



JUDICIAL COUNCIL
OF CALIFORNIA

TECHNOLOGY COMMITTEE

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JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

AGENDA

Open to the Public (Cal. Rules of Court, rule 10.75(c)(1))

THIS MEETING IS BEING RECORDED

Date: May 17, 2017
Time: 1:30 p.m. – 3:30 p.m.
Location: Redwood Room, Judicial Council Conference Center, 455 Golden Gate Avenue, San Francisco, CA 94102-3688
Public Call-In Number 1-877-820-7831; Passcode: 3511860

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.

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

Call to Order and Roll Call

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

Public Comment

Members of the public requesting to speak during the public comment portion of the meeting must place the speaker's name, the name of the organization that the speaker represents if any, and the agenda item that the public comment will address, on the public comment sign-up sheet. The sign-up sheet will be available at the meeting location at least 15 minutes prior to the meeting start time. The Chair will establish speaking limits at the beginning of the public comment session. While the advisory body welcomes and encourages public comment, time may not permit all persons requesting to speak to be heard at this meeting.

Written Comment

In accordance with California Rules of Court, rule 10.75(k)(1), written comments pertaining to any agenda item of a regularly noticed open meeting can be submitted up to one complete business day before the meeting. For this specific meeting, comments should be e-mailed to jctc@jud.ca.gov or mailed or delivered to 455 Golden Gate Avenue, San Francisco, CA 94102-3688, attention: Jessica Craven Goldstein. Only written comments received by 1:30 p.m. on Tuesday, May 16, 2017 will be provided to advisory body members prior to the start of the meeting.

III. AGENDA ITEMS

DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1 – 2)

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

Technology Budget Change Proposals (Action Required)


Discussion on potential technology Budget Change Proposals (BCPs) with FY 18/19 being the target year for funding. Prioritize BCP concepts for submission to the Judicial Branch Budget Committee at its June 2017 meeting and then the Judicial Council for approval at its July 2017 meeting.

Facilitator: Hon. Daniel J. Buckley, Vice-Chair, Judicial Council Technology Committee

IV. ADJOURNMENT

Adjournment of Meeting

Judicial Council Technology Committee Open Meeting



May 17, 2017

Call to Order and Roll Call

- Welcome
- Open Meeting Script

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



JUDICIAL COUNCIL
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Chair Report

Hon. Marsha G. Slough



JUDICIAL COUNCIL
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Action: Technology Budget Change Proposals

*Facilitated by: Hon. Daniel J. Buckley, Vice-Chair, Judicial
Council Technology Committee*



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Potential Technology Budget Change Proposals

- Case Management System replacements
- Deploy and maintain California Court Protective Order Registry (CCPOR)
- Single Source Sign-On for the Judicial Branch
- Digitizing Paper and Filmed Case Files for the Superior and Appellate Courts
- Self Represented Litigants (SRL) Statewide E-Services Solution
- Phoenix System Required updates
- Phoenix System Required updates: Alternative 2 (only required upgrade/cloud migration)



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Adjourn

All



Technology Budget Change Proposals

Descriptions of Proposed Budget Change Proposals

Case Management System Replacement: A General Fund augmentation (TBD) is requested to replace outdated and/or no longer supported case management systems with a vendor-supplied case management system. Many courts still have outdated or unsupported case management applications developed with older technology. These legacy systems do not have the ability to integrate with document management systems and e-filing services - foundations for modern case management systems. Obtaining funding to replace these outdated or unsupported systems with a modern case management system is the next step towards the first goal in the Court Technology Strategic Plan.

Deploy and maintain California Courts Protective Order Registry for the Superior Courts: An estimated \$1.0 million General Fund augmentation beginning in 2018-19 and ongoing to deploy the California Courts Protective Order Registry (CCPOR) program to the five remaining courts that have not yet implemented CCPOR and maintain the annual operations of the program. CCPOR provides statewide management of restraining and protective orders. Registry data and scanned images of orders can be accessed by judges, court staff, and law enforcement officers across the state. CCPOR serves 43 courts and their respective law enforcement agencies plus 13 tribal courts with read-only access. We expect 10 more courts to be implemented in FY17/18. The program delivers support for deployment, onboarding, enhancements, defect fixes, legislative changes, and modifications required by the Department of Justice.

Deploy a Single Sign-On solution for the Judicial Branch: The Judicial Council requests a General Fund augmentation to deploy a single sign-on solution that will provide a unique username and password to every judicial branch employee and judicial officer, attorneys, members of the public, and justice partners who access judicial branch computer systems and electronic services. A single sign-on solution is the foundation that allows the judicial branch to uniquely identify an individual who is accessing judicial branch electronic systems.








Digitizing paper and filmed case files for the Superior and Appellate Courts: A General Fund augmentation is being requested (\$TBD) beginning in 2018-19 and ongoing to digitize paper and filmed case files for the Superior and Appellate Courts. Many courts are still operating with paper case files and often historical files are stored on deteriorating microfilm and microfiche.

Self Represented Litigants Statewide E-Services Solution: A General Fund augmentation (TBD) to support implementation of a statewide Self-Represented Litigants (SRLs) e-Services website that will enhance the breadth and depth of e-services aimed at helping the increasing number of Californians who attempt to resolve their legal issues without legal representation. Leveraging both existing resources and envisioning new platforms, such as website personalization, artificial intelligence, and online chat, this initiative will result in a best-in-class online clearinghouse of educational and informational resources for self-represented litigants.

Phoenix System Required Updates: The Judicial Council is requesting an augmentation of \$7.9 million from the General Fund in 2018-19, \$7.6 million in 2019-20, and \$6.3 million in 2020-21 and ongoing to update and expand the Phoenix System to improve the administrative infrastructure supporting trial courts. The Phoenix System is the financial and procurement system for the 58 trial courts, and the payroll system for 12 trial courts.

Phoenix System Required Updates: Alternative 2, only required upgrade/cloud migration.

1. For Fiscal Year 2018-2019, the Judicial Council Technology Committee needs to rank the potential technology Budget Change Proposals (BCP)s. Please rank the following seven BCPs in the order of your preference. Note that there are two options for the Phoenix BCP Concept.

	<input type="text" value=""/>	Case Management System Replacement
	<input type="text" value=""/>	California Court Protective Order Registry
	<input type="text" value=""/>	Single Sign-on
	<input type="text" value=""/>	Digitizing Paper and Filmed Case Files
	<input type="text" value=""/>	Self-Represented Litigants (SRL) E-Services
	<input type="text" value=""/>	Phoenix System Required updates
	<input type="text" value=""/>	Phoenix System Required updates: Alternative 2 (only required upgrade/cloud migration)

2. Thank you for taking this survey. Your choices will be saved and consolidated for discussion at the face to face May 2017 Judicial Council Technology Committee meeting that will be in conjunction with the May Judicial Council meeting. Please provide any additional comments below in terms of your ranking that you wish shared with the committee.

Criteria	Description
Business Alignment	
Alignment with Branch Strategic Goals	To what extent is this project aligned with the overall Judicial Branch strategic goals? (possible scores: 0-6) How many out of the 6 branch strategic goals does this proposal support? 1 point allocated for each supported goal.
Alignment with Branch Technology Priorities	To what extent is this project aligned with published branch technology priorities. (possible scores: None (0), Low (1), Medium (2), High (3)) Not at all (0). Clearly aligned (3). Is there some alignment, but completely consistent with strategic objectives (1). For example, fax filing instead of fully integrated e-Filing. It appears aligned but does not achieve the full objective of the priority (2). For example, an e-Filing project that only addresses private attorneys and not government agencies.
External partner Alignment	Some projects are dependent upon entities external to the Court to be successful. (possible scores: None (0), Partial (1), Yes (2)). An example could be CHP e-Citations or a data sharing solution with multiple justice partners in Juvenile. No external dependencies OR if all external partners are aligned (2). The project requires external alignment but it has not yet been secured (0). Some of the external partners are aligned (1).
Business Impact	
Scope of impact	What is the scope of impact of this project? (possible scores: Single Court (0), Multiple Courts (1), Branchwide (2)) Does this technology project benefit a consortia of courts or the branch as a whole (2). Is it strictly for an individual court with no ability to share (0)? Or, does it have the potential to be leveragble by others but is on the journey (1)?
Financial ROI	To what extent does the project have a clear return on investment? (possible scores: No ROI (0), 1 year ROI (1), 2 year ROI (2)) Will the project pay for itself in less than 2 years (1)? Does the project have no ROI (0) but has some other compelling benefit (which will show up elsewhere on the scorecard)? Is the ROI attainable but it may take many years (2)
Likelihood of benefit realization	Are the benefits of the project clearly quantified? What is the likelihood of the project actually being able to achieve the intended benefits? (possible scores: None (1), Low (1), Medium (2), High (3)) For example, the likelihood realizing the financial benefits of e-Filing significantly improve when e-Filing is mandatory (3). A court could implement a terrific e-Filing project but because of the voluntary nature of adoption, benefit realization becomes risk (1-2). Likewise, some projects might require so many things to go right that a reasonable assessment is that the hoped for benefits are simply not achievable (0).
Business Risk	
Urgency for change - operations	Are there compelling circumstances that require action be taken immediately in order to ensure the operation of the Court? (possible scores: No urgency (0), Low(1), Medium(2), High(3)). An opportunity exists that benefits the court, but not urgent (1). If not addressed in the next 3-5 years it will be urgent (2). The Court is at risk of not operating in 0-2 years if not addressed (3). Examples could include: unsupported technology, county demanding Court leave, risky support.

