



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**

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

THIS MEETING WILL BE RECORDED

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**Date:** January 14, 2019  
**Time:** 1:00 p.m. - 2:30 p.m.  
**Location:** Farallon Room, Judicial Council Conference Center  
455 Golden Gate Avenue, San Francisco, CA 94102-3688  
**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**

- a. Approve minutes of the October 15, 2018 meeting.
- b. Approve minutes of the November 7, 2018 action by e-mail.

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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), public comments about any agenda item must be submitted by January 11, 2018, 1:00 pm. Written comments should be e-mailed to [jctc@jud.ca.gov](mailto:jctc@jud.ca.gov) or mailed or delivered to 455 Golden Gate Avenue, San Francisco, CA 94102, attention: Rica Abesa. Only written comments received by January 11, 2019, 1:00 pm will be provided to advisory body members prior to the start of the meeting.

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**III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1-4)**

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**Item 1**

**Chair Report**

Provide an 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 the Tactical Plan for Technology (Information Item)**

Receive a presentation on progress of the Tactical Plan Workstream's update to the plan, including an overview of changes and invitation to provide input.

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

**Item 3**

**Review of Information Technology Advisory Committee's (ITAC) Annual Agenda (Action Requested)**

Review of the annual agenda for ITAC. The committee will then be asked to provide feedback and consider approval of the annual agenda.

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

**Item 4**

**Budget Change Proposals (BCPs) (Information Item)**

Review the BCP process and timeline, as well as potential technology related Budget Change Proposals.

Presenter: Mr. Mark Dusman, Principal Manager, Judicial Council Information Technology

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**IV. ADJOURNMENT**

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**Adjourn Public Session**



# JUDICIAL COUNCIL OF CALIFORNIA

TECHNOLOGY COMMITTEE

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## JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

### MINUTES OF OPEN MEETING

October 15, 2018

12:00 - 1:00 PM

Teleconference

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**Advisory Body Members Present:** Hon. Marsha G. Slough, Chair; Hon. Gary Nadler, Vice-Chair; Hon. Kyle S. Brodie; Hon. Jonathan B. Conklin; Hon. Rebecca Wightman; Ms. Nancy Eberhardt; Ms. Rachel W. Hill; Ms. Audra Ibarra; and Ms. Andrea K. Rohmann

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**Advisory Body Members Absent:** Hon. Ming W. Chin

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

**Others Present:** Mr. Mark Dusman; Ms. Virginia Sanders-Hinds; Ms. Heather Pettit; Mr. Michael Derr; Mr. Zlatko Theodorovic; Ms. Kathy Fink; Ms. Daphne Light; Mr. Matt Nicholls; Ms. Jamel Jones; and Ms. Jessica Goldstein

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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 September 10, 2018 open meeting .

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### DISCUSSION AND ACTION ITEMS

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#### Item 1

##### Chair Report

**Update:** Hon. Marsha 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, provided an update and report on the activities of the advisory committee, its subcommittees, and its workstreams. Workstreams with key milestones highlighted included the Digital Evidence, Data Analytics, and Next Generation Hosting.

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

**Item 3**

**Information Security Framework (Action)**

**Update:** Mr. Michael Derr, Principal Manager in the Information Technology office, provided a report on the proposed updates to the Judicial Branch Information Security Framework and requested approval to submit to the Judicial Council with the committee's endorsement for adoption.

**Action:** The committee reviewed the report, discussed the proposed changes, and voted to approve and submit to the Judicial Council for adoption.

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

There being no further business, the meeting was adjourned.

JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

MINUTES OF ACTION BY EMAIL BETWEEN MEETINGS  
NOVEMBER 7, 2018

**Email Proposal**

The Judicial Council Technology Committee (JCTC) was asked to consider whether to approve the *Strategic Plan for Technology (2019-2022)* and to recommend that the Judicial Council adopt the updated *Strategic Plan for Technology (2019-2022)*, to supersede the existing Strategic Plan for Technology (2014-2018), at its November 2018 meeting

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

**Notice**

On November 5, 2018 a notice was posted advising that the JCTC was proposing to act by email between meetings under California Rules of Court, rule 10.75(o)(1)(B).

**Public Comment**

Because the email proposal concerned a subject that otherwise must be discussed in an open meeting, the JCTC invited public comment on the proposal under rule 10.75(o)(2). The public comment period began at 2:00 p.m., November 6, 2018 and ended at 2:00 p.m., November 7, 2018. No comments were received.

**Action Taken**

After the public comment period ended, JCTC members were asked to submit their votes on the proposed prioritization by 2:00 p.m. on November 7, 2018. All ten members voted to approve. The email proposal was approved.

**Information Technology Advisory Committee**  
**Tactical Plan Update**

**January 14, 2019**



JUDICIAL COUNCIL  
OF CALIFORNIA

# Membership

|                                      |   |  |  |
|--------------------------------------|---|--|--|
| <b>Hon. Sheila Hanson,<br/>Chair</b> | Orange Superior Court                                       | <b>Mr. Paras Gupta</b>                     | Chief Information Officer<br>Monterey Superior Court   |
| <b>Hon. Louis R. Mauro</b>           | 3 <sup>rd</sup> District Court of Appeal                    | <b>Mr. David Schlothauer</b>               | Chief Information Officer<br>Nevada Superior Court     |
| <b>Hon. Kyle S. Brodie</b>           | San Bernardino Superior Court                               | <b>Mr. Rick Walery</b>                     | Chief Information Officer<br>San Mateo Superior Court  |
| <b>Hon. Tara M. Desautels</b>        | Alameda Superior Court                                      | <b>Mr. Kirk Hauer</b>                      | Information Technology Manager<br>Butte Superior Court |
| <b>Ms. Nancy Eberhardt</b>           | Court Executive Officer<br>San Bernardino Superior Court    | <b>Ms. Heather Pettit</b>                  | Chief Information Officer Judicial<br>Council          |
| <b>Ms. Kim Flener</b>                | Court Executive Officer<br>Butte Superior Court             | <b>Ms. Jamel Jones,<br/>Lead</b>           | Supervisor<br>Judicial Council                         |
| <b>Mr. Jim Lombard</b>               | Deputy Court Executive Officer<br>Sacramento Superior Court | <b>Ms. Kathy Fink,<br/>Project Manager</b> | Manager<br>Judicial Council                            |
| <b>Mr. Darren Dang</b>               | Chief Financial Officer<br>Orange Superior Court            |  |  |

# Objectives

- **Align** with the new **Court Technology Strategic Plan**
- Continue the momentum of **innovation** from the previous plan
- Incorporate new relevant **business and technology concepts**
- **Future**-focused tone
- Streamline and **improve usability**
- Incorporate **new ideas** as they reach the level and scope of the Tactical Plan
- **Speak to the audience**
  - Judicial branch (guidance for branchwide initiatives)
  - Executive and legislative branches (e.g. discussions about funding or proposed legislation)
  - Justice Partners
  - The people of California



# Scope Guidelines

- The majority of initiatives **managed by ITAC**
- Some managed by other bodies (e.g., **JCTC** and **Judicial Council Information Technology**)
- **2 year timeframe** – often in phases

## **Include initiatives...**

- At the right level (significant dollar value, multi-year)
- With branch-wide impact
- That need financial or strategic advocacy
- (Exclude operational activities, unless above applies)

## **Plan size**

- Avoid limiting the number of initiatives
- Avoid creating the “all inclusive” plan

# Initiatives – Strategic Plan 2019-2022 Goal 1

|   |   |  |
|---|---|--|
| Promote the Digital Court                         | <b>Case Management System (CMS) Migration and Deployment</b>                          | Assist courts in selecting, funding, and deploying modern case management systems                            |
|   | <b>Expansion of Electronic Court Record Management</b>                                | Managing electronic court records and digitizing paper documents and   |
|   | <b>Language Access Technology</b>   | Technology enabling non-English speakers access to the courts  |
|   | <b>Video Remote Appearance</b>  | Includes uses inside and outside the courtroom   |
|   | <b>Self Help Electronic Services</b>  | New vision for digital services for the public   |
|   | <b>Statewide Electronic Filing Program Development &amp; Deployment</b>               | Deploy enterprise e-filing   |
|   | <b>Digital Evidence: Acceptance, Storage, and Retention</b>                           | Best practices, standards, guidelines, and technology services   |
|   | <b>Branchwide Identity Management</b>   | Enable the public and justice partners to more effectively interact with the courts (e.g., “Single sign-on”) |
|   | <b>Data Analytics and Business Intelligence</b>                                       | Recognized need for accessible branchwide information  |
|   | <b>Enterprise Resource Management</b>   | Advance the courts’ ability to manage their staff, financial, and facilities resources.                      |
| <b>Consideration of Online Dispute Resolution</b> | Explore policies, techniques, and technology to enable online resolution for disputes |  |

