



JUDICIAL COUNCIL OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

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INFORMATION TECHNOLOGY ADVISORY COMMITTEE

MINUTES OF OPEN MEETING

October 14, 2016

10:00 AM

Teleconference

Advisory Body Members Present: Hon. Sheila F. Hanson, Chair; Hon. Louis R. Mauro, Vice Chair; Hon. Terence L. Bruiniers, Hon. Robert B. Freedman; Mr. Brian Cotta; Hon. Julie R. Culver; Hon. Samantha P. Jessner; Hon. Jackson Lucky; Mr. Terry McNally; Mr. Darrel Parker; Mr. Snorri Ogata; Mr. Robert Oyung; Hon. Alan G. Perkins; Hon. Peter J. Siggins; Hon. Joseph Wiseman; Mr. David H. Yamasaki

Advisory Body Members Absent: Hon. Michael S. Groch; Hon. James Mize; Hon. Mark Stone; Mr. Don Willenburg

Others Present: Hon. Daniel J. Buckley; Mr. Mark Dusman; Ms. Virginia Sanders-Hinds; Mr. Michael Derr; Ms. Kathy Fink; Ms. Jamel Jones; Ms. Fati Farmanfarman; Mr. Brett Howard; Mr. Patrick O'Donnell; Ms. Andrea Jaramillo; Ms. Jenny Phu; Ms. Nicole Rosa; Ms. Jessica Craven; Ms. Katherine Sher; Mr. Mark Gelade; Ms. Diana Glick; Ms. Jackie Woods

OPEN MEETING

Call to Order and Roll Call

The chair called the meeting to order at 10:02 AM, and took roll call.

Approval of Minutes

The advisory body reviewed and approved the minutes of the August 25, 2016 Information Technology Advisory Committee meeting.

DISCUSSION AND ACTION ITEMS (ITEMS 1-13)

Item 1

Opening Remarks and Chair Report

Presenter: Hon. Sheila F. Hanson, Chair

Update: Hon. Sheila F. Hanson thanked Justice Bruiniers and Judge Freedman for their leadership roles as chair and vice-chair of ITAC. This is her first meeting as chair, she's looking forward to continuing their work with ITAC.

Judge Hanson welcomed our two new members Hon. Kimberly Menninger, Superior Court County of Orange and Ms. Alexandra Grimwade, CIO, Twentieth

Century Fox Television. The new members attended an orientation session in September. In addition there were several reappointed members.

Judge Hanson will be appointing liaisons to other advisory committees. If you have any interest in a specific committee, please contact Judge Hanson.

Item 2

Case Management System (CMS) Data Exchange Workstream Status Report

Presenters: Mr. David Yamasaki, Executive Sponsor
Hon. Robert B. Freedman, Governance Lead

Update: Mr. Yamasaki provided an update on the workstream progress after giving new members a brief explanation of work to date. The court appointed liaison leads have been identifying details with each justice partners. Collection of data exchange documentation is being captured in a repository at the Judicial Council of California. This information is available to all parties so they can see required information for each agency, justice partner, and vendor. The project is ongoing and they have had great success in obtaining the necessary information. Next steps will be to start work on the governance structure in Phase II. Phase I will close out this calendar year.

Mr. Yamasaki would like to extend this workstream until December 2016. Judge Hanson agrees with the extension and asked members if they had any objections, none were voiced. Project is extended.

Item 3

E-Filing Strategy Workstream Status Report

Presenters: Hon. Sheila F. Hanson, Executive Co-Sponsor
Mr. Robert Oyung, Executive Co-Sponsor
Mr. Snorri Ogata, Project Manager

Update: Mr. Ogata provided a status update on the scope of work. The final business operations document is underway. The workstream is seeking funding through the innovation grant for identity management and payment gateways and the BCP process for staff funding to launch program. Seeking funding from both sources due to uncertainty of either being funded. See slide presentation for additional information.

Mr. Ogata asked are there any concerns about seeking funding and built in cost on an ongoing basis? Justice Bruiniers suggested the vendor funds the development front end costs, not operating costs. Could see a reduction in the Mod Fund.

Judge Hanson asked the committee if there is a consensus to follow the funding path outlined in Mr. Ogata's update. There was agreement to follow this path.

Will also continue to discuss if there needs to be a consortium of courts for the innovative grants. Judge Menninger was curious if multiple courts can apply together.

Item 4**Next Generation Hosting Strategy Workstream Status Report**

Presenters: Hon. Jackson Lucky, Executive Co-Sponsor
Mr. Brian Cotta, Executive Co-Sponsor

Update: Mr. Cotta provided an update on this workstream, which is part of the tactical plan. He noted the landscape has changed quite a bit and is rapidly changing in the branch. There was an in person meeting this past July and their session included cloud and virtualization industry vendors (Amazon, Microsoft, and CISCO). Google wasn't interested in participating. Their next in person meeting will be held in November to see a demo of Oracle's system and tighten up court's use list. They are looking at doing one or more MSAs to secure better pricing solutions. Efforts are on track. Hon. Jackson Lucky added his thanks for the workstream members' participation. Of note, is the fact that the level of service offered is very different with each solution and thus hard to compare services and vendors. Time is being spent defining the court and branch needs.

Item 5**Video Remote Interpreting (VRI) Workstream Status Report**

Presenter: Hon. Terence L. Bruiniers, Executive Sponsor

Update: Justice Bruiniers provided a status update on VRI. The RFP was issued at the end of September. Four vendors responded with demos and the evaluations are complete. Three vendors were selected for pilot courts. The goal is to pilot for 6 months in association with the Language Access Task Force and to have it start by 2nd quarter in 2017 and completed by 3rd quarter 2017. Justice Bruiniers asked ITAC and was approved for an extension through 2017. He noted they may need to also refine the standards.

Item 6**Self-Represented Litigants (SRL) E-Services Workstream Status Report**

Presenters: Hon. Robert B. Freedman, Executive Co-Sponsor
Hon. James M. Mize, Executive Co-Sponsor

Update: Mr. Brett Howard provided an update on behalf of Judge Mize. There are 23 members in the workstream and they meet monthly. Since the project scope is broad, they have split the work into 4 workgroups.

Currently they are in education mode, learning what's out there. They're finding a lot of cross over with other workstreams and seeing similar efforts on the national level. In the process of drafting a project charter to get approval by workstream. Work will begin in 2017 on the requirements and RFP.

Item 7**Disaster Recovery Framework Workstream Status Report**

Presenters: Hon. Alan G. Perkins, Executive Co-Sponsor
Mr. Brian Cotta, Executive Co-Sponsor and Project Manager

Update: Mr. Cotta provided a workstream update. Many courts have taken on hosting their own CMS so it's imperative data is backed up and recoverable. There are about 28 members that join when they can, meeting biweekly. Developing a guiding principles document for DR, which is close to being finished. Also developing a DR framework that courts can use personalizing to their needs. The last major task is to pilot the output of the workstream. This is unrealistic due to lack of funding as well as courts being inundated with deployment of CMS so this task has been removed from the scope of the workstream.

Item 8**Tactical Plan Update Workstream Status Report**

Presenters: Hon. Terence L. Bruiniers, Executive Sponsor
Ms. Kathleen Fink, Project Manager

Update: Justice Bruiniers and Ms. Kathy Fink provided an update on this workstream. The strategic plan is a 4 year cycle and the tactical plan is a 2 year cycle. The workstream is fine tuning to see what additional efforts can be supported and then move forward with the plan. Mr. Rob Oyung provided templates to use that were reviewed with all parties. Ms. Fink is finalizing document and will share first with ITAC, then the CIOs and PJs. A draft plan will be presented at the December ITAC meeting for approval before it goes out for public comment. The goal is to get on the April 2017 Judicial Council meeting agenda.

Item 9**ITAC Projects Subcommittee Report**

Presenter: Hon. Robert B. Freedman, Chair, ITAC Projects Subcommittee

Update: Hon. Robert B. Freedman noted there are no current subcommittee projects, but expects there might be some projects from current workstreams the subcommittee can explore. An example is the Judicial Council forms revisions could be a good fit for the projects subcommittee.

Item 10**ITAC Rules & Policy Subcommittee Report**

Presenter: Hon. Peter J. Siggins, Chair, ITAC Rules & Policy Subcommittee

Action: Hon. Peter J. Siggins advised the subcommittee needs privacy policy help. Work on Phase 2 rules modernization continues.

The guidelines for Remote video proceedings are being revised to change the reporting periods and reflect that the rule is now permanent.

Request a Motion to Approve the Recommendation of Revised Remote Video Proceedings Report Guidelines.

Motion Approved

Item 11**Joint Appellate Technology Subcommittee Report**

Presenter: Hon. Louis R. Mauro, Chair, Joint Appellate Technology Advisory Committee (JATS)

Update: Hon. Louis R. Mauro provided an update on the Phase II appellate rules modernization. JATS is also considering a part two in the 2nd phase to consider items not in the first phase. Now that appellate courts are more conformable with e-filing around the state and can potentially deal with the other items. JATS wanted ITAC to know they are available to work with ITAC on other items as needed.

Item 12**Judicial Council Technology Committee Update**

Presenter: Hon. Daniel J. Buckley, Vice Chair, Judicial Council Technology Advisory Committee (JCTC)

Update: Hon. Daniel J. Buckley provided a JCTC activities update on behalf of Justice Slough. He shared they both very much appreciate the work of ITAC. Since becoming chair and vice chairs of JCTC they have spent this year learning about the various stakeholders within the branch. One focus underway has been the glide path off state funding for V3 courts. Additionally there was a BCP submitted in September for Sustain courts funding and shared their determination to get CMS in all courts. Finally, Judge Hanson, chair of ITAC will be an advisory member on JCTC.

Item 13**2017 Annual Agenda Planning**

Update: Judge Hanson gave a brief explanation of the annual agenda process, then turned it over to Ms. Jamel Jones who outlined the objectives for today's discussion. The focus will be to look at existing projects as well as at 4 new proposals. Additional information was provided in the slide presentation.

New project proposals include:

- Judicial Council forms modernization
- Next generation infrastructure & in-support for courts
- Transcript assembly platform (TAP)
- CMS data exchanges phase II: maintenance

Additional information is located in the slide presentation.

Discussion on the new proposals included:

- Forms modernization project title should be clear that it's about the technology of the forms and not the content. A legal services office analyst is working on this item.
- Judge Hanson suggests the next generation infrastructure & in-sourcing support for the courts might be better postponed until after the new tactical plan is complete. Mr. Oyung thought it needed further clarification from the proposer, Anh Tran, San Joaquin Court and resubmitted to ITAC at the December meeting.
- Mr. Cotta clarified the TAP proposal isn't a request for a workstream. He is looking for an ITAC endorsement to move forward and obtain and grant to fund the update with the existing TAP vendor. The vendor is committed to reengineering this product for electronic clerk's transcripts. Justice Mauro has offered to bring this proposal to JATS to assist.
- The data exchange workstream is asking for a proposal for Phase II for ongoing maintenance needs.

Mr. Oyung made a suggestion, as we go through the annual agenda and tactical planning process it would be helpful going forward to align.

ADJOURNMENT

There being no further business, the meeting was adjourned at 12:05 PM.

Approved by the advisory body on enter date.

CALIFORNIA JUDICIAL BRANCH
INFORMATION TECHNOLOGY ADVISORY COMMITTEE

Case Management System Data Exchange Workstream

Final Report & Governance Plan

11/29/2016

(Submitted for the December 2016 ITAC Meeting)

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INTRODUCTION

On December 5, 2014, the Court Technology Advisory Committee (now, Information Technology Advisory Committee or “ITAC”) established the Data Exchange Workstream under the Executive Sponsorship of David Yamasaki.

This document presents the judicial branch blueprint for the development of data exchanges with its partner agencies. This effort comes at a pivotal time, as the branch implements new case management systems in the majority of trial courts. This opportunity to achieve the benefits of significantly improved efficiency and consistency of information sharing has never before occurred in California and may be decades before it recurs.

The implementation of standard data exchanges provide many benefits:

- They are efficient and cost effective to implement and support;
- The exchanges promote error reduction, responsiveness, and correction turnaround;
- Accuracy and currency of the information shared is increased; and
- Provides a foundation for future mandates and improvements.

As described in the judicial branch *Court Technology Strategic Plan*, implementation of new technology is critical to address a devastating reduction in judicial branch funding. This effort establishes a roadmap for the adoption of data exchange solutions that further the administration of justice and meet the needs of the people of California.

This document provides the results from the Data Exchange Workstream, which included justice partner agencies, case management system vendors, judicial officers, court executive officers, and court information technology officers.

The proposed next steps recognize that many local trial courts have entered into contracts with case management system vendors for the delivery of systems along specified timelines with existing deliverables to be achieved. The efforts of this workstream balance the need to assist in achieving those contract milestones with the broader, long-term need to standardize data exchange approaches state-wide across systems. By the very nature of these objectives, the workstream recommendations are divided into short-term and longer-term action steps.

The ultimate success of this workstream depends on working as an information technology (IT) community that can form consortia to leverage and optimize resources to achieve its goals and overall branch objectives. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing the efficiency and timeliness of data access across the entire justice community.

Business Context

The California court system is the largest in the nation, with 1,937 judges and justices, 1,825 of which are authorized for the trial courts. There are approximately 19,000 court employees throughout the State; 16,600 of which are employed by the trial courts. In 2013 there were 7,868 cases filed in Supreme Court; 20,661 in the Courts of Appeal, and 6,832,710 cases filed in the Trial Courts. The court system serves over 38 million people. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and the Superior Courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts and other agencies.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 10,000 people while the largest has 587 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities, and budget cuts have drastically affected their ability to invest in technology.

The judicial branch interacts with and depends on data flows with several state agencies. These agencies underwent similar budget reductions in the recent recession and are similarly seeking increased efficiencies through standardized data exchanges. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing processes and exchanges may still be paper-based, or were written to address a singular transfer based upon an existing technology rather than a more advanced integrated, digital, environment.

Pre-Existing Condition

At the formation of the Data Exchange Workstream, there was a plethora of data exchange mechanisms, standards, formats and approaches. Data exchange between the judicial branch and each justice partner was accomplished in a different manner. Often there were multiple data exchange approaches with the same justice partner implemented with different superior courts at different points in time. As a result, case management vendors were struggling to understand and implement the various ‘flavors’ of each exchange to meet the requirements of their customers and the justice partner. The development and support of multiple ‘standards’ for the same exchange would be expensive and inefficient for the vendors, justice partners and the judicial branch; and inconsistent with the vision for the future.

Project Approach

The data exchange workstream began with a series of face-to-face meetings in Sacramento and San Francisco. These meetings served to introduce the participants from across the courts, justice partners and case management system vendors and confirm that a common interest existed for the creation of data exchange standards. These initial meetings also led to the creation of a set of workstream principles; and, in combination with a survey of participants, the determination that there was significant consensus on the technical specifications to be used in future data exchanges.

The face-to-face meetings recognized that there were many possible data exchanges to examine. These include exchanges with local agencies such as: District Attorney; Public Defender; Probation; local law enforcement agencies; collection agencies; etc. There are also many internal exchanges between courts, and with the Judicial Council: case transfers; appeals filings; Judicial Branch Statistical Information System (JBSIS); etc. The workstream determined it would focus initial efforts on data exchanges between the courts and five agencies that are accessed by all courts: Department of Justice (DOJ); California Highway Patrol (CHP); Department of Child Support Services (DCSS); California Department of Corrections and Rehabilitation (CDCR); Department of Motor Vehicles (DMV). Prior to the conclusion of the workstream, the Department of Social Services (DSS) was added a sixth agency for focusing efforts.

Following the face-to-face meetings, a series of webinars, each focused on one of the key justice partner exchanges, was held to drive out detail on that exchange and determine a short and long term plan for that justice partner.

Workstream Principles

Guiding principles establish a set of considerations for technology project decision-makers. The February 2, 2015 workstream meeting established the following principles:

- Limit exchange approaches
- Use standards-based solutions
- Exchange solutions will be prospective
- Leverage and reuse solutions where possible
- Safeguard integrity and privacy of data

Proposed Future State - Governance

The proposed future state is split into near-term and long-term goals. Many near-term state goals have been accomplished by the workstream, whereas the long-term future state goals are to be achieved as part of ongoing operations under the oversight of a proposed standing Data Exchange Governance Committee.

Near-term future state:

In the near-term the Data Exchange Workstream can assist to:

1. 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;
2. 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;
3. Collect the required documentation to support exchange development;
4. Document the current implementation status of each exchange by each vendor;
5. Establish a brokerage for modifications to the standard exchanges;
6. Finalize the 'goal state' for the long-term data exchange standards.

Long-term future state:

In the longer-term, the Data Exchange Governance Committee can:

1. Identify the technical standards to be used for the implementation of all data exchanges between the judicial branch and justice partners;
2. Establish and execute a formal governance process for exchange updates and modifications;
3. Maintain a repository of required materials that support development of standardized exchanges;
4. Promote the technical standards as the default standards for local data exchanges.

Governance Committee Plan

Background

The Judicial Council Information Technology Advisory Committee Data Exchange Workstream was established upon approval on December 5, 2014 in an effort to align the requirements of justice partners regarding the exchange of information between courts and their case management system vendors. This effort was deemed critical in light of the extensive Case Management System (CMS) implementations that were underway as courts anxiously moved forward acquiring the systems to avoid the loss of fund balances created by statutory prohibition of maintaining reserves in excess of 1% of their budgets.

As this effort was voluntary, between multiple, disparate agencies, the role and responsibility for the workstream required some agreement between all parties based upon two concepts or a combination thereof: 1. the structure and function was one of advice and guidance, with the methodology of encouragement and inclusion for the purpose of arriving at consensus; and 2. the structure and function was to manage and encourage common solutions and adherence to the policies and technical standards.

