



# JUDICIAL COUNCIL OF CALIFORNIA

TECHNOLOGY COMMITTEE

[www.courts.ca.gov/jctc.htm](http://www.courts.ca.gov/jctc.htm)  
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## JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

### AGENDA

Open to the Public (Cal. Rules of Court, rule 10.75(c)(1))

THIS MEETING IS BEING RECORDED

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**Date:** December 15, 2016  
**Time:** 1:30 p.m. – 2:30 p.m.  
**Location:** American Room, 2860 Gateway Oaks Drive, Suite 400, Sacramento, CA 95833  
**Public Call-In Number** 1-877-820-7831; Passcode: 3511860

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Meeting materials will be posted on the advisory body web page on the California Courts website at least three business days before the meeting.

Agenda items are numbered for identification purposes only and will not necessarily be considered in the indicated order.

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#### **I. OPEN MEETING (CAL. RULES OF COURT, RULE 10.75(C)(1))**

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##### **Call to Order and Roll Call**

##### **Approval of Minutes**

Approve minutes of the November 14, 2016 meeting.

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#### **II. PUBLIC COMMENT (CAL. RULES OF COURT, RULE 10.75(K)(2))**

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##### **Public Comment**

Members of the public requesting to speak during the public comment portion of the meeting must place the speaker's name, the name of the organization that the speaker represents if any, and the agenda item that the public comment will address, on the public comment sign-up sheet. The sign-up sheet will be available at the meeting location at least 15 minutes prior to the meeting start time. The Chair will establish speaking limits at the beginning of the public comment session. While the advisory body welcomes and encourages public comment, time may not permit all persons requesting to speak to be heard at this meeting.

##### **Written Comment**

In accordance with California Rules of Court, rule 10.75(k)(1), written comments pertaining to any agenda item of a regularly noticed open meeting can be submitted up to one complete business day before the meeting. For this specific meeting, comments should be e-mailed to [jctc@jud.ca.gov](mailto:jctc@jud.ca.gov) or mailed or delivered to 2255 N. Ontario Street, Suite 220, Burbank, California 91504, attention: Jessica Craven Goldstein. Only written

comments received by 1:30 p.m. on Wednesday, December 14, 2016 will be provided to advisory body members prior to the start of the meeting.

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**III. AGENDA ITEMS**

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**DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1 – 6)**

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**Item 1**

**Chair Report**

Provide update on activities of or news from the Judicial Council, advisory bodies, courts, and/or other justice partners.

Presenter: Hon. Marsha G. Slough, Chair, Judicial Council Technology Committee

**Item 2**

**Update/Report on Information Technology Advisory Committee (ITAC)**

An update and report on ITAC will be provided; this will include the activities of the workstreams.

Presenter: Hon. Sheila F. Hanson, Chair, Information Technology Advisory Committee

**Item 3**

**Approval to Circulate for Comment *Tactical Plan for Technology 2017-2018 (Action Required)***

A report on progress for updating the Tactical Plan for Technology and request for committee to approve publishing the Tactical Plan for Technology 2017-2018 for public comment.

Presenter: Mr. Robert Oyung, Chief Information Officer, Information Technology Office, Judicial Council of California

**Item 4**

**Update on Sustain Justice Edition Case Management System**

An update and report on the work related to the Sustain Justice Edition case management system.

Presenter: Mr. Richard Feldstein, JCTC member

**Item 5**

**Update on the Placer Court Hosting Center**

An update and report on the Placer Court Hosting Center (PCHC) project, a consortium project supported by branch-level funding. Once complete, the PCHC will host six courts that previously received hosting services from the Judicial Council via the Technology Center.

Presenter: Mr. Jake Chatters, Court Executive Officer, Placer Court Superior Court

**Item 6**

**Update on V3 Case Management System**

An update and report on the work to date related to V3 since receiving the funding for civil case management system replacement.

Presenter: Ms. Virginia Sanders-Hinds, Principal Manager, Judicial Council Information Technology

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**IV. ADJOURNMENT OF OPEN MEETING SESSION**

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**Adjournment to Nonpublic Session**

**ADDITIONAL AGENDA ITEMS FOR NONPUBLIC SESSION  
TOPICS NOT SUBJECT TO RULE OF COURT 10.75**

**The chair has exercised discretion to publicly agendaize the items for this nonpublic session: i.e., topics not covered by Rule of Court 10.75.**

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**V. INFORMATION ONLY ITEMS (NO ACTION REQUIRED) (INFO 1)**

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**Info 1**

**New Issues and Best Practices**

Member exchange of information about new issues and best practices in developing a model template for virtual court appearances and case adjudication.

Facilitator: Hon. Daniel J. Buckley, Vice-chair, Judicial Council Technology Committee


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**VI. ADJOURNMENT**

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**Adjournment of Meeting**

# Judicial Council Technology Committee Open Meeting



December 15, 2016

# Call to Order and Roll Call

- Welcome
- Open Meeting Script
- Approve minutes

*Hon. Marsha G. Slough, Chair, Judicial Council Technology  
Committee*



JUDICIAL COUNCIL  
OF CALIFORNIA

# Chair Report

*Hon. Marsha G. Slough*



JUDICIAL COUNCIL  
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# Update: Information Technology Advisory Committee (ITAC)

*Hon. Sheila F. Hanson, Chair, Information Technology  
Advisory Committee*



JUDICIAL COUNCIL  
OF CALIFORNIA

# Action: Approval to Circulate for Comment *Tactical Plan for Technology 2017-2018*

*Mr. Robert Oyung, Chief Information Officer/Director, Judicial  
Council Information Technology*



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# Update: Sustain Justice Edition Case Management System

*Mr. Richard D. Feldstein, JCTC member*



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# Update: Placer Court Hosting Center

*Mr. Jake Chatters, Court Executive Officer, Placer Superior  
Court*



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# Update: V3 Case Management System

*Ms. Virginia Sanders-Hinds, Principal Manager, Judicial Council  
Information Technology*



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# Adjourn Open Session

*All*



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# JUDICIAL COUNCIL OF CALIFORNIA

TECHNOLOGY COMMITTEE

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## JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

### MINUTES OF OPEN MEETING

November 14, 2016

12:00 - 1:00 PM

Teleconference

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**Advisory Body Members Present:** Hon. Marsha G. Slough, Chair; Hon. Daniel J. Buckley, Vice-Chair; Hon. Kyle S. Brodie; David E. Gunn; Hon. Gary Nadler; Mr. Jake Chatters; Mr. Rick Feldstein; and Ms. Audra Ibarra

**Advisory Body Members Absent:** Hon. Ming W. Chin; and Ms. Debra Elaine Pole

**Liaison Members Present:** Hon. Sheila F. Hanson

**Others Present:** Hon. Louis Mauro; Mr. Robert Oyung; Mr. Zlatko Theodorovic; Ms. Virginia Sanders-Hinds; Ms. Jessica Goldstein; Ms. Lucy Fogarty; Ms. Kathy Fink; and Ms. Jamel Jones

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#### OPEN MEETING

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##### Call to Order and Roll Call

The chair called the meeting to order, took roll call, and advised no public comments were received.

##### Approval of Minutes

The advisory body reviewed and approved the minutes of the October 31, 2016 meeting.

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#### DISCUSSION AND ACTION ITEMS

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##### Item 1

###### Chair Report

**Update:** Hon. Marsh G. Slough, Chair of the Judicial Council Technology Committee (JCTC), welcomed and thanked everyone for attending. Justice Slough reviewed the agenda for the meeting, as well as provided updates on recent meetings in which she and other members represented the JCTC or reported on the JCTC activities.

##### Item 2

###### Update/Report on Information Technology Advisory Committee (ITAC)

**Update:** Hon. Sheila F. Hanson, Chair of ITAC, and Hon. Louis Mauro, Vice-Chair of ITAC, provided an update and report on the activities of the advisory committee, its subcommittees, and its workstreams.