# Initiatives – Strategic Plan 2019-2022 Goals 2,3,4

|  |  |   |
|--|--|---|
| Innovate Through IT Community          | <b>Expand Collaboration within the Branch IT Community</b>             | Technology collaboration and education within the branch                      |
| Advance IT Security and Infrastructure | <b>LAN/WAN Infrastructure</b>  | Optimize court connectivity for upcoming court needs.                         |
|  | <b>Transition to Next-Generation Branchwide Hosting Model Phase II</b> | Pilot guidelines and framework delivered in phase 1                           |
|  | <b>Disaster Recovery Phase II</b>                                      |   |
|  | <b>Branchwide Information Security Roadmap</b>                         | Advance branchwide IT security  |
| Promote Rule and Legislative Changes   | <b>Identify New Policy, Rule, and Legislative Changes</b>              | Policy, rule, and legislative changes to enable appropriate use of technology |

# Overview Timeline



## Next Steps:

- January- *Branch Comment*
- February- *Public Comment*
- March- *Committee Approvals*
- May- *Judicial Council Approval*

# Questions and Feedback?



**Information Technology Advisory Committee (ITAC)**  
**Annual Agenda<sup>1</sup>—2019**  
**Approved by Judicial Council Technology Committee: [DATE]**

**I. COMMITTEE INFORMATION**

|   |  |
|---|--|
| <b>Chair:</b>   | Hon. Sheila F. Hanson, Superior Court of California, County of Orange                          |
| <b>Lead Staff:</b>  | Mr. Richard Blalock, Senior Business Systems Analyst, Judicial Council, Information Technology |
| <b>Committee's Charge/Membership:</b><br><br><p><a href="#"><u>Rule 10.53. Information Technology Advisory Committee</u></a> of the California Rules of Court states the charge of the Information Technology Advisory Committee. The committee makes recommendations to the council for improving the administration of justice through the use of technology and for fostering cooperative endeavors to resolve common technological issues with other stakeholders in the justice system. The committee promotes, coordinates, and acts as executive sponsor for projects and initiatives that apply technology to the work of the courts.</p> <p><a href="#"><u>Rule 10.53. Information Technology Advisory Committee</u></a> sets forth additional duties of the committee.</p> <p>The ITAC currently has 23 members. The <a href="#"><u>ITAC website</u></a> provides the composition of the committee.</p> |  |

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<sup>1</sup> The annual agenda outlines the work a committee will focus on in the coming year and identifies areas of collaboration with other advisory bodies and the Judicial Council staff resources.

All proposed projects for the year are included on the Annual Agenda, as follows:

### **Futures Commission Directives**

- **Intelligent Chat (Phase 1) (continued):** Explore and make recommendations to the Judicial Council on the potential for a pilot project using intelligent chat technology to provide information and self-help services.
- **Voice-to-Text Language Services Outside the Courtroom (Phase 1) (continued):** Explore available technologies and make recommendations to the Judicial Council on the potential for a pilot project using voice-to-text language interpretation at service counters and in self-help centers.
- **Remote Video Appearances for Most Non-Criminal Hearings (Phase 1) (continued):** Consider, for presentation to the Judicial Council, the feasibility of and resource requirements for developing and implementing a pilot to allow remote appearances by parties, counsel, and witnesses for most noncriminal court proceedings.

### **Workstreams**

- **Tactical Plan for Technology Update (continued):** Update the *Tactical Plan for Technology* for effective date 2019-2020.
  - **Video Remote Interpreting Pilot (continued):** Consult as requested and implement Video Remote Interpreting (VRI) pilot program.
  - **E-Filing Strategy (continued):** Establish EFM master agreements, develop EFSP certification; report on e-filing implementations, standards, and cost recovery.
  - **Identity and Access Management Strategy (Phase 2) (continued):** Develop a branch identity management strategy.
  - **Self-Represented Litigants E-Services (continued):** Develop requirements and a request for proposal (RFP) for establishing online branchwide self-represented litigants e-services.
  - **IT Community Development (continued):** Expand collaboration and professional development within the branch IT community.
  - **Digital Evidence: Assessment (Phase 1) (continued):** Investigate, assess, and report on statutes, rules, business practices, and technical standards related to digital evidence.
  - **Digital Evidence: Assessment (Phase 2) (new):** Investigate and draft technology best practices, standards, and policies, and propose changes to evidence-based rules and statutes.
  - **Data Analytics: Assessment and Report (Phase 1) (continued):** Scope and recommend a data analytics strategy for the branch.
  - **Disaster Recovery Framework Pilot (Phase 2) (continued):** Implement branch disaster recovery pilot program, master agreement, knowledge-sharing; evaluate need for BCP.
  - **Online Dispute Resolution (ODR): Assessment (new):** Identify and evaluate available ODR technologies and potential scenarios in which ODR might benefit the judicial branch and its court users.
- Branchwide Information Security Roadmap (new):** Develop a defined structure of activities that will collectively enhance the judicial branch information security posture.

## **Subcommittees<sup>2</sup>:**

- Rules & Policy Subcommittee
  - Trial court rules and statutes revisions
  - Standards for electronic court records as data
  - Privacy Resource Guide
- Joint Appellate Technology Subcommittee (JATS)
  - Rules modernization: Uniform formatting rules for electronic documents
  - Modernize appellate court rules
  - E-filing and e-readers for incarcerated individuals
  - Appellate document management system

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<sup>2</sup> California Rules of Court, rule 10.30 (c) allows an advisory body to form subgroups, composed entirely of current members of the advisory body, to carry out the body's duties, subject to available resources, with the approval of its oversight committee.



## II. COMMITTEE PROJECTS

| Existing Project (Ending 2019)  |                               |
|---|-------------------------------|
| <b>1.1 Futures Commission Directive:<br/>Intelligent Chat for Self-Help Services (Phase 1)</b>  | <i>Priority 1<sup>3</sup></i> |
| <p><b><i>Project Summary:</i></b> The committee was directed by the Chief Justice to explore and make recommendations to the Judicial Council on the potential for a pilot project using intelligent chat technology to provide information and self-help services.</p> <p><b><i>Key Objectives:</i></b><br/>Included in Phase 1 of this project:</p> <ul style="list-style-type: none"> <li>(a) Identify and monitor a series of court proofs of concepts (POCs) to assess technology readiness for various use cases (e.g., Court of Appeal, e-filing, self-help).</li> <li>(b) Identify key performance indicators and benchmark before/after success.</li> <li>(c) Capture learnings and report findings.</li> <li>(d) Update Phase 2 of workplan based on results.</li> <li>(e) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.</li> </ul> <p><b><i>Origin of Project:</i></b> Chief Justice directive from the Futures Commission recommendations report; assigned to ITAC in May 2017.</p> <p><b><i>Status/Timeline:</i></b> August 2019</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Sponsor: Hon. Michael Groch</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Court CIOs</li> </ul> |                               |

<sup>3</sup> For non-rules and forms projects, select priority level 1 (must be done) or 2 (should be done).

