



JUDICIAL COUNCIL OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

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INFORMATION TECHNOLOGY ADVISORY COMMITTEE

MINUTES OF OPEN MEETING

March 18, 2016

10:00 AM to 12:30 PM

Teleconference

Advisory Body Members Present: Hon. Terence L. Bruiniers, Chair; Hon. Robert B. Freedman, Vice Chair; Hon. Kyle S. Brodie; Mr. Brian Cotta; Hon. Julie R. Culver; Prof. Dorothy J. Glancy ; Hon. Michael S. Groch; Hon. Sheila F. Hanson; Hon. Samantha P. Jessner; Hon. Jackson Lucky; Hon. Louis R. Mauro; Mr. Terry McNally; Hon. James Mize; Mr. Snorri Ogata; Mr. Robert Oyung; Hon. Alan G. Perkins; Hon. Peter J. Siggins; Mr. Don Willenburg; Mr. David H. Yamasaki

Advisory Body Members Absent: Ms. Alison Merrilees for Hon. Mark Stone; Mr. Darrel Parker

Others Present: Hon. Daniel J. Buckley; Hon. Joseph Wiseman; Mr. Mark Dusman; Ms. Renea Stewart; Ms. Kathy Fink; Ms. Fati Farmanfarmaian; Ms. Jamel Jones; Mr. Patrick O'Donnell; Ms. Tara Lundstrom; Ms. Katherine Sher; Ms. Jackie Woods

OPEN MEETING

Call to Order and Roll Call

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

Approval of Minutes

The advisory body reviewed and approved the minutes of the February 22, 2016, Information Technology Advisory Committee meeting.

DISCUSSION AND ACTION ITEMS (ITEMS 1-11)

Item 1

Opening Remarks and Chair Report

Update: Justice Terence Bruiniers provided opening remarks and the Chair report. Public comments were distributed to membership regarding expressed concerns of Electronic eFiling Service Providers (EFSP) from Mr. Tony Klein, a San Francisco attorney. He was advised that ITAC will consider his issues when they reach the appropriate section of the project. ITAC is unable to address at the moment, but will next rules cycle.

Justice Bruiniers welcomed members and acknowledged Judge Lucky is the new CJER liaison. He also mentioned Chief Judge Joseph Wiseman has been appointed as the Tribal Court Liaison.

The Judicial Council is now accepting advisory committee nominations. ITAC has 8 members with expiring terms, he encouraged all to reapply or to nominate new persons.

There is a very full agenda for this ITAC meeting and there may not be time for full reports from members, staff or budget updates. If not finished with items today may need follow-up call or actions by email.

The Chair just received legislative AB 2244 regarding e-filing fees, limitations and restrictions on charges. ITAC will want to weigh in on at appropriate time, will distribute to ITAC as more information is received.

Item 2

Update on the Judicial Council's (internal) Technology Committee (JCTC)

Update: Hon. Daniel Buckley provided a JCTC update. He noted the committee is impressed by ITAC workstreams and progress. The JCTC is monitoring efforts for BCP for Sustain courts to move to new CMS. Working on the RFP with Mr. Rick Feldstein and Judicial Council. The BCP will be submitted in September and six of the Sustain courts will be hosted by Placer instead of CCTC. Also monitoring the BCP by V3 courts.

Item 3

Data Exchange Workstream Status Update

Update: Mr. David Yamasaki provided an update on the Data Exchange Workstream. This workstream has been underway for a year, many partners have helped along the way collecting data. Many justice partners are in many different areas of development and use. This effort is to make sure that going forward there is alignment between courts and justice partners. This workstream was also contacted by State Child Welfare and they would like to be a justice partner with this project. The next steps include making a repository to allow access to all the information gathered. The team also expects to need to extend until June so that nothing is missed and to allow justice partners to explore new systems. Then governance will be underway as the final piece.

Item 4

E-Filing Workstream: Review Recommendations (Action Requested)

Action: Hon. Sheila F. Hanson reported that they are asking for ITAC approval and recommendation that this workstream manage this project going forward. Work began

May 2015 with an e-filing summit that included many trial court judges and staff. Mr. Rob Oyung added his thanks for all that participated in giving their time and expertise. Mr. Snorri Ogata, provided a detailed view of this project via his slide deck included in the ITAC meeting materials. Of the options outlined, option 3 was selected as the statewide solution, which is also being used in Texas.

As of 2015 there are 4 vendors that 41 courts are either using or leaning towards for their CMS. In 2014 nine counties offered some e-filing and in 2015 seventeen counties offered some e-filing. In 2016 it's expected to be 35 counties offering e-filing. E-filing is county by county decision with little coordination amongst EFSPs.

Next steps include getting approval on recommendation; form a RFP sub-workstream; forma contracts sub-workstream; issue RFP; select vendor; and implement.

Request a Motion (when/if appropriate) to Approve the E-Filing functional recommendations for establishing a statewide e-filing capability and commission the workstream to manage the vendor selection process for a statewide E-Filing Manager and statewide EFSPs.

Motion Approved.

Item 5

Next Generation Hosting Strategy Workstream Status Report

Update: Mr. Brian Cotta provided an update. Thanked everyone involved. Workstream kicked off Jan. 11, 2016 with two additional meetings to explore next generation. First task is to look at strategies that meet next generation hosting and digital needs. Discussing true output of workstream, hopefully to be leveraged by Judicial Council, JCTC, and Courts. Looking at what viable alternatives are available at branch and local levels, may need a second phase of workstream.

Item 6

Video Remote Interpreting Workstream Status Update

Update: ITAC and JCTC approved, but due to a few minor issues had to pull from the last Judicial Council meeting. Trying to make the April Judicial Council meeting in June at the latest. CEAC and TJPAC are involved and working with Language Access Task Force. Assembling workstream soon to move forward with project. RFP is developed, but may need to be modified, but once approved by Judicial Council, the workstream will begin.

Item 7**Self-Represented Litigants E-Services Workstream Status Update**

Update: Hon. Robert B. Freedman provided an update. Judge Mize has brought in many local court resources for this workstream project. Will have more to report in the future. Mr. Terry McNally volunteered to participate.

Item 8**Disaster Recovery Framework Workstream Status Update**

Action: Hon. Alan G. Perkins provided update. Justice Bruiniers joined a call on March 4 with the team and staff to initiate the workstream. Mr. Brian Cotta is joining this project as the program manager. Additionally, Judge James Herman and Mr. Rick Feldstein are interested to serve as PJ and CEO members. DR is moving forward in setting up a structure for the workstream.

Item 9**ITAC Projects Subcommittee Report**

Update: Judge Freedman provided an update on this subcommittee. The courts have a need to update their items and forms using e-service formats usable by court CMS'. Currently Tyler courts use MS Word to convert to forms using adobe, but other methods are used as well. Judge Freedman would like to know if this issue is something that ITAC can take on via Projects Subcommittee or a workstream? Please reach out to Judge Freedman about what your court does or issues they have around their use of forms or specific needs.

Item 10**Joint Appellate Technology Subcommittee Report**

Action: Hon. Louis R. Mauro introduced Ms. Katherine Sher, Attorney from Judicial Council Legal to present on the rules modernization. See slide deck.

- (a) Review Rules and Forms Proposal to Further Modernize Appellate Rules and Forms (Action Required)

Review and decide whether to recommend for public circulation a rules and forms proposal that would further modernize the appellate rules of court and appellate forms. (See materials for complete list of rules.)

Request a Motion to Approve the recommendation to circulate for public comment the proposal to modernize appellate rules and forms and then on to RUPRO.

Approved.

Ms. Sher presented on the e-filing rules in appellate courts. Rule 8.71 has been rewritten recognizes...

- (b) Review Rules and Forms Proposal to Update Appellate E-Filing Rules (Action Required)

Review and decide whether to recommend for public circulation a rules proposal that would update the appellate e-filing rules to reflect the current e-filing practices of the appellate courts. This proposal would amend California Rules of Court, rules 8.70, 8.71, 8.72, 8.73, 8.74, 8.75, 8.76, 8.77, 8.78, 8.79, and 8.204.

Motion to Approve the recommendation to circulate for public comment the proposal to update appellate e-filing rules.

Approved.

Item 11**ITAC Rules & Policy Subcommittee Report**

Action: Hon. Peter J. Siggins provided an update on the subcommittee rules that are ready for public comment. Ms. Tara Lundstrom provided detailed outline of changes, please refer to your materials.

- (a) Review Legislative Proposal on E-Filing, E-Service, and E-Signatures (Action Required)

Review and decide whether to recommend circulating for public comment a legislative proposal on e-filing, e-service, and e-signatures. This proposal would amend Code of Civil Procedure sections 664.5, 1010.6, and 1110 and would add a new section 1013b.

Motion to Approve the recommendation to circulate for public comment the legislative proposal on e-filing, e-service, and e-signatures.

Approved.

- (b) Review Legislative Proposal to Authorize E-Service in Probate Proceedings (Action Required)

Review and decide whether to recommend circulating for public comment a legislative proposal that would amend the Probate Code and Welfare and Institutions Code section 5362 to authorize e-service by consent of notices and other papers in guardianship, conservatorship, and other probate matters. This proposal would amend Probate Code sections (please refer to materials for complete list of codes).

Motion to Approve the recommendation to circulate for public comment the legislative proposal authorizing e-service in probate proceedings.

Approved.

- (c) Review Legislative Proposal to Authorize E-Filing and E-Service in Juvenile Proceedings (Action Required)

Review and decide whether to recommend circulating for public comment a legislative proposal that would amend the Welfare and Institutions Code to allow for e-service by consent and e-filing in juvenile dependency and delinquency proceedings. This proposal would add Welfare and Institutions Code section 212.5 and would amend sections 248, 248.5, 290.1, 290.2, 291, 292, 293, 294, 295, 297, 302, 316.1, 342, 362.4, 364.05, 366.05, 366.21, 366.26, 387, 607.2, 630, 658, 660, 661, 727.4, 777, 778, 779, 785, and 903.45.

Motion to Approve the recommendation to circulate for public comment the legislative proposal authorizing e-filing and e-service in juvenile proceedings.

