



JUDICIAL COUNCIL  
OF CALIFORNIA

TECHNOLOGY COMMITTEE

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**JUDICIAL COUNCIL TECHNOLOGY COMMITTEE**

Open to the Public (Cal. Rules of Court, rule 10.75(c)(1))  
THIS MEETING WILL BE CONDUCTED BY TELECONFERENCE  
THIS MEETING WILL BE RECORDED

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**Date:** October 31, 2016  
**Time:** 12:00 noon - 1:00 p.m.  
**Public Call-in Number:** 1-877-820-7831 Passcode: 3511860

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Meeting materials will be posted on the advisory body web page on the California Courts website at least three business days before the meeting.

Agenda items are numbered for identification purposes only and will not necessarily be considered in the indicated order.

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**I. OPEN MEETING (CAL. RULES OF COURT, RULE 10.75(C)(1))**

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**Call to Order and Roll Call**

**Approval of Minutes**

Approve minutes of the September 12, 2016 meeting.

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**II. PUBLIC COMMENT (CAL. RULES OF COURT, RULE 10.75(K)(2))**

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**Written Comment**

In accordance with California Rules of Court, rule 10.75(k)(1), public comments about any agenda item must be submitted by October 28, 2016, 12:00 noon. Written comments should be e-mailed to [jctc@jud.ca.gov](mailto:jctc@jud.ca.gov) or mailed or delivered to 2255 N. Ontario Street, Suite 220, Burbank, California 91504, attention: Jessica Craven Goldstein. Only written comments received by October 28, 2016, 12:00 noon will be provided to advisory body members prior to the start of the meeting.

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**III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1-6)**

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**Item 1**

**Chair Report**

Provide update on activities of or news from the Judicial Council, advisory bodies, courts, and/or other justice partners.

Presenter: Hon. Marsha G. Slough, Chair, Judicial Council Technology Committee

**Item 2**

**Update/Report on Information Technology Advisory Committee (ITAC)**

An update and report on ITAC will be provided; this will include the activities of the workstreams.

Presenter: Hon. Sheila F. Hanson, Chair, Information Technology Advisory Committee

**Item 3**

**Update on Draft Tactical Plan for Technology 2017-2018**

A report on the process and progress for updating the Tactical Plan for Technology. Input was requested via email from the JCTC on the draft Tactical Plan.

Presenter: Ms. Kathy Fink, Manager, Judicial Council Information Technology

**Item 4**

**Update on Sustain Justice Edition Case Management System**

An update and report on the work related to the Sustain Justice Edition case management system.

Presenter: Mr. Richard Feldstein, JCTC member

**Item 5**

**Update on the Placer Court Hosting Center**

An update and report on the Placer Court Hosting Center (PCHC) project, a consortium project supported by branch-level funding. Once complete, the PCHC will host six courts that previously received hosting services from the Judicial Council via the Technology Center.

Presenter: Mr. Jake Chatters, Court Executive Officer, Placer Court Superior Court

**Item 6**

**Request for Funding for Information Technology Infrastructure for Humboldt and Madera Superior Courts for Eventual Elimination of Subsidies from Trial Court Trust Fund (TCTF) and Improvement and Modernization Fund (IMF) for the Interim Case Management System (ICMS or Sustain Justice Edition) and Managed Court Program (Hosting) (Action Required)**


Follow up on request for funding for two courts (Humboldt and Madera) designated for local hosting when the other six Sustain Justice Edition courts migrate to Placer Superior Court for hosting. Possible referral for comment by the Trial Court Budget Advisory Committee (TCBAC) and/or recommendation to the Judicial Council. The Judicial Council Technology Committee in April 2016, TCBAC in May 2016, and the Judicial Council in June 2016, provided approval for funding to migrate six courts to Placer Superior Court for hosting; this request is to provide funding for the two remaining courts to migrate away from the technology center.

Presenters: Mr. Jake Chatters; Ms. Bonnie Thomas, Court Executive Officer, Madera Superior Court; and Ms. Kim Bartleson, Court Executive Officer, Humboldt Superior Court

**ADJOURNMENT**

**Adjourn**

# Judicial Council Technology Committee Open Meeting



October 31, 2016

# Call to Order and Roll Call

- Welcome
- Open Meeting Script
- Approve minutes

*Hon. Marsha G. Slough, Chair, Judicial Council Technology  
Committee*



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# Chair Report

*Hon. Marsha G. Slough*



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# Update: Information Technology Advisory Committee (ITAC)

*Hon. Sheila F. Hanson, Chair, Information Technology  
Advisory Committee*



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# Update: Draft Tactical Plan for Technology 2017-2018

*Ms. Kathy Fink, Manager, Judicial Council Information Technology*



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# Update: Sustain Justice Edition Case Management System

*Mr. Richard D. Feldstein, JCTC member*



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# Update: Placer Court Hosting Center

*Mr. Jake Chatters, Court Executive Officer, Placer Superior  
Court*



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# Action: Request for Funding for Information Technology Infrastructure for Humboldt and Madera Superior Courts for Eventual Elimination of Subsidies from Trial Court Trust Fund (TCTF) and Improvement and Modernization Fund (IMF) for the Interim Case Management System (ICMS or Sustain Justice Edition) and Managed Court Program (Hosting)

*Mr. Jake Chatters; Ms. Bonnie Thomas, Court Executive Officer, Madera Superior Court; and Ms. Kim Bartleson, Court Executive Officer, Humboldt Superior Court*



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# Adjourn

*All*



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TECHNOLOGY COMMITTEE

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## JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

### MINUTES OF OPEN MEETING

September 12, 2016

12:00 - 1:00 PM

Teleconference

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**Advisory Body Members Present:** Hon. Marsha G. Slough, Chair; Hon. Daniel J. Buckley, Vice-Chair; Hon. Kyle S. Brodie; David E. Gunn; Hon. Gary Nadler; Mr. Mark G. Bonino; Mr. Jake Chatters; and Mr. Rick Feldstein;

**Advisory Body Members Absent:** Hon. Ming W. Chin; and Ms. Debra Elaine Pole

**Liaison Members Present:** Hon. Terence L. Bruiniers

**Others Present:** Mr. Mark Dusman; Mr. Zlatko Theodorovic; Ms. Virginia Sanders-Hinds; Ms. Jessica Goldstein; Ms. Kathy Fink, Mr. David Koon; Ms. Jamel Jones; Mr. Patrick O'Donnell; Ms. Diana Glick; and Ms. Kim Bartleson

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#### OPEN MEETING

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##### **Call to Order and Roll Call**

The chair called the meeting to order, took roll call, and advised no public comments were received.

##### **Approval of Minutes**

The advisory body reviewed and approved the minutes of the August 25, 2016 meeting.

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#### DISCUSSION AND ACTION ITEMS

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##### **Item 1**

###### **Chair Report**

**Update:** Hon. Marsh G. Slough, Chair of the Judicial Council Technology Committee (JCTC), welcomed and thanked everyone for attending. Justice Slough reviewed the agenda for the meeting, as well as provided updates on recent meetings in which she and other members represented the JCTC or reported on the JCTC activities.

