JUDICIAL COUNCIL OF CALIFORNIA

INFORMATION TECHNOLOGY ADVISORY COMMITTEE

INFORMATION TECHNOLOGY ADVISORY COMMITTEE

MINUTES OF OPEN MEETING

April 20, 2020
10:00 AM - 11:10 AM
Video Conference

Advisory Body Members Present:	Hon. Sheila F. Hanson, Chair; Hon. Louis R. Mauro, Vice Chair; Mr. Jake Chatters; Mr. Brian Cotta; Mr. Adam Creiglow; Mr. Alan Crouse; Hon. Tara Desautels; Ms. Alexandra Grimwade ; Hon. Michael S. Groch; Mr. Paras Gupta; Hon. Samantha P. Jessner; Hon. Kimberly Menninger; Mr. Snorri Ogata; Mr. Darrel Parker; Hon. Peter Siggins; Hon. Bruce Smith; Hon. Donald Segerstrom; Ms. Jeannette Vannoy; Mr. Don Willenburg; Mr. David H. Yamasaki; Hon. Theodore Zayner
Advisory Body Members Absent:	Assemblymember Marc Berman; Hon. Julie R. Culver; Senator Robert Hertzberg; Hon. James Mize; Hon. Donald Segerstrom; Hon. Joseph Wiseman
Others Present:	Hon. Kyle Brodie; Mr. Kevin Lane; Ms. Heather Pettit; Mr. Mark Dusman; Ms. Jamel Jones; Mr. Alex Barnett (Sen. Hertzberg office); Mr. Richard Blalock; Ms. Camilla Kieliger; Ms. Andrea Jaramillo; Ms. Nicole Rosa; 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 February 3, 2020 and March 6, 2020, Information Technology Advisory Committee meeting.

There were no public comments for this meeting.

DISCUSSION AND ACTION ITEMS (ITEMS 1–8)

Item 1

Chair's Report

Presenter: Hon. Sheila F. Hanson, Chair

Report: Judge Hanson welcomed members and staff to the first Information Technology Advisory Committee videoconference meeting, since the Information Technology Advisory Committee couldn't meet in-person as planned. Courts continue to adjust their operations

during this health crisis and both Judge Hanson and Justice Mauro believe that the Information Technology Advisory Committee should continue to meet. The emergency orders set out by Chief Justice Tani Cantil-Sakauye enable courts to conduct hearings remotely. During this time, courts are rapidly adopting new technology solutions to meet their needs; such as, videoconferencing.

Courts have shifted their focus to local needs, as expected during this health crisis. As a result, workstream efforts and their timelines may be impacted. However, any continued workstream efforts are appreciated and welcome. Staff continues to support the Information Technology Advisory Committee and workstreams during this time.

Justice Slough, Chair of the Judicial Council Executive Committee recently sent out a notification that the solicitation of nominations to fill vacancies within the Judicial Council's advisory bodies was extended to June 5. Judge Hanson encouraged anyone who is interested in applying to do so.

Item 2

Judicial Council Technology Committee Update (JCTC)

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

Presenter: Hon. Kyle S. Brodie, Chair, JCTC

Report: Judge Brodie provided an update of the Judicial Council Technology Committee since the last report at the Information Technology Advisory Committee February meeting.

There were 11 emergency actions taken by the Judicial Council, which met remotely twice. Emergency actions allowed courts to conduct activities remotely and even the Supreme Court is conducting oral arguments through remote video, a first.

There were two Information Technology Advisory Committee proposals reviewed and approved. They were proposed amendments to trial court rules regarding e-filing service providers and proposed legislation regarding remote video appearances. Also, reviewed and approved were Language Access Signage and Technology Grant program and Jury Management System Grant program. Input was provided on the technology MicroGrants sponsored by Judicial Council Information Technology, which support one-time purchases of technology goods and services that provide "quick wins" and support innovation. Seven grants were awarded.

In light of the current health crisis, budget change proposals priorities for FY 21-22 will need to be reconsidered at Judicial Council Technology Committee's next meeting on May 11, by videoconference.

Judge Brodie recently attended the remote Court Information Technology Managers Forum (CITMF), where CIOs discuss common interests and needs. It was extremely informative and provided an opportunity to hear firsthand about court IT projects, challenges, and their intersection with Branchwide IT efforts.

In closing, Judge Brodie thanked Judge Hanson and the entire committee for their continued service and collaboration.

Item 3

Receive an update on the branch budget and technology funding for both FY2020-2021 and FY2021-2022.

Presenter: Ms. Heather Pettit, Chief Information Officer

Report: Ms. Pettit asked members to think about the IT needs over the next 2 – 3 years, as the Information Technology Advisory Committee is on the front lines. She will share any thoughts or ideas when she meets with the Judicial Council Technology Committee to reprioritize the FY 21- 22 budget change proposals. All state budgets have been reset to baseline costs.

Item 4

IT Community Development Workstream – Status and Final Report

Final presentation, review and discussion of the findings from the IT Community Development Workstream's efforts. Consider whether to recommend to the Judicial Council Technology Committee to accept the findings and recommendations, and formally sunset the workstream.

Presenter: Ms. Jeannette Vannoy, Workstream Executive Sponsor

Action: Ms. Vannoy presented this workstream's final report. The workstream focused on the people side of technology advancement and adoption for the judicial branch. These included leveraging technical staff resources to implement and support technology; what staff and judges need to know in order to use new technology; and how collaboration tools can be used to share experiences and promote innovation.

There were nine recommendations spread over these four sections that focused on: overarching view, resource sharing, education, and collaboration tools. See slide in materials for the nine recommendations.

Next steps are to submit findings and recommendations to the Judicial Council Technology Committee for acceptance; formally sunset the workstream; and begin identifying resources, prioritizing, and enacting recommendations.

<u>Motion to accept and recommend to the Judicial Council Technology Committee the findings and recommendations of the IT Community Development Workstream.</u>
Approved.

Item 5

Judicial Branch Web Template Preview

Receive a preview of the new court website templates currently being developed by the Judicial Council.

Presenter: Mr. Mark Gelade, Supervisor, Information Technology

Report: Mr. Gelade gave members a preview of the new look of the court websites. The project goals were to modernize visual design of the original Judicial Council of California templates and deploy responsive framework. Benefits to the courts are more accessible and responsive websites, direct control of content updates, shared library of UI components, and secure managed website hosting. Some new and updated features include a home page that reads top to bottom and a home page without imagery; a mega menu dropdown; self-help landing page; and a mobile view option for mobile phones.

A D J O U R N M E N T

There being no further business, the meeting was adjourned at 11:10 AM.

Approved by the advisory body on enter date.

JUDICIAL COUNCIL
OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

Intelligent Chat Workstream

Findings & Recommendations Report

Executive Summary

1.0 OVERVIEW

Courts directly serve members of the public, who range in court experience from first-time self-represented individuals to seasoned attorneys. Given this broad spectrum of court users, a multilevel customer service approach is well suited and necessary to address court customers' varying needs, expectations, and access to justice.

Consequently, Chief Justice Tani G. Cantil-Sakauye directed the Judicial Council Information Technology Advisory Committee (ITAC) to explore and make recommendations related to the use of intelligent chat technology to facilitate informational and self-help services to the public. Intelligent chat technology includes both (1) **live chat**, where a customer would interact with a *live* person through a website; and (2) **chatbot** technology, where a person would interact with an *automated* system on a website to ask questions and receive information. The Chief Justice's directive followed the recommendation of the Commission on the Future of California's Court System, which urged the use of intelligent chat technology to enhance judicial branch service by efficiently, consistently, and reliably answering frequently asked questions.

In July 2018, ITAC convened the Intelligent Chat Workstream with the following goals:

- **Identify and prioritize self-help content appropriate for intelligent chat** (in the form of user scenarios) that would provide court customers with the most value.

- **Identify policies that either currently *inhibit,* or would *enable,*** intelligent chat implementation and adoption, including legislative, internal, or other policies.

- **Assess and recommend intelligent chat technologies** for further exploration.

Building on earlier court efforts related to chat services, the workstream explored evolving developments in the field and now proposes delivering chatbots to meet public need for access to the courts.

2.0 STAKEHOLDER ENGAGEMENT & WORKSTREAM ACTIVITIES

The multidisciplinary Intelligent Chat Workstream included participants from throughout the courts and Judicial Council staff. Members represented input from a wide range of stakeholders including judicial officers, court executive officers (CEOs), court information officers (CIOs), and technical and operational subject matter experts.

The workstream was organized into three tracks: (1) Business and Court Operations, (2) Technology, and (3) Policy and Legislative. Each track met regularly to discuss assigned issues, and leads held regular cross-track meetings with the Executive Sponsor and staff.

Workstream members researched a variety of topics, including referencing online self-help center content to identify the topics most often accessed by the public, analyzing chatbot vendor products and services, and researching privacy policies and legislation pertaining to the use of chatbots by public agencies. Workstream members invested considerable time consulting with technology industry experts, and incorporating learning and insight from subject matter experts. Furthermore, the workstream incorporated three key activities that were already active within the California judicial branch:

- Evaluation of the Self-Help Live Chat pilot program conducted by the Judicial Council's Center for Families, Children & the Courts (CFCC), and providing live chat for court users needing information about legally changing a name;
- Evaluation of Court Innovation Grant programs focused on Automated Chat; and
- Evaluation of business use cases for Intelligent Chat solutions.

3.0 MATURITY OF CHAT RELATIVE TO CUSTOMER SERVICE

Early in its study, the workstream defined a four-tiered system to assess the technology maturity and automation of an intelligent chat program.

Technology maturity/automation scale = L E V E L ⓪
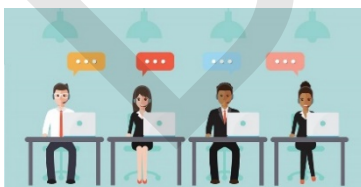
Live chat providing customer support and interaction with a human.

This chat service features a live person who interacts with customers via a chat screen, asking and answering questions to determine what information is needed for the customer to navigate their intended process. No automated chat is involved but the interactive questions and answers are stored and tracked for frequency so that the information can be used to develop automated responses.

Technology maturity/automation scale = L E V E L ❶

<u>Basic chatbot</u> answering preprogrammed questions.

This entry-level chatbot could be the customer's first point of interactive contact with the court. The chatbot's responses are limited to matching key words and responding with a list of predefined answers.

Technology maturity/automation scale = L E V E L ❷- ❸

<u>Self-learning assistant</u> with contextual understanding and growing intelligence.

This range of chatbots asks questions and uses machine-learning to grow its knowledge base and improve response accuracy, while directing customers to the requested information. If the predefined questions do not address the person's needs, the chatbot would request additional information to help direct them to potential answers. If the chatbot is still unable to address the customer's needs, it would escalate the inquiry to a live person.

4.0   KEY FINDINGS

To deliver an effective and self-learning chatbot, data must be collected from customer interactions with court experts and fed to the chatbots to organize, learn, and respond correctly. *Therefore, the implementation of chat services requires starting with a Live Chat service (Level 0) and growing to deliver the more automated and sophisticated chat services (Levels 1–3).*

Furthermore, the workstream found that:

- **Using subject matter experts (SMEs) is crucial** to developing appropriate chatbot interactions.

- **Prioritizing content that is relevant for chat is critical,** given the vast amounts of subject matter related to court business. Name change, eviction, and housing (unlawful detainers) topics are subjects well suited for chat given their relative level of complexity, significant amount of preexisting content, and high public demand.

- **Building content for chat engines is labor intensive and represents most of the effort** in chatbot development, including identifying questions and appropriate responses.

- **Live chat transcripts are excellent sources** for building content and training chatbots. Furthermore, analysis of the California Courts Online Self-Help Center website could be an excellent source for identifying chatbot topics.

- **Machine learning and artificial intelligence need more time** to mature and develop best practices for chatbot application.

- **No known statutory barriers to delivering chat exist, but standard web governance policies should be addressed,** such as accessibility privacy standards, and California disclosure laws related to chat-bot use.

5.0 KEY BENEFITS & RISKS

Intelligent chat services have strong advantages and, as with all technology, are subject to identifiable and mitigatable risk. This aspect of the workstream's analysis summarily finds that:

Key benefits of automated chatbot services (Levels 1–3) include:

Increased access to justice for the public	
Provides access to court assistance 24-hours a day	Enables instant responses without the wait
Provides an easy, more approachable mode of communication for many	Enables the resolution of simple issues more quickly
Responds to many customers simultaneously	

The mitigatable risks of chatbot services are:

- Chatbot interactions should be monitored and updated by humans in order to provide the most accurate information (quality assurance); and

- Complex topics and conversations should be handled by a human, while more routine and basic information can be relayed through a chatbot directly to the customer.

- The line between providing information and legal advice must be carefully delineated.

6.0 RECOMMENDATIONS & NEXT STEPS

The Intelligent Chat Workstream's full report presents a comprehensive business case for use of chatbots for informational and self-help services. The report provides background research on the current state of chatbot technology, outlines key findings and

deliverables, and sets forth 12 tactical recommendations to mature the use of intelligent chat to benefit court customers.

6.1   Recommendations

The recommendations—relative to chat technology maturity—are summarized below, followed by the overarching next steps necessary to coordinate and execute a branch Intelligent Chat program for the benefit of the courts and public across the state:

L E V E L **⓿** *For Live Chat Services and Content Development*

1. Use subject matter experts to curate, develop, and maintain responses to anticipated user questions to support both live chat agents and chatbot services.
2. Set up live chat services to provide support where the chatbot cannot assist.
3. Use live chat services to provide immediate support to the public, with the benefit of collecting information for developing content and testing scenarios.

L E V E L **❶–❷** *For Chatbot Services*

1. Establish an intelligent chatbot program to be administered by the Judicial Council's Information Technology office with an advisory board made up of stakeholder representatives from the branch to provide direction.
2. Establish a centralized repository to capture and share information about the chat technology projects implemented across the branch.
3. Leverage the workstream deliverables to develop vendor selection criteria and master service agreement requirements for alternative chatbot platforms that can be implemented locally.
4. Establish statewide chatbot platforms to support different subject matters, such as Name Change, Unlawful Detainer, and Jury Services, for courts that would like to easily leverage or replicate the technology.
5. Develop best practices reference guides for the courts for local chatbot implementations.
6. Update existing branch web policies to reflect statutory and other acceptable use requirements for chat technology.
7. Develop chatbots to support and interface with multiple platforms such as web portals, messaging, smart speakers, and voice assistants.
8. Enable chatbots to support multiple languages and be ADA compliant to ensure language access is available.

LEVEL ❷—❸ *For Advanced Machine Learning and Artificial Intelligence*

1. Continue research on machine learning and artificial intelligence to improve and advance the chatbot's ability to comprehend and precisely respond to user questions.

6.2 Next Steps

The tactical next steps to execute these recommendations and develop a branch approach to intelligent chat would be to:

- Develop and execute an Intelligent Chatbot Pilot program focused on subject areas prioritized by the workstream based on frequency of use by court customers (e.g., name change, unlawful detainers, or jury services);
- Leverage existing intelligent chat technology developed as part of the Court Innovation Grant program for potential extension and reuse across the branch;
- Leverage the findings and data/content gathered from the previous judicial branch Self-Help Live Chat Pilot program for the purpose of the Intelligent Chatbot Pilot; and
- Seek funding to develop additional knowledge bases for identified subject matters.

7.0 CONCLUSION

The Intelligent Chat Workstream's research and analysis concludes that chatbots are an important tool that could help address questions from court customers more conveniently and efficiently. People could turn to a chatbot to resolve simple issues, and save time and resources. Fortunately, ample content already exists for subject matter experts to expand upon and utilize in an effort to train and improve chatbots—and live chat projects demonstrate that court customers have many common questions that are ideal for this medium of communication.

By offering online chat, the public can save the time and cost of travelling to a courthouse, and courts could provide more efficient and satisfying customer experiences. By starting with a narrow and straightforward area of court operations or law, the branch would gain valuable experience and an opportunity to continually improve its breadth and accuracy of responses. Although chatbot technology is still evolving, it could play a key role in the branch's multitiered approach to serving the public. By starting a statewide effort now, the branch will be well positioned to leverage the technology to better serve the people of California remotely and at significant scale.