Governance Committee Structure

It became clear during the workstream activities that an organized, on-going effort would be required to nurture and maintain the voluntary collaboration and cooperation among the justice partners, vendors, courts and Judicial Council. The need to operationalize support for establishing and maintaining standardized exchanges was largely the case due to the varying technological solutions that each of the vendors were developing in conjunction with the needs of local trial courts and the varying requirements expressed by justice partners with their existing or emerging information system solutions. Absent a solution, there existed the risk of developing 58 different data exchange solutions for each of the trial courts to communicate with a single justice partner. This approach would have been costly to maintain and would have slowed the development process between vendors and justice partners.

Subject to the approval of ITAC and the Judicial Council Technology Committee (providing oversight to ITAC), the development of a standing Data Exchange Governance Committee is seen as the means of achieving on-going oversight. While there is no overriding mandate to participate, voluntary effort between multiple agencies with agreement between the parties to preserve and extend the benefits achieved by the Data Exchange Workstream is in the best interest of all participants. The Committee will provide continued oversight of the structure and function of data exchanges, and facilitate

the adoption of common solutions, policies and standards that best serve the implementation of existing and future technology and processes.



Governance Assumptions & Guidelines

Data Exchange Governance Committee assumptions and guidelines cover four broad areas: 1. stakeholder engagement, 2. communications, 3. technology compliance, and 4. change control management.

1) STAKEHOLDER ENGAGEMENT:

The Committee will:

- a. Create applicable management strategies to effectively maintain ongoing stakeholder involvement and engage new stakeholders (i.e. vendors, courts, state justice partners) throughout the committee life cycle, based on the analysis of their needs, interests, and potential impact on data exchange success;
- b. Consider organizational culture, structure, and political climate as important in determining the best options to support processes for managing stakeholder involvement;
- c. Seek stakeholder judgement and expertise from individuals with insight into the relationships within each organization involved in the data exchanges;
- d. Address and manage issues as they occur, and foster appropriate stakeholder engagement in committee activities;
- e. Execute stakeholder expectations through negotiation and communication to ensure data exchange goals are accomplished;
- f. Identify and address potential stakeholder concerns that have not become issues and future problems that may be raised, discuss as quickly as possible to assess associated data exchange risks;
- g. Clarify and resolve identified issues/risks;
- h. Monitor overall stakeholder relationships and adjust the strategies and plans for engaging stakeholders.

2) COMMUNICATIONS:

The Committee will:

- a. Create a communications plan which will coordinate and maintain communications between the Judicial Council, trial and appellate courts, Justice Partners and case management system vendors in regards to automated data exchange;
- b. Maintain a secured document repository – currently in HyperOffice, hosted by the Judicial Council – of relevant materials to update all parties involved in standards, data exchange implementations, technical improvements, and relationships;

- c. Coordinate electronic communications management: e.g. e-mail, teleconference, video and web conferences, web publishing (e.g. to the Judicial Resources Network “JRN” web site), as appropriate to facilitate standardized data exchanges
- d. Meet in-person at least annually in synchronization with the Judicial Council Annual Agenda timeline (travel and lodging expenses are covered by individual members, if applicable);
- e. Provide performance information to ITAC which includes ongoing status and progress information on the data exchange development, implementation and coordination among the participants on the committee;
- f. Maintain a list of justice partners and vendor contacts.

3) TECHNOLOGY COMPLIANCE:

The Committee will ensure:

- a. There will be a single standardized data exchange between all courts and each identified justice partner;
- b. The use of National Information Exchange Model (NIEM) and Electronic Court Filing (ECF) will be promoted as new data exchanges are developed;
- c. Implementation of current security models will be promoted as new data exchanges are developed;
- d. The integrity and privacy of data, data exchanges, and repository information, remain core to the development and on-going operation of data exchanges;
- e. Error handling will be specified as a part of developing each new data exchange;
- f. Secure connectivity will be defined as part of developing each new data exchange.

4) CHANGE CONTROL MANAGEMENT:

The Committee will:

- a. Develop and manage a change control process for existing and new data exchanges between its members;
- b. Develop and manage a change control process for its assumptions and guidelines;
- c. Develop and manage a change control process for its data exchange documentation repository;
- d. Define how to enforce/encourage the partner’s obligation to follow the governance structure.

Proposed Future State – By Justice Partner

Department of Justice

Exchange description:

The initial Department of Justice (DOJ) exchange involves the transfer of data from the courts to the DOJ on charged offenses and dispositions. This information is part of a broad data capture effort at the DOJ. Defendant, offense and conviction information is sent to DOJ. Error messages are returned to the courts, as necessary.

Near-term future state:

The DOJ has worked to develop two subsequent exchanges, however they have indicated that their older, Automated Transaction Disposition Reporting (ATDR) version of the exchange will be used for new implementations during the next two years; while they analyze their needs for the next data exchange mechanism. This is quite an old exchange, incorporating none of the technical specifications expected for the long-term, and does not fully support the DOJ's business processes. DOJ anticipates 12- 24 months of analysis before initiating an arrest and disposition reporting modernization project.

Long-term future state:

Work with DOJ to implement a new exchange based on the adopted long term technical specification. There has been recent legislative interest in improvements to DOJ reporting.

California Highway Patrol

Exchange description:

The initial California Highway Patrol (CHP) exchange involves the filing of new cases from the CHP into the courts. This exchange is part of the state-wide implementation of electronic citation devices. Defendant, offense and vehicle information is sent to the courts. The courts respond with a success/error message on each citation to the CHP.

Near-term future state:

The CHP has worked with the Superior Court in Sacramento to complete the development of a new data exchange for citations. The new exchange is based upon many of the proposed technical specifications and is now implemented. This will be the exchange available during the next two years.

Long-term future state:

Work with CHP to implement the remaining technical specifications in a future version of the exchange.

Department of Child Support Services***Exchange description:***

The initial Department of Child Support Services (DCSS) exchange involves the electronic filing of case information, from the DCSS into the courts. This exchange is part of the state-wide implementation of electronic case filing. New filing, subsequent filing, proposed orders, proof of service, etc. can all be electronically sent to the courts. The courts respond with a success/error message on each filing and stamped forms can also be returned, when appropriate. Nine courts are currently implemented on this exchange.

Near-term future state:

The Department of Child Support Services (DCSS) is actively seeking to expand implementations. This will be the exchange available during the next two years.

Long-term future state:

Work with DCSS to implement the remaining technical specifications in a future version of the exchange.

California Department of Corrections and Rehabilitation

Exchange description:

There is no current California Department of Corrections and Rehabilitation (CDCR) exchange with the courts. However, there is significant interest by all parties in automating the ‘prison commitment packet’.

Near-term future state:

The CDCR has been working internally to develop a fully defined, NIEM-compliant, data warehouse. This offers an excellent opportunity to partner with the CDCR to implement a standards compliant data exchange in the short term.

Long-term future state:

Deploy new, standards compliant data exchange across all courts.

Department of Motor Vehicles

Exchange descriptions:

There are currently two Department of Motor Vehicles (DMV) exchanges with the courts:

- Driver’s license and vehicle registration, and
- Traffic School Completion.

The Driver’s license and vehicle registration exchange is critical to the processing of traffic cases in courts and is accessed throughout the day. The traffic school completion exchange provides the courts proof of traffic school completion, directly from the traffic schools.

Near-term future state:

The DMV supports a very large network of data consumers for Driver’s license and vehicle registration exchange; including many governmental agencies, and private sector service providers. The current data exchange mechanisms are quite old and meet none of the proposed technical standards. The existing LU 6.2 and screen-scrape exchanges will be the only exchanges available during the next two years. The state data center provides hosting and technical support for both DMV exchanges.

The Traffic School Completion exchange is used by the courts and the private sector traffic school providers. It is much newer and employs more current technology, incorporating most of the proposed technical standards, other than NIEM compliance.

Long-term future state:

Work with DMV to implement updated exchanges incorporating the technical specifications.

California Department of Social Services

Exchange description:

There is no current California Department of Social Services (DSS) exchange with the courts. However, there has been significant work performed by DSS to develop a Request for Proposals (RFP) for their new Child Welfare System which is intended to include court data exchange.

Near-term future state:

The DSS has invited the courts to participate in the RFP process.

Long-term future state:

Deploy new, standards compliant data exchange across all courts.

Additional Tasks Completed

Following the initial issuance of this report in July 2015, a number of tasks were completed to facilitate the goals of the data exchange workstream:

- a. An additional Justice Partner was added to the set of participants, Department of Social Services (DSS);
- b. Selection of a court to act as the technical lead for each of the six primary justice partner exchanges: DMV, DOJ, CHP, DCSS, DSS and CDCR;
 1. DMV- Los Angeles County Superior Court
 2. DOJ – San Bernardino County Superior Court
 3. CDCR – Santa Clara County Superior Court
 4. CHP – Sacramento County Superior Court
 5. DSS – Marin Superior Court

6. DCSS – Orange County Superior Court
 - c. Justice Partner/Vendor meetings were held to discuss status and resolve any issues. All vendors and justice partners were invited to interact on the status of implementation of the short-term data exchanges; DMV met with Tyler then next vendor etc. The lead court set up the meeting times for all interested participants.
 - d. A repository was established containing the documentation on the short-term data exchange standard for each justice partner.

Additional Tasks to be undertaken through the Governance Committee

A small set of workstream tasks remain to be addressed by the Governance Committee as part of their on-going efforts to facilitate data exchanges:

- a. Develop the business case for data exchange standards. This may include consultation with federal government agencies, the National Center for State Courts, the Integrated Justice Information Systems (IJIS) Institute, etc.;
- b. Continue to promote the implementation within the Judicial Branch of the short-term data exchange standards for each justice partner;
- c. Initiate a data exchange implementation project with CDCR using the long-term data exchange technical specification.
- d. Initiate a data exchange implementation project with DSS using the long-term data exchange technical specification.

CONCLUSION

The establishment of standardized data exchange models will facilitate the exchange of information between all of the entities that have been identified as partners for this endeavor. Until this time, courts, vendors and justice partner agencies have relied upon independent communications to develop methods to share information that were sensitive to local needs and local resources. While these considerations are of value, the entire trial court and justice partner community can ensure that respective needs for information can continue and at the same time work closely with the vendor community to incorporate advanced standards for the exchange of information efficiently and securely.

The workstream's timeline to complete this process was set at approximately 18 months. The opportunity to share information collectively regarding ongoing developments provided early benefits and resulted in positive results, well in advance of this schedule. We are hopeful that formalizing the process for future communications will continue to provide

future gains as deployments continue and the implementation of standards becomes more common.

Appendix A: Data Exchange Workstream Membership

Lead Project Staff

Mr. David H. Yamasaki

Chief Executive Officer
Superior Court of California,
County of Orange

Hon. Robert B. Freedman

Judge of the Superior Court of California,
County of Alameda

Mr. Alan Crouse

Deputy Chief Executive Officer
Superior Court of California,
County of San Bernardino

Trial Court Workstream Participants

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Mr. Paras Gupta, Superior Court of Monterey County
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Case Management System Vendors Participants

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Justice Systems
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Tyler Technologies

Appendix B: Proposed Long-Term Data Exchange Standards

To facilitate the standardized exchange of data between the judicial branch and its justice partners, the following framework of technical standards shall be adopted for the development of new data exchanges:

1. Exchanges shall use the National Information Exchange Model (NIEM)/Electronic Court Filing (ECF) as a standard way of defining the contents of messages being exchanged;
2. Exchanges shall be implemented using a web services architecture for data exchange;
3. Exchanges shall use SSL/TLS (Secure Sockets Layer/Transport Layer Security) at the current commercially implemented release for communications security.

Appendix C: Description of Potential Benefits

Premise / Basis for Achieving Benefits:

- The data packet for an exchange is based upon standards that define the methods and the data rules.
- The data packet is transported (delivered, received, retrieved) utilizing a method that provides immediate notification pertaining to success or failure.
- The integration and/or application services provide timely validation and error notification.
- A single set of nationally based, non-proprietary data, transport, and security standards are utilized.

These benefits are achieved through:

- **Cost reduction.**
 - Resource reduction compared to manual or semi-manual processes.
 - Standardization and modern methods require less initial development and support later upgrade efforts.
 - Data rules built into the exchange payload mean less development and support effort and automated validation by the providers and consumers of the data.
 - Modern communication services / techniques provide more immediate success and error responses and efficient resolution.
- **Timeliness, completeness, and accuracy.**
 - Efficient and standardized processes provide timely, accurate, and complete updates of databases, as well as more complete and accurate data retrieved by the courts and their justice partners.
 - When errors are encountered, the tools provide mechanisms for quick response and correction.
- **Modern, consistent, transparent, and predictable.**
 - The standardized tools provide a consistent and predictable development and upgrade path for mandated changes or beneficial enhancements, relating to both data exchanges and applications by vendors, courts, and justice partners.
 - Isolates the data exchange partner from the specific technology of the other partner's application.
 - Provides an opportunity for consistent improvement in order to avoid obsolescence and increasing support costs.
- **Provide the foundation to support future generations of toolsets.**
 - The standardized tools provide the opportunity to implement versioning in order for each court to move to new standards when funding, resources, and prioritization allows.

CALIFORNIA JUDICIAL BRANCH

Tactical Plan for Technology

2017–2018

~~Technology Planning Task Force~~ Information Technology Advisory Committee, Tactical Plan
Update Workstream

January 1, 2017

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INTRODUCTION

The **Tactical Plan for Technology (2017–2018)** is the first revision of the initial judicial branch Tactical Plan for Technology (2014–2016), established with the Court Technology Governance and Strategic Plan, effective October 2014. The Technology Governance and Funding Model states:

Recommendation 12: The Judicial Council should adopt a Tactical Plan for Technology every two years that will guide branch technology decisions.

It is the responsibility of the Information Technology Advisory Committee to facilitate the process of updating the Tactical Plan for Technology, working with judicial branch stakeholders and other advisory committees. To accomplish this, the Tactical Plan Update workstream was established in April 2016.

As a starting point for analysis, the workstream drafted a description of judicial branch business drivers ([Appendix A](#)) using an analysis of Value Disciplines Model¹ and SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats)². SWOT is a structured planning method that evaluates those four elements of a project or organization. The preliminary results were presented to the Court Executive Advisory Committee, the Presiding Judges Advisory Committee, and the Court Information Technology Management Forum for feedback.

The consensus on the primary service value focus is Operational Excellence, delivering to court users more effective, efficient court processes at a lower cost. Product Leadership, delivering innovative services, and Customer Intimacy, delivering personalized services should also have some emphasis. However, the judicial branch should not value innovation over improving access to justice, and the goal is to deliver individual justice, not customized justice.

With the Court Technology Strategic Plan and the business drivers as a foundation, the current initiatives for the Tactical Plan for Technology (2014–2016) were updated. A brief description of the initiatives is in the [Technology Initiatives Summary \(2017–2018\)](#). The progress summary for the initiatives is attached in [Appendix B](#).

Suggestions for new Tactical Plan initiatives were solicited from across the judicial branch. Taking into consideration the limited branch resources currently available, two new initiatives were selected for inclusion in the Tactical Plan for Technology (2017–2018):

- Digital Evidence: Acceptance, Storage, and Retention, and
- [Expand the branch IT community through increased sharing of resources, training, and collaboration.](#) ~~Develop an IT community and collaboration to address training and sharing of resources.~~

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

¹ Michael Treacy “The Discipline of Market Leaders” 1995

² ©2010 Institute for Court Management

Technology Planning Documents

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

Document	Description
Two-year Tactical Plan for Technology (2017-2018) (this document)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

Results from the Technology Planning Task Force in 2014 include the following documents:

Document	Description
Technology Governance, Strategy, and Funding Proposal: Executive Summary	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Superseded:	
Two-year Tactical Plan for Technology (2014–2016)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 19,000 court employees, and nearly 6.8 million cases—serves over 39 million people, 7 million of whom have limited English proficiency. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 10,000 people while the largest has 585 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to maintain existing technology assets or invest in technology improvement~~invest in technology~~. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court as they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written assuming a paper-based court and did not contemplate a digital electronic one.

Technology Vision

A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California citizens. The vision for judicial branch technology is:

Through collaboration, initiative, and innovation on a statewide and local level, the judicial branch adopts and uses technology to improve access to justice and provide a broader range and higher quality of services to the courts, litigants, lawyers, justice partners, and the public.

This vision also sets forth the framework within which the guiding principles can readily be applied.

Technology Principles

Guiding principles establish a set of considerations for technology project decision-makers. They articulate the fundamental values that provide overall direction to technology programs within the justice community. As principles, they are not mandates nor do they establish conditions for technology project advancement. These guiding principles are in no way intended to obligate courts to invest in new, or to modify existing, solutions or services.