##### **Item 2**

###### **Legislative Proposal to Authorize E-Service and E-Filing in Juvenile Proceedings**

**Update:** Ms. Diana Glick of Judicial Council Center for Families, Children, and the Courts reviewed the rule and form proposals to amend the Welfare & Institutions Code to allow

for e-service by consent and e-filing in juvenile dependency and delinquency proceedings. This proposal would amend sections 248, 248.5, 290.1, 290.2, 291, 292, 293, 294, 295, 297, 302, 316.1, 342, 362.4, 364.05, 366.05, 366.21, 366.26, 387, 607.2, 630, 658, 660, 661, 727.4, 777, 778, 779, 785, and 903.45, and add new section 12.5 to Welfare & Institutions Code.

**Action:** The committee discussed the report and voted unanimously to approve.

### Item 3

#### **Legislative Proposal to Authorize E-Service in Proceedings Under the Probate Code**

**Update:** Mr. Patrick O'Donnell of Judicial Council Legal Services reviewed the revisions to sections 366, 453, 1050, 1209, 1212–1215, 1217, 1220, 1250, 1252, 1460, 1461, 1461.4, 1461.5, 1511, 1513.2, 1516, 1542, 1822, 1826, 1827.5, 1830, 1842, 1847, 1851, 2214, 2250, 2352, 2357, 2361, 2610, 2611, 2612, 2614, 2683, 2684, 2700, 2702, 2804, 2808, 3088, 3131, 3206, 3602, 3704, 3801, 3918, 8100, 8110, 8111, 8469, 8522, 8803, 8903, 8906, 8924, 9052, 9153, 9732, 9762, 9783, 9787, 10585–10587, 11601, 13200, 13655, 15686, 16061.7–16061.9, 16336.6, 16501–16503, 17203–17205, 17403, 17454, 19011, 19024, 19040, 19052, 19150, 19153, 19323, 20122, and 20222 of the Probate Code; and sections 728 and 5362 of the Welfare and Institutions Code; restate existing section 1265 of the Probate Code as a new section 1266; enact a new Probate Code section 1265; and repeal Probate Code section 1216, proposed by the Information Technology Advisory Committee and the Probate Mental Health Advisory Committee. The proposed changes are intended to amend the Probate Code and two Probate Code-connected provisions of the Welfare and Institutions Code to allow for e-service in proceedings governed by the Probate Code.

**Action:** The committee discussed the report and voted unanimously to approve.

### Item 4

#### **Update on Sustain Justice Edition Case Management System**

**Update:** Mr. Richard D. Feldstein and Mr. Jake Chatters provided an update and report on the work related to the Sustain Justice Edition case management system replacement including the request for proposal, budget change proposal, and the Placer Court Hosting Consortium.

**Action:** The committee received the report.

### Item 5

#### **Request for Funding for Information Technology Infrastructure for Humboldt and Madera Superior Courts for Eventual Elimination of Subsidies from Trial Court Trust Fund (TCTF) and Improvement and Modernization Fund (IMF) for the Interim Case Management System (ICMS or Sustain Justice Edition) and Managed Court Program (Hosting)**

**Update:** Ms. Kim Bartleson, Court Executive Officer for Humboldt Superior Court, and Mr. Richard D. Feldstein, on behalf of Ms. Bonnie Thomas, Court Executive Officer for Madera

Superior Court, presented information on the courts request for one time funding for the two courts (Humboldt and Madera) designated for local hosting when the other six Sustain Justice Edition courts migrate to Placer Superior Court for hosting. The request was for funding during the current fiscal year for the two remaining courts to migrate away from the technology center.

**Action:** The committee received the report, discussed the information, and voted to have this item continued at the next JCTC meeting when Humboldt and Madera will provide further details to support their financial request.

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**A D J O U R N M E N T**

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There being no further business, the meeting was adjourned.

**Annual Agenda Project 1. CMS Data Exchanges**

<b>Summary</b>	Develop Standardized Approaches to Case Management System (CMS) Interfaces and Data Exchanges with Critical State Justice Partners	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	David Yamasaki, Judge Robert Freedman (Governance)	<b>Project Manager</b> Alan Crouse
<b>JCC Resources</b>	JCIT (Nicole Rosa, Jackie Woods)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Governance Committee and Repository planning active.	
<b>Expected Outcomes</b>	1. Documented data exchange elements and format standards 2. Documented governance and modification processes	
<b>Expected Completion</b>	July 2016 -- Extended to October 2016, per ITAC chair approval 6/28/2016; extended to December 2016, per ITAC chair approval 10/14/2016	

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



<p>(e) Maintain a repository of required materials that support development of standardized exchanges.</p>	<p>In Progress</p>	<p>Repository created and readied for documentation. Meetings held with CIOs and justice partners to identify exchange update and modification goals, and provide a walk-through for updating the repository with required materials for the standardized exchanges. Additional meetings to be held, as needed.</p>
<p>(f) Promote the technical standards as the default standards for local data exchanges.</p>	<p>Not Started</p>	<p>Expected as part of the 2017 governance implementation and maintenance activities.</p>

**Annual Agenda Project 2. E-Filing Strategy**

<b>Summary</b>	Update E-Filing Standards; Develop Provider Certification and a Deployment Strategy		
<b>ITAC Resource</b>	Workstream		
<b>Sponsor(s) or Chair(s)</b>	Hon. Sheila F. Hanson, Rob Oyung	<b>Project Manager</b> Snorri Ogata	
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell); Information Technology (Edmund Herbert); Branch Accounting and Procurement		
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).		
<b>Project Active</b>	<input checked="" type="checkbox"/> Conducting bi-weekly meetings.		
<b>Expected Outcomes</b>	1. Updated Technical Standards 2. Certification Program		
<b>Expected Completion</b>	July 2016 -- Extended to December 2016, per ITAC chair approval 6/28/2016 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>		

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

		<p>attending these meetings. Two sub-groups have been created. The first sub-group will review and discuss the requirements associated with “ClerkReview”. This sub-group will also include clerks from existing e-filing courts in their review and discussions. The second sub-group will review and discuss the technical requirements for the project and are currently focusing on Identity Management in a multiple EFM environment.</p> <p>Additionally, a BCP is being developed to request funds for supporting ancillary aspects of a statewide e-filing program, for example, resources for policy and vendor management, infrastructure to leverage the state’s favorable payment processor, and identity management support and licensing.</p>
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**Annual Agenda Project 3. Next Generation Hosting Strategy**

<b>Summary</b>	Assess Alternatives for Transition to a Next-Generation Branchwide Hosting Model	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Jackson Lucky, Brian Cotta	<b>Project Manager</b> Heather Pettit
<b>JCC Resources</b>	JCIT (Donna Keating and others as specific technical topics are discussed)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/21/2015) and JCTC (9/15/2015); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting ad-hoc.	
<b>Expected Outcomes</b>	<ol style="list-style-type: none"> <li>1. Assessment Findings: Best practices, Solution Options</li> <li>2. Educational Document for Courts</li> <li>3. Host 1-Day Summit on Hosting</li> <li>4. Recommendations For Branch-level Hosting</li> </ol>	
<b>Expected Completion</b>	December 2016 <i>Initiative identified at October ITAC meeting to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Define workstream project schedule and detailed tasks; gain approval of workstream membership.	In Progress	Membership approved. A high-level project schedule/plan has been developed; and is being progressively detailed as topics are completed.
(b) Outline industry best practices for hosting (including solution matrix with pros, cons, example applications, and costs).	In Progress	Members agreed that a first set of tools, including court system inventory, service level definitions and recommended service levels should be finalized for delivery to ITAC and trial courts. Members are also working with VMWare on a statewide license agreement, as included in the Judicial Council tactical plan. Lastly, members are meeting with other workstream leadership to discuss security and identity management on October 20, 2016.
(c) Produce a roadmap tool for use by courts in evaluating options.	In Progress	Started July 20, 2016
(d) Consider educational summit on hosting options, and hold summit if appropriate.	In Progress	
(e) Identify requirements for centralized hosting.	In Progress	