Urgency for change - legal / regulatory / compliance	To what extent are their external requirements to drive the change? (possible scores: None (0), Low(1), Medium(2), High(3)). Not doing so would place the court at odds with legal requirements and there are no work-arounds (3). Our technology will not be compliant but we can work around the issue manually for a period of time (2). There is a change on the horizon (3+ years) that we are getting ready for (1). No issue (0).
Org readiness	To what extent is the requesting court ready for the change? (possible scores: Significant concerns(0), Some concerns(1), few concerns(2), ready(3)) Completely would imply they have the necessary staff and Judicial alignment to run and implement the project (3). If the Court is requesting a project but does not have the resources (human or otherwise) to implement the project then they are not ready (0). In between could be any number of concerns that should be addressed and reported upon throughout the project.
Technology Alignment / Fit	
Level of alignment with branch-wide technology standards	What is the extent to which the project is compliant with existing Branch technology standards - not at all (0), completely (3) or somewhere in between. In the in between, to what extent could this technology lead to a new or changed standard, and how many courts are aligned behind the exploration? One (1) or multiple (2).
Level of alignment with branch-wide vendors	To what extent is project leveraging vendors for which there is a branchwide agreement (3)? If not, is the vendor purely local with no ability to extend services to other Courts (0), with some ability to be leveraged by multiple courts (1) or already being used by multiple courts (2)?
Level of alignment with brach-wide (court?) architecture	We don't have one. We should and then we should evaluate projects against it. We can start small and be forward looking (technology base should be Java or .NET). Or we could have an eye toward the past (e.g., retire all COBOL applications in the branch). We should create one and then we should give it some teeth. This would be the place.
Technology Risk	
Existing infrastructure can support this project	To what extent can the existing technology infrastructure support this project? Not at all, a separate project request is pending (0); infrastructure upgrades included in overall project cost (1); will leverage shared resources - Consortia or AOC (2); Completely covered already (3).
Existing tech staff can support this technology	To what extent can the existing technology staff support this project? Not at all, will need to train staff (0); support will come from vendor (1); will leverage shared resources - Consortia or AOC (2); Completely covered already (3).
Product / technology maturity	To what extent is the underlying product and/or technology mature from a marketplace perspective (stable, lots of installs) and technology perspectives (almost end of life or bleeding edge). Guidelines: EOL or first-time use in Court (0); newer product/technology with some support (1); newer product/technology with mature support (2); stable product/technology with mature support (3)

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Requesting Entity: Judicial Council Information Technology Office

Contact: Virginia Sanders-Hinds, JCIT

Date Prepared: 3/2/17; updated 4/11/2017

Budget Services Liaison: Mary Jo Ejercito

Document Tracking Number: IFR-18-03

SECTION 1 – Initial Funding Request:

A. Working Title: Case Management System Replacement

B. Description of Funding Request: A General Fund augmentation (amount \$TBD) to replace outdated and/or no longer supported case management systems with a vendor-supplied case management system.

Many courts still have outdated or unsupported case management applications developed with older technology. These legacy systems do not have the ability to integrate with document management systems and e-filing services - foundations for modern case management systems. Obtaining funding to replace these outdated or unsupported systems with a modern case management system is the next step towards the first goal in the *Court Technology Strategic Plan* (Goal 1: Promote the Digital Court). The Judicial Council Technology Committee and Judicial Council staff have previously worked with courts on a path forward to replace the V3 and Sustain Justice Edition case management system. This initiative will address the remaining courts in need of a replacement for their outdated legacy systems.

C. Estimated Costs: At this time, the cost to replace the legacy case management systems is unknown. There are at least 9 courts with outdated systems that need to be replaced. The listing of courts must be finalized, then the courts must determine which replacement case management system best meets their needs. It is expected that by late-May 2017, the courts will be identified. The courts will then need to determine the case management system and provide cost estimates for the request. The 2016 Budget Act included \$25.0 million over three years to replace CCMS V3 in four courts and the 2017-18 Governor's Budget proposes \$5.0 million over two years to replace SJE in nine courts.

D. Relevance to the Judicial Branch Budget and Other Funding Requests: Building a foundation for "Promoting the Digital Court" by implementing modern and supportable case management systems was approved as the highest priority in the *Court Technology Governance and Strategic Plan*. Several courts with reserves or other funding have moved forward, making use of master services agreements or issuing requests for proposals. Approximately 40 of the 58 courts are in the process of deploying new case management systems for some or all of their case types. The Judicial Council has worked with the V3 and the Sustain Justice Edition courts on Budget Change Proposals for their case management system replacement.

E. Required Review/Approvals:

- Judicial Council Technology Committee
- Trial Court Budget Advisory Committee
- Judicial Branch Budget Committee

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

F. Proposed Lead Advisory Committee: Budget Services proposes that the Judicial Council Technology Committee take on the lead advisory role as JCTC oversees the council's policies concerning technology and is responsible in partnership with the courts for coordinating with the Administrative Director and all internal committees, advisory committees, commissions, working groups, task forces, justice partners and stakeholders on technological issues relating to the branch and the courts.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

Proposal Title: Case Management System Replacement

Fiscal Summary:

The cost to replace the case management system for the next wave of courts will be determined based on the final list of courts and the technology solutions they select. The courts will need to determine if they will use the existing case management system Master Services Agreement (MSA) or if they will issue a Request for Proposal for a replacement case management system. It is expected that by late-May 2017, the listing of courts will be determined, and that by February 2018 the vendor(s) will be selected by the courts. Rough cost estimates will be available in December 2017 to include in the case management system Budget Change Proposal.

Courts identified as having an urgent need to replace their case management systems include Amador, Colusa, Contra Costa, Marin, Mariposa, Mono, Nevada, Shasta, and Solano; however, the exact list of courts is being finalized.

FY 18/19 One-time funding: TBD

Proposal Summary: *Provide succinct summary of request – six to eight sentences.*

The Judicial Council proposes a one-time General Fund augmentation for the procurement and deployment of a modern case management system for the next wave of courts in need of a replacement for their aging systems. There are a number of courts still relying on case management systems developed with older technology. These legacy systems do not have the ability to integrate with document management systems and e-filing services - foundations for modern case management systems. The courts, the subject of this proposal, will select and procure a new modern case management system using the existing Master Services Agreement (MSA) for case management systems or they will issue a Request for Proposal. Funding will address deployment costs such as hosting, software licensing, hardware, data conversion, and professional services.

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities).*

The California court system—the largest in the nation, with more than 2,000 judicial officers, 19,000 court employees, and nearly 10 million cases—serves over 38 million people —12.5% of the United States population. During 2013–2014, 7.5 million cases were filed in these courts at some 500 court locations throughout the state.

Central to court operations is the case management system, which facilitates tracking and recording of case information, processing and managing filings and collecting and reporting on revenues from filings, fines and fees. Having an effective and efficient case management is essential for courts to function productively in the modern era where digital communication is the standard.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

From 2002 to 2012, the technology strategy for the judicial branch was to deploy a single statewide case management system to serve all superior courts, with features and functions to improve service, public access, and integration with justice partners. In 2012, the Judicial Council voted to cancel the statewide project, due to the lack of funding for deployment to the superior courts across the state.

Although deployment of the statewide system was canceled, the need for modern technology remained. At a judicial branch technology summit held in 2012, the California Department of Technology made it clear that additional funding for technology initiatives would depend on the ability of the branch to establish a sound, long-term strategy for technology.

Following the summit, the Chief Justice authorized the creation of a Technology Planning Task Force focused on judicial branch technology governance, strategic planning, and funding. The work of the Task Force, comprised of judicial officers, court executive officers, chief information officers, and other stakeholders, culminated with the development of the Court Technology Governance and Strategic Plan¹. The plan, approved by the Judicial Council in 2014, included the Technology Governance and Funding Model, a Strategic Plan for Technology and a Tactical Plan for Technology. The plans established a common, shared roadmap and common goals, giving courts the opportunity to innovate and leverage solutions as a branch, or in a multi-court consortium. There were four key technology goals identified through the work of the task force and this BCP directly aligns with the first three goals.

- Promote the Digital Court
- Optimize Branch Resources
- Optimize Infrastructure
- Promote Rule and Legislative Changes

In pursuit of the goal of the Digital Court, a group of trial courts formed a workgroup to focus on the procurement of a modern case management system. Beginning in 2012 and concluding in 2013, the work group collaborated on a RFP which resulted in a Master Services Agreements (MSA) that qualified three vendors. Courts that had funding reserves available, used the MSA to procure new case management systems. To date over 30 courts have leveraged the MSA for procurement of a new case management systems. This was the first phase of the plan for the Digital Court.

The second phase addressed the needs of medium and large size courts, which had been targeted for implementation of the statewide case management system, but lacked funding to procure a system under the MSA. Four courts, all running the interim CMS V3 application, submitted and received approval for a budget change proposal for FY16-17 funding. The funds will enable these courts to procure and deploy new case management systems and establish their foundation for the Digital Court.

The third phase of the plan for the Digital Court has been addressed by the Sustain Justice Edition courts. Similar to the V3 courts, the SJE courts were awaiting the statewide case management system, but cancellation of the program left them with the challenge of funding the procurement and deployment of a

¹ Court Technology Governance and Strategic Plan: <http://www.courts.ca.gov/documents/jc-20141028-item4.pdf>

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new system. Following the path of the V3 courts, the nine SJE courts worked together to form a consortium and leverage their buying power to procure a new system. They collaborated on a Request for Proposal for a new modern case management system and selected a product with favorable pricing based on their procurement as a nine-court consortium. The SJE courts used the pricing from the Request for Proposal to develop a joint budget change proposal for fiscal year 17/18, for one-time funding of \$4.1M, to acquire and deploy a new case management system. Budget approval is pending.

This BCP represents the fourth phase of the plan for the Digital Court and efforts to move the courts to modern technology platforms for case management. The courts considered for this BCP include the following:

Court	Judicial Officers	Court Staff	Total Case Filings
Amador	2.3	27	8,248
Colusa	2.3	13	9,697
Contra Costa	46	315	151,654
Marin	12.7	114	42,853
Mariposa	2.3	14	3,560
Mono	2.3	15	8,352
Nevada	7.6	58	24,320
Shasta	12	174	43,469
Solano	23	211	59,808

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

The courts have made significant progress toward the goal of a statewide implementation of the Digital Court. Several courts have identified solutions and engaged in transition activities, moving them away from their legacy systems. A number of courts, however, still have case management systems which cannot adapt to and integrate with advanced technology solutions. The budget change proposal addresses the needs of the remaining courts.

