

CALIFORNIA JUDICIAL BRANCH

# Tactical Plan for Technology

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2014–2016

**Technology Planning Task Force**

**October 2, 2014**

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## INTRODUCTION

This document presents the judicial branch **Tactical Plan for Technology**. It addresses a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. It establishes a roadmap for the adoption of technology solutions that further the administration of justice and meet the needs of the people of California.

Recommendations for the judicial branch Technology Governance and Funding Model along with the associated Strategic Plan for Technology and Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level. The future will be built upon the success of local and branchwide innovation and leadership.

These are the results from the Technology Planning Task Force, which includes judicial officers, court executive officers, chief information officers, and other stakeholders representing the trial and appellate courts and the public.

## Technology Planning Documents

Results from the Technology Planning Task Force 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.
Two-year Tactical Plan for Technology (2014–2016) (this document)	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 18,000 court employees, and nearly 8.5 million cases—serves over 38 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 1,000 people while the largest has 587 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 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 like 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 to address a paper-based court rather than 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

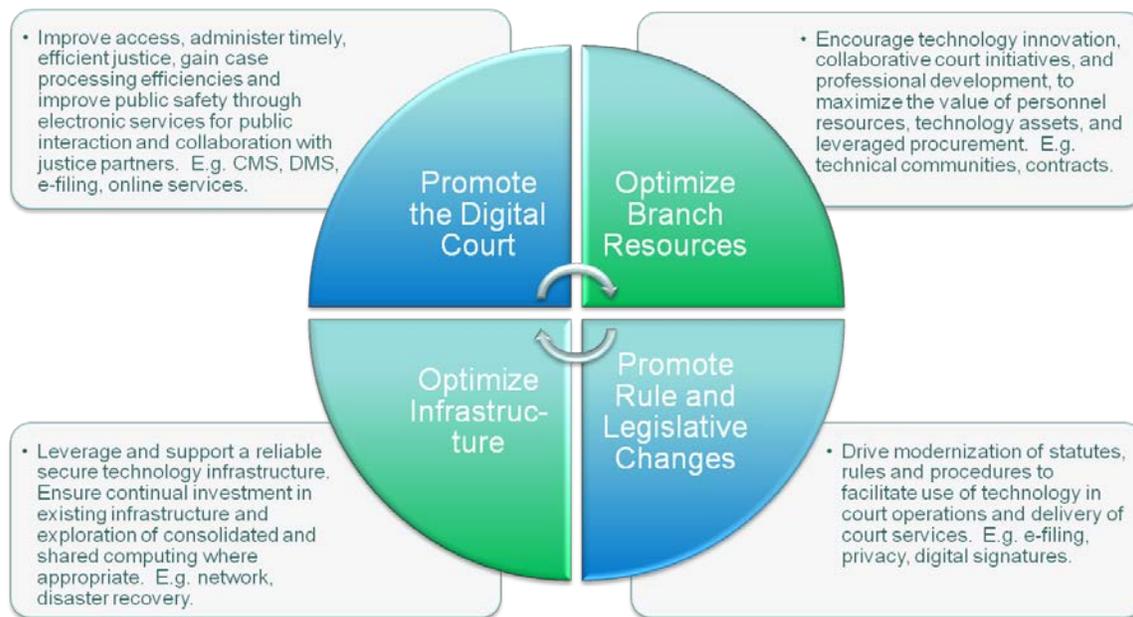
A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

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.

The branch Tactical Plan for Technology contains the following set of technology initiatives. The technology initiatives represent a set of focused, ambitious projects with a two-year time frame for completion. These initiatives should be launched in 2014 and completed by 2016. Each initiative supports the roadmap, which propels the branch toward the four strategic goals.

Because the judicial branch is underfunded, technology investments are severely limited. Therefore, this tactical plan reflects the reality of scarce resources. The majority of the initiatives focus on planning and investigation. Once funding is restored, the judicial branch can make further progress with the initiatives and move into design, development, and deployment.

The tactical plan initiatives were identified by the Technology Planning Task Force and selected based on their ability to support the four strategic technology goals and their overall business drivers. Initiatives were 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<sup>1</sup> while the Judicial Council Technology Committee may identify some initiatives that they wish to oversee directly.

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<sup>1</sup> Information Technology Advisory Committee (ITAC) is the proposed name for the advisory committee that will replace the current Court Technology Advisory Committee (CTAC). ITAC's structure is defined in the Governance and Funding Model.

Timelines for initiatives have been estimated and are assumed to begin in the third quarter (Q3) of calendar year 2014, but initiatives may be delayed if adequate funding or resources are not available at the scheduled start time.

