



## Judicial Council of California · Administrative Office of the Courts

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# REPORT TO THE JUDICIAL COUNCIL

For business meeting on January 23, 2014

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Title	Agenda Item Type
Judicial Branch Technology: Technology Planning Task Force Update	Action Required
Rules, Forms, Standards, or Statutes Affected	Effective Date
None	January 23, 2014
Recommended by	Date of Report
Judicial Council Technology Committee Hon. James E. Herman, Chair Hon. David De Alba, Vice-Chair	January 15, 2014
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### **Executive Summary**

The Judicial Council Technology Committee recommends conceptually approving the work to date of the Technology Planning Task Force. This task force is charged with defining judicial branch technology governance; developing a strategic plan for technology at the Supreme Court, Court of Appeal, and superior court levels; and developing recommendations for funding judicial branch technology.

### **Recommendation**

The Judicial Council Technology Committee (JCTC) recommends that the Judicial Council conceptually approve the Technology Planning Task Force (TPTF) draft, *Judicial Branch Technology Governance, Strategy, and Funding Proposal: Executive Summary*, to be used in support of the budget change proposal process for technology initiatives.

## **Previous Council Action**

The Judicial Council voted to stop the deployment of the California Court Case Management System (CCMS V4) at its [March 2012 meeting](#). The council also directed the CCMS Internal Committee, in partnership with the superior courts, to develop timelines and recommendations for assisting courts with existing critical case management system needs and for developing a judicial branch court technology governance structure that would best serve the implementation of technology solutions.

Additionally, the council voted to continue maintenance of the interim case management systems, V2 and V3, and directed the CCMS Internal Committee to consider staff recommendations regarding opportunities for greater cost efficiencies. The committee was directed to return to the council with these recommendations at a future meeting.

Following this March 2012 meeting was an intensive effort to analyze how the judicial branch might leverage the CCMS V4 external components, which included a statewide data warehouse, an interpreter's module, e-filing, data exchanges, a statewide portal, and document management system integration. Staff from the Administrative Office of the Courts and 11 superior courts (Calaveras, Humboldt, Napa, Orange, Placer, Riverside, San Diego, San Mateo, Santa Clara, Stanislaus, and Ventura) participated in this effort.

In May 2012, the Judicial Branch Technology Initiatives Working Group (JBTIWG) was formed; the working group sponsored the work-streams effort focused on short-term solutions for case management systems, e-filing, and other technologies. In [June 2012](#), the CCMS Internal Committee was renamed the Judicial Council Technology Committee. At the [August 30, 2012 Judicial Council meeting](#), Judge James E. Herman, chair of the JCTC, reported that funding restrictions imposed by the Legislature had ended the effort to leverage the external components of the CCMS V4 application.

The [October 2012](#) meeting minutes reported on a technology summit, which was hosted by the JCTC, the Court Technology Advisory Committee, and the JBTIWG with extensive court participation. This gathering helped expand the dialogue between the judicial branch, the Legislature, and the executive branch on court technology. One outcome of the work of the JCTC was the formation of the Technology Planning Task Force. The JCTC chair has since reported on the work of the JCTC and the TPTF at every Judicial Council meeting.

## **Rationale for Recommendation**

The JCTC recommends that the council approve the *Judicial Branch Technology Governance, Strategy, and Funding Proposal: Executive Summary* and the work completed to date. This synopsis of the recommendations and work to date includes background on the governance and funding model, as well as the strategic plan. This model and plan were used as the basis for establishing the methodology and criteria for selection of the six trial courts included in the *Fiscal Year 2014–2015 Judicial Branch Budget Change Proposal: Foundation for Digital*

*Courts—Phase One (Case Management Systems Replacement and Expansion of LAN/WAN Telecommunications Program).*

One of the outcomes of the October 2012 technology summit was the determination of a need for the judicial branch to have a governance and funding model, as well as a strategic plan, for technology. This feedback was communicated by both the California Department of Finance and the California Department of Technology. The Chief Justice created the TPTF, overseen by the JCTC, to address this need. To complete the work in a one-year time frame, the TPTF initiated three parallel tracks: governance, funding, and strategic planning. These tracks have been meeting regularly.

Communicating the work of the task force to the branch has been ongoing. The Judicial Council Technology Committee chair has reported on the work of the JCTC and the TPTF at every Judicial Council meeting since the task force's inception. Presentations have also been made to the Trial Court Presiding Judges Advisory Committee, the Court Executives Advisory Committee, the clerk/administrators and presiding justices of the Courts of Appeal, and the Chief Justice on the work of the task force. Additionally, the TPTF participated in regional meetings in November 2013, sharing the work completed to date, answering questions from participants, and soliciting feedback.

### **Comments, Alternatives Considered, and Policy Implications**

The governance and funding model, as well as a strategic plan and a tactical plan for technology, will be distributed for public comment and updated before being presented to the Judicial Council at the June 2014 meeting for approval. Adoption of the governance and funding model and strategic plan will be critical to support long-term funding for judicial branch technology needs. The Legislature and the executive branch have communicated the importance of establishing a governance and funding model, as strategic and tactical plans for technology, if additional funding is to be provided for judicial branch technology projects. The approved models will be used to determine the priority of future technology projects.

### **Implementation Requirements, Costs, and Operational Impacts**

The branch will implement the guidelines outlined in the governance and funding model, as well as the strategic plan for technology, once they are approved if resources are available. The strategic plan will be a four-year plan, with an accompanying two-year tactical plan that lays out specific actions. These plans will determine the priorities for branchwide projects, including funding.

### **Relevant Strategic Plan Goals and Operational Plan Objectives**

The work of the TPTF thus far has supported all the strategic goals of the Judicial Council:

- Goal I, Access, Fairness, and Diversity
- Goal II, Independence and Accountability

- Goal III, Modernization of Management and Administration
- Goal IV, Quality of Justice and Service to the Public
- Goal V, Education for Branchwide Professional Excellence
- Goal VI, Branchwide Infrastructure for Service Excellence

### **Attachments**

1. *Judicial Branch Technology Governance, Strategy, and Funding Proposal: Executive Summary*, at pages 5–26
2. Attachment A: Technology Planning Task Force slides from regional meetings

CALIFORNIA JUDICIAL BRANCH

# Judicial Branch Technology Governance, Strategy, and Funding Proposal

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## Executive Summary

Technology Planning Task Force

1/15/2014

## Introduction

This document provides an **executive summary** of the **proposed recommendations for judicial branch technology governance, strategy, and funding**. It has been developed to address a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. A revised approach was necessary following the decision of the Judicial Council to terminate the California Court Case Management System (CCMS).

Recommendations for the judicial branch technology governance and funding model along with the associated Strategic Plan for Technology and Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear measurable goals and objectives at the branch level. The future will be built upon the success of local and branchwide innovation and leadership.

These are the results from the Technology Planning Task Force, which includes judicial officers, court executive officers, court information technology officers, and other stakeholders representing the trial and appellate courts and the public.

The proposed models and strategies recognize the diversity of the trial courts along with the judicial, management, and technical expertise located at the trial, appellate, and Supreme Court levels, and the Administrative Office of the Courts. The approach centers on working as an information technology (IT) community that can form consortia to leverage and optimize resources to achieve its goals and overall branch objectives. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

### ***Additional documents***

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

- Technology Governance, Strategy, and Funding Proposal: Executive Summary (this document)
- Proposed Technology Governance and Funding Model: Detailed Proposal
- Proposed four-year Strategic Plan for Technology (2014–2018)
- Proposed two-year Tactical Plan for Technology (2014–2016)

The “Technology Governance, Strategy, and Funding Proposal: Executive Summary,” this document, provides an overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. It describes a set of models, processes, and tools to ensure the effective and efficient use of information technology.

The “Proposed Technology Governance and Funding Model: Detailed Proposal” describes the detailed recommendations from the Technology Planning Task Force for technology governance and funding. It includes suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.

The proposed four-year Strategic Plan for Technology (2014–2018) describes the strategic goals, objectives, roadmap, and metrics for technology initiatives over the next four years.

The proposed two-year Tactical Plan for Technology (2014–2016) describes individual initiatives that will contribute to and support the Strategic Plan for Technology.

## **Background**

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system.

The California Department of Finance and the California Department of Technology have both indicated that the judicial branch needs to adopt a Strategic Plan for Technology to support long-term funding to meet judicial branch technology needs.

Additionally, the Bureau of State Audits (BSA) reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the Administrative Office of the Courts (AOC) and the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

The Judicial Branch Technology Summit was held on October 23–24, 2012 to assemble branch stakeholders for a collaborative discussion on branch technology governance, vision, and planning. A Department of Technology representative facilitated the discussion and suggested that the group work collaboratively to develop solutions and a cohesive, long-term plan for technology that meets individual court needs under the rubric of a consistent, branchwide vision.

The Department of Technology representative stated that the technology workstreams, a set of court-driven initiatives leveraging expertise within the branch to develop technology roadmaps, case management system master services agreements, and e-filing recommendations, were a good start toward a longer range Strategic Plan for Technology. The representative emphasized that the strategic plan needs to include two critical components: (1) a technology governance model and (2) a technology roadmap.

While there is no requirement for all courts to rely on a single technology solution, it is imperative that the branch communicate its strategy in a unified manner and leverage common solutions, technologies, and funding, in a collaborative consortium model.

After the Judicial Branch Technology Summit, the Chief Justice authorized the creation of a task force reporting to the Judicial Council Technology Committee charged with:

- Defining judicial branch technology governance;
- Developing a strategic plan for technology at the trial, appellate, and Supreme Court levels; and
- Developing recommendations for funding judicial branch technology.

This document contains a summary of the recommendations for the judicial branch technology governance and funding model.

## **GOVERNANCE**

Governance models provide a framework for answering the following questions:

- Which decisions need to be made?
- Who is involved in making them?
- How are they made?
- What process is used to ensure decisions are implemented?
- How are results monitored and corrective action taken when expected results are not achieved?

A governance framework relies on the foundation of a desired end-state vision, a set of operating principles, and clear, well-defined roles and responsibilities.

## **Technology Vision**

The proposed technology vision for the branch is:

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

## **Technology Principles**

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

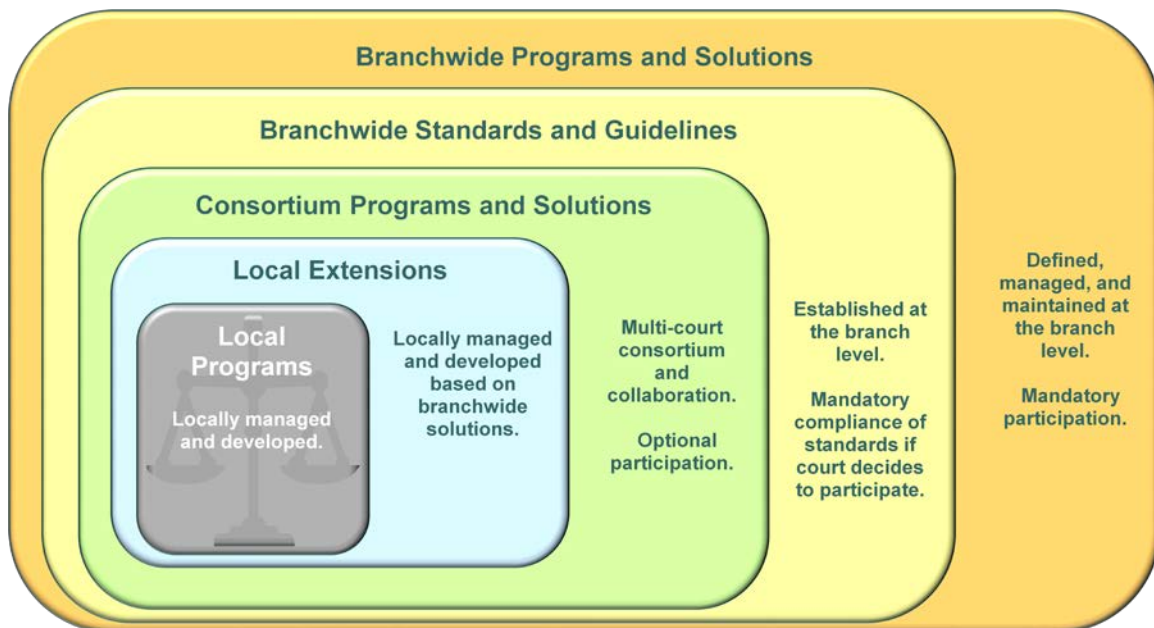


At its August 31, 2012 meeting, the Judicial Council adopted principles 1–10 below. The Technology Planning Task Force recommends the addition of principles 11–14.