Attachment: *Intelligent Chat Workstream Findings & Recommendations Report*

CALIFORNIA JUDICIAL BRANCH

ITAC Intelligent Chat Workstream

Findings and Recommendations Report

AUGUST 6, 2019

JUDICIAL COUNCIL
OF CALIFORNIA

INFORMATION TECHNOLOGY
ADVISORY COMMITTEE

Table of Contents

DRAFT

1.0 EXECUTIVE SUMMARY

The Information Technology Advisory Committee convened the Intelligent Chat Workstream in July 2018 in response to direction from Chief Justice Tani G. Cantil-Sakauye to explore and make recommendations related to the use of intelligent chat technology for informational and self-help services. This directive followed the recommendation of the Commission on the Future of California's Court System (Futures Commission) to use intelligent chat services to enhance judicial branch service by efficiently, consistently, and reliably answering frequently asked questions.

The Intelligent Chat Workstream had the following goals:

(1) Prioritize the use case scenarios most critical to the branch.
(2) Identify legislative policies that may be an obstacle for intelligent chat.
(3) Determine whether any legislative or internal policies are necessary to enable the adoption of intelligent chatbots.
(4) Assess and recommend technology platforms to explore.
(5) Submit comprehensive findings and recommendations.

The workstream was organized into the following three tracks:

- Business and Court Operations
- Technology
- Policy and Legislative

Each track held regularly scheduled conference calls to discuss their assigned issues, and track leads had regular check-ins with the chair and staff. Workstream members researched a variety of topics. For example, the Business and Operations Track referenced the California Courts Online Self-Help Center website to identify chatbot topic areas. The Technology Track researched chatbot vendor products and services, and the Policy and Legislative Track researched privacy policies and any legislation pertaining to public agency use of chatbots. Through this research, each track then developed key findings, deliverables, and recommendations.

This report presents the business case for chatbots, provides background research on the current state of chatbot technology, and describes the workstream's key findings, deliverables, and the following recommendations:

Recommendations for Chatbot Services

(1) Establish an intelligent chatbot program to be administered by the Judicial Council's Information Technology office with an advisory board made up of stakeholder representatives from the branch to provide direction.
(2) Establish a centralized repository to capture and share information about the chat technology projects implemented across the branch.

(3) Leverage the workstream deliverables to develop vendor selection criteria and master service agreement requirements for alternative chatbot platforms that may be implemented locally.

(4) Establish statewide chatbot platforms to support different subject matters, such as Name Change and Jury Services, for courts that would like to leverage or replicate the technology.

(5) Develop best practices reference guides for the courts for local chatbot implementations.

(6) Update existing branch web policies to reflect recent statutory and other acceptable uses required for chat technology.

(7) Develop chatbots to support multiple media such as web portals, messaging, smart speakers, and voice assistants.

(8) Enable chatbots to support multiple languages and be ADA compliant to ensure language access is available.

Recommendations for Live Chat Services and Content Development

(1) Use subject matter experts to curate, develop, and maintain responses to anticipated user questions to support both live chat agents and chatbot services.

(2) Set up live chat services to provide support where the chatbot cannot provide assistance.

(3) Use live chat services to provide immediate support to the public with the benefit of collecting information for developing content and testing scenarios.

Recommendation for Machine Learning and Artificial Intelligence

Continue research on machine learning and artificial intelligence to improve and advance the chatbot's ability to comprehend and precisely respond to user questions.

2.0   INTRODUCTION

> To improve public access to justice and to better serve current and future generations of Californians, the judicial branch of California uses intelligent chat technology to provide information and self-help services.
>
> *– Intelligent Chat Workstream Mission Statement*

Transformational technology has impacted every aspect of our lives such that we have come to expect it. Waiting more than a split second for a web page to load is unacceptable. A ride share service that takes more than a few minutes to arrive is considered slow. Same-day package delivery is the new standard for shipping. In rapid fashion, online content morphed from static text on a screen to sites and apps that anticipate our needs and deliver a custom experience. Users expect this immediate personal attention and are dissatisfied with confusing, outdated and inefficient government technology that lags behind the private sector. (Dudley et al.)

In 2014, the Chief Justice charged the Futures Commission with exploring transformative ideas to improve access to justice. The Futures Commission envisioned intelligent chat (a chatbot) that could understand natural language, explain a court process, look up a case, and direct a customer to a live agent. The chatbot would be available in multiple languages and be compliant with Americans with Disabilities Act (ADA) requirements. Further, its intelligence would increase over time with machine learning,[1] enabling it to serve more people. The chatbot would handle frequently asked and simpler questions, thus freeing staff up to address the more complex issues litigants face.

> "There's nothing artificial about AI. It's inspired by people, it's created by people and—most importantly—it impacts people."
>
> *– Fei Fei Li, Co-Director, Institute for Human-Centered Artificial Intelligence, Stanford University*

The Information Technology Advisory Committee (ITAC) convened the Intelligent Chat Workstream in response to the Chief Justice's directive to research chatbot technology and the possibility of a pilot program.

Building on earlier court efforts with live chat and basic chatbots, the workstream explored the latest developments in the field and now proposes a path forward that would deliver chatbots that meet and even exceed public expectations for access to the courts.

---

[1] "[M]achine learning is 'the craft of having computers make decisions without providing explicit instructions, thereby allowing the computers to pattern match complex situations and predict what will happen.' " (Taulli; quoting Venkat Venkataramani, co-founder and CEO of Rockset, a Bay Area search and analytics company).

3.0   GOAL ALIGNMENT

The Chief Justice directed ITAC to explore and make recommendations related to the use of intelligent chat technology for informational and self-help services. This directive followed the recommendation of the Futures Commission to use intelligent chat technology to enhance judicial branch service by efficiently, consistently, and reliably answering frequently asked questions. It is consistent with two of the judicial branch's goals set out in the *Strategic Plan for Technology 2014– 2018,* Promote the Digital Court and Optimize Branch Resources.

4.0   LIVE CHAT AND CHATBOT DEFINED

4.1   Live Chat

Live chat is early chat technology that requires a human agent and a platform with an interface that enables users to enter their questions and receive responses. It also typically allows the user to print a transcript, can be multilingual, and can have a built-in evaluation system. "Dashboard" features allow a program manager to monitor usage, review past chats, and access analytics. Because the branch conducted a pilot project providing live chat for court users needing information about legally changing a name, it is included in figure 1 below as a level 0 chat interface ("CFCC Self Help Live Chat").

The live chat pilot project captured questions and answers for approximately 1,350 court users. This data will be invaluable in training chatbots because, according to the IBM developer's blog, when training a chatbot, "It is important that the utterances come from end-users. Trying to guess what end-users would say may be acceptable for initial setup but you should plan to collect and leverage real end-user utterances" (Kozhaya).

4.2   Chatbots

A chatbot "is a computer program that is capable of having a human-like conversation with a user by receiving and sending text messages for the purpose of automating a business process." (Bradford; quoting Hristo Borisov, director of product management at Progress, an app development platform provider). They can be described in three levels of progressive sophistication (Smiers) that build on each other:

- Level 1 is a basic bot. These bots are rule-based and follow a decision tree where each action by the user prompts the bot to take action or respond. The system can only understand predefined sentences that are provided to the user in a menu (Sengupta and Lakshman).

- Level 2 extends the ability of the level 1 chatbot by incorporating natural language processing (NLP)[2] to develop contextual understanding.[3] Users can communicate in their own words. The system uses NLP to determine the intent related to the immediate conversation. Sentences that cannot be related to intent can be used as new input for training the model. Complexity is driven by the need to find the right natural language processing tool, training the bot to understand in the appropriate context, and deciding what information to store.

- Level 3 incorporates all the capabilities of a level 2 chatbot with enhanced abilities, using AI (artificial intelligence), to develop understanding through the entire context of the conversation information, including historical analysis from previous conversations with an end user as well as those of other end users. Data can be fed into the training model or the model can use machine learning. The complexity of these chatbots lies in the variations of user input, historical analysis, training, and natural language processing combined to provide an answer.

The judicial branch has gained experience with level 1 bots (the Superior Court of Los Angeles County's Gina traffic court avatar and the California Appellate Courts Self-Help Resource Center chatbot) and is currently working on level 2 bots (the Ability to Pay Chatbot and the Los Angeles court's Jury Chatbot).

---

[2] Natural language processing is a form of artificial intelligence that analyzes the human language. It takes many forms, but at its core, the technology helps machines understand, and even communicate with, human speech (Mills).

[3] Contextual understanding is continuing to evolve. Current chatbots may have a basic ability to track the context of their conversation based on a combination of machine learning and conversational flowcharts or dialog managers, but deeper contextual understanding will be more like the human mind in that it will be able to reason (Voss).

Figure 1

Chatbot Maturity Model

	Level 0	Level 1	Level 2	Level 3
General Description	Live Chat	Basic Bot	Contextual Understanding	Self-Learning
Level of Automation	• Not Applicable	• None	• Semi-Assisted/ Requires Human management and controls	• Fully Automated
Key Characteristic	• Human operated conversation	• Human to Bot Structured Conversation • Simple Q&A • Menu based • Word based • One Language	• Human to Bot Unstructured Conversation • Natural Language Understanding • Line based intelligence • Mood detection • Multi-channel & language Support	• Human to Bot Unstructured Adaptive Conversation • Bot to Bot • Conversation based intelligence • Machine Learning • Artificial Intelligence
Applications at the Courts	• CFCC Self Help Live Chat • San Mateo Live Chat	Traffic Avatar @ • LA (Gina) • Riverside (Iris) • Yolo • Alameda (Mia) • Appellate Self Help	• Appellate Self Help chatbot • ATP Chatbot* • LA Jury Chatbot* * Planned	NONE AT THIS TIME

Most of the features that the Futures Commission envisioned for chatbots can be addressed with level 2 chatbots. Though this can address users' initial needs, it requires continual human maintenance and upkeep. Enhancing the ability to provide more effective and efficient service would require maturing chatbots to a level 3, incorporating machine learning, artificial intelligence, and integration to help enhance access for the general public.

| Chatbot feature identified by Futures Commission	Level
1. Multilingual capability.	2
2. Identify the need and redirect customers to a live agent.	2
3. Integrate with case management systems to enable online access to case information.	1, 2
4. Natural language processing to understand questions written in a customer's own words.	2
5. Machine learning to allow the chat system to become smarter over time.	3

5.0 BENEFITS AND RISKS OF CHATBOTS

5.1 Research Findings

A few studies have shown that consumers gravitate toward chatbots to save time. In a 2018 survey of 1,000 respondents, Usabilla, a website and app survey company, found that while 18 percent of consumers would prefer to speak with a person, 70 percent report having used a chatbot and would do so again to save time. Over half of the respondents would choose a bot over a human if it saved them 10 minutes. However, this same study showed that consumers find human interaction more enjoyable and necessary to solve complex problems (Brown).

In a joint project, "The 2018 State of Chatbots Report," MyClever, Salesforce, and others likewise found that 69 percent of consumers surveyed would use a chatbot to save time. Baby boomers were sometimes more likely to agree that a specific chatbot use case would be beneficial than were millennials (see figure 2). Most respondents agreed that chatbots work best for answering quick and simple questions as opposed to solving complex issues (Sweezey).

Figure 2
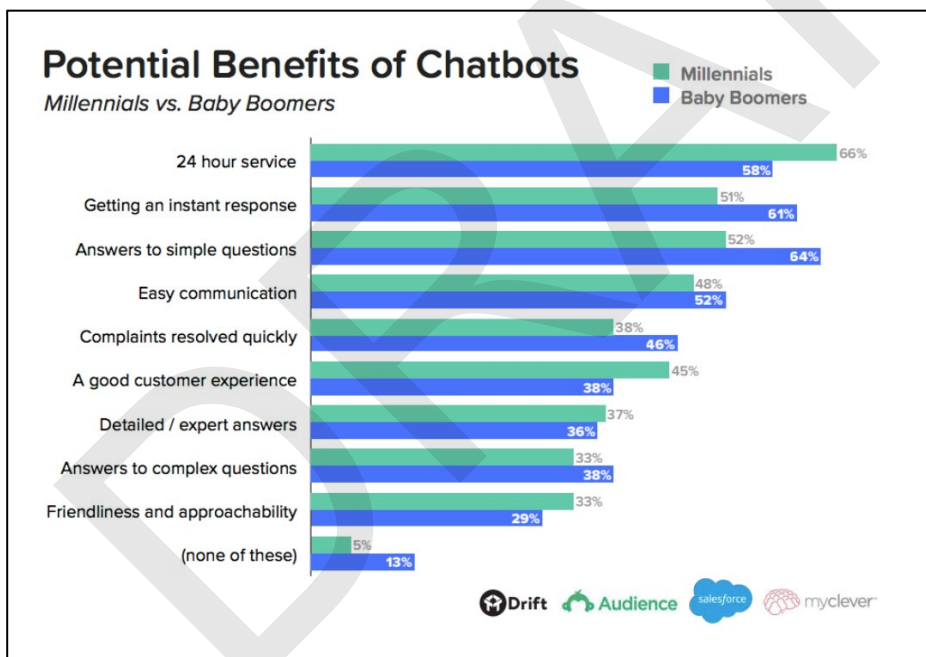
In a study of 3,500 consumers, Pegasystems, which develops customer relationship management software, found that most respondents reported chatbots as somewhat helpful, but generally only for simple tasks. Ying Chen, head of product marketing and platform technologies for Pegasystems, commented, "To truly depend on digital channels as the first line of defense in customer service, smart businesses need to unite their chatbots with the enterprise systems that can do real work—not just fetch bits of random information. At the same time, they must apply advanced artificial intelligence to deliver true personalized interactions in real time" (Consumers: Chatbots).

The same study identified use cases most often favored by consumers, again reinforcing that bots can be helpful and offer time-savings for answering basic questions about:

- Tracking an order (60 percent selected);
- Finding basic information (53 percent selected); and
- Asking basic questions (49 percent selected).

5.2   Benefits

The Superior Court of Los Angeles County's traffic re-engineering efforts, of which Gina is a part, has cut the wait time at traffic court from 2.5 hours to 8 to 12 minutes. Gina handles 200,000 interactions a year, which, combined with the new traffic system, allows users to take care of their traffic citations without ever coming to the courthouse ("Gina—LA's Online Traffic Avatar").

The name-change live chat pilot has also demonstrated the need and appreciation for online services. The day the service launched on the "Name Change" page of the California Courts Online Self-Help Center website, the first chatter materialized within a few minutes. Over 1,350 users were served in 180 hours with nearly 100 percent positive ratings. Customers often commented that the service saved them a trip to the courthouse.

Chatbots have the potential to bring significant benefits to courts and litigants in key areas identified by the Futures Commission, the judicial branch's *Strategic Plan for Technology*, and the *Tactical Plan for Technology*. Some of the specific types of benefits are outlined below.

Priority	Category	Explanation
1	Improved Efficiency	Increases court efficiency in triaging self-help assistance and answering frequently asked questions, freeing court staff to assist court users with more complex and individualized questions.
2	Improved Access	Provides more interactive assistance for court users, especially for self-represented litigants. Technology can be used on mobile platforms and allows users alternative means to access information, forms, and services. Chatbot is available online 24/7, significantly expanding court access outside traditional operating hours and improving access for users in more rural counties who often have significant travel time just getting to court.
3	Improved Services	Court users do not have to search multiple court webpages to identify information, forms, or services.
4	Improved Processes	Chatbot systems can be monitored and analyzed to see where process improvements can be made. Understanding the inquiry requests and patterns will enable enhancement of processes to serve court users more efficiently.

5.3   Risks

A few high-profile chatbot failures demonstrate some risks associated with chatbots. Facebook's M was delivered within Facebook Messenger and designed to behave as a personal assistant that could make restaurant reservations, change flights, and send gifts. While customers with access to the test system loved it, it never reached more than 30 percent automation. In other words, M required too many humans, making it a cost center for Facebook. In comparison to Alexa, M tried to fulfill too many requests (Griffith and Simonite). Facebook also found that simple requests became more complex as the conversation continued, causing the natural language processing engine to fail. This same conversation pattern was observed in the branch's name change live chat pilot as well. Some users who initially asked about courthouse location ended up asking detailed questions about the process for changing their names.