1. **Ensure Access and Fairness.** Use technologies that allow all court users to have impartial and effective access to justice.
2. **Include Self-Represented Litigants.** Provide services to those representing themselves, as well as those represented by attorneys.
3. **Preserve Traditional Access.** Promote innovative approaches for public access to the courts while accommodating persons needing access through conventional means.
4. **Design for Ease of Use.** Build services that are user-friendly, and use technology that is widely available.
5. **Provide Education and Support.** Develop and provide training and support for all technology solutions, particularly those intended for use by the public.
6. **Secure Private Information.** Design services to comply with privacy laws and to assure users that personal information is properly protected.
7. **Provide Reliable Information.** Ensure the accuracy and timeliness of information provided to judges, parties, and others.
8. **Protect from Technology Failure.** Define contingencies and remedies to guarantee that users do not forfeit legal rights when technologies fail and users are unable to operate systems successfully.
9. **Improve Court Operations.** Advance court operational practices to make full use of technology and, in turn, provide better service to court users.
10. **Plan Ahead.** Create technology solutions that are forward thinking and that enable courts to favorably adapt to changing expectations of the public and court users.
11. **Improve Branchwide Compatibility Through Technology Standards.** Provide branchwide technology standards or guidelines related to access to information or submission of documents that support the branch's goal of greater compatibility for the public and state justice partners.
12. **Consider Branchwide Collaboration and Economies of Scale.** Identify opportunities to collaborate on technologies to reduce costs, leverage expertise and training, and improve consistency.
13. **Foster Local Decision-Making.** Develop, fund, and implement technologies to improve local business processes that may provide a model for wider implementation.
14. **Encourage Local Innovation.** When developing branchwide technologies, allow for adaptation to address local needs, foster innovation, and provide, where appropriate, a model for wider implementation.

STRATEGIC PLAN

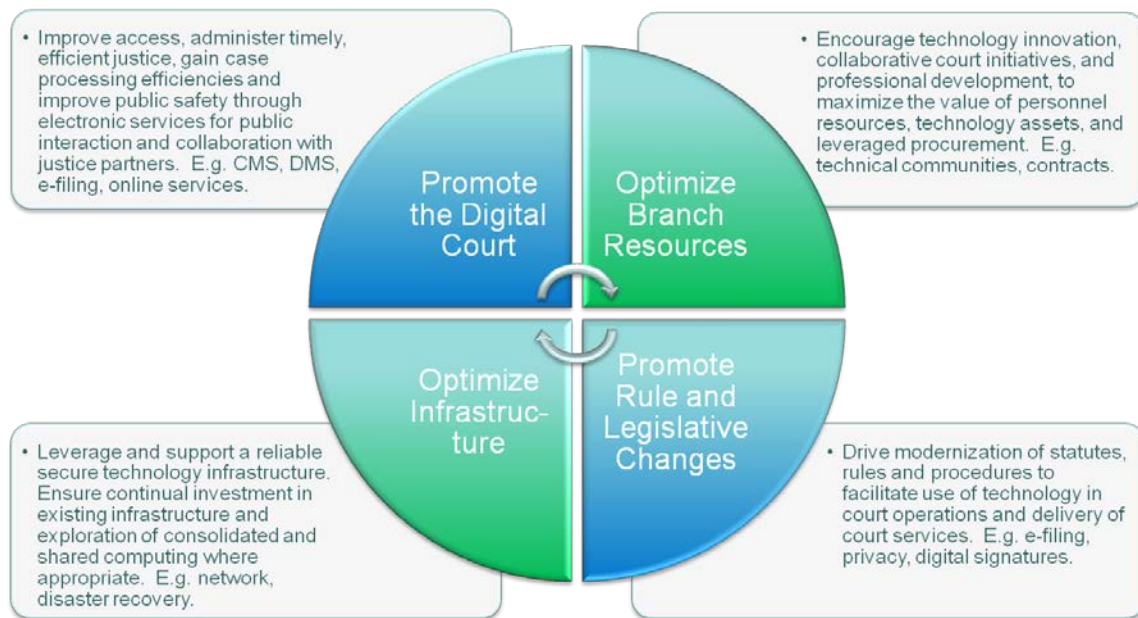
A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis.

All of these activities will align with the overall goals of the branch.

Summary of Technology Goals (2014–2018)

The Technology Planning Task Force has identified four technology goals for the branch in support of the overall goal of providing access to justice.



Goal 1: Promote the Digital Court—Part 1: Foundation

Statement of Goal

The judicial branch will increase access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for the Digital Court throughout California.

Objectives (prioritized)

- 1.1.1. Establish a digital court foundation by implementing modern and supportable case management systems (CMS) and document management systems (DMS) where needed to allow all courts to efficiently deliver services to the public.
- 1.1.2. Ensure that courts have the ability to operate independently of local government infrastructure for critical court operations.
- 1.1.3. Facilitate or provide shared technology infrastructure for courts without local resources and/or for those courts who wish to collaborate or leverage other opportunities for shared services.
- 1.1.4. Effectively utilize the digital court foundation to enable:
 - Extended access and services to the public, including electronic filing and enhanced access for those with limited English proficiency.
 - Enhanced judicial and administrative decision-making.
 - Data and information sharing across the courts.
 - Enhanced collaboration and cooperation between and among courts.
 - Enhanced collaboration and cooperation with local and statewide justice partners.

Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships

Statement of Goal

The judicial branch will improve access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by implementing a comprehensive set of services for both public interaction with the courts and collaboration with branch justice partners.

Objectives (prioritized)

- 1.2.1. Provide consistent, convenient, and secure remote digital access to court information and services for court users and practitioners, including self-represented litigants and limited English proficiency litigants, regardless of geographic and jurisdictional limitations and local resource constraints.
- 1.2.2. Increase operational efficiencies by establishing new or expanding existing e-business opportunities.
- 1.2.3. Enhance public safety through expansion of statewide programs such as the California Courts Protective Order Registry (CCPOR) to include all courts.
- 1.2.4. Establish standardized, automated, and timely data exchanges with state (e.g., California Highway Patrol (CHP), Department of Justice (DOJ), Department of Child Support Services (DCSS)) and local partners (e.g., county agencies, collections providers, etc.), to promote public safety and improve overall effectiveness and efficiency of the California justice system.

Goal 2: Optimize Branch Resources

Statement of Goal

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

Objectives (prioritized)

- 2.1. Reduce overall cost and effort when purchasing technology by forming groups and consortia to leverage procurements wherever possible.
- 2.2. Recruit, develop, and maintain a workforce with the knowledge, skill, and ability to deliver the full potential of information technology within the branch and to the public.
- 2.3. Maximize the value of limited branch resources through innovative technology solutions that can improve, enhance, and support the efficient and effective implementation and delivery of court programs, processes, and education.
- 2.4. Maximize the return on investment when leveraging existing technology assets and selecting new technologies.
- 2.5. Integrate branchwide strategic priorities into education and professional development programs for judicial officers and court staff.
- 2.6. Promote continual improvement of court practices by collaborating on court technology solutions, leverage and share technology resources, and creating tools to educate court stakeholders and the public.
- 2.7. Identify and implement technology best practices within the branch.

Goal 3: Optimize Infrastructure

Statement of Goal

The judicial branch will leverage and support a reliable secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

Objectives (prioritized)

- 3.1. Ensure secure and reliable data network connectivity throughout the branch.
- 3.2. Provide a consistent level of infrastructure security across the branch.
- 3.3. Determine if there is any efficiency that could be achieved through the deployment of converged voice and data technologies.
- 3.4. Develop a next-generation data center hosting model that will meet the current and anticipated future business needs of the branch.
- 3.5. Ensure that critical systems and infrastructure can be recovered in a timely manner after a disaster.

Goal 4: Promote Rule and Legislative Changes

Statement of Goal

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

Objectives (prioritized)

- 4.1. Determine if it is necessary to add new rules or legislation or modify any existing ones in anticipation of technology solutions that will be deployed in the near term.
- 4.2. Ensure current rules and legislation do not inhibit the use of current technology solutions.
- 4.3. Ensure rules and legislation support the four-year strategic plan and the two-year tactical plan.

TACTICAL PLAN

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

The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Every two years, the branch will update its tactical plan to support the four-year strategic plan. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis. All of these activities will align with the overall goals of the branch.

This Tactical Plan represents the revisions to the initial two year Tactical Plan (2014-2016).

The branch Tactical Plan for Technology (2017-2018) contains a set of technology initiatives encompassed in a number of focused, ambitious projects, with a two-year time frame for completion. These initiatives should be launched or continue in 2017 and be completed by 2018. Each initiative supports the roadmap, which propels the branch toward the four strategic goals.

Although some requests for funding of specific projects have been recently granted [e.g., budget change proposals for completing the branch LAN/WAN deployment and transitioning courts to modern case management systems] judicial branch funding for technology continues to be inconsistent, ad hoc, and less than what is needed to fully leverage its potential. Technology investments at the branch and local levels are still severely limited, particularly as local reserves have been spent down and cannot be rebuilt. Therefore, the revised tactical plan again reflects the reality of scarce resources. Initiatives continue to focus on planning and investigation, on projects that can be self-funded or are low or no cost, and on developing budget change proposals to request state funding. Once consistent funding is restored, the judicial branch can make further progress on many initiatives not currently feasible, and can move into design, development, and deployment of more ambitious projects and programs.

Most of the tactical plan initiatives are continuing projects from the Tactical Plan (2014-2016). Two new initiatives were selected based on their ability to support the four strategic technology goals and judicial branch technology business drivers. Initiatives continue to be prioritized based on their foundational aspects, dependency on other initiatives, and amount of time required to realize benefits. For example, initiatives focused on core components of the Digital Court such as case management systems and document management systems were given a higher priority than initiatives such as developing case management system interfaces and data exchanges since these depend upon completion of the core components.

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

The initiatives will be governed under the new model described in the Technology Governance and Funding Model. The majority of the initiatives will be managed by the Information Technology Advisory Committee while the Judicial Council Technology Committee may identify some initiatives that they wish to oversee directly.

Timelines for initiatives have been estimated and are assumed to continue or begin in the first quarter (Q1) of calendar year 2017, but initiatives may be delayed if adequate resources are not available at the scheduled start time.

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

Technology Initiatives Summary (2017–2018)

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

Strategic Goal	Initiative	Objectives Supported	Disposition for Tactical Plan 2017-18
Promote the Digital Court	Case management system (CMS) assessment and prioritization	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Continuing, revised
	Document management system (DMS) expansion	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Continuing, revised
	Courthouse video connectivity [including Video Remote Interpreting]	1.2.1., 1.2.2.	Continuing, revised
	California Courts Protective Order Registry (CCPOR)	1.2.1., 1.2.2., 1.2.3.	Continuing, revised
	Implement Self-Represented Litigants (SRL) e-Services	1.2.1., 1.2.2.	Continuing, revised
	Jury management technology enhancements (trial courts)	1.1.4.	Defer for consideration in next Tactical Plan
	Statewide E-filing Program Development E-filing service provider (EFSP) selection/certification	1.2.1., 1.2.2.	Continuing, revised
	E-filing deployment	1.2.1., 1.2.2.	Continuing, revised
	Identify and encourage projects that provide innovative services	1.2.1., 1.2.2.	Continuing, revised
	Establish an “open source” application-sharing community	1.2.1., 1.2.2.	Defer for consideration in next Tactical Plan
	Develop standard CMS interfaces and data exchanges	1.2.1., 1.2.4.	Completed current scope, Phase 1. New initiative: Develop governance and maintain data exchanges
	Standard CMS Interfaces and Data Exchanges Phase II: Governance & Maintenance	1.2.1., 1.2.4.	Phase 2 to cover tasks not in the scope of the original initiative.
Optimize Branch Resources	Digital Evidence: Acceptance, Storage, and Retention	1.2.1., 1.2.2.	New initiative
	Establish hardware and software master branch purchasing/licensing agreements	2.1.	Defer for consideration in next Tactical Plan
Optimize Infrastructure	Expand the branch IT community through increased sharing of resources, training, and collaboration	2.2, 2.5, 2.6, 2.7	New initiative
	Extend LAN/WAN initiative to remaining courts	3.1.	Continuing, revised
	Transition to next-generation branchwide hosting model	3.1., 3.4., 3.5.	Continuing, revised

	Security policy framework for court information systems	3.1., 3.2.	Completed
	Court disaster recovery framework and pilot	3.1., 3.5,	Continuing, revised
Promote Rule and Legislative Changes	Identify new policy, rule, and legislation changes	4.1., 4.3.	Continuing, revised

Detailed Description of Technology Initiatives

This section provides a detailed description of each technology initiative along with a high-level summary project template. These templates are not intended to document approved commitments but rather to act as a tool to help project teams create detailed project plans once proper funding and resources are available. Scope, deliverables, and timelines are estimated and subject to change.

Each project template contains the following sections:

- **Description**—Detailed description of the initiative along with potential business drivers, background, and history.
- **Major Tasks**—High-level list of expected major tasks and outcomes.
- **Dependencies**—Requirements that the initiative relies upon for successful completion.
- **Funding Requirements**—Estimated one-time costs to launch and deploy the initiative and estimated ongoing costs for maintenance and operation.
- **Potential Funding Sources**—Suggested options for funding one-time and ongoing expenses.
- **Types of Courts Involved**—Could be based on type (trial court, appellate court), size (small, medium, large), location (northern, southern), or consortium (case management specific, etc.).
- **Sample Timeline**—List of major milestones, if known, and estimated time frame for completion.

Technology Initiatives to Promote the Digital Court

Case Management System (CMS) Migration and Deployment

Description

This project continues from the previous tactical plan and will determine a high-level approach to identifying strategies and solutions for implementing case management systems with document management functionality that support the Digital Court. The original scope of this initiative was to perform business analysis and planning; and did not include the actual deployment of CMS solutions. Several CMS deployment initiatives were launched after the initial assessment was conducted and the focus has now primarily changed to migration and deployment of system deployments in progress, however there are still courts that have not yet established a CMS modernization plan.

Major Tasks

- Update the inventory of existing case management systems within the branch.
- Determine strategy and approach for existing CMS environments.
 - Plan V3 phase out using received budget change proposal funds
 - Plan Journal Technologies/Sustain Justice Edition migrations based on pending budget change proposal
 - Determine approach for courts that have not been able to establish a CMS modernization plan
- Continue to leverage best practices for CMS migrations and deployments already in progress.
- Identify potential consortia for related systems.
- Determine strategies for facilitating successful consortia.
- Identify replacement cost.
- Identify available funding for prioritized projects.
- Identify resources to support courts through the project request process.

Dependencies

- Need to receive funds for Journal Technologies/Sustain budget change proposal.
- Need to identify resources that will support the courts through the project request process.

Funding Requirements

One-Time

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

Ongoing

- None required for this assessment.

Potential Funding Sources

None required for this assessment but budget change proposals will be necessary for funding CMS deployments and migrations.

Types of Courts Involved

All trial courts.

Sample Timeline

Milestone	Time Frame
V3 planning	Q4 2016
Sustain planning	Q2 2017
Approach for courts without a plan	Q4 2017
CMS budget change proposal	2018

Document Management System (DMS) Expansion

Description

To achieve the full benefit and efficiencies of electronic filing, a court's case management system must integrate with a Document Management System (DMS)/Enterprise Content Management (ECM) System. DMS/ECM provides for a true paper-on-demand environment with configurable workflows and other operational benefits. While the majority of modern case management systems include integrated DMS, extending existing case management systems with DMS/ECM where feasible is far less expensive and disruptive than acquiring new case management systems.

DMS/ECM also provides support and operational efficiencies for trial court administration (e.g., fiscal, facilities, HR, procurement, et al.).

Major Tasks

- Identify opportunities for acquisition and integration of DMS/ECM with existing branch and local case management systems, and for administrative use at both branch and local court levels.
 - Implement DMS/ECM for the current Appellate Court Case Management System to take full advantage of the e-filing pilot program currently underway, and to leverage that system for use by Judicial Council staff.
 - For courts that have not yet implemented a DMS, develop educational sessions on transitioning from paper to electronic case files.
- Identify the most efficient and cost-effective model for implementation.
- Leverage branchwide master services agreements for document management system software procurement.
- For courts that have not yet implemented a DMS, develop educational sessions on transitioning from paper to electronic case files.

Dependencies

- Available budget for DMS acquisition through budget change proposal.
- Coordination and alignment with CMS assessment.

Funding Requirements

One-Time

- Hardware, software, and services for DMS implementation at identified courts.

Ongoing

- Annual maintenance; periodic software and hardware upgrades.

Potential Funding Sources

- Grant funding or budget change proposal (BCP) for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

Types of Courts Involved

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

Sample Timeline

Milestone	Time Frame
Submit BCP for Appellate Courts	Q4 2016
Deploy solutions.	Q3 2017

Courthouse Video Connectivity

Description

The initiative will restore and enhance public access to court information and services and will create court cost savings and efficiencies by:

- Expanding use of remote video appearances and hearings in appropriate case types and matters; and
- Expanding remote availability of certified and registered court interpreter services.
- [Expanding use of remote video outside of the courtroom \(e.g. Self Help Center/Family Law Facilitator and/or Mediation\).](#)

Almost two decades ago, the Court Technology Task Force (predecessor to the Court Technology Advisory Committee) in its 1995 report to the Judicial Council, identified nine technology goals, including:

To promote efficiency, access, convenience, and cost reduction, interactive video technology should be incorporated into all justice proceedings and administrative functions as permitted by law and consistent with the purposes of the judicial branch.

In August 1997, the Court Technology Advisory Committee presented a report to the Judicial Council titled *Report on the Application of Video Technology in the California Courts*. While primarily focused on use of video arraignments, the report noted the important benefits achievable by using this technology in other areas, including motions, mental health proceedings, and other pretrial matters.

Use of telepresence technology (e.g., videoconferencing) will allow courts to provide the public with ongoing access to court proceedings at a time when court resources are being substantially reduced and courthouses are being closed.

Project 1: Remote Video Hearings

In December 2012, the Judicial Council adopted rule 4.220 of the California Rules of Court, authorizing trial courts to conduct remote video proceedings (RVP) in cases involving traffic infraction violations and approved a pilot project in the Superior Court of Fresno County. The authorization for remote video proceedings in rule 4.220 applies to any alleged infraction involving a violation of the Vehicle Code or any local ordinance adopted under the Vehicle Code, with certain exceptions. Rule 4.220 defines a “remote video proceeding” as an arraignment, trial, or related proceeding conducted by two-way electronic audiovisual communication between the defendant, any witnesses, and the court in lieu of the physical presence of both the defendant and any witnesses in the courtroom. (See rule 4.220(b)(2).) The rule requires semiannual reports from any pilot court, including evaluations and assessments of the costs and benefits of the projects.

