



JUDICIAL COUNCIL  
OF CALIFORNIA

TECHNOLOGY COMMITTEE

[www.courts.ca.gov/jctc.htm](http://www.courts.ca.gov/jctc.htm)  
[jctc@jud.ca.gov](mailto:jctc@jud.ca.gov)

**JUDICIAL COUNCIL TECHNOLOGY COMMITTEE**

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

THIS MEETING WILL BE CONDUCTED BY TELECONFERENCE

THIS MEETING WILL BE RECORDED

**Date:** December 13, 2021  
**Time:** 12:00 - 1:00 pm  
**Connection:** <https://jcc.granicus.com/player/event/1396?&redirect=true>

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**

**Approval of Minutes**

Approve minutes of the November 8, 2021 meeting.

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

**Written Comment**

In accordance with California Rules of Court, rule 10.75(k)(1), public comments about any agenda item must be submitted by December 10, 2021, 12:00 pm. Written comments should be e-mailed to [jctc@jud.ca.gov](mailto:jctc@jud.ca.gov). Only comments received by December 10, 2021, 12:00 pm will be provided to advisory body members prior to the start of the meeting.

**III. DISCUSSION AND POSSIBLE ACTION ITEMS (ITEMS 1 - 4)**

**Item 1**

**Chair Report**

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

Presenter: Hon. Kyle S. Brodie, Chair, Judicial Council Technology Committee

**Item 2**

**Review of Information Technology Advisory Committee's (ITAC) 2022 Annual Agenda (Action Requested)**

Review of the annual agenda for ITAC. The committee will then be asked to provide feedback and consider approval of the annual agenda.

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

**Item 3**

**Review of ITAC's Identity & Access Management Workstream: Final Report (Action Required)**

Review, discuss, and recommend the final report to the Judicial Council.

Presenters: Hon. Sheila F. Hanson, Chair, Information Technology Advisory Committee; and Mr. Snorri Ogata, Executive Sponsor and Chief Information Officer, Los Angeles Superior Court

**Item 4**

**Data Advisory Body (Information Only)**

Update on creation of new advisory body focused on data and information governance.

Presenter: Hon. Kyle Brodie, Chair, Technology Committee

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

**Adjourn**



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## JUDICIAL COUNCIL TECHNOLOGY COMMITTEE

### MINUTES OF OPEN MEETING

November 8, 2021

12:00 – 1:00 PM

Videoconference

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**Advisory Body Members Present:** Hon. Kyle S. Brodie, Chair; Hon. C. Todd Bottke, Vice-Chair; Hon. Kevin C. Brazile; Mr. David Fu; Mr. Shawn Landry; and Hon. Glenn Mondo

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**Advisory Body Members Absent:** Hon. Jonathan B. Conklin; Hon. Carol Corrigan; and Ms. Rachel W. Hill

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#### Liaison Members

**Present:** Hon. Sheila Hanson

**Others Present:** Ms. Heather L. Pettit; Mr. Mark Dusman; Mr. Andrae Randolph; Ms. Jessica Craven; Ms. Jamel Jones; Mr. Hermawan Trinh; Ms. Camilla Kieliger; Ms. Emily Chirk; Ms. Suzanne Schleder; and Ms. Andrea Jaramillo

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#### OPEN MEETING

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##### Call to Order and Roll Call

The chair called the meeting to order and took roll call.

##### Approval of Minutes

The advisory body reviewed and approved the minutes of the October 12, 2021, Judicial Council Technology Committee meeting.

There were no public comments for this meeting.

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#### DISCUSSION AND ACTION ITEMS (ITEMS 1-6)

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##### Item 1

##### Chair Report

**Update:** Hon. Kyle S. Brodie, Chair, welcomed and thanked everyone for attending. He noted the recently approved Information Security Office has had their kickoff and work is underway.

## Item 2

### **Information Technology Advisory Committee (ITAC) (Update and Report)**

**Update:** Hon. Sheila F. Hanson, Chair of the Information Technology Advisory Committee (ITAC), provided a report and update on ITAC's activities that included a proposal to start a new workstream, Advancing the Hybrid Courtroom for JCTC approval (item 5). ITAC also reviewed the results of the branchwide court technology inventory (item 4). ITAC meets again on November 30.

## Item 3

### **Court Technology Modernization Funding: Fiscal Year 2021-2022 (Information)**

**Update:** Ms. Heather L. Pettit, Chief Information Officer / Director, Information Technology, provided an update on the Court Technology Modernization Funding for the current fiscal year including that the Intra-Branch Agreements (IBAs) have been processed, and funds are expected to be distributed to courts in December. A branchwide webinar was held to outline details and answer court questions.

## Item 4

### **Court Technology Inventory (Update)**

**Update:** Ms. Heather L. Pettit, Chief Information Officer / Director, Information Technology, reviewed the court technology inventory based on the information provided by the 48 courts that responded. Staff has followed up to get information from the remaining ten courts. This information will assist courts and the branch in prioritizing work.

## Item 5

### **Potential New ITAC Workstream: Advancing the Hybrid Courtroom (Action Required)**

**Update:** Judge Hanson, Chair of the Information technology Advisory Committee, and Ms. Heather L. Pettit, Chief Information Officer / Director, Information Technology, requested a new workstream, Advancing the Hybrid Courtroom, be added to ITAC's current (2020) Annual Agenda. She noted that data collected will also be used for the report to the Legislature regarding SB 241.

**Action:** The committee approved the motion to add the new Advancing the Hybrid Courtroom Workstream to the ITAC 2020 Annual Agenda.