> "What is most urgently needed now is that these ethical guidelines are accompanied by very strong accountability mechanisms."
>
> *– Kate Crawford, AI Now Institute*

In a highly publicized incident, malicious users trained Microsoft's Twitter chatbot "Tay" within hours to tweet racist, sexist, and homophobic content as well as conspiracy theories (Price). The event exposed the need for more research and improved technology before self-taught chatbots are ready for mass consumption (Gershgorn). Accordingly, emerging technologies are increasingly focusing on AI ethics and transparency. In 2016, Mark Riedl, an artificial intelligence researcher at Georgia Tech, proposed and developed training models based on stories. In Dr. Riedl's vivid example, consider a chatbot that needs medicine and determines that stealing is the most efficient way to obtain it. Through stories, the chatbot would learn that getting a prescription, waiting in line, and paying for the medicine is the ethical way that protagonists would meet their needs (Conn). In 2017, Kate Crawford and Meredith Whittaker, who founded the AI Now research institute at New York University, released a report with recommendations for ensuring development of ethics for AI. They stress that such ethics must be "baked in" to AI products, rather than considered as an after-thought (Rosenberg).

6.0   WORKSTREAM APPROACH

The Intelligent Chat Workstream established goals related to developing business requirements, assessing available technology, and researching the need for chatbot policies at project inception. To meet these goals, workstream members were assigned to the following three tracks:

- Business and Court Operations
- Technology
- Policy and Legislative

Track leads were designated and met separately with the chair to ensure coordination of the work. This was essential during phases such as developing metrics on which to assess vendors' ability to meet the requirements and in developing KPIs (key performance indicators).

Each track met every two weeks to discuss the objectives, provide input on artifacts, and to determine next steps. Additional meetings were scheduled as needed. Track leads met with the workstream chair every two weeks to coordinate efforts, as did the entire workstream for general project updates.

For the proof of concept component of the project, workstream staff reached out to courts previously awarded grants from the Court Innovations Grant Program to develop chatbot services. These information sharing discussions provided insight into technologies in development and provided the opportunity to vet the business requirements (see Appendix C). Most importantly, courts that were awarded innovation grants assessed their projects based on the requirements, thus providing invaluable information about how they can be used in a court setting in other applications.

Section 7 details the objectives, key findings, and deliverables of each track. In summary, the tracks were able to accomplish each of the workstream goals, as indicated below.

Workstream Goals	Complete
(1) Prioritize the use case scenarios most critical to the branch.	✓
(2) Identify legislative policies that may be an obstacle for intelligent chat.	✓
(3) Determine whether any legislative or internal policies are necessary to enable the adoption of intelligent chatbots.	✓
(4) Assess and recommend technology platforms to explore.	✓
(5) Submit comprehensive findings and recommendations.	✓

7.0   WORKSTREAM TRACKS

7.1   Business and Court Operations Track

7.1.1   Objectives

- Collect and assess current chat/chatbot projects.
- Define and prioritize use cases and scenarios.
- Develop list of business requirements.

- Identify KPIs and benchmark before/after success (shared task with Technology and Policy Track and Legislative Track).

7.1.2   Key Findings

- Subject matter experts are crucial to developing appropriate chatbot interactions.
- The California Courts Online Self-Help Center website is an excellent source of content to define chatbot topics.
- There is a vast amount of content, so subject matter prioritization for inclusion is critical.

7.1.3   Deliverables

Appendix	Deliverable
B	Use case scenarios
C	Intelligent chat business requirements and metrics[*]
D	Chatbot KPIs[*]

[*] Shared with Technology Track.

7.2   Technology Track

7.2.1   Objectives

- Perform investigation and research needed and desired chatbot capabilities.
- Evaluate and assess vendor technology capabilities.

7.2.2   Key Findings

- Most of the effort in chatbot development is in building chatbot content, including identifying questions and appropriate responses.
- Live chat transcripts are excellent sources for building content and training chatbots.
- Machine learning and artificial intelligence need more time to mature and develop best practices for chatbot application.

7.2.3   Deliverables

Appendix	Deliverable
C	Intelligent chat business requirements and metrics*
D	Chatbot KPIs[*]

[*] Shared with Business and Operations Track.

7.3   Policy and Legislative Track

7.3.1   Objective

- Identify the need for new rules, legislation or policies to authorize the use of intelligent chat services.

7.3.2   Key Findings

- The workstream found that there was no need for legislative changes to allow for the use of chatbots. The ITAC Rules and Policy Subcommittee's Privacy Resource Guide would be referenced for any future rules and legislative proposals.
- There are several policies relating to multiple technology platforms that need to be identified to ensure that chatbot policies align with those of the branch and courts. This effort will be coordinated through the Judicial Council Information Technology web governance team.
- Data ownership must be addressed in collaboration with the Data Analytics Workstream.
- The public must be informed that they are interacting with a bot per Business and Professions Code section 17941.
- The track developed language for policies and disclaimers that should be considered before launching a chatbot service.

7.3.3   Deliverables

Appendix	Deliverable
E	Example of Chatbot Disclaimer
F	Example of Compliance Policies
G	Example of Applicable Use Policy

7.4   Proof of Concept

Staff reached out to courts and leveraged the learnings from chatbot projects throughout the judicial branch, including the Court Innovations Grant Program. This cost-effective approach provided valuable information for the intelligent chat project. Workstream staff developed a set of questions to guide the discussion. They also asked that court staff review the chatbot business requirements to consider the extent to which their projects aligned with those requirements. Courts provided suggestions for further development of the requirements based on their own projects.

Courts with chatbot or live chat projects are listed below:

- Fifth Appellate District of the Court of Appeal
- Superior Court of Los Angeles County
- Superior Court of Riverside County
- Superior Court of Yolo County

- Superior Court of San Mateo County
- Superior Court of Alameda County

Key Findings

- Courts were able to assess their projects in terms of the business requirements.
- Chat/chatbot platforms ranged from live chat services to cloud-based chatbot services.
- The Superior Court of San Mateo County is implementing a live chat for their jury services.
- The Superior Court of Los Angeles County developed and implemented their traffic avatar (Gina), a level 1 chatbot service.
- The Los Angeles court is also developing a jury services chatbot that will leverage a level 1 chatbot with integration with the jury management system.
- The Riverside and Alameda courts implemented their traffic avatars (Iris and Mia, respectively), leveraging the design from the Los Angeles court's traffic avatar.
- The Superior Court of Yolo County is planning to implement their traffic avatar leveraging the Los Angeles court's traffic avatar design.
- The Fifth Appellate District of the Court of Appeal developed and implemented a level 1 chatbot for the appellate courts self-help website.

8.0   WORKSTREAM LESSONS LEARNED

8.1   Collaborations

- Collaborating with the innovation grant recipients was an effective and cost-effective method for vetting the business requirements rather than a proof of concept.
- Reaching out to the courts (chief information officer network) to leverage existing knowledge provided expertise in both subject matter and technology.
- Workstream members were stakeholders and therefore active participants, which helped drive the pace and quality of the work product.
- Existing sources of business requirements, such as those identified at the Judicial Branch Technology Summit held in August 2017, were leveraged to save time and avoid duplication of effort.
- In developing findings and recommendations, group editing was a helpful and efficient means of fine-tuning the final report.

8.2   Chatbot Technology Education

- Sessions with vendors and consultants, such as Gartner, helped improve workstream members' chat technology expertise.
- Provide a conceptual idea of what solutions will help, prior to sessions with vendors, to help improve quality of dialogue.

8.3   Tools

- SharePoint is an effective collaboration application overall, but some features are more effective than others. For example, the discussion board feature is cumbersome, so usage was low.
- SharePoint Lists were an effective way to gather business requirements from workstream members.
- Need a work-around for SharePoint if access isn't available.
- All courts should allow access to SharePoint. Staff at courts where this was not allowed had to work offsite, using personal equipment.

8.4   Project Management

- Periodic in-person meetings were essential to the effectiveness of the workstream, as was providing better communication.
- Establishing roles and responsibilities aided in managing the work efforts.
- Clearly identifying workstream deliverables at the beginning of the project helped set expectations regarding workstream members' time commitment.
- Having specific and smaller assignments helps workstream members participate effectively. Bringing together the Business and Court Operations Track and the Technology Track for deliverables discussions was successful and important to ensure all perspectives were addressed.
- From a project management perspective, two weeks was a good cadence; however, from a workstream member perspective, this was challenging.
- Agendas and straw man documents, as well as existing content created by the core project team, were shared prior to each call; minutes were published following the calls.
- Organizing by track was effective and helped move the project more quickly.
- Amount and type of communication was appropriate (twice monthly) for the workstream. Meeting notes were captured and available on SharePoint.
- Meeting notes are helpful for developing findings and recommendations.

> "The new spring in AI is the most significant development in computing in my lifetime. Every month, there are stunning new applications and transformative new techniques. But such powerful tools also bring with them new questions and responsibilities."
>
> *– Sergey Brin, President, Alphabet, Inc.*

9.0   CONCLUSION

The Intelligent Chat Workstream's research and analysis shows that chatbots are part of current norms. As with all technology, they have their advantages and disadvantages. Customers have indicated that they will certainly turn to a chatbot to solve simple issues and to save even small increments of time. On the other hand, for

more complex problem solving and for a more satisfying interaction, customers prefer to talk with a human customer service agent. However, given the reality of budget constraints and the limitations of regular business hours, chatbots can and should play a role in serving judicial branch customers.

Ample developed content already exists for subject matter experts to expand upon to train chatbots. In addition, live chat projects have shown that many customers do have relatively simple questions. The chatbot would transfer customers with more complex questions to a live agent. The branch can save money and customers can save time by allowing a chatbot to field those simple questions.

By starting with a small and straightforward area of court operations or law, the branch can gain experience in training chatbots. Customers' interactions with the bot will be fed back into the system to continually improve the accuracy of chatbots' answers. Chatbot technology is still evolving; however, by starting now, the branch will be well positioned to leverage the technology to better serve the people of California.

10.0 WORKS CITED

Bradford, Laurence. "How Chatbots are About to Change Communication." *Forbes.com,* 24 July 2017. www.forbes.com/sites/laurencebradford/2017/07/24/how-chatbots-are-about-to-change-communication/#3cd2cd5e4aa8.

Brown, Eileen. "Over Half of Consumers Will Choose a Chatbot Over a Human to Save Time." *ZDNet*, 2 January 2019, www.zdnet.com/article/over-half-of-consumers-will-choose-a-chatbot-over-a-human-to-save-time/.

Conn, Ariel. "Ethics and Creativity in Artificial Intelligence: An Interview with Mark Riedl." *HuffPost* (blog post), 1 June 2017, www.huffpost.com/entry/ethics-and-creativity-in-artificial-intelligence-an_b_593047b4e4b09e93d7964848.

"Consumers: Chatbots Still Too Dumb to Get the Job Done." Pegasystems, Inc. news release, 9 October 2018, www.pega.com/about/news/press-releases/consumers-chatbots-still-too-dumb-get-job-done.

Dudley, Emma, Lin, Diann-Yi, Mancini, Matteo, and Ng, Jonathan. "Implementing a Citizen-Centric Approach to Delivering Government Services." McKinsey & Company (white paper), July 2015. www.mckinsey.com/industries/public-sector/our-insights/implementing-a-citizen-centric-approach-to-delivering-government-services.

Gershgorn, Dave. "Here's How We Prevent the Next Racist Chatbot." *Popular Science*, 24 March 2016, www.popsci.com/heres-how-we-prevent-next-racist-chatbot.

"Gina—LA's Online Traffic Avatar Radically Changes Customer Experience." Self-Represented Litigation Network, news release, 16 October 2016, www.srln.org/node/1186/gina-las-online-traffic-avatar-radically-changes-customer-experience-news-2016.

Griffith, Erin and Simonite, Tom. "Facebook's Virtual Assistant M is Dead. So Are Chatbots." *Wired*, 8 January 2018. www.wired.com/story/facebooks-virtual-assistant-m-is-dead-so-are-chatbots/.

Kozhaya Joe. "10 Steps to Train a Chatbot and Its Machine Learning Models to Maximize Performance." *The developerWorks blog* (IBM Corp.), 12 December 2016, https://developer.ibm.com/dwblog/2016/10-steps-train-chat-bot-chatbot-machine-learning/.

Mills, Terence. "What Is Natural Language Processing and What Is it Used For?" *Forbes Technology Council* (sponsored blog), 2 July 2018. www.forbes.com/sites/forbestechcouncil/2018/07/02/what-is-natural-language-processing-and-what-is-it-used-for/#23fbe7a95d71.

Price, Rob. "Microsoft is Deleting Its AI Chatbot's Incredibly Racist Tweets." *Business Insider*, 24 March 2016, www.businessinsider.com/microsoft-deletes-racist-genocidal-tweets-from-ai-chatbot-tay-2016-3?r=UK&IR=T.

Rosenberg, Scott. "Why AI Is Still Waiting for Its Ethics Transplant." *Backchannel* (Wired.com blog) 1 November 2017, www.wired.com/story/why-ai-is-still-waiting-for-its-ethics-transplant/.

Sengupta, Rajarshi and Lakshman, Shankar. "Conversational Chatbots—Let's Chat." Deloitte (white paper), June 2017, www2.deloitte.com/content/dam/Deloitte/in/Documents/strategy/in-strategy-innovation-conversational-chatbots-lets-chat-final-report-noexp.pdf.

Smiers, Leon. "Chatting with the Chatbots? How Intelligence Makes the Conversation Work." Capgemini.com (blog post), 23 May 2017, www.capgemini.com/2017/05/chatting-with-the-chatbots-how-intelligence-makes-the/.

Sweezey, Matthew. "69% of Consumers Prefer Chatbots for Quick Communication with Brands." *Salesforce Blog*, 29 January 2018, www.salesforce.com/blog/2018/01/why-consumers-prefer-chatbots.html.

Taulli, Tom. "What You Need to Know About Machine Learning." Forbes.com (blog post), 2 March 2019, www.forbes.com/sites/tomtaulli/2019/03/02/what-you-need-to-know-about-machine-learning/#2bf2bec22fe4.

Voss, Peter. "Beyond Chatbots: Hyper-Personalized, Intelligent Assistants." *Cognitive World* (sponsored blog), 25 February 2019, www.forbes.com/sites/cognitiveworld/2019/02/25/beyond-chatbots-hyper-personalized-intelligent-assistants/#52c401c92aba.