The experience of the Superior Court of Fresno County can be leveraged to:

1. Identify other courts able and willing to implement remote video traffic appearances;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed;

3. Identify other appropriate case types for remote video appearances; and
4. Pursue any statutory/rule changes required to allow use of remote appearance technology in additional case types

Project 2: Video Remote Interpreting (VRI)

In 2011, the Superior Courts of Riverside, Shasta, Sonoma, and Stanislaus Counties began a VRI pilot program for hearing-impaired court users, providing certified American Sign Language (ASL) court interpreters by courtroom video connection. The participating courts have increased access to certified ASL court interpreters, and interpreters can be scheduled quickly and conveniently. VRI allows use of the same interpreter in multiple court facilities in the same half-day sessions, makes more efficient use of a limited resource, and eliminates travel expenses.

Other jurisdictions have pioneered use of remote language interpreting. Seven states have successfully implemented VRI. The Ninth Judicial Circuit in Florida provides centralized Spanish-language interpreting for over 22,000 court hearings per year in 67 courtrooms in seven court facilities covering 2,229 square miles. Certified interpreters are provided for initial appearances, arraignments, dependency and delinquency hearings and trials, traffic and misdemeanor cases, and felony pretrial hearings.

A 2013 National Call to Action report sponsored by the National Center for State Courts and the State Justice Institute, addressed the critical need for courts to develop, improve, or expand resources for individuals with limited English proficiency (LEP). A key recommendation was that courts utilize remote interpreting technology to fulfill LEP needs and ensure quality services.

In August 2013, the Chief Justice announced her vision for improving access to justice for Californians through an effort called “Access 3D” that involves physical, remote, and equal access to the justice system. Efforts to enhance language access for LEP court users are a critical component of this vision.

In January 2015, following an extensive stakeholder participation process that included public hearings and public comment, the Judicial Council adopted the *Strategic Plan for Language Access for the California Courts*. The LAP provides a comprehensive set of 75 recommendations to help create a branchwide approach to language access. Recommendation 16 proposed that the Judicial Council conduct a pilot VRI project, in alignment with the Judicial Branch’s Tactical Plan for Technology 2014–2016.

The experience gained from the California ASL pilot programs and from use of remote language interpreting in other jurisdictions can be leveraged to:

1. Identify one or more courts willing and able to implement remote video language interpreting;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed; and
3. Pursue any statutory/rule changes required.

Major Tasks

- Implement remote video language interpreting in at least one foreign language, in at least two courts as a pilot.
- Evaluate the remote video language interpreting pilot and report recommendations to the Judicial Council

Dependencies

- Infrastructure/equipment.
- Collaboration/cooperation with other advisory committees, working groups, and other programs [Civil and Small Claims, Traffic, Court Interpreters Advisory Panel] and with the Judicial Council Language Access Plan Implementation Task Force (LAPITF), Technological Solutions Subcommittee (TSS).
- Collaboration/cooperation with local government and the public for remote traffic appearances in non-court locations.
- Collaboration/cooperation with justice partners.
- Collaboration/cooperation with other stakeholders (e.g., interpreters, bar associations).

Funding Requirements**One-Time**

- Hardware, software, and telecommunications infrastructure if not currently available.
- Bandwidth/network upgrades if required.

Ongoing

- Annual maintenance and/or lease expenses for hardware and software.

Potential Funding Sources

- Grant funding or budget change proposal (BCP) for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

Types of Courts Involved

All courts serving large geographic areas, with diverse demographics, with sufficiently robust existing LAN/WAN or other supporting infrastructure.

Sample Timeline**Project 1: Expanded Remote Traffic Appearances**

Milestone	Time Frame
Project launch	Q3 2014
Identify additional participating courts and requirements (funding/IT support).	Q3 2014
Implement video appearances in additional participating courts.	Q1 2015
Evaluate projects and identify expansion opportunities for additional courts/case types.	Q4 2015
Prepare any necessary rule of court amendments/legislative change proposals for submission to Judicial Council.	Q2 2016

Project 2: Remote Spoken Language Interpreting

Milestone	Time Frame
Define implementation guidelines/infrastructure and hardware requirements; draft any required enabling rules of court.	Q1 2015
Identify pilot project courts/vendors; prepare RFP if required.	Q3 2016
Select vendors; obtain Judicial Council adoption of enabling rules of court.	Q3 2016
“Go-live” in one or more pilot courts.	Q1 2017
Evaluate project and report to Judicial Council.	Q3 2017

California Courts Protective Order Registry (CCPOR)

Description

The California Courts Protective Order Registry (CCPOR) is a system developed and maintained by Judicial Council staff. Currently, the system is used by 43 counties to electronically process and access all restraining and protective orders and their proofs of service. Pending Trial Court Budget Advisory Committee Approval for a long term funding increase for additional storage, by the end of fiscal year 2016–2017, Orange County Superior Court and Sacramento County Superior Court will deploy CCPOR.

The system provides for the participating courts:

- A statewide registry for storing data and images of restraining and protective orders;
- A service allowing judicial officers and law enforcement agencies to access and view outstanding orders, reducing the possibility of conflicting orders across departments;
- A gateway for processing orders to the DOJ's CARPOS (California Restraining and Protective Order System) quickly and accurately; and
- A data exchange (DSP917) allowing court case management systems to send protective order data and the required Judicial Council forms to the CCPOR repository.

Two key components of CCPOR are the ability to enter and upload protective order data into the system either directly or through the data exchange and to search and retrieve that data, including electronic images of court orders. Viewing these electronic images is particularly valuable because this allows judicial officers and authorized court staff to view special conditions and notes added by judges that are not available through the California Law Enforcement Telecommunications System (CLETS). In addition, information about court orders that is entered into CCPOR is automatically transmitted to CLETS.

Major Tasks

- Develop cost projections and recommend an appropriate funding approach for each of the remaining 15 courts/counties. The funding requirements will include the hardware and software necessary to onboard into CCPOR as well as one-time and ongoing costs (e.g., scanners for smaller courts and additional storage needed to onboard the larger courts).
- Develop a deployment roadmap using experiences of past court CCPOR deployments. The roadmap will take into consideration the environments of the courts yet to implement CCPOR. Some courts may already have a document management system (DMS) and electronic protective orders. Other courts may rely on manual processes. Funding for a court that is already scanning should support the migration of the scanned orders and associated data in the form of additional storage required for the CCPOR central repository. The roadmap will also address the unique challenges of coordinating with the larger courts as well as the local law enforcement agencies to gain the greatest benefits from CCPOR.
- Identify the sequence, time frames, and costing by rollout for the deployment of CCPOR to the 15 remaining courts.

Dependencies

- The program relies on an electronic image of each protective order. While a DMS is not required for CCPOR, courts with existing document management systems may have fewer challenges with configuration during deployment.
- Local law enforcement agencies must be willing and able to participate in the deployment of the system in each court.

Funding Requirements**One-Time**

- Scanners and associated software, and storage for document images.
- Services to assist with the deployment of the system.

Ongoing

- Annual server hosting, restraining and protective order (RPO) data, and associated document image storage fees.
- Annual maintenance cost for purchased hardware and software.

Potential Funding Sources

- Grant funding if available or budget change proposal (BCP) for continued deployments.

Types of Courts Involved

This initiative will be focused on the 15 remaining trial courts that have not implemented CCPOR.

1. Courts that have deployed or are planning on deploying a case management system (CMS) that has the DSP917 data exchange module enabled for integration with CCPOR.
2. Courts that have data conversion requirements wishing to onboard into CCPOR can leverage DSP917 data exchange module for loading of historical and active RPOs. Both Orange County and Sacramento County Superior Courts would like onboard into CCPOR using this mechanism. Additional ongoing funding is required.
3. Courts that have no CMS RPO module and no historical data to convert will need to be assessed.

Sample Timeline

Milestone	Time Frame
Initiative launch	Q4 2016
Assess remaining courts	Q1 2017
Develop funding requirements and model.	Q2 2017
Secure funding.	Q3 2017
Deploy next phase courts.	Q4 2017 – Q4-2018
Publish project report.	Q1 2019

Self-Represented Litigants (SRL) E-Services

Description

Self-represented litigants (SRLs) are an increasingly large segment of the population that our courts serve, particularly in case types such as family law. Self-represented parties often have extreme difficulty in identifying the pleading forms they require, completing them accurately and legibly, and filing them in a timely manner. Self-help resources vary widely from jurisdiction to jurisdiction and have suffered from recent budget cuts. Restrictions on filing hours in many courts have placed significant additional burdens on both court personnel and on the litigants.

The SRL E-Services initiative will envision and define a digital services strategy for ~~pro-se litigants~~SRLs that will take advantage of both existing and available branch resources to provide more convenience to the public, and provide tangible benefits and cost efficiencies to the courts. The initiative will develop a comprehensive set of business and technical requirements intended to deliver increased online assistance, greater integration of self-help resources, and greater self-reliance for those hoping to resolve legal problems without representation.

A central access point for ~~SRLs self-represented parties~~ (and for community organizations that assist them) can provide consistent information resources, and can utilize already developed question-and-answer interview processes, “smart” Judicial Council forms, and document assembly tools to create complete, accurate, and legible form sets. Those forms can then be electronically filed with those courts that have the ability to accept the filings, or electronically delivered to those courts without e-filing capacity, using current branch infrastructure.

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

Major Tasks

- Determine and validate both litigant needs and court requirements;
- Identify existing technology and infrastructure solutions that can be leveraged;
- Identify and gather information resources to assist litigants;
- Identify pilot project participant courts;
- Develop an RFP for an SRL E-Services solution to solicit vendors and identify initial costs;
- Plan and fund a scalable statewide prototype;
- Design, build and deploy the prototype as a pilot for one case type or a limited feature set with one or more courts;
- Evaluate prototype/pilot and refine;
- Design and execute additional phases with additional case types, features, and courts.

Dependencies

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

- Existing branch infrastructure, including California Courts Technology Center resources, the integrated services backbone (ISB), and LAN/WAN program could be used to complement and supplement local court resources.
- Integration with other related Workstreams, including E-Filing, Forms Modernization, and Identity Management.
- “Smart Forms” have already been developed for many Judicial Council pleading forms, and document assembly software is already licensed at the branch level. There are a multitude of existing self-help resources at the branch and local court levels that could be coordinated and leveraged.
- Courts committing to engage in the prototype/pilot and later phases

Funding Requirements

One-Time

- Initial design, testing, development and deployment costs, based on a phased roll-out.

Ongoing

- Operational expenses associated with maintaining new e-services; maintaining and updating forms, information, resources, and instructional materials.

Potential Funding Sources

- There may be sufficient vendor interest to allow initial development costs to be funded in whole or in part by one or more service providers. An RFI would be required to assess interest.
- Ongoing operational costs could be supported, in whole or in part, by user fees paid by non-indigent self-represented litigants.

Types of Courts Involved

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

Sample Timeline

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

Statewide E-filing Program Development~~E-filing Service Provider (EFSP) Selection/Certification~~

Description

Rule 2.253(b) of the California Rules of Court allows courts to mandate electronic filing of “documents in civil actions directly with the court, or directly with the court and through one or more approved electronic filing service providers, or through more than one approved electronic filing service provider, subject to [specified conditions].” While not required to use an e-filing service provider (EFSP), many courts will choose this route as the EFSP will shoulder much of the workload in training users and providing technical support for e-filing transactions from the point of e-filing all the way to integration with the courts’ case and document management systems.

California courts currently support two e-filing standards for civil actions: the legacy 2GEFS (2nd Generation E-Filing Standard) ~~standard~~ and the recently approved ECF/NIEM (Electronic Court Filing/National Information Exchange Model) standard. All case management system (CMS) vendors looking to do business in California are being required to support the ECF/NIEM standards. The scope of this project is for ECF/NIEM EFSPs.

On-boarding (or certifying) a new EFSP is an involved process that typically moves through solicitation, selection, contracting, integrating, and testing with the court CMS, and finally implementing. Historically each court would certify EFSPs individually for its particular CMS and jurisdiction. Today there are between 15 and 20 EFSPs doing business in some part of California.

The statewide Electronic Filing Workstream has taken an approach to select a multiple E-Filing Manager (EFM) vendors to service California’s trial court e-filing needs. This multi-EFM model shifts the duty of EFSP selection and certification away from the EFM and to the branch. EFSPs will be required to work with all statewide EFMs, which will be required to work with the core four CMS vendors (Tyler, Thomson, Justice Systems and Journal Technologies).

Each EFSP will need to have contractual relationships with filers, the EFM vendors, individual trial courts and the Branch.

The Electronic Filing Workstream will formally define these relationships.

Major Tasks

- Complete the EFM procurement.
- Develop an operating model for Court, EFM and EFSP participation
- Document EFSP interactions with EFMs, branch financial gateway vendors and a possible statewide identity management solution.
- Develop an EFSP certification framework

Dependencies

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

- Completion of the E-Filing Workstream RFP

Funding Requirements

One-Time

- To be determined, although a BCP placeholder request has been submitted for financial gateway integration and identity management.

Ongoing

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

Potential Funding Sources

- Recovered through user fees paid by filers.
- Budget change proposal (BCP) funding or grant funding on an ad hoc basis.

Types of Courts Involved

This initiative is applicable to trial courts participating in the statewide E-Filing Manager agreement.

Sample Timeline

Milestone	Time Frame
EFM RFP and selection	January 2017
Financial gateway integration	June 2017
Identity Management integration	June 2017
EFSP Certification program	June 2017

E-filing Deployment

Description

Electronic filing and storage of court documents is a national trend that is becoming a permanent feature of how litigants interact with the courts. When implemented, e-filing provides immediate benefits to the court through cost efficiency and accuracy and convenience to the filer. In California, a rapidly expanding number of courts are benefiting from e-filing.

A fully successful e-filing implementation is typically characterized by:

- Majority of data entry is performed by the filer through a portal.
- Filing data and attached documents are transmitted to the court using Extensible Markup Language (XML).
- A court e-filing manager (EFM) tracks all inbound and outbound transmissions and performs some validation checking.
- Remaining validations are handled through a “clerk review” process, which can be automated.
- Accepted filing data is stored in the court case management system, the document is stored in the court document management system, and the notification of acceptance is sent back to the user.
- Court filing fees are typically paid electronically directly by the filer or through an intermediary.

In May 2015 the Information Technology Advisory Committee commissioned an E-Filing Workstream to define and implement a statewide E-Filing solution. The workstream is slated to complete the RFP/Selection process in early 2017.

Major Tasks

- Complete E-Filing Manager RFP/selection process.
- Develop an operating model for Court, EFM and EFSP participation
- Determine level of support for trial courts utilizing a CMS outside of the core four (Tyler, Thomson, Justice Systems, Journal Technologies).
- Create and publish an e-filing implementation plan for trial courts participating in the statewide e-filing program

Dependencies

- To achieve maximum benefit, the program relies on case and document management systems capable of supporting e-filing.
- In order to mandate e-filing, a court will need at least two e-filing service providers (EFSPs) or the court (or Judicial Council staff) will need to provide and operate an e-filing portal.

- Courts lacking a modern case and/or document management system can implement a variation of e-filing called “e-delivery.” E-delivery removes the dependency on modern case and document management systems but provides reduced benefits.

Funding Requirements

One-Time

- None identified. It is believed that the program will be funded through transactional costs.
- Court staff costs to design the new procedures for handling case flow and filing fee management.

Ongoing

- None identified.

Potential Funding Sources

- User fees paid by the filers.

Types of Courts Involved

This initiative is applicable to trial courts operating one of the core four CMSs or courts opting for standalone e-Deliver solution.

Sample Timeline

Milestone	Time Frame
Conduct RFP and vendor selection	Q4 2016
Vendor contracting	Q1 2017
EFSP Integration	Q3 2017
Pilot Court	Q3/4 2017
General availability for any trial court.	Q4 2017

Identify and Encourage Projects that Provide Innovative Services

Description

This initiative will investigate the potential for starting projects focused on providing innovative services to the public, the State Bar, justice partners, and law enforcement agencies. These services will provide a conduit for easier access to court resources and generate automated mechanisms relating to conducting court business. In addition, these innovative services will generate efficiencies within each judicial branch entity, thereby promoting more effective utilization of branch resources and existing infrastructure.

Major Tasks

- Establish a process for fostering local court and branch innovation.
- Determine available funding resources or cost recovery models.
- Submit proposals to utilize FY2016-2017 innovation grants.
- Examples might include:
 - Common identity management platform to enable members of the public and attorneys to register once and utilize a single login to access all services across all courts.
 - Electronic search warrants system with the versatility to be hosted centrally or deployed independently at various courts.
 - Electronic probable cause declaration system with the versatility to be hosted centrally or deployed independently at various courts.
 - Self Service Kiosks to provide courthouse visitors access to services electronically

Dependencies

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

The Budget Act of 2016 provided \$25 million for a Court Innovations Grant Program. Funds are to be used for the establishment, operation, administration, and staffing of the Court Innovations Grant Program for trial and appellate court programs and practices that promote innovation, modernization, and efficiency. The funds are designated for a competitive grant program developed and administered by the Judicial Council. The competitive grant program will focus on high priority innovations, modernizations, and efficiencies in the courts; \$12,000,000 to be spent on collaborative courts, \$8,000,000 on Self-help, Family and Juvenile courts, and \$5,000,000 on other efficiencies across all types of courts.

Funding Requirements

One-Time

- Unknown.

Ongoing

- Unknown.

