JUDICIAL COUNCIL
OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

www.courts.ca.gov/itac.htm
itac@jud.ca.gov

# INFORMATION TECHNOLOGY ADVISORY COMMITTEE

## MINUTES OF OPEN MEETING

October 27, 2017
10:00 AM - 12:00 PM
Teleconference

| | |
|---|---|
| **Advisory Body Members & Liaisons Present:** | Hon. Sheila F. Hanson, Chair; Hon. Louis R. Mauro, Vice Chair; Hon. Marc Berman; Mr. Brian Cotta; Ms. Alexandra Grimwade; Hon. Michael S. Groch; Mr. Paras Gupta; Hon. Samantha P. Jessner; Hon. Jackson Lucky; Mr. Terry McNally; Hon. Kimberly Menninger; Hon. James Mize; Mr. Snorri Ogata; Mr. Darrel Parker; Hon. Alan G. Perkins; Ms. Heather Pettit; Hon. Peter Siggins; Hon. Bruce Smith; Ms. Jeannette Vannoy; Mr. Don Willenburg; Mr. David H. Yamasaki |
| **Advisory Body Members & Liaisons Absent:** | Hon. Daniel J. Buckley; Hon. Julie R. Culver; Hon. Tara Desautels; Hon. Joseph Wiseman |
| **Others Present:** | Mr. Rob Oyung; Mr. Mark Dusman; Ms. Kathy Fink; Ms. Jamel Jones: Mr. Patrick O'Donnell; Ms. Andrea Jaramillo; Ms. Fati Farmanfarmaian; Ms. Nicole Rosa; Ms. Jessica Craven; Ms. Jackie Woods; and other JCC staff present |

## OPEN MEETING

### Call to Order and Roll Call
The chair called the meeting to order at 10:00 AM, and took roll call.

### Approval of Minutes
The advisory body reviewed and approved the minutes of the August 7 and October 10, 2017, Information Technology Advisory Committee meeting.

There were no written comments received for the October 27, 2017 meeting.

## DISCUSSION AND ACTION ITEMS (ITEMS 1–7)

**Item 1  10:05 a.m. – 10:10 a.m.**

**Opening Remarks and Chair Report**

Provide general update on activities relevant to the committee.

Presenter:     Hon. Sheila F. Hanson, Chair

***Update:***     Judge Hanson provided ITAC with an update from the Court Technology Conference she attended along with, Justice Louis Mauro, Justice Marsha Slough, and other branch

Meeting Minutes │ October 27, 2017

colleagues in September in Utah. Topics covered were relevant to ITAC, such as, Digital Evidence, Data Analytics, Strategic Visioning, Remote Interpreting, Speech-to-Text Translation, Online Dispute Resolution, and Moving to the Cloud. The conference was extremely engaging and insightful and she recommends others attend in the future as budgets allow.

## DISCUSSION ITEMS

**Item 2   10:10 a.m. – 10:20 a.m.**

**Disaster Recovery Framework Workstream – Final Deliverables (Action Requested)**

Review final deliverables and decide whether to recommend for acceptance by the Judicial Council Technology Committee. The deliverables include: a Disaster Recovery Framework, Adaptable Disaster Recovery Plan, a "How to Guide", and a Budget Change Proposal (BCP) recommendations.

Presenters:   Hon. Alan Perkins. Workstream Executive Co-Sponsor

Mr. Brian Cotta, Workstream Executive Co-Sponsor and Project Manager

Mr. Michael Derr, Principal Manager and Workstream Staff/SME, Judicial Council Information Technology

*Action:*       Mr. Cotta provided an update regarding the final deliverables that include the following artifacts: "How to Use" Guide, Disaster Recovery Framework: Recommendations and Reference Guide, Disaster Recovery Adaptable Template, Recommendation to ITAC to pursue a Budget Change Proposal (BCP), and a recommendation for JC IT to review and edit documents every (2) years.

**Motion to approve the recommendation to the Judicial Council Technology Committee (JCTC) to accept the final workstream deliverables.**

**Approved**

**Item 3   10:20 a.m. – 11:20 a.m.**

**Branch Technology Planning (Discussion)**

Discuss technology planning activities including: (a) updating the Strategic Plan 2019-2022; (b) updating the Tactical Plan for 2019-2020; and (c) developing the ITAC 2018 Annual Agenda. For each plan, this includes a review of the process, discussion of ITAC's role, and emerging technology topics for consideration.

Presenters:   Mr. Robert Oyung, Chief Information Officer, Judicial Council Information Technology

Ms. Jamel Jones, Supervisor, Judicial Council Information Technology

*Update:*       Mr. Oyung and Ms. Jones outlined the timeline and process for future ITAC and JC IT initiatives. ITAC initiatives completing in 2018 include: e-Filing, VRI, and e-Signature

workstreams. In progress are: SRL, e-Services, Intelligent Forms, and Privacy Policy. Starting up are: Digital Evidence and Single Sign-On Identity Management.

New initiatives include: Future Directives; Tactical Plan update, and Assembly Bill 103 Rules.

**Item 4    11:20 a.m. – 11:25 a.m.**

**Judicial Council Technology Committee Update**

Update on activities and news coming from this internal oversight committee.

Presenter:    Hon. Marsha Slough, Chair, JCTC

*Update:*        Justice Slough provided a JCTC update to ITAC members. Meetings included two open JCTC meetings on September 11 and October 16 and the branchwide Technology Summit in August. Justice Slough also attended the Court Information Technology Management Forum in Alameda. In November, JCTC will hold an educational session to review the Strategic Plan for Technology with the goal of presenting to the Judicial Council end of 2018.

**Item 5    11:25 a.m. – 11:35 a.m.**

**Judicial Branch Technology Summit Debrief**

Report on the recent Judicial Branch Technology Summit and share participant feedback.

Presenter:     Mr. Robert Oyung, Chief Information Officer, Judicial Council Information Technology

*Update:*        Mr. Oyung reported on the feedback from the August Technology Summit. There were 148 participants (48 judicial officers, 60 court executives, and 40 technologists). Based on 47 survey respondents, 100% agree or strongly agree the summit was a good use of their time and 95% agree or strongly agree that sessions were relevant to their court. The top three most beneficial topics were: Service Focused Web Design; Keynote: Exponential Government; Technology and the Branch; Judicial Branch Workstreams.

**Item 6   11:35 a.m. – 11:50 a.m.**

**Comments and Questions Regarding Written Workstream and Subcommittee Reports**

**Next Generation Hosting Strategy Workstream**

Hon. Jackson Lucky and Mr. Brian Cotta, Executive Sponsors

Ms. Heather Pettit, Project Manager/Court Lead

No additional comments, status report is in the meeting materials.[FFF1]

**E-Filing Strategy Workstream**

Hon. Sheila F. Hanson, Executive Sponsor

Mr. Snorri Ogata, Project Manager/Court Lead

No additional comments, status report is in the meeting materials.

**Self-Represented Litigants (SRL) E-Services Workstream**

Hon. James M. Mize, Executive Sponsor

Mr. Rob Oyung added there were many innovation grants awarded. Brett Howard had a meeting with awardees to integrate with workstream.

**Video Remote Interpreting Workstream**

Hon. Samantha Jessner, Executive Sponsor

No additional comments, status report is in the meeting materials.

**Intelligent Forms Workstream**

Hon. Jackson Lucky, Executive Sponsor

Some progress made in tasks E & F, but slightly behind in updates for this meeting. Still anticipate completion on time.

**Rules & Policy Subcommittee**

Hon. Peter Siggins, Chair

No additional comments, status report is in the meeting materials.

**Joint Appellate Technology Subcommittee**

Hon. Louis R. Mauro, Chair

No additional comments, status report is in the meeting materials.

**Digital Evidence Workstream**

Hon. Kimberly Menninger, Executive Sponsor

No additional comments, status report is in the meeting materials.

**Item 7  11:50 a.m. – 12:00 p.m.**

**Liaison Reports**

Reports from members appointed as liaisons to/from other advisory bodies.

Presenters:

| **Member:** | **Liaison to/from:** |
|---|---|
| *Member appointed on behalf of ITAC to liaison committee:* | |
| Hon. Sheila F. Hanson | TC Presiding Judges |
| Mr. David Yamasaki | Court Executives |
| **Hon. Louis R. Mauro** | **Appellate** |
| Hon. James M. Mize | Access |
| *Vacant* | Civil Jury Instructions |
| Hon. Samantha P. Jessner | Civil & Small Claims |
| **Hon. Alan G. Perkins** | **Criminal Law** |
| Hon. Julie R. Culver | Education (CJER) |
| Hon. Michael S. Groch | Traffic |
| | |
| *Liaison member appointed on behalf of partner committee:* | |
| | **Education (CJER)** |
| Hon. Daniel Buckley | Presiding Judges |
| Hon. Joseph Wiseman | Tribal Court |

*Update:*        No liaison updates.

## ADJOURNMENT

There being no further business, the meeting was adjourned at 11:52 AM.

Approved by the advisory body on enter date.

JUDICIAL COUNCIL
OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

# Next Generation Hosting Strategy Workstream Materials

## Agenda Item

**Item 3**          **10:15 a.m. – 10:25 a.m.**

**Next Generation Hosting Strategy Workstream (Action Requested)**

Review final deliverables and decide whether to recommend for acceptance by the Judicial Council Technology Committee. The deliverables include a next-generation hosting framework guide, recommendations, and spreadsheet tools.

Presenters:     Hon. Jackson Lucky, Workstream Executive Co-Sponsor

Mr. Brian Cotta, Workstream Executive Co-Sponsor

Ms. Heather Pettit, Workstream Project Manager/Court Lead

## Contents

- Cover Memo Requesting Committee Approval
- Next-Generation Hosting Framework Guide
- Attachment A- Recommended Service Levels, Inventory Assets, Solutions
- Attachment B- Inventory Checklist Template
- Attachment C- Technology Roadmap Template/Sample
- Comment Matrix from Branch Circulation

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HON. TANI G. CANTIL-SAKAUYE
*Chief Justice of California*
*Chair of the Judicial Council*

MR. MARTIN HOSHINO
*Administrative Director,*
*Judicial Council*

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

HON. SHEILA F. HANSON
*Chair*

HON. LOUIS R. MAURO
*Vice-chair*

Hon. Marc Berman
Mr. Brian Cotta
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COMMITTEE STAFF
Mr. Robert Oyung
Tel 415-865-4994
Ms. Jamel Jones
Tel 415-865-4629

| | |
|---|---|
| **Date** | **Action Requested** |
| November 28, 2017 | Please Circulate for Branch Comment |
| **To** | |
| Members of the Information Technology Advisory Committee | **Deadline** |
| | December 4, 2017 |
| **From** | **Contact** |
| Information Technology Advisory Committee Next-Generation Hosting Strategy Workstream | Brian Cotta |
| | Brian.cotta@jud.ca.gov |
| Hon. Jackson Lucky, Executive Cosponsor | Heather L. Pettit, Project Manager |
| Mr. Brian Cotta, Executive Cosponsor | Next-Generation Hosting Strategy Workstream |
| | Heather.pettit@contracosta.courts.ca.gov |
| **Subject** | Jamel Jones, Supervisor |
| *Next-Generation Hosting Framework Guide* | Information Technology |
| | Jamel.jones@jud.ca.gov |

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## Summary

The Information Technology Advisory Committee (ITAC) Next-Generation Hosting Strategy Workstream is seeking approval and recommendation of its proposed *Next-Generation Hosting Framework Guide* and associated documents at the December 4, 2017 ITAC business meeting.

## Background

In 2014, the Judicial Council adopted the judicial branch *Strategic Plan for Technology*, which defines four technology goals:

- Goal 1: Promote the Digital Court
- Goal 2: Optimize Branch Resources

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- Goal 3: Optimize Infrastructure
- Goal 4: Promote Rule and Legislative Changes

In accordance with this plan, the council also adopted the judicial branch *Tactical Plan for Technology: 2017-2018*, which outlines an initiative to transition to a next-generation hosting model. Although this initiative is expressed under strategic plan Goal 3, such a hosting solution would have a direct impact on the branch's ability to accomplish *three* of its strategic goals: Promote the Digital Court, Optimize Branch Resources, and Optimize Infrastructure.

To accomplish this tactical initiative, in January 2016 ITAC formed a workstream comprising judicial officers, court executive officers, and technologists from trial courts, appellate courts, and the Judicial Council staff. The task of the workstream was to assess best practices for hosting technology systems, produce a road map tool for use by courts in evaluating options, identify requirements for centralized hosting, and recommend a branch-level hosting strategy.

Before formation of the workstream, ITAC distributed a two-part survey to the Court Information Technology Management Forum, which gathered information on:

- Current court practices regarding their hosting solutions;
- The considerations and requirements of courts in selecting new hosting solutions; and
- Envisioned court strategy for next-generation hosting, including specific products, services, and providers, along with general approaches, alternatives, and benefits.

The survey findings provided the workstream with a baseline for understanding court resources, unmet needs, and objectives (both individually and collectively) and assisted with determining best solutions and recommendations.

With this information, the workstream met multiple times in 2016 and 2017. Several vendors provided branch educational presentations on possible solutions, opportunities, and pitfalls. Following those presentations, additional workstream meetings were held during which requirements, priorities, and recommendations were discussed. An initial draft of the *Next-Generation Hosting Framework Guide* and associated recommendations and templates were distributed to the workstream in April 2017, finalized in September 2017, and circulated for branch comment in October and November 2017.

The enclosed *Next-Generation Hosting Framework Guide* presents the workstreams hosting strategy recommendations based on the branch strategic and tactical plans and the best likelihood for achieving the defined goals and objectives. The recommendations are not mandatory, but rather a common framework that can be leveraged to help individual courts identify hosting solutions that are appropriate for their local environment. The workstream recognizes that many

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of the recommendations may not be feasible given today's budget and resource constraints. The intention is for the framework to provide court leadership with the foundation and guidance to inform their technology planning and decision-making as they move toward achieving their strategic goals and objectives.

## Branch Comment

The framework documents were circulated to the branch (including to the Supreme Court, appellate courts, and superior courts) for comment. While few suggestions were received, the response was generally supportive with constructive comments focused on providing clarifications. As a result of this comment period, non-substantive revisions were incorporated for clarity and general copy-editing. A comment matrix reflecting the input received is enclosed.

## Requested Action

The workstream seeks approval of the enclosed *Next-Generation Hosting Framework Guide*, recommendations, and associated templates at the **Monday, December 4, 2017** ITAC business meeting.

## Next Steps

With approval by ITAC, the workstream will seek acceptance by the Judicial Council Technology Committee. Final documents will be posted and available on the Judicial Resources Network for use by courts.

Thank you, in advance, for your time and attention.