**Item 6**

**Ability to Pay Program Update (ATP) (Information)**

**Information:** Ms. Heather L. Pettit, Chief Information Officer / Director, Information Technology, and Ms. Suzanne Schleder, IT Supervisor, provided updates on the Ability to Pay (ATP) program. The remaining courts will be onboarded by January 2024. Ms. Schleder elaborated on the next steps including legislative reporting, implementation strategy, statewide rollout of an ATP portal, and product demos/webinars.

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

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There being no further business, the meeting was adjourned at 1:10 PM.

**Information Technology Advisory Committee (ITAC)**

**Annual Agenda<sup>1</sup>—2022**

**Approved by Judicial Council Technology Committee: \_\_\_\_\_**

**I. COMMITTEE INFORMATION**

<b>Chair:</b>	Hon. Sheila F. Hanson, Superior Court of California, County of Orange
<b>Lead Staff:</b>	Camilla Kieliger, Sr. Business Systems Analyst, Judicial Council Information Technology
<b>Committee’s Charge/Membership:</b>  <a href="#"><u>Rule 10.53. Information Technology Advisory Committee</u></a> of the California Rules of Court states the charge of the Information Technology Advisory Committee. The committee makes recommendations to the council for improving the administration of justice through the use of technology and for fostering cooperative endeavors to resolve common technological issues with other stakeholders in the justice system. The committee promotes, coordinates, and acts as executive sponsor for projects and initiatives that apply technology to the work of the courts.  <a href="#"><u>Rule 10.53. Information Technology Advisory Committee</u></a> sets forth additional duties of the committee.  ITAC currently has 25 members. The <a href="#"><u>ITAC website</u></a> provides the composition of the committee.  <b>Subcommittees<sup>2</sup>:</b> <ul style="list-style-type: none"><li>• Rules &amp; Policy Subcommittee<ul style="list-style-type: none"><li>○ Trial court rules and statutes revisions</li></ul></li><li>• Joint Appellate Technology Subcommittee (JATS) [suspended status for 2022]</li></ul>	

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<sup>1</sup> The annual agenda outlines the work a committee will focus on in the coming year and identifies areas of collaboration with other advisory bodies and the Judicial Council staff resources

<sup>2</sup> California Rules of Court, rule 10.30 (c) allows an advisory body to form subgroups, composed entirely of current members of the advisory body, to carry out the body's duties, subject to available resources, with the approval of its oversight committee

All proposed projects for the year are included on the Annual Agenda, as follows:

### **Workstreams**

- **Tactical Plan for Technology Update:** Update the *Tactical Plan for Technology* for 2023-2024.
- **Identity and Access Management Strategy (continued):** Develop a branch identity management strategy.
- **Electronic Evidence: Rules, Technology and Pilot Evaluation (continued):** Investigate and draft technology best practices, standards, and policies, and propose changes to evidence-based rules and statutes.
- **Statewide E-Filing Program Review/Evaluation (continued):** Review and evaluate the existing statewide e-filing program. Expand the number of e-filing manager (EFM) solutions in the program and standardize electronic filing fees across the state.
- **Advancing the Hybrid Courtroom (continued):** Assess the current implementation of hybrid courtrooms; recommend metrics and data collection to facilitate court compliance with AB 177 and SB 241; develop standards for hybrid courtrooms; assist in developing a Request for Proposal (RFP).

### **Rules & Policy Subcommittee**

- **Amend Electronic Filing Rules:** Amend rule 2.253(b)(7) of the California Rules of Court to remove the requirement that courts with mandatory electronic filing make semi-annual reports to the Judicial Council.
- **Amend Rules on Remote Access to Electronic Records:** Amend the California Rules of Court on remote access to electronic records to authorize remote access by appellate courts and appellate projects contracted to run appointed appellate counsel programs.
- **Review and Provide Input on Legislation:** Review pending legislation related to court technology and provide input on the impact the legislation may have on the courts.

### **Other:**

- **Placeholder for Projects Assigned by the Ad-Hoc Workgroup on Post-Pandemic Initiatives (P3):** The Ad Hoc Workgroup on Post-Pandemic Initiatives (P3) is currently working to identify successful court practices that emerged during the COVID-19 pandemic. P3 recommendations may be referred to specific advisory bodies for development and/or implementation.

### III. COMMITTEE PROJECTS

New Workstream (Ending 2022)	
<b>1. Tactical Plan for Technology Update</b>	<i>Priority 1</i>
Workstream membership approval date:	<i>Scope category(ies): Policy</i>
<p><b>Project Summary:</b> Update <i>Tactical Plan for Technology</i> for effective date 2023-2024.</p> <p><b>Key Objectives:</b></p> <ol style="list-style-type: none"> <li>a) Initiate workstream, including formation of membership and conduct orientation/kickoff meeting.</li> <li>b) Review, gather input, and prepare an update of the Tactical Plan for Technology.</li> <li>c) Circulate the draft plan for branch and public comment; revise as needed.</li> <li>d) Finalize, and seek approval from ITAC, the Technology Committee, and the Judicial Council. Formally sunset the workstream.</li> </ol> <p><b>Objectives met or resolved:</b></p> <p><b>Origin of Project:</b> Specific charge of ITAC per Rule 10.53 (b)(8).</p> <p><b>Status/Timeline:</b> December 2022</p> <p><b>Fiscal Impact:</b></p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsor: Hon. Sheila Hanson</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Broad input from the branch and the public</li> </ul>	