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

## Technology Initiatives Summary (2014–2016)

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

Strategic Goal	Initiative	Objectives Supported	Action
Promote the Digital Court	Case management system (CMS) assessment and prioritization	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Determine strategy and plan
	Document management system (DMS) expansion	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Deploy where appropriate
	Courthouse video connectivity	1.2.1., 1.2.2.	Expand where appropriate
	California Courts Protective Order Registry (CCPOR)	1.2.1., 1.2.2., 1.2.3.	Continue deployment
	Implement a portal for self-represented litigants	1.2.1., 1.2.2.	Investigate and prepare proposal
	Jury management technology enhancements (trial courts)	1.1.4.	Determine roadmap and plan
	E-filing service provider (EFSP) selection/certification	1.2.1., 1.2.2.	Develop process
	E-filing deployment	1.2.1., 1.2.2.	Determine implementation plan
	Identify and encourage projects that provide innovative services	1.2.1., 1.2.2.	Investigate and prepare proposal
	Establish an “open source” application-sharing community	1.2.1., 1.2.2.	Investigate and prepare proposal
Develop standard CMS interfaces and data exchanges	1.2.1., 1.2.4.	Investigate and prepare proposal	
Optimize Branch Resources	Establish hardware and software master branch purchasing/licensing agreements	2.1.	Identify and negotiate
Optimize Infrastructure	Extend LAN/WAN initiative to remaining courts	3.1.	Expand program
	Transition to next-generation branchwide hosting model	3.1., 3.4., 3.5.	Investigate and prepare proposal
	Security policy framework for court information systems	3.1., 3.2.	Investigate and prepare proposal
	Court disaster recovery framework and pilot	3.1., 3.5,	Determine framework
Promote Rule and Legislative Changes	Identify new policy, rule, and legislation changes	4.1., 4.3.	Identify and draft changes

## 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) Assessment and Prioritization*

#### **Description**

This project 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 scope of this initiative is only to perform business analysis and planning; it does not include the actual deployment of CMS solutions. One or more CMS deployment initiatives will need to be launched after this assessment initiative is completed.

#### **Major Tasks**

- Update the inventory of existing case management systems within the branch.
- Update the inventory of existing document management systems within the branch.
- Determine strategy and approach for existing CMS environments.
- Determine strategy and approach for courts using V3 and Sustain Justice Edition.
- Establish a prioritization of need for systems replacement.
- 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 establish mechanism for maintaining and updating a branch CMS inventory.
- Need to identify appropriate sponsor for this initiative (e.g., Technology Committee or technology-related advisory committee).
- 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.

**Types of Courts Involved**

All trial courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Establish repository for CMS inventory.	Q3 2014
Draft initial assessment.	Q4 2014
Final assessment report.	Q1 2015

## **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.
  - An example would be potential implementation of a DMS/ECM for the current Appellate Court Case Management System, to take full advantage of the e-filing pilot program currently underway, and to leverage that system for use by Judicial Council staff.
- Identify the most efficient and cost-effective model for implementation.
- Leverage branchwide master services agreements for document management system software procurement.

### **Dependencies**

- Available budget for DMS acquisition.
- 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>
Initiative launch	Q3 2014
Determine business need and identify courts that could benefit from a DMS now.	Q3 2014
Submit funding request.	Q4 2014
Deploy solutions.	Q4 2015

## ***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.

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 relate 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.

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. It does not appear that statutory/rule changes will be necessary to implement VRI as contemplated under this Tactical Plan.

### **Major Tasks**

- Implement remote traffic appearances in at least two other jurisdictions by the end of 2014.
- Implement remote video appearances in additional case types in at least one court by the end of 2015, subject to any required legislative and Judicial Council authorization.
- Implement remote video language interpreting in at least one foreign language, in at least two courts, by the beginning of 2015.

## Dependencies

- Infrastructure/equipment.
- Collaboration/cooperation with other advisory committees, working groups, and other programs such as Civil and Small Claims, Traffic, and Court Interpreters Advisory Panels, the Judicial Council Court Language Access Support Program (CLASP), the Joint Working Group for California’s Language Access Plan implementation committee (or other implementing entity) and the Advisory Committee on Providing Access and Fairness.
- 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

Milestone	Time Frame
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.	Q3 2014
Identify pilot project courts/vendors; prepare RFP if required.	Q4 2014
Select vendors; obtain Judicial Council adoption of enabling rules of court.	Q1 2015
“Go-live” in one or more pilot courts.	Q2 2015
Evaluate project and report to Judicial Council.	Q4 2015

## **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 32 counties to electronically process and access all restraining and protective orders and their proofs of service. By the end of fiscal year 2014–2015, six more courts will deploy CCPOR.

The system has created 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; and
- A gateway for processing orders to the DOJ's CARPOS (California Restraining and Protective Order System) quickly and accurately.

Two key components of CCPOR are the ability to enter and upload protective order data into the system and to search and retrieve that data, including electronic images of court orders. Viewing these electronic images is particularly valuable because this allows users 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 courts/counties. The funding requirements will include the hardware and software necessary to run the system as well as one-time and ongoing costs (e.g., an estimate of staff time required to operate the system).
- Develop and distribute a deployment roadmap including the experiences of existing court CCPOR users. The roadmap will take into consideration the unique hardware, software, and staffing environments of the courts yet to implement CCPOR. Some courts may already have a DMS and already be scanning protective orders, where other courts may not do any document scanning. Funding for a court that is already scanning should support system interfaces instead of additional scanning activity. The roadmap will also address the unique challenges of coordinating with local law enforcement agencies to gain the greatest benefits from CCPOR.
- Identify the sequence and time frames for the deployment of CCPOR to the 26 remaining courts.
- Develop a CCPOR vision and roadmap document that describes where CCPOR goes from here. Should the CCPOR user interface be enhanced for easier use? Should the system be expanded to process additional case types or interface with other systems?