Approved.

- (d) Review Legislative Proposal to Clarify Authority for Permissive E-Filing and E-Service in Criminal Proceedings (Action Required)

Review and decide whether to recommend circulating for public comment a legislative proposal that would add a new statute to the Penal Code to clarify the application of permissive e-filing and e-service under Code of Civil Procedure section 1010.6 in criminal proceedings.

Motion to Approve the recommendation to circulate for public comment the legislative proposal clarifying authority for permissive e-filing and e-service in criminal proceedings.

Approved.

- (e) Review Rules Modernization Project (Phase II) Rules Proposal (Action Required)

Review and decide whether to recommend circulating for public comment a rules proposal that would amend titles 2, 3, and 5 of the California Rules of Court to introduce substantive changes to the rules of court to facilitate e-filing, e-service, and modern e-business practices. This proposal would amend rules 2.100, 2.103, 2.104, 2.105, 2.109, 2.110, 2.111, 2.114, 2.118, 2.140, 2.251, 2.252, 2.256, 2.306, 2.551, 2.577, 3.250, 3.751, 3.823, 3.1110, 3.1113, 3.1302, 3.1306, 3.1362, 5.66, 5.380, 5.390, and 5.392.

Motion to Approve the recommendation to circulate for public comment the proposal to modernize trial court rules and forms.

Approved.

Justice Bruiniers thanked the Rules & Policy Subcommittee for their significant effort and success in moving these proposals through the many other advisory committee reviews and discussions before reaching ITAC.

He then announced the next ITAC date of June 17, teleconference and adjourned the public meeting.

A D J O U R N M E N T

There being no further business, the meeting was adjourned at 12:30 PM.

Approved by the advisory body on enter date.

INFORMATION TECHNOLOGY ADVISORY COMMITTEE
MINUTES OF ACTION BY EMAIL BETWEEN MEETINGS
APRIL 29, 2016

Email Proposal

The Information Technology Advisory Committee (ITAC) was asked to approve proposal amending the 2016 ITAC Annual Agenda to authorize the use of a workstream for the Tactical Plan Update project. If approved, the amendment would be considered at the May 9 Judicial Council Technology Committee (JCTC) meeting.

The annual agenda was previously discussed at a meeting open to the public on December 4, 2015 10 a.m. Due to the need to authorize a workstream to begin work as prescribed by the annual agenda, the limited availability of ITAC members, and the body's other priorities, the committee did not have time to consider the report at a meeting in a timely manner. Accordingly, the Chair concluded that prompt action by email was necessary.

Notice

On April 26, 2016, a notice was posted advising that the ITAC was proposing to act by email between meetings under California Rules of Court, rule 10.75(o)(2).

Public Comment

Because the action by email concerned a subject that otherwise must be discussed in an open meeting, the ITAC invited public comment on the proposal under rule 10.75(o)(2). The public comment period began at 10:00 a.m., Tuesday, April 26, 2016 and ended at 10:00 a.m., Thursday, April 28, 2015. No comments were received.

Action Taken

After the public comment period ended, ITAC members were asked to submit their votes on the report by 10:00 a.m. on April 26. Fourteen (14) members voted to approve the report; five (5) members did not vote. The report was approved.

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 1. CMS Data Exchanges

Summary	Develop Standardized Approaches to Case Management System (CMS) Interfaces and Data Exchanges with Critical State Justice Partners		
ITAC Resource	Workstream		
Sponsor(s) or Chair(s)	David Yamasaki, Judge Robert Freedman (Vice-Chair)	Project Manager	Alan Crouse
JCC Resources	JCIT (Neil Payne, Jackie Woods)		
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).		
Project Active	<input checked="" type="checkbox"/> Governance Committee and Repository planning active.		
Expected Outcomes	1. Documented data exchange elements and format standards 2. Documented governance and modification processes		
Expected Completion	July 2016 (extended at ITAC 3/18 meeting) – Request extension to October 2016		

MAJOR TASKS	STATUS	DESCRIPTION
(a) Identify a single data exchange standard between each justice partner and the judicial branch to use as a development target for case management system vendors.	Completed	Primary requirements and needs were identified, with further confirmation and expansion occurring during justice partner and CMS vendor sessions.
(b) Provide a lead court to act as a point of contact for all case management system vendors and justice partners for each justice partner exchange; and document the current implementation status of each exchange by each vendor.	Completed	Designated court CIOs facilitated sessions between justice partners and CMS vendors to refine information, processes, and identify issues for resolution.
(c) Identify the technical standards to be used for the implementation of all data exchanges between the judicial branch and justice partners.	In Progress	Implementation of CMS applications continues to be a discussion as part of the justice partner – CMS vendor sessions and as needed.
(d) Establish a formal governance process for exchange updates and modifications.	In Progress	Key objectives identified, with membership determination in progress.
(e) Maintain a repository of required materials that support development of standardized exchanges.	In Progress	In the final review and implementation stage.

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 2. E-Filing Strategy

Summary	Update E-Filing Standards; Develop Provider Certification and a Deployment Strategy	
ITAC Resource	Workstream	
Sponsor(s) or Chair(s)	Hon. Sheila F. Hanson, Rob Oyung	Project Manager Snorri Ogata
JCC Resources	Legal Services (Patrick O'Donnell); Information Technology (Edmund Herbert); Branch Accounting and Procurement	
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
Project Active	<input checked="" type="checkbox"/> Conducting bi-weekly meetings.	
Expected Outcomes	1. Updated Technical Standards 2. Certification Program	
Expected Completion	July 2016 (6 months) – Request extension through December 2016 for procurement process	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Update the technical standards for court e-filing, namely, the XML specification and related schema.	In Progress	Standards recommendation is the NIEM/Oasis ECF specification . ITAC and the JCTC approved this recommendation for consideration by the Judicial Council at its June 24 meeting; along with a recommendation to direct ITAC/the workstream to develop a plan for implementation (including effective date) and to report back to the council at a future date.
(b) Develop the E-Filing Service Provider (EFSP) selection/certification process.	In Progress	See item (c) below.
(c) Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives.	In Progress	ITAC and the JCTC approved the workstream's e-filing recommendations for consideration by the Judicial Council at its June 24 meeting. Recommendations include statewide policies, high-level functional requirements, and direction that ITAC undertake and manage a procurement process to select multiple EFMs.
Note: A future phase RFP may be necessary, dependent upon the outcomes of this workstream.	In Progress	The workstream has continued to meet to discuss requirements for an RFP or other procurement process.

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 3. Next Generation Hosting Strategy

Summary	Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model	
ITAC Resource	Workstream	
Sponsor(s) or Chair(s)	Hon. Jackson Lucky, Brian Cotta	Project Manager Heather Pettit
JCC Resources	JCIT (Donna Keating and others as specific technical topics are discussed)	
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
Project Active	<input checked="" type="checkbox"/> 5 meetings held. Next meeting is June 14.	
Expected Outcomes	<ol style="list-style-type: none"> 1. Assessment Findings: Best practices, Solution Options 2. Educational Document for Courts 3. Host 1-Day Summit on Hosting 4. Recommendations For Branch-level Hosting 	
Expected Completion	December 2016	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Define workstream project schedule and detailed tasks; gain approval of workstream membership.	In Progress	Membership approved. A high-level project schedule/plan has been developed; and is being progressively detailed as topics are completed.
(b) Outline industry best practices for hosting (including solution matrix with pros, cons, example applications, and costs).	In Progress	5 conference calls have been held with workstream participants, including an orientation and technical meetings to discuss the branch-hosted and court-hosted models. Team will continue meetings to discuss additional models, minimum service level requirements, and cloud options. Many more meetings will follow to complete this deliverable. Next meeting will be CCTC overview, June 14, 2016. In person meeting has been planned for defining branch services levels and vendor education session on Cloud services July 20-12, 2016.
(c) Produce a roadmap tool for use by courts in evaluating options.	Not Started	Starting July 20, 2016
(d) Consider educational summit on hosting options, and hold summit if appropriate.	Not Started	
(e) Identify requirements for centralized hosting.	Not Started	

ITAC PROJECT STATUS REPORT

June 2016

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

Summary	Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program	
ITAC Resource	Workstream	
Sponsor(s) or Chair(s)	Hon. Terence L. Bruiniers	Project Manager TBD - Seeking PM.
JCC Resources	Requested new PM resource from Administrative Director; JCIT (Jenny Phu, Fati Farmanfarmaian, Nate Moore); Court Operations Special Services Office (Anne Marx)	
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
Membership Established	<input type="checkbox"/> TBD. Workstream formation is awaiting court and vendor selection for pilot.	
Project Active	<input type="checkbox"/>	
Expected Outcomes	1. Implementation of VRI Pilot Program	
Expected Completion	March 2017 (Phase I)	

MAJOR TASKS	STATUS	DESCRIPTION
(a) In cooperation with the Language Access Plan (LAP) Implementation Task Force Technological Solutions Subcommittee (TSS), assist with identifying participants for a video remote interpreting (VRI) pilot program. Steps include identification of a court participant and issuance of an RFP for a no-cost vendor partner, per the programmatic outline developed in 2015.	In Progress	Pilot project proposal to be presented at June 24 Judicial Council meeting for approval. Chairs of ITAC, JCTC, and LAPITF distributed a joint letter to the branch inviting court participation in the pilot and workstream; and are receiving strong interest. RFP for vendor selection has been drafted and is ready for publishing once pilot court(s) have been identified.
(b) Implement Phase I of the VRI pilot program, in cooperation with the TSS.	Not Started	

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 5. SRL E-Services

Summary	Develop Requirements and a Request for Proposal (RFP) for Establishing Online Branchwide Self-Represented Litigants (SRL) E-Services		
ITAC Resource	Workstream		
Sponsor(s) or Chair(s)	Hon. Robert Freedman, Hon. James Mize		Project Manager Brett Howard
JCC Resources	JCIT (Mark Gelade) and CFCC (Karen Cannata, Diana Glick)		
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/5/2016) and JCTC (4/14/2016); forwarded to E&P (staff).		
Project Active	<input checked="" type="checkbox"/> Held 2 meetings; next meeting schedule for June 22.		
Expected Outcomes	1. SRL Portal Requirements Document 2. Request for Proposal (RFP)		
Expected Completion	December 2016 (12 months)		