<b>Existing Workstream (Ending 2021)</b>	
<b>2. Identity and Access Management Strategy</b>	<b>Priority 1</b>
Workstream membership approved September 25, 2018	<b>Scope category(ies): Possibilities, Prototypes, Pilot, Policy/Procurement</b>
<p><b>Project Summary:</b> Develop a branch identity management strategy.</p> <p><b>Key Objectives:</b></p> <p>(a) Present findings and recommendations to, and seek approval from, ITAC, the Technology Committee and, if appropriate, the Judicial Council. Formally sunset the workstream.</p> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Phase 1: Develop and issue an RFP for a statewide identity management service/provider; identify and select (completed 2018).</i></li> <li>• <i>Recommend changes to Rules of Court as needed and work with the Rules &amp; Policy Subcommittee to draft them.</i></li> <li>• <i>Develop the roadmap for a branch identity management strategy and approach.</i></li> <li>• <i>Determine policies and processes for identity management (including proofing and access management).</i></li> <li>• <i>Ensure linkage and alignment with other branchwide initiatives such as E-Filing, SRL Portal, Next Generation Hosting, CMS Migration and Deployment.</i></li> <li>• <i>Coordinate and plan with JCIT regarding operational support.</i></li> </ul> <p><b>Origin of Project:</b> Previously, this was a sub-task of the e-filing initiative. The item was promoted to its own annual agenda initiative given its many touchpoints with other workstreams (including Self-Represented Litigants E-Services, Next-Generation Hosting, E-filing Strategy, etc.). <i>Tactical Plan for Technology 2017-18, 2019-20, and 2021-22.</i></p> <p><b>Status/Timeline:</b> December 2021</p> <p><b>Fiscal Impact:</b></p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC: Workstream, Sponsor: Snorri Ogata</i></li> <li>• <i>Judicial Council Staffing: Information Technology, Legal Services, Branch Accounting and Procurement</i></li> <li>• <i>Collaborations: CEAC, TCPJAC, and their Joint Technology Subcommittee</i></li> </ul>	

**Existing Workstream (Ending 2022)**

**3. Electronic Evidence: Rules, Technology and Pilot Evaluation**

*Priority 1*

Workstream membership approved September 25, 2019

*Scope category(ies):  
Policy; Pilot*

**Project Summary:** Consider existing pilots and court practices along with available technology pertaining to the use of electronic evidence; propose changes to rules and statutes related to electronic evidence; develop a framework for successful possible future pilots.

**Key Objectives:**

Based on findings from Phase 1 and evaluation of existing local pilots and other court practices:

- (a) Investigate and report on existing local pilots and court practices, including policies and standards, for transmitting, accepting, storing, and protecting electronic evidence.
- (b) Research and recommend available technology and services that would support transmission, acceptance, storage, and protection of electronic evidence.
- (c) Develop a framework for successful possible future pilots, including use case scenarios, costs and benefits, and success criteria
- (d) At the completion of these objectives, present findings and recommendations to, and seek approval from, ITAC, the Technology Committee and, if appropriate, the Judicial Council. Formally sunset the workstream.

**Objectives met or resolved:**

- *Develop and propose changes to Rules of Court and statutes related to electronic evidence in collaboration with the Rules and Policy Subcommittee.*

**Origin of Project:** *Tactical Plan for Technology 2017-18, 2019-20, and 2021-22.*

**Status/Timeline:** April 2022

**Fiscal Impact:**

This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.

**Resources:**

- *ITAC:* Workstream, Sponsor: Hon. Kimberly Menninger
- *Judicial Council Staffing:* Information Technology, Legal Services
- *Collaborations:* CEAC, TCPJAC, ITAC Rules and Policy Subcommittee, and other advisory bodies as needed

<b>Continued Workstream (Ending 2022)</b>	
<b>4. Statewide e-Filing Program Review/Evaluation</b>	<b>Priority 2</b>
Workstream membership approved: 6/17/2021	<b>Scope category(ies): Possibilities; Policies</b>
<p><b>Project Summary:</b> Review and evaluate the existing statewide e-filing program. Expand the number of e-filing manager (EFM) solutions in the program and standardize electronic filing fees across the state.</p> <p><b>Key Objectives:</b></p> <ul style="list-style-type: none"> <li>• Explore the strengths and weaknesses of current e-filing programs and practices across the state.</li> <li>• Explore benefits of statewide EFM solutions inclusive of development opportunities and potential funding sources.</li> <li>• Evaluate standardizing e-filing transaction fees across the state.</li> <li>• Review e-filing rules and statutes to clarify language and improve consistency across the branch.</li> <li>• At the completion of these objectives, present findings and recommendations to, and seek approval from, ITAC, the Technology Committee and, if appropriate, the Judicial Council. Formally sunset the workstream.</li> </ul> <p><b>Objectives met or resolved:</b></p> <ul style="list-style-type: none"> <li>• <i>Identify core team (sponsor and leads); form group membership; hold kickoff meeting(s).</i></li> </ul> <p><b>Origin of Project:</b> Tactical Plan for Technology 2021-2022; branch-identified business need.</p> <p><b>Status/Timeline:</b> March 2022</p> <p><b>Fiscal Impact:</b></p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream: Sponsor: Snorri Ogata</li> <li>• <i>Judicial Council Staffing:</i> Information Technology, Legal Services</li> <li>• <i>Collaborations:</i> ITAC Rules and Policy Subcommittee</li> </ul>	