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

<b>Summary</b>	Consult As Requested and Implement Video Remote Interpreting Pilot (VRI) Program	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Terence L. Bruiniers	<b>Project Manager</b> Olivia Lawrence
<b>JCC Resources</b>	Court Operations Services (Olivia Lawrence, VRI Project Manager; Anne Marx, SME) JCIT (Fati Farmanfarmaian, IT Project Manager; Jenny Phu, SME; Nate Moore, SME)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (8/30/2016) and JCTC Chair (9/8/2016); forwarded to E&P staff.	
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes, from the perspective of the LAPITF activity.	
<b>Expected Outcomes</b>	1. Implementation of VRI Pilot Program	
<b>Expected Completion</b>	March 2017 (Phase I) – <i>Requesting extension into 2017 annual agenda, through August 2017, which will be reflected as part of the 2017 annual agenda.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) In cooperation with the Language Access Plan (LAP) Implementation Task Force Technological Solutions Subcommittee (TSS), assist with identifying participants for a video remote interpreting (VRI) pilot <del>program project, and initiation of a VRI pilot</del> . Steps include identification of <del>a</del> court participants, <del>and</del> issuance of an RFP for a no-cost vendor partner(s), <del>and implementation of a six month pilot program</del> per the programmatic outline developed in 2015.	In Progress	<p>Pilot project proposal was presented and approved at June 24 Judicial Council meeting. Three pilot courts (Sacramento, Ventura, and Merced) have been identified.</p> <p>The no-cost RFP to select participant vendors has been issued; and demonstrations conducted by four responding vendors on Sept 21-22. Notice of intent to award will be in November.</p> <p>The tentative launch of the “program assessment period” is April 2017; with a six month duration. A contract for independent evaluation of the VRI Pilot Project is under negotiation. The workstream membership has been approved, and governance of the pilot (between LAPITF and ITAC’s VRI Workstream) is being coordinated.</p>
(b) Implement Phase I of the VRI pilot <del>program project</del> , in cooperation with the TSS.	Not Started	

\* Red text indicates non-substantive edits to annual agenda description, per project definitions derived post-annual agenda approval.

**Annual Agenda Project 5. SRL E-Services**

<b>Summary</b>	Develop Requirements and a Request for Proposal (RFP) for Establishing Online Branchwide Self-Represented Litigants (SRL) E-Services	
<b>ITAC Resource</b>	Workstream	
<b>Sponsor(s) or Chair(s)</b>	Hon. Robert Freedman, Hon. James Mize	<b>Project Manager</b> Brett Howard
<b>JCC Resources</b>	JCIT (Mark Gelade) and CFCC (Karen Cannata, Diana Glick)	
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.	
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/5/2016) and JCTC (4/14/2016); forwarded to E&P (staff).	
<b>Project Active</b>	<input checked="" type="checkbox"/> Held 5 meetings; next meeting scheduled for October 19, 2016.	
<b>Expected Outcomes</b>	1. SRL Portal Requirements Document 2. Request for Proposal (RFP)	
<b>Expected Completion</b>	December 2016 (12 months) <i>Initiative identified at October ITAC meeting as likely to carry forward into 2017 annual agenda; new completion date to be determined at December ITAC meeting.</i>	

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop requirements for branchwide SRL e-capabilities to facilitate interactive FAQ, triage functionality, and document assembly to guide SRLs through the process, and interoperability with the branchwide e-filing solution. The portal will be complementary to existing local court services.	In Progress	<p>The workstream held its kickoff meeting on March 30 and have met 5 times.</p> <ul style="list-style-type: none"> <li>At the August 17th meeting, a presentation regarding ‘Document Assembly’ was made by Diana Glick.</li> <li>A special meeting was held on September 12, 2016, for two presentations/demos: Guide &amp; File presented by Michelle Farnsworth, and eFiling Update presented by Snorri Ogata.</li> </ul> <p>Four workgroups were established to further investigate and divide the workload.</p> <ol style="list-style-type: none"> <li><i>Existing Solutions Workgroup</i> met on July 26, 2016, to discuss high level focus and scope, and to establish list of resources statewide and nationally, for review by the group. Next meeting scheduled October 25, 2016.</li> <li><i>Technology Workgroup</i> met on July 12th and August 10, 2016, to discuss high level focus and scope, and to establish list of technical resources for review by the group. Next meeting scheduled October 12, 2016.</li> </ol>

		<ol style="list-style-type: none"> <li>3. <i>Requirements Definition Workgroup</i> met on July 25<sup>th</sup> and August 24, 2016, to discuss high level focus and scope, and to establish list of available resources for review by the group. Next meeting scheduled October 20, 2016.</li> <li>4. <i>Document Access Workgroup</i> kick-off meeting held August 9, 2016, to discuss high level focus and scope. Next meeting scheduled October 3, 2016.</li> </ol>
<p>(b) Determine implementation options for a branch-branded SRL E-Services website that takes optimal advantage of existing branch, local court, and vendor resources. In scope for 2016 is development of an RFP; out of scope is the actual implementation.</p>	<p>In Progress</p>	<p>See above.</p>

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

<b>Summary</b>	Document, Test, and Adopt a Court Disaster Recovery Framework		
<b>ITAC Resource</b>	Workstream		
<b>Sponsor(s) or Chair(s)</b>	Hon. Alan Perkins, Brian Cotta	<b>Project Manager</b> Brian Cotta	
<b>JCC Resources</b>	JCIT (Michael Derr)		
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (4/21/2016) and JCTC Chair (4/27/2016); forwarded to E&P (staff).		
<b>Project Active</b>	<input checked="" type="checkbox"/> Conducting bi-weekly meetings.		
<b>Expected Outcomes</b>	1. Disaster Recovery Framework Document and Checklist 2. Findings from Pilot		
<b>Expected Completion</b>	December 2016 (extended to March 2017, per ITAC chair approval 6/28/2016)		

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



		<p>has concluded. The results of such would be independently monitored by the volunteer court(s). Thus, the final deliverable of the workstream in its current form would be to create the framework, inclusive of DR guidelines, recommendations and standards. Additionally, a DR plan skeleton document will be included as a deliverable as noted above in (Major Task “B”).</p>
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**Annual Agenda Project 7. Modernize Rules of Court (Phase II)**

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

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

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

<b>Summary</b>	Develop Legislation, Rules, and Standards for Electronic Signatures on Documents Filed by Parties and Attorneys
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, Tara Lundstrom), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting as needed.
<b>Expected Outcomes</b>	1. Rule and/or Legislative Proposal, if appropriate 2. Recommendation of Standards for Electronic Signatures (Update to the Trial Court Records Manual)
<b>Expected Completion</b>	December 2018 – Needs correction to December 2017 (Effective Jan 1, 2018)

MAJOR TASKS	STATUS	DESCRIPTION
(a) Develop legislative and rule proposal to amend Code of Civil Procedure section 1010.6(b)(2) and Cal. Rules of Court, rule 2.257, to authorize electronic signatures on documents filed by the parties and attorneys.	In Progress	Public comments have been received and were reviewed by the Rules & Policy Subcommittee (RPS) for a legislative proposal that would authorize <u>electronic signatures</u> on electronically filed documents. At its August 1 meeting, ITAC approved the RPS recommendation that the council amend the Code of Civil Procedure. This proposal was also approved by JCTC and is now being considered by PCLC for Judicial Council's approval at their December meeting (for effective date of January 1, 2018).
(b) Develop standards governing electronic signatures to be included in the "Trial Court Records Manual."	Not Started	CEAC Records Management Subcommittee have primary responsibility for developing the Trial Court Records Manual update.