Following are metrics highlighting progress to date and remaining effort

Phase 1) Trial courts with plans underway for replacing aging systems: ~72% of the Total Filings

Phase 2) Trial courts currently running the V3 case management system: ~ 21% of the Total Filings

Phase 3) Trial courts currently running the SJE case management system: ~ 2% of the Total Filings

Phase 4) Trial courts that are still in need of a new case management system: ~ 5% of the Total Filings

Obtaining funding for replacing these aging systems is key to “Promoting the Digital Court,” the first goal in the *Court Technology Governance and Strategic Plan*. The benefits of extending modern technology to

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

the public, the courts and our justice partners will not be realized until all courts have modern case management systems.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc.). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

This request is targeting a General Fund augmentation. At this time, the cost to replace the legacy case management systems for the next wave of courts is unknown. Following the model employed for earlier case management system initiatives, requested funding will address one-time procurement and implementation costs. The courts will fund the ongoing maintenance and support for the systems. Cost information will be developed based on the final list of courts and their preferred solutions. The courts will have the option to use the branchwide Master Services Agreement or issue a Request for Proposal (RFP) for a new case management system. It is expected that by late-May 2017, the list of courts will be finalized, and by February 2018 the preferred solutions will be determined. Rough cost estimates will be available in December 2017 to include in the Case Management System Replacement Budget Change Proposal.

Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

The Interbranch Agreement, which will be used to facilitate the transfer of funds to the courts, has specific reporting requirements that courts must adhere to. Each court will be responsible for monitoring day-to-day project activities and will make periodic reports regarding program performance and financial status. Accounting records will be supported by appropriate documentation. The courts will provide information regarding all fund expenditures to the council. The information requested may include, but is not limited to, performance and financial reports. Performance reports will contain a comparison of actual accomplishments to the objectives, for the reporting period. Results will be quantified wherever possible. Courts with project costs greater than or equal to five million will submit project documentation to the California Department of Technology, with copies to Judicial Council of California staff.

Projected Outcomes:

The outcomes will vary by court as each court will utilize different modules and features of a new case management system. Having a more modern case management system will make it possible to for this wave of courts to implement e-filing and provide a public portal, enabling online access to case information. A new case management system will also provide the courts with operational efficiencies. For example, providing the public with access to case data through a web portal will reduce staff time currently required to answer questions from the public at the counter or over the phone and allow staff resources to be redirected to perform other tasks. Our justice partners will also benefit from having greater access to case information through data exchanges and direct interfaces with the new case management system.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

Alternative 1: Procurement of a new Case Management System now.

Alternative 1: Advantages

- Ensure a stable platform and increased access to justice. As the legacy system continues to age, there is a growing risk of: instability of the platform, and potential of run-to-failure scenario;
- Ability to have advanced integration of document management and case/workflow management to increase functionality and realize cost savings. A fully integrated DMS will allow more efficient and timely access to view case documents both from the bench and outside the courtroom. It will also allow significant cost savings by eliminating the need for third-party document management solutions.
- Improve data sharing with key stakeholders
- Capability to provide online access to real-time case information for both the public and justice partners.
- Enable the timely exchange of data between the courts, law enforcement agencies and justice partners
- Allow each court to potentially implement e-filing.
- Support improvements in staff productivity and workflow due to improved efficiencies realized with migration to new systems.
- Provide a solution that is more configurable and customizable to address the ever changing needs of the court, justice partners, and the public.
- Enhance ability to mine data for more efficient analysis, effective delivery of justice, and improved reporting.
- With case management as a core service for court operations, a system failure carries the risk of a widespread outage for an unknown duration. The ability to recover would depend upon the technology and availability of resources to address the problem. A system failure would result in a direct, negative impact to court services and the ability of the court to serve the public

Alternative 1: Disadvantages

- Start-up cost (initial project, solution, and service funding);
- Implementation requires significant staff resources from all areas of the court including operations, accounting, courtroom and IT.

Alternative 2 Do-Nothing/Status Quo

Alternative 2: Advantages

- Cost associated with deploying a new CMS would be avoided.

Alternative 2: Disadvantages

- Inability to integrate with current technology solutions such as document management will be limited or not possible.
- Inability to implement e-Filing.
- Limited access to case information for both the public and justice partners
- Inability to leverage technology to support data analytics statewide.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Alternative 3 Procurement of a new Case Management System later.

Alternative 3: Advantages

- Cost associated with deploying a new CMS would be delayed.

Alternative 3: Disadvantages

- Costs are delayed but not avoided.
- All benefits of a new case management system delayed.
- Inability to integrate with current technology solutions such as document management will be limited or not possible until upgrade.
- Inability to implement e-Filing until upgrade.
- Limited access to case information for both the public and justice partners until upgrade.
- Inability to leverage technology to support data analytics statewide until upgrade.

2018-19 FY Initial Funding Request

Requesting Entity: Judicial Council Information Technology Office

Contact: Robert Oyung

Date Prepared: 3/9/2017

Budget Services Liaison: Mary Jo Ejercito

Document Tracking Number: IFR-18-25

A. Working Title: Deploy and maintain California Courts Protective Order Registry for the Superior Courts.

B. Description of Funding Request: An estimated \$1.0 million General Fund augmentation beginning in 2018-19 and ongoing to deploy the California Courts Protective Order Registry (CCPOR) program to the five remaining courts that have not yet implemented CCPOR and maintain the annual operations of the program. CCPOR provides statewide management of restraining and protective orders. Registry data and scanned images of orders can be accessed by judges, court staff, and law enforcement officers across the state. Currently, CCPOR serves 43 courts and their respective law enforcement agencies plus 13 tribal courts with read-only access. We expect 10 more courts to be implemented in FY17/18. The program delivers support for deployment, onboarding, enhancements, defect fixes, legislative changes, and modifications required by the Department of Justice.

Program Benefits:

- Places critical public safety information at fingertips of courts and law enforcement;
- Provides 24/7 secure access to Registry data from participating superior courts;
- Enables users to search orders by name, case number, and other criteria;
- Facilitates protective order sharing between courts;
- Provides automated exchange to the California Restraining and Protective Order System (CARPOS);
- Integrates with court case management systems utilizing the data exchange DSP917;
- Provides shared access to law enforcement agencies and the California Department of Justice.

Currently, the CCPOR program is funded from the dwindling Trial Court Improvement and Modernization Fund (IMF) which is not structurally suited to fund the ongoing operations of this program. Ongoing BCP funding will provide a stable source of funding to ensure that this critical public safety program can be sustained.

C. Estimated Costs: At this time, the estimated cost to implement the five remaining courts and provide ongoing maintenance for all the courts is approximately \$1.0 million annually.

D. Relevance to the Judicial Branch Budget and Other Funding Requests: “Promoting the Digital Court” and “Optimizing Branch Resources” are two of the goals in *Court Technology Governance and Strategic Plan* that CCPOR support. CCPOR eliminates manual paper-based processes and enables court staff to be better utilized.

E. Required Review/Approvals:

- Judicial Council Technology Committee
- Trial Court Budget Advisory Committee
- Judicial Branch Budget Committee

2018-19 FY Initial Funding Request

F. Proposed Lead Advisory Committee: Budget Services proposes that Judicial Council Technology Committee take on the lead advisory role as the JCTC oversees the council's policies concerning technology and is responsible in partnership with the courts for coordinating with the Administrative Director and all internal committees, advisory committees, commissions, working groups, task forces, justice partners and stakeholders on technological issues relating to the branch and the courts.

2018-19 FY Initial Funding Request

SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

Proposal Title: Deploy and maintain the California Case Protective Order Registry (CCPOR) for the Superior Courts.

Fiscal Summary:

Fund Source	Proposed JCC Positions	Total Additional Personal Services	Operating Expenses & Equipment	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
GF	1-BSA	\$161,105	\$812,861	\$973,966	\$1,009,815	\$1,012,771

Detailed Funding By Fiscal Year:

Description	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
Ongoing Costs *	\$973,966	\$984,115	\$1,012,771
One-Time Costs **		\$25,700	
Total Estimated Costs	\$973,966	\$1,009,815	\$1,012,771

* Estimated costs includes projected infrastructure costs, staffing costs, and funding for a new BSA position. The estimated fully loaded cost of a BSA for FY 18/19 is \$161,105 with subsequent years have a 5% growth factor.

** One-time costs is for estimated travel costs in FY 19-20

Proposal Summary:

The Judicial Council requests a General Fund augmentation to deploy the California Courts Protective Order Registry (CCPOR) program to five courts, add an additional Business System Analyst and to provide a stable source of funding for the on-going operations of the program. The program delivers support for deployment, onboarding, enhancements, defect fixes, legislative changes, and modifications required by the Department of Justice to provide a central repository of restraining and protective orders (RPO’s). CCPOR data includes scanned images of actual RPO’s signed by the judge which can be accessed by court staff and law enforcement officers across the state. Access to the RPO images signed by the judge improves the accuracy of critical public safety information available to legal enforcement and court staff. Currently, CCPOR serves 43 courts and their respective law enforcement agencies plus 13 tribal courts with read-only access. We expect 10 additional trial courts will be implemented in FY17/18. Additional funding is needed in FY 18/19 to provide funding to deploy the remaining five trial courts, add an additional Business System Analyst and provide a stable funding source for on-going operations of the program.