<b>Continued Workstream (Ending 2022)</b>	
<b>5. Advancing the Hybrid Courtroom</b>	<b><i>Priority 1</i></b>
Workstream membership approval date:	<b><i>Scope category: Policy</i></b>
<p><b><i>Project Summary:</i></b> Assess the current implementation of hybrid courtrooms; recommend metrics and data collection to facilitate court compliance with AB 177 and SB 241; develop standards for hybrid courtrooms; assist in developing a Request for Proposal (RFP).</p> <p><b><i>Key Objectives:</i></b></p> <ol style="list-style-type: none"> <li>a) Initiate workstream, including formation of membership and conduct orientation/kickoff meeting.</li> <li>b) Explore hybrid court proceedings involving a combination of in-person and remote participants and their use of technology.</li> <li>c) Assess the differing technology needs associated with supporting in-person, remote, and hybrid services and proceedings.</li> <li>d) Define consistent standards for branchwide solutions, platforms, and programs in support of hybrid courtrooms.</li> <li>e) Review and evaluate the 2020 <i>California Trial Court Facilities Standards</i> to align with hybrid court proceedings.</li> <li>f) Develop and define quantitative and qualitative metrics associated with hybrid court proceedings and remote court services to measure efficacy and areas for improvement, and make recommendations on the collection of associated data by which courts would comply with AB 177 and SB 241.</li> <li>g) Review the California Rules of Court to identify and recommend any potential rule changes needed.</li> <li>h) Assist with development of an RFP to establish branch Master Service Agreements (MSAs) and other procurement vehicles, where needed.</li> <li>i) Finalize recommendations and seek approval from ITAC, the Technology Committee, and the Judicial Council, if appropriate. Formally sunset the workstream.</li> </ol> <p><b><i>Objectives met or resolved:</i></b></p> <p><b><i>Origin of Project:</i></b> Access 3D; California Courts Connected framework; AB 177; AB 716; SB 241.</p> <p><b><i>Status/Timeline:</i></b> June 2022</p> <p><b><i>Fiscal Impact:</i></b></p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Workstream, Sponsors: Hon. Samantha P. Jessner and Adam Creiglow</li> <li>• <i>Judicial Council Staffing:</i> Information Technology</li> <li>• <i>Collaborations:</i> Ad Hoc Committee on Civil Remote Appearance Rules, Court Facilities Advisory Committee, Data Governance Group (newly formed)</li> </ul>	

<b>New or One-Time Project</b>	
<b>6.1 Trial Court Rules: Amend Electronic Filing Rules</b>	<i>Priority 2(b)</i> <sup>3</sup>
	<i>Scope category:</i> <b>Policy</b>
<p><b>Project Summary:</b> Amend rule 2.253(b)(7) of the California Rules of Court to remove the requirement that courts with mandatory electronic filing make semi-annual reports to the Judicial Council.</p> <p><b>Origin of Project:</b> Judicial Council staff.</p> <p><b>Status/Timeline:</b> Project will follow the regular rule cycle in 2022 for a January 1, 2023 effective date for the amendment.</p> <p><b>Fiscal Impact/Resources:</b> Committee staff.</p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b>Resources:</b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Rules &amp; Policy Subcommittee, Chair: Hon. Julie R. Culver</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Joint Rules Subcommittee of the Trial Court Presiding Judges Advisory Committee and Court Executives Advisory Committee</li> </ul>	

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<sup>3</sup> For rules and forms proposals, the following priority levels apply: 1(a) The proposal is urgently needed to conform to the law; 1(b) The proposal is urgently needed to respond to a recent law change; 1(c) A statute or council decision requires adoption or amendment of rules or forms by a specified date; 1(d) The proposal will provide significant cost savings and efficiencies, generate significant revenue, or avoid a significant loss of revenue; 1(e) The change is urgently needed to remedy a problem that is causing significant cost or inconvenience to the courts or the public; or 1(f) The proposal is otherwise urgent and necessary, such as a proposal that would mitigate exposure to immediate or severe financial or legal risk; 2(a) Useful, but not necessary, to implement changes in law; 2(b) Responsive to identified concerns or problems; or 2(c) Helpful in otherwise advancing Judicial Council goals and objectives.

New or One-Time Project	
<b>6.2 Trial Court Rules: Amend Rules on Remote Access to Electronic Records</b>	<i>Priority 1(e)</i> <sup>4</sup>
	<i>Scope category:</i> <b>Policy</b>
<p><b><i>Project Summary:</i></b> Amend the California Rules of Court on remote access to electronic records to authorize remote access by appellate courts and appellate projects contracted to run appointed appellate counsel programs.</p> <p><b><i>Origin of Project:</i></b> Member of the Appellate Advisory Committee.</p> <p><b><i>Status/Timeline:</i></b> Project will follow the regular rule cycle in 2022 for a January 1, 2023 effective date for the amendment.</p> <p><b><i>Fiscal Impact:</i></b> Committee staff.</p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Rules &amp; Policy Subcommittee, Chair: Hon. Julie R. Culver</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology</li> <li>• <i>Collaborations:</i> Appellate Advisory Committee, Joint Rules Subcommittee of the Trial Court Presiding Judges Advisory Committee and Court Executives Advisory Committee</li> </ul>	

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<sup>4</sup> For rules and forms proposals, the following priority levels apply: 1(a) The proposal is urgently needed to conform to the law; 1(b) The proposal is urgently needed to respond to a recent law change; 1(c) A statute or council decision requires adoption or amendment of rules or forms by a specified date; 1(d) The proposal will provide significant cost savings and efficiencies, generate significant revenue, or avoid a significant loss of revenue; 1(e) The change is urgently needed to remedy a problem that is causing significant cost or inconvenience to the courts or the public; or 1(f) The proposal is otherwise urgent and necessary, such as a proposal that would mitigate exposure to immediate or severe financial or legal risk; 2(a) Useful, but not necessary, to implement changes in law; 2(b) Responsive to identified concerns or problems; or 2(c) Helpful in otherwise advancing Judicial Council goals and objectives.