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop requirements for branchwide SRL e-capabilities to facilitate interactive FAQ, triage functionality, and document assembly to guide SRLs through the process, and interoperability with the branchwide e-filing solution. The portal will be complementary to existing local court services.	In Progress	Recruitment for workstream membership is finalized and approved. A workstream kickoff meeting was held on March 30; a second meeting was held on May 11 to discuss project approach, national efforts in the SRL portal arena and to review the high level components for SRL e-services.
(b) Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources. In scope for 2016 is development of an RFP; out of scope is the actual implementation.	In Progress	Four workgroups are being formed to further investigate the following topics: <ol style="list-style-type: none"> 1) Existing Solutions 2) Technology 3) Document Access 4) Requirement Definition

ITAC PROJECT STATUS REPORT

June 2016

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

Summary	Document, Test, and Adopt a Court Disaster Recovery Framework	
ITAC Resource	Workstream	
Sponsor(s) or Chair(s)	Hon. Alan Perkins, Brian Cotta	Project Manager Brian Cotta
JCC Resources	JCIT (Michael Derr)	
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/21/2016) and JCTC Chair (4/27/2016); forwarded to E&P (staff).	
Project Active	<input checked="" type="checkbox"/> Conducting bi-weekly meetings.	
Expected Outcomes	1. Disaster Recovery Framework Document and Checklist 2. Findings from Pilot	
Expected Completion	December 2016 (12 months) – Request extension through June 2017	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop model disaster recovery guidelines, standard recovery times, and priorities for each of the major technology components of the branch.	In-progress	A workstream kick-off meeting and two working meetings have taken place. Members have begun gathering information on DR definitions, expectations, and requirements. The workstream is making progress. The next meeting is scheduled for June 16.
(b) Develop a disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.	Not Started	
(c) Create a plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.	Not Started	
(d) Pilot the framework by having one or more courts use it.	Not Started	

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 7. Modernize Rules of Court (Phase II)

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

MAJOR TASKS	STATUS	DESCRIPTION
<p>(a) In collaboration with other advisory committees, continue review of rules and statutes in a systematic manner and develop recommendations for more comprehensive changes to align with modern business practices (e.g., eliminating paper dependencies).</p> <p>Note: Projects may include rule proposals to amend rules to address formatting of electronic documents, a legislative proposal to provide express statutory authority for permissive e-filing and e-service in criminal cases, and changes to appellate forms to reflect e-filing practices.</p>	In Progress	<p>Three legislative proposals and one rules proposal that were recommended by the Rules & Policy Subcommittee are circulating for public comment. The legislative proposals would amend the Probate Code, the Welfare and Institutions Code, and the Penal Code to facilitate e-filing and e-service in the probate, juvenile, and criminal courts. The rules proposal would amend titles 2, 3, and 5 of the California Rules of Court.</p> <p>The Phase 2 Appellate Rules Modernization proposal developed by JATS has been circulated for comment, with the comment period ending on June 14. JATS will meet on June 30 to consider the comments received and how to respond, and will make recommendations to ITAC.</p>

ITAC PROJECT STATUS REPORT

June 2016

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

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

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop legislative and rule proposal to amend Code of Civil Procedure section 1010.6(b)(2) and Cal. Rules of Court, rule 2.257, to authorize electronic signatures on documents filed by the parties and attorneys.	In Progress	A legislative proposal is circulating for public comment that would authorize electronic signatures on electronically filed documents.
(b) Develop standards governing electronic signatures to be included in the "Trial Court Records Manual."	Not Started	

ITAC PROJECT STATUS REPORT

June 2016

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

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

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

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 10. Rules for E-Filing

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

MAJOR TASKS	STATUS	DESCRIPTION
(a) Evaluate current e-filing laws, rules, and amendments. Projects may include reviewing statutes and rules governing Electronic Filing Service Providers (EFSP) and filing deadlines.	In Progress	The Rules & Policy Subcommittee's evaluation of the e-filing laws and rules informed its development of the legislative proposal.
(b) Develop legislative and rule proposals to amend e-filing laws and rules (Code of Civil Procedure section 1010.6 and California Rules of Court, rule 2.250 et seq.).	In Progress	A legislative proposal to amend the statutes governing e-filing and e-service in the Code of Civil Procedure is circulating for public comment.
Note: This effort will be informed by the E-Filing Workstream work.		

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 11. Privacy Policy

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

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

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 12. Standards for Electronic Court Records

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

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

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 13. Appellate Rules for E-Filing

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

MAJOR TASKS	STATUS	DESCRIPTION
(a) Review appellate rules and amend as needed to ensure consistency between the rules and current e-filing practices and to consider whether statewide uniformity in those practices would be desirable.	In Progress	JATS is circulating for public comment a proposal to comprehensively revise the appellate e-filing rules in accordance with current e-filing practices. JATS will meet on June 30 to discuss comments.

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 14. Consult on Appellate Court Technological Issues

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

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

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 15. Tactical Plan for Technology

Summary	Update Tactical Plan for Technology for Effective Date 2017-2018		
ITAC Resource	Workstream		
Sponsor(s) or Chair(s)	Hon. Terence L. Bruiniers	Project Manager	Kathleen Fink
JCC Resources	JCIT (Kathleen Fink, Tony Rochon, Jamel Jones)		
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
Membership Established	<input checked="" type="checkbox"/> Approved by ITAC Chair (5/3/2016) and JCTC (6/3/2016); forwarded to E&P (staff).		
Project Active	<input checked="" type="checkbox"/> Held orientation and will meet again June 21.		
Expected Outcomes	1. Tactical Plan for Technology 2017-2018		
Expected Completion	February 2017		

MAJOR TASKS	STATUS	DESCRIPTION
(a) Review and update the Tactical Plan for Technology.	In Progress	Membership confirmed and team held orientation meeting in May. Reconvening June 21 to finalize the branch Tactical Plan progress report, discuss proposed branch business drivers, and further analyze the branch's strengths, weaknesses, opportunities, and threats. The workstream plans to share analysis and solicit input at CEAC and TCPJAC meetings in August.
(b) Circulate for branch and public comment.	Not Started	
(c) Finalize and submit for approval.	Not Started	
Note: Futures Commission outcomes will provide inputs into Strategic and Tactical Plan.		

ITAC PROJECT STATUS REPORT

June 2016

Annual Agenda Project 16. Liaison Collaboration

Summary	Liaison with Advisory Bodies for Collaboration and Information Exchange
ITAC Resource	Liaisons
Sponsor(s) or Chair(s)	Hon. Terence L. Bruiniers
JCC Resources	JCIT (Jamel Jones, Jackie Woods)
Project Authorized	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
Membership Established	<input checked="" type="checkbox"/> Refer to liaisons roster.
Project Active	<input checked="" type="checkbox"/> Liaisons attending meetings.
Expected Outcomes	1. Liaison Reports at ITAC Meetings
Expected Completion	Ongoing

MAJOR TASKS	STATUS	DESCRIPTION
(a) Appoint ITAC members to serve as liaisons to identified advisory bodies.	In Progress	Selections complete and liaisons informed. Appointment letters e-mailed in March.
(b) Share ITAC status reports with advisory body chairs and attend liaison committee meetings.	In Progress	Liaisons actively attending meetings and providing written/oral reports to ITAC, as appropriate.
(c) Identify opportunities to collaborate and share liaison feedback to ITAC, the JCTC, the Judicial Council, and the branch, as appropriate.	In Progress	See above.



JUDICIAL COUNCIL OF CALIFORNIA

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REPORT TO THE JUDICIAL COUNCIL

For business meeting on: June 23–24, 2016

Title	Agenda Item Type
Judicial Branch Administration: Trial Court Electronic Filing—Approval of Electronic Filing Standards and of Policies on Electronic Filing Managers	Action Required
	Effective Date
	July 1, 2016
Rules, Forms, Standards, or Statutes Affected	Date of Report
None	June 3, 2016
Recommended by	Contact
Information Technology Advisory Committee (ITAC)	Hon. Sheila Hanson, SHanson@OCCourts.org
Hon. Terence L. Bruiniers, Chair	Mr. Robert Oyung, ROyung@SCSCourt.org
Hon. Robert Freedman, Vice-chair	Mr. Snorri Ogata SOgata@LACourt.org
ITAC E-Filing Workstream	
Hon. Sheila Hanson, Executive Sponsor	
Mr. Rob Oyung, Executive Sponsor	
Mr. Snorri Ogata, Project Manager	

Executive Summary

The Information Technology Advisory Committee (ITAC), with approval from the Judicial Council Technology Committee, recommends that the Judicial Council approve the National Information Exchange Model/Electronic Court Filing as the technical information exchange standards for e-filing in all state courts and direct ITAC to develop a plan for implementation of these standards. The committee also recommends that the council approve a set of high-level policies and functional requirements for trial court Electronic Filing Managers (EFM). Finally, it recommends that the council direct ITAC, in collaboration and coordination with the council's

Branch Accounting and Procurement office, to undertake and manage a procurement process to select multiple statewide EFMs to assist the trial courts with e-filing.