Enclosures
cc:    Hon. Marsha G. Slough, Chair, Judicial Council Technology Committee
        Hon. Sheila F. Hanson, Chair, Information Technology Advisory Committee
        Administrative Presiding Justices of the Courts of Appeal
        Presiding Judges of the Superior Courts
        Members of the ITAC Next-Generation Hosting Strategy Workstream
        Ms. Heather L. Pettit, Project Manager, Next-Generation Hosting Strategy Workstream
        Mr. Robert Oyung, Chief Information Officer, Judicial Council
        Ms. Jamel Jones, Supervisor, Information Technology, Judicial Council

CALIFORNIA JUDICIAL BRANCH

# Next-Generation Hosting Framework

## A Guide for the California Judicial Branch

# DRAFT

VERSION 1.0

NOVEMBER 28, 2017

Next-Generation Hosting Framework
California Judicial Branch

# Table of Contents

# 1.0  INTRODUCTION

In October 2014, the California judicial branch adopted the *Strategic Plan for Technology 2014–2018* and the *Tactical Plan for Technology 2014–2016*. There are four technical goals defined within the strategic plan:

Goal 1  Promote the Digital Court
Goal 2  Optimize Branch Resources
Goal 3  Optimize Infrastructure
Goal 4  Promote Rule and Legislative Changes
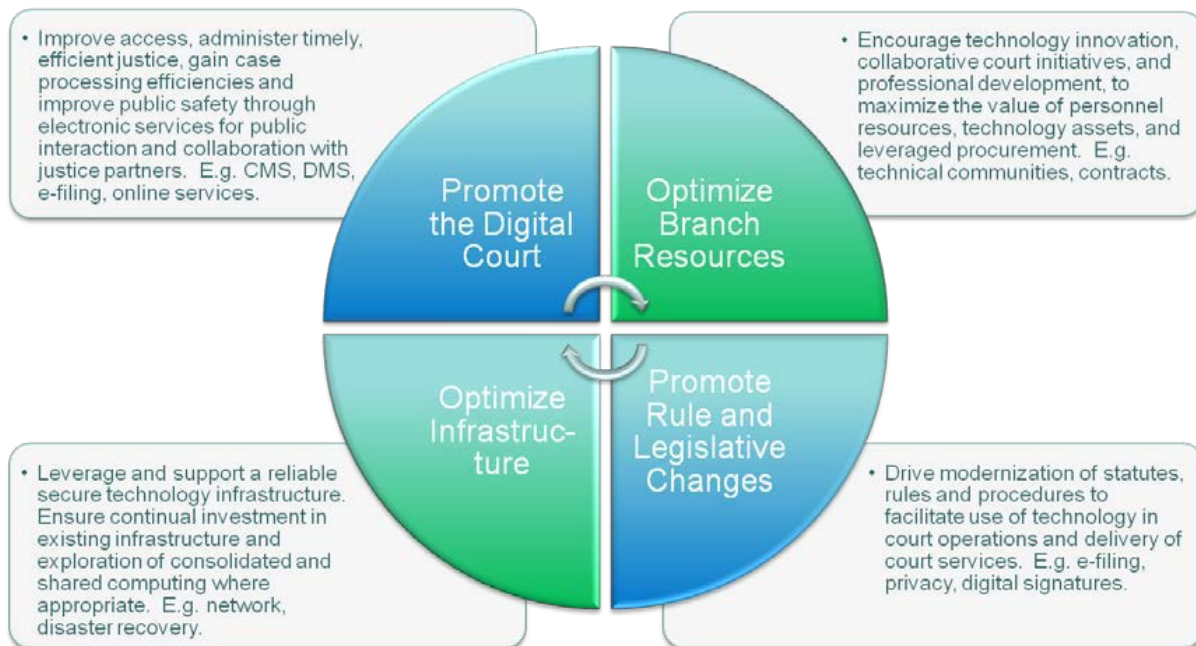


In accordance with Goals 1, 2 and 3, the judicial branch tactical plan outlined the Next-Generation Hosting Initiative. While this initiative is expressly called out under Goal 3, the reality is this type of hosting solution has a direct impact on the branch's ability to accomplish three of its strategic goals: Promote the Digital Court, Optimize Branch Resources, and Optimize Infrastructure.

In order to truly achieve Goals 1 and 2, the hosting solution must take into account the requirements for those goals. For example, one set of objectives to Promote the Digital Court is

- 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; and
- Enhanced collaboration and cooperation with local and statewide justice partners to promote public safety.

How each of these objectives is met is a direct result of the data center and the function within.

This framework provides recommendations based on the judicial branch's strategic and tactical plans and the best likelihood for achieving the defined goals and objectives. These are not mandatory requirements but rather a common framework that can be leveraged to help individual courts identify hosting solutions that are appropriate for their local environment. The Next-Generation Hosting Workstream recognizes many of the recommendations are not feasible in today's climate, due to budget and resource constraints. The intention is for the framework to provide court leadership with the foundation and guidance to move toward these strategic goals and objectives.

Next-Generation Hosting Framework                                                                 California Judicial Branch

# 2.0  DEFINITIONS

**Cloud computing**—A type of Internet-based computing that provides shared computer processing resources and data to computers and other devices on demand. It is a model for enabling ubiquitous, on-demand access to a shared pool of configurable computing resources (e.g., computer networks, servers, storage, applications, and services),which can be rapidly provisioned and released with minimal managerial effort. These resources typically reside on the Internet instead of in a local data center.

**Data center**—A facility used to house computer systems and associated components, such as telecommunications and storage systems. It generally includes redundant or backup power supplies, redundant data communications connections, environmental controls (e.g., air conditioning, fire suppression) and various security devices.

**Data loss**—Any process or event that results in data being corrupted, deleted and/or made unreadable by a user and/or software or application.

**Hosted solutions—**For the purposes of this guide, refers to the physical servers supporting and storing court data whether provided internally, by the branch data center, or by a vendor either locally, offsite, or via cloud hosting.

**Infrastructure as a service (IaaS)**—The capability provided to the consumer to provision processing, storage, networks, and other fundamental computing resources where the consumer is able to deploy and run arbitrary software, which can include operating systems and applications.

**Local hosting solution—**A local court's data center, managed, resourced, supported, and funded by that court.

**Platform as a service (PaaS)**—A category of cloud computing services that provides a platform allowing customers to develop, run, and manage web applications without the complexity of building and maintaining the infrastructure typically associated with developing and launching an application.

**Service level**—Measures the performance of a system. Certain goals are defined and the service level gives the percentage to which those goals should be achieved.

**Software as a service (SaaS)**—A software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted on the Internet. It is sometimes referred to as "on-demand software." SaaS is typically accessed by users using a thin client via a web browser.

**System outage; downtime**—"Downtime" refers to periods when a system is unavailable. Downtime or outage duration refers to a period of time that a system fails to provide or perform its primary function. Reliability, availability, recovery, and unavailability are related concepts.

**Vendor-hosted solution**—Cloud computing vendors that have the capability of delivering SaaS, IaaS, and PaaS technical solutions.

# 3.0  NEXT-GENERATION HOSTING FRAMEWORK

## 3.1    SCOPE OF NEXT-GENERATION HOSTING STRATEGY

The current hosting model for information technology applications and services for the California Courts Technology Center (CCTC) was developed largely based on the strategy of centrally hosting the court case management systems and other shared applications. The branchwide strategy of hosting those systems has changed; therefore, the branch must reevaluate its hosting model to ensure resources and opportunities are utilized effectively in alignment with the new strategic direction while addressing the needs of the courts.

As hosting models and technology evolve, the most cost-effective, branchwide strategy for application and services hosting can 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 that includes all judicial branch entities.

**Major Tasks**
- Complete a needs assessment, define branch-recommended service levels, develop implementation recommendations, and determine necessary funding changes.
- Develop a toolset for courts to utilize when determining needs and funding requirements.
- Publish findings, including a hosting implementation toolset and 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.

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

**Workstream Phases**

### Phase 1: Develop Educational Information and Hold Summit

- Determine the top solutions in the industry.
- Define the pros and cons of each solution.
- Provide examples of court applications that could utilize each solution.
- Provide sample cost information by solution.
- Include a roadmap tool to assist courts in evaluating local needs and identifying hosting solutions for themselves.
- Produce a next-generation hosting information tool.
- Determine whether a summit on the topic is necessary and, if so, hold the summit.

**Phase 2: Define Branch-Level Hosting Requirements**

- Identify strategies that could be implemented or utilized across the branch.
- Survey courts (all levels) on the types of applications they envision being hosted at a more central level.
- Capture hosting requirements based on Judicial Council decisions on branchwide applications.
- Define service-level requirements for a branch-level host site.
- Produce the next-generation hosting final report and requirements.

## 3.2    ORGANIZATIONAL CHARACTERISTICS

As part of its 2015 annual agenda, the Projects Subcommittee of the Information Technology Advisory Committee (formerly the Court Technology Advisory Committee) surveyed courts on two related topics: disaster recovery preparedness and planning for future hosting of court data (next-generation hosting). All courts should be concerned about the impact of disasters of all kinds, whether resulting from extreme weather events, earthquakes, or by malicious entities. Budget and resource constraints impact the ability of individual courts, and the branch as a whole, to prepare for and recover from such disasters. A corollary to these concerns is the effect migration has to new hosting environments and will have on disaster recovery preparedness and planning.

A survey was disseminated on June 1, 2015, to the Court Information Technology Management Forum (CITMF). CITMF members are the IT leaders from each of the courts. Their responses were collected through June 19, 2015. Responses were obtained from 49 of the 53 members—a 92 percent response rate.

The survey sought to identify the existing resources, unmet needs, and near-future objectives of the courts, individually and collectively, and to determine how the branch might best facilitate solutions. The survey questionnaire was divided into two parts: the Disaster Recovery Framework Assessment and the Next-Generation Hosting Solutions Needs Assessment.

**Next-Generation Hosting Solutions Needs Assessment**
This assessment was designed to gather information on the following:

- Current practices regarding courts' hosting solutions;
- The considerations and requirements of courts in selecting new hosting solutions; and
- Envisioned court strategy for next-generation hosting, including specific products, services, and providers, along with general approaches, alternatives, and benefits.

**Disaster Recovery Framework Assessment**
The findings from this assessment, perhaps not surprisingly, disclose a broad range of approaches and readiness to address disaster responses, varying by court size and budget resources. The survey also shows that courts do not have only one way of hosting their systems, but use more than one hosting solution.

The following graphs outline the results of the next-generation hosting solutions section of the survey.

Next-Generation Hosting Framework California Judicial Branch

**Figure 1. Current judicial branch hosting solutions**
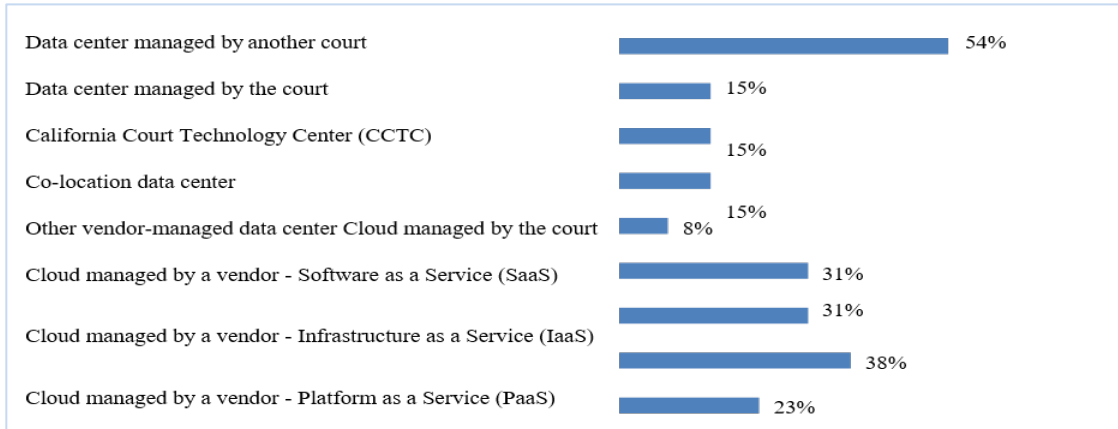


**Comments**

| # | Other (please specify) |
|---|---|
| 1 | County managed data center but all court equipment is court owned and managed. |
| 2 | Moving to Office 365. |
| 3 | We do have servers onsite at this court location; however, SAIC manages those servers. |
| 4 | We do lease some VMware VM's from our county partners. |

## Current Cloud/Virtualization Vendor Solutions

Figure 2 lists the vendors used by those courts utilizing cloud hosting. For purposes of this survey, cloud hosting refers to services provided to customers via multiple connected servers on the Internet that comprise a cloud, as opposed to being provided by a locally hosted single server or virtual servers.

**Figure 2. Cloud hosting vendors currently used by the courts (Responses: 38)**

Next-Generation Hosting Framework                                    California Judicial Branch
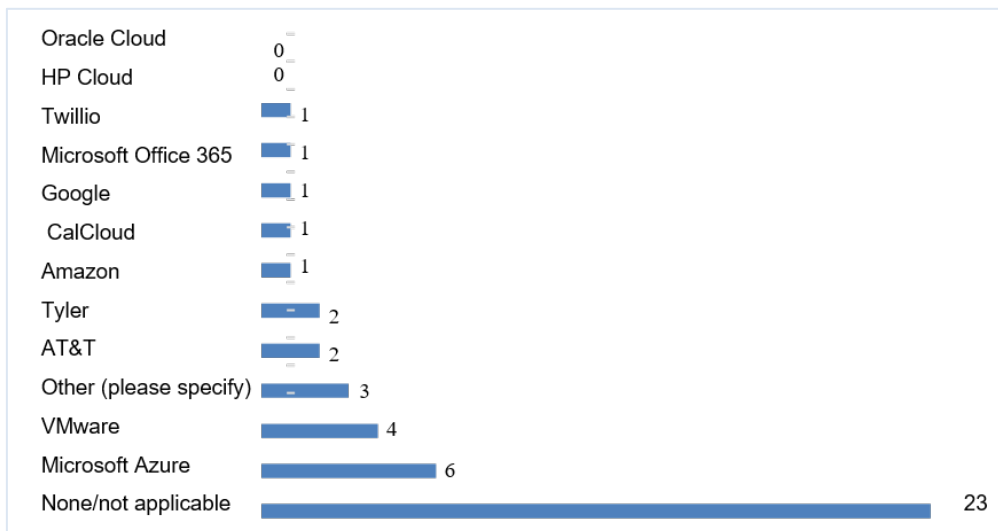
Other mentions included the following:

- "We use cloud hosting for inbound mail screening and forwarding."
- "Barracuda Backup is based both on site and in the cloud."
- "ADP–time and attendance, payroll, HR. Websites hosted at a web-hosting provider."

Figure 3 lists the virtualization technologies currently deployed in the courts. Virtualization in this context refers to the act of creating a virtual (rather than physical) version of a resource, including but not limited to a virtual computer hardware platform, operating system (OS), storage device, or computer network.