Ongoing Project	
<b>6.3 Review and Provide Input on Pending Legislation</b>	<i>Priority 1</i>
	<i>Scope category:</i> <b>Policy</b>
<p><b><i>Project Summary:</i></b> Review pending legislation related to court technology and provide input on the impact the legislation may have on the courts.</p> <p><b><i>Origin of Project:</i></b> Judicial Council Office of Governmental Affairs.</p> <p><b><i>Status/Timeline:</i></b> Ongoing.</p> <p><b><i>Fiscal Impact:</i></b> Committee staff.</p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• <i>ITAC:</i> Rules &amp; Policy Subcommittee, Chair: Hon. Julie R. Culver</li> <li>• <i>Judicial Council Staffing:</i> Legal Services, Information Technology, Governmental Affairs</li> </ul>	

<b>Potential One-Time Project</b>	
<b>6. Placeholder for Projects Assigned by the Ad-Hoc Workgroup on Post-Pandemic Initiatives (P3)</b>	<i>Priority 1</i>
	<i>Scope category(ies):</i> <b>TBD</b>
<p><b><i>Project Summary:</i></b> The Ad Hoc Workgroup on Post-Pandemic Initiatives (P3) is currently working to identify successful court practices that emerged during the COVID-19 pandemic. P3 recommendations may be referred to specific advisory bodies for development and/or implementation.</p> <p><b><i>Key Objectives:</i></b></p> <p>(a) TBD</p> <p><b><i>Origin of Project:</i></b> Ad Hoc Workgroup on Post-Pandemic Initiatives</p> <p><b><i>Status/Timeline:</i></b> TBD</p> <p><b><i>Fiscal Impact:</i></b></p> <p><input type="checkbox"/> This project may result in an allocation or distribution of funds to the courts. We will coordinate with Budget Services to ensure their review of relevant materials.</p> <p><b><i>Resources:</i></b></p> <ul style="list-style-type: none"> <li>• TBD</li> </ul>	



#### IV. LIST OF 2021 PROJECT ACCOMPLISHMENTS

#	Project Highlights and Achievements
1.2	<p><b>Futures Commission Directive: Voice-to-Text Language Services Outside the Courtroom (Completed)</b>—The Voice-to-Text Language Services Outside the Courtroom Workstream was asked to explore available technologies to assist limited-English-proficient customers at service counters and in self-help centers. The workstream’s efforts were informed by recommendations of the Commission on the Future of California’s Court System that the judicial branch pilot technology solutions to allow two individuals who speak different languages to converse without the assistance of an interpreter. The workstream presented its final report to ITAC on October 2, 2020, to the Technology Committee on October 9, 2020, and the Judicial Council on January 22, 2021. A branchwide pilot program now has 14 courts enrolled. <a href="#">Judicial Council Report</a>; <a href="#">Presentation Slides</a>; <a href="#">Demonstration</a>; <a href="#">Video</a>.</p>
2	<p><b>Tactical Plan for Technology 2021-2022 (Completed)</b>—The workstream presented the final Tactical Plan to ITAC on January 27, the Technology Committee on February 8, and the Judicial Council on March 12, 2021. The updated Plan focuses on enhancing electronic access to courts and court services and promoting more efficient business practices. The plan identifies specific initiatives the judicial branch is pursuing, in areas such as case management systems, electronic records, remote video appearances, language access services, online dispute resolution, security, and data analytics. <a href="#">Judicial Council report</a>, <a href="#">presentation</a> and <a href="#">video</a>.</p>
5	<p><b>Data Analytics: Assessment and Report (Completed)</b>—The workstream was charged with recommending a data analytics strategy for the branch that included developing branchwide data and information governance policy recommendations. The policy concepts detailed in the final report lay the foundation for future policy development and will help execute a new vision for data analytics in the judicial branch: to analyze, use, and share data to inform decision-making in order to enhance and expand vital and accessible court services for all the people of California. The workstream presented its final report and recommendations to ITAC on March 24, the Technology Committee on April 12, and the Judicial Council on May 21, 2021. <a href="#">Report</a>; <a href="#">Presentation</a>; <a href="#">Video</a>.</p>
6	<p><b>Disaster Recovery to Cloud (Completed)</b>—ITAC formed the Disaster Recovery Phase II workstream to leverage the Court Innovation Grant awarded to the Superior Court of Monterey County to pilot the <a href="#">Disaster Recovery Framework Guide and Toolkit</a> and modernize the approach to implementing disaster recovery using cloud-based technologies. The Phase II Workstream completed its objectives with the approval of the <a href="#">Disaster Recovery to Cloud (DR2C) Roadmap</a> by ITAC on March 24 and the Technology Committee on April 12, 2021. The DR2C Roadmap validates, builds, and expands on some of the concepts and technologies documented in the Phase I Disaster Recovery Framework. It is intended to serve as a reference for courts interested in establishing a new disaster recovery program or in refreshing their existing program using emerging technologies, including cloud-based solutions.</p>
7	<p><b>Online Dispute Resolution (ODR) Research (Completed)</b>—The workstream’s <a href="#">final report</a> was accepted by ITAC on April 28, and by the Technology Committee on June 24, 2021. The Online Dispute Resolution Workstream was tasked with developing a roadmap for courts interested in pursuing online dispute resolution (ODR). Specifically, the workstream’s focus was on researching the ODR landscape nationwide and existing court-offered ODR programs. Based on those findings, the workstream suggested practice areas and potential applications for ODR in the judicial branch, as well as guiding principles and key considerations when making plans for</p>

