Technology Planning Task Force Concept Proposal

Judicial Council Summary

California Judicial Branch
January 23, 2014

Today's Objective

Gain Judicial Council approval for the general concepts and direction proposed by the Technology Planning Task Force.

Rationale

Support future funding of technology programs for the judicial branch.

"One of the key issues for the Judicial Branch will be how it uses technology to increase efficiency. The State Trial Court Improvement and Modernization Fund was established to fund statewide improvement and efficiency projects. As the Judicial Branch begins to develop and identify a long-term statewide technology plan, the Administration will work collaboratively with the Judicial Council to develop a sustainable and comprehensive funding plan that furthers the goals of the Act and benefits trial courts and the users of the courts."

Page 122, Governor's Budget Summary 2014-2015

Background

- Authorized by the Chief Justice in February 2013 to address judicial branch technology governance and strategy.
- Task force will work in collaboration with the courts to:
  - Propose a strategic plan, tactical plan, and funding model for managing technology.
  - Identify and promote opportunities for court collaboration and consortia.
- Work to date provides the basis for a Budget Change Proposal on Foundation for Digital Courts – Phase One (Case Management System Replacement and Expansion of LAN/WAN Telecommunications program).

Milestones

Action	Month
Conducted 3 regional meetings to present detailed strategic planning proposals, get feedback and input.	November
Provide process update to Judicial Council.	December
Present updated proposals to Judicial Council.	January
Submit proposal for public comment.	March
Submit final proposal to Judicial Council for approval.	June

Overview of Proposed Recommendations

Proposed Technology Vision

Through collaboration, initiative, and innovation on a branchwide 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.

Existing Guiding Principles

Approved by Judicial Council August 31, 2012

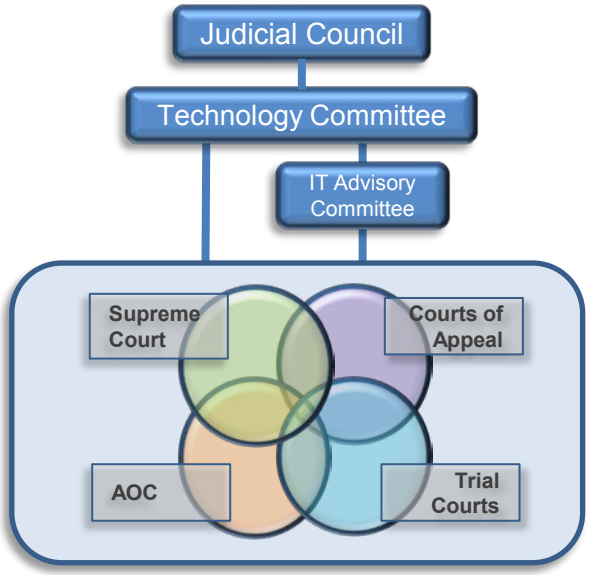
1. Ensure Access and Fairness
2. Include Self-Represented Litigants
3. Preserve Traditional Access
4. Design for Ease of Use
5. Provide Education and Support
6. Secure Private Information
7. Provide Reliable Information
8. Protect from Technology Failure
9. Improve Court Operations
10. Plan Ahead

Proposed Additional Guiding Principles

11. Improve Branchwide Compatibility through Technology Standards
12. Branchwide Collaboration and Economies of Scale
13. Local Decision-Making
14. Local Innovation

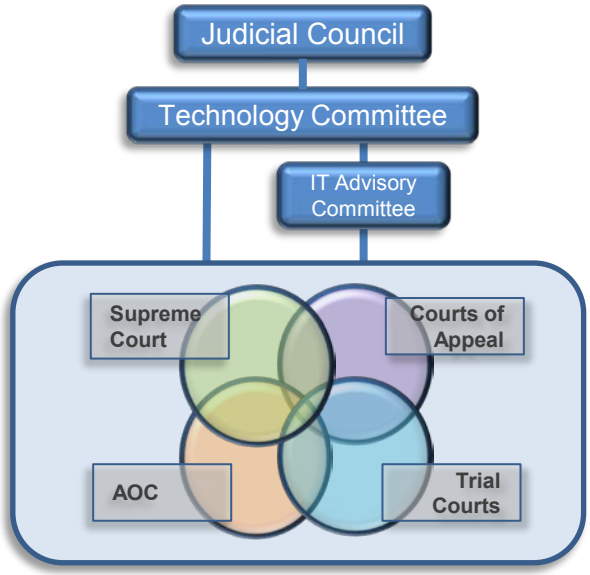
Working as an IT Community

- Workstreams approach.
- Tightly scoped projects that deliver specific results in a short time frame (6 months or less).
- Business driven with participation from courts and the AOC.
- Leverage the knowledge and expertise within the branch.
- Solicit participation to represent key stakeholders.