| Existing Project (Ending 2019)  |                   |
|---|-------------------|
| <b>1.2 Futures Commission Directive:<br/>Voice-to-Text Language Services Outside the Courtroom (Phase 1)</b>  | <i>Priority 1</i> |
| <p><b><i>Project Summary:</i></b> The committee was directed by the Chief Justice to explore available technologies and make recommendations to the Judicial Council on the potential for a pilot project using voice-to-text language interpretation services at court filing and service counters and in self-help centers. The goal of the lab pilot will be to determine next steps with this technology. Potential next step outcomes may be to continue to research the technology within a lab environment while it matures, parallel with a pilot at one court for a specific use case, or to pilot at multiple courts for multiple use cases.</p> <p><b><i>Key Objectives:</i></b></p> <p>Included in Phase 1 of this project:</p> <ul style="list-style-type: none"> <li>(a) Define the standard of success and how to measure it as well as define the difference between translation and interpretation.</li> <li>(b) Determine how, or if, the work for this initiative aligns with existing work of the Language Access Plan Implementation Task Force (LAPITF) and the work of The Legal Design Lab at the Stanford University Law School.</li> <li>(c) Setup a technical lab environment at the Judicial Council or a local court to test the technical recommendations of the Futures Commission for this initiative.</li> <li>(d) Pilot various voice-to-text language services in a lab environment, which will allow for exposure to more technologies and shorter learning cycles than if a specific technology is deployed at a court for piloting.</li> <li>(e) Capture learnings and draft a white paper report on the lessons learned, findings, and recommendations for next steps.</li> <li>(f) Update Phase 2 of workplan based on results.</li> <li>(g) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.</li> </ul> <p><b><i>Origin of Project:</i></b> Chief Justice directive from the Futures Commission recommendations report; assigned to ITAC in May 2017.</p> <p><b><i>Status/Timeline:</i></b> June 2019</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Sponsor: Hon. James Mize</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Court CIOs, pilot courts, Court Innovation Grant awardees</li> </ul> |                   |

| Existing Project (Ending 2019)   |                   |
|--|-------------------|
| <b>1.3 Futures Commission Directive:<br/>Remote Video Appearances for Most Non-Criminal Hearings (Phase 1)</b>   | <i>Priority 1</i> |
| <p><b>Project Summary:</b> The committee was directed by the Chief Justice to consider, for presentation to the Judicial Council, the feasibility of and resource requirements for developing and implementing a pilot project to allow remote appearances by parties, counsel, and witnesses for most noncriminal court proceedings.</p> <p><b>Key Objectives:</b><br/>Included in Phase 1 of this project:</p> <ul style="list-style-type: none"> <li>(a) Capture learnings and report findings from Proof of Concept.</li> <li>(b) Update Phase 2 of workplan based on results.</li> <li>(c) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.</li> </ul> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Identify and conduct a mock remote video hearing using a web conferencing system for a specific hearing type (e.g., Civil, Small Claims) as a Proof of Concept (POC) in a court. Include one or more mock hearings of selected case types. (Completed 2018. Workstream members proceeding through issue and topic log based on findings from POC).</i></li> </ul> <p><b>Origin of Project:</b> Chief Justice directive from the Futures Commission recommendations report; assigned to ITAC in May 2017.</p> <p><b>Status/Timeline:</b> March 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Sponsor: Hon. Samantha Jessner</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Court CIOs, pilot courts, and Court Innovation Grant awardees</li> </ul> |                   |

| <b>Existing Workstream (Ending 2019)</b>   |                          |
|--|--------------------------|
| <b>2. Tactical Plan for Technology Update</b>  | <b><i>Priority 1</i></b> |
| <p><b><i>Project Summary:</i></b> Update <i>Tactical Plan for Technology</i> for effective date 2019-2020.</p> <p><b><i>Key Objectives:</i></b></p> <ul style="list-style-type: none"> <li>(a) Circulate the draft plan for branch and public comment; revise as needed.</li> <li>(b) Finalize, and seek approval by the JCTC and the Judicial Council; thereafter, formally sunset the workstream.</li> </ul> <p><b><i>Objectives met or resolved:</i></b></p> <ul style="list-style-type: none"> <li>• <i>Initiate workstream, including formation of membership and conduct orientation/kickoff meeting (completed 2018).</i></li> <li>• <i>Review, gather input, and update the Tactical Plan for Technology (Workstream members collaborated to update the Tactical Plan for Technology, and is preparing to submit for branch and public comment.)</i></li> </ul> <p><b><i>Origin of Project:</i></b> Specific charge of ITAC per Rule 10.53 (b)(8).</p> <p><b><i>Status/Timeline:</i></b> April 2019</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsor: Hon. Sheila Hanson</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Broad input from the branch and the public.</li> </ul> |                          |

| Existing Workstream (End 2019)   |                   |
|--|-------------------|
| <b>3. Video Remote Interpreting (VRI) Pilot</b>  | <i>Priority 2</i> |
| <p><b>Project Summary:</b> Consult as requested and implement Video Remote Interpreting (VRI) pilot program.</p> <p><b>Key Objectives:</b><br/>           In cooperation with and under the direction of the Language Access Plan Implementation Task Force (LAPITF) Technological Solutions Subcommittee (TSS):</p> <ul style="list-style-type: none"> <li>(a) Review pilot findings; validate, refine, and amend, if necessary, the technical standards.</li> <li>(b) Identify whether new or amended rules of court are needed (and advise the Rules &amp; Policy Subcommittee for follow up).</li> <li>(c) Consult and collaborate with LAPITF, as needed, in preparing recommendations to the Judicial Council on VRI implementations.</li> <li>(d) Coordinate and plan with JCIT regarding operational support, if appropriate.</li> <li>(e) At the completion of these objectives, seek approval of ITAC, JCTC and the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Support implementation of the assessment period of the VRI pilot program (including kickoff, court preparations, site visits, and deployment), as requested (completed 2018).</i></li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018; continuation of project from Annual Agenda 2015-2018.</p> <p><b>Status/Timeline:</b> March 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>Joint Workstream:</i> <ul style="list-style-type: none"> <li>○ <i>ITAC:</i> Sponsor: Hon. Samantha Jessner (ITAC)</li> <li>○ <i>Language Access Plan Implementation Task Force (LAPITF):</i> Sponsor: Hon. Terence L. Bruiniers, Chair of LAPITF Technological Solutions Subcommittee (TSS)</li> </ul> </li> <li>• <i>Judicial Council Staffing:</i> Court Operations Services, Information Technology</li> <li>• <i>Collaborations:</i> LAPITF TSS; CEAC, TCPJAC, and their Joint Technology Subcommittee; Court CIOs</li> </ul> |                   |

**Existing Workstream (Ending 2019)**

**4. E-Filing Strategy**

*Priority 1*

**Project Summary:** Establish EFM master agreements, develop EFSP certification; report on e-filing implementations, standards, and cost recovery.

**Key Objectives:**

- (a) Finalize master agreements with the three (3) E-Filing Managers (EFMs) selected to provide services (two of three completed in 2018).
- (b) Consult and report on the implementation of the court cost recovery fee that will support the statewide e-filing program.
- (c) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.

**Objectives met or resolved:**

- *Develop the E-Filing Service Provider (EFSP) selection/certification process. (Task will be operationalized by JCIT. JCIT to provide oversight, with input from courts and EFMs.)*
- *Monitor the progress of EFSP accessibility compliance. (Completed 2018. JCIT will continue to report to the Legislature, as required.)*
- *Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives. (Completed 2018. Projected roadmap for pilot phase included as part of approved [BCP](#). JCIT to operationalize following initial pilot.)*
- *Report on the plan for implementation of the approved NIEM/ECF standards, including effective date, per direction of the Judicial Council at its June 24, 2016 meeting. (NIEM/ECF standards have been developed for the pilot court. JCIT will operationalize and provide a report to the Judicial Council.)*
- *Coordinate and plan with JCIT regarding operational support of the ongoing e-filing program being funded through the court cost-recovery fee (completed 2018).*

**Origin of Project:** Tactical Plan for Technology 2017-2018 and 2019-2020 (pending); carryover project from 2015-2018 Annual Agenda with evolving objectives; also, directive from June 2016 Judicial Council meeting.