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

<b>Summary</b>	Develop Rule Proposal to Facilitate Remote Access to Trial Court Records by Local Justice Partners
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, TBD), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input type="checkbox"/>
<b>Expected Outcomes</b>	1. Rule Proposal
<b>Expected Completion</b>	December 2016 – Will need extension to December 2017 (Effective Jan 1, 2018)

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

**Annual Agenda Project 10. Rules for E-Filing**

<b>Summary</b>	Evaluate Current E-Filing Laws and Rules, and Recommend Appropriate Changes
<b>ITAC Resource</b>	Rules & Policy Subcommittee
<b>Sponsor(s) or Chair(s)</b>	Hon. Peter J. Siggins
<b>JCC Resources</b>	Legal Services (Patrick O'Donnell, Tara Lundstrom), JCIT (Fati Farmanfarmaian)
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.
<b>Membership Established</b>	<input checked="" type="checkbox"/> Rules & Policy Subcommittee
<b>Project Active</b>	<input checked="" type="checkbox"/> Yes. Meeting as needed.
<b>Expected Outcomes</b>	1. Legislative and Rule Proposals
<b>Expected Completion</b>	December 2016 – Needs correction to December 2017 (Effective Jan 1, 2018)

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

**Annual Agenda Project 11. Privacy Policy**

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

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

**Annual Agenda Project 12. Standards for Electronic Court Records**

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

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

**Annual Agenda Project 13. Appellate Rules for E-Filing**

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

MAJOR TASKS	STATUS	DESCRIPTION
(a) Review appellate rules and amend as needed to ensure consistency between the rules and current e-filing practices and to consider whether statewide uniformity in those practices would be desirable.	In Progress	Following the public comment period on the JATS proposal to revise the appellate e-filing rules in accordance with current e-filing practices, JATS made its final recommendations to ITAC, which the committee approved at its August 1 meeting. The proposal was approved by the JCTC at its August 8 meeting and by RUPRO at its September 7 meeting. The Judicial Council will consider the proposal at its October 27-28 meeting, with the changes going into effect January 1, 2017, if approved.



**Annual Agenda Project 14. Consult on Appellate Court Technological Issues**

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

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

**Annual Agenda Project 15. Tactical Plan for Technology**

<b>Summary</b>	Update Tactical Plan for Technology for Effective Date 2017-2018		
<b>ITAC Resource</b>	Workstream		
<b>Sponsor(s) or Chair(s)</b>	Hon. Terence L. Bruiniers	<b>Project Manager</b> Kathleen Fink	
<b>JCC Resources</b>	JCIT (Kathleen Fink, Tony Rochon, Jamel Jones)		
<b>Project Authorized</b>	<input checked="" type="checkbox"/> Yes. Approved (1/11/2016) as part of 2016 Annual Agenda.		
<b>Membership Established</b>	<input checked="" type="checkbox"/> Approved by ITAC Chair (5/3/2016) and JCTC (6/3/2016); forwarded to E&P (staff).		
<b>Project Active</b>	<input checked="" type="checkbox"/> Meeting as needed.		
<b>Expected Outcomes</b>	1. Tactical Plan for Technology 2017-2018		
<b>Expected Completion</b>	December 2016 (extended through April 2017, per ITAC chair approval 9/1/2016)		

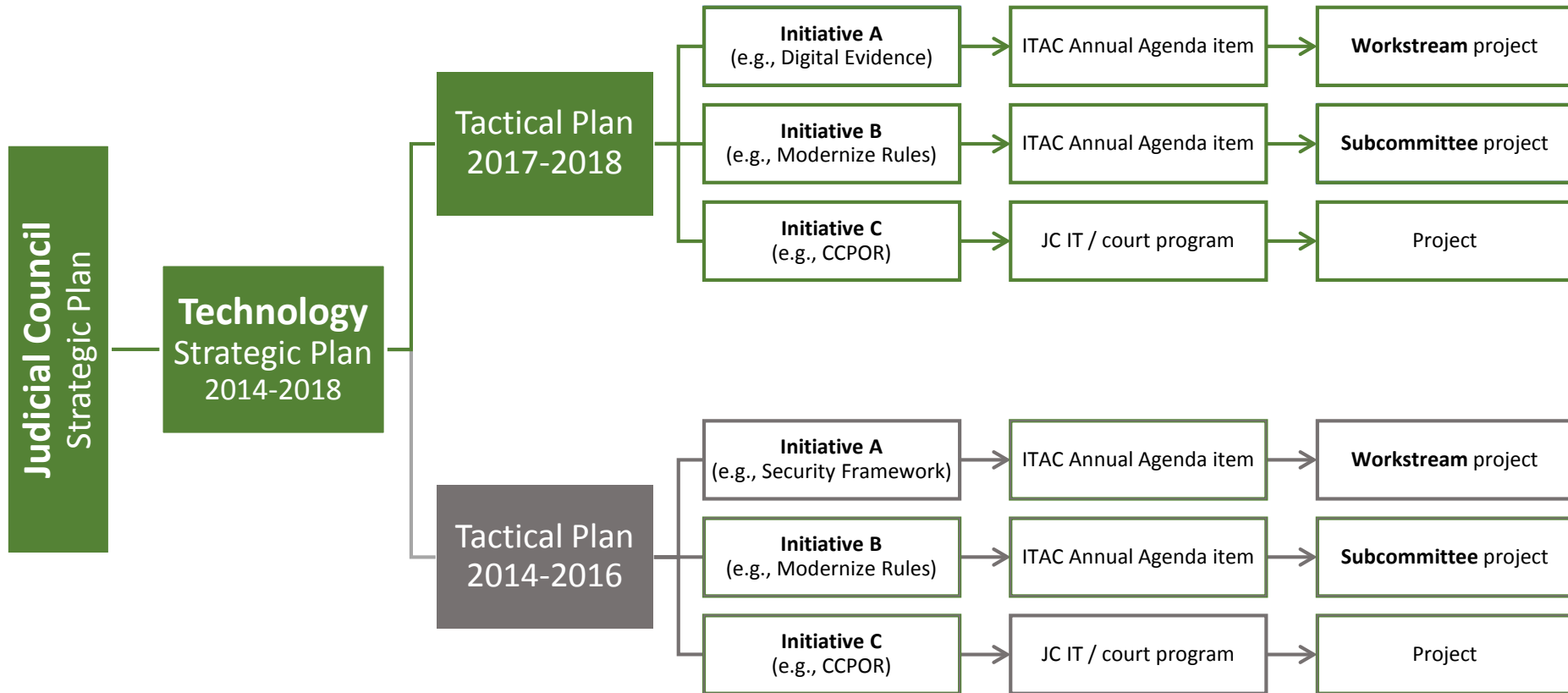
MAJOR TASKS	STATUS	DESCRIPTION
(a) Review and update the Tactical Plan for Technology.	In Progress	<p>Team held orientation meeting in May; and, finalized a Tactical Plan progress report to date in July.</p> <p>The workstream met several times and used SWOT analysis (strengths, weaknesses, opportunities, and threats) to define judicial branch business drivers. The workstream discussed this analysis with CITMF for input in July; and with CEAC and TCPJAC in August. Input from these meetings has been used in drafting a proposed Tactical Plan for 2017-18.</p> <p>Current Tactical Plan initiatives were also reviewed by the associated workstreams and subcommittees for input on updates.</p>
(b) Circulate for branch and public comment.	Not Started	The first draft of the Tactical Plan for 2017-18 will be reviewed with CITMF, CEAC, TCPJAC and other stakeholders in October 2016, with input incorporated by mid-November. It is anticipated that the draft plan can then be reviewed by ITAC at its December meeting, circulated for public comment in December and January, and submitted to the JCTC and the Judicial Council for approval in April.
(c) Finalize and submit for approval.	Not Started	
Note: Futures Commission outcomes will provide inputs into Strategic and Tactical Plan.		