Proposed Governance Roles and Responsibilities

- Technology Committee (JCTC)
  - Branchwide technology oversight.
  - Prioritize and coordinate IT initiatives & funding.
- Rename the Court Technology Advisory Committee (CTAC) to “Information Technology Advisory Committee” (ITAC)
- ITAC
  - Propose rules
  - Facilitate technology projects funded in whole or in part at the branch level.
- JCTC and ITAC will coordinate regarding the governance recommendations with the pending rule of court 10.16 establishing the JCTC.

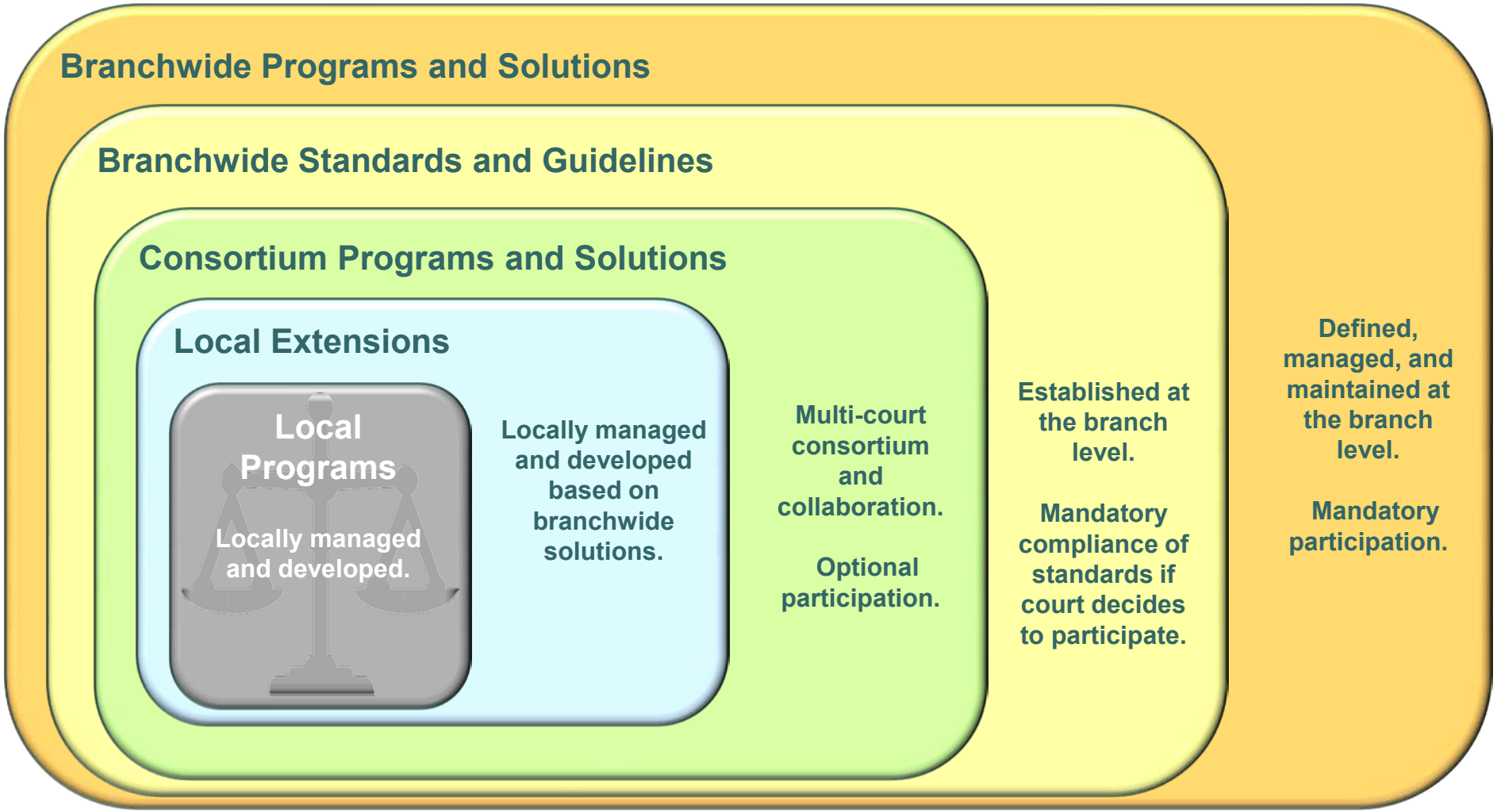


CTAC and ITAC Comparison

	Current Structure Court Technology Advisory Committee	Recommended Structure Information Technology Advisory Committee
Membership	60% Judicial Officers 15% Court Executive Officers 10% Chief Information Officers 15% External members	Increase technology subject matter expertise.
Responsibilities	1. Rules and Legislative Proposals 2. Technology Projects	1. Technology Projects 2. Rules and Legislative Proposals
Project Source	Selected by committee members	Determined by branch strategic plan and tactical plan as approved by the Judicial Council