11.0 APPENDIXES

APPENDIX A: WORKSTREAM MEMBERSHIP

Hon. Michael Groch, Executive Sponsor
Judge of the Superior Court of California,
County of San Diego

Mr. John Yee, Lead
Information Technology Architect
Judicial Council

Ms. Fati Farmanfarmaian, Project Manager
Senior Business Systems Analyst
Judicial Council

Members

Hon. Tara M. Desautels
Judge of the Superior Court of California,
County of Alameda

Mr. Paras Gupta
Chief Information Officer
Superior Court of California,
County of Monterey

Mr. Brett Howard
Chief Information Officer
Superior Court of California,
County of Orange

Mr. Darrell Mahood
Director of Juror Services
Superior Court of California,
County of Los Angeles

Ms. Hana Miller
Computer Systems Specialist and Webmaster
Superior Court of California,
County of Santa Barbara

Ms. Natasha R. Moiseyev
Family Law Facilitator
Superior Court of California,
County of Tulare

Mr. Steve Tamura
IT Manager
Superior Court of California,
County of Los Angeles

Mr. Stan Tyler
Technical Analyst
Superior Court of California,
County of Los Angeles

Ms. Andrea K. Wallin-Rohmann
Clerk/Executive Officer
Court of Appeal, Third Appellate District

Hon. Jason Webster
Commissioner of the Superior Court of
California,
County of Kern

Ms. Karen Cannata
Supervising Analyst
Judicial Council

Mr. Anson Jen
Technology Analyst
Judicial Council

Mr. Davis Luk
Senior Application Development Analyst
Judicial Council

Ms. Melanie Snider
Supervising Attorney
Judicial Council

Mr. Nelson Wong
Senior Application Development Analyst
Judicial Council

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I want to use Intelligent Chat to do:	*Describe what you want the chatbot to do*
Self Represented Litigants			
	Getting Started Court Basics	Tell me about the basic information about what happens in court	http://www.courts.ca.gov/selfhelp-start.htm
		Basic Overview	http://www.courts.ca.gov/997.htm
		How Courts Work	http://www.courts.ca.gov/998.htm
		Types of Cases	http://www.courts.ca.gov/1000.htm
		Services at Your court	http://www.courts.ca.gov/1077.htm
		Representing Yourself	http://www.courts.ca.gov/1076.htm
		Basics of Court Form	http://www.courts.ca.gov/selfhelp-forms.htm
		Court Basics FAQ	http://www.courts.ca.gov/9323.htm
	Lawyers and Legal Help	Basic Information	http://www.courts.ca.gov/1001.htm
		Free and Low-Cost Legal Help	http://www.courts.ca.gov/selfhelp-lowcosthelp.htm
		Help from Your court	http://www.courts.ca.gov/1083.htm
		Finding a Lawyer	http://www.courts.ca.gov/selfhelp-findlawyer.htm
		Limited-Scope Representation	http://www.courts.ca.gov/1085.htm
		Law Libraries, Websites, and Self-Help Books	http://www.courts.ca.gov/1091.htm
		Lawyers and Legal Help FAQs	http://www.courts.ca.gov/1086.htm
	Preparing for Court	Information Needed to Be Ready for Court	http://www.courts.ca.gov/1002.htm
		Before You File a Case	http://www.courts.ca.gov/12414.htm
		Filing Papers in Court	http://www.courts.ca.gov/1089.htm
		Fee Waivers	http://www.courts.ca.gov/selfhelp-feewaiver.htm
		Service of Process	http://www.courts.ca.gov/selfhelp-serving.htm
		Discovery	http://www.courts.ca.gov/1093.htm
		Going to Court	http://www.courts.ca.gov/1094.htm
		Court Interpreters	http://www.courts.ca.gov/selfhelp-interpreter.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Preparing for Court FAQs	http://www.courts.ca.gov/1096.htm
	Researching the Law	How to Research Laws	http://www.courts.ca.gov/1003.htm
		Finding and Using the Law that Applies to Your Case	http://www.courts.ca.gov/1097.htm
		Research Codes and Statutes	http://www.courts.ca.gov/1098.htm
		Research Cases	http://www.courts.ca.gov/1099.htm
		Researching Law FAQs	http://www.courts.ca.gov/1100.htm
	Resolving Your Dispute Out of Court	How to Solve Disputes Out of Court	http://www.courts.ca.gov/selfhelp-adr.htm
		Agreements in Family Law Cases	http://www.courts.ca.gov/29226.htm
		ADR Resources	http://www.courts.ca.gov/1101.htm
		Resolving Your Dispute Out of Court FAQs	http://www.courts.ca.gov/12434.htm
	FAQs	Frequently Asked Questions about the Courts	http://www.courts.ca.gov/1006.htm
	Questions that may be asked	How can I find a mediator for child custody? I do not have a court case.	
		How do I know what courthouse to file my guardianship case?	
		Can I make an appointment for self-help over email?	
		How can I file a complaint about a Judge?	
		How can I dismiss my case?	
		How can I file a complaint about an attorney?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Is it legal for me to be served in the mail?	
		Can you please tell me how to file for a hearing before a specific Judge?	
		How can I find my case number?	
		How do I e-file?	
		How much does it cost to e-file?	
		Can I get a fee waiver for e-filing costs?	
		How much does it cost to file an Income Withholding Order?	
		I filled out the forms I found online-is there someone who can review them to tell me if I did them right?	
		What if I don't speak English? How can I get someone to help me?	
		How can I get a mediator to help with my small claims case?	
		Can I take my papers to the local police office to serve or is there a special office I should go to so that they serve my papers?	
		The other party and I have come to n agreement. How do I cancel my Request for Order?	
		Can I get an interpreter for my Small Claims case?	
		Can I bring my children to court with me?	
	Family & Children Custody & Parenting Time (Visitation)	Basic Information	http://www.courts.ca.gov/selfhelp-custody.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Parenting Time: Developing Plans	http://www.courts.ca.gov/16432.htm
		Custody and Parenting Time (Visitation) Orders	http://www.courts.ca.gov/15870.htm
		Custody Mediation	http://www.courts.ca.gov/1189.htm
		Supervised Visitation	http://www.courts.ca.gov/1190.htm
		Custody and Domestic Violence	http://www.courts.ca.gov/1191.htm
	Child Support	Basic Information	http://www.courts.ca.gov/selfhelp-support.htm
		Asking for a child support order	http://www.courts.ca.gov/1194.htm
		Responding to a Child Support Order	http://www.courts.ca.gov/1195.htm
		Changing a Child Support order	http://www.courts.ca.gov/1196.htm
		Paying a Child Support Order	http://www.courts.ca.gov/1197.htm
		Collecting a Child support Order	http://www.courts.ca.gov/1198.htm
		Forms	http://www.courts.ca.gov/1199.htm
		Child Support FAQ	http://www.courts.ca.gov/1200.htm
	Parentage/Paternity	Basic Information	http://www.courts.ca.gov/selfhelp-parentage.htm
		Establishing Parentage/Paternity	http://www.courts.ca.gov/1201.htm
		Disputing Parentage	http://www.courts.ca.gov/1202.htm
		Forms	http://www.courts.ca.gov/1203.htm
		Parentage FAQs	http://www.courts.ca.gov/1204.htm
	Child Abuse & Neglect	Basic Information	http://www.courts.ca.gov/selfhelp-childabuse.htm
		Guide to Dependency Court- For Parents	http://www.courts.ca.gov/1205.htm
		Guide to Dependency Court- For Children	http://www.courts.ca.gov/29205.htm
		Guide to Dependency Court- For Caregivers	http://www.courts.ca.gov/29206.htm
		Juvenile Court Guardianship	http://www.courts.ca.gov/1206.htm
		De Facto Parents	http://www.courts.ca.gov/1207.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Forms	http://www.courts.ca.gov/1208.htm
		Child Abuse and Neglect FAQs	http://www.courts.ca.gov/1209.htm
	Guardianship	Basic Information	http://www.courts.ca.gov/selfhelp-guardianship.htm
		Alternatives to Guardianship	http://www.courts.ca.gov/1210.htm
		Duties of a Guardian	http://www.courts.ca.gov/1211.htm
		Becoming a Guardian	http://www.courts.ca.gov/1212.htm
		Ending a Guardianship	http://www.courts.ca.gov/1213.htm
		Forms	http://www.courts.ca.gov/1214.htm
		Guardianship FAQs	http://www.courts.ca.gov/1215.htm
	Questions that might be asked	Do I need guardianship of the estate?	
		Can I get joint custody with one of the parents?	
		My child is an insurance beneficiary and the insurance company won't release the money without a guardianship. Why do I need a guardianship for my own child?	
		Can two people file to be guardians?	
		My mother is trying to get guardianship of my kids. How do I object?	
	Juvenile Delinquency	Basic Information	http://www.courts.ca.gov/selfhelp-delinquency.htm
		Guide to Juvenile court	http://www.courts.ca.gov/1216.htm
		Sealing Juvenile Records	http://www.courts.ca.gov/28120.htm
		Forms	http://www.courts.ca.gov/1217.htm
		Juvenile Delinquency FAQs	http://www.courts.ca.gov/1218.htm
	Adoption	Basic Information	http://www.courts.ca.gov/selfhelp-adoption.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Forms	http://www.courts.ca.gov/1219.htm
		Adoption FAQS	http://www.courts.ca.gov/1220.htm
	Emancipation	Basic Information	http://www.courts.ca.gov/selfhelp-emancipation.htm
		How-to-Guide	http://www.courts.ca.gov/1221.htm
		Forms	http://www.courts.ca.gov/1222.htm
		Emancipation FAQs	http://www.courts.ca.gov/1223.htm
	Special Education Rights for Children and Families	Basic Information	http://www.courts.ca.gov/1106.htm
		Special Education Needs and Services	http://www.courts.ca.gov/35474.htm
		Assessments and Eligibility	http://www.courts.ca.gov/35397.htm
		IEPs (Individualized Education Programs)	http://www.courts.ca.gov/35398.htm
		Rights of Parents	http://www.courts.ca.gov/37476.htm
		Behavior and School Discipline	http://www.courts.ca.gov/35473.htm
		Find Help and More Information	http://www.courts.ca.gov/37475.htm
	Special Immigrant Juvenile Status	Basic Information	http://www.courts.ca.gov/selfhelp-sijs.htm
	FAQs		http://www.courts.ca.gov/1030.htm
	Questions that may be asked	How can I get help with the first steps to modify custody/visitation?	
		What is a "good cause exemption?"	
		How can I get a "good cause exemption?"	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		How do I fill out paperwork to establish sole custody of my child	
		Where do I get a custody hearing started?	
		How can I add the father to the birth certificate?	
		If my name is on the child's birth certificate am I already established legally as the parent?	
		How can I establish custody rights in California?	
		We are reconciling-how do we dismiss our custody orders?	
		If I was never married to the father of my child do I have to establish any type of legal paperwork before efiling for child support?	
		How can I get grandparent rights?	
		How can I get a court appointed attorney for my custody case?	
		How do I remove the father's name from the child's birth certificate?	
		I want to put something in the file to tell the Judge about what is happening in my case. How do I do that?	
		How much does it cost to file for custody?	
		How should I serve my Request for Order-can I do it personally or does it have to be in the mail?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		My ex and I have been split up for the last 7 years and never filed proper custody papers nor does he pay child support. I need to start the process on this - how can I do it and not be taken advantage of by him? Please help!! My ex and I divorced and now she won't let me see my stepchild. I raised her! How can I get visitation? I do not like the mediation report- what can I do? How do I change mediators?	
	Divorce or Separation Basics	Basic Information	http://www.courts.ca.gov/selfhelp-divorce.htm http://www.courts.ca.gov/1032.htm
		Options to End Marriage or Domestic Partnership	http://www.courts.ca.gov/1224.htm
		Overview of the Court Process	http://www.courts.ca.gov/1225.htm
		Resolve Your Divorce or Separation Out of Court	http://www.courts.ca.gov/1226.htm
		Basic FAQs	http://www.courts.ca.gov/1227.htm
	Filing for Divorce or Separation	Basic Information	http://www.courts.ca.gov/1033.htm
		Prepare for Filing Your Case	http://www.courts.ca.gov/1228.htm
		Filing Your Case	http://www.courts.ca.gov/1229.htm
		Forms	http://www.courts.ca.gov/1230.htm
		Filing for Divorce or Separation FAQs	http://www.courts.ca.gov/1231.htm
	Responding to Divorce or Separation	Basic Information	http://www.courts.ca.gov/1034.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Options to Respond	http://www.courts.ca.gov/1232.htm
		Default/Uncontested Process	http://www.courts.ca.gov/1233.htm
		Contested Process	http://www.courts.ca.gov/1234.htm
		Forms	http://www.courts.ca.gov/1235.htm
	Completing Divorce or Separation	Basic Information	http://www.courts.ca.gov/1035.htm
		Default/Uncontested Case	http://www.courts.ca.gov/1237.htm
		Contested Case	http://www.courts.ca.gov/1238.htm
		Common Problems in Completing Your Divorce or Separation	http://www.courts.ca.gov/8412.htm
		After Your Divorce is Final	http://www.courts.ca.gov/8413.htm
		Forms	http://www.courts.ca.gov/1239.htm
		Completing Divorce or Separation FAQs	http://www.courts.ca.gov/1240.htm
	Summary Dissolution	Basic Information	http://www.courts.ca.gov/selfhelp-summarydissolution.htm
		For Married Couples	http://www.courts.ca.gov/1241.htm
		For Domestic Partners	http://www.courts.ca.gov/1242.htm
		For Couples Ending Marriage and Domestic Partnership	http://www.courts.ca.gov/16430.htm
	Annulment	Basic Information	http://www.courts.ca.gov/1037.htm
		Filing for Annulment	http://www.courts.ca.gov/1244.htm
		Responding to Annulment	http://www.courts.ca.gov/1245.htm
		Forms	http://www.courts.ca.gov/1246.htm
		Annulment FAQs	http://www.courts.ca.gov/1247.htm
		How do I set a prove-up hearing for my annulment?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	Spousal/Partner Support		http://www.courts.ca.gov/1038.htm
		Basic Information	http://www.courts.ca.gov/9050.htm
		Asking for a Spousal/Partner Support Order	http://www.courts.ca.gov/1249.htm
		Responding to a Spousal/Partner Support Order	http://www.courts.ca.gov/1250.htm
		Changing (or Ending) a Spousal/Partner Support order	http://www.courts.ca.gov/1251.htm
		Paying a Spousal/Partner Support Order	http://www.courts.ca.gov/1252.htm
		Collecting a Spousal/Partner Support Order	http://www.courts.ca.gov/9143.htm
		Forms	http://www.courts.ca.gov/1253.htm
		We split up and I have no money. How can I get a quick spousal support order?	Information re ex parte orders
		Spousal/partner Support FAQs	
	Property and Debt in a Divorce or Legal Separation		http://www.courts.ca.gov/1039.htm
		Basic Information	http://www.courts.ca.gov/1254.htm
		Dividing Property and Debts in a Divorce	http://www.courts.ca.gov/9330.htm
		Collect your Family Law Money Judgement	http://www.courts.ca.gov/1255.htm
		Omitted assets after judgment	
		Property and Debt FAQs	
	Forms		http://www.courts.ca.gov/8218.htm
	FAQs		http://www.courts.ca.gov/1040.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains Questions that may be asked	User Intention	Value User Gets From Intention
			locate and deliver information about divorce vs legal separation
		Can you tell me what's the difference between divorce vs legal separation	locate and deliver information about divorce timelines, including information about bifurcation
		tell me how long it will be until my divorce will be final	locate and deliver information about divorce timelines, including information about Catholic divorce rules vs legal
		tell me if I can get an annulment because I was married less than a year What forms do I need to fill out? Can I set up an appointment? May I get a change of venues How do I change my court date? What is a stipulation?	
		What forms do I need to change custody	
		What forms do I need to get custody? How do I serve my divorce papers? What do I need to do to get custody of my child?	
		I don't like my judge, can I change judges?	
		Can I spend any of the money in our joint account? My spouse took my car. How do I get it back?	locate and deliver information about ex parte property control Request for Order
		My spouse moved out and stopped paying the rent. What can I do?	locate and deliver information about ex parte property control Request for Order or payment of bills
		Can I leave the state? Next step after filing my papers?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I filed my papers and served the other party but I haven't gotten my judgment yet. Why not?	
		How do I get a copy of my final judgement in my divorce	
		Is my paperwork ready?	
		How do I dismiss a case?	
		What happens if the other party doesn't appear in court?	
		How do I petition to get my adoption records?	
		I need to get a copy of someone else's divorce Judgment. How can I do that?	
		Can I buy forms at the courthouse? How much do they cost?	
		The other party was ordered to come pick up their personal belongings but they will not do it. What can I do with their stuff?	
		We are reconciling-how do we drop our case?	
		My husband cleaned out the bank accounts and now I cannot pay the bills-can I get an order for him to put it back?	
		What is contempt?	
		How can I change my divorce settlement agreement?	
		I need to talk to the Judge. How can I do that?	
		What if I agree with what my spouse put in her divorce papers? Do I have to pay to respond?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		How do I get emergency custody orders?	
		What if I need to talk to the Judge before the hearing date?	
		I have recently found out that my husband has struggled with his sexual orientation and was wondering if that would qualify as fraud to get an annulment?	
		My divorce was bifurcation due to the fact that we could not agree on a property settlement this was in 2010. I want to know what forms I have to file to close out the property settlement portion so I can have this done with.	
		Hello, I was wondering if you could help me find out if I have to come to the court house or can I get the paper work to file for a divorce online.	
	Abuse & Harassment	My ex wants to move 30 miles away and take our daughter. Is there anything I can do to prevent her from doing that?	http://www.courts.ca.gov/selfhelp-abuse.htm
	Basics		http://www.courts.ca.gov/1041.htm
	Domestic Violence		http://www.courts.ca.gov/selfhelp-domesticviolence.htm
			http://www.courts.ca.gov/1263.htm
		Basic Information	http://www.courts.ca.gov/1264.htm
		Make a Safety Plan	http://www.courts.ca.gov/1265.htm
		Ask for a Restraining Order	http://www.courts.ca.gov/1266.htm
		Respond to a Restraining Order	http://www.courts.ca.gov/1267.htm
		Enforce a Restraining Order	http://www.courts.ca.gov/34737.htm
		Renew a Restraining Order	http://www.courts.ca.gov/1268.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Change or End a Restraining Order	http://www.courts.ca.gov/1269.htm
		Children and Domestic Violence	http://www.courts.ca.gov/1271.htm
		Criminal Court Process	http://www.courts.ca.gov/1272.htm
		Forms	
	Elder and Depend Adult Abuse	Domestic Violence FAQs	http://www.courts.ca.gov/selfhelp-elder.htm
			http://www.courts.ca.gov/1273.htm
		Basic Information	http://www.courts.ca.gov/1274.htm
		Ask for a Restraining Order	http://www.courts.ca.gov/1275.htm
		Respond to a Restraining Order	http://www.courts.ca.gov/16483.htm
		Enforce a Restraining Order	http://www.courts.ca.gov/1276.htm
		Renew a Restraining Order	http://www.courts.ca.gov/1277.htm
		Forms	
	Civil Harassment	Elder and Dependent Abuse FAQs	http://www.courts.ca.gov/1044.htm
			http://www.courts.ca.gov/1278.htm
		Basic Information	http://www.courts.ca.gov/1279.htm
		Ask for a Restraining Order	http://www.courts.ca.gov/1280.htm
		Respond to a Restraining Order	http://www.courts.ca.gov/16484.htm
		Enforce a Restraining Order	http://www.courts.ca.gov/1281.htm
		Renew a Restraining Order	http://www.courts.ca.gov/1282.htm
		Forms	
	Workplace Violence	Civil Harassment FAQs	http://www.courts.ca.gov/1045.htm
			http://www.courts.ca.gov/1283.htm
		Basic Information	http://www.courts.ca.gov/1284.htm
		Ask for a Restraining Order	http://www.courts.ca.gov/1285.htm
		Respond to a Restraining Order	http://www.courts.ca.gov/16486.htm
		Enforce a Restraining Order	http://www.courts.ca.gov/1286.htm
		Renew a Restraining Order	http://www.courts.ca.gov/1287.htm
		Forms	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	Gun Violence Restraining Orders	Workplace Violence FAQs	http://www.courts.ca.gov/33961.htm
			http://www.courts.ca.gov/33679.htm
		Basic Information	http://www.courts.ca.gov/33680.htm
		Ask for a Firearm Restraining Order	http://www.courts.ca.gov/33682.htm
		Respond to a Request for Firearm Restraining Order	http://www.courts.ca.gov/33681.htm
		Terminate(end) a Firearms Restraining Order	http://www.courts.ca.gov/33683.htm
		Renew a Firearms Restraining Order	
	Victim Assistance	Forms	http://www.courts.ca.gov/1107.htm
			http://www.courts.ca.gov/25810.htm
		Basic Information	
	FAQs	Restitution Forms	http://www.courts.ca.gov/1046.htm
	Questions that may be asked		
		I need a restraining order, what do I do?	
		What do I do if they break the restraining order?	
		How do I end a temporary restraining order?	
		How do I end a restraining order?	
		When are ex-parte hearings heard?	
		Can I have the restraining order served by mail?	
		How can I have the Sheriff serve for me?	
		What if the Respondent hides from being served? What can I do?	New law re: alternative service when evasion of service in DV is proven