Potential Funding Sources

Initial funding through innovation grants, with ongoing funding from restoration of branch technology funding.

Types of Courts Involved

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

Sample Timeline

Milestone	Time Frame
Project proposals	Q4 2016
Project launches	2017-2018

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

Description

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

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

Major Tasks

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

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

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

Dependencies

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

Funding Requirements

One-Time

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

Ongoing

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

Potential Funding Sources

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

Types of Courts Involved

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

Sample Timeline

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

Digital Evidence: Acceptance, Storage, and Retention

Description

Develop statutes, rules, business practice, and technical standards governing digital evidence.

Trial exhibits are increasingly offered into evidence or are available in digital form, including data files, images of documents, audio recordings, video recordings, and digital images. Since there are few specific laws and virtually no technical standards regarding digital evidence, courts are struggling with what to do with exhibits offered in various forms (CD, DVD, thumb drive, cell phone). Ensuring the integrity of digital evidence admitted by the court may become increasingly difficult when such evidence may be subtly altered by the method of access. Although this type of evidence is not new to courts, the dramatic increase in video recordings from law enforcement body-worn cameras, surveillance cameras, and the public's prolific capturing of videos on cell phones strongly suggest courts reevaluate their approach to handling and preservation of digital evidence.

Updating the law and developing standards will improve access to justice as well as make courts more efficient. Developing technical standards and reengineering court business practices will increase the effectiveness of courts and reduce costs. It will also result in greater consistency and predictability across courts for litigants, lawyers, and the public.

Statutes and rules need to be reviewed and amended where necessary to: a) authorize courts to accept a broad range of digital evidence, and b) authorize courts to require digital exhibits to be offered in standard and secure formats. Policies and business practices need to be reviewed and technical standards developed for maintaining, providing access to, retaining, and destroying digital evidence

Major Tasks

- Review existing statutes and rules of court to identify impediments to use of digital exhibits and opportunities for improved processes;
- Survey courts for existing business practices and policies regarding acceptance and retention of digital evidence;
- Survey other courts and justice system groups regarding possible technical standards and business practices regarding acceptance and storage of digital evidence;
- Propose revisions to statutes and rules;
- Develop standards and recommended business practices for courts to use in handling digital exhibits, possibly using pilot projects;
- Circulate draft statute, rule revisions, suggested business practices, and technical standards for comment;
- Finalize statute proposals, rule revisions, business practices, and technical standards;
- Seek legislation, as needed;
- Adopt and promulgate rule revisions;

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

Dependencies

- The rule and statute changes should align with the strategy and roadmap of the existing electronic court initiatives.

Funding Requirements

One-Time

- Funds possibly needed for consulting assistance regarding possible technical standards;
- Possibly monies to host a "digital evidence summit" to discuss options and potential solutions;
- Costs of modifying existing document or case management systems to accept, store, and provide access to, digital exhibits.

Ongoing

- Digital evidence will require greater hardware storage capacity, possibly including associated storage and retrieval software;
- New policies and business practices will be implemented by court staff on an on-going basis.

Potential Funding Sources

One-Time

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

Ongoing

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

Types of Courts Involved

All courts, statewide – Supreme Court, Courts of Appeal, and Superior Courts – need a consistent, stable set of laws, rules, business practices, and technology standards to accept and exchange electronic exhibits.

Sample Timeline

Milestone	Time Frame
Initiative launch	Q1 2017
Gather information about existing laws, rules, business practices, and technical standards.	Q1-2 2017
Draft revisions and circulate for comment	Q3-4 2017
Introduce legislation and seek passage.	Q1-2 2018
Finalize rules, technical standards, business practices, and TCRM manual revisions to take effect January 1, 2018.	Q3-4 2018

Technology Initiatives to Optimize Branch Resources

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

Description

This initiative is intended to identify opportunities for sharing technical resources, advancing technology leadership, and expanding collaboration throughout the branch. During the Tactical Plan revision process Judges, CEO's, and CIO's identified that, although there are experienced technological staff branch-wide, insufficient technology resources within individual courts continues to be a challenge. A skilled technologist who understands the business of the courts and court systems is a unique and treasured resource. Furthermore, the branch is competing with private industry for talent. A strategy should be developed to increase the sharing of technical resources throughout the branch by conducting a needs assessment and determining additional opportunities for how best to share these unique resources.

In addition to skilled technologists, strong IT leaders with access to industry resources are required to achieve the branch strategic technology goals. Opportunities for education and access to industry resources for IT leaders can provide exposure to information and networks while expanding capabilities and increasing IT leadership skills. Court IT leaders will be better suited to meet the leadership and technological needs of the courts with continued professional development. A survey can be conducted to determine the needs and interests of the court and JCC IT leaders. A strategy would then be developed to determine how best to pursue relevant opportunities (e.g., Statewide membership to the Court IT Officers Consortium (CITOC), Annual IT Summit aligned with the branch-wide tactical plan, continuing education opportunities, industry research, and advisory group memberships, etc.).

Aside from the need for skilled IT resources, the branch has adopted an IT governance model which relies on collaboration. Technology initiatives managed by statewide Workstreams, the Court Information Technology Management Forum (CITMF), and court-to-court collaborations have proven successful in recent years across the branch and between courts. In order to further support this collaborative model, the branch should adopt tools to work together more effectively, encourage innovation, and increase technological maturity throughout the branch. Resources and talent can be better leveraged across the branch by utilizing a statewide collaboration platform. Branch CEO's and CIOs can also help assess individual court IT capabilities through an IT Peer Consulting Program to include informal audits, visitation programs, etc.

Major Tasks

Resource Sharing

- Conduct an IT Resource Needs Survey
- Identify Opportunities and Priorities
- Brainstorm Strategies and Costs (e.g., develop centers of excellence, shared services, centralized resources, augment staff with vendor support, etc.)

- Make recommendations for leveraging branch technical resources

IT Leadership Development

- Expand CIO Executive Board membership
- Establish statewide CA Court CITOC membership
- Evaluate statewide Gartner Group membership
- Hold an annual IT Summit aligned with the branch-wide tactical plan
- Conduct an IT Leadership Needs Survey to identify additional priorities
- Brainstorm Strategies and Costs

Increased Collaboration to Support Innovation

- Identify collaboration tools currently used within the branch
- Identify priority collaboration needs (e.g., central repository of IT policies, applications, and best practices)
- Increased use of Microsoft Office 365 (O365) messaging and web conference capabilities
- Determine CEO/CIO interest in an IT Peer Consulting Program
- Develop program based on interest
- Determine costs

Dependencies

- Branch-wide support and open collaboration.
- Program management support for conducting surveys and consolidating results
- Funding for recommended strategies
- Common platforms and development tools
- Sponsorship of IT Leadership development and participation

Funding Requirements

One-Time

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

Ongoing

- JCC program support as required
- Annual memberships – CITOC, CIO Executive Board, Gartner Group
- IT Summit development and coordination
- Travel for face-to-face collaboration and participation in events (e.g., IT Summit, IT Peer Consulting, etc.)
- Maintenance and licensing of branch collaboration platform

Potential Funding Sources

- Cost agreements for shared resources
- BCP for necessary funding

Types of Courts Involved

- All small, medium, and large courts state-wide.
- Trial and Appellate Courts
- Consortiums (e.g. case management specific, state-wide initiatives, etc.)

Sample Timeline

Milestone	Time Frame
Initiative launch	Q1 2017
Draft initial assessment.	Q4 2017
Final assessment report.	Q3 2018

Technology Initiatives to Optimize Infrastructure

Review Funding and Procurement Models for LAN/WAN Initiative

Description

The current funding source for the LAN/WAN initiative, the State Trial Court Improvement and Modernization Fund (IMF), is operating at a structural deficit. In addition, the primary procurement vehicle, the CALNET 2 leveraged purchasing agreement, expires in 2018 with no clear follow-on option for the purchase of hardware and related maintenance and support coverage.

Major Tasks

- Working with Judicial Council Procurement staff, Department of General Services, the California Office of Technology Services Statewide Telecommunications and Network Division (STND), and technology vendors as appropriate, identify alternative procurement models, including the CALNET 3 replacement for the CALNET 2 leveraged purchasing agreement
- Review options, identify gaps; select finalized procurement model
- Identify current cost projections of all goods and services over one full lifecycle of the hardware supported by the program, to include the completion of an updated branch wide inventory.
- Compare cost projections with current funding projections for the IMF.
- Identify and submit potential funding remediation options for review and selection.
- Formally prepare and submit selected funding remediation option(s) for ratification.

Dependencies

- Current court LAN/WAN hardware inventories are required.
- Staff at the identified courts must be able to dedicate the resources necessary to support the project.

Funding Requirements

One-Time

- N/A

Ongoing

- Continuing costs for the ongoing refresh of program hardware
- Continuing costs for the ongoing renewal of program services and maintenance and support coverage.

Potential Funding Sources

Funding to rectify the current IMF structural deficit would potentially be provided through the budget change proposal (BCP) process and, given the ongoing steady state status of this program, shifting funding to the general fund.

Types of Courts Involved

This initiative is focused on all courts.

Sample Timeline

Milestone	Time Frame
Initiative launch ⁴	Q1 2017
Map out procurement options.	Q2 2017
Map out funding options.	Q2 2017
Establish new procurement model.	Q3 2017
Prepare and submit funding requests.	Q4 2017

⁴ This initiative began in Q1 2014.

Transition to Next-Generation Branchwide Hosting Model

Description

The current California Courts Technology Center (CCTC) hosting model for information technology applications and services was developed largely based upon the strategy of central hosting of court case management systems and other shared applications. The branchwide strategy for the hosting of court case management systems has changed; therefore, the branch should reevaluate branch and court hosting models to ensure resources and opportunities are being utilized as effectively as possible to address the needs of courts in alignment with the new strategic direction.

As hosting models and technology evolve, the most cost-effective branchwide strategy for application and services hosting may be enabled through a combination of selective consolidation, virtualization, and implementation of secure private and public cloud environments. The goal of this tactical initiative will be to determine an updated model for branchwide hosting, including all judicial branch entities.

Major Tasks

- Complete needs assessment, branch recommended services levels, develop implementation recommendations, and determine the necessary funding changes.
- Develop toolset for courts to utilize when determining needs and funding requirements
- Publish findings including, hosting implementation toolset, branch suggested service levels.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Assist judicial branch entities with decommissioning old services and implementing new services in alignment with the needs assessment and transition plan.

Dependencies

- The needs assessment should align with the strategy and roadmap for the Digital Court initiatives.

Funding Requirements

One-Time

- Initial year one purchase of products, services, and maintenance contracts, as identified in the needs assessment and project plan.

Ongoing

- Continuing monthly costs for specified ongoing services and maintenance contracts initiated in year one.

Potential Funding Sources

- Branch funding for hosting services that are shared across the branch.
- Direct billing to the courts for court-specific services.

Types of Courts Involved

All courts—Supreme Court, Courts of Appeal, and superior courts. All courts and the Judicial Council will benefit from an updated branchwide hosting model tightly aligned with current and anticipated future business requirements.

Sample Timeline

Milestone	Time Frame
Initiative launch	Q4 2015
Complete needs assessment and develop implementation recommendations.	Q4 2016
Develop toolset for courts to utilize when determining needs and funding requirements	Q4 2016
Publish findings including, hosting implementation toolset, branch suggested service levels.	Q4 2016
Determine the necessary branchwide funding changes.	Q1-Q2 2017
Finalize recommended product, service, and maintenance offerings with vendor partners, publish RFP for vendor services.	Q1-Q2 2017
Publish new MSA's to be utilized by all Judicial Branch Entities for all hosting services.	Q3 2017

Court Disaster Recovery Framework and Pilot

Description

While a robust and annually tested disaster recovery program has been instituted for the California Courts Technology Center, the Supreme Court, the appellate courts, the trial courts, and the Judicial Council have various levels of preparedness for disaster recovery of their technology resources.

This initiative would result in a framework and recommended solution(s) to assist judicial branch entities with a process for implementing a disaster recovery program that meets each individual organization's specific needs while leveraging resources and knowledge for the benefit of the entire branch.

The goals of the framework are:

- To suggest an overall disaster recovery model for the judicial branch to leverage in building individual organization disaster recovery plans and identify which components, if any, would apply branch-wide.
- To collaboratively develop model disaster recovery requirements, service-level agreements, and restoration/recovery priorities for each of the major technology systems within the branch (excluding those hosted at the CCTC) such as, networks, infrastructure, applications, security systems, data and etc.
- To work with one or more model courts to test or “pilot” the framework by using it to develop a court-specific disaster recovery plan.
- To provide guidance to all courts and the Judicial Council on use of the framework and practical implementation guidelines.
- To develop a plan for implementing technology components (products and/or services) that could be leveraged by all courts for disaster recovery purposes.

Major Tasks

- Model disaster recovery requirements, standard recovery times, and priorities for each of the major technology components of the branch.
- A disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.
- A plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.

Dependencies

- This project would be dependent on resources necessary to research and gather requirements and create the deliverable.
- Many of those resources would need to be court business and technical experts, while others would be disaster recovery planning experts.

Funding Requirements

One-Time

- Funding for one or more pilot courts to potentially test/pilot the model DR plan. Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

- Assist the courts with adapting the framework into their local needs. The amount of funding will depend on the number of participating courts in the initial pilot.
- Acting on any branch-wide recommendations in respect to transitioning away from any existing antiquated backup/DR technologies and/or adopting certain modern technologies necessary to support each court’s mission of providing consistent and reliable IT services.

Ongoing

- Minimal ongoing funds would be necessary to maintain the framework to ensure its ongoing relevance and effectiveness and to ensure alignment with current technologies and systems deployed within the judicial branch, in addition to ensuring the recommendations continue to be centered around industry standards and best practices
- Additional funding requests would be developed out of this process for the purpose of procuring and implementing the technical components that can be leveraged by multiple courts and determining what else may be needed at the individual court level for unique court needs.

Types of Courts Involved

All courts—Supreme Court, courts of appeal and superior courts. The framework should be applicable to all judicial branch entities.

Sample Timeline

Milestone	Time Frame
Initiative launch	Q2 2016
Select disaster recovery (DR) court subject matter expert (SME).	Q2 2016
Identify workstream participants and relevant subject matter experts (SME’s) throughout the judicial branch, ensuring small/big superior and appellate courts and the JCC are represented.	Q2 2016
Develop requirements and recovery standards and overall disaster recovery framework	Q2 2016 - Q1 2017
Develop a funding request for a DR pilot program at one or more courts.	Q1-Q2 2017
Test with pilot court(s).	Q3-Q4 2017
Develop funding request for DR at branch and court levels (inclusive of all judicial branch entities to support their DR implementation).	Q2-Q3 2017

Technology Initiatives to Promote Rule and Legislative Changes

Identify New Policy, Rule, and Legislation Changes

Description

To align policies, rules of court, and legislation supporting the use of technology in the courts consistent with the Strategic Plan for Technology.

Major Tasks

- Identify the highest priority statutes and rules that require review and changes in order to facilitate the move to the digital court.
- Continue modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.
- Develop rules, standards, and guidelines for electronic signatures on documents submitted to the trial courts, for justice partner data exchanges, for online access to court records for parties and justice partners, for court records maintained as data, and for other areas where new technologies affect court operations and access to the courts.
- Develop branch and model court privacy policies on electronic access to court records and other court-held information.
- Revise the *Trial Court Records Manual* to reflect changes in the law, new standards and guidelines, and best practices relating to court records.

Dependencies

- Judicial Council internal committees;
- Judicial Council advisory committees;
- Judicial Council Legal Services Office;
- Judicial Council Office of Governmental Affairs;
- External stakeholders (e.g., Legislature, law enforcement, etc.).

Funding Requirements

One-Time

- None required. This initiative requires staff support for Judicial Council internal and advisory committees for initial assessments and proposals.
- Time required for judicial officer and staff training on changes.

Ongoing

- None required. This initiative requires time for routine reviews of policies, rules, and legislation needs.

Potential Funding Sources

None required.

Types of Courts Involved

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

Sample Timeline

Milestone	Time Frame
Develop standards and guidelines for electronic signatures on documents submitted to the trial courts.	Q4 2017
Complete phase II of the rules and legislative modernization process.	Q4 2017
Update the <i>Trial Court Records Manual</i> and recommend revisions and additions.	Q4 2017

Initiative Timeline Summary

Strategic Goal	Initiative	2016				2017				2018			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Promote the Digital Court	CMS Migration and Deployment												
	DMS Expansion												
	Courthouse Video												
	CCPOR												
	SRL eServices												
	EFSP Selection/Certification												
	e-Filing Deployment												
	Identify Innovative Services												
	CMS Data Exch - Governance & Maintenance												
	Digital Evidence												
Optimize Resources	IT Community and Collaboration												
Optimize Infrastructure	Extend LAN/WAN Initiative												
	Next Generation Hosting Plan												
	Information Security Framework												
	Disaster Recovery Framework												
Legislative Changes	Identify New Rules and Legislation												

CONCLUSION

The California judicial branch is as complex and diverse as the population that it serves. The judicial branch has diversity in geography, court size, and case types. Courts have varying fiscal health and capabilities, and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court as they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, rules and legislation were historically written to address a paper-based court rather than a digital electronic one.

This Tactical Plan for Technology (2017-2018) and the associated Strategic Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level that address the diversity and challenges the branch is facing.