**Status/Timeline:** June 2019

**Resources:**

- *ITAC:* Workstream: Sponsor: Hon. Sheila Hanson
- *Judicial Council Staffing:* Information Technology, Legal Services
- *Collaborations:* CEAC, TCPJAC, and their Joint Technology Subcommittee

| Existing Workstream (Ending 2019)   |                   |
|---|-------------------|
| <b>5. Identity and Access Management Strategy (Phase 2)</b>   | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Develop a branch identity management strategy.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Develop the roadmap for a branch identity management strategy and approach.</li> <li>(b) Determine policies and processes for identity management (including proofing and access management).</li> <li>(c) Ensure linkage and alignment with other branchwide initiatives such as E-Filing, SRL Portal, Next Generation Hosting, CMS Migration and Deployment.</li> <li>(d) Coordinate and plan with JCIT regarding operational support, if appropriate.</li> <li>(e) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Phase 1: Develop and issue an RFP for a statewide identity management service/provider; identify and select (completed 2018).</i></li> </ul> <p><b>Origin of Project:</b> Previously, this was a sub-task of the e-filing initiative. The item was promoted to its own annual agenda initiative given its many touchpoints with other workstreams (including Self-Represented Litigants E-Services, Next-Generation Hosting, E-filing Strategy, etc.). Tactical Plan for Technology 2017-2018 and 2019-2020 (pending).</p> <p><b>Status/Timeline:</b> July 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream: Sponsor: Mr. Snorri Ogata</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Legal Services, Branch Accounting and Procurement</li> <li>• <i>Collaborations:</i> CEAC, TCPJAC, and their Joint Technology Subcommittee</li> </ul> |                   |

| Existing Workstream (Ending 2019)   |                   |
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| <b>6. Self-Represented Litigants (SRL) E-Services</b>   | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Develop requirements and a Request for Proposal (RFP) for establishing online branchwide self-represented litigants (SRL) e-services.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Develop and issue a Request for Proposal (RFP) or other solicitation, as needed, to support the implementation of the branchwide e-services portal.</li> <li>(b) Coordinate and plan with JCIT regarding operational support, if appropriate.</li> <li>(c) At the completion of these objectives, seek approval of ITAC and JCTC and formally sunset the workstream.</li> </ul> <p>Note: In scope is the submission and tracking of a budget change proposal (BCP) and development of an RFP; out of scope is the actual implementation.</p> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Provide input for, and track, a SRL E-Services Budget Change Proposal (BCP) process for FY18-19 funding. (Completed 2018. <a href="#"><u>Awarded BCP funding for FY18-19 (\$3.2 million) and FY19-20 (\$1.3million).</u></a>)</i></li> <li>• <i>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 (completed 2018).</i></li> <li>• <i>Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources (completed 2018 as part of the RFP).</i></li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018 and 2019-2020 (pending); next phase of project following feasibility and desirability assessment (2015-2016).</p> <p><b>Status/Timeline:</b> January 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsors: Hon. Michael Groch</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Center for Families, Children and the Courts (CFCC)</li> <li>• <i>Collaborations:</i> Alternative Dispute Resolution (ADR) Subcommittee of the Civil and Small Claims Advisory Committee (CSCAC) standing subcommittee; Advisory Committee Providing Access &amp; Fairness; CEAC, TCPJAC, and their Joint Technology Subcommittee; CITMF, the Southern Regional SRL Network, and the California Tyler Users Group (CATUG)</li> </ul> |                   |



| New Workstream (Ending 2019)  |                   |
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| <b>7. IT Community Development</b>  | <b>Priority 1</b> |
| <p><b>Project Summary:</b> Expand collaboration and professional development within the branch IT community.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Survey the courts to identify (i) their interest in exploring opportunities to share key technical resources and (ii) IT leadership and resource development needs and priorities; report findings.</li> <li>(b) Assess court CEO/CIO interest in an IT peer consulting program and develop recommendations.</li> <li>(c) Assess needs and make recommendations for expanded opportunities for technology-related education for judicial officers, CEOs, CIOs, and court staff. Consult with CJER for educational planning considerations.</li> <li>(d) Identify, prioritize, and report on collaboration needs and tools for use within the branch.</li> <li>(e) Evaluate and prioritize possible technologies to improve advisory body and workstream meeting administration; pilot recommended solutions with the committee.</li> <li>(f) Coordinate and plan with JCIT regarding operational support, as appropriate.</li> <li>(g) Provide recommendations for Phase 2 based on findings and including updated <i>Tactical Plan for Technology</i>.</li> <li>(h) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.</li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018 and 2019-2020 (pending).</p> <p><b>Status/Timeline:</b> August 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsors: Hon. Alan Perkins, Ms. Jeannette Vannoy</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> CEAC, TCPJAC, and their Joint Technology Subcommittee</li> </ul> |                   |

| Existing Workstream (Ending 2019)  |                   |
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| <b>8. Digital Evidence: Assessment (Phase 1)</b>   | <i>Priority 2</i> |
| <p><b>Project Summary:</b> Investigate, assess, and report on statutes, rules, business practice, and technical standards related to digital evidence.</p> <p><b>Key Objectives:</b><br/>           (a) Seek approval on recommendations and next steps from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2.</p> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Review existing statutes and rules of court to identify impediments to use of digital evidence and opportunities for improved processes (completed 2018).</i></li> <li>• <i>Survey courts for existing business practices and policies regarding acceptance and retention of digital evidence (completed 2018).</i></li> <li>• <i>Survey courts and justice system groups regarding possible technical standards and business practices for acceptance and storage of digital evidence (completed 2018).</i></li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018<br/> <b>Status/Timeline:</b> April 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC: Workstream, Sponsor: Hon. Kimberly Menninger</i></li> <li>• <i>Judicial Council Staffing: Information Technology, Legal Services</i></li> <li>• <i>Collaborations: CEAC, TCPJAC</i></li> </ul> |                   |

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| <b>New Workstream (Ending 2020)</b>   |                   |
| <b>9. Digital Evidence: Assessment (Phase 2)</b>  | <i>Priority 2</i> |
| <p><b>Project Summary:</b> Investigate and draft technology best practices, standards, and policies, and propose changes to evidence-based rules and statutes.</p> <p><b>Key Objectives:</b><br/>Based on findings from Phase 1:</p> <ul style="list-style-type: none"> <li>(a) Investigate and draft proposed best practices, policies, and standards for transmitting, accepting, storing, and protecting digital evidence, and circulate recommendations to the branch for input and feedback.</li> <li>(b) Research and recommend existing technology and services that would support transmission, acceptance, storage, and protection of digital evidence.</li> <li>(c) Develop and propose changes to evidence-based rules of court and statutes in collaboration with the Rules and Policy Subcommittee.</li> <li>(d) Review the Trial Court Records Manual for any needed updates to reflect revisions of rules and statutes, and any proposed best practices, policies and standards.</li> <li>(e) Report findings to ITAC and JCTC, providing recommendations on next steps, and formally sunset this phase of the workstream.</li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-18 and 2019-2020 (pending).</p> <p><b>Status/Timeline:</b> December 2020</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsor: Hon. Kimberly Menninger</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Legal Services</li> <li>• <i>Collaborations:</i> CEAC, TCPJAC, ITAC Rules and Policy Subcommittee, and other advisory bodies as needed</li> </ul> |                   |

| Existing Workstream (Ending 2019)   |                   |
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| <b>10. Data Analytics: Assess and Report (Phase 1)</b>  | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Scope and recommend a data analytics strategy for the branch.</p> <p><b>Key Objectives:</b></p> <p>Scope and recommend a data analytics strategy for the branch.</p> <ul style="list-style-type: none"> <li>(a) Identify, evaluate and prioritize possible policies, processes, and technologies to help the branch utilize data analytics to improve business effectiveness.</li> <li>(b) Develop appropriate governance recommendations at the local court and branch level.</li> <li>(c) Assess and report priorities for data collection.</li> <li>(d) Identify and evaluate possible data analytical tools and templates.</li> <li>(e) Identify whether new or amended rules of court and/or statutes are needed and advise the Rules &amp; Policy Subcommittee for follow up.</li> <li>(f) Based on findings and recommendations, scope and initiate Phase 2 of the workstream.</li> <li>(g) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Origin of Project:</b> Topic resulted from a brainstorm of ideas conducted with ITAC and the court CIOs in late 2017; Tactical Plan for Technology 2019-2020 (pending).</p> <p><b>Status/Timeline:</b> September 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsors: Hon. Tara Desautels, Mr. David Yamasaki</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Budget Services, Criminal Justice Services, Judicial Branch Statistical Information System (JBSIS) Program, Center for Families, Children, and the Courts, Legal Services</li> <li>• <i>Collaborations:</i> CIOs, CEAC, TCPJAC, appellate group representation</li> </ul> |                   |

| Existing Workstream (Ending 2020)   |                   |
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| <b>11. Disaster Recovery (DR) Framework (Phase 2)</b>   | <b>Priority 1</b> |
| <p><b>Project Summary:</b> Implement branch disaster recovery (DR) pilot program, master agreement, knowledge-sharing; evaluate need for BCP.</p> <p><b>Key Objectives:</b><br/>Leveraging the innovation grant awarded to the Superior Court of Monterey County for a Cloud DR Pilot Program, the workstream will:</p> <ul style="list-style-type: none"> <li>(a) Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).</li> <li>(b) Recommend a list of critical technology services that make business sense for cloud-based recovery adoption.</li> <li>(c) Establish a cloud DR master agreement with a short list of cloud service providers for judicial branch entities/courts to leverage.</li> <li>(d) Publish design solution templates from judicial branch entities (JBEs) that implement technologies and solutions from vendors selected in the cloud DR master agreement.</li> <li>(e) Host knowledge-sharing sessions for interested JBEs (including tools to estimate cost for deploying recovery solution using a particular cloud service provider; and Monterey solution case study).</li> <li>(f) Evaluate the need for a BCP to fund a pilot group of courts interested in implementing cloud-based DR for critical technology services (see (a)).</li> <li>(g) Coordinate and plan with JCIT regarding operational support, if appropriate.</li> <li>(h) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018 and 2019-2020 (pending); next phase of project following framework adoption.</p> <p><b>Status/Timeline:</b> June 2020</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsor: Mr. Paras Gupta</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Pilot courts; CEAC, CITMF</li> </ul> |                   |