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

## Technology Initiative Categories

The following categories and criteria provide a framework and scope of responsibility for strategic technology decisions for the judicial branch. Although some initiatives may cross multiple categories, they are intended to provide guidance as to how technology solutions could be managed, standardized, implemented, or supported at the state or local level.



### ***Branchwide programs and solutions***

- Solution is defined, managed, and maintained through the judicial branch technology governance structure and subject to the oversight of the Judicial Council in collaboration with the courts.
- Participation is mandatory or mandated if a court decides to implement a specific branchwide technology.
- Branchwide operation is driven by economy of scale and/or the need to have centralized access, uniform policies, data collection, and analysis across all courts.
- Examples: California Courts Protective Order Registry, Judicial Branch Statistical Information System, Phoenix Financial.

### ***Branchwide standards and guidelines***

- Standards and guidelines are established through the judicial branch governance structure and approved by the Judicial Council in collaboration with the courts.
- Courts may still be responsible for implementing the technology solution, but any such implementation must comply with the standards.
- Some guidelines may be permissive and are recommendations more than mandates.
- Examples: NIEM (National Information Exchange Model) e-filing standards, *Trial Court Records Manual*.

### ***Consortium programs and solutions***

- Multi-court collaborations that may require AOC staff assistance.
- Participation by local courts is optional.
- Subject to any branchwide standards adopted for consistency in access.
- May be driven by economy of scale and/or a need for centralized access across courts or within a region.
- Examples: multi-court document management system RFP, case management system RFP.

### ***Local extensions of branchwide/shared programs***

- Local court developed solutions that leverage branchwide programs or shared programs.
- Completely local court controlled as long as there is no impact on other courts (if branchwide) or impact is approved (if shared).
- Technological advancements may be models that can be shared branchwide.
- Examples: Electronic Legal File (Orange County), Judicial Education Tracking Tools.

### ***Local programs and solutions***

- Local court issue and decision-making.
- Local court funding.
- Subject to any branchwide standards adopted for consistency in access.
- Examples: Audio/visual in the courtroom, personal computers, electronic probable cause statements.

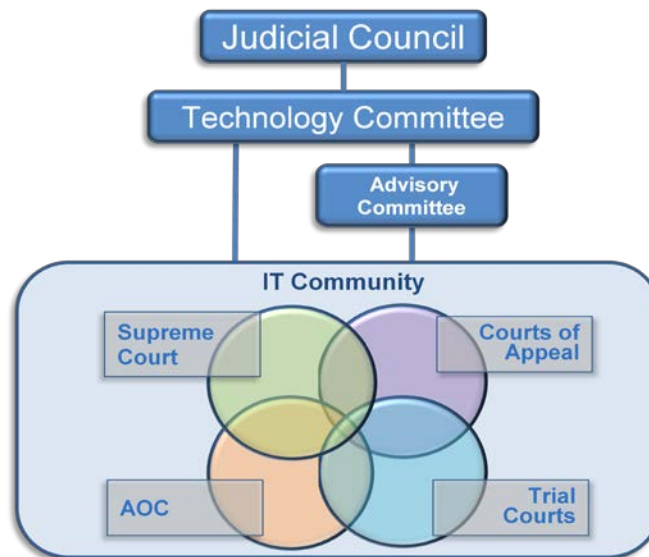
To encourage innovation and sharing of best practices, we anticipate that technology pilots and prototypes could occur in any of these program categories.

## Roles and Responsibilities

### *Working together as an IT community*

The Technology Planning Task Force recommends creating a governance structure that focuses on working together as an IT community. This structure will ensure that we have broad support for branchwide initiatives and leverage the resources we have across the branch.

We will work together as an IT community with appropriate governance and oversight by the Judicial Council and the Judicial Council Technology Committee. In some cases the Judicial Council Technology Committee will work directly with the IT community while in others they may delegate facilitation to an advisory committee. The primary goal of this model is to encourage collaboration and leverage the courts as innovation centers.



### ***Summary of major elements in the proposed model***

- Project management and technical resources for programs and initiatives are staffed with resources from the entire judicial branch IT community.
- The Court Technology Advisory Committee is restructured into the Information Technology Advisory Committee and focuses on promoting, coordinating, and facilitating the application of technology to the work of the courts. It will establish standards to ensure technology compatibility; facilitate court technology projects funded in whole or in part by the state; propose rules, standards, or legislation to ensure privacy, access, and security; and assist courts in acquiring and developing useful technology systems. This restructuring will require a change to rule 10.53 of the California Rules of Court, which defines the role of the Court Technology Advisory Committee.

### ***Evolving the Court Technology Advisory Committee (CTAC)***

The following chart summarizes the current structure and responsibilities of CTAC and the recommended structure for the new Information Technology Advisory Committee.

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

### ***Governance roles and responsibilities—General***

For the majority of the governance roles, there are no changes in responsibilities. The changes previously discussed are intended to put more project emphasis on the Information Technology Advisory Committee and more responsibility on the courts to provide participants and facilitators for those projects.

	Role	Change in responsibility?
Judicial Council	The council establishes policies and sets priorities for the judicial branch of government.	No
Technology Committee	Assist the council by providing technology recommendations focusing on the establishment of policies that emphasize long-term strategic leadership and that align with judicial branch goals.	No
Information Technology Advisory Committee	Promote, coordinate, and facilitate the application of technology to the work of the courts.	Yes
Administrative Office of the Courts (Information Technology Services Office)	Assists the council and its chair in carrying out their duties under the Constitution and laws of the state. Provides support to the Supreme Court, Courts of Appeal, and superior courts as requested.	No
Courts	Contribute to technology initiatives as a participant or facilitator. Participate as consortia and may provide services to other courts.	Yes

Benefits of these changes in responsibility include:

- Increasing participation and support from the courts for branchwide programs and solutions.
- Supplementing limited program resources at the Administrative Office of the Courts.
- Actively engaging Information Technology Advisory Committee members in coordinating and facilitating branchwide programs and solutions.

***Governance of the strategic plan***

General responsibilities for governing the strategic plan are summarized below. For the strategic plan, the Judicial Council Technology Committee develops the content with input from the Information Technology Advisory Committee (ITAC) and individual courts, and the Judicial Council approves. For the tactical plan, ITAC develops the content with input from individual appellate and trial courts, the Judicial Council Technology Committee provides oversight approval and prioritization, and the Judicial Council provides final approval.

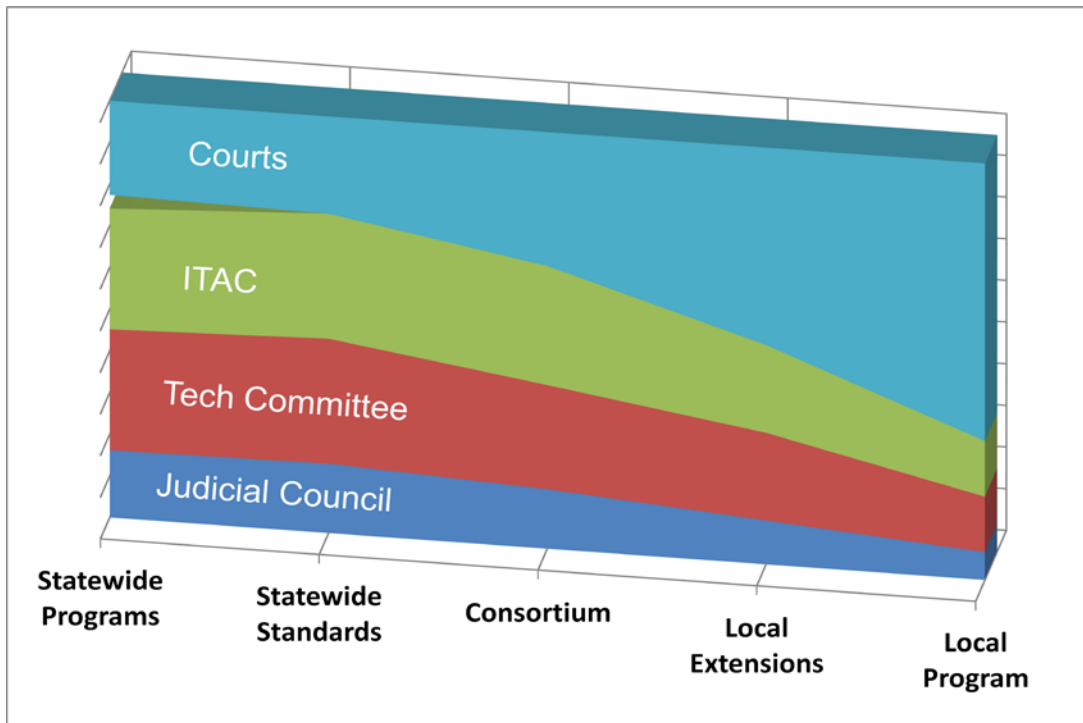
	IT Strategic Plan (4 Year)	IT Tactical Plan (2 Year)
Judicial Council	Final Approval	Final Approval
Technology Committee	Develops, recommends, seeks input, oversees.	Oversight approval and determination of priorities.
Information Technology Advisory Committee	Provides input.	Develops, recommends, seeks input, facilitates initiatives.
Individual Courts	Provides input.	Provides input. Leads/ participates in initiatives.

### ***Governance of technology initiatives—Participation by initiative type***

The governance roles and responsibilities can be illustrated in terms of the amount of participation of each group in the different types of technology initiatives. In general, the Judicial Council, the Judicial Council Technology Committee, the Information Technology Advisory Committee and the Administrative Office of the Courts will be focused on initiatives that require branch resources while local courts will govern locally supported initiatives.

The chart below provides a general illustration of the areas of focus for each group.

**Governance Focus Areas by Technology Initiative Type**



### ***Governance of technology initiatives—Summary***

A more detailed view of the responsibilities for each group in the preceding figure and for allied groups with narrower roles is summarized below.

	Statewide Programs/Standards	Consortium	Local Extensions	Local Program
Judicial Council	Final Approval	Final Approval	N/A	N/A
Technology Committee	Oversight and approval. Prioritize.	Oversight and approval.	Oversight and approval.	N/A
Information Technology Advisory Committee	Develop and recommend initiative.	Recommend (branch funded) or monitor.	Recommend (branch funded) or monitor.	N/A
Individual Courts	Participate/facilitate, design, and execute.	Participate/facilitate, design, and execute.	Recommend, participate/lead design, and execute.	Develop and oversee initiative.
Administrative Presiding Justices Advisory Committee	Fiscal review for General Fund expenditures.	Fiscal review for General Fund expenditures.	Fiscal review for General Fund expenditures.	N/A
Trial Court Budget Advisory Committee	Fiscal review for state-level fund expenditures.	Fiscal review for state-level fund expenditures.	Fiscal review for state-level fund expenditures.	N/A

Note that there will be a process to provide an opportunity for review and comment on technology initiatives by other advisory committees such as the Court Executives Advisory Committee (CEAC), the Trial Court Presiding Judges Advisory Committee (TCPJAC), and the Appellate Advisory Committee.