Project Staffing	Primarily from Administrative Office of the Courts	IT Community – Courts and AOC

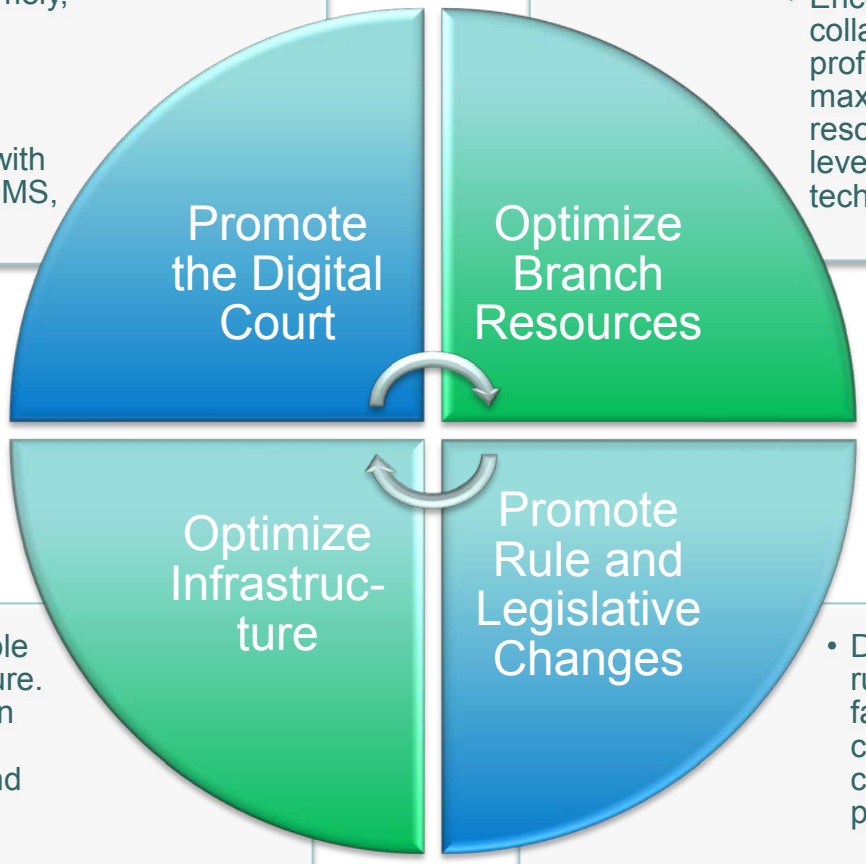
Note: This restructuring will require a change to Rule 10.53 in the California Rules of Court which defines the role of the Court Technology Advisory Committee.

Proposed Initiative Categories



Proposed Goals

- Improve access, administer timely, efficient justice, gain case processing efficiencies and improve public safety through electronic services for public interaction and collaboration with justice partners. E.g. CMS, DMS, e-filing, online services.



- Encourage technology innovation, collaborative court initiatives, and professional development, to maximize the use of personnel resources, technology assets, and leveraged procurement. E.g. technical communities, contracts.

- Leverage and support a reliable secure technology infrastructure. Ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate. E.g. network, disaster recovery.

- Drive modernization of statutes, rules and procedures to facilitate use of technology in court operations and delivery of court services. E.g. e-filing, privacy, digital signatures.