**Action:** The committee discussed the activities of ITAC and received the report.

### Item 3

#### Update on California Tyler User Group

**Update:** Mr. Robert Oyung, Chief Information Officer/Director, Judicial Council Information Technology, reported on the collaborative efforts of the California Tyler User Group (CATUG). Twenty-six courts are participating in this case management system user group.

**Action:** The committee received the report.

### Item 4

#### Update on Sustain Justice Edition Case Management System

**Update:** Mr. Richard D. Feldstein provided an update and report on the work related to the Sustain Justice Edition case management system replacement including the budget change proposal and next steps.

**Action:** The committee received the report.

### Item 5

#### Update on the Placer Court Hosting Center

**Update:** Mr. Jake Chatters provided an update and report on the work related to the Placer Court Hosting Center (PCHC) project, a consortium project supported by branch-level funding. Once complete, the PCHC will host six courts that previously received hosting services from the Judicial Council via the California Court Technology Center (CCTC).

**Action:** The committee received the report.

### Item 6

#### Update on V3 Case Management System

**Update:** Ms. Kathy Fink, a Manager in Judicial Council Information Technology, provided an update and report on the work related to V3 since receiving the funding for civil case management system replacement.

**Action:** The committee received the report.

### Item 7

#### Update on Draft Tactical Plan for Technology 2017-2018

**Update:** Ms. Kathy Fink reported on the process and progress for updating the Tactical Plan for Technology. This included the work to date, as well as the requested feedback on the draft Tactical Plan for 2017 - 2018, which is a part of the Judicial Council approved *Court Technology Governance and Strategic Plan*.

**Action:** The committee discussed the activities being done on the Tactical Plan and received the report.

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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.

**Annual Agenda Project 1. CMS Data Exchanges**

<b>Summary</b>	Develop Standardized Approaches to Case Management System (CMS) Interfaces and Data Exchanges with Critical State Justice Partners	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	David Yamasaki, Judge Robert Freedman (Governance)	<b>Project Manager</b> Alan Crouse
<b>JCC Resources</b>	JCIT (Nicole Rosa, Jackie Woods)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Governance Committee and Repository planning active.	
<b>Expected Outcomes</b>	1. Documented data exchange elements and format standards 2. Documented governance and modification processes	
<b>Expected Completion</b>	July 2016 -- <i>Extended to October 2016, per ITAC chair approval 6/28/2016; extended to December 2016, per ITAC chair approval 10/14/2016</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Identify a single data exchange standard between each justice partner and the judicial branch to use as a development target for case management system vendors.	Completed	Primary requirements and needs were identified, with further confirmation and expansion occurring during justice partner and CMS vendor sessions.
(b) Provide a lead court to act as a point of contact for all case management system vendors and justice partners for each justice partner exchange; and document the current implementation status of each exchange by each vendor.	Completed	Designated court CIOs facilitated sessions between justice partners and CMS vendors to refine information, processes, and identify issues for resolution.
(c) Identify the technical standards to be used for the implementation of all data exchanges between the judicial branch and justice partners.	Completed	Implementation of CMS applications was included within the recent Vendor-Partner meetings and will continue as needed.
(d) Establish a formal governance process for exchange updates and modifications.	In Progress	<p>Workstream members submitted a Workstream Final Report and Governance Plan (which outlines how to manage the use, ongoing support, addition, and modification of data exchanges) for presentation and approval at the December ITAC and January JCTC meetings. These deliverables will conclude the scope of work for the current workstream.</p> <p>Additionally, the workstream leads have submitted a request to ITAC – as part of its 2017 annual agenda – to create an entity that will support the ongoing maintenance of the exchanges.</p>



<p>(e) Maintain a repository of required materials that support development of standardized exchanges.</p>	<p>In Progress</p>	<p>Repository created and readied for documentation. Meetings held with CIOs and justice partners to identify exchange update and modification goals. Updates and modifications by justice partners will be ongoing and stored in the repository on a provisional basis. Additional meetings to be held to further identify goals, as needed.</p>
<p>(f) Promote the technical standards as the default standards for local data exchanges.</p>	<p>Not Started</p>	<p>Expected as part of the 2017 governance implementation and maintenance activities.</p>

**Annual Agenda Project 2. E-Filing Strategy**

<b>Summary</b>	Update E-Filing Standards; Develop Provider Certification and a Deployment Strategy		
<b>ITAC Resource</b>	Workstream		
<b>Sponsor(s) or Chair(s)</b>	Hon. Sheila F. Hanson, Rob Oyung	<b>Project Manager</b> Snorri Ogata	
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell); Information Technology (Edmund Herbert); Branch Accounting and Procurement		
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).		
<b>Project Active</b>	<input checked="" type="checkbox"/> Conducting bi-weekly meetings.		
<b>Expected Outcomes</b>	1. Updated Technical Standards 2. Certification Program		
<b>Expected Completion</b>	July 2016 -- Extended to December 2016, per ITAC chair approval 6/28/2016 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>		

MAJOR TASKS	STATUS	DESCRIPTION
(a) Update the technical standards for court e-filing, namely, the XML specification and related schema.	In Progress	At its June 2017 meeting the Judicial Council approved the Workstream's recommendation of the <a href="#">NIEM/Oasis ECF specification</a> as the technical information exchange standards for the purposes of e-filing in all state trial courts. Additionally, the council directed ITAC/the workstream to develop a plan for implementation and to report back to the council at a future date.
(b) Develop the E-Filing Service Provider (EFSP) selection/certification process.	In Progress	MTG consulting was hired to assist in developing the certification process for EFSPs seeking to access the California e-filing business. The group will explore the possibility of using the IJIS Institute's Springboard Certification process.
(c) Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives.	In Progress	At its June 2017 meeting the Judicial Council approved the Workstream's roadmap recommendations. Recommendations include: statewide policies, high-level functional requirements, and direction for ITAC to undertake and manage a procurement process to select multiple EFMs.
Note: A future phase RFP may be necessary, dependent upon the outcomes of this workstream.	In Progress	The workstream continues to meet and define requirements for an RFP or other procurement process. MTG consulting are also

		<p>attending these meetings. The clerk review sub-group completed its review and updates of the requirements pertaining to the clerk review process. The workstream continue to review and discuss the technical requirements for the project and are currently focusing on Identity Management in a multiple EFM environment.</p> <p>Additionally, a BCP is being developed to request funds for supporting ancillary aspects of a statewide e-filing program, for example, resources for policy and vendor management, infrastructure to leverage the state's favorable payment processor, and identity management support and licensing.</p>
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**Annual Agenda Project 3. Next Generation Hosting Strategy**

<b>Summary</b>	Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Jackson Lucky, Brian Cotta	<b>Project Manager</b> Heather Pettit
<b>JCC Resources</b>	JCIT (Donna Keating and others as specific technical topics are discussed)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting ad-hoc. Next meeting scheduled for November 30, December 1.	
<b>Expected Outcomes</b>	<ol style="list-style-type: none"> <li>1. Assessment Findings: Best practices, Solution Options</li> <li>2. Educational Document for Courts</li> <li>3. Host 1-Day Summit on Hosting</li> <li>4. Recommendations For Branch-level Hosting</li> </ol>	
<b>Expected Completion</b>	December 2016 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Define workstream project schedule and detailed tasks; gain approval of workstream membership.	In Progress	Membership approved. A high-level project schedule/plan has been developed; and is being progressively detailed as topics are completed.
(b) Outline industry best practices for hosting (including solution matrix with pros, cons, example applications, and costs).	In Progress	<p>Workstream members will meet in-person November 30-December 1, 2016 for finalizing initial toolset, court inventory, and services' levels; and also meeting with Oracle on cloud solutions. December 1 will be used to finalize hosting solutions for the court inventory and discussing VMWare MSA options.</p> <p><b><u>Identity Management</u></b>                      Also part of the workstream's initiative is to work with other workstreams on Identity Management solutions. The workstream leaders met on October 20, 2016 and determined a plan of action for developing a branch-wide identity management solution. The JC will be working with the workstreams on defining the requirements and a procurement vehicle.</p>

(c) Produce a roadmap tool for use by courts in evaluating options.	In Progress	Draft initial toolset is scheduled to be completed by the end of December 2016 for workstream review.
(d) Consider educational summit on hosting options, and hold summit if appropriate.	In Progress	The workstream held educational sessions on cloud hosting in July 2016. It will hear an additional presentation at its December meeting.
(e) Identify requirements for centralized hosting.	In Progress	Requirements for hosting court inventory solutions are currently being discussed by the workstream technical group.