## 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

- Hardware, software, and storage for document images.
- Services to assist with the deployment of the system.
- Hardware, software, and services to develop interfaces with existing systems.

### Ongoing

- Annual server hosting and document image storage fees.
- Annual maintenance cost for purchased hardware and software.
- Annual service contract for maintenance of program interfaces.

## Potential Funding Sources

- Grant funding or budget change proposal (BCP) for continued deployment.
- Ongoing costs must be covered by each individual court's operating budget.

## Types of Courts Involved

This initiative will be focused on the 26 trial courts that have not implemented CCPOR. Non-participatory courts have been solicited for their interest and capability to implement the current CCPOR system. Courts that have participated in the interest survey and meet the grant stipulations to use one-time funding for deployment have been reviewed by the Judicial Council Technology Committee. The Superior Courts of San Francisco, Madera, Napa, Nevada, Sierra, and Trinity Counties have been approved for grant-funded deployments to occur in calendar year 2014.

## Sample Timeline

Milestone	Time Frame
Initiative launch	Q4 2014
Solicit interested courts.	Q4 2014
Develop funding requirements and model.	Q1 2015
Secure funding.	Q2 2015
Deploy next phase courts.	Q3 2015
Publish project report.	Q3 2016

## ***Implement a Portal for Self-Represented Litigants***

### **Description**

Self-represented litigants (SRLs) are an increasingly large segment of the population that our courts serve, particularly in certain 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.

A central portal available to pro se litigants can take advantage of largely existing and available branch resources to provide better and more convenient service to the public, and to provide tangible benefits and efficiencies to the courts. A central access point for self-represented parties (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.

The cost of developing and implementing such a system can be largely, and perhaps entirely, borne by a modest service fee paid by non-indigent pro se litigants, at far less cost than now incurred when a self-represented party must take time from work and travel to what may be a distant courthouse to submit documents.

### **Major Tasks**

- Determine and validate both litigant needs (including LEP litigants) and court requirements.
- Identify available existing technology and infrastructure components to leverage.
- Identify information resources to assist litigants.
- Identify pilot project participant courts.
- Identify potential vendors and costs/RFP for portal development.
- Initiate pilot program at one or more 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.
- “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 could be coordinated and leveraged.

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

- Initial development and deployment costs.

**Ongoing**

- Operational expenses associated with maintaining the portal.

**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 RFP 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 pro se filer interface and integration with interview software and Smart Forms. Courts without e-filing capability can benefit from e-delivery of complete, accurate, and legible pleadings.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Needs and requirements assessment	Q2 2015

## ***Jury Management Technology Enhancements (trial courts)***

### **Description**

This initiative will establish a roadmap for enhancing trial court jury management technology, including providing enhanced and expanded accessibility to jury services by the public and improved interaction with jury management technology by the trial courts.

### **Major Tasks**

- Identify current jury management technology in use by all courts.
- Identify current access methods to juror services in use.
- Identify a comprehensive solution for jury management and automation.
- Pilot expanded accessibility options and communication methods for jurors.
- Pilot next-generation jury management interfaces and/or software.

### **Dependencies**

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

### **Funding Requirements**

#### **One-Time**

- TBD

#### **Ongoing**

- TBD

### **Potential Funding Sources**

Currently, there is a jury system grant program that the Judicial Council Information Technology Services Office helps administer. The jury system grant program's goals include assisting those courts that have a jury management system/module that is at risk of failure as well as funding system enhancements that provide greater operational efficiencies and provide jurors with greater access to information.

### **Types of Courts Involved**

Trial courts.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
TBD	TBD

## ***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) standard and the future 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.

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 cost of developing and implementing an EFSP selection and certification process is dependent upon approach. There are three broad approaches:

- **Work with the CMS vendor community to establish the EFSP certification.** In this model, the majority of cost and workload falls onto the CMS vendor community. Courts do not typically share in “cost recovery.” This is historically the most common approach, but creates dependencies with CMS vendors.
- **Select a single vendor (CMS or EFSP) to serve as the statewide EFM.** In this model, the court selects a single vendor to operate a single e-filing gateway to courts. The branch typically implements a “cost recovery” model to fund implementation costs with the various CMS vendors. This approach is being implemented in Texas.
- **Develop and operate a CMS independent E-Filing Manager (EFM) that sits between CMS vendors and EFSPs.** In this model, the court builds and operates the e-filing gateway into which EFSPs and CMS vendors work. It is similar to the option above, but requires the court to play a more active role. In exchange, the costs to implement/operate are recovered by the court through convenience fees. This approach has been implemented in Colorado.

### **Major Tasks**

- Assess merits of each approach and determine a path forward for California courts.
- Secure pilot funding, as needed.
- Develop EFSP evaluation criteria.

- Develop uniform contracts (CMS and/or EFSP, depending upon model).
- Identify pilot project participant courts.
- Initiate pilot program at one or more courts.

### **Dependencies**

- Certification process must adhere to Judicial Branch Contracting Manual.
- Alignment with CMS strategy required.