	ODR.
8	<b>Branchwide Information Security Roadmap (Completed)</b> —The workstream was tasked with defining methods, activities and initiatives for expanding and strengthening branch information security capabilities, and for creating an overarching strategy for educating courts on information security end user education, risk management, and incident response. The workstream’s recommendation to establish a Judicial Council Office of Security to support and implement a variety of security programs was approved by ITAC on June 23, the Technology Committee on August 9, and the Judicial Council on October 1, 2021.
11.1	<b>Rules &amp; Policy Subcommittee (Ongoing)</b> —The subcommittee circulated three proposals for public comment. One rule proposal (amend permissive electronic filing and electronic service rules to reference Penal Code section 690.5) was approved by the Judicial Council on October 1, 2021. One rule proposal (governing “lodged electronic exhibits”) and one legislative proposal (authorize use of vendors to store exhibits and evidence in electronic format) have been deferred pending a recommendation of the Rules and Policy Subcommittee on whether to revise and re-circulate them in 2022.
11.2	<b>Joint Ad Hoc Subcommittee on Remote Video Appearances</b> —ITAC, in collaboration with Civil and Small Claims, Family and Juvenile Law, and Probate and Mental Health Advisory Committees, developed a legislative proposal to enact Code of Civil Procedure, § 367.7, to provide statutory authority for courts to permit remote video appearances in any civil actions or proceedings including trials and evidentiary hearings. SB 241 (which was signed into law) contains language broader in scope than the proposal the joint ad hoc subcommittee developed last year. The bill requires that the council develop rules, a task that was completed by the Ad Hoc Committee on Civil Remote Appearance Rules. The joint subcommittee is therefore sunset as planned.

Information Technology Advisory Committee Workstream  
**Identity & Access Management**

*Final Report & Recommendations*

December 13, 2021



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OF CALIFORNIA

# What is Identity Management?

Identity management may be described as the process of managing the **identification**, **authentication**, and **authorization** associated with **individuals** or **entities** (devices, processes, etc.).

Source: NIST <http://dx.doi.org/10.6028/NIST.IR.8014>



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# Why Identity Management?

- **Improve system security** by protecting individuals and courts from unauthorized or malicious access to information and services
- **Enhance customer experience** by enabling users to have a single 'CalCourtID' and password for multiple systems and services (i.e., 'single sign on')
- **Bundle access to different systems** into a single application,  
For example: A person using ODR may need information from their case file in the CMS.
- **Key to a digital court ecosystem** that encompasses courts, justice partners, and vendors; and enables transactions for which knowing the person using services is important (e.g., e-filing; online payments and reservations)



# Contributors

**ITAC Executive Sponsor:** Snorri Ogata, Los Angeles

**Court Lead:** Michael Baliel, Santa Clara

**Project Manager:** Kathleen Fink, JCIT

**Policy Track Lead:**  
Rebecca Fleming, Santa Clara

**Technical Track Lead:**  
Michael Pugh, Yuba

Hon. Nicole M. Heeseman, Los Angeles

Dennis Ma, Orange

Hon. Patricia L. Kelly, Santa Barbara

Daniel Melendrez, San Bernardino

Hon. Kimberly Menninger, Orange

Tricia Penrose, Los Angeles

Hon. Kim Nguyen, Los Angeles

Jake Pison, San Diego

Hon. Amy C. Yerkey, Los Angeles

Brian Rogatsky, San Diego

Jake Chatters, Placer

Mike Sorensen, San Diego

Kevin Lane, 4DCA

John Yee, Enterprise Architect, Judicial Council

Chris Choi, Santa Clara

Eric Egner, Computer Support Specialist, Judicial Council

Steve Gaul, Santa Clara

Anandkumar Kumar, IS Supervisor II, Judicial Council

# Our Charge

- Develop the roadmap for a branch identity management strategy and approach.
- Determine policies and processes for identity management.
- Ensure linkage and alignment with other branchwide initiatives.
- Coordinate and plan with JCIT regarding operational support.
- Recommend changes to Rules of Court as needed.



# Our Process

Members participated in either a Policy or Technical track.

## Policy Recommendations developed and presented to:

- Technology Committee
- Information Technology Advisory Committee
- Court Information Technology Management Forum
- Trial Court Presiding Judges Advisory Committee
- Court Executives Advisory Committee

## Critical technology functions identified, and solution alternatives explored

- **User registration and administration**—enabling an administrator to manage users and users to manage their own profiles;
- **Advanced security**—multi-factor authentication; and
- **Identity proofing**—ensuring users are who they say they are *and* authorized to access the information and services requested.



# Recommendations

1. Establish ongoing governance and a process for policy and technology decisions.
2. Develop and deploy a branchwide identity management platform and program supported by JCIT.
  - a. Create a branchwide ID (CalCourtID) with minimum identity attributes and the ability for users to control sharing.
  - b. Establish a process for identity proofing:
    - The judicial branch is the authentication authority for public users (business-to-consumer, B2C)
    - Authentication for courts and justice partners with MOUs (business-to-business, B2B) is federated.

# Recommendations (cont'd)

- c. Enable migration of existing identity management implementations used by courts and other service providers.
  - d. Implement multifactor authentication (MFA).
  - e. Provide litigants and attorneys the ability to temporarily delegate their access levels to another registered user. Delegated access should be reaffirmed every 6 months, and the delegator should have access to delegee activities.
  - f. Include provisions in branchwide RFPs that mandate use of branchwide identity management.
3. Establish funding for branchwide identity management buildout and support.