### **Approval of New Branchwide Initiatives**

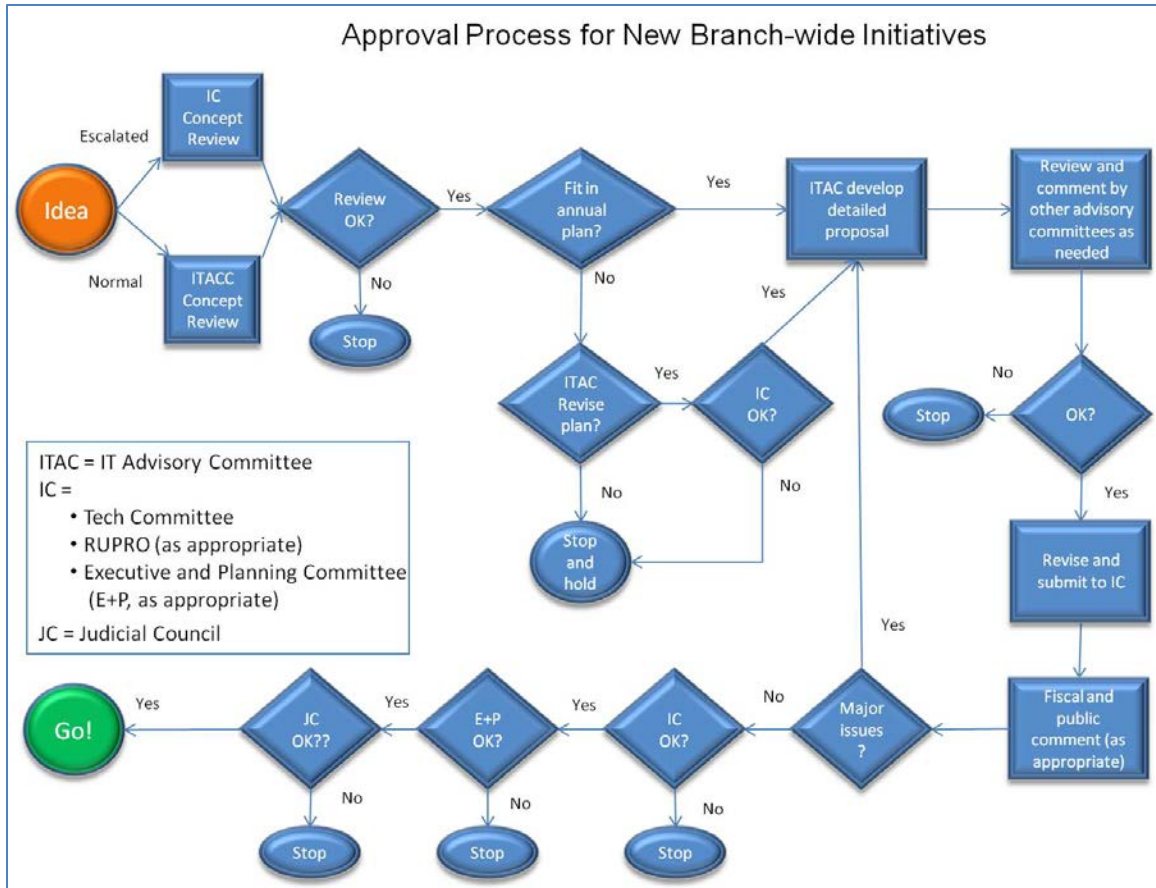
A branchwide initiative is one from the “branchwide programs and solutions” initiative category or one from another initiative category that requires funding at the branch level. Ideas for new branchwide initiatives can originate from anywhere inside the branch or outside the branch.

Ideas can be submitted by preparing a short “Initiatives Proposal” document to describe the proposal, benefits, costs, expected outcomes, and other basic information that will be used to evaluate the proposal. Proposals will typically be submitted to the Information Technology Advisory Committee. If the proposal requires escalation due to urgency or impact, then it can be submitted directly to the Technology Committee.



Once an initiative is approved, it is added to the list of programs facilitated by the Information Technology Advisory Committee and they are responsible for working with the proposing party to determine the appropriate program structure for executing and monitoring the initiative.

A high-level summary of the approval process is illustrated below.



## Program Prioritization Criteria

The Judicial Council Technology Committee will use a balanced scorecard approach to prioritize branchwide initiatives. This scorecard will provide a transparent and consistent model for evaluating projects by considering overall return on investment (ROI), business risk, and alignment with strategic goals.

The intent of the scorecard is not to be the sole decision-making tool. It is intended to provide analytical data to help the Judicial Council Technology Committee make decisions.

A sample scorecard is illustrated below.

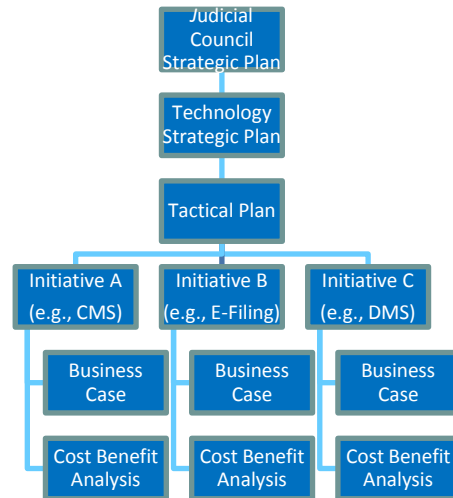
Project Evaluation Scorecard								
Project ID:		2013-012						
Project Name:		Sample Project						
Short Description:		Description of Sample Project						
Long Description:		Description of Sample Project						
Requested Funds:		\$300,000	Primary Technology Strategy:			Digital Court		
Project Evaluation Criteria		0	1	2	3	Project Value	Weight	Weighted Score
Funding	Cost as % of overall funding	>50%	25-49%	10-24%	0-9%	2	5	10
	Court share of cost of overall project cost	<50%	50-99%	100-200%	>200%	1	4	4
	% Payback of funding to branch	0%	1-49%	50-100%	>100%	0	1	0
	<b>Funding Total</b>							<b>14</b>
Business Alignment	Alignment with Branch Strategic Goals (Access)	None	1 Goal	2-3 Goals	4-6 Goals	2	3	6
	Alignment with Branch Technology Priorities	None	Low	Medium	High	3	2	6
	External partner Alignment	None	Some	Most	Yes or N/A	3	2	6
	<b>Business Alignment Sub-Total</b>							<b>18</b>
Business Impact	Scope of impact	Single Court	Proof of Concept	Consortia	Branchwide	2	2	4
	Financial ROI	No ROI	> 5 Years	3-5 Years	0-2 Years	3	1	3
	Likelihood of benefit realization	No probability	Low probability	Medium probability	High probability	2	3	6
	<b>Business Impact Sub-Total</b>							<b>13</b>
Business Risk Mitigation	Urgency for change - operations	Not urgent	Opportunistic	Planning	Urgent	1	3	3
	Urgency for change - legal/regulatory/compliance	Not urgent	Opportunistic	Planning	Urgent	0	3	0
	Org readiness	Significant Concerns	Concerns	Minor concerns	Ready	3	3	9
	<b>Business Risk Mitigation Sub-Total</b>							<b>12</b>
Technology Alignment / Fit	Level of alignment with branch-wide technology standards	None	Exploring (Individual)	Exploring (Consortia)	Aligned	2	3	6
	Level of alignment with branch-wide vendors	None	Local / limited scale	Consortia	Aligned	3	2	6
	Level of alignment with branch architecture	None	Partial	Mostly	Aligned	3	2	6
	<b>Technology Alignment / Fit Sub-Total</b>							<b>18</b>
Technology Risk	Existing infrastructure can support this project	No. Separate project	No. Upgrades included	Utilize shared resources	Covered	2	2	4
	Existing tech staff can support this technology	No	Vendor supported	Shared support	Covered	3	2	6
	Product / technology maturity	EOL / Immature	New / Immature	New / Mature	Established / Mature	1	3	3
	<b>Technology Sub-Total</b>							<b>13</b>
<b>Total Project Score</b>								<b>74</b>

## STRATEGIC PLAN AND TACTICAL PLAN

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

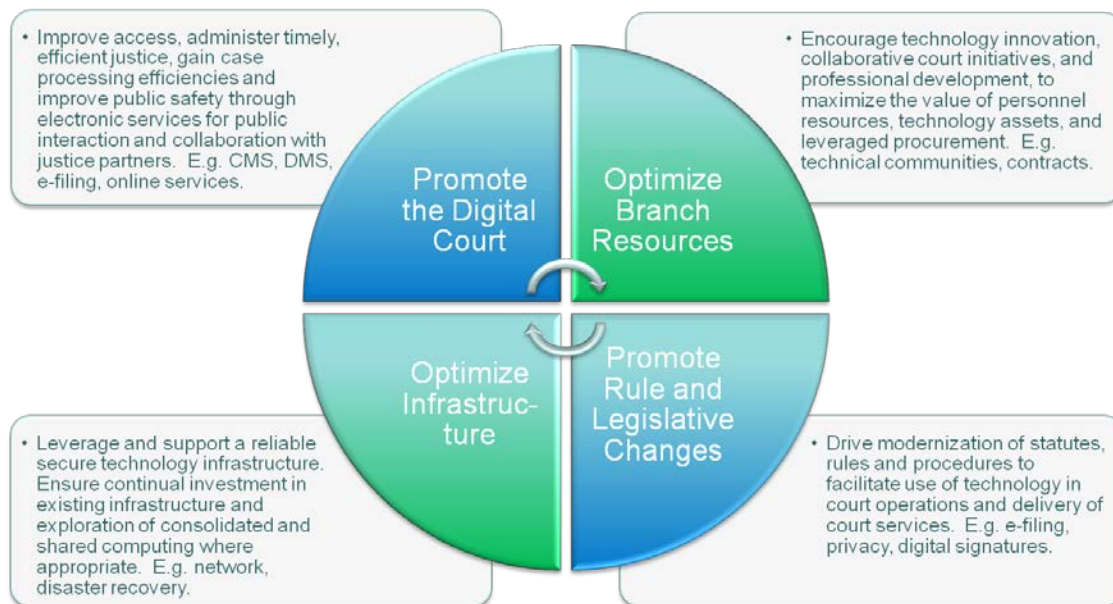
The branch technology strategic plan is a cascading plan based upon the overall Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects.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

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



## Technology Goals (2014–2018)

The Technology Planning Task Force is proposing four (4) technology goals for the branch in support of the overall goal of providing access to justice.



***Goal: Promote the Digital Court***

Increase access to the court, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for “digital courts” throughout California. The digital court includes a comprehensive set of services for public interaction with the courts and for collaboration with branch justice partners.

The courts require technology systems that are optimized to maintain effective operations and meet the demands of internal and external stakeholders for access to court information and services. These include modern case and document management systems, fiscal and human resource systems and technologies allowing better collaboration with justice partners that also assist judicial and administrative decision makers in the administration of justice.

Court users are increasingly sophisticated in the daily use of technology, relying on a variety of desktop and mobile computing devices to interact with businesses and with each other. They expect government services, including court services, to be provided with the same ease and flexibility available in the business sector, demanding that courts be effective, efficient, and responsive.

In order to restore, and to even expand and enhance, services and access to the public, courts must consider new models, methods, and collaborations; must look to new opportunities to share information with state and local partners; and must find new ways to deliver services to the public, making effective use of available solutions and exploring emerging technologies.

***Goal: Optimize Branch Resources***

Encourage technology innovation, collaborative court initiatives, and professional development to maximize the value of personnel resources, technology assets, and leveraged procurement.

The goal of branchwide resource optimization aligns with the Judicial Council’s strategic goals of Independence and Accountability, Modernization of Management and Administration, Quality of Justice and Service to the Public, Professional Excellence, and Infrastructure Service Excellence. The optimization of resources is driven by the need to promote technological professional development, innovation, and collaborative court initiatives to maximize the use of personnel resources, technology assets, and judicial branch processes.

***Goal: Optimize Infrastructure***

Leverage and support a reliable, secure technology infrastructure. Ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

The judicial branch recognizes the increased expectation of and reliance by court users on electronic access to court information. Infrastructure optimization is essential for supporting:

- The transition from paper-based to electronic digital processing and services where the official court record is created, maintained, and stored electronically.
- Automated data sharing among courts, the public, and state and local justice partners, including automated reporting and collection of statistical information.
- Adequate disaster recovery for all systems, services, and information maintained by the judicial branch.

The goal of “Optimize Infrastructure” will ensure an effective, reliable, efficient, maintained, and secure technology infrastructure for the branch.

***Goal: Promote Rules and Legislative Changes***

Drive modernization of statutes, rules, and procedures to facilitate the use of technology in court operations and delivery of court services.

Current rules are based on a paper-based, in-person, physical court environment. Existing rules are sometimes misaligned with or hinder the implementation and deployment of technology solutions.

Statutes, rules, and procedures must be examined to identify opportunities for additions, modifications, and deletions to support movement toward the digital court. Careful consideration must be made to ensure equal access to justice while providing opportunities for implementing new services and gaining efficiencies through the use of technology.

## Technology Initiatives (2014–2016)

The branch technology tactical plan contains the following set of technology initiatives. The technology initiatives represent a set of focused ambitious projects with a two-year time frame for completion. These initiatives should be initiated in 2014 and completed by 2016. Each initiative supports the roadmap, which propels the branch toward the four strategic goals.

Strategic Goal	Initiative	Action
Promote the Digital Court	Case management system (CMS) assessment and prioritization	Determine strategy and plan
	Document management system (DMS) expansion	Deploy where appropriate
	Courthouse video connectivity	Expand where appropriate
	California Courts Protective Order Registry (CCPOR)	Continue deployment
	Implement a portal for self-represented litigants	Investigate and propose
	Jury management technology enhancements (trial courts)	Determine roadmap and plan
	e-filing deployment	Determine implementation plan
	e-filing service provider (EFSP) selection/certification	Develop process
	Identify and encourage projects that provide innovative services	Investigate and propose
	Establish an “open source” application-sharing community	Investigate and propose
	Develop standard CMS interfaces and data exchanges	Investigate and propose
Optimize Branch Resources	Establish hardware and software master branch purchasing/licensing agreements	Identify and negotiate
Optimize Infrastructure	Extend LAN/WAN initiative to remaining courts	Expand program
	Transition to Next Generation Branchwide Hosting Model	Investigate and propose
	Court information systems security policy framework	Investigate and propose
	Court disaster recovery framework and pilot	Determine framework
Promote Rules and Legislative Changes	Identify new policy, rule, and legislation changes	Identify and draft changes
	Electronic signatures	Publish definitions and standards

## FUNDING

The current funding situation for technology in the branch is bleak. The source for funding branchwide initiatives is facing a deficit; restrictions on year-to-year carryover of funds results in de-prioritizing technology investments; and one-time budget change requests are not guaranteed.