The proposed tactical plan recognizes the need for judicial, management, and technical experts located at the trial, appellate, and Supreme Court levels, and including the Judicial Council staff, to work together as an IT community. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

Appendix A

Judicial Branch Business Drivers

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

Appendix B

Tactical Plan for Technology Progress Report: October 2016

Executive Summary

The California Judicial Branch *Tactical Plan for Technology* outlines a set of initiatives for the branch, and specifically the Information Technology Advisory Committee (ITAC), to undertake. Each initiative spans up to two years. The *Governance and Funding Model* explains there are several methods in which initiatives may be implemented: branchwide (using a workstream team, traditional subcommittee, or hybrid of these), through court consortium, and/or locally. This document presents the progress report of the initiatives in the current [Tactical Plan for Technology \(2014-2016\)](#). Summarily, the report shows:

- The current plan consists of 17 tactical initiatives aligning to 4 branch strategic goals.
- Of all 17 tactical initiatives: 1 project is complete; 1 is near completion; 12 are projected to continue into 2017; and 3 have not yet begun and have been deferred for consideration in the next Tactical Plan.
- ITAC is using workstreams to complete 7 initiatives.

Progress Report Summary

The following chart overviews initiative status and, if appropriate, implementation method.

Legend

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

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

Ongoing (2017+) = Effort is underway and needs to continue into calendar year 2017.

Complete = Project effort, as defined, is complete; there may be subsequent activities initiated.

	STATUS	METHOD(S)
Goal 1: Promote the Digital Court (<i>Part I: Foundation, Part II: Access, Services, Partnerships</i>)		
(a) Case Management System (CMS) Assessment and Prioritization	Ongoing (2017+)	Consortium
(b) Document Management System (DMS) Expansion	Ongoing (2017+)	
(c) Courthouse Video Connectivity	Ongoing (2017+)	Workstream
(d) California Courts Protective Order Registry (CCPOR)	Ongoing (2017+)	JCIT ⁵ Managed
(e) Implement a Portal for Self-Represented Litigants	Ongoing (2017+)	Workstream

⁵ JC IT = Judicial Council Information Technology

Legend

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

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

Ongoing (2017+) = Effort is underway and needs to continue into calendar year 2017.

Complete = Project effort, as defined, is complete; there may be subsequent activities initiated.

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

Court Tactical Plan for Technology, 2017-2018

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

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

Court Tactical Plan for Technology, 2017-2018

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

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

Court Tactical Plan for Technology, 2017-2018

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

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

ITAC PROJECT STATUS REPORT

December 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 (Governance)	Project Manager Alan Crouse
JCC Resources	JCIT (Nicole Rosa, 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 -- <i>Extended to October 2016, per ITAC chair approval 6/28/2016; extended to December 2016, per ITAC chair approval 10/14/2016</i>	

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

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

ITAC PROJECT STATUS REPORT

December 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 -- Extended to December 2016, per ITAC chair approval 6/28/2016 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>		

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

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

October 2016 (Updated)

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"/> Yes. Meeting ad-hoc. Next meeting scheduled for November 30, December 1.	
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 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>	

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

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

ITAC PROJECT STATUS REPORT

December 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 Olivia Lawrence
JCC Resources	Court Operations Services (Olivia Lawrence, VRI Project Manager; Anne Marx, SME) JCIT (Fati Farmanfarmaian, IT Project Manager; Jenny Phu, SME; Nate Moore, SME)	
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 (8/30/2016) and JCTC Chair (9/8/2016); forwarded to E&P staff.	
Project Active	<input checked="" type="checkbox"/> Yes, from the perspective of the LAPITF activity.	
Expected Outcomes	1. Implementation of VRI Pilot Program	
Expected Completion	March 2017 (Phase I) – <i>Requesting extension into 2017 annual agenda, through August 2017, which will be reflected as part of the 2017 annual agenda.</i>	

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

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

ITAC PROJECT STATUS REPORT

December 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 8 meetings; next meeting scheduled for December 21, 2016.
Expected Outcomes	1. SRL Portal Requirements Document 2. Request for Proposal (RFP)
Expected Completion	December 2016 (12 months) <i>Initiative identified at October ITAC meeting as likely to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop requirements for branchwide SRL e-capabilities to facilitate interactive FAQ, triage functionality, and document assembly to guide SRLs through the process, and interoperability with the branchwide e-filing solution. The portal will be complementary to existing local court services.	In Progress	<p>Four workgroups have been established to further investigate and divide the workload.</p> <ol style="list-style-type: none"> 1. <i>Existing Solutions Workgroup</i> 2. <i>Technology Workgroup</i>. 3. <i>Requirements Definition Workgroup</i> 4. <i>Document Access Workgroup</i> <ul style="list-style-type: none"> • A full Workstream meeting was held on October 19, 2016. The team reviewed a live demo of the Orange County's Self-Help Portal. • A full Workstream meeting was held on Nov. 10. The team participated in product demo from TurboCourt. • A full Workstream meeting was held on Nov. 16. The team heard a presentation on SRL services from Bonnie Hough, Managing Attorney in CFCC. • The Document Access Workgroup met on Oct. 3, 2016. Topics discussed included how best to manage statewide information together with local/court-specific forms and

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

ITAC PROJECT STATUS REPORT

December 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; but will not meet in December and will resume in the new year.	
Expected Outcomes	1. Disaster Recovery Framework Document and Checklist 2. Findings from Pilot	
Expected Completion	December 2016 (extended to March 2017, per ITAC chair approval 6/28/2016)	

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

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

December 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, 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, Joint Appellate Technology 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 – and expected to be ongoing

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

ITAC PROJECT STATUS REPORT

December 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)
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 2. Recommendation of Standards for Electronic Signatures (Update to the Trial Court Records Manual)
Expected Completion	December 2018 – Needs correction to December 2017 (Effective Jan 1, 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	Public comments have been received and were reviewed by the Rules & Policy Subcommittee (RPS) for a legislative proposal that would authorize <u>electronic signatures</u> on electronically filed documents. At its August 1 meeting, ITAC approved the RPS recommendation that the council amend the Code of Civil Procedure. This proposal was also approved by JCTC and by PCLC for Judicial Council's approval at their December meeting (for effective date of January 1, 2018).
(b) Develop standards governing electronic signatures to be included in the "Trial Court Records Manual."	Not Started	CEAC Records Management Subcommittee have primary responsibility for developing the Trial Court Records Manual update.

ITAC PROJECT STATUS REPORT

December 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)	
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 – Will need extension to December 2017 (Effective Jan 1, 2018)	
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

December 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)
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. Legislative and Rule Proposals
Expected Completion	December 2016 – Needs correction to December 2017 (Effective Jan 1, 2018)

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

ITAC PROJECT STATUS REPORT

December 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)
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

December 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	Waiting for CEAC to develop and provide to ITAC for review.
(b) Include standards in update to the Trial Court Records Manual.		

ITAC PROJECT STATUS REPORT

December 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	Following the public comment period on the JATS proposal to revise the appellate e-filing rules in accordance with current e-filing practices, JATS made its final recommendations to ITAC, which the committee approved at its August 1 meeting. The proposal was approved by the JCTC at its August 8 meeting and by RUPRO at its September 7 meeting. The Judicial Council considered and approved the proposal at its October 27-28 meeting, and the changes will go into effect January 1, 2017.

ITAC PROJECT STATUS REPORT

December 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 in 2016.

ITAC PROJECT STATUS REPORT

December 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"/> Meeting as needed.		
Expected Outcomes	1. Tactical Plan for Technology 2017-2018		
Expected Completion	December 2016 (extended through April 2017, per ITAC chair approval 9/1/2016)		

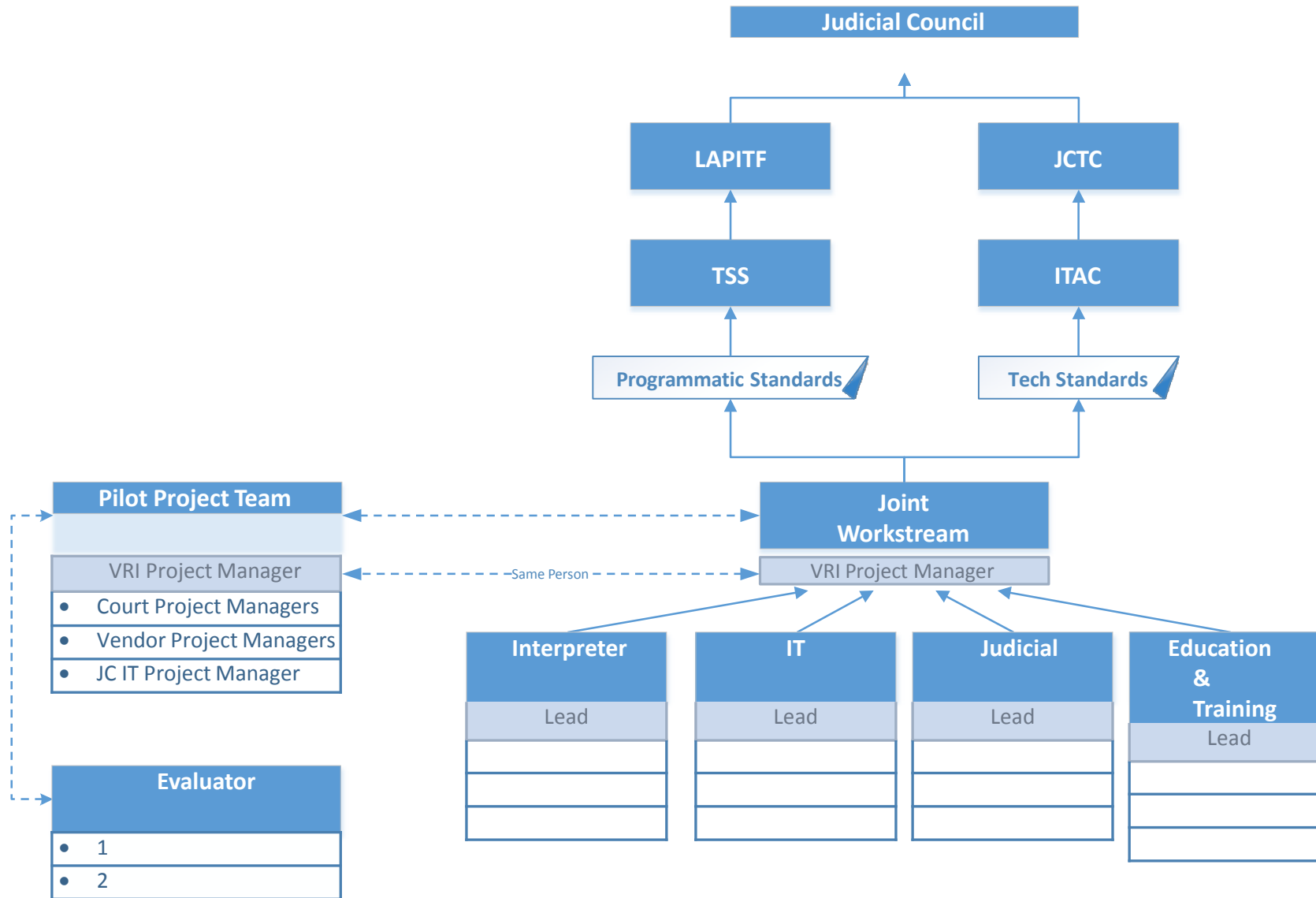
MAJOR TASKS	STATUS	DESCRIPTION
(a) Review and update the Tactical Plan for Technology.	Completed	<p>Team held orientation meeting in May; and, finalized a Tactical Plan progress report to date in July.</p> <p>The workstream met several times and used SWOT analysis (strengths, weaknesses, opportunities,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

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

An update on Video Remote Interpreting (VRI)

Joint project of ITAC and the Technology Solutions Subcommittee of the Language Access Plan Implementation Task Force





Goals

- Expand limited interpreter resources to case types beyond criminal
- Expand language access to serve more LEP users in additional areas
- Broaden access to languages other than Spanish
- Give interpreters the ability to cover multiple assignments in a shorter period of time
- Allow courts to share resources, where appropriate
- Reduce courtroom delays
- Minimize travel expenses for court interpreters



Background - Pilot Proposal Elements

- Includes a no-cost court RFP to preapprove qualified vendors;
- Provide consecutive and simultaneous interpretation within and across multiple jurisdictions;
- Work with California certified and registered interpreters employed by (or contracting with) California courts;
- Collect data to evaluate the pilot project;
- Set technical guidelines; and,
- Address & remedy any presupposed concerns.

VRI Pilot Project Elements



We now have:

- 3 pilot courts;
- 17 Workstream participants; and
- 3 vendors selected

Pilot Courts

Three courts were selected based on criteria including:

- Local court IT Bandwidth and available capacity;
- Volume of interpreting services provided;
- Diversity in language needs;
- Supply of employee and independent contractor certified and registered interpreters; and,
- Volume of matters for which VRI may be appropriate.

Pilot Courts

1. Sacramento County (large)
2. Ventura County (medium)
3. Merced County (small)

Workstream

Participants include:

- Judicial Officers;
- Certified Court Interpreters ;
- CEOs / CIOs; and,
- Judicial Council Staff.

Workstream

The role of Workstream participants is to:

- Assist in implementation of pilot project, including training for judicial officers, interpreters, and court staff
- Ensure that
 - Statewide technical standards are well defined;
 - Programmatic guidelines are validated

Vendors

- A request for proposal (RFP) was posted on August 8, 2016;
- Four vendors submitted proposals; and
- Vendors provided product demos on Sept 21-22, 2016
- Three vendors selected
 - Stratus Video (also vendor for COSCA/NACOM/NCSC pilot)
 - Parras & Assoc (experienced in medical applications of VRI)
 - Connected Justice (CISCO led consortium)



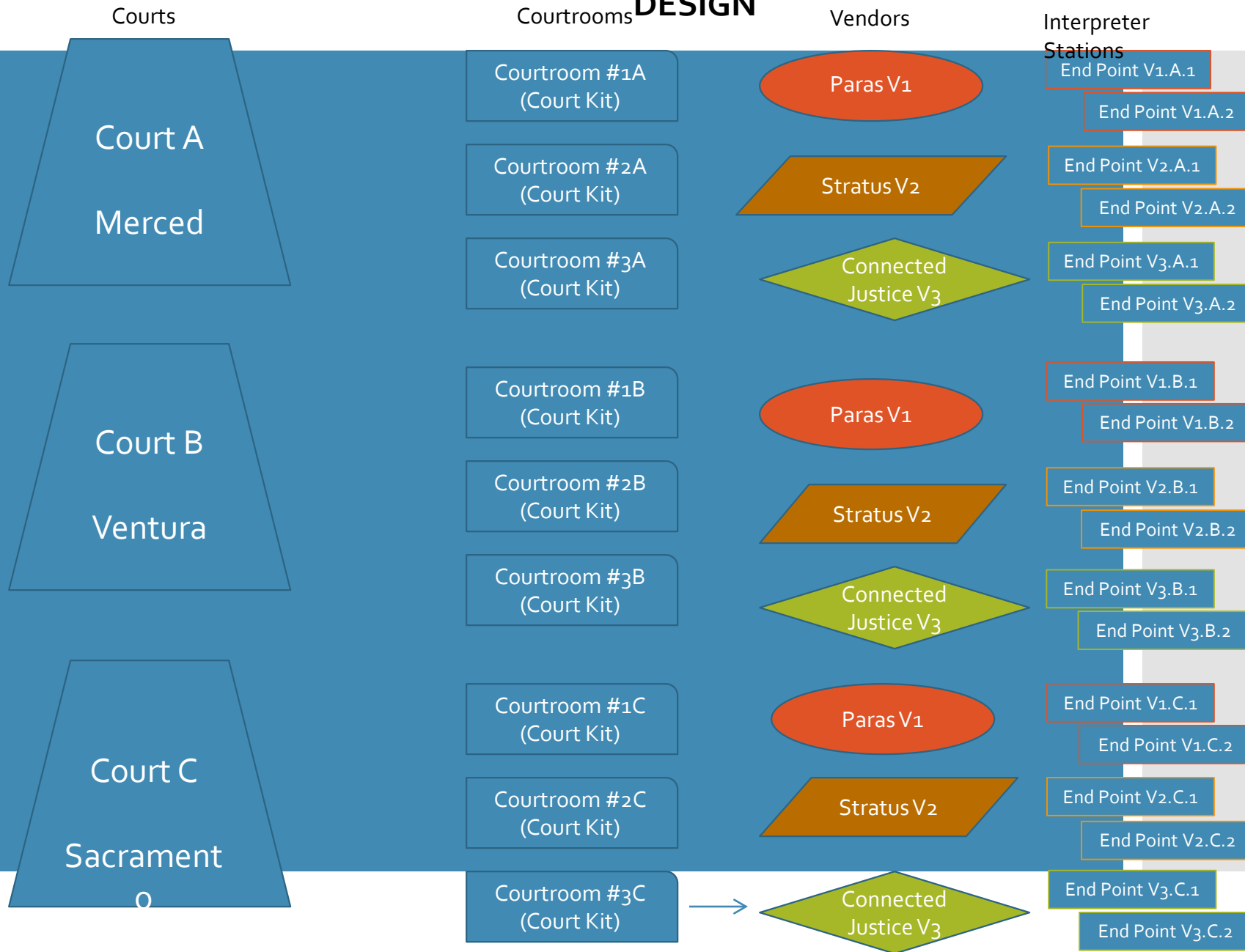
Vendors

Vendor Criteria included:

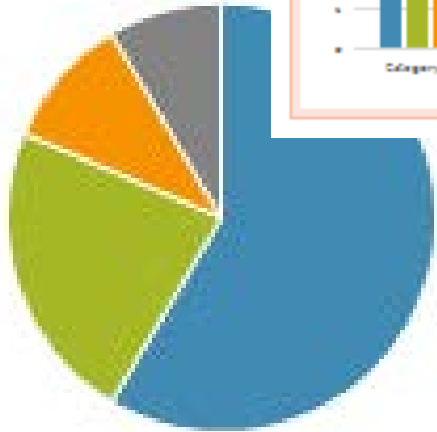
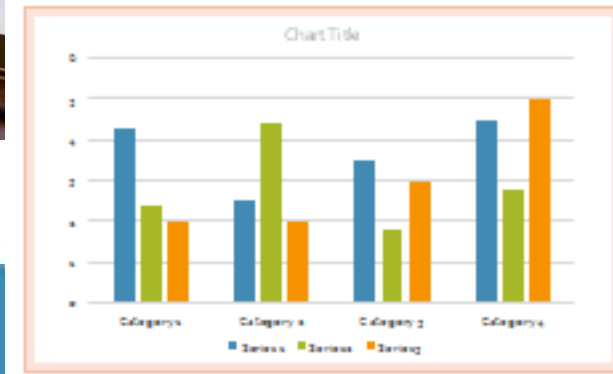
- Meeting minimum technical criteria set forth in the RFP;
- Implementation and ease of use;
- Scalability;
- Small Business/Disabled Veterans Business Enterprise (DVBE);
- Acceptance of Judicial Council Terms & Conditions; and,
- A cost evaluation.