Recommendation

The Information Technology Advisory Committee (ITAC), with the approval of the Judicial Council Technology Committee recommends that the Judicial Council:

1. Approve the National Information Exchange Model/Electronic Court Filing (NIEM/ECF) as the technical information exchange standards for the purposes of e-filing in all state trial courts; direct ITAC to develop a plan for implementation of these standards, including the effective date; and report back to the Judicial Council on the implementation plan at a future date.
2. Approve the following statewide policies:
 - (a) The California judicial branch will select more than one statewide EFM for the trial courts; and
 - (b) Individual courts will retain the authority to determine which EFM(s) they will use.
3. Approve the following high-level functional requirements for trial court EFMs:
 - (a) EFMs must support all case types.
 - (b) EFMs must have the ability to integrate with all statewide case management systems (CMSs) included in the statewide CMS Master Services Agreement (currently, Tyler Odyssey, Thomson-Reuters C-Track, and Justice Systems) and Journal Technologies eCourt.
 - (c) EFMs must describe their approach for integration with “nonstandard” CMSs, including a free-standing e-delivery option.
 - (d) EFMs must integrate with Judicial Council-approved financial gateway vendors, if directed.
 - (e) EFMs must support electronic payment types beyond credit card payments.
 - (f) EFMs must provide a zero-cost e-filing option for indigent and government filers.
 - (g) EFMs must clearly disclose all costs and services to the e-filing service provider (EFSP) community.
 - (h) EFMs must support electronic service of court-generated documents.
 - (i) Electronic Filing Service Providers (EFSP) must integrate with all statewide EFMs in all participating counties.
4. Direct ITAC, in collaboration and coordination with the council’s Branch Accounting and Procurement, to undertake and manage a procurement process to select multiple statewide EFMs to assist the trial courts with e-filing.

Previous Council Action

The Judicial Council has for many years advanced the development of electronic filing and service in the California courts. In 1999, it sponsored Senate Bill 367 (Stats. 1999, ch. 514), which enacted Code of Civil Procedure section 1010.6, the statute authorizing electronic filing and service in the trial courts. The bill analysis states:

[T]here is no question that the age of electronic filing and service is coming to California . . . [T]he Judicial Council, who sponsored this bill, says the time has come to set up some rules to safeguard the security of the documents, the integrity of the court filing system, and the rights of the parties, while facilitating the institution of electronic filing in the courts.¹

In 2002, to standardize the practice of electronic filing and service throughout the state, the Judicial Council adopted rules of court on electronic filing and service.² The report states:

The proposed rules define functional rather than technical requirements. Because of the rapid pace of technological development, the Court Technology Committee (CTAC)^[3] decided against including technical requirements in the rules. Instead it is recommending that courts, electronic filers, and vendors comply with the evolving technical standards from the California Electronic Filing Technical Standards (CEFTS) project in their electronic filing procedures.⁴

As anticipated, the technical standards relating to electronic filing and service continued to evolve. In 2004, Judicial Council staff initiated the Second Generation E-Filing Specification (2GEFS) to define standards for statewide electronic court filing. These standards have been used by many courts in California during the past decade. However, California is the only state that continues to recognize 2GEFS as an e-filing standard. Elsewhere, NIEM/ECF has become the standard for the information exchanges involved in e-filing.

In August 2014, the Judicial Council adopted the Judicial Branch Strategic Plan for Technology 2014–2018. This strategic plan serves as a roadmap for court technology initiatives with clear, measurable goals and objectives at the branch level. The plan includes a strategy to “Promote the

¹ Sen. Bill 367 (Dunn, 1999), Bill Analysis, Sen. Rules Comm., p. 5.

² Judicial Council of Cal., *Electronic Service and Filing (adopt Cal. Rules of Court, 2050–2060; repeal Cal. Standards of Jud. Admin., § 37)* (Oct. 16, 2002). The rules on electronic filing and service in the trial courts are presently numbered as rules 2.250–2.259. Separate rules on electronic filing and service in the appellate courts have subsequently been adopted by the council.

³ The Court Technology Advisory Committee has since been renamed the Information Technology Advisory Committee.

⁴ *Id.* at p. 2. The latest version of CEFTS, *Electronic Filing Technical Standards Project–Technical Standards* is included as an attachment to the October 16, 2002 Judicial Council report.

Digital Court.” Electronic filing is identified in the plan as a core component of the Digital Court.

Rationale for Recommendation

Background

The institution of electronic filing in the California trial courts, though slower than many would desire, is finally beginning to take off. In 2012, the Legislature enacted Assembly Bill 2073, which authorized the courts to require electronic filing in all civil cases. A pilot project on mandatory e-filing in the Superior Court of Orange County was a success.⁵ The data collected showed that the pilot project resulted in significant cost savings for the court and was generally less or equally expensive for litigants, and it demonstrated the project’s relative ease of use and convenience for represented and self-represented litigants.

The increase in e-filing is directly associated with the trial courts’ acquisition in recent years of new CMSs that have the capacity to provide for e-filing. As these CMSs have been implemented and e-filing has become available, more courts have instituted e-filing—some on a mandatory basis. In response to a survey of the trial courts in March 2016 (with 51 out of 58 trial courts reporting), 23 courts indicated they have some e-filing capacity while 28 (mostly small courts and a few medium courts) have reported no capacity. Courts’ e-filing programs are sometimes available only in certain case types—civil, probate, and family law being the most common. Of the 23 courts with e-filing capacity, 12 programs have mandatory e-filing, 21 programs have permissive e-filing, and 10 programs have both.

For the purposes of this report, it is important to understand several key features of California e-filing system. First, e-filing is intended to be more than an e-delivery system, where documents are transmitted electronically to the court as e-mail attachments that may then be uploaded and processed by a clerk. It is also intended to be a true e-filing system, where documents are transmitted to the court with information that enables them to be integrated into the court’s CMS. This provides for a much quicker, more automated, and more efficient process.

Second, California law authorizes both direct e-filing and e-filing through an EFSP. In most instances, parties or their attorneys file through an EFSP. A party or attorney sends the documents through a user interface to the EFSP for filing. The EFSP handles the actual filing, including compliance with any technical requirements. After filing, the EFSPs also provide feedback to the parties about the case—such as information about hearing dates and the progress of the case. EFSPs can provide their clients with additional services, such as providing for the service of documents on all parties in the case. Under current law, a court can institute mandatory e-filing only if it has more than one EFSP or direct e-filing. (See Code Civ. Proc., §

⁵ See Judicial Council of Cal., *Report on the Superior Court of Orange County’s E-Filing Pilot Project* (Sept. 30, 2014), www.courts.ca.gov/documents/lr-SC-of-Orange-e-file-pilot-proj.pdf.

1010.6(d)(1)(B); Cal. Rules of Court, rule 2.253(a).) This requirement fosters competition and provides the public with a choice.

Third, when the documents and other information are ready to be electronically filed, the EFSP transmits the filing in the proper format to the court's EFM. The EFM is a holding queue for electronically stored documents. The documents reside there temporarily so that the clerk can review them (for validity, completion of fee payment, etc.) Once the clerk has completed the review process, the documents are sent to the CMS, where the filed documents are permanently retained. Currently, many courts have an EFM connected with and provided by the same vendor as their CMS. However, as explained below, there would be distinct benefits of making available to the courts the alternative of selecting a "statewide" EFM from among several options.

Recommendations

Recommendation 1. Approve NIEM/ECF as the State of California trial court e-filing standard. As explained above, for historical reasons, some courts in California rely on the Second Generation E-Filing Specification (2GEFS) to define the information exchange standards for electronic court filing. This standard is increasingly out of date and should be replaced. In its place, ITAC recommends approval of the NIEM/ECF standard.

NIEM is a "community-driven, standards-based approach to exchanging information."⁶ NIEM is cosponsored by the federal Departments of Homeland Security, Justice, and Health & Human Services. Its purpose is to disseminate information-sharing standards and processes to enable federal, state, and local jurisdiction automation.

ECF is a technical standard to facilitate the creation and transmission of legal documents among attorneys, courts, litigants, and others.⁷ ECF also provides technical standards for how court CMSs electronically communicate information such as court locations, fee schedules, cases, and status back to the EFM and EFSPs. ECF versions 4.0 and later conform to NIEM.

Together these standards provide direction to courts and technology vendors on creating interoperable electronic filing and data exchange solutions. NIEM and NIEM/ECF have been adopted by the Joint Technology Committee, which is an advisory body to the Conference of State Court Administrators, National Association for Court Management, and National Center for State Courts.

A California NIEM/ECF standards-based electronic filing environment will allow millions of filers to interact with multiple EFSPs to electronically share case documents and case data with multiple EFMs who in turn will electronically share those documents and data with trial courts operating one of the four statewide CMS solutions. The filer simply chooses the EFSP that best

⁶ For additional information, see www.niem.gov.

⁷ For additional information, see www.oasis-open.org/committees/tc_home.php?wg_abbrev=legalxml-courtfiling.

meets their need and does not have to consider what CMS is being used in a given county. EFSPs, EFMs, and CMS vendors have all adopted NIEM/ECF.

If the council approves the NIEM/ECF standards, ITAC recommends that the council also direct it to develop an implementation plan. Because some California trial courts with e-filing are still using earlier information exchange standards, it will be important to clarify how the transition to NIEM/ECF is to be made. The implementation plan would address issues including how the approval of the new standards would impact the courts currently using other standards, whether those courts would be required to change to the NIEM/ECF standards, and, if so, by when.

The implementation plan would also provide clear guidance to the courts on the specific standards to follow. If extensions of the new standards are developed for the California trial courts, the plan would indicate who has the authority to develop those extensions and how they would be approved.

In sum, ITAC recommends that the council approve NIEM/ECF as the technical information exchange standards for the purposes of e-filing in all state trial courts; that the council direct ITAC to develop a plan for implementation of the new standards; and that ITAC report back to the council on the implementation plan at a future meeting. These recommendations would bring California into alignment with the rest of the country, which is a critical requirement for national e-filing vendors wanting to deliver services in California.

Recommendation 2. Approve the statewide policies regarding Electronic Filing Managers.

ITAC recommends that the council approve the following two statewide policies with respect to EFMs:

(a) The California judicial branch will select more than one statewide EFM.

California is the largest trial court system in the country and can accommodate multiple EFMs. Recent single vendor-driven statewide EFM solutions implemented outside of California lack a competitive environment for the filing community. In addition, a single EFM, that is also a CMS vendor, could potentially control too much of the court technology infrastructure creating risk to the branch from cost and business continuity perspectives.

In the recommended, multiple EFM environment, individual trial courts will be able to choose from more than one statewide EFM based on what works best in their county. A trial court may also elect to have more than one EFM. Multiple EFMs will ensure competition, which leads to greater access, quality service, innovation, and cheaper services.

(b) Allow individual trial courts to retain authority as to which EFM(s) they will use.