Proposed Tactical Plan

Strategic Goal	Initiative	Action
Promote the Digital Court	Case management system (CMS) assessment and prioritization	Determine strategy and plan
	Document management system (DMS) expansion	Deploy where appropriate
	Courthouse video connectivity	Expand where appropriate
	California courts protective order registry (CCPOR)	Continued deployment
	Implement a portal for self-represented litigants	Investigation and proposal
	Jury management technology enhancements (trial courts)	Determine roadmap and plan
	e-Filing deployment	Determine implementation plan
	e-Filing service provider (EFSP) selection/certification	Develop process
	Identify and encourage projects that provide innovative services	Investigation and proposal
	Establish an “open source” application sharing community	Investigation and proposal
	Develop standard CMS interfaces and data exchanges	Investigation and proposal

Proposed Tactical Plan

Strategic Goal	Initiative	Action
Optimize Branch Resources	Establish hardware and software master branch purchasing/licensing agreements	Identify and negotiate
Optimize Infrastructure	Extend LAN/WAN initiative to remaining courts	Expand program
	Transition to Next Generation Branchwide Hosting Model	Investigation and proposal
	Court information systems security policy framework	Investigation and proposal
	Court disaster recovery framework and pilot	Determine framework
Promote Rules and Legislative Changes	Identify new policy, rule, and legislation changes	Identify and draft changes
	Electronic signatures	Publish definitions and standards.

Strategic Plan Alignment

Judicial Branch Strategic Plan	Technology Goals			
Branch Goals	Promote the Digital Court	Optimize Branch Resources	Optimize Infrastructure	Promote Rule and Legislative Changes
I - Access, Fairness, and Diversity	x	x	x	x
II - Independence and Accountability	x	x		x
III - Modernization of Management and Administration	x	x	x	x
IV - Quality of Justice and Service to the Public	x	x	x	x
V - Education for branchwide Professional Excellence		x		
VI - Branchwide Infrastructure for Service Excellence	x	x	x	

California Department of Technology Strategic Plan	Technology Goals			
State Goals	Promote the Digital Court	Optimize Branch Resources	Optimize Infrastructure	Promote Rule and Legislative Changes
1. Responsive, Accessible and Mobile Government	x	x	x	x
2. Results Through Leadership and Collaboration	x	x	x	x
3. Efficient, Consolidated, and Reliable Infrastructure and Services		x	x	
4. Information is an Asset	x		x	x
5. Capable Information Technology Workforce		x		