# Updating the Judicial Branch Tactical Plan for Technology 2017-2018

Request to review the  
*draft* Tactical Plan and provide input

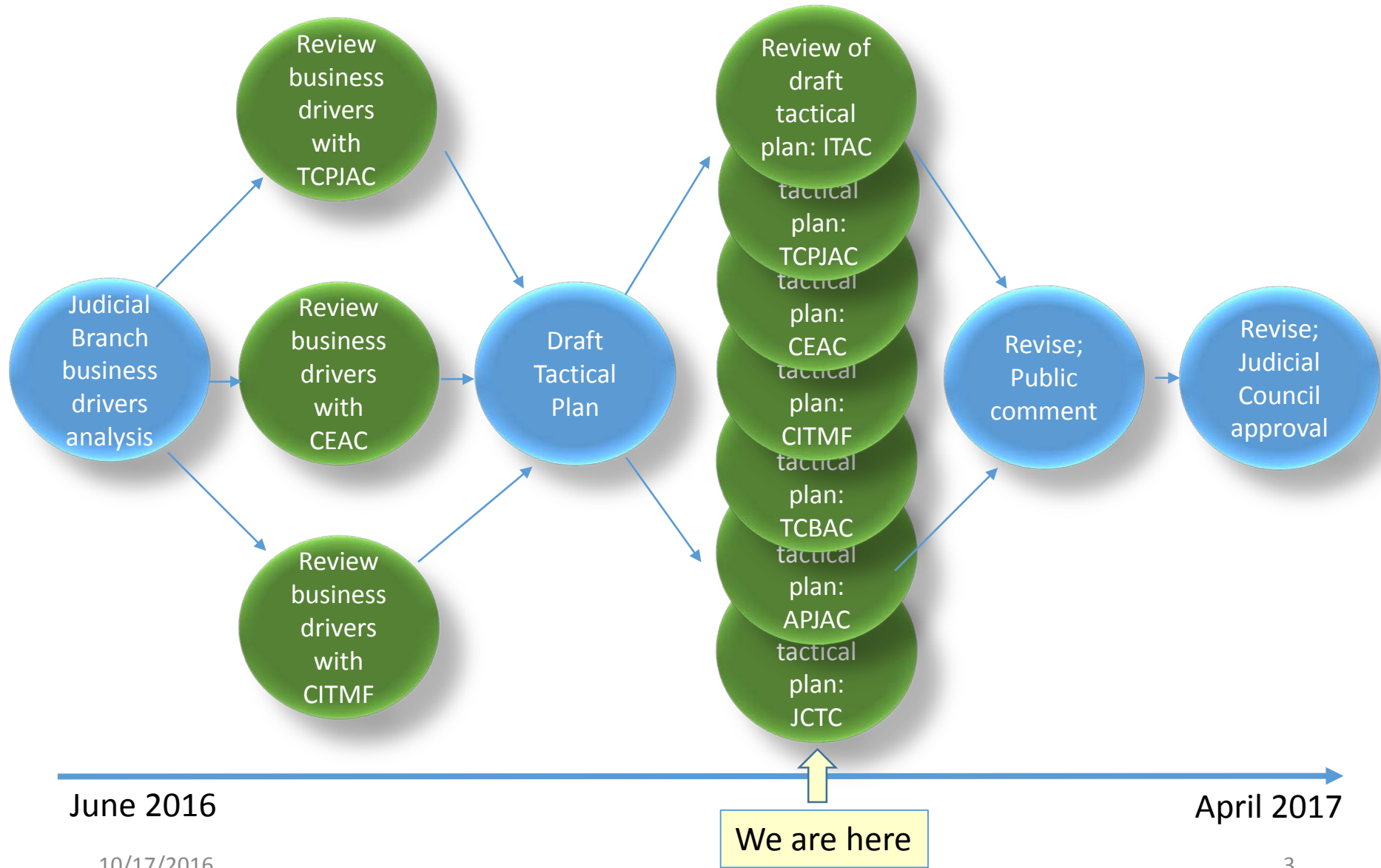
October 17, 2016

# Judicial Branch Tactical Plan



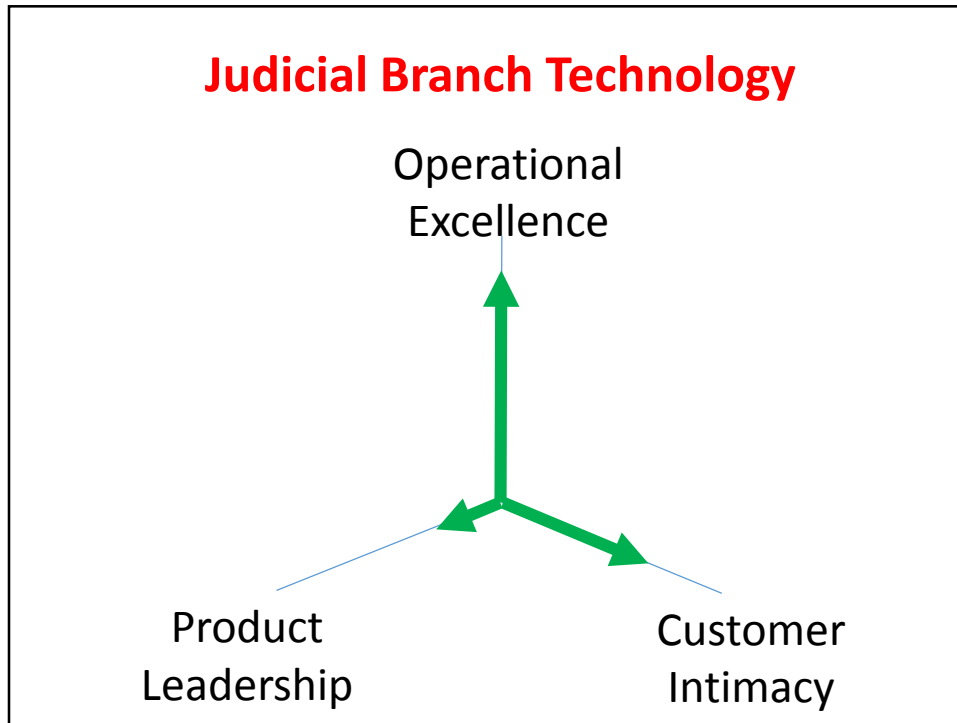
<http://www.courts.ca.gov/documents/jctc-Court-Technology-Tactical-Plan.pdf>