**Figure 3. Virtualization technologies currently deployed by the courts**

| Technology | Count |
|---|---|
| Solaris Containers | 0 |
| Redhat Enterprise Virtualization | 0 |
| Kernel-based Virtual Machine | 0 |
| IBM PowerVM | 0 |
| Solaris LDOM | 1 |
| HP | 1 |
| Other (please specify) | 3 |
| None/not applicable | 4 |
| Desktop virtualization | 7 |
| HyperV | 8 |
| Citrix | 10 |
| VMWare | 26 |
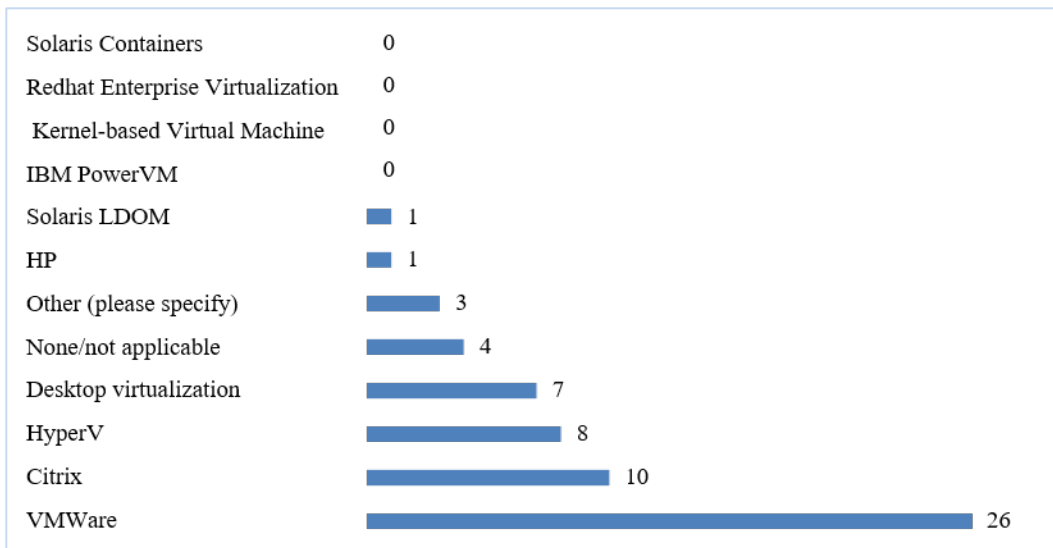
## Courts' Short-Term and Long-Term Goals

Of the court representatives who answered, 34 percent are planning to move to a different hosting solution, with most indicating the move should occur in one to five years. Roughly half of those planning to move to a different hosting solution are considering moving to a data center managed by the court (with one-third considering a combination of court and outsourced staff), and almost all responses indicated they were considering cloud management. The primary reason for making the move was improved cost efficiencies (62 percent).

Next-Generation Hosting Framework                                    California Judicial Branch

**Figure 4. Types of hosting solutions being considered**

| Hosting solution | Percentage |
|---|---|
| Data center managed by another court | 54% |
| Data center managed by the court | 15% |
| California Court Technology Center (CCTC) | 15% |
| Co-location data center | 15% |
| Other vendor-managed data center Cloud managed by the court | 8% |
| Cloud managed by a vendor - Software as a Service (SaaS) | 31% |
| Cloud managed by a vendor - Infrastructure as a Service (IaaS) | 31% |
| Cloud managed by a vendor - Platform as a Service (PaaS) | 38% |
| | 23% |

**Figure 5. Time frame for courts to move to new hosting solution**

- 5-10 Years 0%
- Currently changing hosting solutions 8%
- 3–5 years 42%
- 1-2 years 50%

9
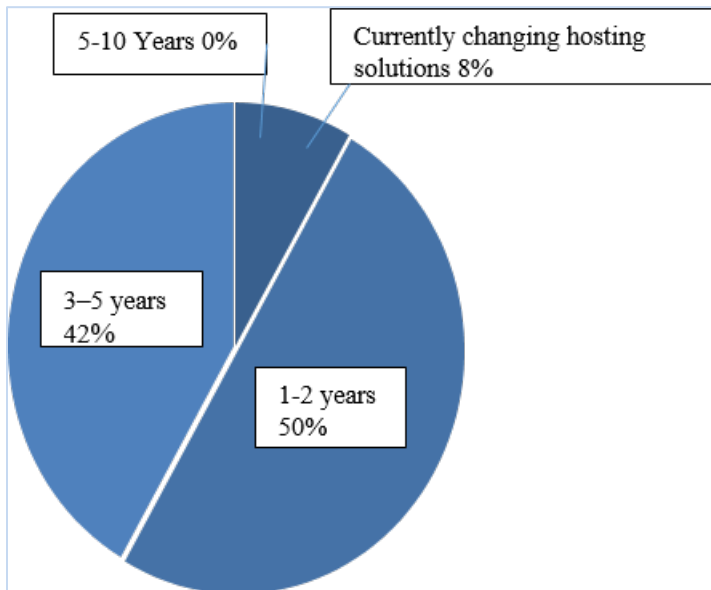
**Figure 6. Reasons courts are seeking a new hosting solution**
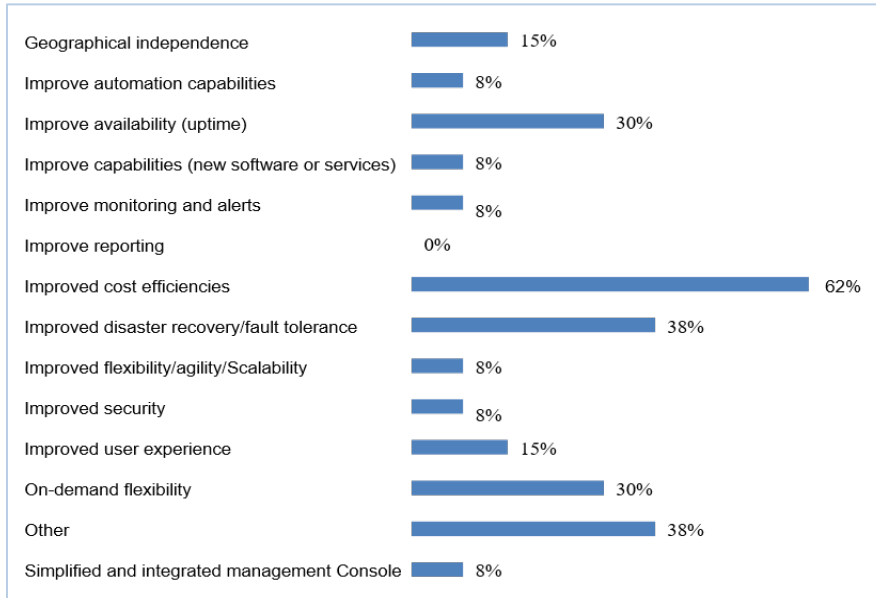


For those courts considering cloud hosting solutions, Figure 7 shows the vendors currently being considered.

**Figure 7. Vendors under consideration**
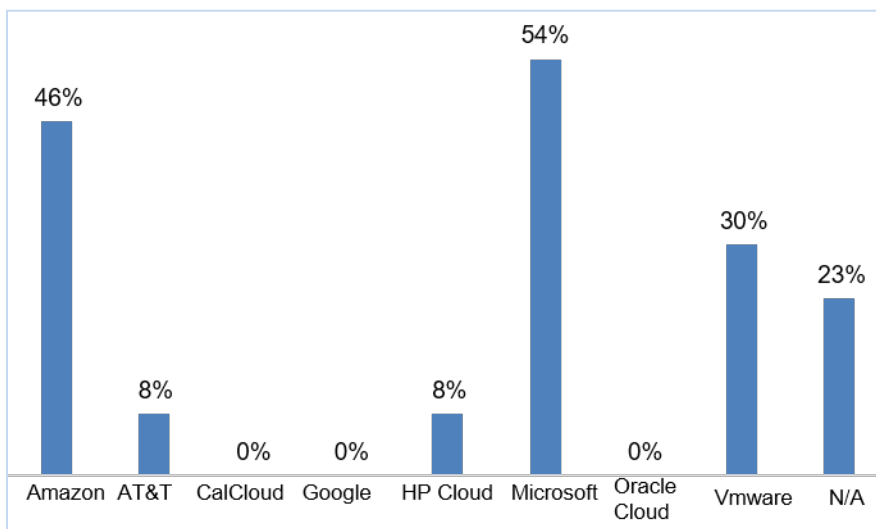


Lastly, it is important to analyze why some courts are not moving to new data center solutions. Figure 8 identifies some very clear reasons, such as no need, implementing a new case management system (CMS) (see "Other"), or no funding.

Next-Generation Hosting Framework                                        California Judicial Branch

**Figure 8. Reasons for courts not seeking a new hosting solution**
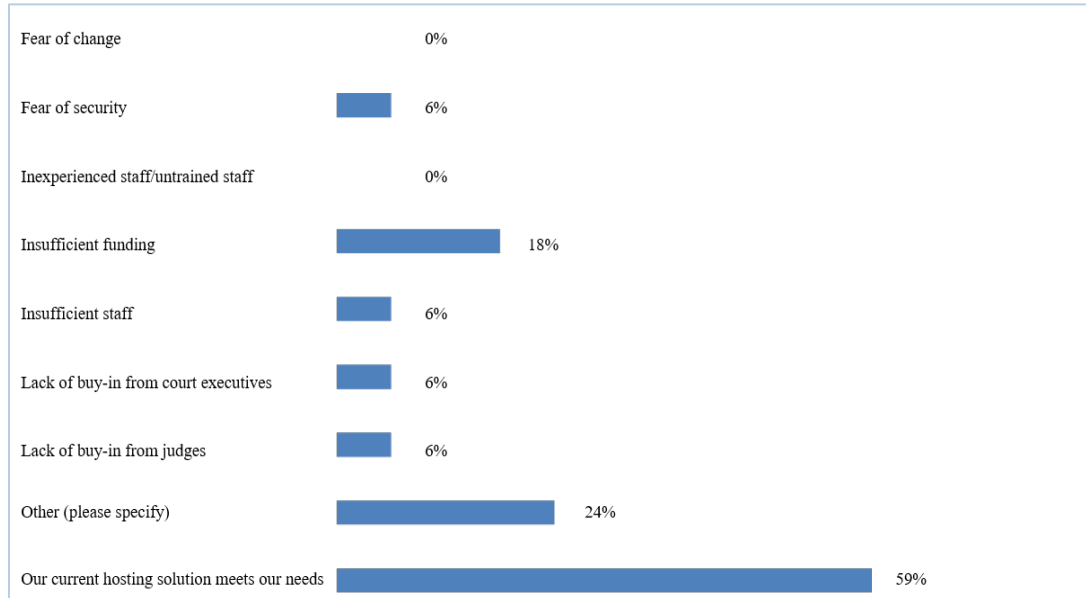


## Conclusion

Although the data was generated in 2015, it outlines several key elements that are still relevant:

- Of the 34 percent of the courts who are looking to move to a cloud hosting solution, 9 percent are looking to change within the next five years.
- 62 percent are looking to make a change for cost efficiencies.
- Many courts are already starting to work with vendors, such as Microsoft and Amazon, on cloud hosting solutions.
- 42 percent of courts are not seeking a new hosting solution due to insufficient funding, security fears, insufficient staff, or lack of buy-in from judges and court executives.

CITMF surveyed the courts again, in June 2016, on the use of Office 365, and 13 courts have now moved to that cloud-based solution—a significant change from 6 courts just one year prior.

## 3.3      ORGANIZATIONAL ASSUMPTIONS

The diversity of responses recorded in the data above demonstrate that courts have reached varying levels of technical maturity. As a result, the Next-Generation Hosting Workstream had to determine some basic assumptions to meet the goals and objectives set forth in the strategic and tactical plans. The workstream recognizes that while some of the assumptions may be broad in scope, they are necessary when determining a path to the future.

Assumptions:

- All courts are utilizing or moving to modern case management systems within the next five years.
- Current court facilities meet requirements for cloud hosting.
- Courts have adequate Internet bandwidth.
- Funding can be obtained.
- Resources will be determined based on the solution selected.

- ▪ Output from the Disaster Recovery Workstream will be utilized where appropriate.

## 3.4    DOCUMENTATION STRUCTURE

The Next-Generation Hosting Framework contains four key elements:

1. Recommended service-level definitions and time frames
2. A recommended court asset inventory sheet with court-defined service levels
3. A sample roadmap for long-term planning and a court roadmap template, including an estimate cost sheet for cloud-hosting solutions
4. A sample court asset inventory with service levels and a solution and budget estimate template

These documents are tools for courts use to define their data-hosting requirements and to create plans to move to a next-generation hosting data center.

# 4.0 PURPOSE OF NEXT-GENERATION HOSTING

As technology evolves, so do courts' needs and business practices. The courts' hosting model must partake in this evolution as well. Twenty-first century business and technology prioritizes accessibility and flexibility—a next-generation hosting solution is necessary for the courts to maintain these priorities for both its external and internal users. A new hosting solution can be accomplished through a combination of selective consolidation, virtualization, and implementation of secure private and public cloud hosting environments. The goal of this tactical initiative will be to determine an updated model for branchwide hosting, including all judicial branch entities.

The following tasks are recommended for the workstream:

- Outline industry best practices for hosting in an educational manner.
- Develop a matrix of solutions with pros, cons, and sample applications hosted, including costs.
- Produce a roadmap tool for use by courts in evaluating options.
- Consider an educational summit on hosting options and hold a summit, if appropriate.
- Identify the requirements for centralized hosting.
- Recommend a branch-level hosting strategy.

# 5.0  NEXT-GENERATION HOSTING OPTIONS AND BRANCH ASSETS

For each of the hosting solutions investigated by the technical team, the workstream created a list of pros and cons as well as a list of issues to be aware of in the selection of a hosting solution.