### **Funding Requirements**

#### **One-Time**

- Depend upon the approach selected.
- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

#### **Ongoing**

- Depend upon the approach selected.

### **Potential Funding Sources**

- Payment of development and operational costs by one or more EFSPs (recovered through user fees paid by filers).
- Budget change proposal (BCP) funding or grant funding on an ad hoc basis.
- Local court funding supported by cost savings.

### **Types of Courts Involved**

This initiative is applicable to trial courts and appellate courts. Courts will be surveyed for their interest and capability to implement an e-filing program.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
TBD	TBD

## ***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, only a very few courts are currently benefiting from e-filing and only in limited case types.

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.

### **Major Tasks**

- Refine and distribute an e-filing deployment roadmap to aid courts in preparing for implementation.
- Survey courts to identify both the current state of e-filing and those courts with current interest and capability to implement e-filing.
- Identify funding mechanisms (e.g., court funded and/or user fee supported) for branch and local e-filing initiatives.
- Create and publish an e-filing implementation plan consistent with level-of-readiness criteria and available funding.
- Assess viability/desirability of a statewide filing portal for at least some e-filing functionality (e.g., self-represented litigants) and for e-delivery to those courts without e-filing capability. Develop plan accordingly.

### **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.

- If a portal is court-operated, a PCI-compliant infrastructure is also required to ensure security of filers’ financial information.
- 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

- Hardware, software, and storage for the e-filing environment (portal, EFM, clerk review).
- Services to assist with the deployment of the system including portal, CMS, and DMS integration.
- Development of the e-filing portal (whether by the court or by an EFSP).
- Court staff costs to design the new procedures for handling case flow and filing fee management.

### Ongoing

- Annual maintenance cost for purchased hardware and software.
- Annual service contract for maintenance of program interfaces.
- Annual costs to support the portal and/or EFSPs.

## Potential Funding Sources

- User fees paid by the filers.
- Payment of development and operational costs by one or more EFSPs (recovered through user fees paid by filers).
- Budget change proposal (BCP) funding or grant funding on an ad hoc basis.
- Local court funding supported by cost savings.

## Types of Courts Involved

This initiative is applicable to trial courts and appellate courts. Courts will be surveyed for their interest and capability to implement an e-filing program.

## Sample Timeline

Milestone	Time Frame
Initiative launch	Q3 2014
Update and distribute e-filing deployment roadmap.	Q3 2014
Survey courts to gauge interest and readiness.	Q3 2014
Develop funding models.	Q4 2014
Publish e-filing implementation plan(s) for selected court(s).	Q1 2015
Assess viability/desirability for a statewide filing portal— all inclusive or specialized (e.g., self-represented litigants). Develop plan accordingly.	Q3 2015
Publish project report.	Q2 2016

## ***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.
- Examples might include:
  - Payment gateway/portal model for the acceptance of court fines and fees that is compliant with general computing environments, mobile devices, kiosk applications, and branch accounting standards.
  - 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.

### **Dependencies**

Availability of branchwide innovation fund would accelerate the identification and pilot of innovative services.

### **Funding Requirements**

#### **One-Time**

- None.

#### **Ongoing**

- Branchwide innovation fund.

### **Potential Funding Sources**

Initial funding through a budget change proposal (BCP), 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>
Initiative launch	Q1 2015
Final recommendation	Q3 2015

## ***Establish an “Open Source” Application-Sharing Community***

### **Description**

This initiative will investigate the potential for creating a community inside the branch for sharing applications written within the branch. The community will follow an open source model where source code will be made available to anyone within the branch. Courts can then use or modify the code as they like. However, courts are encouraged to contribute any modifications or enhancements back to the community for inclusion in future versions of the application. Examples could include electronic warrant and digital signature application, court document purchase modules, electronic judicial workbench, et al.

### **Major Tasks**

- Integration of Open-source software governance into the existing governance model.
- Repository for making applications available.
- Initial library of applications gathered from within the branch.
- Communication mechanism for promoting the repository.

### **Dependencies**

Standards for Open-source software governance and management.

### **Funding Requirements**

#### **One-Time**

- Potential costs for initial implementation of repository.

#### **Ongoing**

- Minimal ongoing costs for maintaining repository.

### **Potential Funding Sources**

Sponsored by an individual court or through branchwide innovation fund.

### **Types of Courts Involved**

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

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Repository design and gathering of initial applications to be shared in the library	Q3 2015
Repository available for use	Q4 2015

## ***Develop Standard CMS Interfaces and Data Exchanges***

### **Description**

This initiative will investigate the potential for developing 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 would be developed collaboratively by the courts, Judicial Council staff, vendors, and other exchange partners. Once available and tested through actual court implementation, the data exchanges and interfaces could be posted to a specially designed web portal that would be a searchable repository for the exchanges' interfaces and their associated documentation. The portal would also serve as a knowledge center for both creators and consumers of the data exchanges and interfaces, allowing for discussion threads and searchable knowledge resources. Finally the portal would also accommodate the certification and posting of court- or vendor-created extensions or modifications to the initial library of common data exchanges and standard interfaces.