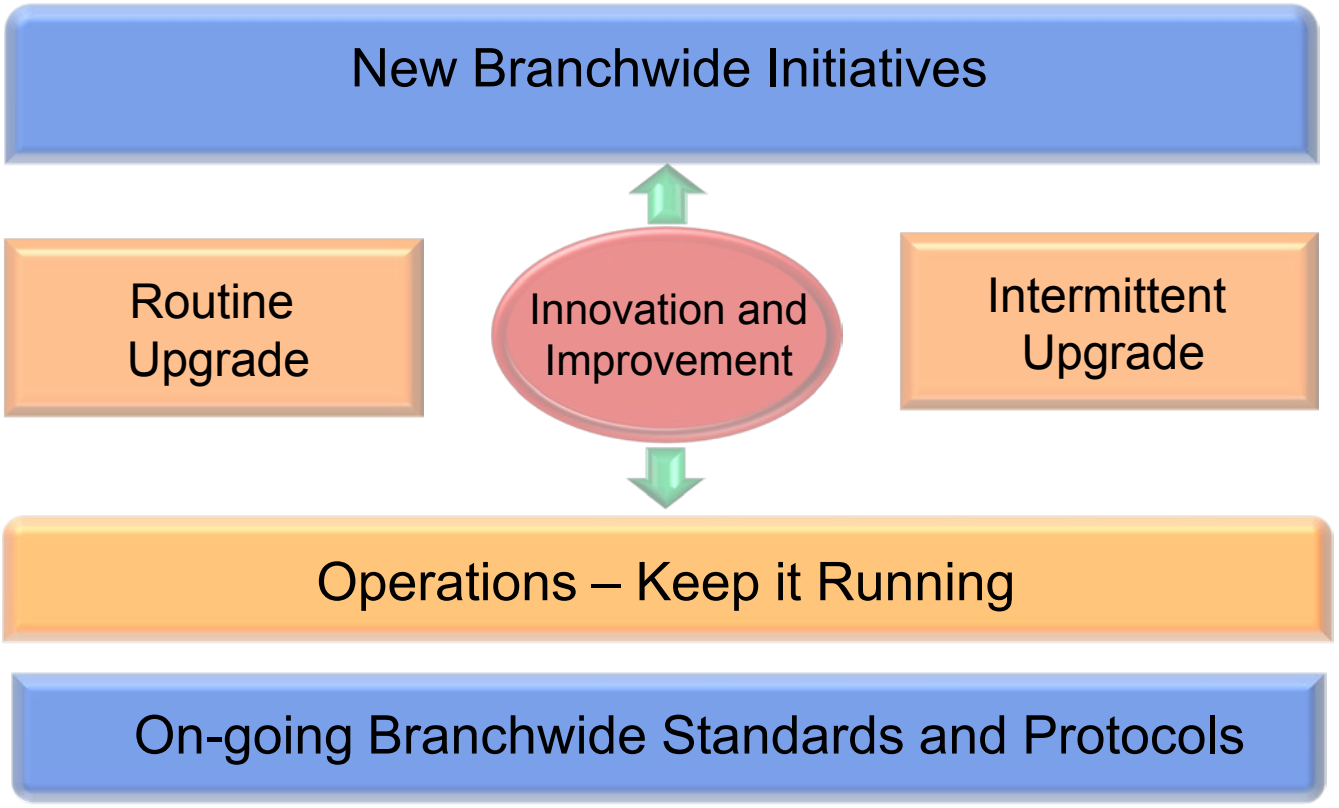
Proposed Project Prioritization Matrix

Project Evaluation Criteria		Score Range
Business Alignment	Alignment with Branch Strategic Goals (Access)	0-6 goals
	Alignment with Branch Technology Priorities	None - High
	External partner Alignment	None - Yes
	Business Alignment Sub-Total	
Business Impact	Scope of impact	Single Court - Branchwide
	Financial ROI	No ROI – 2 years
	Likelihood of benefit realization	No probability - High
	Business Impact Sub-Total	
Business Risk Mitigation	Urgency for change – operations	Not urgent - Urgent
	Urgency for change - legal/regulatory/compliance	Not urgent - Urgent
	Organizational readiness	Significant Concerns - Ready
	Business Risk Mitigation Sub-Total	
Technology Alignment / Fit	Level of alignment with branchwide technology standards	None - Aligned
	Level of alignment with branchwide vendors	None - Aligned
	Level of alignment with branch architecture	None - Aligned
	Technology Alignment / Fit Sub-Total	
Technology Risk	Existing infrastructure can support this project	No. Separate project - Covered
	Identified tech staff can support this technology	No - Covered
	Product / technology maturity	End of Life / Immature - Mature
	Technology Sub-Total	

Funding Benchmark with other States

STATE	HOW TECHNOLOGY IS FUNDED
Alaska	State general fund. State legislators are provided low-level detail of intended use, e.g., licensing; hardware replacement; etc.
Texas	State general fund. Local counties fund the trial courts without support from the state or fees.
Massachusetts	State general fund. Branch allocates money to technology as required. Specific requests are made to the Legislature for capital projects.
Georgia	State general fund. Branch allocates money to technology as required. Specific requests are made to the Legislature for capital projects. Counties fund their own court technology or can use centralized, state-wide case management systems at no charge.
Indiana	Filing fee of $5 to $7 per filing is in place state-wide to support state-wide technology. Counties fund their own court technology or can use centralized, state-wide case management systems at no charge.
Colorado	Technology is funded by fees on data access and filing. Specific requests are made to the Legislature for capital projects.
Illinois	Technology is largely county-based and each county may opt to impose filing fees for automation and/or records storage up to a maximum amount established by the legislature.

Proposed Funding Categories



Funding Sources and Governance

	Funding Sources	Governance
Operations—Keep It running Routine upgrade Intermittent upgrade	• Court General Fund • BCP for gap in needed funds	• Allocated by formula by the Judicial Council. • Expended by courts based upon local priorities and needs.
Innovation and improvement	• Limited amount of funds set aside at the branch level	• Reviewed and recommended by the Technology Committee. • Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Administrative Presiding Justices Advisory Committee. • Expended by appropriate agency, AOC, local trial court, and/or the appellate courts based upon the approved plan.
New branchwide initiatives	• Funds set aside at the branch level • Grants • BCP for gap in needed funds	
Ongoing branchwide standards and protocols	• Funds set aside at the branch level • Grants • BCP for gap in needed funds	• Reviewed and recommended by the Technology Committee. • Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Administrative Presiding Justices Advisory Committee. • Expended by appropriate agency, usually AOC, based upon the approved plan.

Next Steps

Action	Month
Judicial Council approval of initial draft recommendations.	January
Distribute detailed recommendations for internal branch review and comment.	February
Submit proposal for public comment.	March
Submit final proposal to Judicial Council for final approval.	June

Expected Outcomes

- Clear robust structure, roadmap, and process for managing technology initiatives and investments.
- Transparency of how funds are managed and allocated.
- Increased credibility for managing public funds and resources.
- Consistent availability of services across courts.
- Better accountability for use of resources.