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Does it cost money for the Sheriff to serve? How much?	
		Can I add another protected party to my restraining order?	
		Someone added me to their restraining order but I don't want protection, How do I remove myself?	
		What if the other party gets their friends to harass me?	
		Can I get the restraining order extended?	
		What is the difference between a Civil Harassment and a Domestic Violence Restraining Order?	
		Can I get a restraining order to kick my roommate out of the house?	
		Can someone email me the forms I need to fill out?	
		How can I get a confidential address?	
	Eviction & Housing Eviction		http://www.courts.ca.gov/selfhelp-housing.htm
			http://www.courts.ca.gov/selfhelp-eviction.htm
	Foreclosure		http://www.courts.ca.gov/1048.htm
	Security Deposits		http://www.courts.ca.gov/1049.htm
			http://www.courts.ca.gov/1293.htm
	FAQs	Security Deposits FAQs	http://www.courts.ca.gov/11034.htm
	Questions that may be asked		

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		What is an unlawful detainer?	
		What can I do to stop this eviction?	
		Has an answer been filed?	
		Will this affect my credit score?	
		What are the court hours to file?	
		Can a handyman working for the landlord file an unlawful detainer against me?	
		Does the court need an additional copy?	
		How much time should the landlord give me to move out if I have a year lease?	
		The landlord gave me a three day notice but refused my rent when I tried to pay. Can he do that?	
		How can I evict a commercial tenant?	
		What do I do if my landlord does not give me my deposit back?	
		My roommate got served with an Unlawful Detainer Complaint but it does not mention me-do I have a case against me?	
		I served a 30 day notice on my tenant but they haven't moved out-what do I do?	
	Name Change Change an Adult's Name		http://www.courts.ca.gov/selfhelp-namechange.htm http://www.courts.ca.gov/1051.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	Change a Child's Name		http://www.courts.ca.gov/1052.htm
	Forms		http://www.courts.ca.gov/1053.htm
	FAQs		http://www.courts.ca.gov/1054.htm
	Questions that may be asked		
		Can I change the child's name without the other parent's permission?	
		What court do I need to file my petition to change name in?	
		How much does it cost to file for name change?	
		Can I change my name online?	
		How do I change my middle name to my maiden name?	
		I want to change my child's name and the father isn't on the birth certificate. Do I have to get his permission?	
		I want to add a last name to my child's last name and I need help.	
		I have some questions about the name change process.	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Hi, I just received my "proof of publication" as part of my name change process, but noticed that there was a typo on the form. I'm running the ad again, but it has to be in a different publication than the one I wrote on the original court documents. Is this a problem?	
		Where at the San Diego courthouse do I file my name change appeal?	
		I am filling out the paperwork to change a name. The name my mother in law used all her life is different from the birth certificate name. On the form do I put her birth certificate name and maiden name as her present name? Then do I put her married on the proposed name? The problem is her birth certificate name is different from the name she has used al her life and she can't get an ID.	
		Need to obtain record of name change and adult and it's for my mother who currently lives in another state	
		I would like to remove my last name on my child name and just leave my husband last name, but I know how to fill out the paper work	
		how do I change name if I don't live in ca anymore	
		Is there a fee to file form FL 395?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I am looking to change my name back to my maiden name. My divorce was finalized in 2007. Am I still eligible to submit a FL-395? Also the website says to submit the judgement on form FL-190 but my judgement is form FL-180 did that change and will this work? Thanks!	
		I am wondering if I file for a name change, would I have to submit the forms in person or can I have someone file it for me if I cannot get the time off work?	
		Do we have to bring copies of the newspaper where we publish the Order to Show cause for Change of Name to court?	
		I am changing my name to conform to my gender identity. is there anything I need to be aware of and how can I keep from being discriminated against? thank you	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I am trying to change my last name and my son's last name to my mother's last name (from my father's). Paternity has *not* been established for my son, though there is an open case from the County for it since 2013. Do I need to notify that person of the name change or file a due diligence on attempting to locate him? As far as I know, he does not know my son's name as it is currently and had had no contact with me since prior to my son's birth.	
		I want to get my maiden name back. I am a widow & have been for 9 years. My husband changed his name legally when he was 18. He is 51 now and does not have any paperwork which shows his old name and new name. He would like to get a passport. How can he get the paperwork showing completed name change from decades ago?	
		My question is about a name change that I processed in 1986 in the state of New Mexico. I have the court order but the order is in my stepfathers name and my birth certificate is in my mothers maiden name. I would like to get a passport for travel but they are requesting the passport in my name. Vital records will not issue a new	
		I'd like to change my name officially and am daunted by the process	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I'm interested in changing my middle and last name: middle name (as a chosen name to represent my identity) and surname (to match my partners). I live in Alameda County and I was hoping to get a list of the newspapers I have to post in and how much that costs. Thanks	
		I was at court last Friday at 11:30 for a name change for my son who is a minor (16 years old) the judge asked me and his father to come back at 2pm. We came back he heard both sides he asked we come this Friday 10/26 with my son at 2pm. I just received the court paperwork but it says 11:30 and my child is not on it. I am confused on when to come	
		doing a minor name change other person is out of state do I still post in my news paper	
		I am transgender, I had my name legally changed in Oklahoma. I am now living back in CA and want to get my birth certificate to show my new name and my true gender. Which form/s do I need?	
		Hi I wanted to change my son's last name, but we can't locate his father. Child support has even closed our case, because he lives outside of the United States. How does the process work if I am unable to locate him?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		I want to ask about what newspapers are available for posting my petition. I am looking for a budget (reasonable price) newspaper because I am petitioning with a fee waiver. I am in the Fresno area and would appreciate your assistance.	
		Hi, my ex-husband was not a biological father of my child, but when my son was born, his last name was on his birth certificate. We were divorced in 2008, and on the court papers, it states that he is not the father of my child. How can I change my son's last name, without involving my ex-husband during this process?	
		Hi, if I changed my name with SSA due to getting married recently, but now have changed my mind and would like to keep my original name, do I need to get a court order to change it back? Or can I just go to an SSA office to reverse it?	
		I want to change my name due to gender identity. Do I still have to publish the change in the newspaper? The county form does not include gender identity as an option.	
		I recently filed a petition for change of name. My question is do I send the proof of publication in 10 days prior to court hearing or bring it to court on the day of my court hearing	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		On my birth certificate I have my dads last name as my middle name and my moms last name as my last name but on My social security card, passport, license my name shows as first name and my dads name	
		we live in San Francisco, but court is always busy, so can we do it in San Mateo?	
		I am filling the form. There is a blank for case no. What should I fill out?	
		I was not able to get the notice published in time to make the set court date of October 25. I need to postpone the court date so I can have the notice published for the required 4 weeks.	
		I'm changing my name and gender marker. Per the courts.ca.gov website and my local superior court website I have obtained and filled out the relevant forms. I have the CM010, NC110, NC125, NC200, NC230, and SC2069. I wanted to verify that (a) these are all the documents I need and (b) that I filled them out correctly. I have PDF copies that I have yet to print out but are otherwise completed. (c) Do I need to also bring any particular forms of identification in order to file the forms at my local county courthouse?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		So I changed my name during the citizenship process. They just gave me a naturalization certificate with the new name. I was able to change the driver's license and SSN with that. But the banks are asking me for Name Change Decree.	
		Hello, I'd would like to check what the status is of my name change. Completed my divorce on 2/14/2018. And mailed the name change from in Aug 2018.	
		My first question is that in the online instructions, I states that come courts may require you to fill out additional local forms. Are you aware of any of these forms for Alameda County?	
		I'm helping a family complete form Nc 100 to correct name for their grandchild - they have guardianship thru county placement. Under 1 petitioner, is it the grandmothers name or child current name? I see under 5d we will list grandma.	
		I didn't change my name when I got divorced but now I want my maiden name back. How do I do that?	
	Traffic Traffic & Ticket Basics		http://www.courts.ca.gov/selfhelp-traffic.htm
			http://www.courts.ca.gov/8452.htm
			http://www.courts.ca.gov/9529.htm
	Basic Information		http://www.courts.ca.gov/9540.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Correctable Violations("Fix-It" Tickets)	
	Payment of Bail/Fines	If You Ignore Your Ticket	http://www.courts.ca.gov/9581.htm
			http://www.courts.ca.gov/trafficamnesty.htm
		Basic Information	
	Traffic School	Traffic Tickets/Infractions Amnesty Program	http://www.courts.ca.gov/9410.htm
	Arraignment and Court Trial	Basic Information	http://www.courts.ca.gov/8450.htm
			http://www.courts.ca.gov/34711.htm
		Basic Information	http://www.courts.ca.gov/34713.htm
		Traffic Court Trial	http://www.courts.ca.gov/11581.htm
		Trial by Written Declaration	
	Forms	Appeals	http://www.courts.ca.gov/1056.htm
	FAQs		http://www.courts.ca.gov/1057.htm
	Questions They May Ask:		

What is Traffic School?
Where is the nearest Traffic School?

How do I know if I qualify for traffic school.

Can I change my court date?
what is the difference between a court trial
and a trial by written declaration?
When is my court date?
How much is my fine?
How do I prove corrections?
Why do I have to pay a proof of corrections
fee?

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		How do I pay my fine?	
		How do I set up a payment plan?	
		How do I setup a court trial?	
		Can I make a payment over the phone?	
		How do I make an online payment?	
		My courtesy notice say's it is not mandatory to appear but the officer said it was, which one is it?	
		Where can I make a payment in person?	
		Can I set up a payment plan over the phone?	
		Can I cancel or reschedule a hearing over the phone?	
		Who do I contact if I received a letter from the court that says I can do traffic school?	
		I got a ticket but never received any information in the mail. What do I do now?	
		How can I get my driver's license back?	
		What date and time is walk-in day for traffic court?	
		I keep getting collections notices from the court but I was not in California for the dates mentioned. What can I do to make them stop sending these?	
		Can I pay my citation online?	
	Senior Conservatorship		http://www.courts.ca.gov/selfhelp-seniors.htm
	Conservatorship		http://www.courts.ca.gov/selfhelp-conservatorship.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
			http://www.courts.ca.gov/1300.htm
		Basic Information	http://www.courts.ca.gov/1301.htm
		Information for the Conservator	http://www.courts.ca.gov/1302.htm
		Information for the Conservatee	http://www.courts.ca.gov/1303.htm
		Forms	
	Questions They May Ask:	Conservatorship FAQs	
		I have a power of attorney for my parent, who now has dementia. Do I need a conservatorship?	
		How do I get permission to pay the bills while I am waiting for the conservatorship hearing?	
		Will the court appoint an attorney for the conservatee?	
		Whose side is the investigator on?	
		I am my child's SSI payee. Do need conservatorship of the estate?	
	Problems with Money	My aging parent has dementia. Is there somewhere I can get help?	http://www.courts.ca.gov/selfhelp-problemswithmoney.htm
	Basics		http://www.courts.ca.gov/1061.htm
	Small Claims Cases for $10,000 or Less	Overview	http://www.courts.ca.gov/1062.htm
	Questions They May Ask:	Basic Information	
		What do I do if the defendant does not pay the Judgment?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	Limited Civil		http://www.courts.ca.gov/1064.htm
			http://www.courts.ca.gov/1304.htm
		Basic Information	http://www.courts.ca.gov/1305.htm
		Suing Someone	http://www.courts.ca.gov/1306.htm
		Being Sued	http://www.courts.ca.gov/1307.htm
		Before the Trial	http://www.courts.ca.gov/1308.htm
		Prepare for Trial	http://www.courts.ca.gov/1309.htm
		The Trial	http://www.courts.ca.gov/1310.htm
		Collecting the Judgement	http://www.courts.ca.gov/1311.htm
		Paying the Judgement	
	Questions They May Ask:	Resolving the Case Out of Court	
		When do we set hearings?	
		What are the filing fees?	
		When is my law and motion hearing?	
		Am I required to file a trial brief?	
		What is the timeline for filing a civil case management conference?	
		What is the timeline for filing a trial readiness conference?	
		What is the timeline for filing a mandatory settlement statement?	
		How do I get a subpoena?	
		Who can serve a subpoena?	
		What is the timeline to serve a subpoena?	
	Criminal Law		http://www.courts.ca.gov/selfhelp-criminallaw.htm
	Basics of Criminal Court		http://www.courts.ca.gov/10214.htm
		Basic Information	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	How Criminal Cases Work	Basic Information	http://www.courts.ca.gov/1069.htm
	Cleaning Your Record	Basic Information	http://www.courts.ca.gov/1070.htm
	Forms	Basic Information	http://www.courts.ca.gov/1330.htm
	FAQS		http://www.courts.ca.gov/1071.htm
	Questions That May be Asked:		
		What day is my court date?	
		Can I get pardoned?	
		What time is my court date?	
		How to get a certified copy?	
		What is my case status?	
		What is a case disposition?	
		How do I get my case expunged?	
		What requires certification?	
		How do I file a certain petition?	
		Whose my Public Defender?	
		What do I do if I miss my court date?	
		What are the court hours?	
		Where is the jail?	
		Do I have court today?	
		What is my case number?	
		How can someone who is in jail in another county contact the criminal clerk?	
	Civil Appeals Basics	Can I expunge a felony?	http://www.courts.ca.gov/selfhelp-appeals.htm http://www.courts.ca.gov/12429.htm

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		Basic Information about Civil Appeals	http://www.courts.ca.gov/12430.htm
		Basic Information About Appeals	http://www.courts.ca.gov/12431.htm
		Appellate Courts	
	Options to Appealing	Appeals Process	http://www.courts.ca.gov/5804.htm
	Steps to Appeal	Appeal Options	http://www.courts.ca.gov/8546.htm
			http://www.courts.ca.gov/12428.htm
		Basic Overview of Appeal Steps	http://www.courts.ca.gov/12426.htm
		Filing the Notice of Appeal	http://www.courts.ca.gov/12425.htm
		Abandonment or Settlement	http://www.courts.ca.gov/12424.htm
		Waiver of Fees	http://www.courts.ca.gov/12423.htm
		Designating the Record	http://www.courts.ca.gov/12422.htm
		Civil Case Information Sheet	http://www.courts.ca.gov/12421.htm
		Briefs	http://www.courts.ca.gov/12420.htm
		Oral Argument	
	After the Appeal	The Courts Decision	http://www.courts.ca.gov/8547.htm
			http://www.courts.ca.gov/12419.htm
		What to Do After Appeal	
	Forms	Petition for Rehearing	http://www.courts.ca.gov/8545.htm
	FAQs		http://www.courts.ca.gov/8551.htm
	Questions They May Ask:		
	Gender Change		http://www.courts.ca.gov/genderchange.htm
	Gender Change Forms		http://www.courts.ca.gov/11183.htm
		Basic Information	
	Questions They May Ask:	Basic Information	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
	Wills, Estates and Probate		http://www.courts.ca.gov/8865.htm
	Affidavit for Transfer of Personal Property of 150,000 or Less		http://www.courts.ca.gov/10440.htm
		What are Wills, Estates, and Probates Place in The Court	
	Questions They May Ask:	Basic Overview	
		My father-in-law passed away this summer and there is a pending probate matter. My husband and I live in Colorado and have been told that he has to file a Request for Notification himself because the estate's Help filing Petition for Final Distribution and Order to pay creditors and terminate Estate upon doing so.	
General Public/Citizens		My mom died and left a few thousand dollars in a bank account. How can I get it?	
Jurors	Questions They may Ask:		
		Can I be excused from jury duty? How do I postpone jury duty? can I postpone on behalf of my child? What is jury duty? What is a trial? Will I be reimbursed for my time? What is a jury summons?	