**Annual Agenda Project 4. Video Remote Interpreting (VRI) Pilot**

<b>Summary</b>	Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Terence L. Bruiniers	<b>Project Manager</b> Olivia Lawrence
<b>JCC Resources</b>	Court Operations Services (Olivia Lawrence, VRI Project Manager; Anne Marx, SME) JCIT (Fati Farmanfarmaian, IT Project Manager; Jenny Phu, SME; Nate Moore, SME)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/30/2016) and JCTC Chair (9/8/2016); forwarded to E&P staff.	
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes, from the perspective of the LAPITF activity.	
<b>Expected Outcomes</b>	1. Implementation of VRI Pilot Program	
<b>Expected Completion</b>	March 2017 (Phase I) – <i>Requesting extension into 2017 annual agenda, through August 2017, which will be reflected as part of the 2017 annual agenda.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) In cooperation with the Language Access Plan (LAP) Implementation Task Force Technological Solutions Subcommittee (TSS), assist with identifying participants for a video remote interpreting (VRI) pilot <b>program project, and initiation of a VRI pilot</b> . Steps include identification of <b>a court participants, and issuance of an RFP for a no-cost vendor partner(s), and implementation of a six month pilot program</b> per the programmatic outline developed in 2015.	In Progress	<p>Pilot project proposal was presented and approved at June 24 Judicial Council meeting. Three pilot courts (Sacramento, Ventura, and Merced) have been identified.</p> <p>The no-cost RFP to select participant vendors has been issued; and demonstrations conducted by four responding vendors on Sept 21-22. Three vendors selected [Stratus Video, Parras &amp; Assoc., Connected Justice (Cisco consortium)].</p> <p>The deployment and evaluation period (also referred to as the Assessment period) is tentatively scheduled to commence in April 2017, with a six month duration. A contract for independent evaluation of the VRI Pilot Project has been negotiated with San Diego State University. The initial workstream membership has been approved, and governance of the pilot (between LAPITF and ITAC’s VRI Workstream) is being coordinated.</p>
(b) Implement Phase I of the VRI pilot <b>program project</b> , in cooperation with the TSS.	In Progress	<p>First Quarter 2017</p> <ul style="list-style-type: none"> <li>• Prepare and Kickoff VRI Assessment Program</li> <li>• Pilot court preparations and site visits</li> <li>• Development of training and evaluation tools</li> </ul>

		<p>Second/Third Quarters 2017</p> <ul style="list-style-type: none"><li>• Court deployment and pilot implementation</li></ul> <p>Fourth Quarter 2017</p> <ul style="list-style-type: none"><li>• Compile evaluation data and prepare report (San Diego State)</li><li>• Review findings and prepare recommendations [programmatic and technical standards] (Workstream)</li></ul> <p><b>Note: Information slides provided as part of this status update and are contained in the appendix of the ITAC meeting materials.</b></p>
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\* Red text indicates non-substantive edits to annual agenda description, per project definitions derived post-annual agenda approval.

**Annual Agenda Project 5. SRL E-Services**

<b>Summary</b>	Develop Requirements and a Request for Proposal (RFP) for Establishing Online Branchwide Self-Represented Litigants (SRL) E-Services	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Robert Freedman, Hon. James Mize	<b>Project Manager</b> Brett Howard
<b>JCC Resources</b>	JCIT (Mark Gelade) and CFCC (Karen Cannata, Diana Glick)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/5/2016) and JCTC (4/14/2016); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Held 8 meetings; next meeting scheduled for December 21, 2016.	
<b>Expected Outcomes</b>	1. SRL Portal Requirements Document 2. Request for Proposal (RFP)	
<b>Expected Completion</b>	December 2016 (12 months) <i>Initiative identified at October ITAC meeting as likely to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) 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 services.	In Progress	<p>Four workgroups have been established to further investigate and divide the workload.</p> <ol style="list-style-type: none"> <li>1. <i>Existing Solutions Workgroup</i></li> <li>2. <i>Technology Workgroup</i>.</li> <li>3. <i>Requirements Definition Workgroup</i></li> <li>4. <i>Document Access Workgroup</i></li> </ol> <ul style="list-style-type: none"> <li>• A full Workstream meeting was held on October 19, 2016. The team reviewed a live demo of the Orange County’s Self-Help Portal.</li> <li>• A full Workstream meeting was held on Nov. 10. The team participated in product demo from TurboCourt.</li> <li>• A full Workstream meeting was held on Nov. 16. The team heard a presentation on SRL services from Bonnie Hough, Managing Attorney in CFCC.</li> <li>• The Document Access Workgroup met on Oct. 3, 2016. Topics discussed included how best to manage statewide information together with local/court-specific forms and</li> </ul>



		<p>processes. Compliance with ADA standards for the visually or hearing impaired was noted as a requirement.</p> <ul style="list-style-type: none"> <li>• The Technology Workgroup met on October 12, 2016. Topics discussed included planned interfaces with E-filing and E-delivery and eventual integration of an Identity Management system, in coordination with other statewide Workstreams.</li> <li>• A draft Project Charter is in review by all team members.</li> <li>• An in-person meeting is tentatively scheduled for early 2017 to be held in Sacramento.</li> </ul>
<p>(b) Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources. In scope for 2016 is development of an RFP; out of scope is the actual implementation.</p>	<p>In Progress</p>	<p>See above.</p>

**Annual Agenda Project 6. Disaster Recovery (DR) Framework and Pilot**

<b>Summary</b>	Document, Test, and Adopt a Court Disaster Recovery Framework	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Alan Perkins, Brian Cotta	<b>Project Manager</b> Brian Cotta
<b>JCC Resources</b>	JCIT (Michael Derr)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/21/2016) and JCTC Chair (4/27/2016); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Conducting bi-weekly meetings; but will not meet in December and will resume in the new year.	
<b>Expected Outcomes</b>	1. Disaster Recovery Framework Document and Checklist 2. Findings from Pilot	
<b>Expected Completion</b>	December 2016 (extended to March 2017, per ITAC chair approval 6/28/2016)	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop model disaster recovery guidelines, standard recovery times, and priorities for each of the major technology components of the branch.	In Progress – near completion	Members are continuing efforts to gather information on DR definitions, expectations and requirements. The focus has also expanded to include the documentation of applications and services that would require recovery in a DR situation, as well as the underlying technology infrastructure required to facilitate a recovery. A survey to court executives to assess the backup infrastructure and posture currently in place at courts has been completed with a 85+ response rate including from the appellate courts, trial courts, and JCC. The survey will help substantiate various areas within the DR framework and provide a better gauge of levels of preparedness throughout the branch.
(b) 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.	In Progress	Work on the document has begun. Substantial progress has been made and should be completed on schedule. The document will be a DR plan skeleton, enabling courts to enter pertinent information as it relates to their court and ultimately having a structured and documented DR plan.
(c) Create a plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.	In Progress	As part of the DR framework document, recommended, proven and reference technology components are being identified that courts can purchase or pursue for DR purposes.
(d) Pilot the framework by having one or more courts use it.	Withdrawn	The workstream unanimously agreed to remove this deliverable from the current workstream’s scope. Instead, the team recommends