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| <b>New Workstream (Ending 2019)</b>  |                   |
| <b>12. Online Dispute Resolution (ODR): Assessment</b>   | <b>Priority 2</b> |
| <p><b>Project Summary:</b> Identify and evaluate available ODR technologies and potential scenarios in which ODR might benefit the judicial branch and its court users.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).</li> <li>(b) Identify and evaluate available ODR technologies.</li> <li>(c) Review findings from existing court-offered ODR programs.</li> <li>(d) Evaluate and describe scenarios where ODR might be beneficially deployed in the judicial branch.</li> <li>(e) Review rules and statutes to identify areas where possible amendments will be needed.</li> <li>(f) Report findings and recommendations to ITAC.</li> <li>(g) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2019-2020</p> <p><b>Status/Timeline:</b> December 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream: Sponsor: Hon. Julie Culver</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Legal Services</li> <li>• <i>Collaborations:</i> CEAC; TCPJAC; Civil and Small Claims Advisory Committee</li> </ul> |                   |

| New Workstream (Ending 2019)   |                   |
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| <b>13. Branchwide Information Security Roadmap</b>   | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Develop a defined structure of activities that will collectively enhance the judicial branch information security posture.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).</li> <li>(b) Define methods and activities for expanding branch information security capabilities.</li> <li>(c) Create an overarching strategy for educating courts on information security best practices, risk management, and incident response.</li> <li>(d) Identify resources to assist the courts in developing policies and procedures based on the Judicial Branch Information Systems Controls Framework.</li> <li>(e) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.</li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2019-2020</p> <p><b>Status/Timeline:</b> December 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsors: Hon. James Mize</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> CITMF</li> </ul> |                   |

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| <b>Ongoing Project</b>  |                                      |
| <b>14.1 Trial Court Rules and Statutes Revisions</b>  | <b><i>Priority 1<sup>4</sup></i></b> |
| <p><b><i>Project Summary:</i></b> Revise the California Rules of Court and statutes for the trial courts to support e-business. In collaboration with other advisory committees, as needed, review rules and statutes in a systematic manner and develop recommendations for amendments to align with modern business practices (e.g., eliminating paper dependencies).</p> <p><b><i>Proposals within the scope of this item include:</i></b></p> <ul style="list-style-type: none"> <li>(a) <b>Proposals to amend statutes to support e-business.</b> First, amend Code of Civil Procedure section 1010.6 to allow courts to recover actual costs of permissive electronic filing as they can with mandatory electronic filing, and clarify a provision for signatures made not under penalty of perjury. Second, amend Penal Code section 1203.01 to provide an alternative to mailing certain statements and reports.</li> <li>(b) <b>Proposals to amend the electronic filing and service rules to provide greater clarity and remove paper dependancies.</b> First, amend rule 2.251 to clarify how notice of electronic service is to be given and provide standardized language for consent. Second, amend rule 2.257 to revise language on signatures of opposing parties, and make minor revisions consistent with Code of Civil Procedure section 1010.6.</li> <li>(c) <b>Proposals to amend rules on remote access to electronic records.</b> Make minor amendments to rule 2.540 to add more clarity and additional local government entities.</li> </ul> <p>In addition to proposals, the subcommittee will also monitor feedback on the new rules on remote access to electronic records to determine if more significant amendments may be needed as courts implement the rules. In particular, the subcommittee is interested in whether additional revisions to the government entity remote access rules are needed.</p> <p><b><i>Origin of Project:</i></b> Tactical Plan for Technology 2017-2018 and and 2019-2020 (pending). Standing item on the agenda.</p> <p><b><i>Status/Timeline:</i></b> Ongoing</p> |                                      |

<sup>4</sup> For rules and forms proposals, the following priority levels apply: 1(a) Urgently needed to conform to the law; 1(b) Urgently needed to respond to a recent change in the law; 1(c) Adoption or amendment of rules or forms by a specified date required by statute or council decision; 1(d) Provides significant cost savings and efficiencies, generates significant revenue, or avoids a significant loss of revenue; 1(e) Urgently needed to remedy a problem that is causing significant cost or inconvenience to the courts or the public; 1(f) Otherwise urgent and necessary, such as a proposal that would mitigate exposure to immediate or severe financial or legal risk; 2(a) Useful, but not necessary, to implement statutory changes; 2(b) Helpful in otherwise advancing Judicial Council goals and objectives.



| <b>Ongoing Project</b>   |
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| <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"><li>• <i>ITAC:</i> Rules &amp; Policy Subcommittee, Chair, Hon. Peter Siggins</li><li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology, Office of Governmental Affairs,</li><li>• <i>Collaborations:</i> ITAC Joint Appellate Technology Subcommittee; Appellate, Civil &amp; Small Claims, Criminal Law, Traffic, Family and Juvenile Law, and Probate and Mental Health advisory committees; TCPJAC, CEAC and their Joint Technology, Rules, and Legislative Subcommittees</li></ul> |

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| <b>One-Time Project (Ending 2019)</b>   |                   |
| <b>14.2 Standards for Electronic Court Records as Data</b>  | <b>Priority 2</b> |
| <p><b>Project Summary:</b> Develop standards for electronic court records maintained as data.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) CEAC Records Management Subcommittee – in collaboration with the Data Exchange Workstream governance body – to develop standards if needed to allow trial courts to maintain electronic court records as data in their case management systems to be included in the <i>Trial Court Records Manual</i> with input from the Court Information Technology Managers Forum (CITMF). Rules &amp; Policy Subcommittee to review.</li> <li>(b) Determine what statutory and rule changes may be required to authorize and implement the maintenance of records in the form of data; develop proposals to satisfy these changes.</li> </ul> <p><b>Origin of Project:</b> Carryover from 2016-2018 Annual Agendas. Court Executives Advisory Committee (CEAC); Government Code section 68150 provides that court records may be maintained in electronic form so long as they satisfy standards developed by the Judicial Council. These standards are contained in the Trial Court Records Manual. However, the current version of the manual addresses maintaining electronic court records only as documents, not data.</p> <p><b>Status/Timeline:</b> December 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Rules &amp; Policy Subcommittee, Chair: Hon. Peter Siggins</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Legal Services</li> <li>• <i>Collaborations:</i> Data Exchange governance body (TBD); CEAC, TCPJAC, and their Joint Technology Subcommittee</li> </ul> |                   |

| One-Time Project (Ending 2019)   |                   |
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| <b>14.3 Privacy Resource Guide</b>   | <b>Priority 2</b> |
| <p><b>Project Summary:</b> Develop and adopt a <i>Privacy Resource Guide</i> on electronic court records and access in trial and appellate courts. Following initial adoption, Judicial Council staff (led by Legal Services) will be responsible for maintaining and updating this document in consultation with appropriate subject matter advisory bodies, including ITAC.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>(a) Circulate the draft guide for branch comment; revise as appropriate.</li> <li>(b) Finalize and seek approval of the guide by ITAC, the JCTC, and the Judicial Council.</li> </ul> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Continue development of a comprehensive statewide privacy resource guide addressing, among other things, electronic access to court records and data, to align with both state and federal requirements (completed 2018).</i></li> <li>• <i>Continue development of court privacy resource guide, outlining the key requirements, contents, and provisions for courts to address within its specific privacy policy (completed 2018).</i></li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2017-2018; carryover from 2014-2018 Annual Agendas. Code Civ. Proc., § 1010.6 (enacted in 1999) required the Judicial Council to adopt uniform rules on access to public records; subsequently the rules have been amended in response to changes in the law and technology, requests from the courts, and suggestions from members of ITAC (formerly, CTAC), the bar, and the public.</p> <p><b>Status/Timeline:</b> December 2019</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Joint effort between the Rules &amp; Policy and Joint Appellate Technology Subcommittees, Lead: Hon. Julie Culver</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Identity and Access Management Workstream; Appellate Advisory Committee, CEAC, TCPJAC, and their Joint Technology Subcommittee; Criminal Law Advisory Committee, and the Department of Justice</li> </ul> |                   |