## 5.1  DATA CENTER OPTIONS

Based on a review of the hosting and disaster recovery assessments, as well as court ideas and strategies, the following solutions should be investigated:

- Private data center
  - A branch data center (centrally hosted)—CCTC model, Judicial Council managed, court managed
  - A court-hosted data center—court managed, limited size
    - Regional data centers
    - Regional applications
- Infrastructure as a service (cloud based)
- Software as a service (cloud based)
- Individual courts—hosting their own needs

### Branch Data Center: All Solution Models

For any branch data center solution, courts would still have servers/infrastructure required at the courthouse. The following on-premises solutions include:

- Active Directory
- File/document store(s)
- Database(s)—potentially some or all
- Interactive voice response (IVR)
- VoIP
- Jury
- Networking

### Branch Data Center: Vendor Hosted (Current CCTC Model)

| PROS | CONS |
|---|---|
| Provides full service, including desktop solutions | Needs a cost allocation model, which would come from a negotiation between the vendor and a judicial branch entity. This cost allocation model would be included in the contract. |
| Removes operational pressure from court | Licenses are not included and must be budgeted above and beyond hosting vendor services. This is in contrast to cloud service providers, which often bundle licenses into the overall service cost. |
| Vendor manages system patches and antivirus | Less direct control for the court |
| Vendor manages Active Directory for centrally hosted applications (e.g., V3) | Generally more costly |

| | |
|---|---|
| For courts hosted at CCTC, vendor can also manage any server that must remain locally at the court. | Very little input in specific technology architecture being deployed at data center. This inflexibility is due in part to standardization of technology in order to maximize economies of scale. More choice can be achieved but at higher cost. |
| Unlike in a fully managed hosting environment, courts are able to negotiate work with the vendor for updates, hardware refresh, etc. (e.g. Madera, Lake, San Benito, and Modoc Counties) like a local data center would with court users. | Connectivity costs for reliable circuit connection to CCTC |
| Local hardware choices can remain with court, such as servers and desktops. | Active Directory users end up with separate AD accounts and passwords. Active Directory trusts between hosted and local forests may prove to be problematic and tough to manage at a larger scale. |
| No need for in-depth technical knowledge within the court. | |

**Branch Data Center: Judicial Council Hosted**

When the workstream reviewed a Judicial Council–hosted data center, the concept generated many questions and concerns due to the level of complexity. Some of the key items that would need to be resolved include the following:

- A new governance structure would be required for security and network operations;
- Judicial Council staff would need to provide on-premises support services, contract with a vendor, or look to regional support;
- A new billing model would need to be created for courts; and
- An analysis would need to be conducted of the static costs of owning space versus another data center already in place.

| PROS | CONS |
|---|---|
| Larger quantity and better pricing | Judicial Council staff would have to hire subject matter experts |
| Branch is in full control of its branch assets | Courts would be limited to common requirements |
| All branch solutions in one location | Limited flexibility for being agile; must plan forward |
| Better pricing on software/hardware licensing | Connectivity cost |
| Will have the economies of scale of other hosting solutions such as Microsoft or Amazon. | |
| | Forecasting becomes more important for determining future cost |
| | Need to build out facility to specific standards; required to meet building codes |

## Branch Data Center: Virtual or Cloud

Once the workstream vetted the more traditional data center models, the complexity of the issues became very apparent, so the group focused on the most likely scenario for success, which is a hybrid of both an on-premises data center and a virtual data center. Because of the various requirements and technical diversity across the branch, utilizing a hybrid approach is the most realistic, with the long-term goal of virtualizing as much of the data center as possible.

| PROS | CONS |
|---|---|
| Good starting point for cloud hosting | Likely dependent on a single-vendor model |
| Provides agility and flexibility | Each court needs to have the expertise to work in a hybrid environment |
| Since two environments are available, disaster recovery can be more easily implemented | |

## Local Data Center

All courts today have their own local data center running most of their applications. If the court has the existing resources and expertise, the local data center may be a more cost-effective model than the cloud-hosting model.

Next-Generation Hosting Framework                                   California Judicial Branch

| PROS | CONS |
|---|---|
| Local control | May or may not be higher cost, depending on existing resources |
| Provides agility and flexibility | Requires onsite court resources |
| | Requires court data center |
| | Should adhere to building code requirements for data centers, which may be an additional expense for the courts |

### 5.2    SERVICE-LEVEL DEFINITIONS AND TIME FRAMES

In evaluating the types of hosting solutions, it is critical to define the judicial branch's hours of operation and service requirements. After evaluation of all of the current court services, the workstream is proposing judicial branch recommendations for hours of business, service-level definitions, and service-level time frames.

### Judicial branch–recommended hours of operation

Next-generation hosting services should be a 24/7 operation. While individual systems may incur planned outages for service and maintenance, the operational model for next-generation hosting should accommodate 24/7 service availability and incident-response resolution on any unscheduled outage. Advanced system monitoring and incident service-response capabilities are recommended to enable 24/7 operation.

### Judicial branch–recommended service-level definitions

- *Critical*—Damage or disruption to a service that would stop court operations, public access, or timely delivery of justice, with no viable workaround.
- *High*—Damage or disruption to a service that would hinder court operations, public access, or timely delivery of justice. A workaround is available, but may not be viable.
- *Medium*—Damage or disruption to a specific service that would impact a group of users, but has a viable workaround.
- *Basic*—Damage or disruption to a specific service that would not impact court operations, public access, or timely delivery of justice and a viable workaround is available.

### Judicial branch–recommended service-level agreement (SLA) time frames

| SLA Type | SLA Criteria | Local Data Center | Cloud |
|---|---|---|---|
| **Critical** | Max Time Recovery | 4 hours | 1 hours |
| **Critical** | Max Data Loss | 1 hour | 5 minutes |
| **High** | Max Time Recovery | 6 hours | 2 hours |

| High | Max Data Loss | 1 hour | 30 minutes |
|---|---|---|---|
| Moderate | Max Time Recovery | 24 hours | 24 hours |
| Moderate | Max Data Loss | 1 business day | 1 business day |
| Basic | Max Time Recovery | 48 hours | 48 hours |
| Basic | Max Data Loss | N/A | N/A |

These recommendations provide noticeably different SLA time standards between the local and cloud environments, with the standards for cloud hosts being significantly more stringent. Industry cloud providers have been able to offer these higher best practice standards and expectations given their enhanced capabilities and resource availability.

## 5.3    BRANCHWIDE ASSETS AND SERVICE LEVELS

In collaboration with the Disaster Recovery Workstream and court experts, the following list provides an inventory of court technology assets and recommended service levels in a live/production environment.

| Requirement | Recommended Service Level |
|---|---|
| **Infrastructure** | |
| Internet | Critical |
| Networking (switches/routers, firewalls), virtual, wireless, WAN, LAN, middleware) | Critical |
| Active Directory/DNS/DHCP | Critical |
| Servers (local, virtual, file, print) | Critical |
| Security device—ATT monitoring—internal/IDS | Critical |
| Virus protection | Critical |
| Storage | Critical |
| Middleware | High |
| Backup appliance | High |
| Desktops (local, virtual, thin client) | High |
| Load balancers | High |
| Proxies | High |
| UPS/generator/power | High |
| Data center cooling | High |
| Statewide security access parameters (all workstreams) | High |
| System monitoring/SolarWinds | High |
| Spam filter | Moderate |
| Public information kiosks/electronic signs | Moderate |
| Queueing system—Qmatic/Q-Flow | Moderate |

Next-Generation Hosting Framework                              California Judicial Branch

| Requirement | Recommended Service Level |
|---|---|
| **Infrastructure** | |
| Facilities automation | Moderate |
| Physical monitoring—temperature | Moderate |
| Helpdesk—IT systems | Moderate |

| Requirement | Recommended Service Level |
|---|---|
| **Systems** | |
| Case management | Critical |
| Jury management | Critical |
| Website—public service portal | Critical |
| E-filing | High |
| Communications/VoIP/analog/faxes | High |
| CCPOR/CLETS | High |
| DMV—justice partners, branch, and local (LAN/WAN—Connection) | High |
| IVR/call routing | High |
| Electronic/video recording and playback (FTR) | Moderate |
| Facilities requirements—assisted listening (ADA) | Moderate |
| Building access controls | Moderate |
| E-warrants_PC Dec/iPad/Magistrate phone | Moderate |
| Court Call/telephonic and video appearance | Moderate |
| Video remote interpreting (VRI) | Moderate |
| Physical security—video surveillance | Moderate |
| Video/meeting/conference systems | Basic |

| Requirement | Recommended Service Level |
|---|---|
| **Applications** | |
| E-mail/SMTP | High |
| Microsoft Office | High |
| Payroll systems—policy/union | Moderate |
| LexisNexis | Moderate |
| Westlaw | Moderate |
| Jury instructions | Moderate |

| | |
|---|---|
| Adobe (Acrobat) | Moderate |
| Xspouse | Moderate |
| Judicial workbench (CMS component) | Moderate |
| SAP/financial | Moderate |
| Mobile device management | Moderate |
| Real-time court reporting | Moderate |
| HR systems (non-SAP) | Moderate |
| Electronic evidence (policy) | Moderate |
| Computer-aided facilities management (CAFM) | Low |
| Web browser (Internet Explorer/Chrome) | Basic |
| Locally developed applications | Court discretion |

## 5.4    BRANCHWIDE NEXT-GENERATION RECOMMENDED SOLUTIONS

After careful review of the various solutions available, the workstream determined the two best solutions for moving forward were either local installation or cloud services. As previously noted, courts are still required to provide many local IT solutions, such as kiosks, network equipment, and local storage. However, the majority of the court applications can run in a cloud environment. If a court has the necessary infrastructure (Internet) and the cost is equal to or less than that of a local installation, the court should move to cloud-based services.

| Requirement | Applicable Solution | | |
|---|---|---|---|
| | **Local** | **Private Data Center** | **Cloud** |
| **Infrastructure** | | | |
| Internet | | | ✓ |
| Networking (switches/routers, firewalls), virtual, wireless, WAN, LAN, middleware) | ✓ | | ✓ |
| Servers (local, virtual, file, print) | ✓ | | ✓ |
| Security device—ATT monitoring—internal/IDS | ✓ | | ✓ |
| Virus protection | ✓ | | ✓ |
| Storage | ✓ | | ✓ |
| Active Directory/DNS/DHCP | ✓ | | ✓ |
| Middleware | ✓ | | ✓ |
| Backup appliance | ✓ | | ✓ |
| Desktops (local, virtual, thin client) | ✓ | | ✓ |
| Load balancers | ✓ | | ✓ |
| Proxies | ✓ | | ✓ |
| UPS/generator/power | ✓ | | |
| Data center cooling | ✓ | | |
| Statewide security access parameters (all workstreams) | ✓ | | ✓ |
| System monitoring/SolarWinds | ✓ | | ✓ |

Next-Generation Hosting Framework                                      California Judicial Branch

| | | | |
|---|:---:|:---:|:---:|
| Spam filter | | | ✓ |
| Public information kiosks/electronic signs | ✓ | | |
| Queueing system—Qmatic/Q-Flow | | | ✓ |
| Facilities automation | | | ✓ |
| Physical monitoring—temperature | | | ✓ |
| Helpdesk—IT systems | | | ✓ |

| Requirement | Applicable Solution | | |
|---|:---:|:---:|:---:|
| | Local | Private Data Center | Cloud |
| **Systems** | | | |
| Case management | ✓ | ✓ | ✓ |
| Jury management | ✓ | | ✓ |
| Website—public service portal | | | ✓ |
| E-filing | | | ✓ |
| Communications/VoIP/analog/faxes | ✓ | | |
| CCPOR/CLETS | | | ✓ |
| DMV—justice partners, branch, and local (LAN/WAN—Connect) | ✓ | | |
| IVR/call routing | ✓ | | ✓ |
| Video/meeting/conference systems | | | ✓ |
| Electronic/video recording and playback (FTR) | ✓ | | ✓ |
| Facilities requirements—assisted listening (ADA) | ✓ | | |
| Building access controls | ✓ | | |
| E-warrants_PC Dec/iPad/Magistrate phone | | | ✓ |
| Court Call/telephonic and video appearance | | | ✓ |
| Video remote interpreting (VRI) | | | ✓ |
| Physical security—video surveillance | ✓ | | ✓ |

| Requirement | Applicable Solution | | |
|---|:---:|:---:|:---:|
| | Local | Private Data Center | Cloud |
| **Applications** | | | |
| E-mail/SMTP | | | ✓ |
| Microsoft Office | ✓ | | ✓ |
| Payroll systems—policy/union | | | ✓ |
| LexisNexis | | | ✓ |
| Westlaw | | | ✓ |
| Jury instructions | ✓ | | ✓ |

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Next-Generation Hosting Framework                                    California Judicial Branch

| Requirement | Applicable Solution | | |
| --- | --- | --- | --- |
| | Local | Private Data Center | Cloud |
| Adobe (Acrobat) | | | ✓ |
| Xspouse | | | ✓ |
| Judicial workbench (CMS component) | | | ✓ |
| SAP/financial | | | ✓ |
| Mobile device management | | | ✓ |
| Real-time court reporting | ✓ | | |
| HR systems (non-SAP) | | | ✓ |
| Electronic evidence (policy) | ✓ | | ✓ |
| CAFM | | | ✓ |
| Web browser (Internet Explorer/Chrome) | | | ✓ |
| Locally developed applications** | ✓ | | ✓ |

# 6.0   BRANCHWIDE RECOMMENDATIONS

The Next-Generation Hosting Workstream provides its recommendations based on the business and operational needs of the courts and has created a framework within which they may make decisions on what will be best for their needs. The workstream recognizes industry standards and other initiatives that may already be in place to address key considerations such as security, performance, or disaster recovery in order to safely adopt cloud solutions.

After significant analysis, the workstream has determined the following recommendations for the Information Technology Advisory Committee and the Judicial Council Technology Committee:

- If the courts have the ability and the opportunity, and the cost is less than a local solution, they should move to a cloud solution;
- Adopt the recommended branch service levels and hours of operation for all data center solutions;
- Do not proceed with a VMware vendor for a branchwide agreement;
- When a technology change occurs that impacts the branch and provides an opportunity for improved support, a corresponding support model should be developed;
- Approve Phase 2 of the Next-Generation Hosting Framework, including pilot court and cloud service agreements;
- Microsoft is the office and e-mail standard across the branch, whether using Exchange or Office 365; and
- Host a webinar for courts to learn about the Next-Generation Hosting Framework.

# 7.0  USING THE NEXT-GENERATION HOSTING FRAMEWORK

### 7.1  RECOMMENDED SERVICE LEVELS, INVENTORY ASSETS, AND SOLUTIONS

See Attachment A

### 7.2  INVENTORY CHECKLIST TEMPLATE

See Attachment B.

### 7.3  TECHNOLOGY ROADMAP TEMPLATE

See Attachment C.

# NEXT GENERATION HOSTING JUDICIAL BRANCH RECOMMENDATIONS

## Hours of Operation

Data center operations and availability is 24 hours a day, 7 days a week.

## Service level definitions

Critical: damage or disruption to a service that would stop court operations, public access or timely delivery of justice, with no viable work-around.

High: damage or disruption to a service that would hinder court operations, public access or timely delivery of justice.  A work-around is available, but may not be viable.
Medium: damage or disruption to a specific service that would impact a group of users, but has a viable work-around.
Systems Support: damage or disruption to a specific service that would not impact court operations, public access or timely delivery of justice and a viable work-around is available.