# Tactical Plan Update Process



# Value Disciplines Model

## Service Value Focus



### **Operational Excellence**

- **Variety kills efficiency**
- **“One size fits all”**

### **Product Leadership**

- **Invention**
- **“Out of the box thinking”**

### **Customer Intimacy**

- **Customized solutions**
- **“Have it your way”**

Rule 1: Provide the best offering in the marketplace by excelling in a specific dimension of value

Rule 2: Maintain threshold standards on the other dimensions of value

Rule 3: Dominate your market by improving value year after year

Rule 4: Build a well-tuned operating model dedicated to delivering unmatched value

Source: Michael Treacy “The Discipline of Market Leaders” 1995

# Judicial Branch Technology SWOT

## Strengths

- Strategic planning process
- Foundational technology
- Culture of innovation and collaboration
- Experienced staff branchwide

## Weaknesses

- Lack of predictable funding
- Insufficient resources
- Evolving technology management processes
- Difficulty sharing information across the branch

## Opportunities

- Provide services to a tech savvy population
- Refine and enhance the CMS ecosystem
- Process re-engineering and lower cost solutions
- Leverage innovation within the branch

## Threats

- Lack of funding restricts deployment and innovation
- Legislative restrictions limit alternatives
- New collaboration model requires time and resources to develop
- Competing with private industry for talent

# Judicial Branch Business Drivers

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



# New Initiatives Proposed

- With most 2014-2016 initiatives continuing, selection was limited to two new initiatives

Proposal	Disposition
<ul style="list-style-type: none"> <li>• Digital Evidence</li> </ul>	<p><b>Combined:</b> Digital Evidence: Acceptance, Storage, and Retention</p>
<ul style="list-style-type: none"> <li>• Digital exhibit acceptance and management</li> </ul>	
<ul style="list-style-type: none"> <li>• Increased education and access to industry resources for court IT leaders</li> </ul>	<p><b>Combined:</b> Assess strategies to share technical resources, strengthen IT leadership, and increase collaboration within the branch</p>
<ul style="list-style-type: none"> <li>• Shared technology resources between courts</li> </ul>	
<ul style="list-style-type: none"> <li>• Assess strategies for increased sharing of technical resources within the branch</li> </ul>	
<ul style="list-style-type: none"> <li>• Open Data – Information Governance</li> </ul>	<p><b>Deferred:</b> A critical next step as more courts deploy modern CMS and DMS</p>
<ul style="list-style-type: none"> <li>• Systems Tech Refresh</li> </ul>	<p><b>Deferred:</b> Requires resources the branch currently does not have</p>
<ul style="list-style-type: none"> <li>• Transcript Assembly Platform (TAP)</li> </ul>	<p><b>Deferred:</b> More applicable to innovations</p>
<ul style="list-style-type: none"> <li>• Public Window Queue Management System</li> </ul>	<p><b>Deferred:</b> More applicable to innovations</p>

# Tactical Plan Review

- We are asking for your help to review the draft Tactical Plan for 2017-2018 and respond with your input.
- Input is requested by November 4.
- Targeting Final Draft to be issued for public comment (following revisions) in December 2016-January 2017.
- Final committee approvals and Judicial Council presentation in March and April 2017.



## SUPERIOR COURT OF CALIFORNIA COUNTY OF HUMBOLDT

**Kim M. Bartleson**  
Court Executive Officer/  
Jury Commissioner

**Joyce D. Hinrichs**  
Presiding Judge

October 5, 2016

Hon. Marsha Slough, Chair  
Judicial Council Technology Committee

Re: Funding request for Humboldt Superior Court migration from CTCC

Hon. Marsha Slough:

Humboldt County Superior Court requests one-time funding in the amount of \$630,408.00 for migration from the CTCC to a locally hosted solution. All of this funding is required for the current fiscal year ending June 30, 2017.

Pursuant to the directive of the Judicial Council for elimination of subsidies from the TCTF and IMF, Humboldt Superior Court has been actively participating in an eight court consortium that has recently gone through an RFP for the purpose of selecting a new CMS. The consortium is also collectively seeking funding for the new CMS in a joint BCP.

Independent of the collaborative work we have been doing for obtaining and funding a new CMS, Humboldt is now submitting its funding request for one time funding for migration from the CTCC to a locally hosted solution. A locally hosted solution is the only viable option as our court is too large to be hosted by Placer.

Attached with this narrative is our detailed funding request which delineates what funds will be needed for the migration from CTCC. Please note in the footnote on the funding request that the court has already expended funds for two servers, for a backup solution, for a fiber run to improve network performance with increased speed and bandwidth as well as a router upgrade for the new fiber in the amount of \$65,952.00.

Approximately a year ago, the court made a request for additional funding for increased costs associated with a 200% increase in homicide trials. The court was able to self fund the additional expenses associated with those trials and as such did not use any of the originally authorized funds. As of October 3, 2015 the court had 10 murder, 1 voluntary manslaughter and 5 vehicular manslaughter cases pending. While we have been working on getting the older cases out, new

cases have been added and as of today we have 13 homicides, 8 vehicular homicides and 8 attempted vehicular homicide cases pending.

In addition to the technology expenses referenced above and the homicide related expenses the court was able to fund, the court must replace it's outdated jury management system in order to meet mission critical operational needs of the court as well as to mitigate possible public safety threats due to no availability of jurors for criminal cases, at a cost of \$83,271.00.

The court has exhausted its 2% automation and fund balance in order to fund daily operations inclusive of the acquisitions identified above. Without the one-time funds we are requesting we will have no ability to move out of CTCC nor will we have the ability to bear additional costs if we are the only entity left in the CTCC. Based on the present IMF costs of \$186,000, ongoing locally hosted application costs will be \$151,828.00, resulting in a first year savings of \$34,772.00.

Thank you for your consideration.