| Ongoing Project   |                   |
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| <b>15.1 Rules Modernization: Uniform Formatting Rules for Electronic Documents</b>  | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Uniform formatting rules for electronic documents filed or submitted to the appellate courts.</p> <p>All appellate courts have implemented e-filing, but local rules for the format of electronic documents are often incomplete or inconsistent among the districts, resulting in burdens for litigants, attorneys, and appellate courts. This project originated with suggestions for rules regarding exhibits and bookmarking and was expanded in scope to include uniform formatting for all electronic documents.</p> <p><b>Key Objective:</b></p> <p>(a) Develop uniform formatting rules for electronic documents filed or otherwise submitted to the appellate courts.</p> <p><b>Origin of Project:</b> Suggestions from advisory committee members, courts, the bar, and the public.</p> <p><b>Status/Timeline:</b> January 1, 2020</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Joint Appellate Technology Subcommittee, Chair, Hon. Louis Mauro</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Appellate Advisory Committee</li> </ul> |                   |

**One-Time Project (Ending 2020)**

**15.2 Modernize Appellate Court Rules**

*Priority 2(b)*

**Project Summary:** Modernize appellate court rules to support e-filing and e-business.

Modernizing appellate court rules for e-filing and e-business is one of the main charges for JATS. Rules modernization includes projects such as (1) reviewing appellate rules to ensure they are consistent with e-filing practice and considering potential rule modifications where outdated provisions challenge or prevent e-business; (2) considering rule amendments to remove requirements for paper versions of documents; and (3) developing new rules to facilitate e-filing and e-business.

**Specific projects:**

- (a) **Numbering of materials in requests for judicial notice.** Consider amending rule 8.252, which requires that materials to be judicially noticed be numbered consecutively, starting with page number one. The problem is that such materials are attached to a motion and declaration(s) and are electronically filed as one document, making pagination and reference to those materials in the briefs confusing for litigants and the courts. This project may be addressed by the uniform format rules project. *Source of the project:* Dan Kolkey, committee member. Second year of a current priority 2 project/completion date of January 1, 2020.
- (b) **Method of notice to the court reporter.** Consider whether to amend rule 8.405, which governs the filing of an appeal in juvenile cases, to remove or modify the requirement in subdivision (b)(1)(B) that the clerk notify the court reporter “by telephone and in writing” to prepare a transcript. This language may be outdated or inconsistent with other rules requiring notification by the clerk. *Source of the project:* Tricia Penrose, Director of Juvenile Operations, Los Angeles Superior Court. New suggestion/completion date of January 1, 2021.
- (c) **Clarify the filing date of an e-filed document.** Amend rule 8.77 to clarify that an e-filed document received by the court before midnight that meets the filing requirements is deemed to have been filed that day. This project addresses an ambiguity in the rule that has resulted in inconsistent treatment of e-filed documents that are received after business hours. *Source of the project:* California Lawyers Association. New suggestion/completion date of January 1, 2021.
- (d) **Court of Appeal service copy of a petition for review.** Amend rule 8.500(f)(1) to remove the requirement of a separate service copy of a petition for review. Once the Supreme Court accepts a petition for review for filing, the Court of Appeal automatically receives a filed/endorsed copy of the petition. The filing of the petition satisfies the service requirements for the Court of Appeal. This project is intended to eliminate an inefficiency. *Source of the project:* Colette Bruggman, Assistant Clerk/Administrator, Third District Court of Appeal. Second year of a current priority 2 project/completion date of January 1, 2020.

*(continued on next page)*

**One-Time Project (Ending 2020)**

(e) **Amend rule 8.70 to clarify content.** Consider amending rule 8.70 to clarify the subdivision (c)(2)(B) definition of a document and make subdivision (c)(2)(D) parallel with the rest of (c)(2). *Source of the project:* Justice Mauro, committee chair. New suggestion/completion date of January 1, 2021.

**Origin of Project:** Tactical Plan for Technology 2017-2018 and 2019-2020 (pending), and as specifically indicated above; standing item on annual agenda.

**Status/Timeline:** The rules modernization effort is ongoing. The completion date for each specific project is stated above.

**Resources:**

- *ITAC:* Joint Appellate Technology Subcommittee, Chair, Hon. Louis Mauro
- *Judicial Council Staffing:* Legal Services, Information Technology
- *Collaborations:* Appellate Advisory Committee, Trial Court Presiding Judges Advisory Committee; Court Executives Advisory Committee.

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| <b>One-Time Project (Ending 2021)</b>  |                      |
| <b>15.3 E-Filing and E-Readers for Incarcerated Individuals</b>  | <i>Priority 2(b)</i> |
| <p><b>Project Summary:</b> E-filing and e-readers for incarcerated individuals to access electronic reporter’s transcripts</p> <p><b>Key Objective:</b></p> <p style="padding-left: 40px;">(a) Research and explore options with the California Department of Corrections and Rehabilitation (CDCR), and potentially recommend to the Judicial Council the development of a pilot program with one prison and one court to test promising options.</p> <p><b>Origin of Project:</b> Recent legislation (CCP § 271) allows a reporter’s transcript to be produced electronically unless requested in paper. The defense bar supports providing access to electronic transcripts to incarcerated individuals. This project can be informed by other jurisdictions where e-filing and tablets have been made available to incarcerated individuals without providing general internet access</p> <p><b>Status/Timeline:</b> January 1, 2021.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Joint Appellate Technology Subcommittee, Chair, Hon. Louis Mauro</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Appellate Advisory Committee, Court Executives Advisory Committee; California Department of Corrections and Rehabilitation (CDCR); any pilot court(s)</li> </ul> |                      |

| One-Time Project (Ending 2020)  |                   |
|---|-------------------|
| <b>15.4 Appellate Document Management System</b>  | <i>Priority 1</i> |
| <p><b>Project Summary:</b> Feedback on implementing document management systems in the appellate court.</p> <p><b>Key Objective:</b></p> <p style="padding-left: 20px;">(a) Receive status updates and provide feedback to Judicial Council Information Technology (JCIT) staff on implementation of a new document management system in the appellate courts. The Third Appellate District and the Fifth Appellate District are piloting the initial implementation.</p> <p><b>Origin of Project:</b> Part of JATS’s ongoing charge to consult on technology matters impacting appellate court business.</p> <p><b>Status/Timeline:</b> This project is ongoing in that implementation across the appellate courts will take years. The timing of JATS’s work will depend on the phases of implementation. Tentative completion date is 2021.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Joint Appellate Technology Subcommittee, Chair, Hon. Louis Mauro</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Appellate Advisory Committee; Administrative Presiding Justices; Appellate Court Clerk Executive Officers</li> </ul> |                   |