## Production service level agreement times

| SLA Type | SLA Criteria | Local Data Center | Cloud |
|---|---|---|---|
| **Critical** | Max Time Recovery | 4 hours | 1 hours |
| **Critical** | Max Data Loss | 1 hour | 5 minutes |
| **High** | Max Time Recovery | 6 hours | 2 hours |
| **High** | Max Data Loss | 1 hour | 30 minutes |
| **Moderate** | Max Time Recovery | 24 hours | 24 hours |
| **Moderate** | Max Data Loss | 1 Business day | 1 Business day |
| **Basic** | Max Time Recovery | 48 hours | 48 hours |
| **Basic** | Max Data Loss | N/A | N/A |

## Inventory Assets with Services Level and viable solution

| Requirement | Service Level | Applicable Solution | | |
|---|---|---|---|---|
| | | Local | Private Data Center | Cloud |
| **Infrastructure** | | | | |
| Internet | Critical | | | ✓ |
| Networking (switches/routers, Firewalls), Virtual, Wireless, WAN, LAN, Middleware) | Critical | ✓ | | ✓ |
| Servers (local, virtual, File, Print) | Critical | ✓ | | ✓ |
| Security Device- ATT Monitoring-Internal/IDS | Critical | ✓ | | ✓ |
| Virus protection | Critical | ✓ | | ✓ |
| Storage | Critical | ✓ | | ✓ |
| Active Directory/DNS/DHCP | Critical | ✓ | | ✓ |
| Middleware | High | ✓ | | ✓ |
| Back-up Appliance | High | ✓ | | ✓ |
| Desktops (Local, virtual, thin client) | High | ✓ | | ✓ |
| Load Balancers | High | ✓ | | ✓ |
| Proxy's | High | ✓ | | ✓ |
| UPS/Generator/ Power | High | ✓ | | |
| Data center Cooling | High | ✓ | | |
| Statewide Security Access parameters (All workstreams) | High | ✓ | | ✓ |
| System Monitoring/Solarwinds | High | ✓ | | ✓ |
| Spam filter | Moderate | | | ✓ |
| Public Information Kiosks / Electronic signs | Moderate | ✓ | | |
| Queueing system- Qmatic/Qflow | Moderate | | | ✓ |
| Facilities automation | Moderate | | | ✓ |
| Physical Monitoring-Temperature | Moderate | | | ✓ |
| Helpdesk- IT Systems | Moderate | | | ✓ |

| Requirement | Service Level | Applicable Solution | | |
|---|---|---|---|---|
| | | Local | Private Data Center | Cloud |
| **Systems** | | | | |
| Case Management | Critical | ✓ | ✓ | ✓ |
| Jury Management | Critical | ✓ | | ✓ |
| Website - Public Service Portal | Critical | | | ✓ |
| E-filing | High | | | ✓ |
| Communications/VoIP/Analog/Faxes | High | ✓ | | |
| CCPOR/CLETS | High | | | ✓ |
| DMV- Justice Partners Branch and local (Lan/Wan- Connect) | High | ✓ | | |
| IVR/Call Routing | High | ✓ | | ✓ |
| Video/Meeting/Conference Systems | Basic | | | ✓ |
| Electronic/Video Recording and Playback (FTR) | Moderate | ✓ | | ✓ |
| Facilities Requirements- Assisted Listening (ADA) | Moderate | ✓ | | |
| Building Access Controls | Moderate | ✓ | | |
| E-Warrants_PC Dec/Ipad/Magistrate phone | Moderate | | | ✓ |
| Court Call/Telephonic/Video appearance | Moderate | | | ✓ |
| VRI - Video Remote Interpreting | Moderate | | | ✓ |
| Physical Security- Video Surv. | Moderate | ✓ | | ✓ |

| Requirement | Service Level | Applicable Solution | | |
| --- | --- | --- | --- | --- |
| | | Local | Private Data Center | Cloud |
| **Applications** | | | | |
| E-Mail/SMTP | High | | | ✓ |
| MS Office | High | ✓ | | ✓ |
| Payroll Systems- Policy/Union | Moderate | | | ✓ |
| Lexis Nexis | Moderate | | | ✓ |
| West Law | Moderate | | | ✓ |
| Jury Instructions | Moderate | ✓ | | ✓ |
| Adobe (Acrobat) | Moderate | | | ✓ |
| X-spouse | Moderate | | | ✓ |
| Judicial workbench (CMS Component) | Moderate | | | ✓ |
| SAP/Financial | Moderate | | | ✓ |
| Mobile device management | Moderate | | | ✓ |
| Real-time court reporting | Moderate | ✓ | | |
| HR Systems (Non-SAP) | Moderate | | | ✓ |
| Electronic Evidence (Policy) | Moderate | ✓ | | ✓ |
| CAFM | Basic | | | ✓ |
| Web browser (Internet Explorer/Chrome) | Basic | | | ✓ |
| Locally developed applications** | Court discretion | ✓ | | ✓ |

## Roadmap Pricing Matrix (will be finalized with Phase 2):

| Requirement | Service Level | Cloud Solution | | | |
|---|---|---|---|---|---|
| | | X-Large /Branch | Large | Medium | Small |
| **Infrastructure** | | | | | |
| Internet | Critical | ✓ | | | $$ |
| Networking (switches/routers, Firewalls), Virtual, Wireless, WAN, LAN, Middleware) | Critical | ✓ | | | |
| Servers (local, virtual, File, Print) | Critical | ✓ | | | $ |
| Security Device- ATT Monitoring-Internal/IDS | Critical | ✓ | | | $$ |
| Virus protection | Critical | ✓ | | | |
| Storage | Critical | ✓ | | | |
| Active Directory/DNS/DHCP | Critical | ✓ | $$ | $$ | |
| Middleware | High | ✓ | | | |
| Back-up Appliance | High | ✓ | $ | | |
| Desktops (Local, virtual, thin client) | High | ✓ | | | |
| Load Balancers | High | ✓ | | | |
| Proxy's | High | ✓ | | | |
| UPS/Generator/ Power | High | | | | |
| Data center Cooling | High | | | | |
| Statewide Security Access parameters (All workstreams) | High | ✓ | | | |
| System Monitoring/Solarwinds | High | ✓ | $ | $$ | $ |
| Spam filter | Moderate | ✓ | $ | | |
| Public Information Kiosks / Electronic signs | Moderate | | | | |
| Queueing system- Qmatic/Qflow | Moderate | ✓ | | | |
| Facilities automation | Moderate | ✓ | | | |
| Physical Monitoring-Temperature | Moderate | ✓ | | | |
| Helpdesk- IT Systems | Moderate | ✓ | | | |

| Extra Large /Branch | | | | Medium Court: | | |
|---|---|---|---|---|---|---|
| | $$$ | $1,000,000-$5,000,000 | | | $$$ | $150,000-$250,000 |
| | $$ | $200,000-$999,999 | | | $$ | $50,000-$150,000 |
| | $ | $15,000-$199,999 | | | $ | $5,000-$50,000 |
| | | | | Small Court: | | |
| Large Court: | $$$ | $250,000-$500,000 | | | $$$ | $30,000-$60,000 |
| | $$ | $xxxxxx.xx-$xxxxx | | | $$ | $10,000-$30,000 |
| | $ | $xxxxxx.xx-$xxxxx | | | $ | $1,000-$10,000 |

| Requirement | Service Level | Cloud | | | | |
|---|---|---|---|---|---|---|
| **Systems** | | | X-Large /Branch | Large | Medium | Small |
| Case Management | Critical | ✓ | $$$ | $$$ | $$$ | $$$ |
| Jury Management | Critical | ✓ | $$ | | $$ | $ |
| Website - Public Service Portal | Critical | ✓ | $$ | | $ | |
| E-filing | High | ✓ | $$ | | | |
| Communications/VoIP/Analog/Faxes | High | | | | | |
| CCPOR/CLETS | High | ✓ | | | | |
| DMV- Justice Partners Branch and local (Lan/Wan- Connect) | High | | | | | |
| IVR/Call Routing | High | ✓ | | | | |
| Video/Meeting/Conference Systems | Basic | ✓ | | | | $ |
| Electronic/Video Recording and Playback (FTR) | Moderate | ✓ | | | | |
| Facilities Requirements- Assisted Listening (ADA) | Moderate | | | | | |
| Building Access Controls | Moderate | | | | | |
| E-Warrants/ PC Dec/Ipad/Magistrate phone | Moderate | ✓ | | | | |
| Court Call/Telephonic/Video appearance | Moderate | ✓ | | | | |
| VRI - Video Remote Interpreting | Moderate | ✓ | | | | $ |
| Physical Security- Video Surveillance | Moderate | ✓ | | | | |

**Extra Large /Branch**
$$$   $1,000,000-$5,000,000
$$   $200,000-$999,999
$   $15,000-$199,999

**Large Court:**
$$$   $250,000-$500,000
$$   $xxxxxx.xx-$xxxxx
$   $xxxxxx.xx-$xxxxx

**Medium Court:**
$$$   $150,000-$250,000
$$   $50,000-$150,000
$   $5,000-$50,000

**Small Court:**
$$$   $30,000-$60,000
$$   $10,000-$30,000
$   $1,000-$10,000

| Requirement | Service Level | Cloud | | | | |
|---|---|---|---|---|---|---|
| **Applications** | | | X-Large /Branch | Large | Medium | Small |
| E-Mail/SMTP | High | ✓ | $$ O365 | $$$ O365 | $ Email | $$ O365 |
| MS Office | High | ✓ | | | | |
| Payroll Systems- Policy/Union | Moderate | ✓ | | | | $ |
| Lexis Nexis | Moderate | ✓ | | | | $ |
| West Law | Moderate | ✓ | | | | $ |
| Jury Instructions | Moderate | ✓ | | | | |
| Adobe (Acrobat) | Moderate | ✓ | | | | |
| X-spouse | Moderate | ✓ | | | | |
| Judicial workbench (CMS Component) | Moderate | ✓ | | | | |
| SAP/Financial | Moderate | ✓ | | | | |
| Mobile device management | Moderate | ✓ | | | | |
| Real-time court reporting | Moderate | | | | | |
| HR Systems (Non-SAP) | Moderate | ✓ | | | | |
| Electronic Evidence (Policy) | Moderate | ✓ | | | | |
| CAFM | Basic | ✓ | | | | |
| Web browser (Internet Explorer/Chrome) | Basic | ✓ | | | | |
| Locally developed applications** | Court discretion | ✓ | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Extra Large /Branch** | $$$ | $1,000,000-$5,000,000 | | **Medium Court:** | $$$ | $150,000-$250,000 |
| | $$ | $200,000-$999,999 | | | $$ | $50,000-$150,000 |
| | $ | $15,000-$199,999 | | | $ | $5,000-$50,000 |
| **Large Court:** | $$$ | $250,000-$500,000 | | **Small Court:** | $$$ | $30,000-$60,000 |
| | $$ | $xxxxxx.xx-$xxxxx | | | $$ | $10,000-$30,000 |
| | $ | $xxxxxx.xx-$xxxxx | | | $ | $1,000-$10,000 |

## Court Data Center Inventory list and Service Levels

| Recommend Service Level | | | | Court Defined Service Level | | | |
|---|---|---|---|---|---|---|---|
| SLA Type | SLA Criteria | Local Data Center | Cloud | SLA Type | SLA Criteria | Local Data Center | Cloud |
| Critical | Max Time Recovery | 4 hours | 1 hours | Critical | Max Time Recovery | | |
| Critical | Max Data Loss | 1 hour | 5 minutes | Critical | Max Data Loss | | |
| High | Max Time Recovery | 6 hours | 2 hours | High | Max Time Recovery | | |
| High | Max Data Loss | 1 hour | 30 minutes | High | Max Data Loss | | |
| Moderate | Max Time Recovery | 24 hours | 24 hours | Moderate | Max Time Recovery | | |
| Moderate | Max Data Loss | 1 Business day | 1 Business day | Moderate | Max Data Loss | | |
| Basic | Max Time Recovery | 48 hours | 48 hours | Basic | Max Time Recovery | | |
| Basic | Max Data Loss | N/A | N/A | N/A | N/A | | |

| Requirement | Recommend Service Level | Court Service Level | Applicable Solution | | Estimated Amount $$ from Road Map | | | |
|---|---|---|---|---|---|---|---|---|
| | | | Local | Cloud | Year 1 | Year 2 | Year 3 | Year 4 |
| **Infrastructure** | | | | | | | | |
| Internet | Critical | | | | | | | |
| Networking (switches/routers, Firewalls), Virtual, Wireless, WAN, LAN, Middleware) | Critical | | | | | | | |
| Servers (local, virtual, File, Print) | Critical | | | | | | | |
| Security Device- ATT Monitoring-Internal/IDS | Critical | | | | | | | |
| Virus protection | Critical | | | | | | | |
| Storage | Critical | | | | | | | |
| Active Directory/DNS/DHCP | Critical | | | | | | | |
| Middleware | High | | | | | | | |
| Back-up Appliance | High | | | | | | | |
| Desktops (Local, virtual, thin client) | High | | | | | | | |
| Load Balancers | High | | | | | | | |
| Proxy's | High | | | | | | | |
| UPS/Generator/ Power | High | | | | | | | |
| Data center Cooling | High | | | | | | | |
| Statewide Security Access parameters (All workstreams) | High | | | | | | | |
| System Monitoring/Solarwinds | High | | | | | | | |
| Spam filter | Moderate | | | | | | | |
| Public Information Kiosks / Electronic signs | Moderate | | | | | | | |
| Queueing system- Qmatic/Qflow | Moderate | | | | | | | |
| Facilities automation | Moderate | | | | | | | |
| Physical Monitoring-Temperature | Moderate | | | | | | | |
| Helpdesk- IT Systems | Moderate | | | | | | | |
| | | | | | $0.00 | $0.00 | $0.00 | $0.00 |
| | | | | **ESTIMATED STRATEGIC BUDGET** | | | | **$0.00** |

| Requirement | Recommend Service Level | Court Service Level | Applicable Solution | | Estimated Amount $$ from Road Map | | | |
|---|---|---|---|---|---|---|---|---|
| | | | Local | Cloud | Year 1 | Year 2 | Year 3 | Year 4 |
| **Systems** | | | | | | | | |
| Case Management | Critical | | | | | | | |
| Jury Management | Critical | | | | | | | |
| Website - Public Service Portal | Critical | | | | | | | |
| E-filing | High | | | | | | | |
| Communications/VoIP/Analog/Faxes | High | | | | | | | |
| CCPOR/CLETS | High | | | | | | | |
| DMV- Justice Partners Branch and local (Lan/Wan- Connec | High | | | | | | | |
| IVR/Call Routing | High | | | | | | | |
| Video/Meeting/Conference Systems | Basic | | | | | | | |
| Electronic/Video Recording and Playback (FTR) | Moderate | | | | | | | |
| Facilities Requirements- Assisted Listening (ADA) | Moderate | | | | | | | |
| Building Access Controls | Moderate | | | | | | | |
| E-Warrants_PC Dec/Ipad/Magistrate phone | Moderate | | | | | | | |
| Court Call/Telephonic/Video appearance | Moderate | | | | | | | |
| VRI - Video Remote Interpreting | Moderate | | | | | | | |
| Physical Security- Video Surv. | Moderate | | | | | | | |
| | | | | | $0.00 | $0.00 | $0.00 | $0.00 |
| | | | | **ESTIMATED STRATEGIC BUDGET** | | | | $0.00 |

| Requirement | Recommend Service Level | Court Service Level | Applicable Solution | | Estimated Amount $$ from Road Map | | | |
|---|---|---|---|---|---|---|---|---|
| | | | Local | Cloud | Year 1 | Year 2 | Year 3 | Year 4 |
| **Applications** | | | | | | | | |
| E-Mail/SMTP | High | | | | | | | |
| MS Office | High | | | | | | | |
| Payroll Systems- Policy/Union | Moderate | | | | | | | |
| Lexis Nexis | Moderate | | | | | | | |
| West Law | Moderate | | | | | | | |
| Jury Instructions | Moderate | | | | | | | |
| Adobe (Acrobat) | Moderate | | | | | | | |
| X-spouse | Moderate | | | | | | | |
| Judicial workbench (CMS Component) | Moderate | | | | | | | |
| SAP/Financial | Moderate | | | | | | | |
| Mobile device management | Moderate | | | | | | | |
| Real-time court reporting | Moderate | | | | | | | |
| HR Systems (Non-SAP) | Moderate | | | | | | | |
| Electronic Evidence (Policy) | Moderate | | | | | | | |
| CAFM | Basic | | | | | | | |
| Web browser (Internet Explorer/Chrome) | Basic | | | | | | | |
| Locally developed applications** | Court discretion | | | | | | | |
| | | | | | $0.00 | $0.00 | $0.00 | $0.00 |
| | | | | **ESTIMATED STRATEGIC BUDGET** | | | | $0.00 |