Initial data exchanges, data classification activities, and interfaces would 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, the Franchise Tax Board, the Department of Social Services, the Department of Corrections and Rehabilitation, the Phoenix Financial system, collection providers, and common local justice partners. It is expected that the needed common exchanges could leverage work from existing court-implemented exchanges or from previous branchwide data exchange efforts.

### **Major Tasks**

- Create governance model for managing the use, ongoing support, addition, or modification of data exchanges.
- Identify any existing interfaces that can be reused or modified for broader use.
- Prioritize list of possible data exchanges for initial development or leverage from existing work.
- Perform data classification for each exchange to determine security level required.
- Document court-generated requirements for each selected exchange.
- Compile functional and technical specifications for each selected exchange.
- Create library of completed and tested initial data exchanges.
- Collect associated knowledge center documentation for data exchanges.
- Budget to support ongoing maintenance of the repository and exchanges.
- Create web portal repository and knowledge center for library of exchanges.

### **Dependencies**

- Alignment with CMS strategy.
- Available documentation from justice partners on data exchange requirements.
- Funding and resources from justice partners to develop their portion of the exchange.
- Align with statewide Language Access Plan (expected adoption 1/15).

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

- Costs for initial development.

**Ongoing**

- Annual maintenance cost.

**Potential Funding Sources**

Budget change proposal (BCP) funding or grant funding.

**Types of Courts Involved**

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

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Identify exchanges to develop and fund.	Q3 2015
Begin development of initial exchange.	Q4 2015

## Technology Initiatives to Optimize Branch Resources

### ***Establish Hardware and Software Master Branch Purchasing/Licensing Agreements***

#### **Description**

The initiative will establish master branch agreements (leveraged purchase agreements) with various hardware/software manufacturers and service providers after the completion of a statewide judicial branch procurement process. Ultimately, this will lower judicial branch spending on specific IT goods, as the agreements will establish better prices for hardware and software that all judicial branch entities (JBEs) can benefit from. JBEs that take advantage of these agreements will also benefit from additional savings as they will not incur costs from conducting local procurements. For manufacturers with existing state agreements and contracting pricing programs (i.e., Western States Contracting Alliance (WSCA) and California Integrated Telecommunications Network (CALNET)), this effort will strive to improve upon those and create judicial branch–specific discounts. The objectives of this effort are to provide an easy mechanism for courts to procure and source common hardware and software rather than impose standards. There will be no requirement to use master branch agreements. Additional value would be gained from the formation of groups using the same products, promoting opportunities for knowledge sharing and awareness.

The following criteria should be considered when deciding if a master branch agreement should be initiated:

1. Existing presence of a product deployed broadly or high demand for the product across the judicial branch.
2. Products in use or being considered that are positioned in the “Leaders, Visionaries or Challengers” section of Gartner’s Magic Quadrant or similar comparative analysis.

#### **Major Tasks**

- Summary of products that justify the effort for establishing master branch agreements.
- Business analysis to determine the scope of any RFP that will be issued for this initiative.
- Master branch agreements for computing and video hardware manufacturers.
- Master branch agreements for storage hardware manufacturers.
- Master branch agreement for Microsoft licensing.
- Master branch agreement for VMware licensing.

#### **Dependencies**

- The effort will require a significant amount of time from Judicial Council Legal Services and Business Services staff.
- Additionally, all JBEs will need to identify existing hardware and software licenses in the areas listed above to provide input to the benefit analysis.

- Surveys may need to be completed by each JBE to identify common needs and requirements.
- The output from other tactical initiatives may result in the need for master branch agreements to be established as part of this initiative.
- JBEs must follow the policies and procedures published in the Judicial Branch Contracting Manual and Trial Court Financial Policies and Procedures Manual.

### Funding Requirements

#### One-Time

- The initiative is not expected to require one-time funding. However, considerable time will be required from Judicial Council legal and contracting staff involved with this initiative.
- Additionally, technology staff time from each JBE will be required to providing input on the prioritization and needs of both hardware and software products.

#### Ongoing

- Ongoing costs determined by specific agreements that are completed.

### Potential Funding Sources

Funds will be handled individually by each JBE through normal allocations and operating budget.

### Types of Judicial Branch Entities Involved

The Supreme Court, Courts of Appeal, superior courts, Habeas Corpus Resource Center, and the Judicial Council will all benefit from this initiative.

### Sample Timeline

Milestone	Time Frame
Initiative launch	Q3 2014
Survey JBEs for existing commonalities and/or needs for hardware and software products.	Q3 2014
Analyze survey results, utilizing comparative analysis such as Gartner’s Magic Quadrants, and determine high-priority and medium-priority selections of products and manufacturers that justify the need for a master agreement.	Q3–Q4 2014
Publish RFPs for high-priority products.	Q1–Q4 2015
Issue award contracts for high-priority products.	Q4 2015
Publish final agreements/documents for high-priority products and make accessible to all within the judicial branch.	Q4 2015
Publish RFPs for medium-priority products.	Q3 2015–Q2 2016
Award contracts for medium-priority products.	Q2 2016
Publish final agreements/documents for medium-priority products and make accessible to all within the judicial branch.	Q2 2016

## Technology Initiatives to Optimize Infrastructure

### *Extend LAN/WAN Initiative to Remaining Courts*

#### **Description**

Integrate the trial courts of Alpine, Los Angeles, Orange, and San Diego Counties into the branchwide telecom, network device, and security refresh schedule and determine program approach for the appellate courts.