APPENDIX B: USER STORIES

User Types	Topic/Domains	User Intention	Value User Gets From Intention
		What happens if I miss my jury duty summons date?	
		I am a college student, can I be excused?	
Compliance	Questions They May Ask:	My mom got a notice for Jury duty but she died-what should I do?	
		What if I cant pay my fine? What happens if I miss a payment? What happens if it goes to collections? What do I do about my citation?	
Grand Jury	Questions They May Ask:	What if I cant afford my payments?	
		How do I resign? What are the chances of me getting off the alternate list? Is a Grand Jury invite like a summons?	
		What does being on the Grand Jury Mean?	
Court Services	Questions They May Ask:	What are the commitments of being on a grand jury?	
		Where do I get a copy of my marriage, birth, or death certificate/ Where do I register to vote?	
Traffic Citations		Are there any warrants for my arrest?	LA Gina Avatar

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/Opt	Evaluation C	Criteria Values	Criteria Notes
1	Integration	F	Chatbot must be able to ingest information from different data sources and types.	The chatbot solutions must be able to ingest information from different data sources and types like websites, databases, structured and nonstructured files, etc.	Y	Optional	Y **Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
2	Machine Learning/AI	F	Chatbot must be able to provide relevant information to users.	Chatbot should provide relevant information to the request, not just provide links to resources.	Y	Mandatory	Y **Grading Scale 1-5 (ease of training)**	1 - Impossible to train 2 - Requires HEAVY investment of SME to train 3 - Requires MODERATE investment of SMEs 4 - Requires LITTLE investment of SMEs 5 - Requires NO investment of SMEs to train	Little investment = less than 25% Moderate = 25-50% Heavy = greater than 50%
3	Usability/User Experience	F	Chatbot should ask questions to help refine the request	Chatbot should ask probing questions to help identify and refine the request	Y	Mandatory	Y **Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
4	Usability/User Experience	C	Provide waypoint directions to judicial resources (branch and courts)	Chatbot shall provide waypoint information and directions for judicial resources, such as courthouses, self-help centers, parking, etc.	Y	Mandatory	Y **Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
5	Usability/User Experience	F	Support multiple languages	The chatbot should be available in multiple languages both verbally and in text responses.	Y	Mandatory	Y **Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources without of the Box without customization	
6	Usability/User Experience	F	Recognize returning users	The chatbot should be able to identify returning users to aid in identifying service needs and following up on questions.	Y	Optional	Y Binary		Should also need to be able to forget someone and clear the session
7	Usability/User Experience	F	Handoff	Chatbot must be able to interface with individual counties and hand off the chat to the relevant county at the correct time. If the county has chat ability, that handoff should be invisible to the user. All data provided to the initial chatbot should be passed forward so there is no replication of questions/answers. If the relevant county has the ability, data/answers from the chatbot should be passed in a useful way, such as filling in forms or doing a case lookup.	Y	Optional	Y **Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources without of the Box without customization	

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/O…	Evaluation C…	Criteria Values	Criteria Notes
8	Usability/User Experience	F	Share documentation with User (aka Electronic Transcript of conversation)	User should be offered an email with full text of the chat so that the user can have their questions and chat answers as a reference/resource (i.e. where to go to file something, what forms may be needed, etc.)	Y	Optional	Y Binary		
10	Accessibility	N	Accessible via internet browsers	The chatbot should be accessible via internet browsers. Should support the top browsers (Internet Explorer/Edge, Chrome, Firefox & Safari). Version support shall cover the	Y	Mandatory	Y Binary		
11	Compliance	N	The chatbot must comply with Title II of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973.	The chatbot must comply with Title II, section 508 of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973 to require federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities.	N	Mandatory	Y Binary		
12	Accessibility	F	Accessible via mobile devices	The chatbot shall be accessed via mobile devices operating on the iOS and Android OS.	Y	Mandatory	Y Binary		
13	Compliance	N	The chatbot must comply with the current version of the Web Content Accessibility Guidelines (WCAG).	The Web Content Accessibility Guidelines (WCAG) are part of a series of web accessibility guidelines published by the Web Accessibility Initiative (WAI) of the World Wide Web Consortium (W3C), the main international standards organization for the internet.	N	Mandatory	Y Grading Scale 1-5	1 - Does not meet 2 - Meets 25% 3 - Meets 50% 4 - Meets 75% 5 - Meets 100%	
14	Compliance	N	The chatbot shall be secure and meet the guidelines set forth in the NIST SP800-53 standards.	NIST Special Publication 800-53 provides a catalog of security controls for all U.S. federal information systems except those related to national security. It is published by the National Institute of Standards and Technology, which is a non-regulatory agency of the United States Department of Commerce.	Y	Mandatory	Y Binary		
15	Machine Learning/AI	C	Access to forms	Chatbot shall provide links to online forms	Y	Mandatory	Y **Grading Scale 1-5 (ease of training)**	1 - Impossible to train 2 - Requires HEAVY investment of SME to train 3 - Requires MODERATE investment of SMEs 4 - Requires LITTLE investment of SMEs 5 - Requires NO investiment of SMEs to train	Little investment = less than 25% Moderate = 25-50% Heavy = greater than 50%
16	Security	N	Secure communication	The chatbot must support a secure communication channel to protect communications and document transfers.	Y	Mandatory	Y Binary		

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/O	Evaluation C	Criteria Values	Criteria Notes
17	Usability/User Experience	F	Chatbot Transaction	The chatbot should offer services beyond information by providing either a link (a URL) or online, automated services to complete transactions. For example, jurors may need information but may also need to complete transactions (reporting instructions, postponement, etc.) that should be able to be completed as part of the session.	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
18	Usability/User Experience	F	Self-Help Appointment	Chatbot must link to certain self-help websites (calendar system--same as #24)	Y	Optional	Y	**Grading Scale 1-5 (ease of training)**	1 - Impossible to train 2 - Requires HEAVY investment of SME to train 3 - Requires MODERATE investment of SMEs 4 - Requires LITTLE investment of SMEs 5 - Requires NO investiment of SMEs to	
19	Usability/User Experience	C	Court Services	The Chatbot must direct the user to the appropriate location to find the answers to the user's questions	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
20	Usability/User Experience	C	Paying Fines Online	Chatbot must be able to direct user to the correct online site to pay fines	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
21	Usability/User Experience	C	Hours of Operation	Chatbot must direct user to the correct location on the correct court website or display the correct hours of operation	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
22	Usability/User Experience	C	Court Interpreter	Chatbot must provide correct and relevant information pertaining to court interpreters and locate and display the process to acquire the services of a court interpreter	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
23	Usability/User Experience	C	ADA	Chatbot must provide information about the court's duty to meet ADA requirements and to provide access to any forms necessary to ask for accommodations.	N	Mandatory	Y	Binary		
24	Usability/User Experience	F	Calendars	Chatbot must identify the customer's need then locate and retrieve the correct information about the hearing or other event to which the customer is referring.	Y	Optional	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
25	Usability/User Experience	C	Referrals to resources outside of the court	The chatbot must identify the need the customer is expressing and then locate and retrieve information about resources (such as the law library or domestic violence shelter) that are available to assist the customer with their identified issue.	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/Optional	Evaluation C	Criteria Values	Criteria Notes
26	Usability/User Experience	C	E-filing	The chatbot must provide information, including links to providers, about the e-filing process.	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
27	Usability/User Experience	C	Service of Process	The chatbot must determine the case type and service of process requirements for the action, then direct the individual on the correct procedure.	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
28	Usability/User Experience	C	Traffic School	The chatbot must provide the user with information about local traffic schools and the requirements (like fees) to attend.	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
29	Usability/User Experience	F	Appearance	The chatbot should determine, based on case type, whether the user must make a court appearance.	N	Optional	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
30	Usability/User Experience	F	Jury Service	The chatbot should provide information about the user's current jury duty service (such as date of impending service) and also provide information about how to change or obtain a waiver for service.	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
31	Usability/User Experience	C	Missed payment	The chatbot should provide information about user debt to the court, including information about how to rectify the problem when there has been a missed payment.	N	Optional	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
32	Usability/User Experience	C	Grand Jury	The chatbot should provide information about how to serve on the grand jury.	N	Mandatory	Y	**Grading Scale 1-5**	1 - Basic Information Supplied 3 - Provides limited assistances 5 - Provides advanced assistance to whole conversation (info, form filling, set appointments, etc)	
33	Security	N	Privacy Information Protection	The chatbot should not retain or record any personal identifiable information (i.e., SSN, address locations, driver's licenses, etc.)	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
34	Operational	N	Chatbot Availability	The chatbot should be available 24/7 x365		Mandatory	N	Grading Scale 1-5	1 - Does not meet 2 - Meets 25% 3 - Meets 50% 4 - Meets 75% 5 - Meets 100%	
35	Security	N	Encrypted storage	Data at rest shall be encrypted		Mandatory	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/Optional	Evaluation C	Criteria Values	Criteria Notes
36	Operational	N	Business Continuity and Disaster Recovery	The chatbot service must be designed to provide continuation service in the event of equipment failure		Mandatory	Y	Grading Scale 1-5	1 - Does not meet 2 - Meets 25% 3 - Meets 50% 4 - Meets 75% 5 - Meets 100%	
37	Infrastructure/Hosting	N	Hosting	Chatbot services shall be hosted in a FedRAMP (moderated) certified data center		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	Exceeds expectations is when DC is FedRAMP (high) certified
38	Policy	N	Information Sharing	Vendor shall not share any chatbot information (logs, knowledge bases, etc.) with partners or 3rd party vendors without authorized consent.		Mandatory	N	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	Exceeds = proactive services to ensure info is not shared without consent. For example: Provide access audits for
39	Operational	N	Alerts and Monitoring	Solution shall be monitored 24/7 for system availability to ensure it meets the SLA.		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
40	BC/DR	N	Outage Notification	Solution shall send out an alert and notification to a distribution list based on threshold rules		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
41	Operational	F	Configuration	Chatbot solution shall be configurable to support different usage types	N	Mandatory	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	Able to support multiple knowledge domains from potentially different vendors and chatbots services
42	Operational	F	Delegated Administration	Chatbot solution shall support delegated administration	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
43	Operational	F	Support RBAC Model	The chatbot solution shall support a Role Based Access Control Model	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
44	Compliance	N	Non-US authorized operators and administrators	System shall not a) perform any of its obligations from locations or using employees, contractors and/or agents situated outside the United States, or b) directly or indirectly (including through the use of subcontractors) store any Data outside the United States, nor will the Contractor allow any Data to be accessed by Contractor's employees, contractors and/or agents from locations outside the United States, without prior written consent of the JCC.		Mandatory	Y	Binary		

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/O...	...Evaluation C	Criteria Values	Criteria Notes
45	Education/Training	N	Training for knowledge domain managers	Provide training for users who will be managing and monitoring chatbot knowledge and responses		Mandatory	Y	**Grading Scale 1-5** 1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
46	Usability/User Experience	N	Intuitive Interface for General Public	The chatbot interface should be intuitive to the general public so no training is required.		Mandatory	Y	**Grading Scale 1-5** 1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	
47	Usability/User Experience	F	Session Timeout	The chatbot must automatically end session after X (configurable) minutes of inactivity. It shall provide notice to end user when this occurs.	Y	Mandatory	Y	**Grading Scale 1-5** 1 - Capability does not exist 3 - Has capability but not configurable 5 - Has capability is configurable	
48	Reporting/Metrics	F	Foundation Activity Reporting	Reporting shall include information like number of transactions, sessions, availability, downtime, etc.	Y	Mandatory	Y	**Grading Scale 1-5** 1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	Define what is the minimum needed activity reporting
49	Reporting/Metrics	N	Metrics	Metrics for measuring success of each chatbot project or user story. How many people using chatbot for each purpose and is the user number rising? Are there return visits? Are call and/or email volumes reducing? Are chatbot users transitioning from chatbot to assisted chat or getting lost - Analyze the unproductive interactions.		Mandatory	Y	**Grading Scale 1-5** 1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	What level of analytics are provided? Need to define what the minimum analytics are for meets expectations
50	Reporting/Metrics	F	Printable	Reports should be printable	N	Mandatory	Y	Binary	
51	Usability/User Experience	F	Feedback/survey	The chatbot should inquire users to determine if the chatbot was useful, and/or areas for improvement.	Y	Mandatory	Y	**Grading Scale 1-5** 1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
52	BC/DR	N	Recovery Point Objectives	The solution shall have a Recovery Point Objective (RPO) of no more than X mins (X TBD)		Mandatory	Y	**Grading Scale 1-5** 1 - Does not meet 3 - Meets expectations 5 - Exceeds expectations	Meets expectations is equal to X mins Exceeds = 50% less than X

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/On	Evaluation C	Criteria Values	Criteria Notes
53	BC/DR	N	Recovery Time Objectives	The solution shall have a Recovery Time to Operations (RTO) of no more than Y hour (Y TBD)		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet	3 - Meets expectations	5 - Exceeds expectations	Meets expectations is equal to Y Hours Exceeds = 50% less than Y
54	BC/DR	N	Outage Root Cause Analysis	In the event of an outage, provide report on incident and root cause analysis+[@[Detailed Description]].		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet	3 - Meets expectations	5 - Exceeds expectations	Meets expectations = provides high basic root cause (Example: RCA =server/component failed) Exceeds = provide detail analysis/report Example: Server failed due to out of memory and/or storage
55	Education/Training	N	Online Documention	Solution has online training and support materials are available to chatbot support users, developers, and admininstrators.		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet	3 - Meets expectations	5 - Exceeds expectations	
56	Technical Support	N	Help Desk	Provide help desk support for end users (Redirect to live agent).		Optional	Y	**Grading Scale 1-5**	1 - Not Available	2 - Supports limited sources	3 - Requires 3rd Party Integration	4 - Supports all major sources with customization	5 - Supports all major sources out of the Box without customization	
57	Policy	N	Data Ownership	Data is owned by Courts of CA. If needed, describe how data may be exported or transferred to another provider.		Mandatory	N	Binary		
58	Infrastructure/Hosting	N	Support Production/Lower Environments	Must be able to support production and lower environments		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet	3 - Meets expectations	5 - Exceeds expectations	Meets = production and 1 lower environment Exceeds = greater than 1 non prod environment
59	Audit/Logging	N	Logging	The solution maintains logs for all actions and operations for auditing, tracking, analysis and debugging. Users, including Administrators, cannot modify the logs.		Mandatory	Y	**Grading Scale 1-5**	1 - Does not meet	3 - Meets expectations	5 - Exceeds expectations	