# Identity in Action:

## Applications with Identity Management (IDM) Integration

### Branch Programs in Production

- Ability to Pay (ATP)
- Online Trial by Declarations (OTBD)
- Court Translator
- Intelligent Chat

### Branch Programs in Planning

- Phoenix/SAP
- Appellate Court Case Website
- Appellate Court Case Management System (ACCMS)
- California Courts Protective Order Registry (CCPOR)
- Computer-Aided Facilities Management (CAFM)

### Court Programs in Production

- Placer Superior Court Remote Hearings
- Los Angeles Superior Court
  - Justice Partner Portal
  - Attorney Portal
  - Litigant Portal
  - Media Access Portal
  - On-line Dispute Resolution
  - LACourtConnect (Remote Hearings)
  - RAAP (Remote Listening)



# Courts Using Branchwide IDM



## Business to Consumer (B2C)

- Del Norte
- Kern
- Napa
- Mono
- Placer
- San Francisco
- San Luis Obispo
- San Mateo
- Santa Clara
- Santa Cruz
- Shasta
- Sonoma
- Sutter
- Tulare
- Monterey
- Ventura
- And,*
- Judicial Council

## Federated Courts (B2B)

Courts that have established a trust relationship with the Judicial Council Branchwide IDM that enables sharing of identity information

### Active Courts

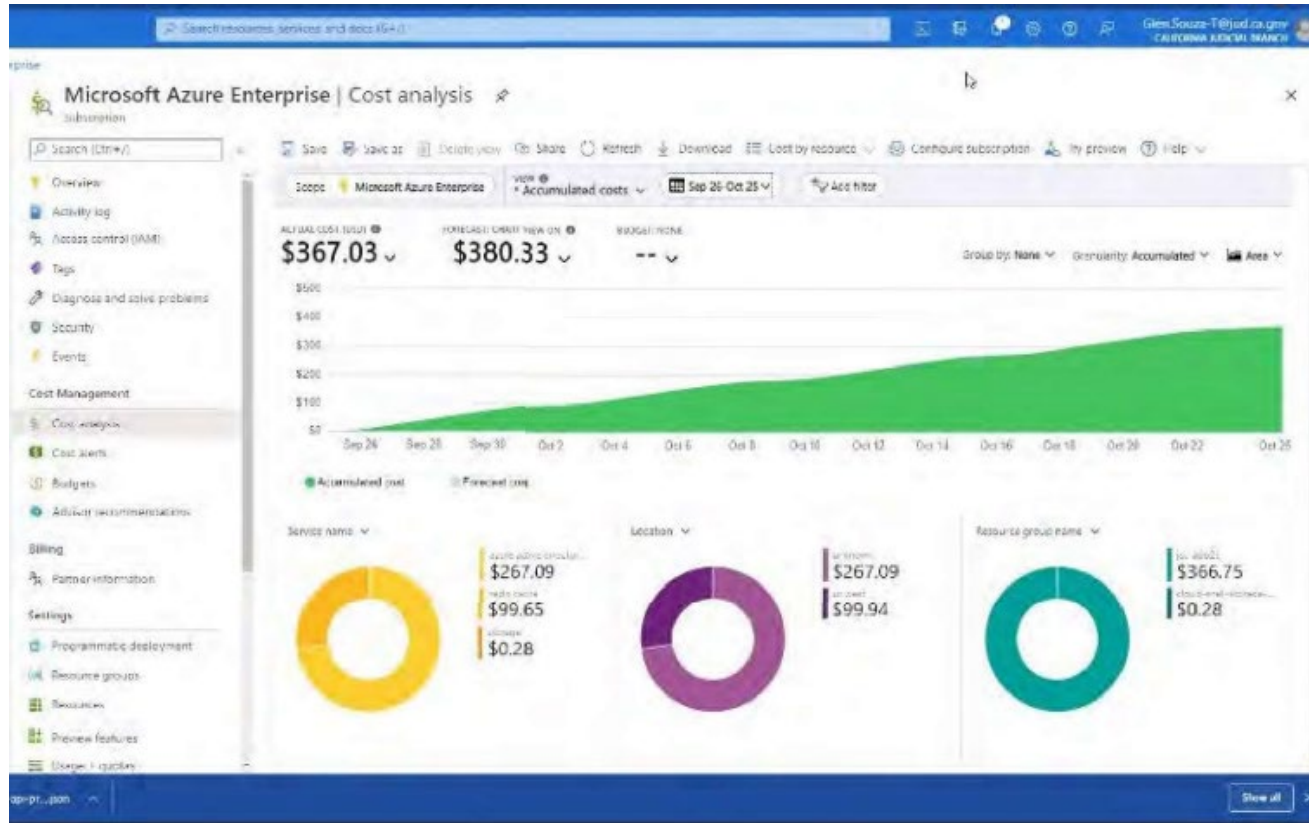
Alameda, Los Angeles, Placer, Tulare

### Configured (but not active)

Orange, Riverside



# Costs for B2C Usage



- **Current Cost**

- ~\$400/month
- Well under original estimate

- **Future Costs**

- ~\$800/month
- Upgrading to “P2 Premium Services” to improve security management and policy enforcement



# Upcoming Activities

## **IDM Service Request Site**

- To manage/govern requests from Courts and applications/services wishing to incorporate IDM services

## **Agency Manager**

- Provide ability for justice partners that lack the ability to federate their identities with an option

## **Enabling MFA for B2C**



# Discussion & Request of the Technology Committee

- Accept the report from the Identity & Access Management Workstream, and
- Forward the report to the Judicial Council recommending approval



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# REPORT TO THE JUDICIAL COUNCIL

Item No.: 22-018

For business meeting on January 20-21, 2022:

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<b>Title</b>	<b>Agenda Item Type</b>
Judicial Branch Technology: Identity and Access Management	Action Required
<b>Rules, Forms, Standards, or Statutes Affected</b>	<b>Effective Date</b>
None	January 21, 2021
<b>Recommended by</b>	<b>Date of Report</b>
Technology Committee Hon. Kyle S. Brodie, Chair	December 16, 2021
Information Technology Advisory Committee Hon. Sheila F. Hanson, Chair	<b>Contact</b> Heather Pettit, Chief Information Officer 916-263-2708 <a href="mailto:Heather.Pettit@jud.ca.gov">Heather.Pettit@jud.ca.gov</a>

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### Executive Summary

The Judicial Council Technology Committee and Information Technology Advisory Committee (ITAC) recommends that the Judicial Council accept the Identity and Access Management Workstream final report. The judicial branch has been rapidly implementing digitally driven processes and enabling information sharing to meet increasing expectations and a growing reliance on digital access to court information. Acknowledging these important changes, ITAC initiated the Identity and Access Management Workstream led by executive sponsor Snorri Ogata, Chief Information Officer from Los Angeles superior court, to explore and make recommendations related to providing and safeguarding access to court information. The workstream presents three recommendations in support of the goals and objectives defined in the Tactical Plan for Technology, all of which support the overarching goal to increase access to justice. The recommendations outline a common framework for courts that participate to provide a uniform way for the public, attorneys, court partners, and others to access online court



information and services across California. Implementation of the framework is dependent upon additional one-time and ongoing funding.