#### **Major Tasks**

- Complete needs assessment for all trial courts, develop implementation recommendations, and determine funding needs.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Publish project plans for implementation.
- Deploy devices and implement services for the identified trial courts in alignment with the needs assessment and project plans.
- Publish program approach for eventual inclusion of the appellate courts into the refresh schedule.

#### **Dependencies**

- Needs assessments must be completed to identify and request the necessary funding.
- Staff at the identified courts must be able to dedicate the resources necessary to support the project.

#### **Funding Requirements**

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

- Purchase costs of products, services, and maintenance contracts, as identified in the needs assessment for each of the identified trial courts.

##### **Ongoing**

- Continuing monthly costs for those ongoing services and maintenance contracts initiated in year one based on the needs assessment for each of the identified trial courts.
- New costs expected to be incurred as a result of eventual inclusion of the appellate courts into the refresh schedule.

#### **Potential Funding Sources**

Funding to integrate the few remaining courts would be provided through the budget change proposal (BCP) process, with future branch funding allocated for the statewide LAN/WAN infrastructure initiative.

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

This initiative is focused on those courts not yet been included in the branchwide telecom, network device, and security refresh schedule but would include a long-term strategy for all courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch <sup>2</sup>	Q1 2014
Complete needs assessment, develop implementation recommendations, and determine funding needs.	Q1 2014
Finalize product, service, and maintenance contract procurement with vendor partners.	Q1 2014
Publish project plans for implementation at each of the identified courts.	Q2 2014
Publish long-term plan.	Q3 2014
Begin implementation of devices and services for the identified courts in alignment with initiative plans.	Q4 2014

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<sup>2</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 branchwide strategy for the hosting of court case management systems has changed; therefore, the branch should reevaluate the CCTC hosting model 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.

### **Major Tasks**

- Complete needs assessment, develop implementation recommendations, and determine the necessary funding changes.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Publish transition project plan.
- Decommission old services and implement 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	Q1 2015
Complete needs assessment, develop implementation recommendations, and determine the necessary funding changes.	Q3 2015
Finalize product, service, and maintenance contract procurement with vendor partners.	Q3–Q4 2015
Publish transition project plan.	Q1 2016

## ***Court Information Systems Security Policy Framework***

### **Description**

In response to requests from courts, the Judicial Council initiated a court information systems security policy framework in 2007, integrating best practices from representative trial courts, appellate courts, and Judicial Council staff as a reference document for adoption into their local court information systems security policies.

The initial project was suspended in 2009 due to budget limitations. With a current focus on promoting the Digital Court, information security is a critical component to ensuring its success, and the project should be restarted.

The goal of this initiative is for every court to use the same security framework for adoption into their local information security policies. The framework provides a common reference point recognizing that local policies may not be the same among the courts.

The goals of the framework are:

- To suggest an overall information security policy, governance, and compliance model for the judicial branch to leverage when building security programs;
- To provide a holistic information security framework, based on the International Organization for Standardization's Standard 27002 (ISO 27002) that the courts can leverage in creating local policies;
- To provide guidance to all members of the judicial branch on the proper handling of sensitive information;
- To provide a basis for security training and educational awareness programs that can be developed by the courts;
- To provide the basis for the development of implementation standards, procedures, and guidelines for each platform, operating system, application, and security device that can then be monitored and enforced against the policies in the framework.

### **Major Tasks**

This initiative will complete the framework project by:

- Finishing the work that was started on the Court Information Systems Security Policy Framework;
- Initially deploying the framework at a select group of pilot courts;
- Deploying the framework at the remaining courts as needed.

### **Dependencies**

- The initial project enlisted a committee of 13 court representatives along with Judicial Council staff to represent the branch. A similar approach and participation is needed in order to properly represent all interested entities.
- The deployment schedule would depend on the number of participating courts and cannot be easily determined at this time.

## Funding Requirements

### One-Time

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.
- Additional funding would be required to assist the courts with the adoption of the framework into their local policies. The amount of funding will depend on the number of participating courts.

### Ongoing

- Minimal ongoing funds would be necessary to maintain the security policy framework to ensure its ongoing relevance and effectiveness.

## Potential Funding Sources

This project was previously funded by the Telecommunications LAN/WAN Program.

## Types of Courts Involved

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

## Sample Timeline

Milestone	Time Frame
Initiative launch	Q3 2014
Complete framework document.	Q1 2015
Begin deploying framework to pilot courts.	Q2 2015
Modify framework based on pilot.	Q1 2016
Begin deployment to other interested courts.	Q2 2016

## ***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 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 framework to assist the courts and the Judicial Council 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 branchwide.
- To collaboratively develop model disaster recovery requirements, service-level agreements, and priorities for each of the major technology components of the branch such as desktop equipment, networks, infrastructure, applications, security, data, etc.
- To work with a model court to test 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 services that could be leveraged for 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 disaster recovery consultant.