2018-19 FY Initial Funding Request

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities)?*

The CCPOR program resulted from a recommendation to the Judicial Council submitted by the Domestic Violence Practice and Procedure Task Force to provide a statewide protective order registry. Launched in June 2010, the California Courts Protective Order Registry (CCPOR) provides a statewide repository of protective orders containing both data and scanned images of orders that can be accessed by judges, court staff, and law enforcement officers. Currently used by superior courts in 43 counties, CCPOR allows judges to view orders issued by other court divisions and across county lines. Armed with more complete data, judges can make more informed decisions and avoid issuing multiple protective orders with conflicting terms and conditions. Law enforcement officers also benefit from the ability to view complete images of orders, including notes, special conditions, and warnings that are often handwritten by judges on the orders. The information maintained by CCPOR also benefits the California Department of Justice (DOJ) by providing a gateway to enter RPO's into the DOJ's California Restraining and Protective Order System (CARPOS).

The current 43 counties using CCPOR represent approximately 40% of the RPO's issued throughout the state based upon a count of active RPO's in April 2017. As a statewide application, to be the most effective, the remaining 15 trial courts need to be on-boarded to the CCPOR program. In FY 17/18, the Victims of Crime Act (VOCA) has provided grant funding administered by the Judicial Council Center for Families, Children and the Courts to on-board an additional 8 trial courts with most of these 8 courts representing small courts by case volume. Additionally, funding has been identified to on-board the Orange and Sacramento trial courts in FY 17/18. Adding these 10 trial courts in FY 17/18 will bring the total courts using CCPOR to 53 and represent approximately courts and represents approximately 56% of active RPO's. Funding is needed to on-board the remaining five large courts which includes LA. These last five courts represent approximately 44% of the total RPO's issued throughout the state. On-boarding these remaining five courts will provide a truly statewide program and yield the full benefit of having a central repository with scanned images of RPO's.

The CCPOR program cost include the network hardware and infrastructure to host the application at the California Courts Technology Center. There are also two FTE's (one Business Systems Analyst and one Sr. Application Developer) supporting the CCPOR program.

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

The CCPOR program currently has 43 trial courts using the program which represents approximately 40% of the active RPO's in California. The CCPOR registry is accessed by approximately 340 users per day representing users from both the court and law enforcement agencies. To fully realize the vision of a statewide protective order registry recommended by the Domestic Violence Practice and Procedure Task Force and supported by the Judicial Council, the remaining 15 trial courts representing 60% of the RPO's in California need to be on-boarded. Additionally, the on-going costs for the program needs a stable funding source. Currently the CCPOR program is funded using the Improvement and Modernization Fund (IMF). However, the IMF fund continues to have decreasing revenue and is not structurally suited

2018-19 FY Initial Funding Request

to fund the on-going operations of this program. A more stable source of funding for this critical public safety program is required to sustain the program.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

The projected cost of the CCPOR program by fiscal year is provided in the “Fiscal Summary” section of this document above. CCPOR Budget Assumptions are provided below. Assumptions number 5, 6 and 7 need to be validated with the impacted trial courts.

CCPOR Budget Assumptions:

1. The CCPOR program will expand to an additional 10 courts in FY 17/18. Additional funding is needed in FY 18/19 to deploy to the remaining five large courts.
2. 10% increase per year in storage costs excluding those courts which are loading historical RPO information as part of their CCPOR deployment.
3. Current server infrastructure has the capacity to support the on-boarding of the remaining 15 courts with only additional network storage needed.
4. Adding the remaining 15 courts representing an additional 60% of RPO’s will require one additional BSA beginning in FY 18/19.
5. The case management system of the remaining five large courts to be on-boarded as well as the Sacramento and Orange County courts has the ability to send images of RPO’s to the CCPOR system and will not require the courts to manual scan RPO’s.
6. Trial Court resources required to deploy CCPOR (e.g. staffing costs, case management system changes, etc.) are not included in the CCPOR program cost estimates. CCPOR cost estimates include funding needed for additional storage and one-time travel cost only.
7. Of the courts which remain to be on-boarded to the CCPOR program, the Sacramento, Orange, Alameda and Contra Costa are the only trial courts which will require conversion of historical RPO’s records. It is also assumed that the loading of the historical RPO’s will utilize the CCPOR data interface known as DSP917.

Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

Improvements will be measured with the additional RPO’s maintained in the CCPOR application as well as the increase in the number of users accessing the information by adding more trial courts and law enforcement agencies. The estimated projected outcomes in the table below shows the increased percentages of statewide RPO’s as 10 additional courts are added in FY 17/18 and the remaining five large courts added in FY 18/19.

2018-19 FY Initial Funding Request

Projected Outcomes:

Workload Measure	FY 17/18	FY 18/19	FY 19/20
43 CCPOR Courts Active RPO Percentage	40%		
53 CCPOR Courts Active RPO Percentage		56%	
58 CCPOR Courts Active RPO Percentage			100%

Current 43 CCPOR Courts represent approximately 40% the Active RPOs across California.

- Additional 10 Courts – Alpine, Mono, Colusa, Yolo, Siskiyou, Stanislaus, San Mateo, and Santa Barbara represent approximately 16% of the Active RPOs across California.
- Additional 5 Courts – Contra Costa, Alameda, San Bernardino, San Diego, and Los Angeles represent 44% of the Active RPOs across the state of California.

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

1. Do Nothing/Status Quo: Continue to fund the CCPOR program out of the IMF fund and run the risk of not having sufficient funding to deploy the remaining five large courts and potentially run the risk of having insufficient funding for the on-going CCPOR program for courts already using the system.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Requesting Entity: Judicial Council Information Technology Office

Contact: Robert Oyung, JCIT

Date Prepared: 3/9/2017

Budget Services Liaison: Mary Jo Ejercito

Document Tracking Number: IFR-18-27

SECTION 1 – Initial Funding Request:

A. Working Title: *The working title should convey who the request is for and what the funding will address.*

Deploy a Single Sign-On Solution for the Judicial Branch

B. Description of Funding Request: *Provide a summary of the request identifying the problem, measures taken to date to address the problem, and why the problem cannot be addressed within existing resources.*

The Judicial Council requests a General Fund augmentation to deploy a single sign-on solution that will provide a unique username and password to every judicial branch employee and judicial officer, attorneys, members of the public, and justice partners who access judicial branch computer systems and electronic services.

A single sign-on solution is the foundation that allows the judicial branch to uniquely identify an individual who is accessing judicial branch electronic systems. Currently each court has a local authentication and authorization system to secure its systems but those usernames and passwords cannot be used across courts. For attorneys, their bar number is a unique identifier but there is no associated password with that number and so cannot be used for secure access to systems. For the public, there is no way to uniquely identify them today and in fact, at times it is difficult to determine if cases with similar participant names are the same or different person.

Assigning a unique identifier to everyone will enable an entirely new set of electronic services. For example, the ability for a member of the public to login once to a portal and pay for any outstanding fines or fees from any court within the state and view all of their case files across different courts. An attorney could use their unique login to be notified if there are any actions or changes to any case that they have open at any court across the state from the superior courts to the Supreme Court. Judges and court staff could use their unique login to securely access systems without needing to memorize multiple usernames and passwords. Justice partners could securely access court systems to view information that only they are authorized to do so.

Note that changes to existing case management systems and other platforms would be necessary to take advantage of the single sign-on solution. The single sign-on solution is the key component that would enable much of this new functionality.

The increased access to justice would be significant.

C. Estimated Costs: *If known, provide estimated costs, fund sources, and position information.*

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

At this time, the cost to implement a single sign-on system are unknown. A project has been launched that will assess the technologies and options resulting in the limited purchase of a software as a service solution during the FY17/18 fiscal year with small pilot during that year and an anticipated wide spread implementation in FY18/19.

While the costs are not known at this time, one can expect:

- License/Usage costs – based on the number of users and the number of authentications
- Design/Deployment costs – costs to architect, test, deploy and maintain a branchwide Single Sign-On System
- CMS Modifications – significant modifications to existing CMSs may be needed to take advantage of the unique identifier for all parties, attorneys and other people associated with the case
- Payment/ACH costs – assuming that credit card payments are outsourced to an Automated Clearing House

D. Relevance to the Judicial Branch Budget and Other Funding Requests: *Provide a brief statement as to how this request fits into the overall funding needs of the Judicial Branch, including previous action taken on similar requests, if any.*

“Promoting the Digital Court” and “Optimizing Infrastructure” are two of the goals in *Court Technology Governance and Strategic Plan* that a single sign-on system will support. Single sign-on will enable an entirely new set of capabilities to improve court operations and dramatically increase access to justice for the public. Single Sign-On has been identified as a key component for the e-filing workstream initiative currently in progress and sponsored by the Information Technology Advisory Committee as one of its major programs in the published Tactical Plan for Technology. Single sign-on will also be a key component for both the Self-Represented Litigants workstream and the Next Generation Hosting Workstream.

E. Required Review/Approvals: *If known, please list all subcommittees, advisory committees, or unique approvers needed to review/approve the funding request prior to submission to the Judicial Council.*

Judicial Council Technology Committee
Information Technology Advisory Committee
Trial Court Budget Advisory Committee
Judicial Branch Budget Committee

F. Proposed Lead Advisory Committee: *Provide a proposed lead advisory committee including an explanation as to why this committee should be designated as lead.*

Judicial Council Technology Committee. The JCTC oversees the council’s policies concerning technology and is responsible in partnership with the courts for coordinating with the Administrative

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Director and all internal committees, advisory committees, commissions, working groups, task forces, justice partners and stakeholders on technological issues relating to the branch and the courts.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

Proposal Title: Deploy an Single Sign-On Solution for the Judicial Branch

Fiscal Summary:

Fund Source	Proposed JCC Positions	Total Personal Services	Operating Expenses & Equipment	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
General Fund			\$3,300,000	\$3,300,000		
General Fund			\$800,000		\$800,000	
General Fund			\$800,000			\$800,000

Detailed Funding By Fiscal Year:

	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
Ongoing	\$800,000	\$800,000	\$800,000
One-Time	\$2,500,000	0	0
Total	\$3,300,000	\$800,000	\$800,000

Proposal Summary: *Provide succinct summary of request – six to eight sentences.*

The Judicial Council proposes an ongoing General Fund request to acquire, design, and deploy an enterprise single sign-on system for the branch. This \$800,000 recurring cost will pay for software licenses for judicial branch employees. This system will assign a unique identifier to members of the judicial branch, attorneys, members of the public and justice partners who access judicial branch computer systems and electronic services.