Each trial court currently determines when and with whom to implement e-filing. This authority is critical going forward as the biggest barriers to e-filing identified by trial courts are:

- Insufficient funds to pay for it (integration with CMS, EFM, EFSP);
- Insufficient staff to train and guide e-filers; and,
- Inexperienced/untrained staff in the new world of e-filing.

The decision on when to e-file must reside with each individual trial court as there are many local issues that determine acceptance and success. In addition, trial courts with an existing e-filing capability may not immediately or directly benefit from a change to a statewide solution. Over time, however, trial courts will need a means to contract with a statewide EFM and will want negotiating leverage on choosing the statewide EFM solution that best meets the needs of their county.

Recommendation 3. Approve high-level functional requirements for trial court EFMs. ITAC recommends that the council approve the following nine high-level functional requirements:

(a) EFMs must support all case types.

Anyone in California should be able to e-file on any case in any court permitting e-filing. EFMs typically focus their e-filing efforts only on civil cases, which are easily monetized. Yet the majority of court case filings are not in civil, meaning a civil-only e-filing solution would limit a trial court's ability to implement a "digital court," thereby limiting public access to the court. E-filing in California must support all litigation types.

(b) EFMs must have the ability to integrate with all statewide CMSs included in the statewide CMS Master Services Agreement (currently Tyler Odyssey, Thomson-Reuters C-Track, and Justice Systems) and Journal Technologies eCourt.

In 2012, the trial courts created a Master Services Agreement (MSA) with three primary case management vendors: Tyler Technologies, Thomson-Reuters, and Justice Systems. Since then, 30 trial courts have purchased one of these CMS solutions. Several California trial courts had a historical relationship with Journal Technologies (also known as Sustain). Over the last few years, several of these courts have implemented or signed contracts with Journal Technologies. Across the four (4) CMS vendors, over 80% of the state's population will be served. Any statewide EFM will be required to integrate e-filing into all four CMS alternatives.

(c) EFMs must describe their approach for integration with "nonstandard" CMSs, including a free-standing e-delivery option.

Many courts have yet to decide if they will be replacing or upgrading their existing CMS solution. Courts utilizing a CMS other than one of the four platforms mentioned above will need insight into what it will cost to integrate their existing CMS into the statewide e-filing solution, if they choose. For some courts, it may not be economically feasible to implement a complete e-filing solution. Therefore, the selected EFMs must describe how a free-standing e-delivery (e.g., a standalone e-filing solution not integrated into the court's CMS) would be deployed and

supported. This solution would provide courts with more options to move toward the “digital court” vision.

(d) EFM must integrate with Judicial Council-approved financial gateway vendors, if directed.

The California judicial branch is typically able to negotiate cheaper online banking fees than private companies or individual trial courts. These “merchant” fees (typically 2–3%) are either passed on to the filer, which leads to additional costs to the filer, or absorbed by the courts, which leads to increased expenses to the branch. Should a more attractive branch alternative be available, the EFM may be directed to use such services with the intent to provide filers with the lowest possible online commerce fees.

(e) EFM must support electronic payment types beyond credit card.

In the “paper world,” a large portion of filing fee transactions are conducted using payment methods other than credit cards. Some EFM vendors only support credit card payments. Other “digital currencies” are available, widely used, and often cheaper than credit card options. In addition, one of the ways the EFSP community differentiates services is through the handling of court-related fees. The court should accommodate as many electronic payment methods as practical, thereby increasing access to the court. Therefore, credit cards, e-Checks, and Automated Clearing House (ACH) payments should be minimally supported electronic payment types.

(f) EFM must provide a zero-cost, e-filing option for indigent and government filers.

Many court filings come from government or indigent filers. Courts want the operational benefits of e-filing across case types. These filers, however, cannot be charged for certain filings. The fee waivers/exemptions should apply to e-filing convenience fees as well. Free e-filing transactions are not typically attractive to for-profit EFSPs. Therefore, the EFM will be required to provide a zero-cost, e-filing option for this population.

(g) EFM must clearly disclose all costs and services to the e-filing service provider (EFSP) community.

The costs associated with e-filing are in four primary areas:

1. Court filing fees;
2. EFM Management fees;
3. EFSP fees; and
4. An optional court “cost recovery fee.”

EFMs may also operate as an EFSP, which may create a competitive imbalance. In some implementations, the EFM can add on additional costs to dilute revenues to EFSPs and/or optional court recovery fees. Therefore, the EFMs will be required to clearly disclose any and all costs for the services they will provide to the EFSP community.

(h) EFMs must support electronic service of court-generated documents.

The courts generate case documents that need to be distributed. If e-filing is mandatory, or if all parties on a case agree to e-file, e-service of court documents should also be available. Allowing courts to distribute/serve court-generated case documents through e-service will improve court operations.

(i) EFSPs must integrate with all “statewide” EFMs in all participating counties.

EFSP economics make large counties very attractive and smaller counties less so. Attorneys, the primary customers of EFSPs, typically practice law in multiple counties. To ensure a consistent level of service and a common experience, all EFSPs doing business in California under the statewide EFM program will be required to integrate with all statewide EFMs and provide services to all counties participating in the statewide EFM solution.

Recommendation 4. Direct the Information Technology Advisory Committee to undertake and manage the vendor selection process for a statewide trial court EFM solution. Upon approval by the Judicial Council, a procurement process will need to be initiated to identify, evaluate, select, and ultimately implement a statewide e-filing solution. The ITAC workstream model has proven to be quite effective and efficient to achieving the objectives outlined in its annual agenda and the *Tactical Plan for Technology*. Therefore, it is recommended that an ITAC workstream be authorized to undertake the procurement process for a statewide e-filing manager solution on behalf of the branch in cooperation and collaboration with Branch Accounting and Procurement, which will provide procurement support services on behalf of the Judicial Council.

Comments, Alternatives Considered, and Policy Implications

These recommendations were developed by the ITAC E-Filing Workstream. The workstream benefitted from the input of participants representing various roles (judicial officers, administrators, technologists, lawyers) from a number of courts, as well as members of the Judicial Council staff. The following courts participated in the workstream: Contra Costa, Los Angeles, Monterey, Orange, Sacramento, San Bernardino, San Diego, San Joaquin, San Mateo, and Santa Clara.

In May 2015, the workstream kicked off with an E-Filing Summit in San Francisco. At this meeting, interested trial courts and Judicial Council staff were invited to hear about three different approaches to e-filing and the experiences of states and courts that have implemented them:

1. The State of Texas (vendor-driven, statewide e-filing);
2. The State of Colorado (court development, statewide e-filing); and
3. The Superior Court of Orange County, California (trial court-implemented solution).

Over the next several months, the workstream evaluated all models presented at the summit; two of those e-filing models were given consideration but ultimately rejected:

1. The status quo alternative of every trial court forging their own path was primarily rejected because it lacked a consistent framework, failed to address the needs of filers that transact with multiple courts, and did not create synergistic economies of scale. There was also a concern that smaller courts would largely be ignored due to low return on investment.
2. The court-developed “build” option, modeled after Colorado, was primarily rejected because the level of effort, resources, coordination, and ongoing management is too high for the branch at this time.

The workstream therefore decided to refine its recommendations to provide a variation of the Texas (vendor-driven) approach, with four primary differences:

1. Selection of “more than one” EFM;
2. Requirement that all EFSPs work with all statewide EFMs;
3. Requirement that all EFSPs provide services in all participating counties; and
4. Changes to how monies are managed (court fees, EFM fees, EFSP fees, Merchant Bank fees, and optional court cost-recovery fees).

The balance of the high-level recommendations capture unique expectations and requirements for California. For example, unlike Texas, California has established an EFSP-friendly environment that encourages many EFSPs to differentiate themselves in the marketplace through other value-added services. This is most evident in the Superior Court of Orange County, which has certified 14 EFSPs. While all EFSPs can support the needs of all filers in the court, each company has unique areas of focus such as:

1. Self-Represented Litigants (Legal Aid Society of Orange County and TurboCourt)
2. Civil Collection Cases (ISD Corporation, a division of Journal Technologies, Inc.)
3. Full Service Civil (One Legal, Rapid Legal, and First Legal)
4. Complex Civil (File & Serve Express, formerly Lexis)

The Texas model, largely adopted by several California trial courts that have chosen Tyler for their CMS, is very efficient for courts using Tyler Odyssey but not as EFSP-friendly as many in the state would prefer. For example, it allows very little differentiation on services by the EFSP community around money management. In Texas, Tyler not only provides the EFM for all transactions, it’s also the market share EFSP leader (70 percent of all transactions).

A number of the recommendations brought forward by this workstream are intended to ensure a competitive e-filing marketplace that balances the needs of all four constituencies: the court, the filers, the EFM, and the EFSPs.

Comments on the recommendations

Prior to presentation to the Judicial Council, comments on the recommendations were solicited from and received by court executive officers, court information officers, as well as the Joint Technology Subcommittee of the Trial Court Presiding Judges Advisory Committee and the Court Executives Advisory Committee. Overall feedback was positive and supportive.

During the workstream process, feedback was solicited from 10 EFSPs that currently practice in California. In total, eight companies responded to the following questions:

1. Do you have any concerns if the state chooses multiple e-filing managers?
2. What percentage of your customers would you guess file in multiple counties?
3. Would you object to the state requiring all “statewide” EFSPs to work with all “statewide EFMs”?
4. The state is considering a requirement that all EFMs accept all of the following payment types. Please rank (1–5, 1 being top) your priorities:
 - a. Filer’s Credit Card
 - b. Filer’s e-Check
 - c. EFSP’s Credit Card
 - d. ACH with EFSPs
 - e. Drawdown accounts with EFSPs
 - f. If you have another idea, please add it here____

All but one EFSP expressed no/limited concerns about multiple EFMs with the general consensus that this was a “healthy model.” The lone dissenting EFSP was from a company that does not currently do business in California.

Not surprisingly, an EFSP focused primarily on self-represented litigants responded that only 30 to 40 percent of their customers file in multiple counties, while the traditional full-service EFSPs that cater to law firms responded that 90 to 100 percent of their customers file in multiple counties.