		<p>that the piloting of the framework be on a volunteer and self-funded basis by any interested courts after the workstream has concluded. The results of such would be independently monitored by the volunteer court(s). Thus, the final deliverable of the workstream in its current form would be to create the framework, inclusive of DR guidelines, recommendations and standards. Additionally, a DR plan skeleton document will be included as a deliverable as noted above in (Major Task “B”). The workstream has received inquiries from several courts that would likely be interested in participating in a pilot test if sufficient funding can be obtained.</p>
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**Annual Agenda Project 7. Modernize Rules of Court (Phase II)**

<b>Summary</b>	Modernize Trial and Appellate Court Rules to Support E-Business
<b>ITAC Resource</b>	Rules & Policy Subcommittee, Joint Appellate Technology Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins, Hon. Louis R. Mauro
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, Tara Lundstrom, Doug Miller), JCIT (Fati Farmanfarmaian, Julie Bagoye), CFCC (Diana Glick)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee, Joint Appellate Technology Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting as needed.
<b>Expected Outcomes</b>	1. Rule and/or Legislative Proposal, if appropriate
<b>Expected Completion</b>	December 2018 – <i>and expected to be ongoing</i>

MAJOR TASKS	STATUS	DESCRIPTION
<p>(a) In collaboration with other advisory committees, continue review of rules and statutes in a systematic manner and develop recommendations for more comprehensive changes to align with modern business practices (e.g., eliminating paper dependencies).</p> <p>Note: Projects may include rule proposals to amend rules to address formatting of electronic documents, a legislative proposal to provide express statutory authority for permissive e-filing and e-service in criminal cases, and changes to appellate forms to reflect e-filing practices.</p>	In Progress	<p><u>Rules &amp; Policy Subcommittee (trial court proposals):</u> RUPRO considered the rules proposals at their September meeting and submitted them for approval at the Judicial Council October meeting. The Judicial Council approved. PCLC considered the legislative proposals at their October meeting and submitted them for approval at the Judicial Council December meeting. Effective January 1 2017, the rules proposal would amend titles 2, 3, and 5 of the California Rules of Court. Effective January 1, 2018, the legislative proposals would amend the Probate Code, the Welfare and Institutions Code, and the Penal Code to facilitate e-filing and e-service in the probate, juvenile, and criminal courts.</p> <p><u>Joint Appellate Technology Subcommittee:</u> Following the public comment period, JATS presented its final recommendations regarding the Phase 2 Appellate Rules Modernization proposal (affecting appellate rules and forms) to ITAC at the August 1 meeting, which ITAC approved. The JCTC approved the proposal in August, and RUPRO approved in September. The Judicial Council considered and approved the proposal at its October 27-28 meeting, and the changes will go into effect January 1, 2017.</p>

**Annual Agenda Project 8. Standards, Rules and/or Legislation for E-Signatures**

<b>Summary</b>	Develop Legislation, Rules, and Standards for Electronic Signatures on Documents Filed by Parties and Attorneys
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, Tara Lundstrom), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting as needed.
<b>Expected Outcomes</b>	1. Rule and/or Legislative Proposal, if appropriate 2. Recommendation of Standards for Electronic Signatures (Update to the Trial Court Records Manual)
<b>Expected Completion</b>	December 2018 – <i>Corrected to December 2017 (Effective Jan 1, 2018)</i>

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop legislative and rule proposal to amend Code of Civil Procedure section 1010.6(b)(2) and Cal. Rules of Court, rule 2.257, to authorize electronic signatures on documents filed by the parties and attorneys.	In Progress	Public comments have been received and were reviewed by the Rules & Policy Subcommittee (RPS) for a legislative proposal that would authorize <u>electronic signatures</u> on electronically filed documents. At its August 1 meeting, ITAC approved the RPS recommendation that the council amend the Code of Civil Procedure. This proposal was also approved by JCTC and by PCLC for Judicial Council's approval at their December meeting (for effective date of January 1, 2018).
(b) Develop standards governing electronic signatures to be included in the "Trial Court Records Manual."	Not Started	CEAC Records Management Subcommittee have primary responsibility for developing the Trial Court Records Manual update.

**Annual Agenda Project 9. Rules for Remote Access to Court Records by Local Justice Partners**

<b>Summary</b>	Develop Rule Proposal to Facilitate Remote Access to Trial Court Records by Local Justice Partners
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, TBD), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input type="checkbox"/>
<b>Expected Outcomes</b>	1. Rule Proposal
<b>Expected Completion</b>	December 2016 – <i>Extended to December 2017 (Effective Jan 1, 2018)</i>

MAJOR TASKS	STATUS	DESCRIPTION
(a) Amend trial court rules to facilitate remote access to trial court records by local justice partners.	Not Started	

**Annual Agenda Project 10. Rules for E-Filing**

<b>Summary</b>	Evaluate Current E-Filing Laws and Rules, and Recommend Appropriate Changes
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, Tara Lundstrom), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting as needed.
<b>Expected Outcomes</b>	1. Legislative and Rule Proposals
<b>Expected Completion</b>	December 2016 – <i>Extended to December 2017 (Effective Jan 1, 2018)</i>

MAJOR TASKS	STATUS	DESCRIPTION
(a) Evaluate current e-filing laws, rules, and amendments. Projects may include reviewing statutes and rules governing Electronic Filing Service Providers (EFSP) and filing deadlines.	In Progress	The Rules & Policy Subcommittee (RPS) evaluation of the e-filing laws and rules informed its development of the legislative proposal (below).
(b) Develop legislative and rule proposals to amend e-filing laws and rules (Code of Civil Procedure section 1010.6 and California Rules of Court, rule 2.250 et seq.).	In Progress	Public comments have been received and were reviewed by RPS for a legislative proposal that would amend the statutes governing e-filing and e-service in the Code of Civil Procedure. At its August 1 meeting, ITAC approved the RPS recommendation that the council amend the Code of Civil Procedure. This proposal was also approved by JCTC and by PCLC for Judicial Council's approval at their December meeting (for effective date of January 1, 2018) Rules proposal implementing this legislation and the E-Filing Workstream recommendations will be developed by RPS in 2017.
Note: This effort will be informed by the E-Filing Workstream work.		

**Annual Agenda Project 11. Privacy Policy**

<b>Summary</b>	Develop Branch and Model Court Privacy Policies on Electronic Court Records and Access
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, TBD), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input type="checkbox"/>
<b>Expected Outcomes</b>	1. Recommendation of Branch Privacy Policy 2. Recommendation of Model Local Court Privacy Policy
<b>Expected Completion</b>	December 2017

<b>MAJOR TASKS</b>	<b>STATUS</b>	<b>DESCRIPTION</b>
(a) Continue development of a comprehensive statewide privacy policy addressing electronic access to court records and data to align with both state and federal requirements.	On Hold	This initiative is currently on hold due to limited resources and competing priorities.
(b) Continue development of a model (local) court privacy policy, outlining the key contents and provisions to address within a local court's specific policy.	On Hold	



**Annual Agenda Project 12. Standards for Electronic Court Records**

<b>Summary</b>	Develop Standards for Electronic Court Records Maintained as Data
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, TBD), JCIT (Fati Farmanfarmaian, Nicole Rosa)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input type="checkbox"/> Being developed primarily by CEAC. ITAC expects to review in latter part of the year.
<b>Expected Outcomes</b>	1. Recommendation of Standards for Electronic Court Records as Data (Update to the Trial Court Records Manual)
<b>Expected Completion</b>	September 2016 - <i>Expected to carry forward onto 2017 annual agenda; new date to be determined at December ITAC meeting.</i>

MAJOR TASKS	STATUS	DESCRIPTION
(a) In collaboration with the CMS Data Exchange Workstream, develop standards and proposal to allow trial courts to maintain electronic court records as data in their case management systems.	Not Started	Waiting for CEAC to develop and provide to ITAC for review.
(b) Include standards in update to the Trial Court Records Manual.		