**SAMPLE ROADMAP**
*Costs are samples from existing trial courts*

Budget Year 1: $200,000  Budget Year 2: $300,000  Budget Year 3: $250,000  Budget Year 4: $250,000.00

| Requirement | Service Level | | Cloud Solution | | | |
|---|---|---|---|---|---|---|
| **Infrastructure** | | | X-Large/Branch | Large | Medium | Small |
| Internet | Critical | ✓ | | | | $$ |
| Networking (switches/routers, Firewalls), Virtual, Wireless, WAN, LAN, Middleware) | Critical | ✓ | | | | |
| Servers (local, virtual, File, Print) | Critical | ✓ | | | | $ |
| Security Device- ATT Monitoring-Internal/IDS | Critical | ✓ | | | | $$ |
| Virus protection | Critical | ✓ | | | | |
| Storage | Critical | ✓ | | | | |
| Active Directory/DNS/DHCP | Critical | ✓ | $$ | | $$ | |
| Middleware | High | ✓ | | | | |
| Back-up Appliance | High | ✓ | $ | | | |
| Desktops (Local, virtual, thin client) | High | ✓ | | | | |
| Load Balancers | High | ✓ | | | | |
| Proxy's | High | ✓ | | | | |
| UPS/Generator/ Power | High | | | | | |
| Data center Cooling | High | | | | | |
| Statewide Security Access parameters (All workstreams) | High | ✓ | | | | |
| System Monitoring/Solarwinds | High | ✓ | $ | | $$ | $ |
| Spam filter | Moderate | ✓ | $ | | | |
| Public Information Kiosks / Electronic signs | Moderate | | | | | |
| Queueing system- Qmatic/Qflow | Moderate | ✓ | | | | |
| Facilities automation | Moderate | ✓ | | | | |
| Physical Monitoring-Temperature | Moderate | ✓ | | | | |
| Helpdesk- IT Systems | Moderate | ✓ | | | | |

| Extra Large/Branch | $$$ | $1,000,000-$5,000,000 | | Medium Court: | $$$ | $150,000-$250,000 |
|---|---|---|---|---|---|---|
| | $$ | $200,000-$999,999 | | | $$ | $50,000-$150,000 |
| | $ | $15,000-$199,999 | | | $ | $5,000-$50,000 |
| Large Court: | $$$ | $250,000-$500,000 | | Small Court: | $$$ | $30,000-$60,000 |
| | $$ | $xxxxxx.xx-$xxxxx | | | $$ | $10,000-$30,000 |
| | $ | $xxxxxx.xx-$xxxxx | | | $ | $1,000-$10,000 |

| Requirement | Service Level | | Cloud | | | |
|---|---|---|---|---|---|---|
| **Systems** | | | | | | |
| Case Management | Critical | ✓ | $$$ | $$$ | $$$ | $$$ |
| Jury Management | Critical | ✓ | $$ | | $$ | $ |
| Website - Public Service Portal | Critical | ✓ | $$ | | $ | |
| E-filing | High | ✓ | $$ | | | |
| Communications/VoIP/Analog/Faxes | High | | | | | |
| CCPOR/CLETS | High | ✓ | | | | |
| DMV- Justice Partners Branch and local (Lan/Wan- Connect) | High | | | | | |
| IVR/Call Routing | High | ✓ | | | | |
| Video/Meeting/Conference Systems | Basic | ✓ | | | | $ |
| Electronic/Video Recording and Playback (FTR) | Moderate | ✓ | | | | |
| Facilities Requirements- Assisted Listening (ADA) | Moderate | | | | | |
| Building Access Controls | Moderate | | | | | |
| E-Warrants_PC Dec/Ipad/Magistrate phone | Moderate | ✓ | | | | |
| Court Call/Telephonic/Video appearance | Moderate | ✓ | | | | |
| VRI - Video Remote Interpreting | Moderate | ✓ | | | | $ |
| Physical Security- Video Surv. | Moderate | ✓ | | | | |

| Extra Large/Branch | $$$ | $1,000,000-$5,000,000 | | Medium Court: | $$$ | $150,000-$250,000 |
|---|---|---|---|---|---|---|
| | $$ | $200,000-$999,999 | | | $$ | $50,000-$150,000 |
| | $ | $15,000-$199,999 | | | $ | $5,000-$50,000 |
| Large Court: | $$$ | $250,000-$500,000 | | Small Court: | $$$ | $30,000-$60,000 |
| | $$ | $xxxxxx.xx-$xxxxx | | | $$ | $10,000-$30,000 |
| | $ | $xxxxxx.xx-$xxxxx | | | $ | $1,000-$10,000 |

| Requirement | Service Level | | Cloud | | | |
|---|---|---|---|---|---|---|
| **Applications** | | | | | | |
| E-Mail/SMTP | High | ✓ | $$ O365 | $$$ O365 | $ (Email Only) | $$ O365 |
| MS Office | High | ✓ | | | | |
| Payroll Systems- Policy/Union | Moderate | ✓ | | | | $ |
| Lexis Nexis | Moderate | ✓ | | | | $ |
| West Law | Moderate | ✓ | | | | $ |
| Jury Instructions | Moderate | ✓ | | | | |
| Adobe (Acrobat) | Moderate | ✓ | | | | |
| X-spouse | Moderate | ✓ | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| Judicial workbench (CMS Component) | Moderate | ✓ | | | | |
| SAP/Financial | Moderate | ✓ | | | | |
| Mobile device management | Moderate | ✓ | | | | |
| Real-time court reporting | Moderate | | | | | |
| HR Systems (Non-SAP) | Moderate | ✓ | | | | |
| Electronic Evidence (Policy) | Moderate | ✓ | | | | |
| CAFM | Basic | ✓ | | | | |
| Web browser (Internet Explorer/Chrome) | Basic | ✓ | | | | |
| Locally developed applications** | Court discretion | ✓ | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Extra Large/Branch** | $$$ | $1,000,000-$5,000,000 | | **Medium Court:** | $$$ | $150,000-$250,000 |
| | $$ | $200,000-$999,999 | | | $$ | $50,000-$150,000 |
| | $ | $15,000-$199,999 | | | $ | $5,000-$50,000 |
| **Large Court:** | $$$ | $250,000-$500,000 | | **Small Court:** | $$$ | $30,000-$60,000 |
| | $$ | $xxxxxx.xx-$xxxxx | | | $$ | $10,000-$30,000 |
| | $ | $xxxxxx.xx-$xxxxx | | | $ | $1,000-$10,000 |

| Requirement | Recommended Service Level |
|---|---|
| **Infrastructure** | |
| | |
| Internet | Critical |
| Networking (switches/routers, Firewalls), Virtual, Wireless, WAN, LAN, Middleware) | Critical |
| Active Directory/DNS/DHCP | Critical |
| Servers (local, virtual, File, Print) | Critical |
| Security Device- ATT Monitoring-Internal/IDS | Critical |
| Virus protection | Critical |
| Storage | Critical |
| Middleware | High |
| Back-up Appliance | High |
| Desktops (Local, virtual, thin client) | High |
| Load Balancers | High |
| Proxy's | High |
| UPS/Generator/ Power | High |
| Data center Cooling | High |
| Statewide Security Access parameters (All workstreams) | High |
| System Monitoring/Solarwinds | High |
| Spam filter | Moderate |
| Public Information Kiosks / Electronic signs | Moderate |
| Queueing system- Qmatic/Qflow | Moderate |
| Facilities automation | Moderate |
| Physical Monitoring-Temperature | Moderate |
| Helpdesk- IT Systems | Moderate |

# ITAC Next-Generation Hosting Workstream
## Branch Comment on Next-Generation Hosting Framework Guide
All comments are verbatim unless indicated by an asterisk (*).

| | Commentator | Position | Comment | Committee Response |
|---|---|---|---|---|
| 1 | Kevin Lane / Alex Lesberg 4th District Court of Appeal | NI | Overall comment about section 5.3. Since this is a framework/standards document, should we not remove mention of specific vendors? | The framework makes recommendations based upon the strategic and tactical plan and the likelihood for achieving the defined goals and objectives. These are not mandatory requirements but rather a common framework that can be leveraged to help individual courts identify some hosting solutions, or vendors that may be appropriate for their environments. Thus, the workstream did not incorporate revisions related to this comment. |
| 2 | Kevin Lane / Alex Lesberg 4th District Court of Appeal | NI | *(Re: Sec. 5.4 Table headings)* This is the first time that this term "private data center" appears in this doc. Terminology should be consistent and should be defined. Should these headings match the defined data center types from section 5.1? | The workstream agreed with the commenter and has updated section 5.1 to clarify private data center options, providing further definition. |
| 3 | Kevin Lane / Alex Lesberg 4th District Court of Appeal | NI | *(Re: Sec. 6.0 bullet #6)* This bullet is confusing. Is this referring to Microsoft as the preferred vendor? Or does this mean that Microsoft Office is the standard productivity software suite? | The workstream is recommending Microsoft as the preferred vendor in order to maximize overall benefit to the branch. No further revisions were incorporated. |
| 4 | Kevin Lane / Alex Lesberg 4th District Court of Appeal | NI | * General editing suggestion: Remove "trial" from "trial courts" | The workstream agreed with the commenter and updated the document to reflect application to all courts. "Trial" was removed, as suggested. |

1  Positions:  A = Agree; AM = Agree if modified; N = Do not agree; NI = Not indicated.

# ITAC Next-Generation Hosting Workstream
## Branch Comment on Next-Generation Hosting Framework Guide

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

| | Commentator | Position | Comment | Committee Response |
|---|---|---|---|---|
| 5 | Felix Castuera<br>1st District Court of Appeal | A | Our court is on board with the recommendation to utilize cloud computing in the future. It makes sense for all courts to utilize other companies that offer cloud computing to minimize costs and at the same time improve services. The First District had implemented a light version of the proposed hybrid solution with Microsoft OneDrive. Our court still uses local servers, and at the same time, offers our staff the capability to save, access, and edit documents remotely through OneDrive. | The workstream supports this comment. No revisions were required related to this comment. |
| 6 | Jim Lin<br>Information Technology<br>Inyo Superior Court | NI | The major roadblock to implementing the aforementioned solutions is cost. We have 10 / 100 GB fiber running in our server closets, speed is not a hindrance. Cost also includes on prem storage of the 'e' initiatives. In one of our locations, we have abundant storage, but in another we have virtually 0 storage in case one location is lost, we will be dead in the water. Our court have 19 / 20 employees and moving to Office365 have been on my agenda for this court for past 9 months. The total cost to implement and yearly support is negligible compared to larger court's budget for an hour. | The workstream recognizes that many of the recommendations are not feasible in today's climate, due to budget and resource constraints. There will be impediments, but the intention is for the framework to provide court leadership with the foundation and guidance to move towards these strategic goals and objectives.<br><br>No action required; therefore, the workstream did not incorporate revisions related to this comment. |

2   Positions:  A = Agree; AM = Agree if modified; N = Do not agree; NI = Not indicated.

# ITAC Next-Generation Hosting Workstream
## Branch Comment on Next-Generation Hosting Framework Guide
All comments are verbatim unless indicated by an asterisk (*).

| | Commentator | Position | Comment | Committee Response |
|---|---|---|---|---|
| 7 | Jim Lin<br>Information Technology<br>Inyo Superior Court | NI | The end game of becoming an all-digital court is clear and I share those same sentiment as I stood in awe at Riverside's, Alameda's, and Yolo's courtrooms and how they have moved from dealing with paper to virtually paperless. Their move was precipitated in a large part with a new courtroom with newer equipment than the 7 – 8-year-old servers I am managing right now. | The goal is to have all courts and the branch to work toward implementing a Next Generation Hosting strategy as funding, budget and resources permit.<br><br>No action required; therefore, the workstream did not incorporate revisions related to this comment. |
| 8 | Chris Stewart<br>Chief Technology Officer<br>Sacramento Superior Court | NI | Two additional 'cons' for the table: Branch Data Center: Vendor Hosted (Current CCTC Model) (pg. 13 or 14):<br><br>1. AD: Users end up with separate AD accounts and passwords. AD trusts between hosted and local forests may prove to be problematic and tough to manage at a larger scale.<br>2. Local courts are limited to hosted environment limitations (e.g. lack of interior dynamic routing protocol and automated backup VPN solution) | The workstream agreed with comment #1. There is also an Identity Management Initiative that may help address some of these issues in the long term. The workstream incorporated the suggested addition into the document.<br><br>Comment #2 is a limitation of the current implementation not inherent in a vendor hosted solution. The workstream did not incorporate revisions related to this comment. |

3   Positions:  A = Agree; AM = Agree if modified; N = Do not agree; NI = Not indicated.

# Index of Topics – 2018 ITAC Annual Agenda

## Subcommittees

1        Rules & Policy Subcommittee

      1.1    Modernize Trial Court Rules (ongoing, modified)

      1.2    Standards for E-Signatures (modified)

      1.3    Remote Access Rules for Government Entities, Parties, Attorneys (modified)

      1.4    Standards for Electronic Court Records as Data (no change)

2        Joint Appellate Technology Subcommittee

      2.1    Modernize Appellate Court Rules (ongoing, new objectives)

      2.2    Rules for Certification of Electronic Records, E-Signature, Paper Copies (new)

      2.3    Input on Appellate Document Management System (new)

3        Privacy Resource Guide (modified)

## Existing and Phase 2 Workstreams

4        Digital Evidence Phase 1: Assessment

5        Intelligent Forms Phase 1: Scoping

6        Self-Represented Litigants (SRL) E-Services

7        Video Remote Interpreting (VRI) Pilot

8        E-Filing Strategy

9        Identity and Access Management Strategy (new, stemming from e-filing)

10(a)    Disaster Recovery Framework Phase 1 (completing)

10(b)    Disaster Recovery Framework Phase 2 (new)

11(a)    Next-Generation Hosting Strategy Phase 1 (completing)

11(b)    Next-Generation Hosting Strategy Phase 2 (new)

## New Workstreams

12       Tactical Plan for Technology Update

13       IT Community Development

14       Futures Directive- Intelligent Chat Phase 1

15       Futures Directive- Voice-to-Text Language Services Outside the Courtroom Phase 1

16       Futures Directive- Remote Video Appearances for Most Non-Criminal Hearings Phase 1

**(Continued next page)**

# Index of Topics (cont'd) – 2018 ITAC Annual Agenda

**Potential Workstreams**

(a)     Digitize Paper: Pilot and Report

(b)     Data Analytics Phase I: Assess and Report

(c)     Mobile Applications: Monitor and Report

(d)     Avatar Applications: Monitor and Report

(e)     Online Dispute Resolution (ODR): Assess and Report

(f)     Ability-to-Pay Tool: Pilot and Report

(g)     Meeting Efficiency: Investigate, Assess, and Report

| 1.1 Modernize Trial Court Rules | *Priority 2* |
|---|---|

*Project Summary:* Modernize Rules of Court for the Trial Courts to Support E-Business

*Key Objectives:*

(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 proposals to create and amend rules to conform to ~~Judical Council-sponsored~~ legislation ~~to be introduced~~enacted in 2017. For example ~~if the legislation is enacted, the rules on e-filing and e-service (Cal. Rules of Court, rule 2.250-2.275) to be amended by January 1, 2018 to replace the current "close of business" provisions in the rules. Additional codes sections that would benefit from review and amendments to modernizing them include Code Civ. Proc. § 405.23, 594, 680.010-724.260; Civ. Code § 1719; Gov. Code § 915.2; and Labor Code § 3082.~~, new provisions of Code of Civil Procedure section 1010.6 expressly require the Judicial Council to adopt rules of court related to disability access and electronic signatures for documents signed under penalty of perjury. The new provisions also require express consent for electronic service, which will require a rule amendment, and creation of a form for withdrawal of consent. Projects also include proposals based on suggestions from the public including revising definitions and addressing a barrier to indigent users accessing services of electronic filing service providers.