The Judicial Council is also proposing a one-time General Fund request of \$2,500,000 to modify case management systems from the three major case management software vendors in order to take advantage of the unique identifier assigned by the single sign-on solution.

It is envisioned that this system will be deployed using the software as a service model, so there are no direct costs such as hardware, in-house support and operational costs.

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities).*

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

This proposal is for infrastructure that will enable new, improved services that have the following benefits: business hours can be extended, customers can expect more accurate data, customer satisfaction should improve and security is improved. It has the potential to improve customer service for all customers – attorneys; the public, in general; self-represented litigants; parties to cases; and members of the branch.

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

Implementing and promoting the Digital Court will provide better customer service (longer hours, access to records and services without having to appear at the courthouse, the ability for customers to conduct business on their own time), all without adding additional permanent staff. Depending upon the implementation, this may offer greater security and better data quality, in addition to the improved customer service. This is especially applicable to customers such as attorneys, who conduct business in multiple jurisdictions within the State.

If this proposal is not approved, customers may be required to create multiple IDs, multiple passwords and use multiple authentication systems, especially if they do business in multiple jurisdictions. Changing public expectations are making online transactions the norm, precisely because they improve customer service, and extend business hours without adding additional staff. The sooner we implement this, the sooner the public will be able to take advantage of the increased access.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

Performance measures include:

- The number of unique identifiers entered into the single sign-on system
- The number of people utilizing the court services that take advantage of the unique identifier
- The number of times court services utilizing the unique identifier were utilized
- Customer satisfaction surveys

Projected Outcomes:

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Workload Measure	2015-16 Past Year	2016-17 Past Year	2017-18 Current Year	2018-19 Budget Year

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

1. **Do nothing.** It will not be possible to distinguish between parties with the same names. If you wish to restrict access to certain services only to those involved in a case, you would need positively identify an individual or risk providing court information to the wrong party. Members of the public would continue to receive generic service without information tailored to their situation. Members of the public and attorneys who file in multiple counties would need multiple ID's for individual court directories rather than a single ID. There is no dollar cost associated with this alternative, but the service is less than we could provide. Members of the judicial branch will have to juggle multiple id's and most likely, multiple passwords in order to use multiple judicial branch systems.
2. **Create a single sign-on system for the branch.** Major software firms already have created robust systems for this purpose, and they amortize their development cost across multiple clients. In addition to the tool, we would need staff to administer and maintain the system. The proposal to deploy Single Sign-On as a service eliminates the staffing costs and allows us to take advantage of a commercial software tool where the development cost is spread out over many customers. We could not develop a word processor from scratch and be competitive for what we can buy Microsoft Word, for example. It would be different if we required custom capabilities not found in commercial off-the-shelf software. We will not require custom capabilities for a single sign-on system.
3. **Host our own directory service.** Similar to 2, above, we could use an on-premise directory to store user information for both our the branch and our customers. We would need to acquire redundant hardware staff for 24/7 operations, develop and test disaster/recovery plans and periodically refresh both hardware and software. By outsourcing the operation of a directory service into the cloud, these aspects are taken care of by the vendor. Again, because multiple clients are using the service, operational costs are distributed among multiple clients, offering a competitive advantage over hosting our own system.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Requesting Entity: Judicial Council Information Technology Office

Contact: Robert Oyung, JCIT

Date Prepared: 3/9/17; updated 4/30/2017

Budget Services Liaison: Mary Jo Ejercito

Document Tracking Number: IFR-18-24

SECTION 1 – Initial Funding Request:

- A. Working Title:** Digitizing paper and filmed case files for the Superior and Appellate Courts
- B. Description of Funding Request:** A General Fund augmentation (amount \$TBD) beginning in 2018-19 and ongoing to digitize paper and filmed case files for the Superior and Appellate Courts. Many courts are still operating with paper case files and often historical files are stored on deteriorating microfilm and microfiche. As the courts migrate from older legacy case management systems, they can take advantage of electronic documents and electronic document processing, but they need a mechanism to convert existing paper and filmed case files into electronic format. Utilizing paper and filmed case files is very labor intensive and off-site storage is expensive. Furthermore, existing microfilm and microfiche records are subject to physical deterioration and the devices to view the media are quickly becoming obsolete. Electronic case files will eliminate the need for physical storage facilities and would allow for greater public access and convenience. The request would allow for a vendor to prepare the physical documents for conversion, scanning into electronic digital format, and also for providing quality assurance that the documents were converted accurately. The proposed approach would enable “back scanning” of all existing files and be used to increase the capacity of a court’s electronic storage infrastructure to hold all the converted documents and to purchase scanning devices to convert any new incoming paper documents to electronic format.
- C. Estimated Costs:** At this time, the cost to digitize paper and filmed case files is unknown; however, it is estimated to be approximately \$20 - \$25 million. A detailed inventory and Request for Proposal must be issued to determine the precise costs. There are at least 15 courts which have a need for digitizing paper and film documents. The listing of courts must be finalized, then the courts must determine the number of files needed to digitize. It is expected that by December 2017, the courts and volumes will be identified.
- D. Relevance to the Judicial Branch Budget and Other Funding Requests:** “Promoting the Digital Court” and “Optimizing Branch Resources” are two of the goals in *Court Technology Governance and Strategic Plan* that digitizing paper and film documents support. A document management system is the second highest priority of “Promoting the Digital Court” following a modern case management system. Digitizing paper and filmed case files also supports the trial courts. (Please refer to benefits above.) This request will also enable the courts to better utilize their modern case management systems, including the V3 and the Sustain Justice Edition courts which the Judicial Council worked with on Budget Change Proposals for their case management system replacement.
- E. Required Review/Approvals:**
- Judicial Council Technology Committee
 - Trial Court Budget Advisory Committee
 - Judicial Branch Budget Committee

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

F. Proposed Lead Advisory Committee: Budget Services proposes that the Judicial Council Technology Committee take on the lead advisory role as JCTC oversees the council's policies concerning technology and is responsible in partnership with the courts for coordinating with the Administrative Director and all internal committees, advisory committees, commissions, working groups, task forces, justice partners and stakeholders on technological issues relating to the branch and the courts.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

Proposal Title: Digitizing paper and filmed case files for the Superior and Appellate Courts

Fiscal Summary:

The cost to digitize paper and filmed case files will be determined based on the final list of courts and the digitizing approach selected; it is estimated to be approximately \$20 - \$25 million. A detailed inventory and Request for Proposal must be issued to determine the precise costs. There are at least 15 courts which have a need for digitizing paper and film documents. The listing of courts must be finalized, then the courts must determine the number of files needed to digitize. It is expected that by December 2017, the courts and volumes will be identified.

Costs would include services to perform paper and film scanning, incremental electronic storage infrastructure, and also an initial limited number of desktop scanners to be used by courthouse clerks to scan incoming paper documents that are submitted to the court.

FY 18/19 One-time funding: TBD

Proposal Summary: *Provide succinct summary of request – six to eight sentences.*

The Judicial Council proposes a one-time General Fund augmentation (amount \$TBD) beginning in 2018-19 and ongoing to digitize paper and filmed case files for the Superior and Appellate Courts. Many courts are still operating with paper case files and often historical files are stored on deteriorating microfilm and microfiche. As the courts migrate from older legacy case management systems, they can take advantage of electronic documents and electronic document processing, but they need a mechanism to convert existing paper and filmed case files into electronic format. The request would allow for a vendor to prepare the physical documents for conversion, scanning into electronic digital format, and also for providing quality assurance that the documents were converted accurately. The proposed approach would enable “back scanning” of existing files and be used to increase the capacity of a court’s electronic storage infrastructure to hold all the converted documents and to purchase a limited number of scanning devices to convert any new incoming paper documents to electronic format.

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities).*

The California court system—the largest in the nation, with more than 2,000 judicial officers, 19,000 court employees, and nearly 10 million cases—serves over 38 million people —12.5% of the United States population. During 2013–2014, 7.5 million cases were filed in these courts at some 500 court locations throughout the state.

Court operations center on the receipt, creation, processing, and preservation of court documents. The majority of historical records and much of the current volume consists of paper or filmed documents. Utilizing paper and filmed case files is very labor intensive and off-site storage is expensive. Furthermore,

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

existing microfilm and microfiche records are subject to physical deterioration and the devices to view the media are quickly becoming obsolete. Electronic case files will eliminate the need for physical storage facilities and would allow for greater public access and convenience.

In 2014, the Judicial Council approved the “Technology Governance and Funding Model”, “Strategic Plan for Technology”, and “Tactical Plan for Technology”. The plans established a common, shared roadmap and common goals, giving courts the opportunity to innovate and leverage solutions as a branch, or in a multi-court consortium. There were four key technology goals identified through the work of the task force and this BCP directly aligns with the first three goals.

- Promote the Digital Court
- Optimize Branch Resources
- Optimize Infrastructure
- Promote Rule and Legislative Changes

In pursuit of the goal of the Digital Court, over 30 courts are leveraging a branchwide Master Services Agreement to implement new case management systems that have capabilities to utilize electronic documents. The main barrier to implementing electronic documents for a Digital Court is the reliance on historical paper documents. It is labor intensive to maintain both paper and electronic versions of a document. One large court with approximately 700 employees estimated that they had 100 people spending 25% of their time processing paper documents.