**Annual Agenda Project 13. Appellate Rules for E-Filing**

<b>Summary</b>	Amend Rules to Ensure Consistency with E-Filing Practices of Appellate Courts
<b>ITAC Resource</b>	Joint Appellate Technology Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Louis R. Mauro
<b>JCC Resources</b>	Legal Services (Katherine Sher, Heather Anderson), JCIT (Julie Bagoye)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Joint Appellate Technology Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Meeting as needed.
<b>Expected Outcomes</b>	1. Rule Proposal, as appropriate
<b>Expected Completion</b>	December 2016 (Spring 2016 Rules Cycle)

MAJOR TASKS	STATUS	DESCRIPTION
(a) Review appellate rules and amend as needed to ensure consistency between the rules and current e-filing practices and to consider whether statewide uniformity in those practices would be desirable.	In Progress	Following the public comment period on the JATS proposal to revise the appellate e-filing rules in accordance with current e-filing practices, JATS made its final recommendations to ITAC, which the committee approved at its August 1 meeting. The proposal was approved by the JCTC at its August 8 meeting and by RUPRO at its September 7 meeting. The Judicial Council considered and approved the proposal at its October 27-28 meeting, and the changes will go into effect January 1, 2017.

**Annual Agenda Project 14. Consult on Appellate Court Technological Issues**

<b>Summary</b>	Consult, as Requested, On Technological Issues Arising In Or Affecting the Appellate Courts
<b>ITAC Resource</b>	Joint Appellate Technology Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Louis R. Mauro
<b>JCC Resources</b>	Legal Services (Katherine Sher, Heather Anderson), JCIT (Julie Bagoye)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Joint Appellate Technology Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Meeting as needed.
<b>Expected Outcomes</b>	1. Recommendations, as needed
<b>Expected Completion</b>	December 2016 (availability as issues arise)

<b>MAJOR TASKS</b>	<b>STATUS</b>	<b>DESCRIPTION</b>
(a) The Joint Appellate Technology Subcommittee (JATS) will provide input on request on technology related proposals considered by other advisory bodies as to how those proposals may affect, or involve, the appellate courts. JATS will consult on appellate court technology aspects of issues, as requested.	As Needed	No JATS input has been sought by other advisory bodies in 2016.

**Annual Agenda Project 15. Tactical Plan for Technology**

<b>Summary</b>	Update Tactical Plan for Technology for Effective Date 2017-2018		
<b>ITAC Resource</b>	Workstream		
<b>Sponsor(s) or Chair(s)</b>	Hon. Terence L. Bruiniers	<b>Project Manager</b> Kathleen Fink	
<b>JCC Resources</b>	JCIT (Kathleen Fink, Tony Rochon, Jamel Jones)		
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (5/3/2016) and JCTC (6/3/2016); forwarded to E&P (staff).		
<b>Project Active</b>	<input checked="" type="checkbox"/> Meeting as needed.		
<b>Expected Outcomes</b>	1. Tactical Plan for Technology 2017-2018		
<b>Expected Completion</b>	December 2016 (extended through April 2017, per ITAC chair approval 9/1/2016)		

MAJOR TASKS	STATUS	DESCRIPTION
(a) Review and update the Tactical Plan for Technology.	Completed	<p>Team held orientation meeting in May; and, finalized a Tactical Plan progress report to date in July.</p> <p>The workstream met several times and used SWOT analysis (strengths, weaknesses, opportunities, and threats) to define judicial branch business drivers. The workstream discussed this analysis with CITMF for input in July; and with CEAC and TCPJAC in August. Input from these meetings was used in drafting a proposed Tactical Plan for 2017-18.</p> <p>Current Tactical Plan initiatives were also reviewed by the associated workstreams and subcommittees for input on updates.</p> <p>The draft Tactical Plan for 2017-2018 defers several initiatives from 2014-2016 that were not started, and two new initiatives were added. The draft Plan was circulated to judicial branch stakeholders for comment from Oct 17 - Nov 4. The workstream met to discuss the comments and make appropriate changes to the draft Plan. A Stakeholder comments table documents the comments and the responses of the workstream.</p> <p>The draft Tactical Plan for 2017-2018 has been submitted for formal copy-editing.</p>

(b) Circulate for branch and public comment.	In Progress	ITAC will consider at its Dec 2 meeting approval to post the Tactical Plan 2017-2018 for public comment. Pending ITAC's approval, the JCTC will consider at its Dec 15 meeting approval to post the Tactical Plan 2017-2018 for public comment. If approved, will circulate for public comment for a minimum of 30 days.
(c) Finalize and submit for approval.	Not Started	
Note: Futures Commission outcomes will provide inputs into Strategic and Tactical Plan.		

CALIFORNIA JUDICIAL BRANCH

# Tactical Plan for Technology

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2017–2018

Information Technology Advisory Committee, Tactical Plan Update Workstream

January 1, 2017

Deleted: Technology Planning Task Force

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## Information Technology Advisory Committee, 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](#)

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

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

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

### COMMITTEE STAFF

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

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

**Deleted:** of the Superior  
Court of California, County of Santa Clara

## INTRODUCTION

The **Tactical Plan for Technology (2017–2018)** is the first revision of the initial judicial branch Tactical Plan for Technology (2014–2016), 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 ([Appendix A](#)) using an analysis of Value Disciplines Model<sup>1</sup> and SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats)<sup>2</sup>. SWOT is a structured planning method that evaluates those four elements of a project or organization. The preliminary results were presented to the Court Executive Advisory Committee, the Presiding Judges Advisory Committee, and the Court Information Technology Management Forum for feedback.

The consensus on the primary service value focus is Operational Excellence, delivering to court users more effective, efficient court processes at a lower cost. 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 current initiatives for the Tactical Plan for Technology (2014–2016) were updated. A brief description of the initiatives is in the [Technology Initiatives Summary \(2017–2018\)](#). The progress summary 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 Tactical Plan for Technology (2017–2018):

- Digital Evidence: Acceptance, Storage, and Retention, and
- ~~Expand the branch IT community through increased sharing of resources, training, and collaboration.~~

The complete list of updated initiatives for the Tactical Plan for Technology (2017-2018) is in [Technology Initiatives Summary \(2017–2018\)](#).

<sup>1</sup> Michael Treacy “The Discipline of Market Leaders” 1995

<sup>2</sup> ©2010 Institute for Court Management

**Deleted:** Develop an IT community and collaboration to address training and sharing of resources.

## Technology Planning Documents

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

<b>Document</b>	<b>Description</b>
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:

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary	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.
Technology Governance and Funding Model	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 Strategic Plan for Technology (2014–2018)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
<b>Superseded:</b> Two-year Tactical Plan for Technology (2014–2016)	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 people while the largest has 585 judicial officers serving a population of almost 10 million people. Courts have varying 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.

Deleted: invest in technology

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 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 Decision-Making.** 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

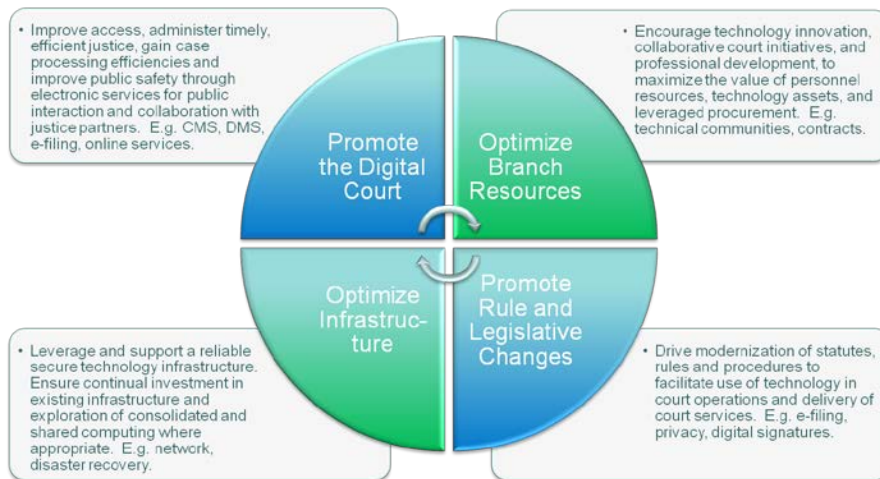
A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

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 (2014-2016).