*Kim M. Bartleson*

Kim M. Bartleson  
Court Executive Officer  
Humboldt Superior Court

**Sustain Local Installation Migration Costs**  
(estimated costs)

Base Configuration (year 1)				
	Description	Qty	Cost	Total
<b>Software</b>	HIS Server (Host Integration)*	2	\$6,000	\$12,000
	HIS Software	2	\$2,500	\$5,000
	OTECH License fees for DMV (50 users)	1	\$4,000	\$4,000
	DMVQUERY licenses (50 users)	1	\$5,340	\$5,340
	Sustain License (estimate) †	185	\$986	\$182,410
	Sustain License Justice Partners (estimate)	-72	\$986	-\$70,992
	Pervasive Database licenses (250 users)	2	\$13,970	\$27,940
	SQL Database License	1	\$7,500	\$7,500
	Operating system licenses (Server 2008) ††	3	\$600	\$1,800
	Bluezone for TN3270 DMV Terminal Emulator	1	\$4,800	\$4,800
	Citrix Licensing	350	\$290	\$101,500
	Citrix Support Costs (1 yr)	350	\$62	\$21,700
Crystal Reports	4	\$450	\$1,800	
				<b>\$304,798</b>
<b>Hardware</b>	Virtual Host Server with Software Assurance (Hyperconverged)	5	\$20,000	\$100,000
	Load Balancer	1	\$5,000	\$5,000
	Database Server	3	\$7,600	\$22,800
	Storage arrays (300Gb+) - Production & Staging	2	\$10,000	\$20,000
	Cisco 10GBps Network Switches (48 port)	2	\$5,500	\$11,000
	Server Rack & Power Dist	1	\$2,000	\$2,000
	Storage array (500Gb+) - Backup	1	\$15,000	\$15,000
	Microsoft Azure for DR storage (cloud)	1	\$3,000	\$3,000
				<b>\$178,800</b>

Consulting Costs (year 1 estimate)				
	Donna Argo	100	\$175	\$17,500
	CCTC migration costs	1	\$4,000	\$4,000
	Data Migration Support	240	\$200	\$48,000
	DMV/DOJ connection migration support	100	\$200	\$20,000
				<b>\$89,500</b>

10% Cost Contingency (for future price variations) **\$57,310**

**Year 1 Estimated Funding Need: \$630,408**

Humboldt Contribution				
<b>Court Contribution</b>	Virtual Host Server with Software Assurance	2	\$20,000	\$0
	AT&T Internet Upgrade / Installation	1	\$8,341	\$0
	Copper installation and cabling	1	\$240	\$0
	Fiber Optics installation and cabling(onsite)	1	\$5,834	\$0
	Barracuda Backup Solution	1	\$31,537	\$0
				<b>\$65,952</b>

Recurring Costs (year 2+ estimate)				
	OTECH License fees for DMV (50 users)	1	\$4,000	\$4,000
	DMVQUERY licenses (50 users)	1	\$5,340	\$5,340
	Sustain License (estimate)	185	\$986	\$182,410
	Sustain License Justice Partners (estimate)	-72	\$986	-\$70,992
	Pervasive Database licenses (250 users)	1	\$13,970	\$13,970
	Bluezone for TN3270 DMV Terminal Emulator	1	\$4,800	\$4,800
	Citrix Support Costs	350	\$62	\$21,700
	Citrix Support Licenses (Justice Partners) [estimate]	200	-\$62	-\$12,400
	Microsoft Azure for DR storage	1	\$3,000	\$3,000
				<b>\$151,828</b>

Offsets				
	CCTC Hosting Cost	1	\$186,600	\$186,600
				<b>\$186,600</b>

**Estimated Annual Savings (after year 1): \$34,772**

\* HIS Server bridges between old database systems and SQL  
 † Sustain license cost will increase with local installation  
 †† Server 2008 not certified by Sustain, but are compatible with SJE infrastructure

## MADERA SUPERIOR COURT FUNDING JUSTIFICATION

Madera Superior Court is one of the “Managed Courts” currently being hosted at the CCTC and is *not* one of the six courts that will be moving from the CCTC to the Placer Hosted Model. Madera has been a Managed Court since the beginning of the CCMS Pilot Project in 2002. Being a Managed Court, the CCTC currently hosts our IT infrastructure, including but not limited to, our email, file storage, backup and recovery, and our critical business applications. Madera is provided with an IT support person once a week, which is available on-site for any IT issues.

Due to the funding shortfall in the IMF, the Judicial Council Technology Committee (JCTC) was directed to develop a plan to migrate the courts out of the CCTC which is subsidized by the IMF. Placer Superior Court is becoming a Hosting Solution for six (6) of the smaller courts currently at the CCTC. Madera will have to transition to a locally hosted solution for our IT infrastructure.

The cost of migrating out of CCTC to a locally hosted infrastructure is an expense the court cannot cover. We have been working diligently on obtaining quotes for such a transition, and as of today the estimated cost is \$872,750 (See attachment A); this includes equipment and professional services. There are a couple of quotes we are still lacking at this time and have estimated the costs of those items which are highlighted in yellow. The line item highlighted in red (CCTC associated labor or PS needed) are unknown potential expenses associated with any labor costs the JC IT department may charge Madera for assisting in the transition. All other quotes are actual figures based on today’s costs; we have included a 10% contingency expense for price increases due to lag time in funding and purchasing equipment. We request a contingency is between 10% - 15%. No equipment or services has been purchased to date.

At this time, the court has the ability to offset these costs by \$150,000. Below is a summary of our 2% automation account:

<b>2% Automation Fund Balance</b>		
Fund 180004		
IVR Upgrade	PO# 4500091549	-26,075.00
UPS Battery/Bass Lake	PO# 4500091551	-354.37
Printer for HR	PO# 4500091555	-992.61
IVR Upgrade	PO# 4500091697	-3,177.17
<b>Fund Balance as of 10/4/16 (Includes above Encumbrances)</b>		<b>509,284.25</b>
IVR Upgrade	PO# 4500091580	-19,870.00
Computer/Printer Refresh		-122,271.06
<b>Balance Remaining :</b>		<b>367,143.19</b>

After deducting for computer/printer refresh and IVR upgrades we have a balance of \$367,143. Collaboratively Madera and several other courts have submitted a BCP for a new case management system. If the BCP does not receive funding, Madera will need to use the remaining 2% automation balance to enter into a contract for a new case management system. If the BCP is funded, Madera will have an additional \$150,000 to offset the costs of this project.

Madera's FY 15-16 "Schedule C" costs total \$396,661; we have not yet received our "Schedule C" cost for FY 16-17. (See attachment B) Some of these costs will no longer be paid once we have transitioned our IT infrastructure to a locally hosted solution. Some of these cost savings will be used for on-going expenses associated with an in-house IT infrastructure which are listed in attachment A, column I. (Items highlighted in orange are estimates) Madera will also need to hire IT staffing to manage this infrastructure which will be an on-going expense we currently do not realize. As previously stated, Madera currently does not employ any IT staff positions.

Madera at this time is requesting funding in the amount of \$722,750 in FY 17-18. The cost savings will come from the IMF and TCTF subsidies which will no longer be expended on behalf of Madera in maintaining the court infrastructure at the CCTC.