*Origin of Project:* Tactical Plan for Technology 2017-2018. Standing item on the agenda.

*Status/Timeline:* Ongoing

*Resources:*

- *ITAC:* Rules & Policy Subcommittee, Chair: Hon. Peter Siggins

- *Judicial Council Staffing:* Legal Services, Information Technology, Office of Governmental Affairs, ~~Center for Families, Children and the Courts (CFCC), Criminal Justice Services~~

- *Collaborations:* 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

| **1.2 Standards, ~~Rules and/or Legislation~~ for E-Signatures** | *Priority 2* |
|---|---|

*Project Summary:* Develop ~~Legislation, Rules, and~~ Standards for Electronic Signatures on Documents Filed by Parties and Attorneys

*Key Objectives:*

   (a) ~~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.

*Origin of Project:* 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.

*Status/Timeline:* December ~~2017~~2018, effective January ~~2018~~ 2019 (2 years)

*Resources:*

- *ITAC:* Rules & Policy Subcommittee

- *Judicial Council Staffing:* Legal Services, Information Technology

- *Collaborations:* ITAC Joint Appellate Technology Subcommittee; 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)

| **1.3 Remote Access Rules for ~~Justice Partners~~ <u>Government Entities, Parties, Attorneys</u>** | *Priority 1* |
|---|---|

*Project Summary:* Develop Rule Proposal to Facilitate Remote Access to Trial Court Records By ~~Local Justice Partners~~ <u>State and Local Government Entities, Parties, Parties' Attorneys, and Court-Appointed Persons</u>

*Key Objectives:*

    (a) ~~In collaboration~~<u>Lead the Joint Ad Hoc Subcommittee on Remote Access</u> ~~with the Criminal Law Advisory Committee,~~ <u>to</u> amend trial court rules to facilitate remote access to trial court records by state and local ~~justice partners~~<u>government entities</u>, parties, ~~and their~~<u>parties'</u> attorneys<u>, and certain court-appointed persons</u>~~.~~

*Origin of Project:* 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<u>, but the rules do not make specific provisions for the access by these persons or entities</u>. This rules proposal would facilitate remote access to trial court records by <u>state and</u> local ~~justice partners.~~<u>government entities, parties, ~~and their attorneys.~~parties's attorneys, and certain court-appointed persons.</u>

*Status/Timeline:* December 201<u>8</u>~~7~~, effective January ~~2018~~ <u>2019</u> (2 years)

*Resources:*

- *ITAC:* Rules & Policy Subcommittee
- *Judicial Council Staffing:* Legal Services, Information Technology, ~~Criminal Justice Services, Center for Families, Children & the Courts~~
- *Collaborations:* <u>Appellate Advisory Committee,</u> Criminal Law Advisory Committee, <u>Civil and Small Claim Advisory Committee, Probate and Mental Health Advisory Committee, Advisory Committee on Providing Acces and Fairness, Trial Court-State Court Forum,</u> CEAC, ~~TCPJAC, and their Joint Technology Subcommittee;~~ Family & Juvenile Law and Traffic Law Advisory Committee.

| **1.4 Standards for Electronic Court Records as Data** | *Priority 1* |
|---|---|

*Project Summary:* Develop Standards for Electronic Court Records Maintained as Data

*Key Objectives:*

(a) CEAC Records Management Subcommittee -- in collaboration with the Data Exchange Workstream governance body -- 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 mainentance of records in the form of data; develop proposals to satisfy these changes.

*Origin of Project:* 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.

*Status/Timeline:* December 2018  (2 years)

*Resources:*

- *ITAC:* Rules & Policy Subcommittee
- *Judicial Council Staffing:* Information Technology, Legal Services
- *Collaborations:* Data Exchange governance body (TBD); CEAC, TCPJAC, and their Joint Technology Subcommittee

| **2.1 Modernize Appellate Court Rules** | *Priority 2(b)* |
|---|---|

*Project Summary:*  Modernize Appellate Court Rules to Support E-Filing and E-Business

Review appellate rules to ensure consistency with e-filing practice; evaluate, identify and prioritize potential rule modifications where outdated policy challenges or prevents e-business. Consider rule modifications to remove requirements for paper versions of documents (by amending individual rules or by introducing a broad exception for e-filing/e-service). Consider potential amendments to rules governing online access to court records for parties, their attorneys, local justice partners, and other government agencies.  This will be the third year of work on this multi-year project.

Some specific rule projects within the scope of this item:

(a) **Formatting of electronic reporters' transcripts:**  This project is underway. A proposal based on a suggestion from the California Court Reporters' Association, was circulated for public comment this spring. The committee review of the public comments is awaiting action on related pending legislation, AB 1450.

(b) **Sealed & Confidential Material:** Rules for the handling of sealed or confidential materials that are submitted electronically.

(c) **Return of lodged electronic records:**  The trial court rule modernization changes made in 2016 amend rules 2.551(b) and 2.577(d)(4) to give the moving party ten days after a motion to seal is denied to notify the court if the party wants the record to be filed unsealed.  If the clerk does not receive notification in ten days, the clerk must return the record, if lodged in paper form, or permanently delete it if lodged in electronic form.  Amend rule 3.1302 to allow the court to maintain other lodged materials – and if the court chooses not to do so, to require that they be returned, if on paper, or permanently deleted, if electronic, with a notice of the destruction sent to the party before destruction of the electronic record.

(d) **Rule amendments regarding access:** This project is underway. An initial draft of possible amendments to address online access to trial court records for parties, their attorneys, local justice partners, and other government agencies. The plan is for JATS to review what is ultimately proposed at the trial court level and use that as a base for developing a companion proposal for access to appellate court records.

(e) **Bookmarking:** The 2016 trial court rules modernization changes include a new requirement, added to rule 3.1110(f), that electronic exhibits be electronically bookmarked.  This issue was set aside by JATS for 2016, to give those courts new to e-filing (or not yet on e-filing) a chance to gain some experience with e-filing before participating in a decision as to what to require.

(f) **Exhibits:** This project has not been started. Creating a requirement that exhibits submitted in electronic form be submitted in electronic volumes, rather than individually.

(g) **Numbering of materials in requests for judicial notice:** Consider amending rule 8.252, which requires numbering materials to be judicially noticed consecutively, starting with page number one. But these materials are attached to a motion and declaration(s) and are electronically filed as one document, making pagination and referring to these materials in the briefs confusing for litigants and the courts.

*Origin of Project:* Tactical Plan for Technology; standing item on annual agenda.

*Status/Timeline:* Portions of this project are underway. Completion date of January 1, 2019. Overall modernization of rules is ongoing.

*Resources/Partners:*

- *ITAC:* Joint Appellate Technology Subcommittee, Chair: Hon. Louis Mauro

- *JCC Staff Resources:* Legal Services, Information Technology

- *Advisory Collaboration:* Members of the Appellate Advisory Committee who serve on the Joint Appellate Technology Subcommittee

- *External Partners:* N/A

| 2.2 Rules Regarding Certification of Electronic Records, E-Signature, and Paper Copies | *Priority 2(b)* |
|---|---|

*Project Summary:* Rules Regarding Certification of Electronic Records, Electronic Signature, and Paper Copies

*Key Objectives:*

(a) Provide input on proposed changes to the trial court rules of court governing certification of electronic records, standards for electronic signatures, and requirements for paper copies of e-filed documents that will impact the appellate courts.

(b) Consider whether to proceed with proposing changes to the appellate court rules on these matters.

*Origin of Project:* The ITAC Rules & Policy Subcommittee (RPS) is reviewing trial court rules governing certification of electronic records, standards for electronic signatures, and whether parties should have to submit paper copies of documents filed electronically. Some changes will require legislation to amend existing statutory requirements for e-filing, service, and signatures in the trial courts. (See Code Civ. Proc., § 1010.6.) As ITAC RPS moves the project forward, JATS will provide input on changes that will affect the appellate courts. The project may result in rules work for JATS. In addition, after ITAC RPS has resolved these issues for the trial courts, JATS may wish to consider proposing changes to the appellate court rules on these matters.

*Status/Timeline:* JATS work must wait until ITAC RPS moves forward. Completion date of January 1, 2020.

*Resources/Partners:*

- *ITAC:* Joint Appellate Technology Subcommittee, Chair: Hon. Louis Mauro
- *JCC Staff Resources:* Legal Services, Information Technology
- *Advisory Collaboration:* Members of the Appellate Advisory Committee who serve on the Joint Appellate Technology Subcommittee
- *External Partners:* N/A

| 2.3 Input on Appellate Document Management System | *Priority 2(b)* |
|---|---|

*Project Summary:* Monitor and Provide Input on the Appellate Courts Document Management System Implementation.

*Key Objectives:*

    (a) Monitor and provide input on the implementation of a new document management system (DMS) for the appellate courts.

*Origin of Project:* New item. Supports JATS ongoing charge to consult on technology matters impacting appellate court business.

*Status/Timeline:* January 1, 2020

*Resources/Partners:*

- *ITAC:* Joint Appellate Technology Subcommittee, Chair: Hon. Louis Mauro
- *JCC Staff Resources:* Legal Services, Information Technology
- *Advisory Collaboration:* Members of the Appellate Advisory Committee who serve on the Joint Appellate Technology Subcommittee
- *External Partners:* Appellate Administrative Presiding Justices, Appellate Court Clerks

| **3. Privacy ~~Policy~~Resource Guide** | *Priority 2* |
| --- | --- |

*Project Summary:* Develop Branch and Model Court Privacy Resource Guide ~~Policies~~ on Electronic Court Records and Access in Trial and Appellate Courts

*Key objectives:*

(a) Continue development of a comprehensive statewide privacy ~~policy~~ resource guide addressing, among other things, electronic access to court records and data, to align with both state and federal requirements.

(b) Continue development of ~~a model (local)~~ court privacy resource guide~~policy~~, outlining the key requirements, contents, and provisions for courts to address within ~~a local court's~~ its specific privacy policy.

*Origin of Project:* 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 ITAC (formerly, CTAC), the bar, and the public.

*Status/Timeline:* December 2018 (2 years)

*Resources:*

- *ITAC:* Rules & Policy Subcommittee, Chair: Hon. Peter Siggins; Joint Appellate Technology Subcommittee, Chair: Hon. Louis Mauro

- *Judicial Council Staffing:* Legal Services, Information Technology

- *Collaborations:* Identity Management Working Group; Appellate Advisory Committee, CEAC, TCPJAC, and their Joint Technology Subcommittee; Criminal Law Advisory Committee, and the Department of Justice

| **4. Digital Evidence Phase I: Assessment** | *Priority ~~1~~2* |
| --- | --- |

*Project Summary:* Investigate, Assess, and Report on Statutes, Rules, Business Practice, and Technical Standards Related to Digital Evidence

*Key Objectives:*

(a) Review existing statutes and rules of court to identify impediments to use of digital evidence and opportunities for improved processes.

(b) Survey courts for existing business practices and policies regarding acceptance and retention of digital evidence.

(c) Survey courts and justice system groups regarding possible technical standards and business practices for acceptance and storage of digital evidence.

(d) Report findings to ITAC and provide recommendations on next steps.

(e) Coordinate and plan with JCIT regarding operational support, if appropriate.

*Origin of Project:* Tactical Plan for Technology 2017-2018 and ITAC members discussed need to pursue during their December 2016 annual agenda planning session and their May 5, 2017 meeting.

*Status/Timeline:* July 2018

*Resources:*

- *ITAC:* Workstream, Sponsor: Hon. Kimberly Menninger

- *Judicial Council Staffing:* Information Technology, Legal Services

- *Collaborations (Advisory Committees and External):* Workstream members; CEAC, TCPJAC

| **5. Intelligent Forms Phase I: Scoping** | *Priority 2* |
| --- | --- |

***Project Summary:*** Investigate Options for Modernizing the Electronic Format and Delivery of Judicial Council Forms

***Key Objectives:***

Investigate, prioritize and scope a project, including:

(a) Evaluate Judicial Council form usage (by courts, partners, litigants) and recommend a solution that better aligns with CMS operability and better ensures the courts' ability to adhere to quality standards and implement updates without 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 e-filing documents into the courts; seek solutions that will ensure the forms integrity and preserves legal content.

(c) Investigate options for redesigning forms to take advantages of new technologies, such as document assembly technologies.

(d) Investigate options for developing ~~a~~ standardized ~~data dictionary~~forms definitions and delivery methods that would enable ~~"smart forms"~~ to be efficiently electronically filed into the various modern CMSs 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.

(g) Develop recommendations for a potential BCP to support proposed solutions. (Note: Drafting a BCP would be a separate effort.)

(h) Initiate Phase 2 of the workstream, based on the recommendations.

~~(h)~~(i)      ~~Coordinate and plan with JCIT regarding operational support, if appropriate.~~

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

***Status/Timeline:*** ~~September~~ February 201~~8~~7

***Resources:***

- *ITAC:* Workstream, Sponsor: Hon. Jackson Lucky
- *Judicial Council Staffing:* Information Technology, Legal Services, Center for Children, Families and the Courts
- *Collaborations:* Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

| 6. Self-Represented Litigants (SRL) E-Services | *Priority 1* |
|---|---|

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

*Key Objectives:*

    (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.

    (c) Coordinate and plan with JCIT regarding operational support, if appropriate.

      Note: In scope for 2018~~7~~ is development of an ~~RFP~~BCP, followed by an RFP; out of scope is the actual implementation.

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

*Status/Timeline: June 2017*

*Resources:*

- *ITAC:* Workstream, Sponsor: Hon. James Mize, Hon. Jackson Lucky

- *Judicial Council Staffing:* Information Technology, Center for Families, Children and the Courts (CFCC)

- *Collaborations:* 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)

| **7. Video Remote Interpreting (VRI) Pilot** | *Priority 2* |
|---|---|

***Project Summary:*** Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program

***Key Objectives:***

In cooperation and under the direction of the Language Access Plan Implementation Task Force (LAPITF) Technological Solutions Subccommittee (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.

   (e) Coordinate and plan with JCIT regarding operational support, if appropriate.