Several courts have implemented electronic documents in selected case types and have gained operational benefits with the elimination of processing and maintaining paper case files, eliminating file contention where only one person can view a physical file at a given time, and providing the public and justice partners with fast electronic access to case file documents.

During the recent invitation to submit proposals for innovation grant funding, 13 courts submitted detailed proposals related to the digitization of paper and filmed documents.

This BCP represents a foundational step of the plan for the Digital Court and facilitates a faster adoption of more efficient automated electronic processes.

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

The courts have made significant progress toward the goal of a statewide implementation of the Digital Court. Several courts have identified new case management solutions that support electronic documents and have engaged in a transition activities, moving them away from their legacy systems. However, a major barrier identified by the courts is the conversion of existing paper documents to electronic format. The process is time consuming and requires several months of “learning on the job” in order to identify and resolve common issues to ensure the creation of high quality digital images. A court’s top priority is to convert active case files, especially those that will be on calendar in the next several months. A typical migration to the use of electronic files follows these steps:

1. Court decides on a date for which all processing will be electronic (“day-forward approach”).

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

2. Paper case files for all cases on calendar on the start date and several weeks after are then scanned and digitized. Since this is the initial scan, all historical documents related to the case need to be scanned. For multi-volume files, usually the most recent two are scanned.
3. On the selected day to start electronic files, any incoming paper documents are scanned. Thus both new and historical data for active cases that are on calendar are now all in electronic format.

This BCP will facilitate this startup process for the courts so that they each do not need to reinvent the scanning process independently and instead can leverage a common process and vendor across all the courts.

Obtaining funding for implementing the conversion to digital documents is key to “Promoting the Digital Court,” the first goal in the *Court Technology Governance and Strategic Plan*. The benefits of extending modern technology to the public, the courts and our justice partners will not be realized until the courts are able to digitize their physical records.

Time is of the essence as scarce resources could be reallocated from performing labor intensive paper processing to higher value tasks. Furthermore, filmed documents are slowly deteriorating and the equipment to view them are quickly failing and are difficult and expensive to replace.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc.). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

This request is targeting a General Fund augmentation. At this time, the cost to digitize paper and filmed case files is unknown. Once an assessment is performed to determine the volume of documents to convert, an RFP will be issued to solicit bids for performing the conversion of existing records. We will request cost estimates for converting active case files and historical case files to compare the costs. We will also estimate the number of initial desktop scanners that would be needed to help courts begin to scan their incoming paper documents. It is expected that by December 2017, the courts and volumes will be identified.

Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

The Interbranch Agreement, which will be used to facilitate the transfer of funds to the courts, has specific reporting requirements that courts must adhere to. Each court will be responsible for monitoring day-to-day project activities and will make periodic reports regarding program performance and financial status. Accounting records will be supported by appropriate documentation. The courts will provide information regarding all fund expenditures to the council. The information requested may include, but is not limited to, performance and financial reports. Performance reports will contain a comparison of actual accomplishments to the objectives, for the reporting period. Results will be quantified wherever possible. Courts with project costs greater than or equal to five million will submit project documentation to the California Department of Technology, with copies to Judicial Council of California staff.

2018-19 FY Initial Funding Request and Budget Change Proposal Concept

Projected Outcomes:

The outcomes will vary by court as each court will have different volumes of records. However, the objective will be to have all participating courts digitize the records that will have the greatest operational impact for their particular environment. In some cases, that would be to digitize active files in preparation for executing a “day-forward” strategy. In other cases it would be to digitize historical records for preservation. In either case, the courts will be able to eliminate physical storage by purging the physical documents after they are digitized. Once in electronic format, those documents will be more easily accessible by court staff, the public, and other government agencies. For example, providing the public with access to court documents through a web portal will reduce staff time currently required to answer questions from the public at the counter or over the phone and allow staff resources to be redirected to perform other tasks.

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

Alternative 1: Do nothing/status quo

Courts will continue to digitize documents as resources become available. They will each duplicate efforts to establish local conversion processes and will need to establish individual contracts with vendors. This process will be slow and have the branch limping towards the goal of a digital court rather than sprinting towards it. Filmed documents will continue to deteriorate and existing viewing equipment will continue to fail and be difficult to replace.

Alternative 2: Negotiate a branchwide MSA for digitizing documents

We could negotiate a master services agreement that courts could leverage when they are ready to digitize their documents so that they do not need to create new scanning processes themselves. However, without the appropriate funding, courts could not utilize the services provided by the selected vendors.

Alternative 3: Obtain minimal funding to digitize a subset of documents

Converting a subset of documents may jump start a court’s effort to move to a digital court. This may be effective for smaller courts with lower case volumes but larger courts that have the most opportunity to eliminate paper documents and reassign staff could not take advantage of a partially converted document inventory.

2018-19 FY Initial Funding Request

Requesting Entity: Judicial Council Information Technology Office

Contact: Virginia Sanders-Hinds

Date Prepared: 3/9/2017

Budget Services Liaison: MaryJo Ejercito

Document Tracking Number: IFR-18-26

A. Working Title: Self Represented Litigants Statewide E-Services Solution

B. Description of Funding Request: A General Fund augmentation (amount \$TBD) to support implementation of a statewide Self-Represented Litigants (SRLs) e-Services website that will enhance the breadth and depth of e-services aimed at helping the increasing number of Californians who attempt to resolve their legal issues without legal representation. Leveraging both existing resources and envisioning new platforms, such as website personalization, artificial intelligence, and online chat, this initiative will result in a best-in-class online clearinghouse of educational and informational resources for self-represented litigants.

Today, there are a myriad of solutions and approaches to providing SRL e-services throughout the state; but they remain somewhat fragmented and usually cluster around large counties that have the resources to develop online services. This leaves medium-sized and rural communities at a distinct disadvantage. The SRL E-Services Workstream, a collaborative judicial branch initiative, has been tasked with developing a comprehensive set of business and functional requirements that will shape the future of court-sponsored online self-help e-services available to all Californians, via the Web. The Self-Represented Litigants Statewide E-Services Solution/Portal will provide more robust information and instruction for SRLs, in addition to numerous service enhancements such as instructional videos, online chat, user/site registration, and integration with document assembly and e-filing.

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

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

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

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C. Estimated Costs: At this time, the cost to develop and implement a statewide e-services litigant portal/website solution is unknown. To achieve a cost estimate the Workstream team will be validating litigant and court requirements; identifying existing technology and infrastructure solutions that can be leveraged or shared; and drafting a Request for Information (RFI) by Summer, 2017 to learn more about vendor capabilities and associated costs.

It should be noted that a staffing augmentation will most likely accompany the final BCP application for two additional FTE (Business Analysts) to provide ongoing support and maintenance for the SRL portal solution. If as a result of the BCP a Self-Help Call Center is established, the FTE count will rise to eight positions in total.

D. Relevance to the Judicial Branch Budget and Other Funding Requests: Contributing to the “Promoting the Digital Court” by implementing an integrated, statewide e-services solution was approved as a key priority in the *Court Technology Governance and Strategic Plan* and further detailed as an approved initiative to pursue in the *Tactical Plan for Technology (2014-2016)* and remains in the proposed *2017-2018* update to the plan). No other similar requests are known, at this time.

E. Required Review/Approvals:

- Information Technology Advisory Committee
- Trial Court Budget Advisory Committee
- Judicial Council Technology Committee
- Judicial Branch Budget Committee

F. Proposed Lead Advisory Committee: Budget Services proposes that the Information Technology Advisory Committee take on the lead advisory role as the ITAC promotes, coordinates, and acts as executive sponsor for projects and initiatives that apply technology to the work of the courts. Further, ITAC’s Self-Represented Litigants E-Services Workstream is specifically tasked with developing the requirements for a statewide SRL e-services solution; and those requirements are on track for completion in December 2017.

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SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

G. Proposal Title: Self Represented Litigants Statewide E-Services Portal Solution

Fiscal Summary:

At this time, the cost to develop and implement a statewide e-services litigant portal/website solution is unknown. The workgroup charged with envisioning, designing, and implementing this solution intends to post a Request for Information (RFI) to better understand anticipated one-time and ongoing costs. The anticipated release of the RFI is August, 2017.

Proposal Summary: *Provide succinct summary of request – six to eight sentences.*

The Judicial Council proposes a one-time General Fund augmentation to envision, design, and deploy a statewide Self-Represented Litigants e-services portal. While several counties across the state offer some degree of virtual or online assistance, a statewide e-services portal would serve all Californians and deliver state-of-the-art interactive educational content, online diagnostic tools, real-time chat and call centers to help Californians successfully resolve legal issues without an attorney.

As envisioned, the SRL e-services portal would establish a framework for integrating numerous new and existing e-services, including: account creation and personalization; intelligent ‘triage’ to provide automated intake; instructional content, document assembly to correctly complete the right forms; and online chat, supported by call center assistance.

The e-services portal would integrate with trial courts across the state and provide seamless hand-offs to enable site visitors to conduct document assembly and e-filing, where available. Californians will be able to establish user accounts and save and retrieve documents at any time. And, when unsure about a next step, a real-time chat engine would attempt to answer questions and prompt next steps. A staffed call center would provide escalation support to any issues that online chat was unable to resolve.

Funding would support acquisition of a new judicial branch web content management platform; development of interactive instructional tools and resources for various civil case types, as well as traffic and non-traffic misdemeanors; and deployment of a statewide online chat problem resolution platform. Funding would also support integration with existing document assembly programs, identity management solutions, and e-filing systems at local trial courts throughout the state.

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities).*

The proposal will transform the depth and breadth of online e-services dedicated to support SRLs. Numerous surveys point to the increasing number of Californians each year who attempt to resolve their legal issues without an attorney. In many cases, the main driver for self-represented litigants is cost and affordability. If you cannot afford an attorney, then your access to justice is severely curtailed.