PROPOSED VRI PILOT ASSESSMENT DESIGN

FTAO B BINDER PAGE 120



Project Evaluation



The VRI pilot project will be evaluated by a neutral, outside, independent evaluation team from San Diego State University, which will collect data during the duration of the VRI Assessment Program.

Project Evaluation

Per the Language Access Plan, to the extent possible, the pilot will 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.

Next Steps

- **First Quarter 2017**
 - Prepare and Kickoff VRI Assessment Program
 - Pilot court preparations and site visits
 - Development of training and evaluation tools
- **Second/Third Quarters 2017**
 - Court deployment and pilot implementation
- **Fourth Quarter 2017**
 - Compile evaluation data and prepare report (San Diego State)
 - Review findings and prepare recommendations [programmatic and technical standards] (Workstream)

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

Rules & Policy Subcommittee (RPS)

p.1	Modernize Rules of Court for the Trial Courts	Modernize Trial Court Rules to Support E-Business	Ongoing
p.3	Standards, Rules and/or Legislation for E-Signatures	Develop Legislation, Rules, and Standards for Electronic Signatures on Documents Filed by Parties and Attorneys	Carryover
p.5	Rules for Remote Access to Records for Justice Partners	Develop Rule Proposal to Facilitate Remote Access to Trial Court Records by Local Justice Partners	Carryover
p.7	Standards for Electronic Court Records as Data	Develop Standards for Electronic Court Records Maintained as Data	Carryover
p.9	Rules for E-Filing	Evaluate Current E-Filing Laws and Rules, and Recommend Appropriate Changes	Carryover
p.11	Privacy Policy	Develop Branch and Model Court Privacy Policies on Electronic Court Records and Access in Trial and Appellate Courts	Carryover

Joint Appellate Technology Subcommittee (JATS)

p.13	Modernize Rules of Court for the Appellate Courts	Modernize Appellate Court Rules to Support E-Business	Ongoing
p.15	Consult on Appellate Court Technological Issues	Consult, as Requested, On Technological Issues Arising In Or Affecting the Appellate Courts	Ongoing

Workstreams, etc.

p.17	Forms Technology Modernization (Rename?)	Investigate Options for Modernizing the Electronic Format and Delivery of Judicial Council Forms	New
p.19	Next Generation Infrastructure & Support Strategy	Investigate, Recommend, and Pilot a Framework to Leverage Existing Technical Network and Infrastructure Support Resources Across Courts	New
p.21	CMS Data Exchanges Ph II: Operations & Maintenance	Implement the DX Governance Plan and Repository Maintenance Policy with Critical Justice Partners.	New
p.23	E-Filing Strategy	Update E-Filing Standards; Develop Provider Certification and a Deployment Strategy	Carryover
p.25	Next Generation Hosting Strategy	Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model	Carryover
p.27	Video Remote Interpreting (VRI) Pilot	Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program	Carryover
p.29	SRL E-Services	Develop Requirements and a Request for Proposal (RFP) for Establishing Online Branchwide Self-Represented Litigants (SRL) E-Services	Carryover
p.31	Disaster Recovery (DR) Framework	Document and Adopt a Court Disaster Recovery Framework	Carryover
p.33	Tactical Plan for Technology	Update Tactical Plan for Technology for Effective Date 2017-2018	Carryover

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Modernize Rules of Court for the Trial Courts

(Ongoing)

Assigned To: Rules & Policy Subcommittee

SUMMARY: Modernize Trial Court Rules to Support E-Business
 PRIORITY: P2/Medium
 CATEGORY: Rule/Judicial Council Form
 ORIGIN: Tactical Plan; standing item on annual agenda.
 ALIGNMENT: Tactical Plan for Technology
 Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: Ongoing

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology, Office of Governmental Affairs, Center for Families, Children and the Courts (CFCC), Criminal Justice Services
	<i>Collaborations:</i>	ITAC Joint Appellate Technology Subcommittee; Appellate Advisory Committee, Civil & Small Claims, Criminal Law, Traffic, Family and Juvenile Law, and Probate and Mental Health advisory committees; TCPJAC, CEAC and their Joint Technology, Rules, and Legislative Subcommittees

Major Tasks:

- (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).

Note: Projects include rule proposals to amend rules to conform to Judicial Council-sponsored legislation to be introduced in 2017. For example, if the proposed legislation is enacted, the rules on e-filing and e-service (Cal. Rules of Court, rule 2.250-2.275) will need to be amended by January 1, 2018 to provide that a party may file and serve documents before midnight and the filings and service will be effective that day—thereby replacing the current “close of business” provisions in the rules.

Additional codes sections that would benefit from review and amendments modernizing them would include Code Civ. Proc. § 405.23, 594, 680.010-724.260; Civ. Code § 1719; Gov. Code § 915.2; and Labor Code § 3082.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Modernize Rules of Court for the Trial Courts

Deliverables/Outcomes	Timeline
Rule and/or Legislative Proposal(s), if appropriate	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Staff recommendation to split the modernization project into trial court and appellate for easier tracking and reporting. (Refer to appellate item separately.)

Benefits Summary:

Improve efficiencies by facilitating e-business, e-filing, and e-service.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Standards, Rules and/or Legislation for E-Signatures

(Carryover)

Assigned To: Rules & Policy Subcommittee

SUMMARY: Develop Legislation, Rules, and Standards for Electronic Signatures on Documents Filed by Parties and Attorneys

PRIORITY: P2/Medium

CATEGORY: Policy, Standard, Guideline, Study, and/or Report; and also, Rule/Judicial Council Form

ORIGIN: Tactical Plan; next phase and expansion of 2014, 2015, and 2016 Annual Agenda items. Recommendation by Department of Child Support Services and attorney, Tim Perry.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: December 2017, effective January 2018 (2 years)

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology
	<i>Collaborations:</i>	CEAC Subcommittee on Records Management, CEAC, TCPJAC, and their Joint Rules and Legislative Subcommittees; Civil & Small Claims Advisory Committee, and the Court Information Technology Managers Forum (CITMF)

Major Tasks:

- (a) Develop 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.
- (b) CEAC Records Management Subcommittee to develop standards governing electronic signatures for documents filed into the court to be included in the "Trial Court Records Manual" with input from the Court Information Technology Managers Forum (CIOs). Rules & Policy Subcommittee to review.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Standards, Rules and/or Legislation for E-Signatures

Deliverables/Outcomes	Timeline
Rule and/or Legislative Proposal, if appropriate	
Recommendation of Standards for Electronic Signatures (Update to the "Trial Court Records Manual")	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

- Increases efficiency and cost savings for parties and attorneys.
- Encourages the expansion of e-filing.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Rules for Remote Access to Records for Justice Partners	(Carryover)
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Assigned To: Rules & Policy Subcommittee

SUMMARY: Develop Rule Proposal to Facilitate Remote Access to Trial Court Records by Local Justice Partners

PRIORITY: P1/High

CATEGORY: Rule/Judicial Council Form

ORIGIN: Carryover from 2016 Annual Agenda. Rules and Policy Subcommittee discussion/recommendation. Currently, the trial court rules recognize remote electronic access of trial court records in criminal cases and certain civil cases by parties, their attorneys, and persons or entities authorized by statute or rule. This rules proposal would facilitate remote access to trial court records by local justice partners.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: December 2017, effective January 2018

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology, Criminal Justice Services, Center for Families, Children & the Courts
	<i>Collaborations:</i>	Criminal Law Advisory Committee (CLAC), CEAC, TCPJAC, and their Joint Technology Subcommittee; Family and Juvenile Law Advisory Committee, Traffic Law Advisory Committee

Major Tasks:

- (a) In collaboration with the Criminal Law Advisory Committee, amend trial court rules to facilitate remote access to trial court records by state and local justice partners, parties, and their attorneys.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Rules for Remote Access to Records for Justice Partners

Deliverables/Outcomes	Timeline
Rule Proposal	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

Facilitates remote access to trial court records in criminal cases and certain civil cases by justice partners and resolves inefficiency of having them required to physically access the courthouse.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Standards for Electronic Court Records as Data

(Carryover)

Assigned To: Rules & Policy Subcommittee

SUMMARY: Develop Standards for Electronic Court Records Maintained as Data

PRIORITY: P1/High

CATEGORY: Policy, Standard, Guideline, Study, and/or Report

ORIGIN: Carryover from 2016 Annual Agenda. Court Executives Advisory Committee (CEAC); Government Code section 68150 provides that court records may be maintained in electronic form so long as they satisfy standards developed by the Judicial Council. These standards are contained in the Trial Court Records Manual. However, the current version of the manual addresses maintaining electronic court records only as documents, not data.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: December 2018 (2 years)

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Information Technology, Legal Services
	<i>Collaborations:</i>	ITAC Data Exchange Workstream; CEAC, TCPJAC, and their Joint Technology Subcommittee

Major Tasks:

- (a) CEAC Records Management Subcommittee -- in collaboration with the CMS Data Exchange Workstream -- to develop standards and proposal to allow trial courts to maintain electronic court records as data in their case management systems to be included in the "Trial Court Records Manual" with input from the Court Information Technology Managers Forum (CITMF). Rules & Policy Subcommittee to review.
- (b) Determine what statutory and rule changes may be required to authorize and implement the maintenance of records in the form of data; develop proposals to satisfy these changes.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Standards for Electronic Court Records as Data

Deliverables/Outcomes	Timeline
Recommend Statutes and Rules to be Developed	
Adoption of Standards for Maintaining Electronic Court Records as Data (Update to the Trial Court Records Manual)	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

This project will allow trial courts to maintain electronic court records as data in their case management systems. Also, will update the Trial Court Records Manual to address maintaining electronic court records as data, rather than documents.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Rules for E-Filing

(Carryover)

Assigned To: Rules & Policy Subcommittee

SUMMARY: Evaluate Current E-Filing Laws and Rules, and Recommend Appropriate Changes

PRIORITY: P2/Medium

CATEGORY: Rule/Judicial Council Form

ORIGIN: Tactical Plan; carry over project from 2015 and 2016 Annual Agenda.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Identify New Policy, Rule, and Legislation Change**COMPLETION: December 2017, effective January 2018**

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology
	<i>Collaborations:</i>	ITAC E-Filing, SRL, and DX Workstreams; TCPJAC/CEAC Joint Technology, Rules and Legislative Subcommittees; also Criminal Law, Civil and Small Claims, Family and Juvenile Law, and Appellate Advisory Committees

Major Tasks:

- (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.
- (b) Develop rule proposals to implement the legislative proposal developed in 2016, which amends e-filing laws and rules (Code of Civil Procedure section 1010.6 and California Rules of Court, rule 2.250 et seq.).

Note: This effort will be informed by the E-Filing, SRL E-Services, and CMS Data Exchange Workstreams for any additional rules development needed.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Rules for E-Filing

Deliverables/Outcomes	Timeline
Legislative and Rule Proposal(s)	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

Encourage expansion of e-filing and promote consistency across case types.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Privacy Policy

(Carryover)

Assigned To: Rules & Policy Subcommittee, Joint Appellate Technology Subcommittee

SUMMARY: Develop Branch and Model Court Privacy Policies on Electronic Court Records and Access in Trial and Appellate Courts

PRIORITY: P2/Medium

CATEGORY: Policy, Standard, Guideline, Study, and/or Report

ORIGIN: Tactical Plan; carryover from Annual Agenda 2014, 2015 and 2016. Code Civ. Proc., § 1010.6 (enacted in 1999) required the Judicial Council to adopt uniform rules on access to public records; subsequently the rules have been amended in response to changes in the law and technology, requests from the courts, and suggestions from members of CTAC, the bar, and the public.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Promote Rule and Legislative Changes

COMPLETION: December 2018 (2 years)

RESOURCES:	<i>Assigned to:</i>	Rules & Policy Subcommittee, Joint Appellate Technology Subcommittee Chair: Hon. Peter J. Siggins Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology
	<i>Collaborations:</i>	Appellate Advisory Committee, CEAC, TCPJAC, and their Joint Technology Subcommittee; Criminal Law Advisory Committee, and the Department of Justice

Major Tasks:

- (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.
- (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.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Privacy Policy

Deliverables/Outcomes	Timeline
Recommendation of Branch Privacy Policy	
Recommendation of Model Local Court Privacy Policy	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

Provide guidance in protecting privacy interests of the public to judicial branch and local courts.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Modernize Rules of Court for the Appellate Courts

(Ongoing)

Assigned To: Joint Appellate Technology Subcommittee

SUMMARY: Modernize Appellate Court Rules to Support E-Business
 PRIORITY: P2/Medium
 CATEGORY: Rule/Judicial Council Form
 ORIGIN: Tactical Plan; standing item on annual agenda. Divided from similar trial court rule project.
 ALIGNMENT: Tactical Plan for Technology
 Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: Ongoing

RESOURCES:	<i>Assigned to:</i>	Joint Appellate Technology Subcommittee Chair: Hon. Louis R. Mauro Project Manager: N/A
	<i>JCC Support:</i>	Legal Services, Information Technology, Office of Governmental Affairs, Center for Families, Children and the Courts (CFCC), Criminal Justice Services
	<i>Collaborations:</i>	ITAC Rules & Policy Subcommittee; Appellate Advisory Committee, Civil & Small Claims, Criminal Law, Traffic, Family and Juvenile Law, and Probate and Mental Health advisory committees; TCPJAC, CEAC and their Joint Technology, Rules, and Legislative Subcommittees

Major Tasks:

- (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).

Note: Projects may include the appellate rules regarding format and handling of records filed electronically in the appellate courts.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Modernize Rules of Court for the Appellate Courts

Deliverables/Outcomes	Timeline
Rule and/or Legislative Proposal(s), if appropriate	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

Improve efficiencies by facilitating e-business, e-filing, and e-service.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Consult on Appellate Court Technological Issues

(Ongoing)

Assigned To: Joint Appellate Technology Subcommittee

SUMMARY: Consult, as Requested, On Technological Issues Arising In Or Affecting the Appellate Courts

PRIORITY: P1/High

CATEGORY: Technology Program or Solution

ORIGIN: JATS ongoing charge. Proposed resolutions of various issues by advisory bodies will have an impact on appellate court work, or may require changes to court practices. Issues include, for example, changes in trial court e-filing practices that may affect the format of documents in the record on appeal; and e-filing implementation in the appellate courts. JATS will consult on appellate court technology aspects of issues, as requested.

ALIGNMENT: Tactical Plan for Technology
Goal 4: Identify New Policy, Rule, and Legislation Change

COMPLETION: Ongoing (availability as issues arise)**RESOURCES:**

<i>Assigned to:</i>	Joint Appellate Technology Subcommittee Chair: Hon. Louis R. Mauro Project Manager: N/A
<i>JCC Support:</i>	Information Technology, Legal Services
<i>Collaborations:</i>	Appellate Advisory Committee

Major Tasks:

- (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.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Consult on Appellate Court Technological Issues

Deliverables/Outcomes	Timeline
Recommendations, as needed	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

Decisions will be made with the benefit of the expertise of JATS members regarding the practices of the appellate courts.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Forms Technology Modernization (Rename?)

(New)

Assigned To: Workstream

SUMMARY: Investigate Options for Modernizing the Electronic Format and Delivery of Judicial Council Forms

PRIORITY: P2/Medium

CATEGORY: Technology Program or Solution

ORIGIN: Proposal submitted jointly by Judge Freedman and Judge Lucky, ITAC members to address concerns raised by courts and council legal/forms staff.

ALIGNMENT: This project is not explicitly outlined in the Tactical Plan.
Emerging initiative
Strategic Plan for Technology
Goal 1: Promote the Digital Court

COMPLETION: July 2018 (18 months)

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): ? Project Manager: ?
	<i>JCC Support:</i>	Information Technology, Legal Services, Center for Children, Families and the Courts
	<i>Collaborations:</i>	Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

Major Tasks:

- (a) Evaluate Judicial Council form usage (by courts, partners, litigants) and recommend a solution that better aligns with case management system operability, better ensures the courts ability to adhere to quality standards, and implement updates without form reengineer.
- (b) Address form security issues that have arisen because of the recent availability and use of unlocked Judicial Council forms in place of secure forms for electronically filing documents into the courts, and seek solutions that will ensure the integrity of the forms and preserve the legal content.
- (c) Investigate options for redesigning forms to take advantages of new technologies, such as document assembly technologies that could eliminate problems with attachments.
- (d) Investigate options for developing a standardized data dictionary that would enable “smart forms” to be efficiently electronically filed into all the different new case management systems across the state.
- (e) Explore the creation and use of court generated text-based forms as an alternative to graphic forms.
- (f) Investigate whether to recommend development of a forms repository by which courts, forms publishers, and partners may readily and reliably access forms in alternate formats.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Forms Technology Modernization (Rename?)