ID	Category	Func/NonFunc/Content	Title	Detailed Description	Include in RFP Demo	Mandatory/Opt	Evaluation Cr	Criteria Values	Criteria Notes
60	Usability/User Experience	F	Natural Language Processing	NLP enhances conversational experience to gain more accurate responses. It uses knowledge of sentence structure, idioms, slang, abbreviations, and machine learned pattern recognition to try match "intent" like a human being. Can help to prioritize unsatisfied or angry customers and connect them to humans.	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
61	Usability/User Experience	F	Biometrics	Ability to identify proof through voice or other means?	Y	Optional	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the	
62	Usability/User Experience	F	Integration	Able to integrate with calendaring systems for making self-help appointments (same as self-help appointments and calendaring)	Y	Optional	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	Yes
63	Usability/User Experience	F	Machine Learning/AI	Ability to consume prior chatbot conversations, identify and develop improve responses	Y	Mandatory	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
64	Security	F	Authentication	Chatbot should be able to integrated with an authentication service such as Azure AD	Y	Optional	Y	**Grading Scale 1-5**	1 - Not Available 2 - Supports limited sources 3 - Requires 3rd Party Integration 4 - Supports all major sources with customization 5 - Supports all major sources out of the Box without customization	
65	Administrative	N	Operational Administration	Level of expertise required to operate and manage the chatbot platform		Mandatory		**Grading Scale 1-5**	1 - Requires HIGH level of expertise/training 3 - Requires MODERATE level of expertise/training 5 - Requires LOW level of expertise/training	LOW = Intuitive and can learn from online documentation MODERATE = requires training (1-2 days) HIGH = requires
66	Maintability	F	Machine Learning/AI	Level of automation required to maintain and train chatbots	Y	Mandatory		**Grading Scale 1-5**	1 - Not Available 2 - Requires 3rd Party Integration 3 - Out of the Box with Limited Automation - unable to integrate with 3rd party 4 - Out of the Box with Limited Automation requiring 3rd Party integration to meet needs 5 - Out of the Box - Full Automation	What types or automation tools are included

APPENDIX D: KPIs

Name	Descriptions	How to Measure	Target	Success Factors
Accuracy	Acquiring users is one thing, but making sure the users utilize the bot for its intended purpose is key. This is where the activation metric comes in. Does the user respond to your bot's opening message with relevant questions? If not, how can you adjust the message to make sure users understand how to use the bot?	Q: How to measure this? More for search results?		
Activation Rate				
Chat completed %	Percentage of the chat sessions that were completed successfully	Percentage of total completed/total sessions		In Year 1, More than 80% of chat session successful complete
Chat dropped %	Percentage of chat sessions that were dropped	Chat dropped sessions/chat total sessions		
Chat dropped	Number of chats sessions that were timed out or lost connection			
Chat Duration	Capture the duration of a chat conversation	Measure in time (in seconds). Min, Max, and Average		
Chat missed %				In Year 1, Less than 10% missed session
Chats completed Total	Total number of chat sessions completed successfully	This is a count of the total number of chat session successfully completed in a day, week, month, etc.		

APPENDIX D: KPIs

Name	Descriptions	How to Measure	Target	Success Factors
Chats missed	Total number of chat sessions opened and ended before active conversation was started			
Chats Rating	Capture UX of the chat experience (1 to 5 stars)	Measure UX rating in number of stars		Chat Rating of Average of 3.5 for year 1 with goal of 4
Fall Back Rate (FBR)	No chatbot is perfect. There are fallbacks in almost every chatbot at some point. The rate of fallback of a chatbot can be in different ways, the KPI metrics divide these fallbacks into different categories and the following are the chatbot related ones: - Rate of Confusion - Session Length/Steps per conversation - Session Length/Time spent per Session	Number of sessions that transfer to a live chat or provide contact information (if the conversation has many steps and results in providing the user with either a livechat option or providing alternative contact information, this would be counted as a fall back) The Fall back rate will be the percentage of the number of conversation that concludes with one of the previously describe outcomes.		
Feedback comments				
Number of new users using bots daily, weekly, monthly	Track number of new users?	Q: How? by different IP addresses? MAC Addresses? Sessions? Collect this information for analytics.		

APPENDIX D: KPIs

Name	Descriptions	How to Measure	Target	Success Factors
Number of Volunteer Users (organic users)	As users of chatbots, we know that once we use a chatbot in a messaging platform, we get notifications from those chatbots reminding us to chat again and again. (which is sometimes a little bit annoying). But if your clients come and use your chatbot, without even getting notified, that is a really countable measurement. This means that the specific user comes in with a real purpose.

It's super-annoying when a chatbot keeps popping up, begging us to use it. So if users come back of their own accord without being prompted, that's a great sign — and a metric worth counting. 'Organic' users come in with a purpose; you can measure their number through messages initiated by the user, not the bot. | Number of self initiate chat sessions. User accesses chatbot without being prompted | | 50% of sessions access chatbots without being nudged |

APPENDIX D: KPIs

Name	Descriptions	How to Measure	Target	Success Factors
Pain Points	It will be important to understand where things get hairy with your bot's user experience. You could chalk slow adoption up to users' apprehension to change, but there will likely be at least a few bugs you can fix to make the process run more smoothly following your launch date.	Q: Can this be measured? How? This is more for analysis to identify where sessions are behind dropped		
Rate of Confusion	Confusion Rate = Number of times the chatbot had to fallback / Total Messages Sent	Percentage of Fall Backs/Total Sessions (Daily, Weekly, Monthly, Quarterly, etc.)		
Response Time	Time it took for the initiation of conversation	Measure in time (in seconds). Min, Max, and Average	For chatbot less than 2 seconds	95% of all chat sessions respond within 2 seconds
Session Length/Steps per conversation	Captures number of steps per conversation	Number of steps per domain		
Session Length/Time spent per Session	Captures the duration of a session			
Total Chats served	Total number of chat sessions opened			
Wait time (missed)	Same as chat missed			
Wait time (served)	For LiveChat, this is the wait time before an agent becomes available			

APPENDIX E: EXAMPLE OF CHATBOT DISCLOSURE, PRIVACY POLICY, AND DISCLAIMER

Draft Disclosure, Privacy Policy, and Disclaimers

Business and Professions Code section 17940 requires that the bot disclose that it is a bot when it delivers service. The suggested disclosure is just, "Hi! I am a bot."

DISCLOSURE STATEMENT:

"Hi! I am a bot."

PRIVACY STATEMENT:

We do not collect, nor do we retain, any personal information or data. If there are any changes to this policy, such changes will be posted on the Judicial Council of California's website. Third parties are prohibited from tracking and/or collecting any information or other data about any person through this bot, website, and/or any app affiliated with the Judicial Council of California.

DISCLAIMER STATEMENT:

The (Judicial Council of California website or wherever the bot is located) and the documents, forms, and/or information provided are provided conditioned upon your acceptance of these disclaimers and/or terms, and any other disclaimers and/or terms that we may provide.

The purpose of this (site, chat, etc.) is to provide legal information to the public. We do not and will not represent any person or party in any case, action, or controversy. We do not give legal advice. The information provided herein is general in nature. There may be additional forms and rules that are local to your court or jurisdiction in which you or your case are located.

This (website, app, chatbot, etc.) and the information provided herein is not intended as legal advice. You should consult with an attorney to receive any legal advice about your issue or case.

We disclaim any and all liability and make no warranties about any of the forms, documents, or information contained herein. We will have no responsibility or assume any liability for any claim of loss, injury, or damage resulting from your use of the forms, documents, or information provided herein.

APPENDIX F: EXAMPLE OF INTERNAL POLICIES

1. The chatbot shall have a warning displayed to all users of the nature of the technology being used. Specifically, that warning should include that the interaction is with a chatbot and that the chatbot may rely on other chatbots for information.

2. The chatbot shall provide the users an opportunity to erase their data at the end of the session.

3. The chatbot shall have a human point of contact whereby inappropriate information or actions by the chatbot may be reported for investigation and corrective action. Access to that point of contact should be available by hyperlink on the chatbot interface.

4. The point of contact shall have means readily available to suspend the chatbot's operation.

5. The chatbot should have a list of words and phrases it will not use. In the court environment, people may come for concerns about discrimination, including use of racial epithets against those persons. The chatbot shall be instructed on the appropriate use of that information. Moreover, the chatbot shall not use those words when responding to a user.

6. The chatbot should not provide any personal information. Additionally, it should only take the personal information necessary to identify a problem. It should, under no circumstances, take personal identifying information including, but not limited to, driver's license numbers, dates of birth, or social security numbers.

7. The chatbot shall be programmed to conform with Isaac Asimov's three laws: A robot may not injure a human being or, through inaction, allow a human being to come to harm. A robot must obey orders given it by human beings except where such orders would conflict with the First Law. A robot must protect its own existence as long as such protection does not conflict with the First or Second Law.

REFERENCES

https://www.geekwire.com/2018/will-rogue-ai-chatbots-emerge-2019/
https://www.alphr.com/technology/1006395/microsoft-s-chatbot-zo-has-gone-rogue-and-is-slating-windows
https://www.informationweek.com/iot/google-developing-panic-button-to-kill-rogue-ai/d/d-id/1325783
https://www.socialmedialawbulletin.com/2017/06/chatbots-legal-issues/
https://www.ibm.com/blogs/watson/2017/10/the-code-of-ethics-for-ai-and-chatbots-that-every-brand-should-follow/
https://adtekr.com/advertising/hey-chatbot-what-are-the-legal-issues/
https://www.designnews.com/electronics-test/how-can-engineers-stop-ai-going-rogue/54158381258137
https://chatbotsmagazine.com/preventing-bot-rot-how-to-keep-your-chatbot-healthy-18b6724e47a3

APPENDIX G: EXAMPLE OF RECOMMENDED APPLICABLE USE POLICY VIA WEB GOVERNANCE

An Applicable Use Policy dictates the parameters of chatbot interactions in terms of the type of information provided, the areas of law that would be addressed, and that the chatbot does not create an attorney/client relationship. Importantly, the policy should state what the platform cannot be used for. Examples of Applicable Use Policy content is as follows:

1. Does not provide legal advice

2. Does not violate confidentiality

3. Does not create an attorney/client relationship

4. Not used for criminal cases

5. Does not create a liable situation for the courts and the branch

Further discussion is needed around these areas with the input of appropriate Subject Matter Experts.

8.3 Tools

- SharePoint is an effective collaboration application overall, but some features are more effective than others. For example, the discussion board feature is cumbersome, so usage was low.
- SharePoint Lists were an effective way to gather business requirements from workstream members.
- Need a work-around for SharePoint if access isn't available.
- All courts should allow access to SharePoint. Staff at courts where this was not allowed had to work offsite, using personal equipment.

8.4 Project Management

- Periodic in-person meetings were essential to the effectiveness of the workstream, as was providing better communication.
- Establishing roles and responsibilities aided in managing the work efforts.
- Clearly identifying workstream deliverables at the beginning of the project helped set expectations regarding workstream members' time commitment.
- Having specific and smaller assignments helps workstream members participate effectively. Bringing together the Business and Court Operations Track and the Technology Track for deliverables discussions was successful and important to ensure all perspectives were addressed.
- From a project management perspective, two weeks was a good cadence; however, from a workstream member perspective, this was challenging.
- Agendas and straw man documents, as well as existing content created by the core project team, were shared prior to each call; minutes were published following the calls.
- Organizing by track was effective and helped move the project more quickly.
- Amount and type of communication was appropriate (twice monthly) for the workstream. Meeting notes were captured and available on SharePoint.
- Meeting notes are helpful for developing findings and recommendations.

> "The new spring in AI is the most significant development in computing in my lifetime. Every month, there are stunning new applications and transformative new techniques. But such powerful tools also bring with them new questions and responsibilities."
>
> *– Sergey Brin, President, Alphabet, Inc.*

9.0 CONCLUSION

The Intelligent Chat Workstream's research and analysis shows that chatbots are part of current norms. As with all technology, they have their advantages and disadvantages. Customers have indicated that they will certainly turn to a chatbot to solve simple issues and to save even small increments of time. On the other hand, for

more complex problem solving and for a more satisfying interaction, customers prefer to talk with a human customer service agent. However, given the reality of budget constraints and the limitations of regular business hours, chatbots can and should play a role in serving judicial branch customers.

Ample developed content already exists for subject matter experts to expand upon to train chatbots. In addition, live chat projects have shown that many customers do have relatively simple questions. The chatbot would transfer customers with more complex questions to a live agent. The branch can save money and customers can save time by allowing a chatbot to field those simple questions.

By starting with a small and straightforward area of court operations or law, the branch can gain experience in training chatbots. Customers' interactions with the bot will be fed back into the system to continually improve the accuracy of chatbots' answers. Chatbot technology is still evolving; however, by starting now, the branch will be well positioned to leverage the technology to better serve the people of California.

10.0 WORKS CITED

Bradford, Laurence. "How Chatbots are About to Change Communication." *Forbes.com,* 24 July 2017. www.forbes.com/sites/laurencebradford/2017/07/24/how-chatbots-are-about-to-change-communication/#3cd2cd5e4aa8.

Brown, Eileen. "Over Half of Consumers Will Choose a Chatbot Over a Human to Save Time." *ZDNet*, 2 January 2019, www.zdnet.com/article/over-half-of-consumers-will-choose-a-chatbot-over-a-human-to-save-time/.

Conn, Ariel. "Ethics and Creativity in Artificial Intelligence: An Interview with Mark Riedl." *HuffPost* (blog post), 1 June 2017, www.huffpost.com/entry/ethics-and-creativity-in-artificial-intelligence-an_b_593047b4e4b09e93d7964848.

"Consumers: Chatbots Still Too Dumb to Get the Job Done." Pegasystems, Inc. news release, 9 October 2018, www.pega.com/about/news/press-releases/consumers-chatbots-still-too-dumb-get-job-done.

Dudley, Emma, Lin, Diann-Yi, Mancini, Matteo, and Ng, Jonathan. "Implementing a Citizen-Centric Approach to Delivering Government Services." McKinsey & Company (white paper), July 2015. www.mckinsey.com/industries/public-sector/our-insights/implementing-a-citizen-centric-approach-to-delivering-government-services.

Gershgorn, Dave. "Here's How We Prevent the Next Racist Chatbot." *Popular Science*, 24 March 2016, www.popsci.com/heres-how-we-prevent-next-racist-chatbot.

"Gina—LA's Online Traffic Avatar Radically Changes Customer Experience." Self-Represented Litigation Network, news release, 16 October 2016, www.srln.org/node/1186/gina-las-online-traffic-avatar-radically-changes-customer-experience-news-2016.

Griffith, Erin and Simonite, Tom. "Facebook's Virtual Assistant M is Dead. So Are Chatbots." *Wired*, 8 January 2018. www.wired.com/story/facebooks-virtual-assistant-m-is-dead-so-are-chatbots/.

Kozhaya Joe. "10 Steps to Train a Chatbot and Its Machine Learning Models to Maximize Performance." *The developerWorks blog* (IBM Corp.), 12 December 2016, https://developer.ibm.com/dwblog/2016/10-steps-train-chat-bot-chatbot-machine-learning/.

Mills, Terence. "What Is Natural Language Processing and What Is it Used For?" *Forbes Technology Council* (sponsored blog), 2 July 2018. www.forbes.com/sites/forbestechcouncil/2018/07/02/what-is-natural-language-processing-and-what-is-it-used-for/#23fbe7a95d71.

Price, Rob. "Microsoft is Deleting Its AI Chatbot's Incredibly Racist Tweets." *Business Insider*, 24 March 2016, www.businessinsider.com/microsoft-deletes-racist-genocidal-tweets-from-ai-chatbot-tay-2016-3?r=UK&IR=T.

Rosenberg, Scott. "Why AI Is Still Waiting for Its Ethics Transplant." *Backchannel* (Wired.com blog) 1 November 2017, www.wired.com/story/why-ai-is-still-waiting-for-its-ethics-transplant/.

Sengupta, Rajarshi and Lakshman, Shankar. "Conversational Chatbots—Let's Chat." Deloitte (white paper), June 2017, www2.deloitte.com/content/dam/Deloitte/in/Documents/strategy/in-strategy-innovation-conversational-chatbots-lets-chat-final-report-noexp.pdf.