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This proposal aims to deliver a coordinated, modern, and interactive collection of legal resources, including instructional video, intelligent ‘triage’ engines, online chat, and integration with 58 court websites across the state to facilitate document assembly and e-filing, where available.

A robust online web portal that can provide an end-to-end ‘customer journey’ would level the playing field for the self-represented as well as provide benefits to courts as they continue to operate under severe financial and staffing constraints.

While much “self-help” information exists today on websites and in libraries, most resources fail to deliver linear end-to-end solutions to navigating the entire legal process.

As envisioned, the SRL e-services portal would establish a framework for integrating numerous new and existing e-services including interactive educational components; account creation and personalization; intelligent ‘triage’ to provide automated intake; document assembly to correctly complete the right forms; and online chat, supported by call center assistance.

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

The proposed project will address the current patchwork of services for self-represented litigants and introduce a comprehensive, one-stop online portal of instruction, information, and assistance to radically transform and increase the breadth and depth of e-services available to the self-represented.

There is a huge unmet need in the Self-Represented Litigant world. While there are vast amounts of information about resolving various case types on one’s own, there is no statewide SRL solution that provides meaningful online assistance from start to finish. This proposal will dramatically change the landscape for those hoping to resolve legal issues without an attorney.

The proposed SRL e-Services portal solution will increase the percentage of litigants who can successfully navigate through the legal system and successfully file cases on their own. The portal will reduce litigant time and cost. The proposed project will also ensure that the valuable human resources that are staffed at the court will focus on helping resolve substantive SRL issues, and not be wasted on more trivial requests that would be better resolved online or via real-time chat. It will also provide standardization of self-help information and ensure information remains current and consistent with legislative changes.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

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At this time, the cost to design build and implement the SRL e-Services portal solution is unknown. An RFI will be posted in the summer of 2017 to help gain insight into vendor capabilities and associated costs.

Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

Performance metrics will include number of monthly and annual users; greater customer satisfaction; less unnecessary foot traffic to courthouses; reduction in both costs and time for litigants; percentage of successful hand-offs to trial courts; completed cases. Most of these measurements can be obtained through Web analytics programs, as well as annual surveys to courts and to litigants themselves.

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

- 1) **Wait for private sector to develop a similar solution:** due to the lack today of a robust, statewide interactive Self-Represented Litigant portal, we are seeing more and more private companies enter the legal space, on a 'pay-as-you-go' basis. In other words, they see potential revenue streams from people trying to resolve legal issues on their own. We do not believe this is an acceptable alternative and certainly is disadvantageous to those on limited incomes.
- 2) **Maintain the status quo:** the needs of self-represented litigants will continue to be unmet if we maintain the status quo. A patchwork of SRL resources will remain in place for those fortunate enough to live in counties where local courts have established virtual self-help centers.

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Requesting Entity: Judicial Council Branch Accounting and Procurement

Contact: Doug Kauffroath

Date Prepared: 4/25/17

Budget Services Liaison: Mary Jo Ejercito

Document Tracking Number: IFR-18-04

A. Working Title: Phoenix System Required Updates

B. Description of Funding Request: The Judicial Council is requesting an augmentation of \$7.9 million from the General Fund in 2018-19, \$7.6 million in 2019-20, and \$6.3 million in 2020-21 and ongoing to update and expand the Phoenix System to improve the administrative infrastructure supporting trial courts. This request will also provide funding to the Judicial Council to support 3.0 positions to be phased in over three years. The Phoenix System is the financial and procurement system for the 58 trial courts, and the payroll system for 12 trial courts. This request will update the Phoenix system to stay ahead of the end-of-life of the current on-premise version of SAP, and add functional requirements requested by the trial courts.

The last major upgrade of the Phoenix system was completed in 2008-09. The Program is nearing the end of support on its current platform, and there aren't sufficient resources available to improve it to a more efficient and desired state. It is necessary to update the current technology and advisable to invest in new functionality that the trial courts require according to recent studies of their needs. These studies included review of past requirements and requests, a comprehensive stakeholder survey, and requirement workshops with key stakeholders across the state.

C. Estimated Costs: The amount requested includes \$7.9 million in 2018-19, \$7.6 million in 2019-20, and \$6.3 million in 2020-21 to support the migration to and hosting of the Phoenix SAP on a modern, cloud-based database appliance and to add functionality requested by the trial courts. This request also includes funding for 3.0 positions (to be phased in over three years) to provide adequate support of the new functionality.

Currently, approximately \$3.6 million is expended annually from the State Trial Court Improvement and Modernization Fund (IMF) to support the Phoenix Program. This request will eliminate the expenditures from the IMF and request General Fund for the costs to update and expand the Phoenix Program, as well as the costs for ongoing maintenance/hosting of the system. (which is currently funded from the IMF). If this request is approved, the system update will result in annual maintenance/hosting savings of approximately \$265,000. The table below indicates the requested General Fund amounts by fiscal year.

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General Fund Request:

	2018-19	2019-20	2020-21	Total
Requested Positions	1.0	1.0	1.0	3.0
Ongoing Expenses	3,642,000	4,809,000	5,698,000	5,698,000
1-Time Expenses	4,287,000	2,818,000	620,000	7,725,000
Total	7,929,000	7,626,828	6,318,172	

D. Relevance to the Judicial Branch Budget and Other Funding Requests: The Phoenix system is the enterprise financial and procurement system for all 58 Trial Courts, and the payroll system for 12 courts, and as such requires constant maintenance and further innovation to adequately support the administrative needs of the courts, and the branch as a whole. The Phoenix Program has enjoyed great success and continues to receive positive feedback across the state as a valued partner of the courts and good steward of public resources.

E. Required Review/Approvals:

- Judicial Council Technology Committee
- Trial Court Budget Advisory Committee
- Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch
- Judicial Branch Budget Committee

F. Proposed Lead Advisory Committee: Budget Services proposes that the Judicial Council Technology Committee take on the lead advisory role as JCTC must review and approve all technology related requests. The Phoenix Program, although more broadly serves an administrative function, is also a technology provider, as it encompasses the deployment and maintenance of the Phoenix Financial, Procurement, and HR Payroll System.

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SECTION 2 – Budget Change Proposal Concept: *Once the Initial Funding Request has been given approval to continue, complete Section 2 to provide additional details about the request.*

Proposal Title: Phoenix System Required Updates

Fiscal Summary: (estimated costs updated since IFR review)

Fund Source	Proposed JCC Positions	Total Personal Services	Operating Expenses & Equipment	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
General Fund	3.0	391,000	21,500,000	7,761,000	6,796,000	7,334,000

Detailed Funding By Fiscal Year:

	Proposed Total 2018-19	Proposed Total 2019-20	Proposed Total 2020-21
Ongoing	3,312,000	666,000	1,580,000
One-Time	4,449,000	2,817,000	1,777,000
Total	7,761,000	3,483,000	3,357,000

Proposal Summary: *Provide succinct summary of request – six to eight sentences.*

The Judicial Council requests an augmentation of \$7.8 million General Fund in 2018-19, \$6.8 million in 2019-20, and \$7.3 million in 2020-21 and ongoing cost to maintain the JCC’s significant investment in the Phoenix enterprise resources management system, deploy the requisite upgrade of the Phoenix system’s software and infrastructure, and add critical day-to-day business functional improvements identified and necessitated by the trial courts. Included in this request is the funding to the Judicial Council for 3.0 new positions in the Phoenix Program Center of Excellence to support compulsory functional improvements to the system. The request also proposes a shift of funding from the Improvement and Modernization Fund for standard maintenance of the statewide system, which would more appropriately be covered by the General Fund.

The Phoenix system’s last major upgrade was completed in 2008-09, and at present is approaching the product’s end of support. There aren’t sufficient resources available to upgrade and modify the system to the required state. In order to maintain the current investment and, support the trial court’s needs as identified, it is necessary to update the underlying technology and deploy functionality to support court’s identified needs.

A specific benefit realized from this proposal is that the JCC will recognize an expected hosting costs savings of \$265,000 per year on going.

Background Information: *Provide background details about the program including resources currently dedicated/expended to support existing workload (i.e. dollars and positions); purpose of program, what clientele is being served? Who benefits (i.e. public, courts, other governmental entities).*

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The Phoenix Program manages the financial and procurement system and processes for the 58 trial courts, and the payroll system and processes for 12 trial courts. Eighty-nine (89) total program staff include operational, system, and administrative positions in Branch Accounting and Procurement and Judicial Council Information Technology services offices. Phoenix is an SAP system hosted at the California Courts and JC Technology centers. Included in the 89 total program staff are twenty-seven (27) Phoenix system support staff.

Justification: *Explain how this proposal will address or solve the problem. What are the adverse impacts if this proposal is not approved? Why does this have to be done now?*

The *Phoenix System Required Updates* Budget Change Proposal (BCP) is a request for funds to continue to maintain the administrative infrastructure for the Trial Courts provided by the Phoenix Program. If approved, the funding requested in this BCP will provide the means to:

- Maintain investment in Phoenix Financial and HR Payroll system and stay ahead of the end-of-life of the current on-premise version of SAP;
- Meet the functional requirements of the Trial Courts not completely fulfilled by efforts to date, and;
- Provide more stable funding for a judicial branch administrative infrastructure enterprise solution.

The current Phoenix user interface is based on 1997 technology which, is not considered efficient nor does it provide a satisfactory user experience by today's standards. The planned upgrade will implement design and development capabilities using more current universally standard, and supportable technology, and introduce an optimized database that will improve processing speed for transactional processes and reporting. This request also addresses functional needs that the Trial Courts have long requested, such as, robust budget planning tools, a document management repository, enhanced contract solicitation and monitoring, talent management, and analytics allowing for more efficient data handling and presentation. These tools will better inform court management, and increase staff's effectiveness.