Deliverables/Outcomes	Timeline
Recommendations on approach to modernize forms	
Identification and pilot of new technology for form generation and/or storage	
Budget Change Proposal to support implementation	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Request to update the title of this effort to avoid confusion with the forms modernization effort by RPS.
- (2) Note: This project is not explicitly outlined in the Tactical Plan; however, it indirectly aligns to and has intersection with the SRL E-Services, E-Filing, and Innovative Services initiatives.
- (3) Included language regarding piloting and BCP development.
- (4) Finalize executive sponsorship.

Benefits Summary:

- Better ensure form quality and integrity usage across the courts, in alignment with Judicial Council policy.
- Ensure that form updates continue to be appropriately maintained.
- Increase form data portability.
- Better integrate the content of the forms with court case management systems.
- Achieve efficiencies and cost savings by adopting standardized approaches to data definitions.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Next Generation Infrastructure & Support Strategy

(New)

Assigned To: Workstream

SUMMARY: Investigate, Recommend, and Pilot a Framework to Leverage Existing Technical Network and Infrastructure Support Resources Across Courts

PRIORITY: P2/Medium

CATEGORY: Technology Program or Solution

ORIGIN: Proposal submitted by CIO of Superior Court of California, San Joaquin, in response to the high cost of maintaining a network architecture across the state; and the vendor-centric and inconsistent support models in place across the state that could be better optimized.

ALIGNMENT: This project is not explicitly outlined in the Tactical Plan.
Emerging initiative
Strategic Plan for Technology
Goal 2: Optimize Branch Resources
Goal 3: Optimize Infrastructure

COMPLETION: December 2017 (1 year, with ongoing component)

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): ? Project Manager: ?
	<i>JCC Support:</i>	Information Technology
	<i>Collaborations:</i>	Workstream members; APJAC, CEAC, TCPJAC, and their Joint Technology Subcommittee, TCBAC

Major Tasks:

- (a) Review cost and potential return on investment (ROI).
- (b) Develop architecture and support model.
- (c) Review models and decision for implementation (including locations) for pilot/beta.
- (d) Evaluate pilot/beta results and decision for implementation going forward.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Next Generation Infrastructure & Support Strategy

Deliverables/Outcomes	Timeline
ROI Findings	
Documented model and architecture	
Implement pilot/beta program	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) See addendum for additional information/clarifications provided by the proposer.
- (2) If approved, refine tasks and outcomes, as needed.
- (3) Assign executive sponsorship.

Benefits Summary:

- Reduce Total Cost of Ownership – cost savings.
- Enable next generation architecture.
- Enable the next wave of scale, collaboration and innovation.
- Enhance smaller court support and minimize single person liabilities within individual counties.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] CMS Data Exchanges Ph II: Operations & Maintenance

(New)

Assigned To: ? Standing Committee and/or JC IT

SUMMARY: Implement the DX Governance Plan and Repository Maintenance Policy with Critical Justice Partners.

PRIORITY: P2/Medium

CATEGORY: Technology Program or Solution

ORIGIN: Tactical Plan; continued from Annual Agenda 2015, 2016.

ALIGNMENT: Tactical Plan for Technology

Goal 1: Promote the Digital Court: Develop Standard CMS Interfaces and Data Exchanges

COMPLETION: Ongoing

RESOURCES:	<i>Assigned to:</i>	? Standing Committee and/or JC IT Executive Sponsor(s): ? Project Manager: ?
	<i>JCC Support:</i>	Information Technology
	<i>Collaborations:</i>	Justice partners, vendors, court CIOs

Major Tasks:

- (a) Promote the single data exchange standard established for critical justice partners.
- (b) Provide continued support of a lead court as a point of contact for all case management system vendors and partners for assigned exchange.
- (c) Continue collection of documentation to support exchange development.
- (d) Track the current implementation status of each exchange by each vendor.
- (e) Stand up formal process and brokerage for acceptance of standard exchanges, updates, and modifications.
- (f) Finalize the "goal state" for the long-term data exchange standards.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) CMS Data Exchanges Ph II: Operations & Maintenance

Deliverables/Outcomes	Timeline
No new outcomes to be delivered to the JCTC and Judicial Council, unless there are substantive changes to previously approved deliverables (e.g., technical standards, governance plan).	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Pending discussion of current deliverables.

Benefits Summary:

- Maintains long-term consistency and oversight of data exchanges.
- Provides infrastructure for implementing future mandates and improvements.
- Provides a consistent, statewide communication channel to update all parties involved in standards.
- Increases the accuracy and currency of the information being shared.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] E-Filing Strategy

(Carryover)

Assigned To: Workstream

SUMMARY: Update E-Filing Standards; Develop Provider Certification and a Deployment Strategy

PRIORITY: P1/High

CATEGORY: Technology Program or Solution

ORIGIN: Tactical Plan; carryover project from 2015 and 2016 Annual Agenda; also, directive from June 2016 Judicial Council meeting.

ALIGNMENT: Tactical Plan for Technology
Goal 1: Promote the Digital Court E-Filing Deployment**COMPLETION: December 2016**

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Sheila F. Hanson, ? Project Manager: Snorri Ogata
	<i>JCC Support:</i>	Information Technology, Legal Services
	<i>Collaborations:</i>	Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

Major Tasks:

- (a) Update the technical standards for court e-filing, namely, the XML specification and related schema.
- (b) Develop the E-Filing Service Provider (EFSP) selection/certification process.
- (c) Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives.

Note: A future phase RFP may be necessary, dependent upon the outcomes of this workstream.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) E-Filing Strategy

Deliverables/Outcomes	Timeline
Updated Technical Standards	
Certification Program	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Needs update to tasks and outcomes (e.g., EFM RFP, BCP, and "develop a plan for implementation of [the approved NIEM/ECF] standards, including the effective date" per the Judicial Council 6/24/2016 directive).
- (2) Consider whether workstream should formally propose a cost recovery model (amount, collection, distribution for ongoing staff support).
- (3) Update completion date.
- (4) Appointment of new co-sponsor to replace Rob Oyung.

Benefits Summary:

- Ensure the branch is adopting current industry standards for e-filing;
- Reduce duplicated effort in deploying e-filing at individual courts by leveraging a set of best practices;
- Ensure rules and legislation align and support current business needs.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Next Generation Hosting Strategy

(Carryover)

Assigned To: Workstream

SUMMARY: Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model

PRIORITY: P2/Medium

CATEGORY: Technology Program or Solution

ORIGIN: Tactical Plan; next phase of project following 2015 assessment; carryover from 2016 Annual Agenda.

ALIGNMENT: Tactical Plan for Technology
Goal 3: Transition to Next-Generation Branchwide Hosting Model

COMPLETION: December 2016

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Jackson Lucky, Brian Cotta Project Manager: Heather Pettit
	<i>JCC Support:</i>	Information Technology
	<i>Collaborations:</i>	CEAC, TCPJAC, and their Joint Technology Subcommittee

Major Tasks:

- (a) Define workstream project schedule and detailed tasks; gain approval of workstream membership.
- (b) Outline industry best practices for hosting (including solution matrix with pros, cons, example applications, and costs).
- (c) Produce a roadmap tool for use by courts in evaluating options.
- (d) Consider educational summit on hosting options, and hold summit if appropriate.
- (e) Identify requirements for centralized hosting.
- (f) Recommend a branch-level hosting strategy.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Next Generation Hosting Strategy

Deliverables/Outcomes	Timeline
Assessment Findings: Best practices, Solution Options	
Educational Document for Courts	
Host 1-Day Summit on Hosting	
Recommendations For Branch-level Hosting	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Update completion date.
- (2) Validate prioritization (currently a P2/Medium) given CCTC contract.

Benefits Summary:

- Assessment ensures resources and opportunities are being utilized as effectively as possible to address the needs of courts in alignment with the new strategic direction.
- Determines an updated model for branchwide hosting as hosting models and technology evolve.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Video Remote Interpreting (VRI) Pilot

(Carryover)

Assigned To: Workstream

SUMMARY: Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program
 PRIORITY: P2/Medium
 CATEGORY: Technology Program or Solution
 ORIGIN: Tactical Plan; continuation of project from Annual Agenda 2015 and 2016.
 ALIGNMENT: Tactical Plan for Technology
 Goal 1: Courthouse Video Connectivity

COMPLETION: December 2017

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Terence L. Bruiniers Project Manager: Olivia Lawrence
	<i>JCC Support:</i>	Court Operations Special Services Office, Information Technology
	<i>Collaborations:</i>	Language Access Plan Implementation Task Force (LAPITF) Technological Solutions Subcommittee (TSS); CEAC, TCPJAC, and their Joint Technology Subcommittee; CIOs

Major Tasks:

In cooperation and under the direction of the Language Access Plan Implementation Task Force (LAPITF) Technological Solutions Subcommittee (TSS):

- (a) Support implementation of the Assessment Period of the VRI pilot program (including kickoff, court preparations, site visits, and deployment), as requested.
- (b) Review pilot findings; validate, refine, and amend, if necessary, the technical standards.
- (c) Identify whether new or amended rules of court are needed (and advise the Rules & Policy Subcommittee for follow up).
- (d) Consult and collaborate with LAPITF, as needed, in preparing recommendations to the Judicial Council on VRI implementations.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Video Remote Interpreting (VRI) Pilot

Deliverables/Outcomes	Timeline
Implementation of VRI Pilot Program	
Recommendations for Updated Technical Standards	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

- Potentially expand limited interpreter resources and serve more LEP users, increasing access to justice.
- Allows courts to share resources, potentially reduce courtroom delays and minimize travel expenses.
- Provides an assessment of a range of video technologies that courts may use to make informed decisions.
- Provides courts with an opportunity to select a pilot program-qualified vendor without needing to RFP separately.
- Provide the branch with input on the programmatic and technical guidelines necessary to expand remote access to courts.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] SRL E-Services

(Carryover)

Assigned To: Workstream

SUMMARY: Develop Requirements and a Request for Proposal (RFP) for Establishing Online Branchwide Self-Represented Litigants (SRL) E-Services

PRIORITY: P2/Medium

CATEGORY: Technology Program or Solution

ORIGIN: Tactical Plan; next phase of project following feasibility and desirability assessment from Annual Agenda 2015 and 2016.

ALIGNMENT: Tactical Plan for Technology
Goal 1: Promote the Digital Court: Implement Portal for Self-Represented Litigants (SRL)

COMPLETION: December 2016 (12 months)

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Robert Freedman, Hon. James Mize Project Manager: Brett Howard
	<i>JCC Support:</i>	Information Technology, Center for Families, Children and the Courts (CFCC)
	<i>Collaborations:</i>	Alternative Dispute Resolution (ADR) Subcommittee of the Civil and Small Claims Advisory Committee (C&SCAC) standing subcommittee; Advisory Committee Providing Access & Fairness; CEAC, TCPJAC, and their Joint Technology Subcommittee; CITMF, the Southern Regional SRL Network, and the California Tyler Users Group (CATUG)

Major Tasks:

- (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.
- (b) Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources.

Note: In scope for 2016 is development of an RFP; out of scope is the actual implementation.

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(Continued) SRL E-Services

Deliverables/Outcomes	Timeline
SRL Portal Requirements Document	
Request for Proposal (RFP)	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Consider whether updates to tasks and outcomes are needed.
- (2) Update completion date.

Benefits Summary:

Solution to provide a single point of access to court services and help tools for self-represented litigants, increasing the public's access to justice.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Disaster Recovery (DR) Framework

(Carryover)

Assigned To: Workstream

SUMMARY: Document and Adopt a Court Disaster Recovery Framework
 PRIORITY: P2/Medium
 CATEGORY: Technology Program or Solution
 ORIGIN: Tactical Plan; next phase of project following 2015 assessment.
 ALIGNMENT: Tactical Plan for Technology
 Goal 3: Court Disaster Recovery Framework and Pilot

COMPLETION: March 2017

RESOURCES:	<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Alan Perkins, Brian Cotta Project Manager: Brian Cotta
	<i>JCC Support:</i>	Information Technology
	<i>Collaborations:</i>	Workstream members representing various court sizes; CEAC

Major Tasks:

- (a) Develop model disaster recovery guidelines, standard recovery times, and priorities for each of the major technology components of the branch.
- (b) Develop a disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.
- (c) Create a plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.

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(Continued) Disaster Recovery (DR) Framework

Deliverables/Outcomes	Timeline
Disaster Recovery Framework Document and Checklist	
Findings from Pilot	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

- (1) Removed task to "Pilot the framework by having one or more courts use it," per ITAC discussion at October 2016 meeting.

Benefits Summary:

- An established process for implementing a disaster recovery plan;
- Leveraging resources and knowledge across the branch.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

[] Tactical Plan for Technology

(Carryover)

Assigned To: Workstream

SUMMARY: Update Tactical Plan for Technology for Effective Date 2017-2018

PRIORITY: P1/High

CATEGORY: Policy, Standard, Guideline, Study, and/or Report

ORIGIN: Specific charge of ITAC per Rule 10.53 (b)(8).

ALIGNMENT: Technology Governance and Funding Model

COMPLETION: April 2017

RESOURCES:

<i>Assigned to:</i>	Workstream Executive Sponsor(s): Hon. Terence L. Bruiniers Project Manager: Kathleen Fink
<i>JCC Support:</i>	Information Technology
<i>Collaborations:</i>	Broad input from the branch and the public. Futures Commission outcomes will provide inputs into Strategic and Tactical Plan.

Major Tasks:

- (a) Complete circulation of updated Tactical Plan for public comment and revise, as needed.
- (b) Finalize and submit for approval to the JCTC and the Judicial Council.

2017 ITAC ANNUAL AGENDA PLANNING WORKSHEET

(Continued) Tactical Plan for Technology

Deliverables/Outcomes	Timeline
Tactical Plan for Technology 2017-2018	

Include only deliverables expected for submission to the JCTC and/or to the Judicial Council.

Open Questions/Comments:

None.

Benefits Summary:

- Provides tactical roadmap for branch technology programs and policy, to support branch coordination, resource prioritization, guidance for technology decision-making.
- Clarifies the individual initiatives that will contribute to and support the judicial branch Strategic Plan for Technology.

Supplemental Information for Next Generation Infrastructure & Support Strategy Project Proposal (October 2016)

Follow up on questions related to this new annual agenda proposal, per request of ITAC.

** Italics highlight new information and clarifications provided by the proposer.*

This proposal is an assessment that should be designed to answer:

- *If we do not change any hardware infrastructure, can we lower costs branchwide by leveraging (people) resources?*
 - *Is there additional benefit in changing the hardware infrastructure, longer term?*
1. The focus of the proposed agenda item seems to be on Next Generation **Network** Infrastructure & Support specifically. Is this a correct understanding?
 - a. *Yes, the immediate goal is to look at setting up a network model; however, we could potentially extrapolate learnings/modeling to use for other infrastructure (e.g., server management/Active Directory).*
 2. There seem to be three tracks, as follows – are these correct?
 - a. **Building community/collaboration** among the courts to share resources that have network expertise and develop a network support team from these resources. *I am suggesting this project be more than “collaboration”—there would be job responsibilities and work assignments of the shared resources, not just a “help when you can” approach. It would span different court organizations, and serve as part of responsibilities of dedicated people.*
 - b. **Technical evaluation** of leading edge network solutions
First the workstream would define/design an organization/team of resources required and answer the question: Can we build a team from existing pool or do we need additional expertise. Once the organization/team is built, it would pursue the technical evaluation and alternatives. In other words, it begins with an architecture design phase to build a foundation; then define vendor software solutions from there.
 - c. **Reengineering of current network** infrastructure and support
Yes, the results could include recommendations for reengineering network; that is a much longer-term/second phase objective.
 3. Is the intent to address court internal network infrastructure and support? The current LAN/WAN program? Both? Other?
Includes everything- court internal networks, LAN/WAN; build expertise either by training or by attracting talent to the courts.

4. Does this effort overlap or have synergies with the Next Generation Hosting workstream already in progress?

The process may be similar (assessment, recommendations, implementation), but the details are different.

5. What is the origin of the proposed project? What “problem” are we trying to solve?

Origin is from information on network spending across state, as well as the understanding that the current model is to outsource network build and support needs. Most of the work on any network is “putting it in;” whereas, ongoing maintenance does not involve a lot of hands on activity. We pay a lot for engineering (upfront) and maintenance (insurance plan) for the LAN/WAN program (e.g., consider firewall maintenance costs, without refresh). We have pockets of people in the courts and in the JCC with network expertise. Is it possible for the branch to take this on at much lower cost and still support the courts AND at the same time help the smaller courts with respect to those without IT or a single IT person?

6. Factors as to why we need to explore new solutions:

- a. *Network infrastructure is fairly simplistic in implementation and similar in most, if not all, courts.*
- b. *Advent of new technology and movement toward software vs hardware.*
 - a. *Using new technology, extend the new hardware to reduce cost?*
 - b. *Using new technology, explore a different methodology with added features? (e.g., transport data, secure the data, secure access, increase visibility into security stack)*
- c. *Use existing and acquired expertise to manage the network infrastructure – there are existing resources across the state and at the JCC supporting this process. How can we create a single process to assume responsibility to better support the courts and save cost at the same time?*
 - a. *Capacity Management (Return Material Authorization/RMA process, and refresh rate)*
 - b. *Provisioning (new courthouse implementation and design, growth – geography and organic)*
 - c. *Maintenance (single support structure for state inclusive of JCC and courts (dotted line); technical escalation throughout the State)*
- d. *Answer whether a new support model can improve the risk and the cost for smaller courts with a single resource, where the functionality is required but the volume of work is not.*