The branch has limited opportunities to generate funding through fees and other mechanisms. Benchmarking with other state judiciaries confirms that we have either considered or implemented appropriate best practices and approaches. Ultimately, funding for technology must be restored by the Legislature

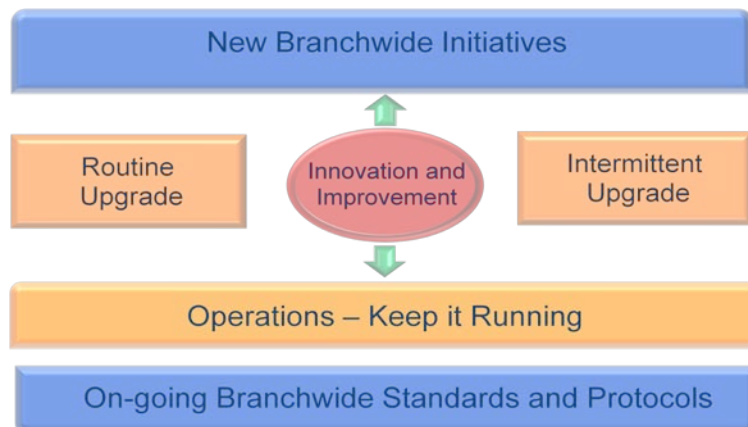
Once funding is restored, the following funding models and governance processes will be used to manage and allocate funds consistently, transparently, and predictably.

## Technology Funding Categories

The following categories and criteria provide a framework for making strategic technology funding decisions for the judicial branch. Although some initiatives may change categories over time depending upon the maturity or stage of the program, they are intended to provide guidance as to how technology funding could be managed, sourced, and allocated.

With this framework, there are different funding approaches for each category. Furthermore, there are different processes for governing funds at the branch and local court levels.

A summary of the funding categories is illustrated below.



The funding categories in blue will be managed at the branch level. The funding categories in orange will be managed at the local court level. Innovation and improvement funds could originate and be managed at both the branch and local court levels.

### ***Operations—Keep It Running***

- Routine, ongoing information technology costs supporting core court operations.
- Year-to-year costs are typically stable and predictable. These costs are either fixed or vary based on number of users or level of use.
- Also includes costs associated with court staff or professional services needed to keep the core operations running.
- Examples: Annual hardware and software maintenance; telecommunications services; e-mail services; data center costs; support and maintenance for the Appellate Court Case Management System.

### ***Routine upgrade***

- Upgrades for hardware that occur on a regular basis, based on the expected life cycle of equipment.
- Examples: Replacement of desktop/laptops every few years; replacement of servers every few years.

### ***Intermittent upgrade***

- Some upgrade expenditures are more episodic and are often unpredictable as to timing. The triggering event is often a vendor's decision to upgrade a product, which does not necessarily occur on a regular cycle. Another example is an enhancement to software, including applications, to address changes in the law, defects, and productivity or functionality enhancements.
- Examples: Upgrade to a newer version of an operating system; Microsoft Office; upgrade or replacement of a CMS, DMS, or JMS; or a technology stack upgrade.

### ***Innovation and improvement***

- If the branch is to continue to innovate to discover and explore new ways of providing services and doing business, there needs to be funding to allow courts to innovate and learn about new approaches and technologies.
- In addition, there needs to be funding of a one-time nature to allow a court to jump-start advanced technology opportunities.
- This funding can come from a local court budget, but the intention is to establish a branchwide fund to support the experimentation with technologies for innovation and improvement.
- Past innovation examples: remote video appearance; e-filing; e-citations; improved access for self-represented litigants (Smart Forms, I-CAN, small claims system in Sacramento, self-help portal, etc.); mail processing machines.
- Past improvement examples: imaging all active cases to allow a court to become paperless; data conversion; conversion of microform documents to electronic documents.



### ***New branchwide initiatives***

- If a branchwide policy decision is made to provide or expand a service at the branch level, there will be costs to implement the service in all courts that choose to participate. Some branchwide initiatives may be mandatory; e.g., Phoenix Financial. Other branchwide initiatives may be mandated if a court decides to implement a specific branchwide technology; e.g., Phoenix HR, California Courts Protective Order Registry (CCPOR).
- Funding is needed for the one-time costs of hardware, software, and deployment. Funding would also be required for any increases in maintenance costs that would occur in the “Operations—Keep It Running” category.
- Examples: Phoenix Financial; Phoenix HR; CCPOR; JBSIS; e-citations from CHP; remote video appearances; Appellate e-filing.

### ***Ongoing branchwide standards and protocols***

- A coordination effort is required where trial courts and/or appellate courts are exchanging data or otherwise interacting with state agencies, other trial or appellate courts, or local agencies. There is a value in having data exchange protocols or standards to minimize integration efforts. Funds could be available at the state level to fund the efforts to develop and maintain standards or protocols.
- There are a number of services and tasks that might be accomplished more economically and efficiently if done at a state level, on a regional basis, or through a consortium of courts.
- Examples: State-level data exchanges and data integration with justice partners for programs like CCPOR, CHP e-citations, and DCSS child support data; master service agreements for IT equipment, software, data centers, etc.

## Funding Sources and Governance

	Funding Sources	Governance
Operations—Keep It running	<ul style="list-style-type: none"> <li>• Court General Fund</li> <li>• BCP for gap in needed funds</li> </ul>	<ul style="list-style-type: none"> <li>• Allocated by formula by the Judicial Council.</li> <li>• Expended by courts based upon local priorities and needs.</li> </ul>
Routine upgrade		
Intermittent upgrade		
Innovation and improvement	<ul style="list-style-type: none"> <li>• Limited amount of funds set aside at the branch level</li> </ul>	<ul style="list-style-type: none"> <li>• Reviewed and recommended by the Technology Committee.</li> <li>• Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Administrative Presiding Justices Advisory Committee.</li> <li>• Expended by appropriate agency, AOC, local trial court, and/or the appellate courts based upon the approved plan.</li> </ul>
New branchwide initiatives	<ul style="list-style-type: none"> <li>• Funds set aside at the branch level</li> <li>• Grants</li> <li>• BCP for gap in needed funds</li> </ul>	
Ongoing branchwide standards and protocols	<ul style="list-style-type: none"> <li>• Funds set aside at the branch level</li> <li>• Grants</li> <li>• BCP for gap in needed funds</li> </ul>	<ul style="list-style-type: none"> <li>• Reviewed and recommended by the Technology Committee.</li> <li>• Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Administrative Presiding Justices Advisory Committee.</li> <li>• Expended by appropriate agency, usually AOC, based upon the approved plan.</li> </ul>

## CONCLUSION

### Expected Outcomes

Once we implement the recommended governance model, strategic plan, and funding model, we expect to have:

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

We believe we can realize these outcomes by working collaboratively as an IT community within this new structure.

# Technology Planning Task Force Update

**Regional Outreach for Feedback and Discussion  
on Strategic Planning Proposals**

California Judicial Branch  
November 2013

1926

# Today's Presentation

## Will discuss...

- Business drivers for the branch technology strategic plan.
- Proposed technology principles and initiative types.
- Proposed governance roles and responsibilities.
- Proposed technology goals and initiatives.
- Proposed funding categories, sources, and governance.

## Will not discuss...

- How courts should spend their fund balances.
- What case management system your court should use.
- How much money each court will receive for technology.



# Agenda

- Introduction
- Business Context and charge of the task force
- Task force structure
- Governance proposal
- **Lunch break**
- Governance proposal continued
- Strategic plan proposal
- Funding model proposal
- Next steps



# Business Context 2012

- Local business drivers and goals vary due to differences based on geography, size, and case types.
- Handling and publicity of CCMS has led to low credibility regarding technology projects with other government entities and internally.
- Historically weak structure for fully leveraging knowledge and expertise across the branch.
- Varying fiscal health and technical capabilities between courts.
- Reduction in funding sources overall leaves little for technology.



# Directive

On March 27, 2012, the Judicial Council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

1. Establishing an approach and **vision** for implementing technology.
2. **Leveraging the CCMS V4** technology.
3. Providing **technology solutions** in the near term.
4. Establishing a judicial branch court technology **governance** structure.
5. Developing strategies to assist trial courts with existing critical **case management system** needs.



# Launching a new approach

“You never want a serious crisis to go to waste...  
it's an opportunity to do things that you think you  
could not do before.”

Rahm Emanuel  
*Chief of Staff for President Obama*



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# Workstreams Approach

- ▶ Tightly scoped projects that deliver a specific result in a short time frame (6 months or less).
- ▶ Business driven with participation from trial courts and the AOC.
- ▶ Leverage the knowledge and expertise within the branch.
- ▶ Working as an IT Community.
- ▶ Focus on delivering focused tangible incremental business benefit.
  - Reduces cost and risk.
- ▶ Solicit participation to represent key stakeholders.
- ▶ Understand the fiscal and political climate.



# Feedback from other Government Branches 2012

## Agency

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### California Department of Technology

- Workstreams are a good start towards a longer range plan.
  - Need to have a “mature decision making process.”
  - Need a strategic plan with technology governance model and a technology roadmap.
- 

### California Legislature

- Increased legislative oversight hearings and reports.
- Legislation enacted to:
  - Amend procedures for the approval of IT projects.
  - Structurally alter judicial branch funding and operations policies to limit judicial branch discretion and independence.



# Public Demand for Access to Justice

- Greater demand from the public and attorneys to interact with the court like they do with other businesses.
- Pent up demand for integrated justice.
- Continually evolving technologies and business models for individuals and businesses.
- But...
- Rules and legislation are based on a physical paper-based world rather than digital and electronic.



# Take Aways from 2012

- Establish a stable mechanism and funding source for technology.
- Gain broad support from the courts for branchwide initiatives.
- Implement a mature decision making process.
- Publish a strategic plan with technology governance model and a technology roadmap.
- Restore credibility with other government entities.



# Creation of the Technology Planning Task Force

Authorized by Chief Justice in February 2013 to address judicial branch technology governance and strategy.

- Develop a **strategic plan** for technology across all court levels that provides vision and direction.
- Devise a **tactical plan** for technology that defines the steps needed to achieve the goals defined in the strategic plan.
- Collaborate with the courts to develop administrative and technical **guidelines**.
- Identify and promote opportunities for court **collaboration** and consortia on technological issues.
- Make recommendations for stable, long-term **funding** sources for judicial branch technology.



# Questions to Answer

## Governance

Who manages the technology budget in the branch?

How do we decide which technology programs to fund?

Who decides what are branchwide programs and what are local court programs?

Who makes decisions on branchwide programs?

Once investment decisions are made, who manages the programs?

Who has the authority to decide how to allocate and invest technology funding?

## Strategic Plan

What is our vision?

What are our major initiatives?

## Funding

Will we have a central budget and local budget for technology?

How will we allocate technology funding the branch receives?