### III. LIST OF 2018 PROJECT ACCOMPLISHMENTS

| #   | Project Highlights and Achievements  |
|-----|--|
| 1.  | Tactical Plan for Technology Update – Workstream members have drafted an updated plan based on input from members and subject matter experts within the courts; and have submitted it for branch and public comment. (Project continues into 2019.)  |
| 2.  | Futures Commission Directive: Intelligent Chat for Self-Help Services (Phase 1) – Workstream membership was formed and divided into two tracks. The Business/Court Operations Track has begun identifying user stories. The Technical Track has begun researching different vendor technologies. (Project continues into 2019.)  |
| 3.  | Futures Commission Directive: Remote Video Appearances for Most Non-Criminal Hearings (Phase 1) – Workstream membership was formed. The team created an policy issue and topic log to address during the anticipated mock hearings. (Project continues into 2019.)   |
| 4.  | Video Remote Interpreting (VRI) Pilot – A pilot project was conducted with three participant courts. The project team collaborated with San Diego State University to collect data for a final evaluation report. (Project continues into 2019.)   |
| 5.  | Identity and Access Management – Selected a statewide identity management service/provider. (Project continues into 2019.)   |
| 6.  | E-Filing Strategy – A survey was conducted among the trial courts regarding their use of electronic filing and compliance with the requirements set forth by Assembly Bill 103. In addition, one of three master agreements for statewide e-filing managers was finalized. (Project continues into 2019.)  |
| 7.  | Intelligent Forms – ITAC approved the workstream’s final report with seven recommendations for modernizing forms, creating a secure central repository that would ingest user data and return populated forms.   |
| 8.  | Self-Represented Litigants E-Services – <a href="#">Awarded BCP funding for FY18-19 (\$3.2 million) and FY19-20 (\$1.3million)</a> to support development of branchwide SRL e-capabilities that will facilitate interactive FAQ, triage functionality, and document assembly to guide SRLs through the process, and interoperability with the branchwide e-filing solution. (Project continues into 2019.) |
| 9.  | Digital Evidence (Phase 1) – Surveyed courts and justice partners on current use of digital evidence. A draft report summarizes the findings and includes recommendations for Phase II of this effort. (Project continues into 2019.)  |
| 10. | Rules & Policy Subcommittee – Cal. Rules of Court, Title 2, amended effective January 1, 2019, to facilitate remote access to trial court records by state and local government entities, parties, parties’ attorneys, and certain court-appointed persons.  |
| 11. | Joint Appellate Technology Subcommittee – Rules for the handling of sealed or confidential materials that are submitted electronically were approved by the Judicial Council with an effective date of January 1, 2019.  |

# Budget Change Proposals (BCPs)

Mr. Mark Dusman, Principal Manager, Judicial Council  
Information Technology

# Future planning

## Strategic Goals Updated

### 1. Promote the Digital Court

Increase access to the courts, administer timely and efficient justice by supporting a foundation for the digital court and by implementing comprehensive digital services for public and justice partners.

### 3. Advance IT Security and Infrastructure

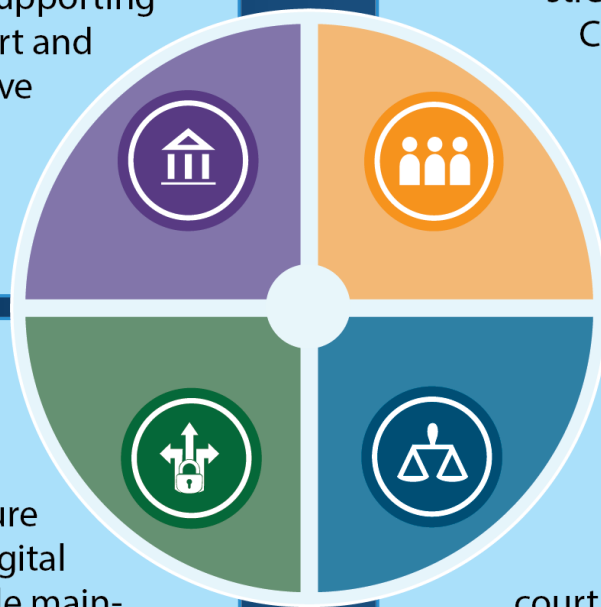
Invest in a secure, scalable and reliable technology infrastructure as a foundation to providing digital services and public access, while maintaining a focus on privacy protections and security.

### 2. Innovate through IT Community

Maximize the ability to innovate by strengthening and broadening the IT Community through collaboration, education, and employment strategies to leverage innovative solutions and resources to drive technological change.

### 4. Promote Rule and Legislative Changes

Promote the modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.



## Accomplishments

# BCP/Funding successes



- 7 BCPs for technology
- One-time funding: ~\$43M
- Ongoing funding: ~\$3.7M
- Security, CMS, DMS, e-filing, language access, and enterprise systems

# In Progress BCPs for FY19-20

- Case Management System Replacement
- Phoenix System Roadmap
- Business Intelligence and Data Analytics
- Digitizing Documents for Superior and Appellate Courts – Phase 1
- Futures Commission Directives for the Expansion of Technology in the Courts


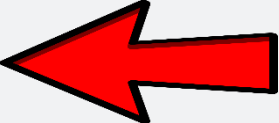
Future planning

## **Funding: What is a BCP?**

- Budget Change Proposal
- Proposes a change to existing/  
baseline budget
- Final BCP submitted to the  
Department of Finance
- If approved, included in the  
Governor's budget

## Future planning

# BCP Approval Timeline

|                    |   |
|--------------------|---|
| October – January  | Identify / review funding needs   |
| January – February | Develop Initial Funding Requests (IFRs) – <b>now include cost estimates!</b>  |
| February 26        | JCTC<br>- Prioritize<br>- Approve IFRs    |
| March 1            | Submit final IFRs to JBBC   |
| March/April        | Develop Concepts / summary for approved IFRs  |
| March – May        | Approval of IFRs (and / or Concepts)<br>by advisory bodies<br>- ITAC and JCTC  |
| May                | Review, approve, prioritize BCP Concepts by JBBC  |
| May – June         | Draft full BCP (if approved)  |
| July               | Judicial Council approves prioritized list  |
| August             | Submit BCP to Budget Services for review and refinement   |
| September          | Submit to Department of Finance   |



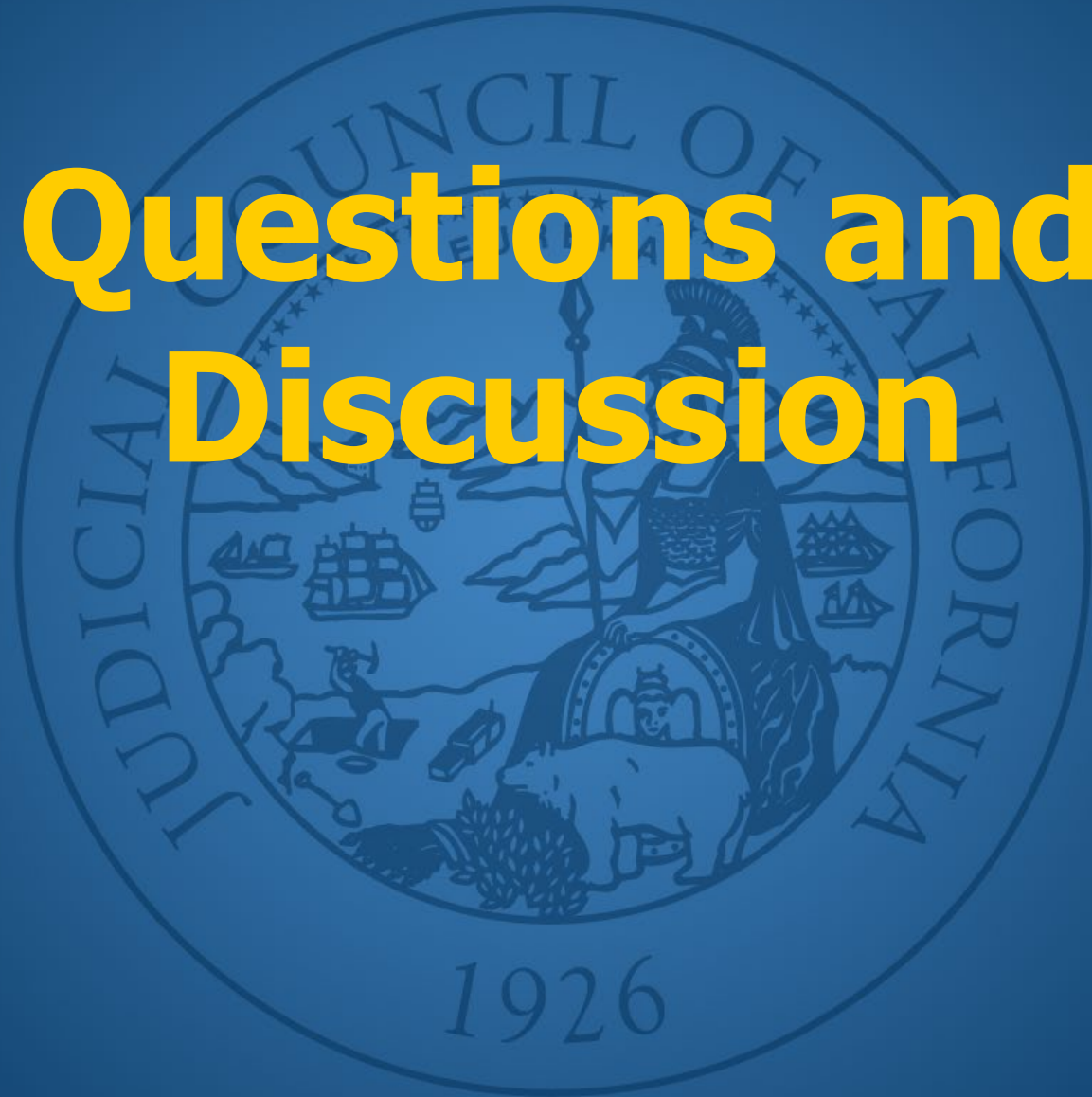
Future Planning

## Potential Technology BCPs

- Sought input from stakeholders including JCTC, ITAC, CITMF, and Judicial Council Management Council.