***Origin of Project:*** Tactical Plan; continuation of project from Annual Agenda 2015, ~~and~~ 2016 and 2017.

***Status/Timeline:*** September 2018

***Resources:***

- *Joint Workstream:*
    - *ITAC:* Sponsor: Hon. Samantha Jessner (ITAC)
    - *Language Access Plan Implementation Task Force (LAPITF):* Sponsor: Hon. Terence Bruiniers, Chair of LAPITF Technological Solutions Subcommittee (TSS)
- *Judicial Council Staffing:* Court Operations Special Services Office, Information Technology
- *Collaborations:* LAPITF TSS; CEAC, TCPJAC, and their Joint Technology Subcommittee; CIOs

| **8. E-Filing Strategy** | *Priority 1* |
| --- | --- |

*Project Summary:* Establish EFM Master Agreements, Develop EFSP Certification; Report on E-Filing Implementations, Standards, and Cost-Recovery

*Key Objectives:*

(a) Develop and issue an RFP for statewide E-Filing Managers (EFMs). (Completed 2017)

(b) Final master agreements with 3 vendors selected to provide the EFM services.

(c) Develop the E-Filing Service Provider (EFSP) selection/certification process.

(d) Monitor the progress of EFSP accessibility compliance.

(e) Develop the roadmap for an e-filing deployment strategy, approach, and branch solutions/alternatives.

(f) Report on the plan for implementation of the approved NIEM/ECF standards, including effective date, per direction of the Judicial Council at its June 24, 2016 meeting.

(f) ~~Identify and select an identity management service/provider.~~

(g) Consult and report on the implementation of the court cost recovery fee that will support the statewide e-filing program.

(h) Coordinate and plan with JCIT regarding operational support~~, if appropriate~~ of the ongoing e-fling program being funded through the court cost-recovery fee.

(i) At the completion of these objectives and with the approval of the JCTC, formally sunset the workstream.

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

*Status/Timeline:* ~~June 2017~~ December 2018

*Resources:*

- *ITAC:* Workstream, Sponsor: Hon. Sheila Hanson

- *Judicial Council Staffing:* Information Technology, Legal Services

- *Collaborations:* Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

| **9. Identity and Access Management Strategy** | *Priority 1* |
|---|---|

*Project Summary:* Develop a Branch Identity Management Strategy; Consult on Selection of a Provider

*Key Objectives:*

    (a) Develop and issue an RFP for a statewide identity management service/provider; identify and select.

    (b) Develop the roadmap for identity management strategy and approach.

    (c) Determine policies and processes for identity management (including proofing and access management)

    (d) Ensure linkage with other branchwide initiatives such as SRL Portal, Next Generation Hosting, CMS Migration and Deployment

    (e) Coordinate and plan with JCIT regarding operational support, if appropriate.

*Origin of Project:* Previously, this was a sub-task of the e-filing initiative. Tactical Plan for Technology 2017-2018.

*Status/Timeline:* ??

*Resources:*

- *ITAC:* Workstream, Sponsor: ??
- *Judicial Council Staffing:* Information Technology, Legal Services, Branch Accounting and Procurement
- *Collaborations:* Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

**Update:** This project was largely completed in 2017. In 2018, the project will require gaining approvals from the JCTC and Judicial Council and collaborating with JCIT regarding ongoing operational support requirements.

| 10(a) Disaster Recovery (DR) Framework Phase 1 | *Priority 1* |
|---|---|

*Project Summary:* Document and Adopt a Court Disaster Recovery Framework

*Key Objectives:*
  (a) Develop model disaster recovery guidelines, standard recovery times, and priorities for each of the major technology components of the branch. (Completed 2017)
  (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. (Completed 2017)
  (c) Create a plan for providing technology components that could be leveraged by all courts for disaster recovery purposes. (Completed 2017)
  (d) Develop recommendations for a potential BCP (e.g., if it is appropriate to fund a pilot, to assist courts, or to purchase any products). (Note: Drafting a BCP would be a separate effort.) (Completed 2017)
  (e) Coordinate and plan with JCIT regarding operational support, if appropriate.
  (f) Gain Judicial Council adoption of the proposed framework and formally sunset the workstream.

*Origin of Project:* Tactical Plan; next phase of project following 2015 assessment.

*Status/Timeline:* ~~June 2017~~March 2018

*Resources:*
  • *ITAC:* Workstream, Sponsors: Hon. Alan Perkins, Mr. Brian Cotta
  • *Judicial Council Staffing:* Information Technology
  • *Collaborations:* Workstream members representing various court sizes; CEAC, CITMF

| **10(b) Disaster Recovery (DR) Framework Phase 2** | *Priority 1* |
|---|---|

*Project Summary:* Implement Branch Disaster Recovery Pilot Program, Master Agreement, Knowledge-Sharing; Develop BCP

*Key Objectives:*

    (a)  Leverage Superior Court of Monterey County's Innovation Grant Cloud DR award as a pilot program.

    (b)  Recommend a list of critical technology services that make business sense for cloud-based recovery adoption.

    (c)  Establish a Cloud DR master agreement with a short list of cloud service providers for judicial branch entities/courts to leverage.

    (d)  Publish design solution templates (with prerequisites for deployment of an application or service recovery) using technologies from vendors selected in the Could DR master agreement.

    (e)  Host knowledge sharing sessions for interested judicial branch entities/courts (including tools to estimate cost for deploying recovery solution using a particular cloud service provider; and Monterey solution case study).

    (f)  Draft a BCP to fund a pilot group of courts interested in implementing Cloud-based DR for critical technology services (see (b)).

    (g)  Coordinate and plan with JCIT regarding operational support, if appropriate.

*Origin of Project:* Tactical Plan; next phase of project following framework adoption.

*Status/Timeline:* June 2019

*Resources:*

- *ITAC:* Workstream, Sponsors: Mr. Paras Gupta
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* Workstream members; pilot courts; CEAC, CITMF

**Update:** This project was largely completed in 2017. In 2018, the project will require gaining approvals from the JCTC and Judicial Council and transitioning to Phase 2.

| **11(a) Next Generation Hosting Strategy Phase 1** | *Priority 1* |
|---|---|

*Project Summary:* Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model

*Key Objectives:*

  (a) Define workstream project schedule and detailed tasks. (Completed 2017)
  (b) Outline industry best practices for hosting (including solution matrix with pros, cons, example applications, and costs). (Completed 2017)
  (c) Produce a roadmap tool for use by courts in evaluating options. (Completed 2017)
  (d) Consider educational summit on hosting options, and hold summit if appropriate. (Completed 2017)
  (e) Identify requirements for centralized hosting. (Completed 2017)
  (f) Recommend a branch-level hosting strategy. (Completed 2017)
  (g) ~~Coordinate and plan with JCIT regarding operational support, if appropriate.~~
  (h) Gain Judicial Council adoption of the proposed framework and formally sunset the workstream.

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

*Status/Timeline:* June 2017

*Resources:*

  • *ITAC:* Workstream
  • *Judicial Council Staffing:* Information Technology
  • *Collaborations:* CEAC, TCPJAC, and their Joint Technology Subcommittee; CITMF

| 11(b) Next-Generation Hosting Strategy Phase 2 | *Priority 1* |
|---|---|

*Project Summary:* Pilot the Branch Next-Generation Hosting Strategy Framework, Establish Master Agreements, Establish Support and Funding Models

*Key Objectives:*

    (a) Establish master agreements for cloud service providers. (Potential shared effort with DR Workstream initiative.)

    (b) Identify and implement a pilot program to test the branch Next-Generation Hosting Framework and report findings.

    (c) Establish the judicial branch support model for IT services.

    (d) Determine funding mechanism to transition courts to new hosting models.

*Origin of Project:* Tactical Plan for Technology

*Status/Timeline:* July 2019

*Resources:*

- *ITAC:* Workstream
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* CITMF,

| 12. Tactical Plan for Technology Update | *Priority 1* |
|---|---|

*Project Summary:* Update Tactical Plan for Technology for Effective Date 2019-2020

*Key Objectives:*

(a) Initiate workstream.

(b) Review, gather input, and update the Tactical Plan for Technology.

(c) Circulate for branch and public comment; revise as needed.

(d) Finalize, and seek approval by the JCTC and the Judicial Council; sunset the workstream.

*Origin of Project:* Specific charge of ITAC per Rule 10.53 (b)(8).

*Status/Timeline:* April 2019

*Resources:*

- *ITAC:* Workstream, Sponsor: Hon. Sheila Hanson
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* Broad input from the branch and the public.

| 13. IT Community Development | *Priority 1* |
|---|---|

*Project Summary:* Expand Collaboration and Professional Development within the Branch IT Community

*Key Objectives:*

(a) Survey the courts to identify interest in exploring opportunities to share key technical resources.

(b) Survey the courts related to IT leadership and resource development needs and priorities; report findings.

(c) Identify, prioritize, and report on collaboration needs and tools for use within the branch.

(d) Assess CEO/CIO interest in an IT peer consulting program and develop recommendations.

(e) Partner with CJER to develop and implement an annual plan for keeping judicial officers, CEO's, and CIO's abreast of technology trends.

(f) Coordinate and plan with JCIT regarding operational support, as appropriate.

*Origin of Project:* Tactical Plan 2017-2018

*Status/Timeline:* December 2018

*Resources:*

- *ITAC:* Workstream, Sponsor: Jeannette Vannoy
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* Workstream members; CEAC, TCPJAC, and their Joint Technology Subcommittee

| 14. Futures Directive: Intelligent Chat Phase 1 | *Priority 1* |
|---|---|

*Project Summary:* The committee was directed by the Chief Justice to explore and make recommendations to the council on the potential for a pilot project using intelligent chat technology to provide information and self-help services.

*Key Objectives:*

Included in the Phase 1 of this project:

(a) Identify and monitor a series of court proofs of concepts (POCs) to assess technology readiness for various use cases (e.g., Court of Appeal, E-Filing, Self-Help).

(b) Identify key performance indicators and benchmark before/after success.

(c) Capture learnings and report findings.

(d) Update Phase 2 of workplan based on results.

(e) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.

*Origin of Project:* Chief Justice directive from the Futures Commission recommendations report.

*Status/Timeline:* May 2018

*Resources:*

- *ITAC:* Workstream, Sponsor: ?? – To be determined at December 4 meeting
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* CIOs

| **15. Futures Directive: Voice-to-Text Language Services Outside the Courtroom Phase 1** | *Priority 1* |
|---|---|

*Project Summary:* The committee is directed to explore available technologies and make recommendations to the Judicial Council on the potential for a pilot project using voice-to-text language interpretation services at court filing and service counters and in self-help centers. The goal of the lab pilot will be to determine next steps with this technology. Potential next step outcomes may be to continue to research the technology within a lab environment while it matures, to pilot at one court for a specific use case, or to pilot at multiple courts for multiple use cases.

*Key Objectives:*

Included in the Phase 1 of this project:

    (a) Setup a technical lab environment at the Judicial Council or a local court to test the technical recommendations of the Futures Commission for this initiative.

    (b) Pilot various voice-to-text language services in a lab environment. will allow for exposure to more technologies and shorter learning cycles than if a specific technology is deployed at a court for piloting.

    (a) Capture learnings and draft a white paper report on the lessons learned, findings, and recommendations for next steps.

    (b) Update Phase 2 of workplan based on results.

    (c) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.

*Origin of Project:* Chief Justice directive from the Futures Commission recommendations report.

*Status/Timeline:* July 2018

*Resources:*

- *ITAC:* Workstream, Sponsor: ?? – To be determined at December 4 meeting
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* CIOs, pilot courts, Innovation Grant awardees

| **16. Futures Directive: Remote Video Appearances for Most Non-Criminal Hearings Phase 1** | *Priority 1* |
| --- | --- |

*Project Summary: T*he feasibility of and resource requirements for developing and implementing a pilot project to allow remote appearances by parties, counsel, and witnesses for most noncriminal court proceedings.

*Key Objectives:*

Included in the Phase 1 of this project:

    (a) Idenfify and conduct a mock remote video hearing using a web conferencing system for a specific hearing type (e.g., Civil - Small Claims) as a Proof of Concept (POC) in a court. Include one or more mock hearings of the selected hearing type.

    (b) Capture learnings and report findings.

    (c) Update Phase 2 of workplan based on results.

    (d) Seek approval from ITAC and the JCTC to conclude Phase 1 and initiate Phase 2; amend the annual agenda accordingly.

*Origin of Project:* Chief Justice directive from the Futures Commission recommendations report.

*Status/Timeline:* July  2018

*Resources:*

- *ITAC:* Workstream, Sponsor: ?? – To be determined at December 4 meeting
- *Judicial Council Staffing:* Information Technology
- *Collaborations:* CIOs, pilot courts, and Innovation Award Grantees

# Additional Potential Initiatives – 2018 ITAC Annual Agenda

(a) **Digitize Paper: Pilot and Report**
Monitor the Digitize Paper Records Pilot Project, awarded a BCP. Gather data and report on efficiencies created. Facilitate creation of a "digitizing court documents playbook" to help courts with their digitization efforts. Survey courts to assess readiness and propose a next wave of the pilot program. Prepare FY19-20 BCP.  [Note: Dependent on BCP FY18/19 award.]

ITAC Sponsor(s): _____

(b) **Data Analytics Phase I: Assess and Report**
Research, scope, and recommend a data analytics strategy for the branch. Investigate possible policies, technologies, and processes to help the branch utilize data analytics to improve business effectiveness. Assess priorities for data collection and present findings.

ITAC Sponsor(s): _____

(c) **Mobile Applications: Monitor and Report**
Monitor, gather data, and report on the development and effectiveness of court mobile applications, including those sponsored by innovation grants. Assess additional court services and functions that could benefit from new mobile app development. For example, consider recommending the development of a statewide court application for forms; and/or methods to facilitate individual court mobile app development and sharing. Prioritize concepts and provide recommendations for branch promotion and productization.

ITAC Sponsor(s): _____

(d) **Avatar Applications: Monitor and Report**
Monitor, gather data, and report on the effectiveness of court avatar applications. Report to include existing applications, as well as those developed through the innovation grant program and ITAC's intelligent chat initiative. Provide recommendations for promotion and branch productization.

ITAC Sponsor(s): _____

(e) **Online Dispute Resolution (ODR): Assess and Report**
Explore and report findings of use of online dispute resolution in the courts. Survey California courts as well as programs nationally and internationally. Consider educational summit inviting vendors to share trends and innovation in this area of court business.

ITAC Sponsor(s): _____

(f) **Ability-to-Pay Tool: Pilot and Report**

Co-sponsor/monitor a pilot project using the ability-to-pay tool being developed through a grant received by the Judicial Council Criminal Justice Services Division, report findings, and recommendations for broad implementation. [Note: There is an Ability to Pay Workgroup overseeing the grant initiative.]

ITAC Sponsor(s): _____

(g) **Meeting Efficiency: Investigate, Assess, and Report**

Explore opportunities and investigate technologies to improve advisory body and workstream meeting administration, delivery, and efficacy. Prioritize, evaluate (costs, impacts, complexity), and provide recommendations.

ITAC Sponsor(s): _____