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.
- Additional funding would be required to 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.

#### **Ongoing**

- Minimal ongoing funds would be necessary to maintain the framework to ensure its ongoing relevance and effectiveness.
- 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, superior courts. The framework should be applicable to all courts and to the Judicial Council.

#### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Select disaster recovery (DR) consultant and court subject matter expert (SME).	Q4 2014
Develop requirements and recovery standards.	Q2 2015
Test with pilot court or courts.	Q3 2015
Develop funding request for DR at branch and court levels	Q1 2016

## 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 necessitating review in order to facilitate the move to the digital court.
- Assess rules of court and statutes and develop recommended standards, guidelines, and templates regarding data privacy, data that courts can or cannot make available online, and data mining.
- Revise the *Trial Court Records Manual* on uniform rules and policies for electronic signature and verification.
- Develop branch and model court privacy policies on electronic court records and access.

#### **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>
Initiative launch	Q3 2014
Complete review of rules and statutes, and recommend revisions and additions.	Q4 2014
Complete review of the <i>Trial Court Records Manual</i> and recommend revisions and additions.	Q1 2015

### Initiative Timeline Summary

Strategic Goal	Initiative	2014				2015				2016			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Promote the Digital Court	CMS Assessment			█	█	█							
	DMS Expansion			█	█	█	█	█	█				
	Courthouse Video			█	█	█	█	█	█	█	█		
	CCPOR				█	█	█	█	█	█	█	█	
	Portal for SRL						█						
	Jury Management												
	e-Filing Service Provider												
	e-Filing Deployment			█	█	█	█	█	█	█	█		
	Identify Innovative Services					█	█	█					
	Establish Open Source Sharing						█	█	█				
Develop CMS Data Exchanges						█	█	█					
Optimize Resources	Establish Purchasing Agreements			█	█	█	█	█	█	█	█		
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 like 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 to address a paper-based court rather than a digital electronic one.

This Tactical Plan for Technology 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: Formation of the Technology Planning Task Force**

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system. Additionally, the council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

- Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
- Leveraging the CCMS V4 technology and developed software to benefit ongoing judicial branch technology solutions;
- Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public;
- Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
- Developing alternatives for the CCMS V4 early adopter court, San Luis Obispo, to meet its current case management system needs; and
- Developing strategies to assist trial courts with existing critical case management system needs.

A Judicial Branch Technology Initiatives Working Group was created in June 2012 and launched a series of technology workstreams that were tightly scoped projects to address the short-term critical technology needs for the branch in six-months or less. They brought in direct participation from the courts to work together with Judicial Council staff as an IT community. Both costs and risks were reduced as a result of the tight scope. By early 2013 they were successful in generating:

- a case management system request for proposal (RFP) resulting in three commercial software products selected for master services contracts;
- an e-filing roadmap and planning document;
- an assessment of CCMS V4 technology that could be leveraged for future opportunities; and
- foundational work for the governance and funding model.

The workstreams not only addressed the short-term technology needs of the branch and addressed the directives from the Judicial Council but also provided an opportunity for the branch to work in a new model and catalyze the technology strategic planning process.

The California Department of Finance and the California Department of Technology (CalTech) have both indicated that the judicial branch needs to adopt a Strategic Plan for Technology to support long-term funding to meet judicial branch technology needs. Additionally, the Bureau of State Audits (BSA)<sup>3</sup> reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

The Judicial Branch Technology Summit was held on October 23–24, 2012 to assemble branch stakeholders for a collaborative discussion on branch technology governance, vision, and planning. A CalTech representative facilitated the discussion and suggested that the group work collaboratively to develop solutions and a cohesive, long-term plan for technology that meets individual court needs under the rubric of a consistent, branchwide vision.

The CalTech representative stated that the technology workstreams, a set of court-driven initiatives leveraging expertise within the branch to develop technology roadmaps, case management system master services agreements, and e-filing recommendations, were a good start toward a longer range strategic plan for technology. The representative emphasized that the strategic plan needs to include two critical components: (1) a technology governance model and (2) a technology roadmap.

While there is no requirement for all courts to rely on a single technology solution, it is imperative that the branch communicate its strategy in a unified manner and leverage common solutions, technologies, and funding, in a collaborative consortium model.

After the Judicial Branch Technology Summit, the Chief Justice authorized the creation of a task force reporting to the Judicial Council Technology Committee. As per earlier documents, the task force was charged with:

- Defining judicial branch technology governance;
- Developing a strategic plan for technology at the trial, appellate, and Supreme Court levels; and
- Developing recommendations for funding judicial branch technology.

Specifically, the task force was tasked to:

- Work collaboratively with the courts and judicial branch stakeholders;
- Develop a comprehensive branchwide plan for technology governance that will delineate the parameters of state versus local decision-making for technology initiatives;
- Develop a strategic plan for technology that will provide direction and vision for technology within the branch;

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<sup>3</sup> BSA has been renamed to California State Auditor.

- Develop a tactical plan for technology that will define the steps needed to achieve the goals defined in the strategic plan;
- Develop administrative and technical guidelines;
- Identify and promote trial court collaboration and consortia for the benefit of technology;
- Develop recommendations for a stable, long-term funding source for judicial branch technology; and
- Delineate technology funding sources.