## **Recommendation**

The Technology Committee and Information Technology Advisory Committee recommends that, effective immediately, the Judicial Council accept the attached workstream report, *Branchwide Identity and Access Management Workstream: Findings and Recommendations (2021)* and approve the workstream recommendations. The Identity and Access Management Workstream report is included as Attachment A.

In summary, the workstream's recommendations are:

1. Establish ongoing governance and a process for policy and technology decisions regarding identity and access management.
2. Develop and deploy a branchwide identity management platform and program supported by Judicial Council Information Technology (JCIT) that would:
  - (1) Create a branchwide ID (CalCourtID) with clearly defined minimum identity attributes and the ability for users to control sharing.
  - (2) Establish a process for identity proofing where the judicial branch will be the authentication authority for public users (business-to-consumer, B2C), and authentication for courts and justice partners with MOUs (business-to-business, B2B) will be federated.
  - (3) Enable migration of existing identity management implementations used by courts and other service providers.
  - (4) Implement multifactor authentication (MFA), and use it everywhere.
  - (5) Provide litigants and attorneys the ability to temporarily delegate their access levels to another registered user. Delegated access should be reaffirmed every six (6) months, and the delegator should have access to delegee activities.
  - (6) Include provisions in branchwide RFPs that mandate use of branchwide identity management.
3. Establish funding for branchwide identity management buildout and support.

## **Relevant Previous Council Action**

At its July 20, 2018 meeting, the council approved the “Judicial Branch Budget: 2019-20 Budget Change Proposals for the Supreme Court, Courts of Appeal, Judicial Council, Judicial Branch Facilities program, Trial Courts, and Habeas Corpus Resource Center.” Those proposals included a funding request for “Judicial Branch Business Intelligence and Data Analytics using Identity Management for data sharing” to establish the technical foundation for identity management.

## **Analysis/Rationale**

Every day, we use online digital identities to bank, shop, or share an opinion. We expect to be able to conduct business safely and remotely anytime, anywhere. The same holds true for access

to services provided by courts. In response, courts have increasingly been moving transactions online that were historically done at the courthouse. Most courts provide the ability to pay traffic tickets online as well as public access to information consistent with California Rules of Court, rule 2.500 et seq. However, the access to information is protected and managed: who you are determines what you are allowed to see. This process exists to protect individuals and the court from inappropriate disclosure of information.

Identity and Access Management (IAM) is a process whereby user identities are validated—that users are who they say they are and granted access to only those resources that their role allows them. As such, IAM is integral to the mission of the court in the digital age and is part of a broader cybersecurity capability.

IAM goes beyond protection. It also improves user experience and productivity of the court, its partners, and the public by allowing a user to sign in once to access several services (“single sign-on”). By creating a universal court ID (“CalCourtID”), the branch can provide attorneys with access their cases via multiple courts’ portals and multiple e-filing providers using the same login and password. This would include all trial courts, appellate courts, the Supreme Court, and any branchwide services from the Judicial Council. Litigants can seamlessly navigate between their electronic case file to services like online dispute resolution, self-help activities, and e-filing. To maximize the benefits of single sign-on while ensuring that future court services comply with branch identity management requirements, the workstream proposes that procurement activities for court digital services include standard language mandating compliance with those requirements.

The Judicial Council has procured and implemented Microsoft Azure Identity Management as its identity management platform. The platform is used by several programs and courts, including the Ability to Pay program, remote court conferencing systems, and portals that provide access to information for several types of users.

The platform also allows for the activation of multifactor authentication (MFA), an additional layer of security routinely used for sensitive information; for example, this can be a code sent to your mobile device. The workstream recommends that MFA be implemented for all use cases that require access to protected information, but not for tasks such as signing up for a self-help class.

The workstream recommends that the Judicial Council pursue funding that will allow the branch to build the identity management system and allow Judicial Council Information Technology (JCIT) to provide ongoing branchwide support and management of the platform.

### **Policy implications**

Enhancing the security of digitally driven processes—and access to data and information sharing among the courts, with the public, and with state and local justice partners—aligns with the branch’s technology vision and the core values of the judicial branch. The workstream did not find that any changes to the California Rules of Court or legislation were needed at this time.

## **Comments**

The policy findings and recommendations in this report have been circulated to the main stakeholders, including the Trial Court Presiding Judges Advisory Committee, the Court Executives Advisory Committee, and the court IT community. The Information Technology Advisory Committee reviewed the report on November 30, 2021, and the Technology Committee on December 13, 2021. Both committees agreed with the report and recommended it for Judicial Council acceptance.

## **Alternatives considered**

ITAC considered taking no action in this area which would result in individual courts implementing identity management solutions without a common approach.

## **Fiscal and Operational Impacts**

One-time and ongoing funding will be required to establish the branchwide identity management program and platform, as well as ongoing support. Financial resources will be sought through the budgetary process to provide the resources required to implement the recommended platform and program.

## **Attachments and Links**

1. Attachment A: *Branchwide Identity and Access Management Workstream: Findings and Recommendations (2021)*