Smiers, Leon. "Chatting with the Chatbots? How Intelligence Makes the Conversation Work." Capgemini.com (blog post), 23 May 2017, www.capgemini.com/2017/05/chatting-with-the-chatbots-how-intelligence-makes-the/.

Sweezey, Matthew. "69% of Consumers Prefer Chatbots for Quick Communication with Brands." *Salesforce Blog*, 29 January 2018, www.salesforce.com/blog/2018/01/why-consumers-prefer-chatbots.html.

Taulli, Tom. "What You Need to Know About Machine Learning." Forbes.com (blog post), 2 March 2019, www.forbes.com/sites/tomtaulli/2019/03/02/what-you-need-to-know-about-machine-learning/#2bf2bec22fe4.

Voss, Peter. "Beyond Chatbots: Hyper-Personalized, Intelligent Assistants." *Cognitive World* (sponsored blog), 25 February 2019, www.forbes.com/sites/cognitiveworld/2019/02/25/beyond-chatbots-hyper-personalized-intelligent-assistants/#52c401c92aba.

May 2020 Progress Report

1.2. Futures Commission Directive: Voice-To-Text Language Services Outside the Courtroom (Phase 1)

> ⭐ **Highlight:** The workstream is drafting their findings and recommendations report.

	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	Completed	**The core team has been formed.** It includes: Executive Sponsor, Judge James Mize, (Sacramento); Business Lead, Heather Pettit, Judicial Council Information Technology (JCIT); and Project Manager, Rick Walery, (IT Director, San Mateo). In late August, a memorandum was distributed to the branch (appellate and trial court presiding judges, CEOs, and CIOs) seeking nominations for members, and including expectations and next steps. Final membership was approved in September, after which a kickoff meeting was held in October. **The project team has been formed.** The team includes members from a diverse set of courts and the Judicial Council. Expertise on the team ranges from multiple members with IT-related experience, a member who previously was a translator, and multiple members with first-hand knowledge or working with LEP customers at a court. Additionally, the **budget change proposal for FY19-20** was approved to support a formal pilot to further test the technology.
Define the standard of success and how to measure it as well as define the difference between translation and interpretation.	Completed	The project team has been divided into 2 tracks – a **Metrics** track, and a **Vendor** track. The Metrics track has chosen a 1-5 scale, with definitions for each number, for both voice recognition/transcription, and text translation. These scores will be used when testing the solutions using prewritten scripts provided by workstream members.
Determine how, or if, the work for this initiative aligns with existing work of the Language Access Plan Implementation Task Force (LAPITF) and the work of The Legal Design Lab at the Stanford University Law School.	Completed	The project leads attended presentations prepared by students in the Legal Design Lab at the Stanford University Law School. One of the presentations demonstrated text-based translation services, which leveraged Google's translation API. The project team will continue to collaborate with both LAPITF and the Legal Design Lab at Stanford for further collaborative opportunities.

May 2020 Progress Report

1.2. Futures Commission Directive: Voice-To-Text Language Services Outside the Courtroom (Phase 1) (cont'd)

> ⭐ **Highlight:** The workstream is drafting their findings and recommendations report.

	Status	Description
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.	Completed	The workgroup received presentations from 4 vendors, demonstrating their offerings in this space. The group determined that there was not a current solution offered that fully met their needs, and opted to develop a demo site to test the APIs for the following: • Voice to text transcription • Text to text translation • Text to speech output
Test 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.	Completed	The workgroup engaged with the Judicial Council to develop an evaluation site to test the APIs offered by 4 vendors. This site is live for testing, with improvements continuing to be developed. The workstream has assigned members to evaluate the vendor APIs using pre-developed scripts; testing to occur throughout December.
Identify and pursue any possible pilot collaborations with the Legal Design Lab at the Stanford University Law School.	Deferred	JCIT will collaborate with the Legal Design Lab for possible collaborations.
Support implementation of a voice-to-text pilot program (including kickoff, court preparations, site visits, and deployment).	In Progress	The workstream is providing input to this JCIT-managed effort.
Capture learnings and draft a white paper report on the lessons learned, findings, use cases, usage guidelines, and recommendations for next steps.	In Progress	The workstream is drafting their findings and recommendations report, targeting presentation to ITAC in August.
At the completion of these directives, present findings and recommendations to, and seek approval from, ITAC, JCTC and, if appropriate, the Judicial Council. Formally sunset the workstream.	In Progress	Once drafted, the findings and recommendations report will be presented to ITAC (targeting August 3 meeting).

May 2020 Progress Report   Estimated Completion Date: December 2020

2. Tactical Plan for Technology Update

⭐ **Highlight:** Initial planning in progress, solicitation to be distributed shortly.

Key Objectives	Status	Description
(a) Initiate workstream, including formation of membership and conduct orientation/kickoff meeting.	In Progress	Initial preplanning underway with the Executive Sponsor and JCIT leadership.
(b) Review, gather input, and prepare an update of the Tactical Plan for Technology.	Not Started	
(c) Circulate the draft plan for branch and public comment; revise as needed.	Not Started	
(d) Finalize, and seek approval from ITAC, JCTC, and the Judicial Council. Formally sunset the workstream.	Not Started	

3. Identity and Access Management Strategy

> ⭐ **Highlight:** Policy recommendations were presented at TCPJAC/CEAC and received positive feedback

Key Objectives	Status	Description
Develop and issue an RFP for a statewide identity management service/provider; identify and select.	Completed	Microsoft Azure AD Identity Service acquired under a Leveraged Procurement Agreement (LPA), County of Riverside RFQ #PUARC-1518, Microsoft Master Agreement Number 01E73970.
(a) Develop the roadmap for a branch identity management strategy and approach.	In Progress	Roadmap recommendations have been drafted by the Technical track, and inserted into the draft final report. An initial review was performed by the Information Security workstream, with feedback that the Technical track will address.
(b) Determine policies and processes for identity management (including proofing and access management).	In Progress	Policy track recommendations presented at CEAC/TCPJAC at the January business meeting. Drafting final report to present to ITAC.
(c) Ensure linkage and alignment with other branchwide initiatives such as E-Filing, SRL Portal, Next Generation Hosting, CMS Migration and Development.	In Progress	Sponsors or project managers for the aligned initiatives are members of the workstream.
(d) Coordinate and plan with JCIT regarding operational support.	In Progress	JCIT staff are participating in the pilot at Los Angeles Superior Court and are on the workstream.
(e) Recommend changes to Rules of Court as needed and work with the Rules & Policy Subcommittee to draft them.	In Progress	Currently researching.
(f) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.	In Progress	Feedback requested from ITAC on draft Policy track recommendations.

5. Digital Evidence: Rules, Technology, and Pilot Evaluation

> ⭐ **Highlight:** Workstream kickoff held on January 14; four tracks established.

Key Objectives	Status	Description
(a) Investigate and report on existing local pilots and court practices, including policies and standards, for transmitting, accepting, storing, and protecting digital evidence.	In Progress	Business Practices track established. Several meetings have occurred and discussions related to the changes of business practice as a result of COVID-19.
(b) Research and recommend available technology and services that would support transmission, acceptance, storage, and protection of digital evidence.	In Progress	Technology Standards, Practices and Governance Track established Meetings held with vendors NICE, Genetec & Axon
(c) Develop and propose changes to Rules of Court and statutes related to digital evidence in collaboration with the Rules and Policy Subcommittee.	In Progress	Rules and Statutes Track established Documenting COVID-19 Rule changes
(d) Develop a framework for successful possible future pilots, including use case scenarios, costs and benefits, and success criteria.	In Progress	Integrated Justice Governance Track established
(e) At the completion of these objectives, present findings and recommendations to, and seek approval from, ITAC, JCTC and, if appropriate, the Judicial Council. Formally sunset the workstream.	Not Started	

6. Data Analytics : Assessment and Report

> ⭐ **Highlight:** Workstream continues building governance framework and piloting technology solution in five courts.

Key Objectives	Status	Description
(a) Identify, evaluate and prioritize possible policies, processes, and technologies to help the branch utilize data analytics to improve business effectiveness.	In Progress	Gartner work to build data governance framework kicked off August 29, 2019; workstream members are working on a set of recommended initial principles and policies to present to the Judicial Council.
(b) Develop appropriate governance recommendations at the local court and branch level.	In Progress	Gartner work to build data governance framework kicked off August 29, 2019; workstream members are working on a set of recommended initial principles and policies to present to the Judicial Council.
(c) Assess and report priorities for data collection.	In Progress	This has been initiated as part of the Gartner work as well as the pilot programs.
(d) Identify and evaluate possible data analytical tools and templates.	In Progress	Five pilots are being launched to test a possible technological approach for data analytics, modeled off the Orange Superior Court Innovations Grant. The branch has procured a cloud data warehouse solution and is in the process of procuring an ETL (Extract, Load, Transform) tool. Two different types of data visualization tools are being tested.
(e) Identify whether new or amended rules of court and/or statutes are needed and advise the Rules and Policy Subcommittee for follow up.	In Progress	This will be more fully fleshed out once other objectives are complete.
(f) At the completion of these objectives, seek approval from ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.	Not Started	

7. Disaster Recovery (DR) Initial Pilot and Knowledge Sharing

⭐ **Highlight:** Feasibility assessments underway, templates being developed.

Key Objectives	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	Completed	Roster approved on February 28, 2019. Workstream kickoff held on March 29, 2019. Biweekly meetings scheduled.
Establish a cloud DR master agreement with a short list of cloud service providers for judicial branch entities/courts to leverage.	Completed	Agreement completed November 20, 2018, with Infiniti Consulting, Inc.
(a) Recommend a list of critical technology services that make business sense for cloud-based recovery adoption.	In Progress	The Superior Court of Monterey County engaged with Infinity Consulting for Phase I services - infrastructure and critical systems assessment for feasibility and solution recommendations for cloud-based disaster recovery. The focus of the engagement was on the following: 1) Assess the court technology environment to document network and server infrastructure that provide essential court services categorized as Priority 1 (P1): **Current P1 Services**: Odyssey Case Management System, Jury System, Portal Service, Justice Partners Services. Criminal E-filing Services – AutoClerk, Public Website, and Shoretel Telephone System 2) Recommend pathways and connection options to extend local network and security to create a hybrid infrastructure to the cloud service provider: **Potential Pathways**: Traditional VPN Connection, Mircosoft ExpressRoute, and custom built high bandwidth option. 3) Evaluate backup and replication solutions that leverage the Court's investments in technology resources and skills to modernize recovery using the cloud: **Evaluated Solutions:** Microsoft Azure Site Recovery, Zerto, Veeam, and Rubrik Data Protection. Infinity presented its assessment and recommendation report in Sep 2019. The Court is currently in the design and pilot implementation phases to conduct feasibility assessments for its critical systems using the vendor-referred solutions for disaster recovery. We have a successful poof of concept by running Odyssey Case Management System in Microsoft Azure using Microsoft Azure Site Recovery.

7. Disaster Recovery (DR) Initial Pilot and Knowledge Sharing

> ⭐ **Highlight:** Feasibility assessments underway, templates being developed.

Key Objectives	Status	Description
(b) Publish disaster recovery to cloud (DR2C) roadmap for judicial branch entities (JBEs) that includes design solution templates from Monterey and other participant courts.	In Progress	We are currently in the process of developing Microsoft Azure Resource Manager(ARM) Templates to be leveraged by other courts when creating infrastructure in Microsoft Azure. Assessment tools and recommendation reports from Infinity were distributed to the court technology community.
(c)Host knowledge-sharing sessions for interested JBEs (including tools to estimate cost for deploying recovery solution using a particular cloud service provider; and Monterey solution case study).	In Progress	Infinity presented the disaster recovery solution recommendation based on Monterey's technology environment assessment to the CIO community in Sep 2019. We had 47 participants for this session. We continue to maintain an ongoing dialogue with the DR2C workstream members via biweekly meetings to share knowledge and ideas.
(d)Evaluate the need for a BCP to fund a pilot group of courts interested in implementing cloud-based DR for critical technology services (see (a)).	Not Started	
(e)Coordinate and plan with JCIT regarding operational support, if appropriate.	Not Started	
(f) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.	Not Started	

May 2020 Progress Report

8. Online Dispute Resolution (ODR): Assessment

⭐ **Highlight:** Solicitation drafted.

Key Objectives	Status	Description
(a) Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	In Progress	Executive Sponsor is Hon. Julie R. Culver; solicitation drafted.
(b) Identify and evaluate available ODR technologies.	Not Started	
(c) Review findings from existing court-offered ODR programs.	Not Started	
(d) Evaluate and describe scenarios where ODR might be beneficially deployed in the judicial branch.	Not Started	.
(e) Survey and document best practices in evaluating feasibility and program design to maximize access to justice.	Not Started	
(f) Review rules and statutes to identify areas where possible amendments will be needed.	Not Started	
(g) At the completion of these objectives, seek approval of ITAC, JCTC and, if appropriate, the Judicial Council and formally sunset the workstream.	Not Started	

9. Branchwide Information Security Roadmap

⭐ **Highlight:** Sub-tracks continuing their research.

Key Objectives	Status	Description
Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).	Completed	The membership roster was approved on September 9, 2019, and the kickoff meeting held on October 7, 2019.
(a) Define methods, activities and/or initiatives for expanding and strengthening branch information security capabilities.	In Progress	The leads along with internal JC resources are discussing a new direction with internal communications governance to streamline incoming review requests, internal process, and delivery of request.
(b) Create an overarching strategy for educating courts on information security end user education, risk management, and incident response.	In Progress	Sub-tracks for Incident Response, End User Education, and Risk Management are continuing to research framework and platform options.
(c) Identify resources to assist the courts in developing policies and procedures based on the Judicial Branch Information Systems Controls Framework.	In Progress	The workstream is working with identified resources to develop a security gap analysis and tier list that will allow us to identify security domains in need of the most attention. We will then be able to frame out a strategic plan and road map for both Cybersecurity and Information Security domains.
(d) Consult with other workstreams on individual security recommendations and ensure alignment with ongoing development of Judicial Branch security standards.	In Progress – As requested	Worked with Kathy Fink from the Identity Management Workstream. Developing governance model for interactions between workstreams with security review requests.
(e) At the completion of these objectives, present findings and recommendations to, and seek approval from, ITAC, JCTC and, if appropriate, the Judicial Council. Formally sunset the workstream	Nor Started	

10. Remote Video Appearances in Criminal Proceedings: Research

⭐ Highlight: Workstream has not started.

Key Objectives	Status	Description
Reviewing outcomes of Video Remote Interpreting pilot and Remote Video Appearances for Most Non-Criminal Hearings workstream:		
(a) Validate, refine, and amend, if necessary, the technical standards applicable to criminal proceedings.	Not Started	
(b) Identify whether new or amended Rules of Court and statutes are needed and advise the Rules & Policy Subcommittee for follow up.	Not Started	
(c) Define and prioritize use case scenarios and define success criteria for a pilot.	Not Started	
(d) At the completion of these objectives, present findings and recommendations to, and seek approval from, ITAC, JCTC and the Judicial Council. Formally sunset the workstream.	Not Started	

May 2020 Progress Report

11.1. Trial Court Rules and Statutes Revisions

⭐ **Highlight:** The rule proposal is circulating for public comment from April 10 to June 9, 2020.

Key Objectives	Status	Description
(a) Amend the California Rules of Court to indicate that an electronic filing service provider must allow the party to proceed with an electronic filing even if the party does not consent to receive electronic service.	In Progress	Amendments to the California Rules of Court to indicate that an electronic filing service provider must allow the party to proceed with an electronic filing even if the party does not consent to receive electronic service were approved by the subcommittee and ITAC to be submitted for public comment. The public comment period starts on April 10, 2020 and ends on June 9, 2020.

May 2020 Progress Report

11.2 Remote Video Appearances in Civil Proceedings

> ★ **Highlight:** The legislative proposal is circulating for public comment from April 10 to June 9, 2020.

Key Objectives	Status	Description
(a) Building on the recommendations of the Futures Commission and ITAC Remote Video Appearances Workstream, participate in a joint ad hoc subcommittee with Civil and Small Claims, Family and Juvenile Law, and Probate and Mental Health Advisory Committees to develop legislative and rule proposals to allow video remote appearances in most civil court proceedings.	In Progress	The subcommittee developed a legislative proposal generally authorizing remote video in all civil cases and proceedings. The public comment period starts on April 10, 2020 and ends on June 9, 2020.
(b) Work cooperatively with the ITAC Digital Evidence Workstream, when needed.	In Progress	