The branch Tactical Plan for Technology (2017-2018) 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 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 Tactical Plan (2014–2016). 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 upon completion of the core components.

A comprehensive business analysis will be performed for each initiative to ensure that return on investment can be maximized. A collaborative and inclusive process will be used to form project teams with members from the trial courts, appellate courts, and Judicial Council staff.

The initiatives will be governed under the new 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 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
	<del>Statewide E-filing Program Development</del>	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 current scope, Phase 1. New initiative: Develop governance and maintain data exchanges
	Standard CMS Interfaces and Data Exchanges Phase II: Governance & Maintenance	1.2.1., 1.2.4.	Phase 2 to cover tasks not in the scope of the original initiative.
Digital Evidence: Acceptance, Storage, and Retention	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 the branch IT community through increased sharing of resources, training, and collaboration	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

**Deleted:** E-filing service provider (EFSP) selection/certification

	Court disaster recovery framework and pilot	3.1., 3.5,	Continuing, revised
Promote Rule and Legislative Changes	Identify new policy, rule, and legislation 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 upon 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 deployment 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 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 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 planning	Q4 2016
Sustain 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, HR, procurement, et al.).

### **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.
  - For courts that have not yet implemented a DMS, develop educational sessions on transitioning from paper to electronic case files.
- 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 budget change proposal.
- 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 budget change proposal (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 and will create court cost savings and efficiencies by:

- Expanding use of remote video appearances and hearings in appropriate case types and matters; and
- Expanding remote availability of certified and registered court interpreter services.
- [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.

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 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*

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 infraction violations and approved 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 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.

The experience 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 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)*

In 2011, the Superior Courts of Riverside, Shasta, Sonoma, and Stanislaus Counties began a VRI pilot program for hearing-impaired court users, providing certified American Sign Language (ASL) court interpreters by courtroom video connection. 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 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 her vision for improving access to justice for Californians through an effort called “Access 3D” that involves physical, remote, and equal access to the justice system. 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*. The LAP 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 Judicial Council Language Access Plan Implementation Task Force (LAPITF), Technological Solutions Subcommittee (TSS).
- 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 budget change proposal (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 (CCPOR) 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, Orange County Superior Court and Sacramento County Superior Court will deploy CCPOR.

The 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 DOJ’s CARPOS (California Restraining and Protective Order System) quickly and accurately; and
- A data exchange (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 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 document management system (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 budget change proposal (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 (CMS) 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 DSP917 data exchange module for loading of historical and active RPOs. Both Orange County and Sacramento County Superior Courts would like 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 filing hours in many courts have placed significant additional burdens on both court personnel and on the 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.

Deleted: pro se litigants

A central access point for SRLs (and for community organizations that assist them) can 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.

Deleted: self-represented parties

The cost of developing and implementing such a system could be largely borne by a modest service fee paid by non-indigent SRLs, at far less cost than now incurred when an SRL must take time from work and travel to what may be a distant courthouse to submit documents.

Deleted: pro se litigants

Deleted: self-represented party

### 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;
- 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 program could be used to complement and supplement local court resources.

- Integration with other related Workstreams, including E-Filing, Forms Modernization, 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, development and deployment costs, based on a phased roll-out.

#### 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. An 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.

Deleted: pro se

### Sample Timeline

Milestone	Time Frame
Initiative launch	Q2 2015
Business Charter with High-Level Business Requirements	Q4 2016
Functional Requirements w/ Statewide Deployment Plan (Phased or Big Bang)	Q1 2017
Funding Requirements & BCP or RFP	Q2 2017
Functional Prototype and pilot	Q3 2017
Design & Build	Q4 2017
Launch Phase 1	Q1 2018
Launch Other Phases	Q3 2018

## ***Statewide E-filing Program Development***

Deleted: *E-filing Service Provider (EFSP) Selection/Certification*

### **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 not required to use an e-filing service provider (EFSP), many courts 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 (2nd Generation E-Filing Standard) and the recently approved ECF/NIEM (Electronic Court Filing/National Information Exchange Model) standard. All case management system (CMS) 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.

Deleted: standard

On-boarding (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 an approach to select a 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 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, Thomson, Justice Systems and Journal Technologies).

Each EFSP will need to have contractual relationships with filers, the EFM vendors, individual trial courts and the 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 a possible statewide identity management solution.
- Develop an EFSP certification framework

### **Dependencies**

- Certification process must adhere to 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**

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

**Potential Funding Sources**

- Recovered through user fees paid by filers.
- Budget change proposal (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/Selection process in early 2017.

### **Major Tasks**

- Complete E-Filing Manager RFP/selection process.
- Develop an operating model for Court, EFM and EFSP participation
- Determine level of support for trial courts utilizing a CMS outside of the core four (Tyler, Thomson, Justice Systems, 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 CMSs or courts opting for standalone e-Deliver solution.

### Sample Timeline

Milestone	Time Frame
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 FY2016-2017 innovation grants.
- Examples might include:
  - 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.
  - Electronic search warrants system with the versatility to be hosted centrally or deployed independently at various courts.
  - 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**

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. Funds are to be used for the establishment, operation, administration, and staffing of the Court Innovations Grant Program for trial and appellate court programs and practices that promote innovation, modernization, and efficiency. The funds are designated for a competitive grant program developed and administered by the Judicial Council. The competitive grant program will focus on high priority innovations, modernizations, and efficiencies in the courts; \$12,000,000 to be spent on collaborative courts, \$8,000,000 on Self-help, Family and Juvenile courts, and \$5,000,000 on other efficiencies across all types of courts.

### **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, superior courts.

**Sample Timeline**

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

## **Standard CMS Interfaces and Data Exchanges Phase II: Governance & Maintenance**

### **Description**

This initiative has investigated the development of a set of commonly used CMS interfaces and data exchanges that would be based on standards, and be reusable by courts, vendors, and CMS exchange partners. Selected common, frequently used data exchanges and interfaces have been defined collaboratively by the courts, Judicial Council staff, vendors, and other exchange partners.<sup>3</sup> Many of these approaches have been tested through actual court implementation. A web portal was established and ~~is being developed to serve~~ as a searchable repository for the exchanges' interfaces and their associated documentation, and as a knowledge center for both creators and consumers of the data exchanges and interfaces. The portal also accommodates the certification and posting of court- or vendor-created extensions or modifications to the initial library of common data exchanges and standard interfaces. Finally, a governance plan defining the policies, guidelines, communication methods, and maintenance procedures for managing this new system of exchanges is expected by December 2016.

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Thereafter, a new tactical initiative is required to govern and promote the ongoing management of the repository and develop standardized approaches for updating the data exchange solutions with justice partners. The initiative scope includes maintaining ~~the technical standards for data exchange, transport, and security~~, as well as the implementation of the approved governance strategy, relationship management, and approval/deployment processes.

Deleted: the data, transport, and security of the technical standards

### **Major Tasks**

- Complete and implement the governance model for managing the use, ongoing support, addition, or modification of data exchanges;
- Promote the single data exchange standard established between each justice partner and the judicial branch to use as a development target for case management system vendors and default for local data exchanges;
- Provide the continued support of a lead court as a point of contact for all case management system vendors and justice partners for each justice partner exchange;
- Continue to collect the required documentation to support exchange development, and track the current implementation status of each exchange by each vendor;
- Establish a formal process and brokerage for acceptance of standard exchanges updates and modifications;
- Finalize the “goal state” for the long-term data exchange standards;

<sup>3</sup> Initial data exchanges, data classification activities, and interfaces focus on the most used common exchanges such as exchanges between trial courts and the Department of Child Support Services, the Department of Motor Vehicles, the Department of Justice, the California Highway Patrol, and the Department of Corrections and Rehabilitation. The next set of exchanges may include: the Department of Social Services and common local justice partners. It is expected that any required common exchanges could leverage work from existing court-implemented exchanges or from previous branchwide data exchange efforts.