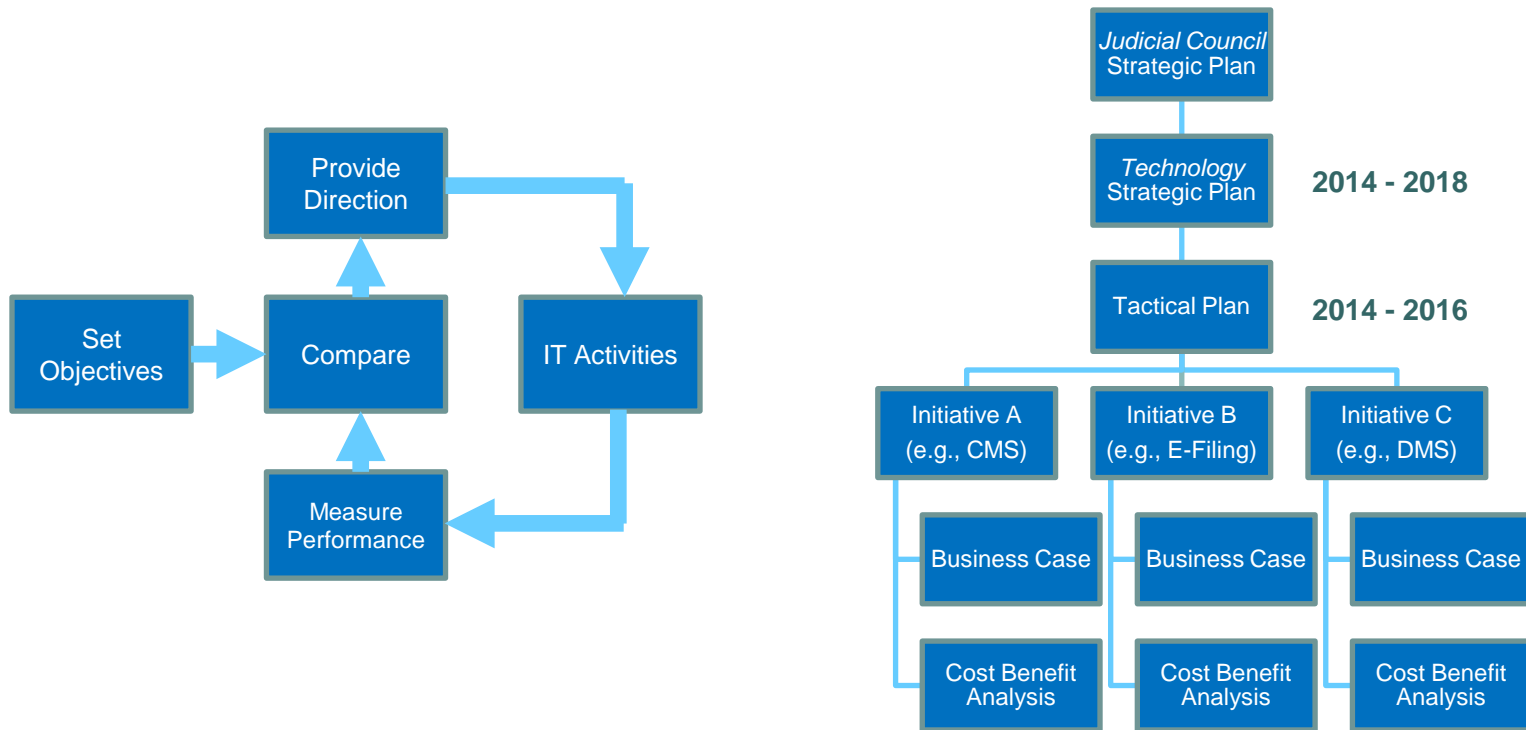
What processes and controls need to be in place to ensure proper use of funding but allow for program flexibility?



# Planning Framework

## Governance Objective:

Transparently, fairly, and predictably allocate and manage resources to achieve our mission.



# 3-Track Program Structure

Governance	Strategic Plan	Funding
Process for how we prioritize and select technical programs.	Prioritized list of what we work on.	Mechanism for funding programs.





# Technology Planning Track Assignments

	Governance (13)	Strategic Plan (16)	Funding (13)
Task Force Members (14)	<ul style="list-style-type: none"> <li>• <b>Jake Chatters (Lead)</b> (CEO Placer)</li> <li>• Justice Ashmann-Gerst (2<sup>nd</sup> appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Judge Herman (Santa Barbara)</li> <li>• Judge Moss (Orange)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Brian Cotta (Lead)</b> (CIO Fresno)</li> <li>• Justice Bruiniers (1<sup>st</sup> Appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Jim Kalyvas (Attorney Los Angeles)</li> <li>• Robert Oyung (CIO Santa Clara)</li> <li>• Charlene Ynson (5<sup>th</sup> Appellate)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Judge Slough (Lead)</b> (San Bernardino)</li> <li>• Sherri Carter (CEO Los Angeles)</li> <li>• Judge Kaufman (Plumas)</li> <li>• Judge Reiser (Ventura)</li> </ul>
Track Participants (27)	<ul style="list-style-type: none"> <li>• Judge Barnes (Kings)</li> <li>• Rick Feldstein (CEO Napa)</li> <li>• James P. Fox (Attorney San Mateo)</li> <li>• Lisa Galdos (AEO Santa Clara)</li> <li>• Darrel Parker (CEO Santa Barbara)</li> <li>• Heather Pettit (CIO Sacramento)</li> <li>• Mike Roddy (CEO San Diego)</li> <li>• Renea Stewart (ITSO AOC)</li> </ul>	<ul style="list-style-type: none"> <li>• Mark Dubeau (CFO Orange)</li> <li>• Mark Dusman (CIO AOC)</li> <li>• Kim Flener (CEO Butte)</li> <li>• Judge Nadler (Sonoma)</li> <li>• Snorri Ogata (CIO Orange)</li> <li>• Pat Patterson (CIO Ventura)</li> <li>• Mike Planet (CEO Ventura)</li> <li>• Ahn Tran (CIO San Joaquin)</li> <li>• Jeannette Vannoy (CIO Napa)</li> <li>• Gary Whitehead (CIO Riverside)</li> </ul>	<ul style="list-style-type: none"> <li>• Alan Carlson (CEO Orange)</li> <li>• Jessica Craven (ITSO AOC)</li> <li>• Alan Crouse (CIO San Bernardino)</li> <li>• Rebecca Fleming (CEO Stanislaus)</li> <li>• Joseph Lane (2<sup>nd</sup> appellate)</li> <li>• Mark Robinson (Attorney Orange)</li> <li>• Virginia Sanders-Hinds (ITSO AOC)</li> <li>• Zlatko Theodorovic (CFO AOC)</li> <li>• Mary Beth Todd (CEO Sutter)</li> </ul>



# Summary of work in progress



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# Governance Proposal



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# IT Governance Determines...

- Which decisions need to be made.
- Who is involved in making them.
- How they are made.
- What process is used to ensure decisions are implemented.
- How results are monitored and corrective actions taken when expected results are not achieved.



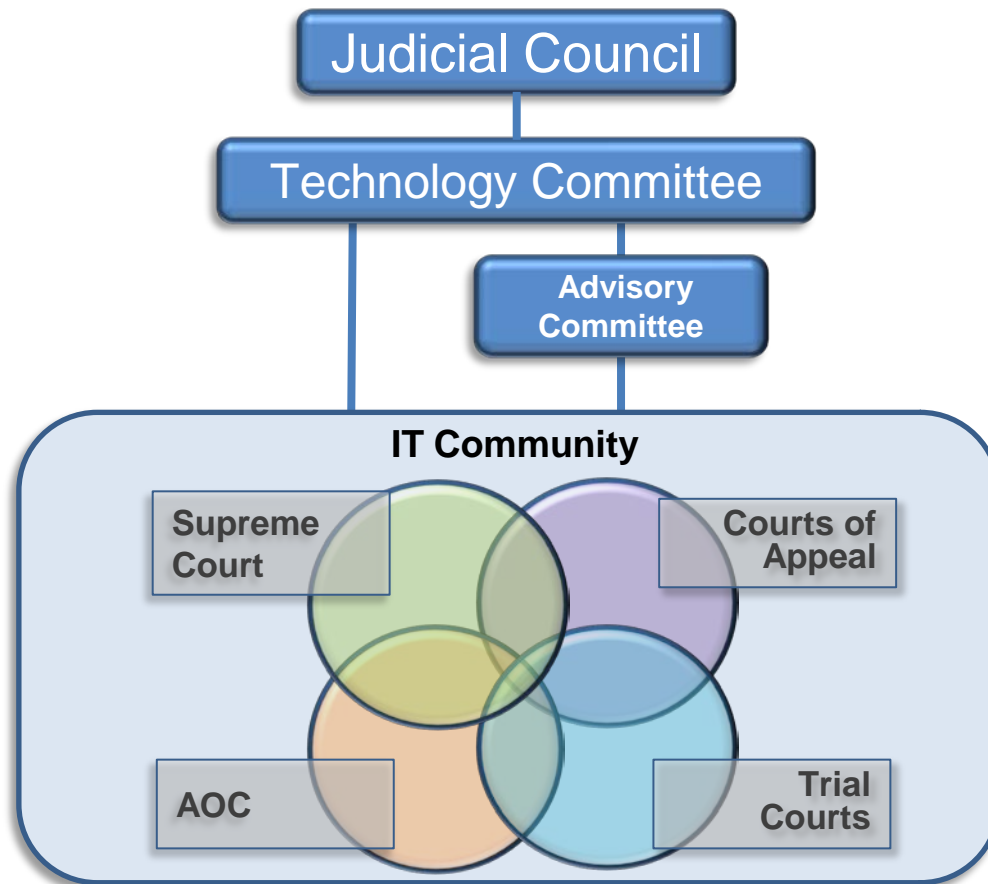
# Proposed Technology Vision

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



# Judicial Branch IT Governance

## Working together as an IT community





# Existing Guiding Principles

Approved by Judicial Council August 31, 2012

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





# Proposed Additional Guiding Principles

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





# Proposed Initiative Categories



## Branchwide Programs and Solutions

### Branchwide Standards and Guidelines

### Consortium Programs and Solutions

### Local Extensions

### Local Programs

Locally managed and developed.

Locally managed and developed based on branchwide solutions.

Multi-court consortium and collaboration.

Optional participation.

Established at the branch level.

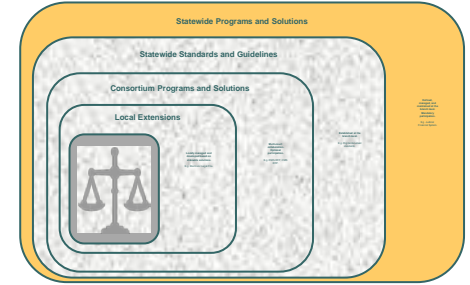
Mandatory compliance of standards if court decides to participate.

Defined, managed, and maintained at the branch level.

Mandatory participation.



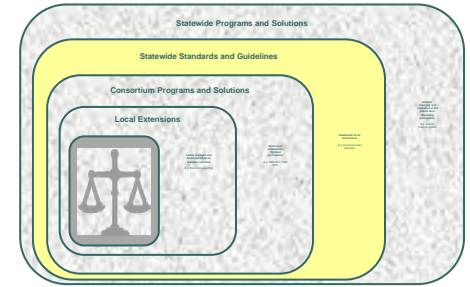
# Branchwide Programs and Solutions



- Solution defined, managed, and maintained through the proposed governance structure subject to the oversight of the Judicial Council in collaboration with the courts.
- Participation mandated or mandated if a specific technology is implemented.
- Branchwide operation driven by economy of scale and/or need to have centralized access, uniform policies, data collection, and analysis across all courts.
- Examples: California Court Protective Order Registry, Judicial Branch Statistical Information System, Phoenix Financials.



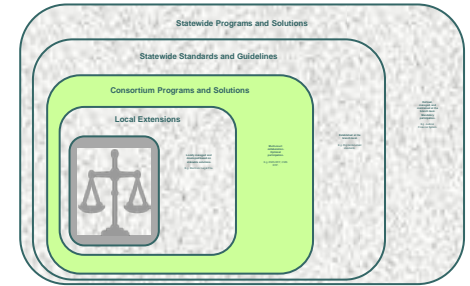
# Branchwide Standards and Guidelines



- Standards and guidelines established through the proposed governance structure and approved by the Judicial Council in collaboration with the courts.
- Courts may be responsible for implementation but must comply with the standards.
- Some guidelines may be permissive and are recommendations more than mandates.
- Examples: 2GEFS e-filing standards, Trial Court Records Manual.



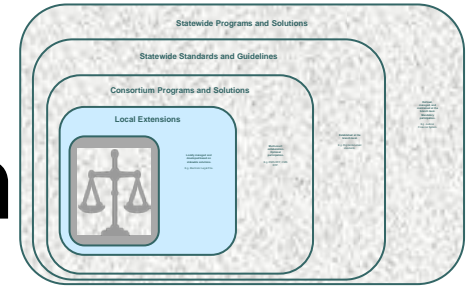
# Consortium Programs and Solutions



- Multi-court collaborations that may require AOC staff assistance.
- Participation by local courts is optional.
- Subject to any branchwide standards adopted for consistency in access.
- May be driven by economy of scale and/or a need for, centralized access across courts or within a region.
- Examples: multi-court document management system RFP, case management system RFP



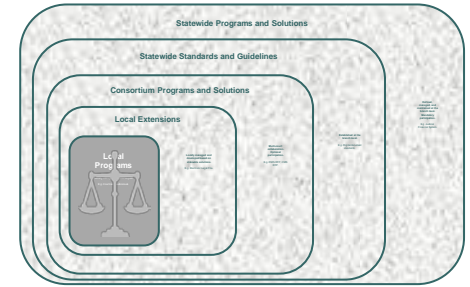
# Local Extensions of State/Shared Program



- Local court developed solutions that leverage branchwide programs or shared programs.
- Completely local court controlled as long as there is no impact on other courts or impact is approved.
- Technological advancements may be models that can be shared branchwide.
- Examples: Electronic Legal File (Orange County), Judicial Education Tracking Tools.