The majority of EFSPs did not express concerns about all EFSPs working with all EFMs, although two did express concerns about the return on investment in such a model.

Payment types saw a wide variance in responses. The more full-service EFSPs wanted alternatives to credit card payments, in particular e-Checks and ACH payments.

In addition, the four major CMS vendors were surveyed about their readiness to work with statewide EFMs and their support of national e-filing standards. All four vendors are ready to

begin working with EFM, and at least two of them will likely bid to become a statewide EFM. All four vendors support the NIEM/ECF e-filing standards.

Implementation Requirements, Costs, and Operational Impacts

Until the procurement process is complete, it will not be clear what implementation costs, if any, will be incurred with the recommended approach. It is possible that a zero-implementation cost model could be established.

Because e-filing is highly disruptive to individual trial courts, the ultimate solution must leave participation authority with the local court. Before implementing e-filing, a court must have a modern CMS, a document management capability, financial resources to navigate through the transition to a digital court record, and staff available to train and operate in the new environment. In the long run, e-filing is proven to increase operational efficiencies. The timing of the transition, however, must be a local court decision.

Finally, a coalition of EFSPs (and other interested groups) has been formed and is called the Coalition for Improving Court Access (CICA). CICA submitted comments and questions, which are attached. CICA is largely supportive of the recommendations of the workstream but seeks clarification in a few areas. It is recommended that the workstream that is formed to develop and manage the procurement process consider and respond to CICA feedback, and where appropriate, take it into consideration during the next phases of this project.

Relevant Strategic Plan Goals and Operational Plan Objectives

The recommendations in this report support Goal III, Modernization of Management and Administration, of *Justice in Focus: the Strategic Plan for California's Judicial Branch* (adopted December 1, 2006).

In addition, e-filing supports Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships outlined in the judicial branch *Strategic Plan for Technology (2014–2018)* and is identified as a focus area in the judicial branch *Tactical Plan for Technology (2014–2016)* under the “E-filing Service Provider Selection/Certification” and “E-filing Deployment” initiatives.

E-filing also is consistent with the [Chief Justice's Access 3D vision](#) for full and meaningful access to the courts.

Attachments and Links

1. *Strategic Plan for Technology (2014–2018)*,
www.courts.ca.gov/documents/jctc-Court-Technology-Strategic-Plan.pdf
2. *Tactical Plan for Technology (2014–2016)*,
www.courts.ca.gov/documents/TPTF-Tactical-Plan-2014.pdf
3. National Information Exchange Model website, www.NIEM.gov

4. OASIS Electronic Court Filing (ECF) standards,
www.oasis-open.org/committees/tc_home.php?wg_abbrev=legalxml-courtfiling
5. Coalition for Improving Court Access (CICA): comments regarding the draft e-filing
workstream recommendations (Feb. 19, 2016)

DRAFT

The Language Access Plan Implementation Task Force:

Video Remote Interpreting Pilot Project

Executive Summary

The Language Access Plan Implementation Task Force proposes to pilot technology solutions for Video Remote Interpreting (VRI) for the California courts. A request for proposals (RFP) has been developed in order to obtain equipment for purposes of a pilot project, which will provide important foundational building blocks in developing a long term VRI strategy for the California judicial branch.

Given the state's size and population, appropriate uses of video remote technology that allow for remote access to the courts while protecting due process remains one of the most critical recommendations of the Strategic Action Plan. Identifying VRI solutions that meet technical and programmatic requirements, at the best value, is a critical step in the Task Force's Technological Solutions Subcommittee's efforts to create a VRI Pilot Project, per LAP's Recommendation No. 16, which states:

16. The Judicial Council should conduct a pilot project, in alignment with the Judicial Branch's Tactical Plan for Technology 2014–2016. This pilot should, to the extent possible, collect relevant data on: due process issues, participant satisfaction, whether remote interpreting increases the use of certified and registered interpreters as opposed to provisionally qualified interpreters, the effectiveness of a variety of available technologies (for both consecutive and simultaneous interpretation), and a cost-benefit analysis. The Judicial Council should make clear that this pilot project would not preclude or prevent any court from proceeding on its own to deploy remote interpreting, so long as it allows LEP court users to fully and meaningfully participate in the proceedings. (Phase 1)

The pilot project outcomes will include defining statewide technical standards, validating programmatic guidelines, and the preapproval of acceptable vendors so courts have an appropriate method to expand access to interpreters to limited English proficient (LEP) litigants. Among the benefits of remote interpreting is the facilitation of prompt availability of language access for litigants by providing certified and registered interpreter services with less waiting time and fewer postponements; this saves both the court user's and the court's valuable time. In addition, having qualified interpreters more readily available through remote interpreting can decrease the use of less qualified interpreters, can decrease dismissals for failure to meet court deadlines, and can decrease the frequency of attorneys or parties waiving interpreter services or proceeding as if the LEP person is not present, in order to avoid delays. By decreasing interpreter travel time between venues and increasing the number of events being interpreted by individual interpreters, remote interpreting allows more LEP litigants to be served, in more areas, utilizing the same personnel and financial resources, thereby greatly expanding language access.

The proposed VRI pilot for spoken language would not preclude trial courts from identifying and implementing alternative solutions that are consistent with technical requirements, as approved by

the Judicial Council, and that meet the programmatic guidelines as established in the Language Access Plan (LAP).

Once the Judicial Council has approved the project, the Task Force, working with Judicial Council staff, will finalize and post the VRI Pilot Project RFP on the Judicial Branch public website. The pilot project will be at zero cost to the court, with the vendor(s) providing equipment and training for an assessment period of up to six months. The hope is to engage up to three vendors who are experienced and capable of executing an efficient project. The RFP seeks to utilize vendor equipment in multiple courtrooms in possibly more than one jurisdiction for both consecutive and simultaneous interpretation, and using California certified and registered interpreters employed by, or contracting with, California courts. The RFP also seeks a leveraged procurement agreement, which will allow for purchase of a vendor's goods and services at the conclusion of the pilot, if the goods and services are found to allow for effective communication.

As part of the VRI pilot project, stakeholders will collaborate to collect data and evaluate a live VRI environment. After the conclusion of the project, the council may use this data and information to update its statewide technical standards and programmatic guidelines as outlined.

The VRI pilot project will enable the Judicial Council to collect data, determine best practices, promote efficiencies and cost savings for courts (including, potentially when sharing interpreter resources between courts), increase court user satisfaction, and address and remedy any due process concerns. The 2011-12 American Sign Language (ASL) pilot was effective for the judicial branch to develop recommended guidelines, which provide assistance to court and judicial staff to help identify appropriate use of VRI for ASL interpreted events. The anticipated VRI pilot project for spoken language, will similarly establish appropriate technical guidelines, serve to validate LAP programmatic guidelines, and will assist trial courts and judicial staff in establishing appropriate use cases and best practices for VRI more broadly.

The U.S. Department of Justice specifically mentions VRI as an efficient tool that can improve and increase language accessibility for LEP court users for the California courts.¹ The National Center for State Courts (NCSC), in conjunction with the Conference of State Court Administrators (COSCA), launched their own RFP related to remote interpreting in 2015, creating technical guidelines that the Subcommittee has leveraged as a starting point for minimum standards. VRI technology is also already being used in the California Courts, including in Fresno, whose technical guidelines and best practices are also being leveraged for the VRI Pilot Project RFP.

Long-term expansion of the VRI pilot will require supplemental funding for equipment and operational costs. One possible source of such funding may be from Court Innovations Grants, if approved, as proposed in the Governor's proposed 2016-17 Budget.

¹ See Attachment C, May 22, 2013 letter from the U.S. Department of Justice, at p.9, attached to California's Language Access Plan: Status Report, Item J for the October 25, 2013 Judicial Council business meeting, available at www.courts.ca.gov/documents/jc-20131025-itemJ.pdf.



**FRESNO SUPERIOR COURT
PILOT REMOTE VIDEO PROCEEDINGS (RVP) PROJECT FOR TRAFFIC CASES**

**Semiannual Progress Report #6
July 1 – December 31, 2015**

SUMMARY

The Fresno Superior Court's RVP pilot project was started in April 2013 and continues to operate well. The process provides motorists who live outside the City of Fresno, both throughout Fresno County and in other areas of the state, cost- and time-saving options for resolving their traffic citations by appearing in court remotely. Hearings are held remotely each Tuesday in the city council chambers in Mendota, which is 42 miles west of the City of Fresno. Appearances are videoconferenced every Wednesday from the municipal government building in Coalinga, which is 70 miles southwest of the Fresno metro area.

There are three measures of the success for this program: usage, sustainability, and replicability. Though usage fluctuates somewhat, RVP has been well received and continually used throughout its 32 months of operation. In the first full six months (July through December 2013), there were a total of 119 actual court appearances at both sites; in the current semiannual reporting period there were 109 appearances. Cumulatively, by the end of December 2015 a total of 629 court users has appeared in traffic court via RVP.

Strong partnerships with the remote site contribute to the project's sustainability. Each year, the Cities of Coalinga and Mendota have willingly renewed their agreements to host the sites. They are not compensated for their facilities and they contribute at no cost to the project a small amount of staff support for hearings, problem resolution, and outreach. City Managers in both locations have relayed to the court that they continue making this commitment despite tight resources because RVP enables them to serve their constituents better. This complements the court's satisfaction that the RVP increases access to justice for traffic court users, particularly for Spanish-speaking court users in rural areas.

High-quality videoconferencing has proven to be replicable to fill an array of other court needs. The Fresno Superior Court used this process to secure certified interpreting services from San Diego for a language for which local interpreters were not available. This prevented a case delay. Most recently, the court leveraged both the RVP experience and infrastructure to secure a federal grant in order to begin offering videoconference services from the courthouse to rural domestic violence litigants. The project will start with two remote host sites with the capacity to expand. Finally, the court is exploring ways with public and private healthcare providers for using technology to enhance substance abuse and mental health services remotely in underserved rural areas.

SYSTEM USAGE

The following table contains the statistics for the current reporting period.