As stated above, the last major Phoenix Project was approved for Fiscal year 2008-2009. This successful implementation included the following accomplishments:

- Upgrade of the Phoenix SAP system
- Complete the deployment of Finance modules to all courts, including Los Angeles Superior Court;
- Implementation of Employee- and Manager-Self Service for courts participating in Phoenix Payroll, and;
- Stabilization of the Phoenix HR Payroll functions and creation of a toolkit to continue deployments statewide.

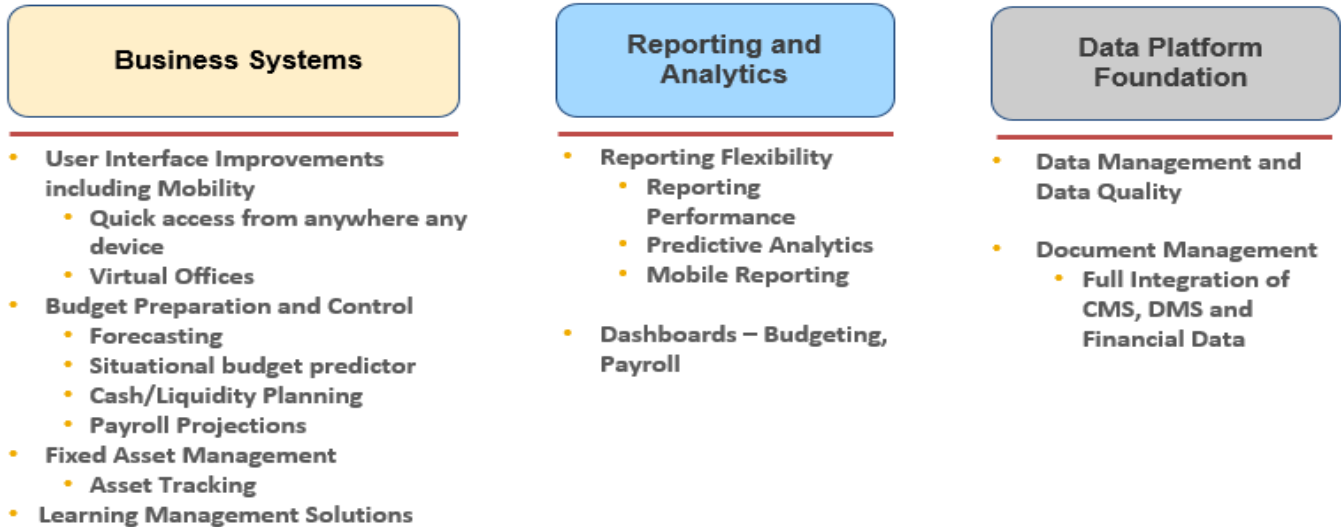
Due to budget constraints, the Phoenix Program has operated in "lights-on" maintenance mode since then, with only incremental improvements and additional payroll deployments to small courts as baseline resources would allow.

In Fiscal Year 2015-2016, the Program began a Phoenix Roadmap campaign to identify the Trial Courts' needs and build a plan to support them. Input to the roadmap was gathered from the original Phoenix Program Requirements Traceability Matrix, a survey of the Trial Courts, and a facilitated workshop with financial, procurement, and payroll representatives from the Trial Courts. The stakeholder survey was issued in the fall of 2016. The survey was viewed 106 times, and a total of 76 responses were submitted

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from 46 courts. In the winter of 2016, The Phoenix Program conducted a “Design to Value” workshop with 39 stakeholders from 19 Trial Courts and the Judicial Council.

Eight final use cases were identified as priority items in three major categories, as follows:



Certain pre-requisites must be addressed to keep the Phoenix Program current with the SAP and JCC’s Enterprise roadmaps. These include a migration to a modern Cloud-based environment, and additional software licenses to support use of the new platform.

Fiscal Impact: *Provide a brief recap of costs, methodology, assumptions and future-year costs for this proposal. Where applicable, briefly summarize information regarding proposed fund source and viability of using resources from the proposed fund (can fund support request, potential negative fund balance in future, etc). What actions, approvals or resource requirements from other governmental entities (or courts) are required to implement this proposal?*

Phoenix is a statewide program that benefits all Trial Courts, with the exception of two optional support programs that have specific participation and are funded by reimbursement from the Trial Court Trust Fund (Phoenix Payroll and Virtual Buyer services). As such, this request is for General Fund resources to implement new functionality, and to replace Improvement and Modernization Funds that are currently used for hosting and consulting services to support and maintain the system.

Budgetary quotes for hosting and software were provided by current vendors SAP and Epi-Use, based on the use cases presented above, and current and expected utilization of Phoenix System resources. To upgrade the system, migrate to a cloud environment, implement and support all recommended new functionality, one time license and migration costs are estimated to be \$9,044,000. Ongoing additional annual costs of the upgraded and improved system at the end of the three-year period, including an approximately \$3 million transfer of costs currently paid out of the IMF, are estimated \$5,557,000, which includes 3.0 new staff. This amount also reflects an expected \$265,000 annual savings from current hosting.

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Outcomes and Accountability: *How will improvements or changes be measured? How will the requested resources be accounted for and monitored?*

The Phoenix Program's project management includes certification by SAP and follows SAP's proprietary AcceleratedSAP methodology when implementing any new functionality to remain compliant with maintenance agreements, and to effectively optimize time, people, quality and other resources. The Phoenix Program practices a strict Change Control process monitored by a seasoned Project Management Office under the direction of the Director of Branch Accounting and Procurement. Trial courts will be involved in all phases of the implementation projects. The Phoenix Program will continue to partner with trial court stakeholders, including conducting user groups, follow-up surveys and workshops to ensure that requirements are met.

Projected Outcomes:

An estimated \$265,000 ongoing cost savings are expected from migration to the Cloud. Part of this migration is an upgrade to SAP's HANA business suite, which will improve performance of the system. Statistics provided by SAP on the HANA platform include the following:

- Reports that currently take hours to render will render within seconds
- Transactions will process approximately 50% more quickly
- Database size will be compressed by 1/5
- There will be the ability to model report in an ad hoc fashion saving time in the design phase and increasing speed to implementation.

With implementation of the recommended functional improvements, the trial courts will experience administrative efficiencies that they have long requested. Automation of the following process areas is expected to improve accountability and transparency, and free up resources to perform less tedious manual work and instead more valuable professional and analytical work:

Reporting/Analytics

- Improve decision making processes through flexible self-service reporting solutions; real-time business intelligence; simple information consumption, and personalized dynamic reporting

Budget Preparation

- Automated tools to build budgets based on prior year data or zero-based; replace manual processes and non-integrated workbooks; make better decisions based on what-if analysis and scenario planning; shrink cycle times, close the books faster and align budget plans with strategic goals

Document Management

- Organized/indexed repository of scanned or emailed supporting documents; promotes more efficient digital/paperless culture desired by the branch; significantly reduces cost for paper and reduces paper handling inefficiencies; provides workflow of current manual document sharing and approval processes and leverages branch-wide solution for (enterprise) content management

Talent Management

- Performance Management – Improve employee performance by providing capability to track and ensure timely evaluations; align employee performance with goals and objectives and allows the capability to engage in the innovative Continuous Performance Management model

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- Learning Management – Improve employee performance and meet training requirements with the ability to easily develop, deploy and manage a comprehensive learning program
- Recruiting Enhanced ability to source, engage and hire the best talent by providing comprehensive job posting, marketing and management across the hiring lifecycle. Address various talent acquisition needs including filling talent gaps for immediate hiring needs and building a talent pipeline for strategic growth
- Onboarding – Develop new hires quickly, turning them into productive employees and enabling them to begin contributing faster

Enhanced Procurement

- Improve contract compliance and realize savings by integrating with backend systems; integrated solution from Sourcing and Solicitation through Contract Management; includes Document Builder to incorporate custom and standard Terms and Conditions on-line; and simplify maintenance of configuration to comply with Judicial Branch Contract Law.

Other Alternatives Considered: *Include a minimum of three alternatives, provide cost estimates and briefly describe why the alternative is not the recommended option.*

Alternative 1. Required Upgrade/Cloud Migration and Some Recommended New Functionality

The Phoenix Program has captured what it believes to be the highest administrative priorities of the courts. If a portion of the funds requested are approved, the Program could work with the courts to further prioritize and remove a project or project(s). The estimate for upgrade and cloud migration alone is \$3,260,000 one time for new licenses and migration and \$1,468,000 ongoing, which is a \$265,000 annual savings from the current hosting agreement. Additional costs would depend on which of the required new functionality is implemented. Projects range in effort and complexity, and range from \$470,000 (\$889,174 on-going) to \$2.1 million (485,773 on-going). This is not recommended as the system users identified have a need for the Program to provide all of this additional functionality to support day to day operations.

Alternative 2. Required Upgrade/Cloud Migration Only

This alternative address the truly mandatory portion of the request. However, like Alternative 1, it does not address the functional improvements the courts require. The estimate for upgrade and cloud migration alone is \$3,260,000 1-time for new licenses and migration and \$1,468,000 ongoing, which is a \$265,000 annual savings from the current hosting agreement.

Alternative 3. Status Quo

Although it is technically possible to remain for the short term with the current functional footprint, on the current software version, at the current data center, it is highly inadvisable for the following reasons:

- Like Alternatives 1 and 2, the court users will not experience the new required functionality;
- The current hosting agreement expires in 2019, and needs to be replaced;
- Finally, support for the current version of SAP is set to expire in 2025. To meet this target, the JCC require planning for a more complex and higher risk upgrade by fiscal year 2021.

Note: When considering hosting alone, over five years the branch can expect savings of \$1.2 million by performing an upgrade in 2018-19 rather than waiting to perform a higher risk upgrade later.

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Summary Costs – Current vs Cloud (Recommended)	Recommended	Current
Total One-Time Costs	3,259,527	3,037,748
Total Ongoing Costs	7,337,920	8,795,619
	10,597,447	11,833,367