**Madera -- ITEMS FOR QUOTE**

ATTACHMENT A

<u>HARDWARE</u>	Quantity	CAPEX	OPEX / SUBSCRIPTION	Extended CAPEX	Extended OPEX / SUBSCRIPTION	Ongoing Court Expenses
<b>Power</b> APC redundant UPS & PDU solution + APC DCE	1	\$ 24,006		\$ 24,006		\$ 9,500 est.
<b>Servers</b> HP c7000 blade chassis - single phase HP BL460c Gen9 blade server HP SAN Switches HP FC HBA	1 1 1 1	\$ - \$ 122,457 \$ 25,707 \$ 4,629		\$ - \$ 122,457 \$ 25,707 \$ 4,629		\$ 11,976 \$ 1,158
<b>Storage</b> Nimble CS1000 (20TB) storage array Fiber Optic Cables (MM -- OM4)	1 12	\$ 67,881 \$ 30		\$ 67,881 \$ 360		\$ 5,813
<b>Backups</b> Barracuda Backup 895a (Madera) w/ cloud Barracuda Backup 895a (Bass Lake) -- for DR plan -- offsite backup replica w/o cloud	1 1	\$ 49,905 \$ 34,514		\$ 49,905 \$ 34,514		\$ 17,997 \$ 7,998
<b>Network</b> AT&T quoted Network Equipment & install (6/30/2016) Network Circuits	1 1	\$ 42,832 \$ 7,500		\$ 42,832 \$ 7,500		\$ 4,100 \$ 10,000 est.
<b>Misc</b> Physical Tools & Toolbox	1	\$ 7,500		\$ 7,500		
<b>SOFTWARE</b> Vmware host licensing (for 3 hosts) & vSphere Microsoft Windows Server Datacenter on EA Microsoft Office 365 w/ hosted email (E3 plan) on EA Microsoft SQL on EA Microsoft Windows 10 upgrade LANDesk (helpdesk, imaging, deployment, monitoring & Solarwinds monitoring Barracuda Essentials for Office 365 (Complete Protection and Compliance)	1 1 1 1 1 1 1	\$ 40,536 \$ 12,169 \$ - \$ - \$ 19,215 \$ 77,931 \$ -		\$ 40,536 \$ 12,169 \$ - \$ - \$ 19,215 \$ 77,931 \$ -		\$ 19,625 unknown \$ 24,000 unknown \$ 8,000 est. \$ 3,938
Barracuda Web Security Gateway Vx (V310)	2	\$ 1,400		\$ 2,800		\$ 2,800
Barracuda Load Balancer ADC Vx (V440)	2	\$ 2,714		\$ 5,428		\$ 5,428
Barracuda Web Application Firewall Vx (V360)	2	\$ 3,543		\$ 7,086		\$ 7,086
Barracuda SignNow Premium Vx (V355)	1	\$ 4,014		\$ 4,014		\$ 4,014
Antivirus	1	\$ 2,075		\$ 2,075		\$ 2,075 est.
<b>ELECTRICAL</b> Pride Industries / FMU	1	\$ 8,500		\$ 8,500		
<b>PROFESSIONAL SERVICES</b> AT&T -- network JSI/ATI -- for Jury system(s) migration CDWG -- Servers/Storage/Desktops/Other/etc. CDWG -- Migrate email to Office-365 Trend Micro -- Antivirus installation/config/setup CCTC associated labor or PS needed	1 1 1 1 1 1	\$ 19,000 \$ 40,000 \$ 115,270 \$ 30,000 \$ 1,656 \$ -		\$ 19,000 \$ 40,000 \$ 115,270 \$ 30,000 \$ 1,656 \$ -		
<b>SUBTOTALS</b>				\$ 744,068	\$ 49,341	\$ 145,508
<b>RECOMMENDED TO ADD 10%-15% FOR CONTINGENCY &amp; UNKNOWN</b>				\$ 74,407	\$ 4,934	10% used here, but recommended to be up to 15% for unknowns
<b>TOTALS</b>				\$ 818,475	\$ 54,275	
<b>GRAND TOTAL</b>				\$	\$ 872,750	

Unknown - JCT advised that this is an unknown and will require time to determine



Service Description	FY 2015-2016 Preliminary Charges				Total FY 15-16 Court Charges	Comments
	1x Costs	Per Month/Unit charge	Units	Months		
<b>CCCT SERVICES</b>						
Line #1: Court to CCCT Network Line Maintenance (Cisco Router Maintenance)		\$285	1	12	\$3,420	Two rates based on class type. A startup/monthly charge of \$2,892/\$285 or \$4,179/\$785. A single monthly fee is imposed on each court, regardless of the number of applications being accessed
Line #2: Court to CCCT Network Line Maintenance (Cisco Router Maintenance)					\$0	Two rates based on class type. A startup/monthly charge of \$2,892/\$285 or \$4,179/\$785. A single monthly fee is imposed on each court, regardless of the number of applications being accessed
Line #3: Court to CCCT Network Line Maintenance (Cisco Router Maintenance)		\$2,565	1	12	\$30,780	Two rates based on class type. A startup/monthly charge of \$2,892/\$285 or \$4,179/\$785. A single monthly fee is imposed on each court, regardless of the number of applications being accessed
Local Network Monitoring and Management		\$24.11	87	12	\$25,171	Per user charge of \$24.11/user. A single Help Desk monthly fee is imposed on each user, regardless of the number of applications being accessed (85 users)
Help Desk		\$443.11	1	3	\$1,329	Old WAN circuit at the old courthouse.
Line #1: Dedicated connection to CCCT (T1, DS3)		\$1,612.11	1	9	\$14,509	New WAN circuit at the New courthouse
Line #2: Dedicated connection to CCCT (T1, DS3)		\$479.83	1	12	\$5,758	PTP (1,5444) Madera - Bass Lake p-to-pt (on VR's Small INV Sierra Telephone hard copy - 88HCCOS364893-004PT)
Line #3: Dedicated connection to CCCT (T1, DS3)		\$168.58	1	0	\$0	PTP (1,5444) Madera - Mediator Point-to-Point
VPN Site-To-Site Service		\$10,830	1	12	\$129,957	Optional services - could include monitoring local servers, network devices, performing remote site backups, etc.
Other Services		\$2,700	1	12	\$32,400	5 managed servers
Deskside Services		\$1,212	1	12	\$14,544	
Server Monitoring		\$3,156	1	12	\$37,872	Optional services: could include anti-span, anti-virus, etc.
Remote Site Backup		\$23,476	1		\$295,741	Subtotal
Hosted Exchange Services						
<b>CMS - SUSTAIN APPLICATION SERVICES - WBS O-***9901-3</b>						
Staging Environment: HW, SW installation and Support		\$1,819	1	12	\$21,828	
Production Environment: HW, SW installation and Support		\$4,597	1	12	\$55,164	
Non-USB Interface Environments-Production & Staging HW, SW and Support		\$1,466	1	12	\$17,592	SIS - Sustain Integrated Backbone, non-USB interface environments for Sustain courts
Citrix Licenses		\$528	1	12	\$6,336	includes 1/4 yr. charge for terminal service licenses
		\$0			\$100,920	Subtotal
<b>CCMS V2 APPLICATION SERVICES - WBS O-***9902-3</b>						
Production, Staging, Training and Test environments: HW, SW installation & Support					\$0	
V2 Application Installation, Setup & Support in all environments					\$0	
Non-USB Interface Environment HW & SW installation & Support					\$0	for Non-USB, court-specific interfaces
CLETS					\$0	
Additional SAN Storage					\$0	\$0 SAN =Additional storage devices available to the network
		\$0			\$0	Subtotal
<b>CCMS V3 APPLICATION SERVICES - WBS O-***9903-3</b>						
Production, Staging, Training and Test environments: HW, SW installation & Support					\$0	
Deployment Staff					\$0	
		\$0			\$0	Subtotal
<b>INTEGRATION SERVICES</b>						
CLETS					\$0	
		\$0			\$0	Subtotal
					\$396,661	Total