# Local Programs and Solutions

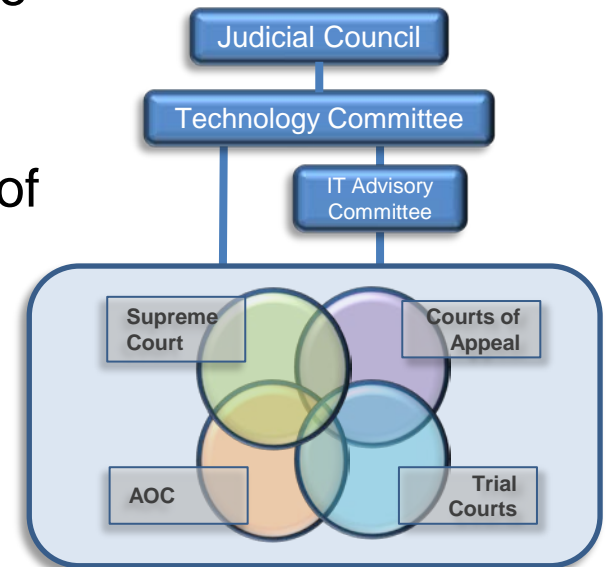


- Local court issue and decision-making.
- Local court funding.
- Subject to any branchwide standards adopted for consistency in access.
- Examples: Audio/visual in the courtroom, personal computers, electronic probable cause statements.



# Proposed Roles and Responsibilities CTAC

- Propose to rename the Court Technology Advisory Committee (CTAC) to the “Information Technology Advisory Committee” (ITAC)
- Provides an active role in promoting, coordinating, and facilitating the application of technology to the work of the courts.
- Structure:
  - Reports to the Technology Committee
  - General members rotate
  - A small set of longer-term members to ensure continuity



# Proposed ITAC Responsibilities (1)

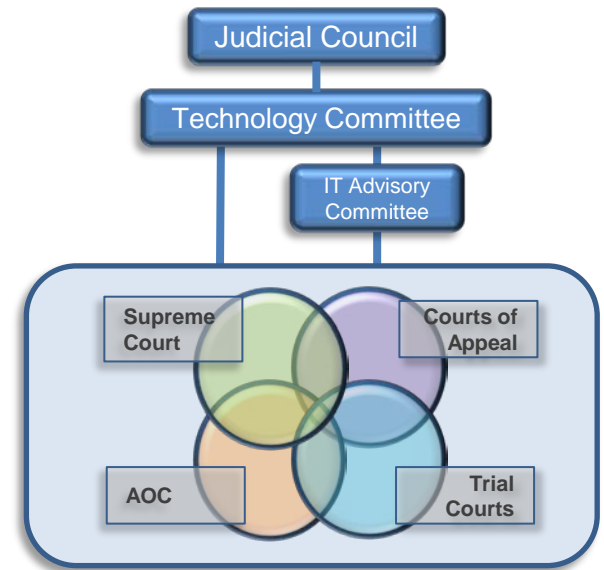
- Provide input into the strategic plan
- Manage the tactical plan
- Establish standards to ensure technology compatibility
- Propose rules and legislation to ensure privacy, access, and security





# Proposed ITAC Responsibilities (2)

- Facilitate court technology projects funded in whole or in part by the state
  - Identify initiative participants from the court community
- Evaluate technology initiative requests
  - Determine if request aligns with the strategic plan
  - Identify applicable technology principles
  - Determine if standards need to be met or created



# Proposed Governance of the Strategic Plan

	IT Strategic Plan (4 Year)	IT Tactical Plan (2 Year)
Judicial Council	Final Approval	Final Approval
Technology Committee	Develops, recommends, seeks input, oversees.	Oversight approval and determine priorities.
Information Technology Advisory Committee	Provides input.	Develops, recommends, seeks input, oversees initiatives.
Individual Courts	Provides input.	Provides input.

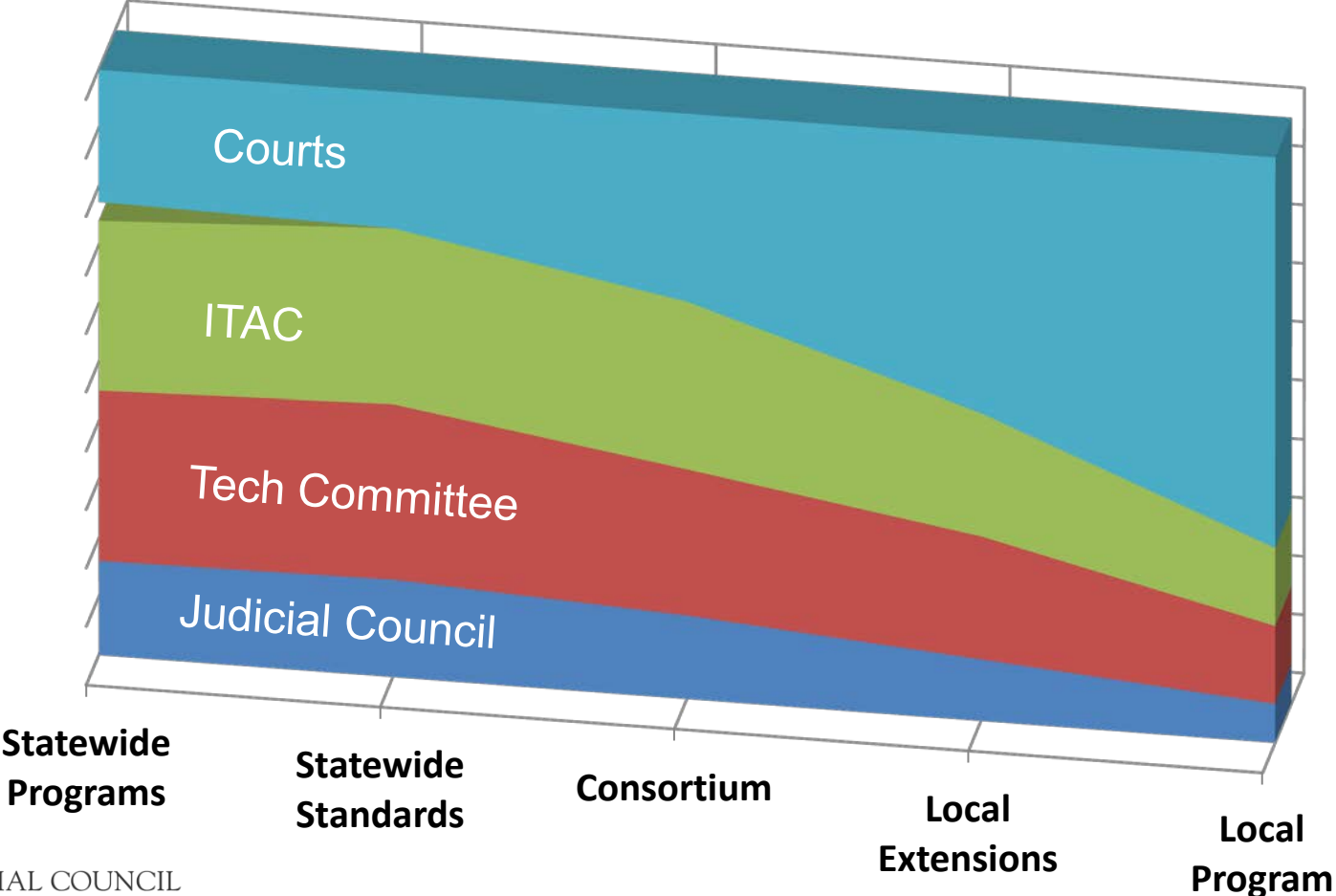


# Proposed Governance Roles for Branchwide Programs

	Role	Changed ?
Judicial Council	The council establishes policies and sets priorities for the judicial branch of government.	No
Technology Committee	Assist the council by providing technology recommendations focusing on the establishment of policies that emphasize long-term strategic leadership that align with judicial branch goals.	No
Information Technology Advisory Committee	Promote, coordinate, and facilitate the application of technology to the work of the courts.	Yes
Administrative Office of the Courts	Assists the council and its chair in carrying out their duties under the Constitution and laws of the state. Provides direct support of the Supreme Court, Courts of Appeal and small courts as requested.	No
Courts	Contribute to technology initiatives as a participant or facilitator.	Yes



# Proposed Governance by Technology Initiative Type



# Proposed Governance of Technology Initiatives



	Branchwide Programs/Standards	Consortium	Local Extensions	Local Program
Judicial Council	Final Approval	Final Approval	N/A	N/A
Technology Committee	Oversight and approval. Prioritize.	Oversight and approval.	Oversight and approval.	N/A
Information Technology Advisory Committee	Develop and recommend initiative.	Recommend (branch funded) or monitor.	Recommend (branch funded) or monitor.	N/A
Individual Courts	Participate/facilitate design and execute.	Participate/facilitate design and execute.	Recommend, participate/ lead design and execute.	Develop and oversee initiative.
Appellate Presiding Judges Advisory Committee	Fiscal review for General Fund expenditures.	Fiscal review for General Fund expenditures.	Fiscal review for General Fund expenditures.	N/A
Trial Court Budget Advisory Committee	Fiscal review for state-level fund expenditures.	Fiscal review for state-level fund expenditures.	Fiscal review for state-level fund expenditures.	N/A

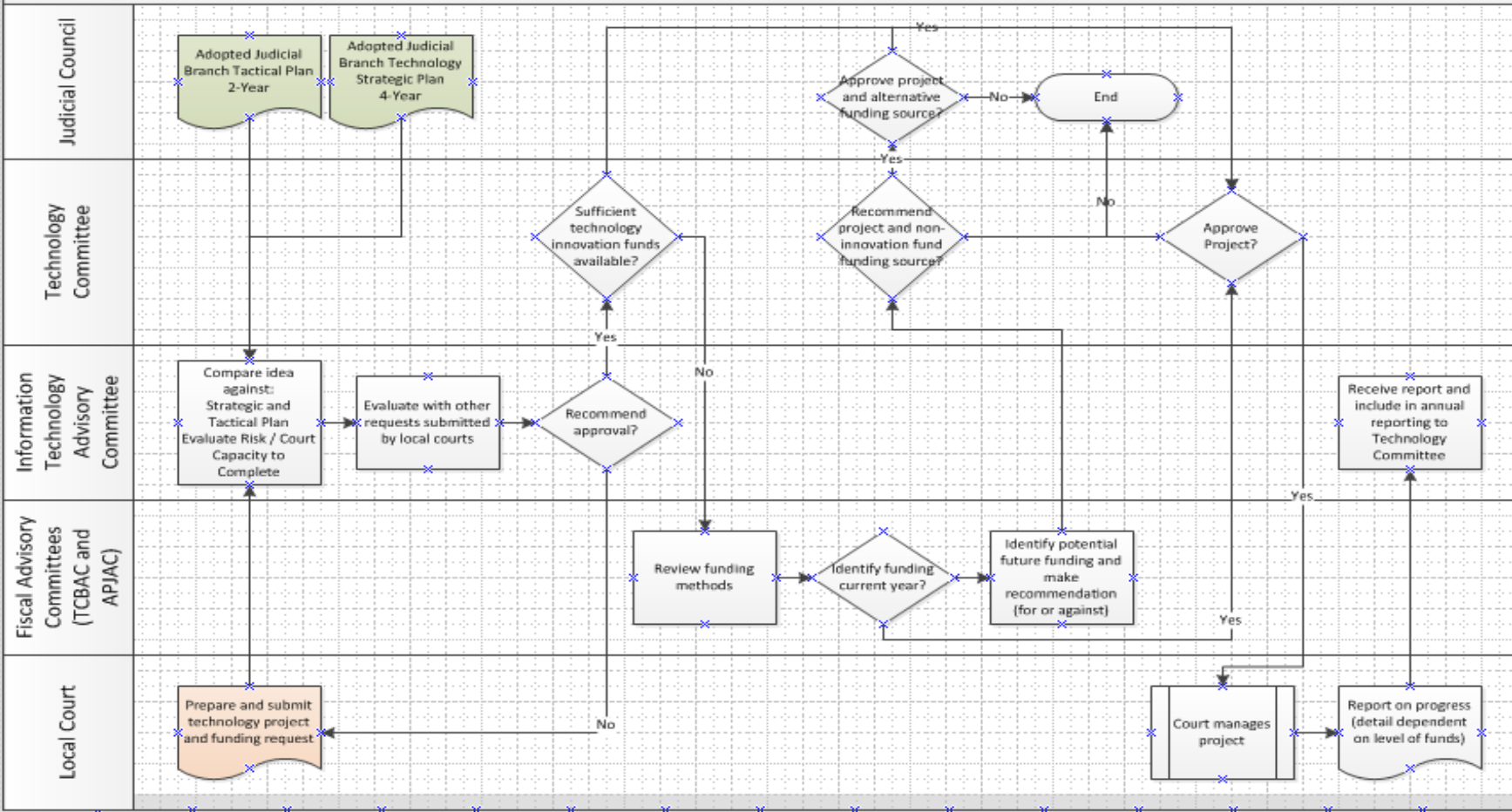


Note: There will be a process to provide an opportunity for review and comment on technology initiatives by other advisory committees such as the Court Executives Advisory Committee (CEAC), the Trial Court Presiding Judges Advisory Committee (TCPJAC), and the Appellate Advisory Committee