- Maintain the repository of required materials that support the development of standardized exchanges.

#### **Dependencies**

- Aligns with CMS strategy.
- Ongoing available documentation from justice partners on data exchange requirements.
- Ongoing participation by justice partners to develop and maintain their portion of the exchange.
- Ability to establish a standing entity (and appropriate staffing) to govern and maintain the system of exchanges.

#### **Funding Requirements**

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

- N/A due to repository being established in 2016 via an existing branch-wide application already in production.

##### **Ongoing**

- Annual maintenance and licensing cost.
- Staff support to governance entity.

#### **Potential Funding Sources**

- Budget change proposal (BCP) funding or grant funding.

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

- All courts—Supreme Court, Courts of Appeal, and Superior Courts.

#### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Maintenance Phase of Initiative launch	Q1 2017
Establish new governance entity	Q1 2017
Implement formal process for modifications and updates to the standardized exchanges per the governance plan	Q2 2017
Continue and maintain repository of exchange documentation and authorizations	Ongoing

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

### **Description**

Develop statutes, rules, business practice, 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 suggest 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, lawyers, and the public.

Statutes and rules need to be reviewed and amended where necessary to: a) authorize courts to accept a broad range of digital evidence, and b) authorize courts to 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 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 regarding 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, 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;

- Revise Trial Court Records Management (TCRM) manual to reflect revisions or statutes, rules, and recommended policies and business practices.

**Dependencies**

- The 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;
- Possibly monies 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 on-going basis.

**Potential Funding Sources****One-Time**

- Grant from SJI or another federal agency interested in developing standards for digital evidence, in particular, law enforcement body worn cameras;
- BCP funding could also be sought, as this is a statewide solution.

**Ongoing**

- Existing court funding for staff participating in work stream;
- Funding for records retention associated with digital evidence. There could be savings - storing exhibits electronically should be cheaper than the cost of space 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**

<b>Milestone</b>	<b>Time Frame</b>
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 TCRM manual revisions to take effect January 1, 2018.	Q3-4 2018

## Technology Initiatives to Optimize Branch Resources

### ***Expand the Branch IT Community through Increased Sharing of Resources, Training, and Collaboration***

#### **Description**

This initiative is intended to identify opportunities for sharing technical resources, advancing technology leadership, and expanding collaboration throughout the branch. During the Tactical Plan revision process Judges, CEO's, and CIO's identified that, although there are experienced technological staff branch-wide, 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 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 JCC IT leaders. A strategy would then be developed to determine how best to pursue relevant opportunities (e.g., Statewide membership to the Court IT Officers Consortium (CITOC), Annual IT Summit aligned with the branch-wide tactical plan, continuing education opportunities, industry research, and advisory group memberships, etc.).

Aside from the need for skilled IT resources, the branch has adopted an IT governance model which 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 CEO's and CIOs can also help assess individual court IT capabilities through an IT Peer Consulting Program to include informal audits, visitation programs, etc.

#### **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, centralized resources, augment staff with vendor support, etc.)



- Make recommendations for leveraging branch technical resources

**IT Leadership Development**

- Expand CIO Executive Board membership
- Establish statewide CA Court CITOC membership
- Evaluate statewide Gartner Group membership
- Hold an annual IT Summit aligned with the branch-wide 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., central repository of IT policies, applications, and best practices)
- Increased use of Microsoft Office 365 (O365) messaging and web conference capabilities
- Determine CEO/CIO interest in an IT Peer Consulting Program
- Develop program based on interest
- Determine costs

**Dependencies**

- Branch-wide 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**

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

**Ongoing**

- JCC 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, 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 state-wide.
- Trial and Appellate Courts
- Consortiums (e.g. case management specific, state-wide 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 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; 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 branch wide 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 budget change proposal (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 upon the strategy of central hosting of court case management systems and other shared applications. The branch-wide 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, branch recommended services 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, hosting implementation toolset, 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 MSA's 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, the Supreme Court, the appellate courts, the trial courts, and the Judicial Council have various levels of preparedness for disaster recovery of their technology resources.

This initiative would result in a framework and recommended solution(s) 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 identify which components, if any, would apply branch-wide.
- 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 etc.
- 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 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.
- A disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.
- A plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.

### **Dependencies**

- This project would be dependent on resources necessary to research and gather requirements and create the deliverable.
- 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 potentially test/pilot the model DR plan. Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

- Assist the courts with adapting the framework into their local needs. The amount of funding will depend on the number of participating courts in the initial pilot.
- Acting on any branch-wide recommendations in respect to transitioning away from any existing antiquated backup/DR 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

Milestone	Time Frame
Initiative launch	Q2 2016
Select disaster recovery (DR) court subject matter expert (SME).	Q2 2016
Identify workstream participants and relevant subject matter experts (SME’s) throughout the judicial branch, ensuring small/big superior and appellate courts and the JCC are represented.	Q2 2016
Develop requirements and recovery standards and overall disaster recovery 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 Legislation 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**

- Judicial Council internal committees;
- Judicial Council advisory committees;
- Judicial Council Legal Services Office;
- Judicial Council Office of Governmental Affairs;
- 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, 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 and Deployment	█	█	█	█	█	█	█	█	█	█	█	█
	DMS Expansion												
	Courthouse Video	█	█	█	█	█	█	█	█				
	CCPOR	█	█	█	█	█	█	█	█	█	█	█	█
	SRL eServices	█	█	█	█	█	█	█	█	█	█	█	█
	EFSP Selection/Certification					█	█						
	e-Filing Deployment	█	█	█	█	█	█	█	█				
	Identify Innovative Services					█	█	█	█	█	█	█	█
	CMS Data Exch - Governance & Maintenance	█	█	█	█	█	█						
	Digital Evidence					█	█	█	█	█	█	█	█
Optimize Resources	IT Community and Collaboration					█	█	█	█	█	█	█	█
Optimize Infrastructure	Extend LAN/WAN Initiative			█	█	█	█	█	█				
	Next Generation Hosting Plan	█	█	█	█	█	█	█	█				
	Information Security Framework												
	Disaster Recovery Framework	█	█	█	█	█	█	█	█				
Legislative Changes	Identify New Rules and 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 the 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 public, increasing access to the courts.

## Appendix A

### ***Judicial Branch Business Drivers***

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

## Appendix B

### Tactical Plan for Technology Progress Report: October 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: 1 project is complete; 1 is near completion; 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.

Near Complete (2016) = Effort is underway and expected to be complete in calendar year 2016.

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> ( <i>Part I: Foundation, Part II: Access, Services, Partnerships</i> )		
(a) <a href="#">Case Management System (CMS) Assessment and Prioritization</a>	Ongoing (2017+)	Consortium
(b) <a href="#">Document Management System (DMS) Expansion</a>	Ongoing (2017+)	
(c) <a href="#">Courthouse Video Connectivity</a>	Ongoing (2017+)	Workstream
(d) <a href="#">California Courts Protective Order Registry (CCPOR)</a>	Ongoing (2017+)	JCIT <sup>5</sup> Managed
(e) <a href="#">Implement a Portal for Self-Represented Litigants</a>	Ongoing (2017+)	Workstream

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

**Legend**

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

Near Complete (2016) = Effort is underway and expected to be complete in calendar year 2016.