# Questions and Discussion





## JUDICIAL COUNCIL OF CALIFORNIA

455 Golden Gate Avenue • San Francisco, California 94102-3688  
Telephone 415-865-4200 • Fax 415-865-4205 • TDD 415-865-4272

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### MEMORANDUM

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**Date**

November 15, 2018

**Action Requested**

Please Review

**To**

Hon. Marsha G. Slough, Chair  
Hon. Gary Nadler, Vice-Chair  
Judicial Council Technology Committee

**Deadline**

N/A

**From**

Kathleen Fink, Manager,  
Judicial Council Information Technology

**Contact**

Kathleen Fink, Manager  
415-865-4094  
kathleen.fink@jud.ca.gov

**Subject**

Civil Case Management System (V3)  
Replacement Projects: Status September 25 –  
October 22, 2018

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**Project:** Civil Case Management System (CMS) (V3) Replacement projects for the Superior Courts of Orange, Sacramento, San Diego, and Ventura Counties

**Status:** The monthly Project Status meeting was held on October 22, 2018. Next meeting is scheduled for November 26, 2018.

**Intra Branch Agreements (IBAs):**

The Intra Branch Agreement for FY 2018-19 for Orange Superior Court is in progress.

### **CMS V3 Support**

The courts and JCC continue to reduce the amount of current maintenance and support in order to leverage those savings in the future to fund minimal “keep the lights on” support as a contingency for any potential project delays.

Several V3 software components will reach “end-of-life” at their current versions before V3 is retired, meaning the vendors will no longer support that version. The courts and JCC discussed the affected components and the risks vs benefits of a final software stack upgrade. The courts will discuss with their respective technical teams and contribute their recommendations at the next project status meeting.

#### **Ventura Superior Court** (Journal Technologies - eCourt):

Conversion tests on September 27 and October 9 have indicated further changes are required, resulting in a delay of the small claims go-live.

A mock go-live was executed on October 27, including a dry run of the production database export. Multiple conversion tests are scheduled, and testing is in progress.

#### **San Diego Superior Court** (Tyler Odyssey):

San Diego and Tyler are finishing business process and development for Small Claims - reviewed and approved Project Design Definitions (PDDs). Two weeks of design sessions were held with Tyler.

First conversion was completed at the end of September – most issues were related to configuration.

#### **Sacramento Superior Court** (Thomson Reuters C-Track):

Workshops and gap analysis sessions with Probate and Civil teams continue on a weekly basis, with documentation of the functional process in progress.

Thomson Reuters is seeking clarifications on the master services agreement – which of the specified requirements are applicable to Sacramento.

#### **Orange Superior Court** (Update CMS V3 for supportability and reliability):

Orange development staff are working on modernization for supportability plans.

The java architect is on board and working on modernization plans.



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### MEMORANDUM

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|   |  |
|---|--|
| <b>Date</b><br>December 31, 2018  | <b>Action Requested</b><br>Please Review   |
| <b>To</b><br>Hon. Marsha G. Slough, Chair<br>Hon. Gary Nadler, Vice-Chair<br>Judicial Council Technology Committee    | <b>Deadline</b><br>N/A   |
| <b>From</b><br>Kathleen Fink, Manager,<br>Judicial Council Information Technology                                     | <b>Contact</b><br>Kathleen Fink, Manager<br>415-865-4094<br>kathleen.fink@jud.ca.gov |
| <b>Subject</b><br>Civil Case Management System (V3)<br>Replacement Projects: Status October 22 –<br>December 31, 2018 |  |

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**Project:** Civil Case Management System (CMS) (V3) Replacement projects for the Superior Courts of Orange, Sacramento, San Diego, and Ventura Counties

**Status:** The monthly Project Status meeting was held on November 26, 2018. Next meeting is scheduled for January 28, 2019.

**Intra Branch Agreements (IBAs):**

The Intra Branch Agreement for FY 2018-19 for Orange Superior Court has been sent for signature.

**CMS V3 Support:**

The V3 courts have agreed on a software stack upgrade, limited to those components that will reach “end-of-life” at their current versions before V3 is retired. The software stack upgrade is targeting May 2019 to complete.

**Ventura Superior Court** (Journal Technologies - eCourt):

Go-live for small claims is targeting February 2019.

The first mock go-live exercise on October 23-27 was successful. Additional mock go-lives will be scheduled to validate the conversion.

**San Diego Superior Court** (Tyler Odyssey):

The court is focused on finishing Project Design Definitions (PDDs) for deposition, judgment, fee waiver, and e-filing.

A second conversion push was completed, with most issues related to configuration.

An expert from Tyler on Clerk's Edition (similar to V3 Minute Order Capture System, or MOCS) will be working directly with the court in December. To date 60% of minute code configuration is completed.

**Sacramento Superior Court** (Thomson Reuters C-Track):

Requirements gathering sessions with Thomson Reuters continue, focusing primarily on civil case management and calendaring.

The court has highlighted the need to design for cases with large numbers of participants (e.g., the Camp wildfire) to avoid performance issues related to those cases.

**Orange Superior Court** (Update CMS V3 for supportability and reliability):

Release 14.03 was deployed in production, which includes modernization updates by Orange County to maintain supportability and reliability of the V3 CMS solution.

The migration from Adobe to DocPath for Judicial Council forms is targeting to complete by December.

As Visual Studio is used for version control at Orange, the V3 Apache Subversion code base is being migrated to that product.



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### MEMORANDUM

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|  |  |
|--|--|
| <b>Date</b><br>December 31, 2018   | <b>Action Requested</b><br>Please Review                                       |
| <b>To</b><br>Hon. Marsha G. Slough, Chair<br>Hon. Gary Nadler, Vice-Chair<br>Judicial Council Technology Committee | <b>Deadline</b><br>N/A   |
| <b>From</b><br>David Koon, Manager,<br>Judicial Council Information Technology                                     | <b>Contact</b><br>David Koon, Manager<br>415-865-4618<br>david.koon@jud.ca.gov |
| <b>Subject</b><br>Sustain Justice Edition (SJE) Replacement<br>Projects: Status October 1 – December 31, 2018      |  |

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As requested, this communication provides a written update regarding the progress of the nine courts using the Sustain Justice Edition (SJE) case management system which collectively received \$4.1 million in funding for FY 17/18 and \$896,000 in FY 18/19 as a result of submitting a BCP to replace the SJE case management system with a modern CMS platform.

**Project:** Sustain Justice Edition (SJE) Replacement project for the Superior Courts of Humboldt, Lake, Madera, Modoc, Plumas, San Benito, Sierra, Trinity, and Tuolumne counties.

**Status:** Judicial Council staff and the SJE courts met on December 19, 2018 for the monthly status meeting. During the meeting, the SJE courts reported that Journal Technologies, Inc. had delivered the project plans for the Humboldt and Madera courts. While all courts continue to work on various aspects of their individual deployments, much of the activity is focused on the Humboldt and Madera courts which are scheduled to be the first two courts to migrate to the new case management system. Current activity for the Humboldt and Madera courts include

December 31, 2018

Page 2

reviewing civil financials/forms, reviewing the requirements for the FTB COD interface as well as working on the statute table.

**Next Steps:** The next monthly status meeting with Judicial Council staff and the SJE courts is on January 23, 2019. All of the courts will continue to work on various aspects of their deployments. The courts are also expecting Journal Technologies, Inc. to deliver the project plans for the other courts as well.