California Judicial Branch  
Technology Planning Task Force  
Proposed Process for:

DRAFT – 10/8/2013

Project Execution: Local Court Innovation (Statewide funding request)



# Strategic Plan Proposal



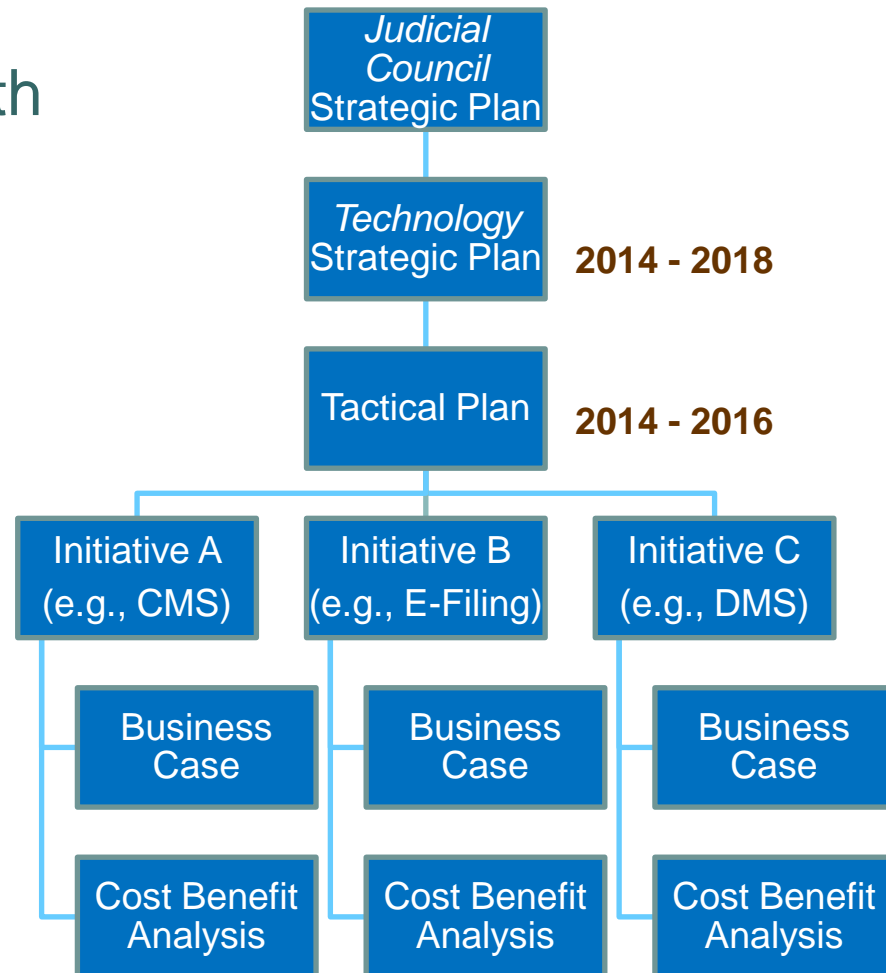
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TECHNOLOGY COMMITTEE

# Cascading Goals

- Ensures alignment with branch goals
- Focused on providing access to justice





# Strategic Plan Goals Documentation

- Statement of Goal
- Business Driver/Need
- Objectives
- Anticipated Results, Benefits, Outcomes
- Dependencies/Requirements
- Metrics
- Background

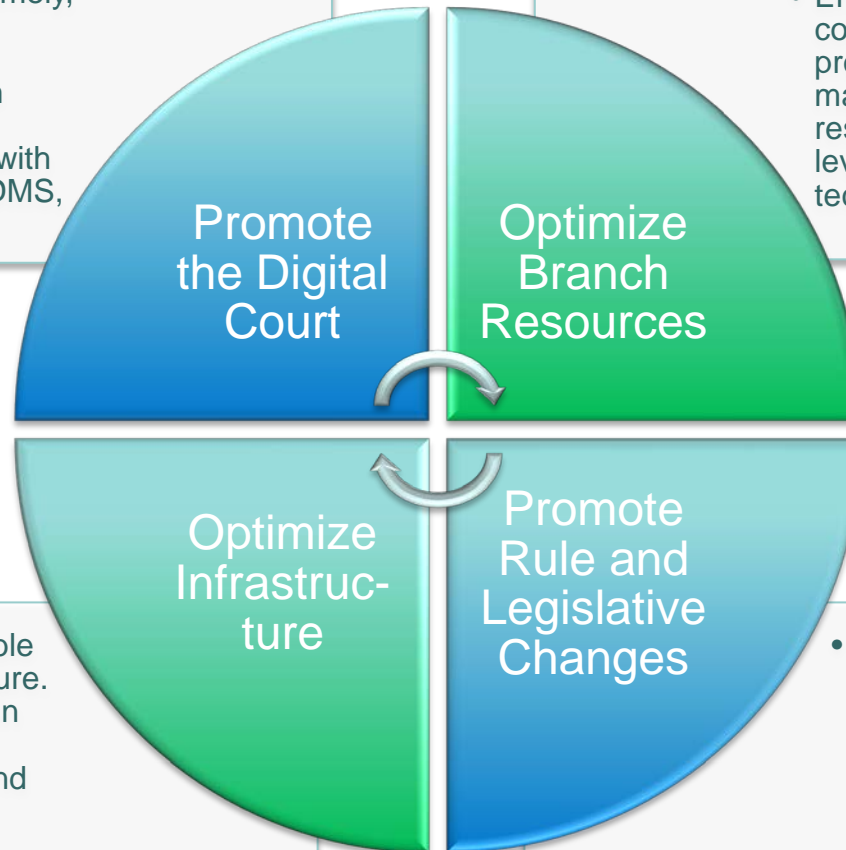




# Proposed Goals

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

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

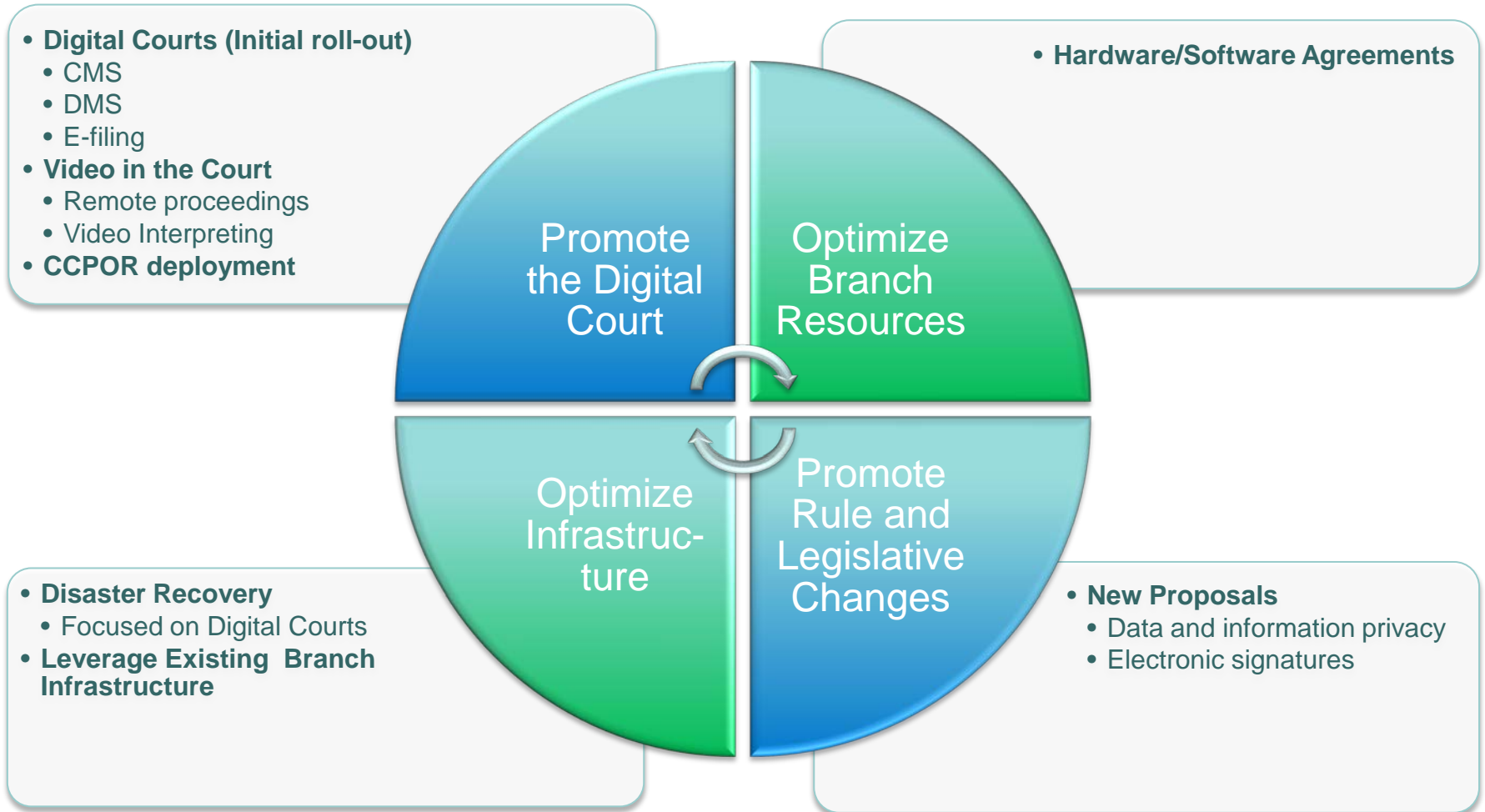


- Leverage and support a reliable secure technology infrastructure. Ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate. E.g. network, disaster recovery.

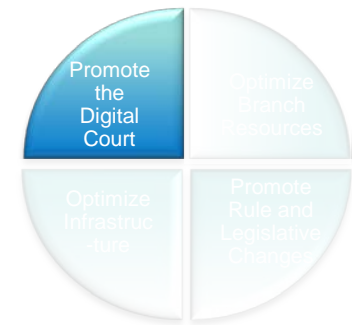
- Drive modernization of statutes, rules and procedures to facilitate use of technology in court operations and delivery of court services. E.g. e-filing, privacy, digital signatures.



# Proposed Tactical Plan



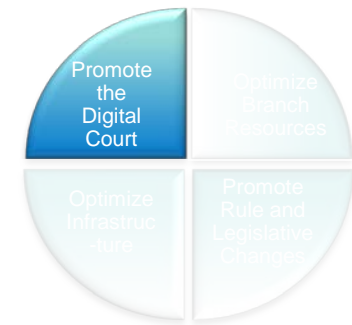
# Digital Court Main Priorities (1)



Proposed Initiative	Description
<b>Case Management System (CMS) Assessment and Prioritization</b>	Identify strategies and solutions for implementing case management systems with document management functionality that support the Digital Court initiative.
<b>Document Management System (DMS) Expansion</b>	Extend existing case management systems with DMS/ECM where feasible while acknowledging the majority of modern case management systems include integrated DMS,
<b>Courthouse Video Connectivity</b>	Expand use of remote video appearances and hearings in appropriate case types and matters and expand availability of remote court-certified interpreter services.