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)
(f) <a href="#">Jury Management Technology Enhancements (Trial Courts)</a>	Not Started	
(g) <a href="#">E-Filing Service Provider (EFSP) Selection/Certification</a>	Ongoing (2017+)	Workstream
(h) <a href="#">E-Filing Deployment (roadmap and strategy)</a>	Ongoing (2017+)	Workstream
(i) <a href="#">Identify and Encourage Projects That Provide Innovative Services</a>	Not Started	
(j) <a href="#">Establish an “Open Source” Application-Sharing Community</a>	Not Started	
(k) <a href="#">Develop Standard CMS Interfaces and Data Exchanges</a>	Near Complete (2016)	Workstream
<b>Goal 2: Optimize Branch Resources</b>		
(a) <a href="#">Establish Hardware and Software Master Branch Purchasing/Licensing Agreements</a>	Not Started	
<b>Goal 3: Optimize Infrastructure</b>		
(a) <a href="#">Extend LAN/WAN Initiative to Remaining Courts</a>	Ongoing (2017+)	JCIT Managed
(b) <a href="#">Transition to Next-Generation Branchwide Hosting Model</a>	Ongoing (2017+)	Workstream
(c) <a href="#">Security Policy Framework for Court Information Systems</a>	Complete	Workstream
(d) <a href="#">Court Disaster Recovery Framework and Pilot</a>	Ongoing (2017+)	Workstream
<b>Goal 4: Promote Rule and Legislative Changes</b>		
(a) <a href="#">Identify New Policy, Rule, and Legislation Changes</a>	Ongoing (2017+)	Subcommittee

## Court Tactical Plan for Technology, 2017-2018

All comments are verbatim unless indicated by an asterisk (\*).

	<b>Commentator</b>	<b>Position</b>	<b>Comment</b>	<b>Committee Response</b>
1.	Superior Court of San Bernardino County by Judge Raymond L. Haight	N/I	<p>Under the goal of promoting the digital court, the tactical plan proposes a new initiative for the acceptance, storage, and retention of digital evidence. The Committee should include the perspectives of the individual courts and where they are in process. All courts are experiencing different levels of ability to digest the technological and the evidentiary implications of digital evidence. Because digital evidence is a new frontier, the Committee has time to take a measured approach.</p> <p>First, although digital recordings will inevitably be used with increasing frequency in legal proceedings, at the moment such evidence constitutes a very small part of the exhibits introduced at trial. Put another way, digital evidence constitutes only a small wedge of the evidentiary pie. Courts currently have established rules governing the receipt of digital evidence, and there is no current need to spend Judicial Branch resources to developing a set of uniform standards, technical and otherwise, to revise those rules. Second, in the experience of our court, law enforcement agencies are still developing their own set of standards and work processes to ensure the timely transmission of digital evidence to the parties. Until those standards are more fully developed, it is premature for the Judicial Branch to enact its own uniform standards for the receipt of such evidence.</p> <p>The Judicial Branch will eventually need to meet the challenges posed by digital evidence. That day is not today. We applaud the Tactical Plan's forward-looking approach, but given the other pressing needs faced by the Branch, we</p>	<p>The workstream agrees with the commentator on pursuing a measured approach to handling digital evidence. However, it also believes that the inclusion of a Tactical Plan initiative on this topic does not preclude a thoughtful approach, and thus does not recommend deferring this initiative. Moreover, the workstream believes the launch of a workstream for this initiative will provide a springboard for this rapidly evolving area of court business and assist the branch and courts in collaborating with justice partners to establish an initial baseline for rules, best practices, and standards.</p> <p>A number of courts are already experiencing digital evidence in increasing volume and in various standards and formats, for example, the Superior Courts of Orange and Los Angeles Counties. These courts are already beginning to address digital evidence. Their efforts, as well as those of other courts in the same position can be leveraged to support a workstream. There are also national initiatives underway to address digital evidence.</p> <p>If the judicial branch delays addressing this issue, there will be a proliferation of potentially conflicting standards and business practices across the state. This will impact the cost and efficiency of managing digital evidence for courts and justice partners, and cause risk to the protection of evidence. The intent is for the initiative to be a starting point from which the branch can refine and evolve as more experience is gained in this burgeoning area of court business.</p>



## Court Tactical Plan for Technology, 2017-2018

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	<b>Commentator</b>	<b>Position</b>	<b>Comment</b>	<b>Committee Response</b>
			believe this initiative can and should be deferred.	
2.	Superior Court, San Bernardino County by Judge Raymond L. Haight	N/I	<p>Under the goal of optimizing branch resources, the tactical plan proposes deferring the initiative of establishing master branch purchasing and licensing agreements for hardware and software. Respectfully, we believe it is a mistake to defer that initiative. Master purchasing agreements are exceedingly valuable to individual superior courts, in at least two respects. First, the leverage of a statewide purchasing agreement can be used to obtain contract terms that might be unavailable if each superior court is required to negotiate individually. Second, complying with state-mandated purchasing requirements requires significant administrative resources on superior courts. Those resources could be repurposed into providing increased service to the public if the Judicial Branch were to execute a single master purchasing agreement.</p> <p>We recognize that creating a master purchasing agreement will require the expenditure of limited state Judicial Branch resources. However, if the Judicial Branch does not expend those resources, they will need to be spent many times over – theoretically, 58 times over – by individual superior courts. Master purchasing agreements not only save those courts’ local resources, but will also demonstrate to the legislative and executive branches that we are operating as efficiently as possible.</p>	<p>The workstream appreciates and agrees with the commentator’s view on the value and priority of establishing master service agreements to save local resources and demonstrate our branch’s efficacy to state leaders. However, the workstream recommends deferring a separate and distinct Tactical Plan initiative, to “Establish Hardware and Software Master Branch Purchasing/Licensing Agreements” in favor of pursuing these agreements as needed as integral milestones within prioritized initiatives. Work to establish master agreements is already underway and will continue on an as-needed basis where products or solutions have been identified from which the judicial branch will benefit on a branch-wide basis, for instance as part of the e-filing and video remote initiatives.</p> <p>With the resources currently available, a workstream cannot be supported for undefined master branch purchasing/licensing agreements, but we will continue to provide support for development of these as needed and as requested, to the extent that resources are available.</p> <p>The workstream encourages courts to continue to work collectively on purchasing and licensing agreements and to draft those agreements considering the ability of other courts to leverage them.</p>

## Court Tactical Plan for Technology, 2017-2018

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	<b>Commentator</b>	<b>Position</b>	<b>Comment</b>	<b>Committee Response</b>
3.	Ms. Jeannette Vannoy, Chief Information Officer of the Superior Court, Napa County	N/I	I invite the workstream to consider whether it would be a worthwhile effort to identify other potential areas for video appointments, for example: Self Help Center/Family Law Facilitator and/or Mediation. *	The workstream agrees with this suggestion and has incorporated it into the amendments that it is recommending for adoption.
4.	Mr. Rick Walery, Court Director of Information Technology, Superior Court, San Mateo County	N/I	The new initiative title currently reads: Develop an IT community and collaboration to address training and sharing of resources. I would think something like: Develop an IT community and collaborative culture to address training and sharing of resources. *	The workstream agrees with this suggestion and has incorporated it, with minor alterations, into the Tactical Plan update that it is recommending for adoption.
5.	Mr. Rick Walery, Court Director of Information Technology, Superior Court, San Mateo County	N/I	The initiative title is E-filing Server Provider (EFSP) Selection/Certification. To me, this title is not fully descriptive of the initiative. I was thinking something like: Statewide E-filing Program Development. The word "program" here is not synonymous with a technical application but more like a bundle of initiatives since this initiative seems to be made up from a bunch of smaller initiatives.	The workstream agrees with this suggestion and has incorporated it into the Tactical Plan update that it is recommending for adoption.
6.	Judge Michael S. Groch, Superior Court, San Diego County  Mr. Jim Lin, Network and Operations Analyst, Superior Court, Inyo County  Mr, Wannes Vandenbulcke, Co-Acting IT Manager, Superior Court, Humboldt County  Mr. Rick Walery, Court Director of Information Technology, Superior Court, San Mateo County	N/I	Various commenters provided corrections and word-smithing suggestions.	The workstream agrees with the suggested edits and has incorporated them into the updated Tactical Plan that it is recommending for adoption. Also, the entire update will undergo formal copy-editing prior to publishing for public comment and approval by the Judicial Council.