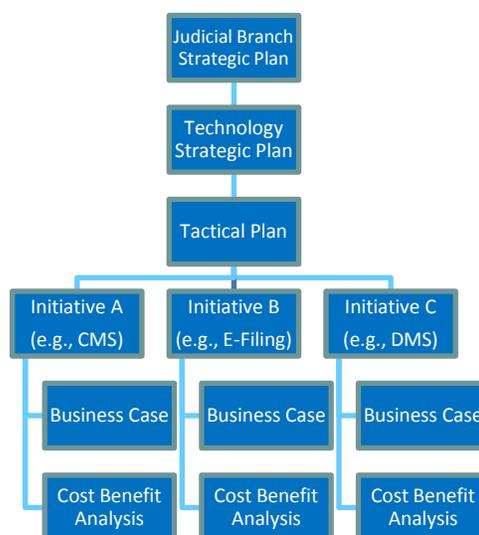
## APPENDIX B: Technology Planning Task Force Structure

The Task force reports to the Judicial Council Technology Committee and will terminate in 2014 after the approval and publication of its recommendations.

The task force worked collaboratively to define judicial branch technology governance in terms of statewide versus local decision-making, to develop a strategic plan for technology across all court levels that provides a vision and direction for technology within the branch, and to develop recommendations for a stable, long-term funding source for supporting branch technology, as well as a delineation of technology funding sources.

The task force utilized a planning framework based on industry best practices and focuses on two main concepts:

1. Treat the strategic plan as a roadmap that is used and referenced continually to help direct and focus branch efforts in technology rather than simply as a document that is written, published, and put on the shelf.
2. The technology strategic plan is a cascading plan. The judicial branch strategic plan and its goals drive a four-year technology strategic plan that then drives a detailed two-year tactical plan that contains individual initiatives and projects that align with the overall goals of the branch.



These best practices ensure that the planning process is thorough, efficient, and aligned—producing practical actionable results.

The work of the task force was divided into three tracks:

- **Governance**—determined the process for how the branch will prioritize and select technical programs.
- **Strategic Plan**—identified a prioritized list of goals and initiatives.
- **Funding**—proposed a mechanism for funding technology programs.

The following chart lists the participants of each track.

## Technology Planning Task Force Participants

	Governance (13)	Strategic Plan (16)	Funding (13)
Task Force Members (14)	<ul style="list-style-type: none"> <li>• <b>Jake Chatters (Lead)</b> (CEO Placer)</li> <li>• Justice Ashmann-Gerst (2<sup>nd</sup> Appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Judge Herman (Santa Barbara)</li> <li>• Judge Moss (Orange)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Brian Cotta (Lead)</b> (CIO Fresno)</li> <li>• Justice Bruiniers (1<sup>st</sup> Appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Jim Kalyvas (Attorney Los Angeles)</li> <li>• Robert Oyung (CIO Santa Clara)</li> <li>• Charlene Ynson (5<sup>th</sup> Appellate)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Judge Slough (Lead)</b> (San Bernardino)</li> <li>• Sherri Carter (CEO Los Angeles)</li> <li>• Judge Kaufman (Plumas)</li> <li>• Judge Reiser (Ventura)</li> </ul>
Track Participants (27)	<ul style="list-style-type: none"> <li>• Judge Barnes (Kings)</li> <li>• Rick Feldstein (CEO Napa)</li> <li>• James P. Fox (Attorney San Mateo)</li> <li>• Lisa Galdos (AEO Santa Clara)</li> <li>• Darrel Parker (CEO Santa Barbara)</li> <li>• Heather Pettit (CIO Sacramento)</li> <li>• Mike Roddy (CEO San Diego)</li> <li>• Renea Stewart (ITSO staff)</li> </ul>	<ul style="list-style-type: none"> <li>• Mark Dubeau (CFO Orange)</li> <li>• Mark Dusman (CIO ITSO staff)</li> <li>• Kim Flener (CEO Butte)</li> <li>• Judge Nadler (Sonoma)</li> <li>• Snorri Ogata (CIO Los Angeles)</li> <li>• Pat Patterson (CIO Ventura)</li> <li>• Mike Planet (CEO Ventura)</li> <li>• Ahn Tran (CIO San Joaquin)</li> <li>• Jeannette Vannoy (CIO Napa)</li> <li>• Gary Whitehead (CIO Riverside)</li> </ul>	<ul style="list-style-type: none"> <li>• Alan Carlson (CEO Orange)</li> <li>• Jessica Craven (ITSO staff)</li> <li>• Alan Crouse (CIO San Bernardino)</li> <li>• Rebecca Fleming (CEO Stanislaus)</li> <li>• Joseph Lane (2<sup>nd</sup> Appellate)</li> <li>• Mark Robinson (Attorney Orange)</li> <li>• Virginia Sanders-Hinds (ITSO staff)</li> <li>• Zlatko Theodorovic (CFO council staff)</li> <li>• Mary Beth Todd (CEO Sutter)</li> </ul>

There are 14 members on the task force and a total of 41 participants contributing to all three tracks representing 20 superior courts, three Courts of Appeal, and Judicial Council staff.