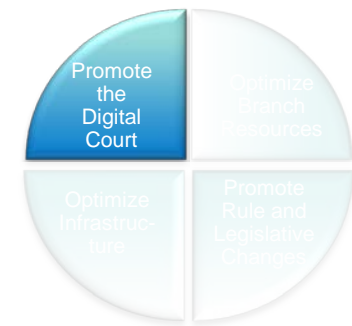
# Digital Court Main Priorities (2)



Proposed Initiative	Description
<b>California Courts Protective Order Registry (CCPOR)</b>	Expand deployment of CCPOR to remaining courts/counties.
<b>Implement a Portal for Self-Represented Litigants</b>	Leverage existing branch resources to investigate providing a central access point for self-represented parties
<b>Jury management technology enhancements (Trial Courts)</b>	Establish a roadmap for enhancing trial court jury management technology
<b>e-Filing Deployment</b>	Publish an e-Filing implementation plan consistent with level of readiness criteria.
<b>e-Filing service provider (EFSP) selection / certification</b>	Develop and implement an EFSP selection and certification process



# Digital Court Secondary Priorities



Proposed Initiative	Description
<b>Identify and encourage projects that provide innovative services</b>	Identify projects focused on providing innovative services to the public, the Bar, justice partners, and law enforcement agencies
<b>Establish an “open source” application sharing community</b>	Investigate the potential for creating a community inside the branch for sharing applications written within the branch
<b>Develop Standard CMS Interfaces and Data Exchanges</b>	Investigate the development of commonly used standards based CMS interfaces and data exchanges for courts, vendors and CMS exchange partners. (e.g. Department of Child Support Services, The Department of Motor Vehicles, the Department of Justice, the California Highway Patrol, The Franchise Tax Board)



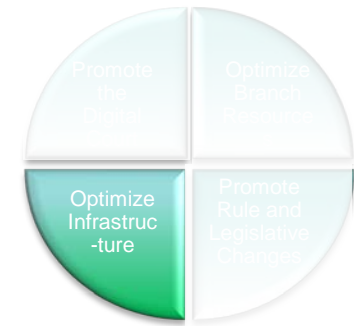
# Optimize Branch Resources



Proposed Initiative	Description
<b>Establish Hardware and Software Master Branch Purchasing/Licensing Agreements</b>	Identify and negotiate branchwide agreements to take advantage of economies of scale (e.g. computing and storage hardware, Microsoft and VMWare software)



# Optimize Infrastructure

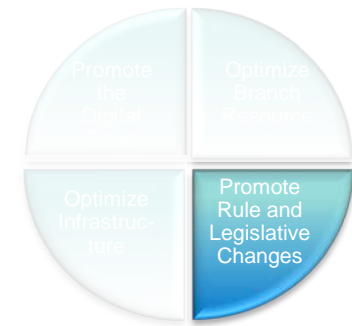


Proposed Initiative	Description
<b>Extend LAN / WAN Initiative to Remaining Courts</b>	Integrate the Alpine, Los Angeles, Orange County, and San Diego Trial Courts into the branchwide telecom, network device, and security refresh schedule
<b>Transition to Next Generation Branchwide Hosting Model</b>	Investigate a new data center strategy considering a combination of selective consolidation, virtualization, and implementation of a secure private cloud environment
<b>Court Information Systems Security Policy Framework</b>	Propose an information security policy, governance and compliance model based on international standards.
<b>Court Disaster Recovery Framework and Pilot</b>	Provide a framework and process for implementing a disaster recovery program that meets each individual organization’s specific needs while leveraging resources and knowledge for the benefit of the entire branch





# Promote Rule and Legislative Changes



Proposed Initiative	Description
<b>Identify new policy, rule and legislation changes</b>	Identify the highest priority statutes necessitating review in order to facilitate the move to the digital court
<b>Electronic Signatures</b>	Articulate definitions and determine standards for electronic signatures



# Strategic Plan Alignment

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

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



# Proposed Project Prioritization Matrix

- Tool to help the Technology Committee prioritize projects within the strategic plan.
- Evaluation criteria include:
  - Strategic Alignment, External Impact
  - Benefit Realization, Organizational Risk Mitigation
  - Technology Alignment / Fit, Technology Risk
- Piloting use by the Technology Committee to identify BCP funding for initial case management system replacement.



# Proposed Project Prioritization Matrix



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



# Funding Model Proposal



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# Funding Situation

- Existing funding drying up
  - Improvement and Modernization Fund will have a deficit in 2014
  - Reserve cap limits investments
- No new funding alternatives
  - BCP process intended for large capital investments not individual court funding
- Limited opportunities for alternate funding
  - User fees, grants, public/private partnerships, counties collaborating



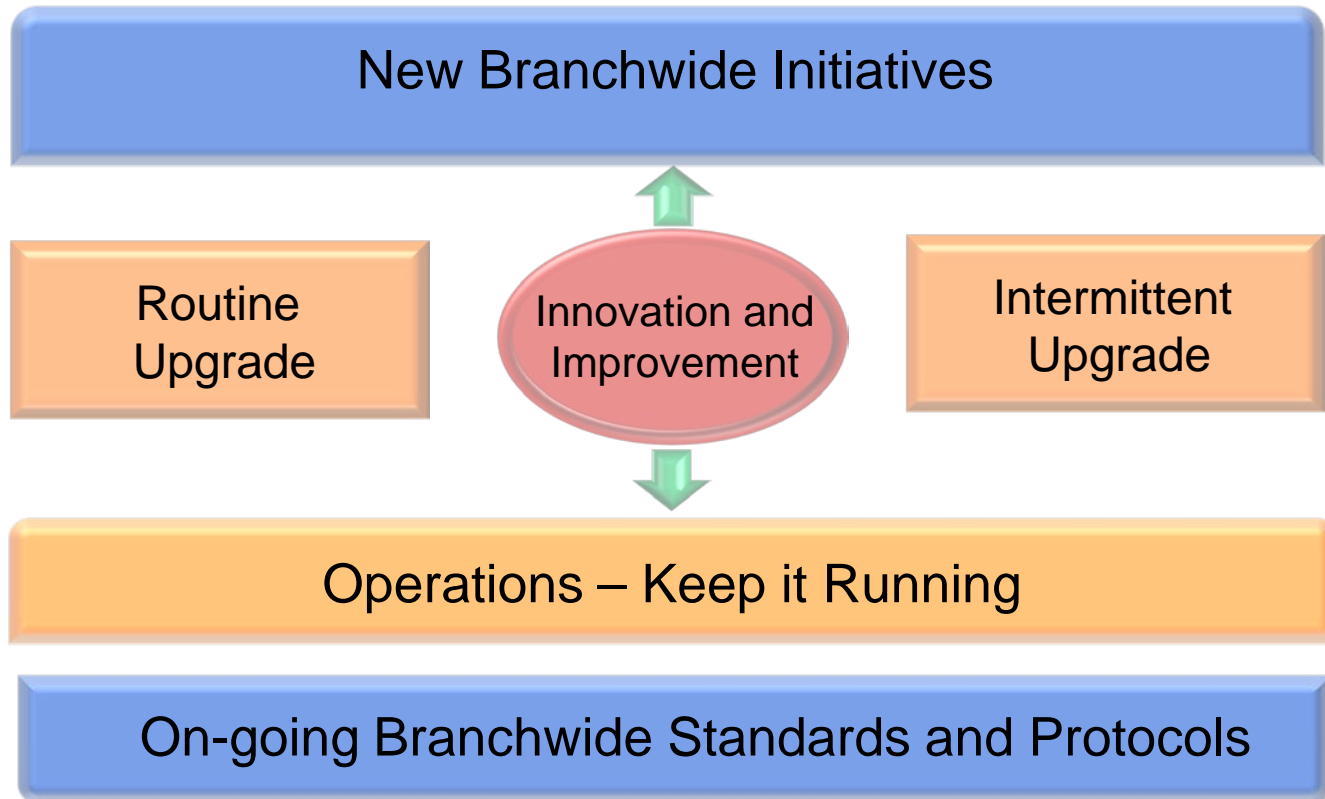
# Funding Benchmark with other States

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



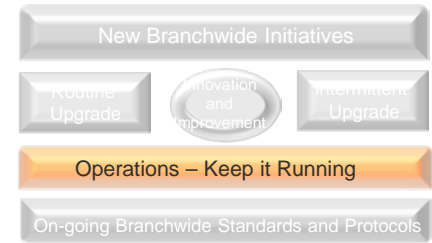


# Proposed Funding Categories





# Operations – Keep it Running



- Routine, on-going IT costs supporting core court operations.
- Year to year costs are typically stable and predictable.
- Examples: Annual hardware and software maintenance; telecommunications services; e-mail; data center, court staff, and professional services.



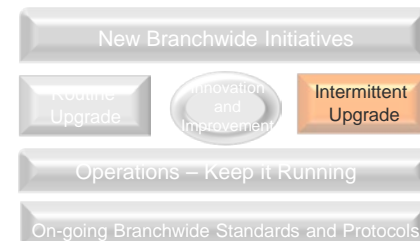
# Routine Upgrade



- Upgrades for hardware that occur on a regular basis, based on the expected life cycle of equipment.
- Examples: Replacement of desktop/laptops every few years; replacement of servers every few years.



# Intermittent Upgrade



- Episodic and unpredictable upgrades.
- Triggered by vendor.
- Software updates to address changes in the law, defects, and enhancements.
- Examples: Upgrade operating system, Microsoft Office, upgrade or replacement of a CMS, DMS, or JMS.



# Innovation and Improvement



- Branch funding for courts to innovate and learn about new technologies or jump start advanced technology opportunities.
- **Past innovation examples:** remote video appearance; e-filing; e-citations; improve access for self-represented litigants.
- **Past improvement examples:** move towards a digital court by imaging active cases and converting microfilm; data conversion.



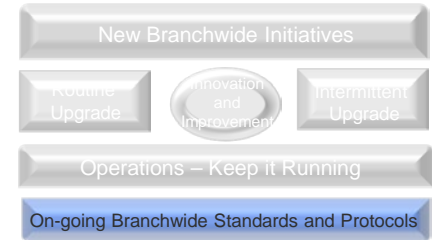
# New Branchwide Initiatives



- Costs related to provide or expand a branchwide service
- Some branchwide initiatives mandated; some optional.
- Funding needed for one-time costs of hardware, software, and deployment.
- Funding required for increases in maintenance costs.
- Examples: Phoenix Financial, Phoenix HR; CCPOR; JBSIS, e-citations from CHP; remote video appearances.



# Ongoing Branchwide Standards and Protocols



- State level funds for developing and maintaining standards or protocols.
- Examples: State level data exchanges and data integration with justice partners such as CCPOR, CHP e-citations, DSS child support data. Master service agreements for IT equipment, software, data centers.





# Proposed Funding Source and Governance (1)

	Funding Sources	Governance
Operations – Keep it running	<ul style="list-style-type: none"><li>• Court General fund</li><li>• BCP for gap in needed funds</li></ul>	<ul style="list-style-type: none"><li>• Allocated by formula by the Judicial Council.</li><li>• Expended by courts based upon local priorities and needs</li></ul>
Routine upgrade		
Intermittent upgrade		





# Proposed Funding Source and Governance (2)

	Funding Sources	Governance
Innovation and improvement	<ul style="list-style-type: none"> <li>Limited amount of funds set aside at the branch level</li> </ul>	<ul style="list-style-type: none"> <li>Review and recommended by the Technology Committee.</li> <li>Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Appellate Presiding Justices Advisory Committee</li> </ul>
New branchwide initiatives	<ul style="list-style-type: none"> <li>Funds set aside at the branch level</li> <li>Grants</li> <li>BCP for gap in needed funds</li> </ul>	<ul style="list-style-type: none"> <li>Expended by appropriate agency, AOC, local trial court, and/or the appellate courts based upon the approved plan.</li> </ul>
On-going branchwide standards and protocols	<ul style="list-style-type: none"> <li>Funds set aside at the branch level</li> <li>Grants</li> <li>BCP for gap in needed funds</li> </ul>	<ul style="list-style-type: none"> <li>Review and recommended by the Technology Committee.</li> <li>Allocated by the Judicial Council after review by Trial Court Budget Advisory Committee or Appellate Presiding Justices Advisory Committee</li> <li>Expended by appropriate agency, usually AOC based upon the approved plan.</li> </ul>





# Next Steps



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TECHNOLOGY COMMITTEE

# Next Steps

Action	Month
Conduct regional meetings to present detailed proposals, get feedback and input.	November
Provide process update to Judicial Council.	December
Present proposals updated from your input to Judicial Council.	January
Submit proposal for public comment.	March
Submit final proposal for Judicial Council approval.	April/June



# Expected Outcomes

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

