exchange, and integrate the interface with CWS-CARES in the testing environment.

Data Exchange Working Group

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**JUSTICE PARTNER LIAISONS**

- a. CDCR – Dana Fahey, CIO, Superior Court of California, County of Santa Barbara
- b. CDSS – Adam Creiglow, CIO, Superior Court of California, County of Marin
- c. CHP – Chris Stewart, CIO, Superior Court of California, County of Sacramento
- d. DCSS – Brett Howard, CIO, Superior Court of California, County of Orange
- e. DMV – Snorri Ogata, CIO, Superior Court of California, County of Los Angeles
- f. DOJ – Alan Crouse, CIO, Superior Court of California, County of San Bernardino