Period: July 1 – December 31, 2015	Site: Coalinga	Site: Mendota	Total for both sites
Hearings and Trials			
Same-Day Hearings/Trials Set (JC Form TR-505)	1		1
Separate RVP hearings and trials (JC Form TR-510)	6	34	40
Court trials held	4	14	18
The number of actual appearances at offsite remote location	20	89	109
Walk-in Requests			
Walk-in persons assisted onsite with court documents, questions, extensions and other traffic court-related matters.	14	38	52
Walk-in persons referred to the traffic courthouse or other court divisions for assistance with payments or other court matters.	36	88	124
Walk-in persons who were not assisted due to the requests not being related to court matters.	40	58	98
Appeals			
Filed After RVP Court Trial	0	0	0
Upheld	0	0	0
Overtured	0	0	0
Pending	0	0	0
Bail			
Bail Waived	4	14	18
Bail Waived for CT-FTA at court	0	0	0
Law Enforcement			
The number of requests from LEAs to appear at downtown courthouse instead of remote location (JC form FTR-70)	0	0	0
Language Assistance			
The number of cases/matters where an interpreter was used	34	122	156
Languages: Spanish			
The number of issues related to interpreter use such as notice not given to provide an interpreter	0	0	0
Citations			
The number of citations filed in the geographical area of the remote site	4,079	2,019	6,098

SYSTEM PERFORMANCE

There were three performance issues to report in this period. In July, the Coalinga site installed a new laptop to operate the RVP and it resulted in challenges loading the software program. The court's IT division worked with the city manager to complete the upload. Despite this assistance, connection problems cropped back up on the next RVP session. It was then determined that a combination of insufficient memory and cable upload speed were at fault. A temporary work-around solution was implemented for a few weeks until Coalinga upgraded to 5GB of RAM and secured a higher upload speed with AT&T.

Also in July, the Judicial Assistant was not able to use the virtual private network to connect to the court's server and operate RVP from Coalinga. The Judicial Assistant used Any Connect to establish the connections within 15 minutes.

In August, the Mendota site was kicked off the court's server during RVP. The Judicial assistant was able to reboot the PC to log back into the server and restore the RVP session within a few minutes.

USER SATISFACTION

The RVP process has been embraced and the court continues to receive positive feedback from users. A recurring comment is that without RVP, many persons would not have access to the court. Users report that the amount of time and money RVP saves them is immeasurable and irreplaceable. In particular, the Spanish-speaking community in rural areas appreciates RVP services. Below is the tabulation of responses to a voluntary user survey in this period.

Question	Responses
Please rate how timely you were assisted.	Pleased: 11 Okay: 8 Disappointed: 1
Were your expectations met?	Yes, definitely: 10 Yes, somewhat: 8 No: 1
How did you feel about the way court was conducted?	Pleased: 14 Okay: 5 Disappointed: 1
How was the quality of the video and audio?	Excellent: 8 Good: 12 Fair: 0 Poor: 0
Would you recommend this service to others?	Absolutely: 15 Probably: 5 Don't know: 0 No: 0
Overall, how would you rate the service you received?	Excellent: 11 Good: 8 Fair: 0 Poor: 1

How did you hear about the Remote Video Proceedings?	Media: 3 Court website: 3 Neighbor: 3 Other: 5 Court courtesy notice: 6 Community representative: 2
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The rated responses were enhanced by fill-in comments. Below is a representative sample of responses when court users were asked what could be done to make the RVP experience better.

- “Todo bien.” Translation: Everything is fine. (Coalinga user, 7/1/15)
- “Café.” Translation: Coffee. (Coalinga user, 7/1/15)
- “Mas rápido.” Translation: Faster. (Coalinga user, 7/1/15)
- “Judge calls us last.” (Mendota users, 7/22/15)
- “Nothing.” (Mendota user, 9/9/15)
- “Mas tiempo para como una persona que viene arreglar su tiket” Translation: More time such as for a person that comes to fix a ticket. (Mendota user, 12/22/15)

It’s unclear from the Mendota user comment on 7/22 if being called last was desired or unwanted; but cases are called in the order that users sign in.

There have been previous requests for the court to provide coffee for RVP sessions but is not possible. The court does not provide coffee for any hearings.

SELF-REPRESENTED LITIGANTS (SRL) E-SERVICES WORKSTREAM

MAY 11, 2016

AGENDA

- GENERAL COMMENTS
- DIVIDE & CONQUER
- NATIONAL EFFORTS
- DEFINE OUR SCOPE
- NEXT STEPS

CONTENT

- THANKS FOR YOUR SUBMISSIONS
 - TECHNICAL
 - WEBSITES
 - LOCAL COURT RESOURCES
 - NATIONAL/INTERNATIONAL RESOURCES
 - DOCUMENT ACCESS
 - EFILING
 - VENDORS
- CONTINUE WITH YOUR SUBMISSIONS

DIVIDE & CONQUER

- EXISTING SOLUTIONS
 - WEBSITES & VENDORS
- TECHNOLOGY
 - IDENTITY MANAGEMENT
 - DOCUMENT ASSEMBLY (HOT DOCS, TYLER GUIDE & FILE)
- ACCESS TO DOCUMENTS
 - EFILING, PORTAL
- REQUIREMENTS
 - FEATURES, ESERVICES
 - STATE VS LOCAL
- ??

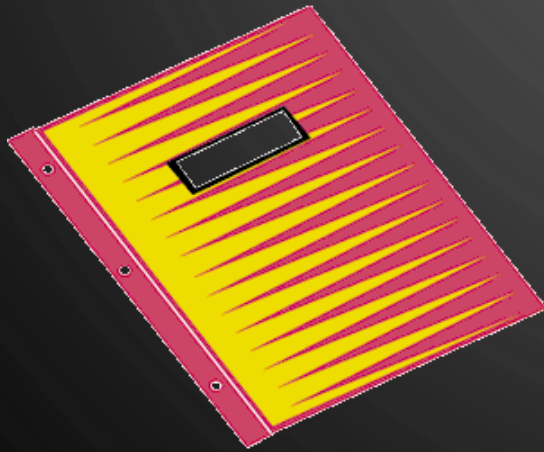
DIVIDE & CONQUER

- VOLUNTEERS TO LEAD AND PARTICIPATE IN SUB GROUPS
- I WILL DISTRIBUTE CONTENT AND ORGANIZE INITIAL MEETINGS
- TEAMS WILL RESEARCH CONTENT AND PRESENT BACK TO WORKSTREAM MEMBERS

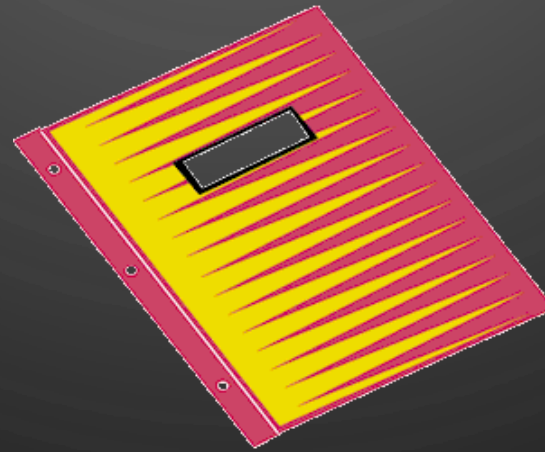
NATIONAL EFFORTS

- “LEGAL SERVICES CORPORATION (LSC) TO PARTNER WITH MICROSOFT AND PRO BONO NET TO CREATE STATEWIDE JUSTICE PORTALS”
 - PILOT PROGRAM TO INCREASE ACCESS TO JUSTICE
 - \$1M INVESTMENT BY MICROSOFT
- CONSULTING WITH THE NATIONAL CENTER FOR STATE COURTS, THE AMERICAN BAR ASSOCIATION, THE NATIONAL LEGAL AID AND DEFENDER ASSOCIATION & THE SELF-REPRESENTED LITIGATION NETWORK
- PLAN TO SHARE SOLUTION FOR ALL STATES TO UTILIZE
- *REPORT OF THE SUMMIT ON THE USE OF TECHNOLOGY TO EXPAND ACCESS TO JUSTICE*

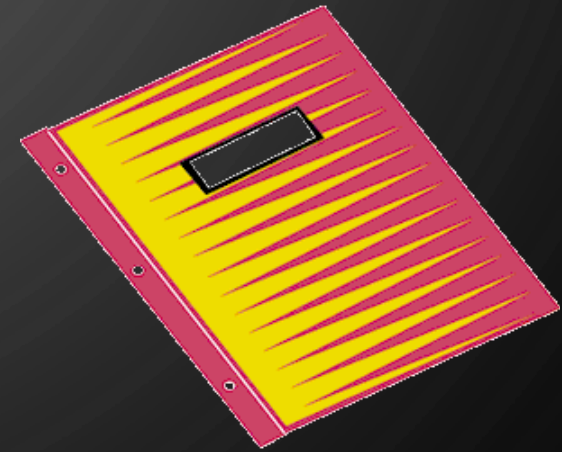
NATIONAL EFFORTS



LCS

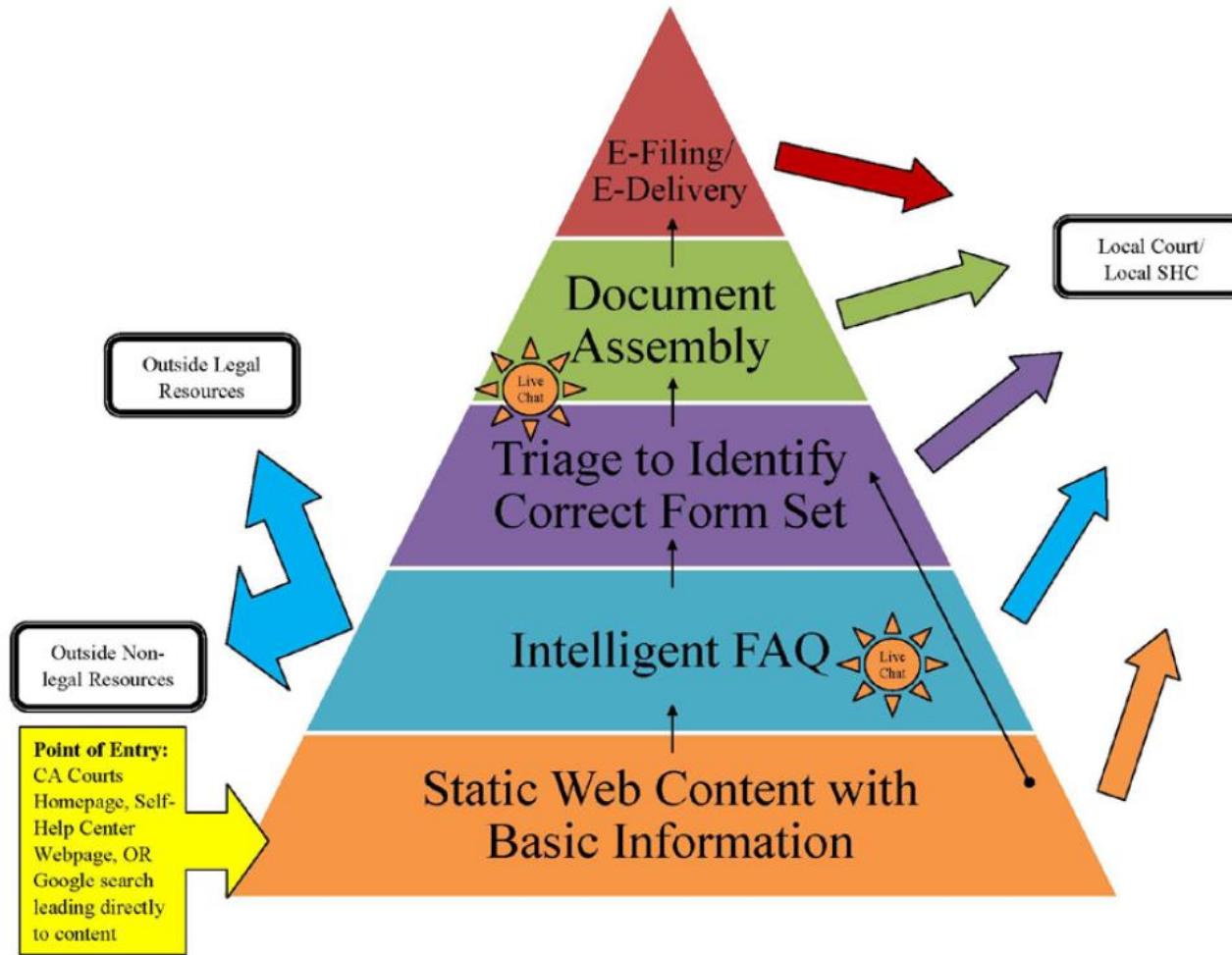


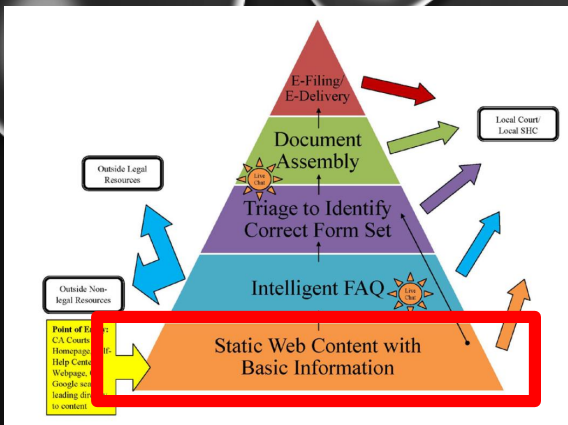
NCSC



CA JC

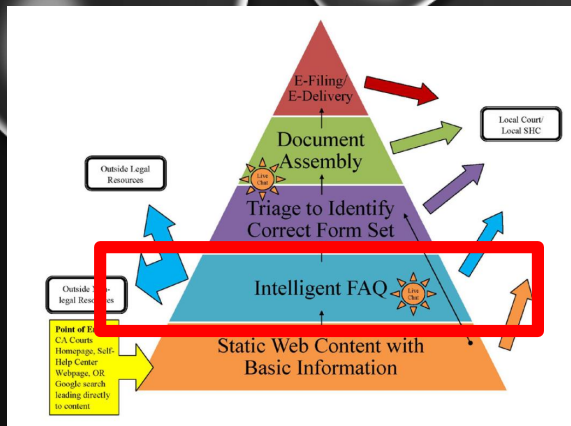
DEFINE OUR SCOPE





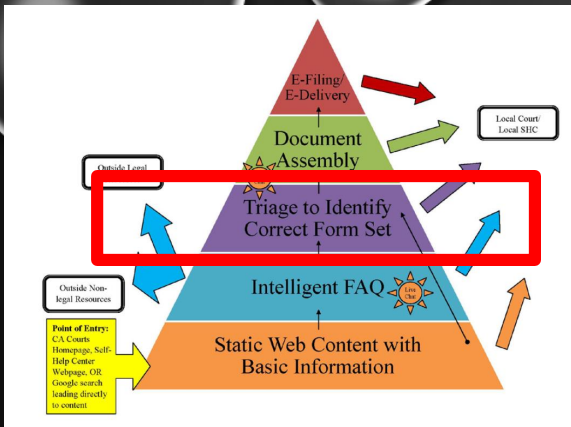
STATIC WEB CONTENT

- CONTINUE TO HAVE STATE CONTENT VS LOCAL COURT CONTENT
 - COLLABORATION WITH ALL COURTS FOR JUMPING OFF POINTS
 - DO WE TACKLE DUPLICATION OF EFFORT AND CONTENT AT THE COURT LEVEL?
- WILL CONTINUE TO PROVIDE INFORMATION AND PROCEDURAL ASSISTANCE, BUT NOT “LEGAL ADVICE”
- INITIAL THOUGHTS ON APPROACH
 - AUGMENT EXISTING “CALIFORNIA COURTS SELF-HELP CENTER” PORTAL
 - DEVELOP A COMPLETELY NEW PORTAL (PROBABLY LEVERAGING EXISTING CONTENT)



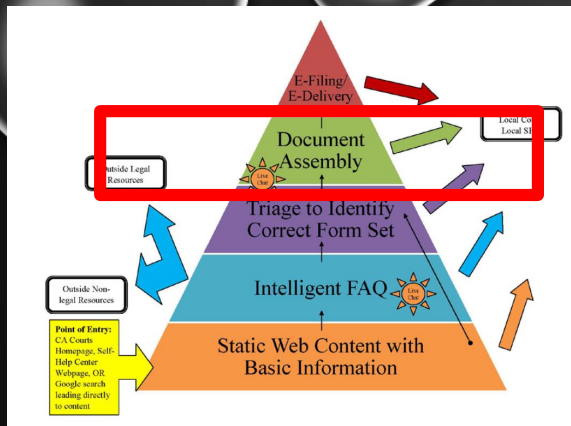
INTELLIGENT FAQ

- BUILD A KNOWLEDGE BASE OF ANSWERS TO COMMON QUESTIONS
- MIGHT REQUIRE RESOURCES TO “GROOM” THE ANSWERS OR MAYBE THIS IS SOLVED THROUGH TECHNOLOGY
- PUBBLE EXPERIENCE IN ORANGE COUNTY IS MIXED
- LIVE CHAT
 - RESOURCED BY LEGAL AID OR OTHER PARTNERS?
 - SIMILAR TO “ASK A LAW LIBRARIAN” FEATURE?



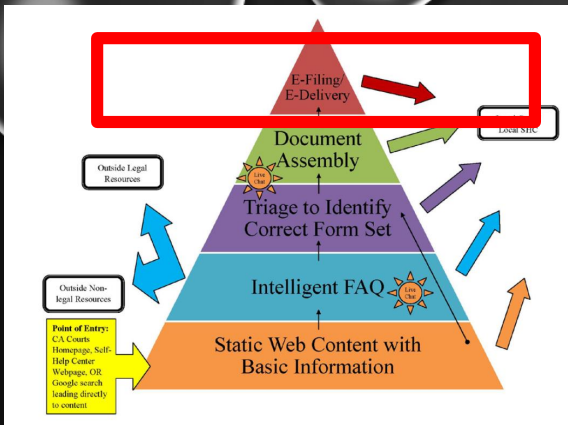
TRIAGE

- ODYSSEY GUIDE & FILE PROJECT



DOCUMENT ASSEMBLY

- SOLUTION SCOPE
 - STATEWIDE
 - CMS FOCUSED
 - LOCAL COURT SOLUTION
- ODYSSEY GUIDE & FILE PROJECT (STATEWIDE SOLUTION)
- SINGLE OR MULTIPLE VENDORS/TECHNOLOGIES?



E-FILING & E-DELIVERY

- E-FILING – PUNT TO SNORRI 😊
- E-DELIVERY
 - JUST A TRANSITIONAL STEP TO E-FILING OR DOES IT COEXIST WITH E-FILING?

DEFINE OUR SCOPE

- WHO IS OUR TARGET AUDIENCE?
- INLINE PHYSICALLY OR JUST ONLINE
 - WORKSHOPS, TOOLS FOR LOCAL RESOURCES
- DEFINE TRANSITION TO EFILING WORKSTREAM SCOPE
- ONLINE DISPUTE RESOLUTION
- TRAFFIC
- LOCAL COURT PARTICIPATION
 - THE PROJECT WILL RESPECT THE NEED TO PRESERVE AND CONTINUE TO ENHANCE TRADITIONAL AVENUES OF ACCESS AS WELL AS RESPECTING THE AUTONOMY OF LOCAL COURTS, WHILE ENCOURAGING COLLABORATION IN ORDER TO ACHIEVE ECONOMIES OF SCALE IN THE DEPLOYMENT OF TECHNOLOGICAL SOLUTIONS.
- ??

NEXT STEPS

- SEND OUT UMBRELLA DOCUMENTS
- SEND OUT VOLUNTEER REQUEST FOR SUBGROUPS
- INITIATE SUBGROUP MEETINGS
- NEXT MEETING