

CALIFORNIA JUDICIAL BRANCH

# Technology Governance, Strategy, and Funding Proposal

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## Executive Summary

**Technology Planning Task Force**

**4/17/2014**

DRAFT v7.0

## Introduction

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

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

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

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

### ***Additional documents***

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

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary (this document)	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Two-year Tactical Plan for Technology (2014–2016)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Background

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

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

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

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

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

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

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

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

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

## **GOVERNANCE**

Governance models provide a framework for answering the following questions:

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

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

## **Technology Vision**

The proposed technology vision for the branch is:

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

## **Technology Principles**

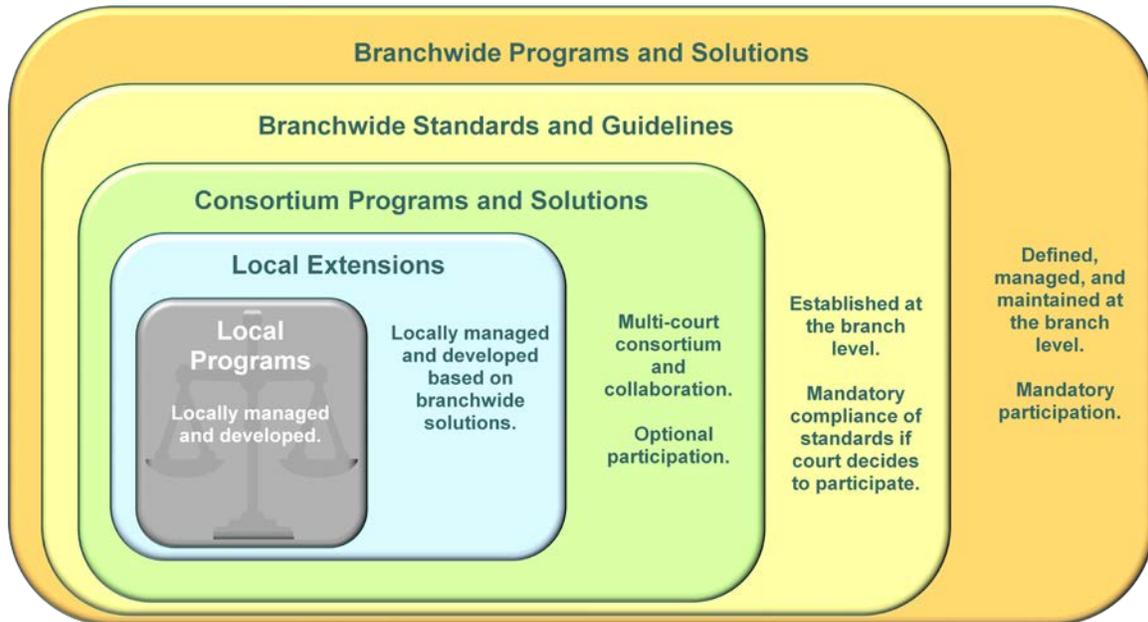
Guiding principles establish a set of considerations for technology project decision-makers. The Judicial Council has adopted a set of Guiding Principles that articulate the fundamental values that provide overall direction to technology programs within the justice network. As principles, they are not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

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

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

## Technology Initiative Categories

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



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

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

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

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

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

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

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

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

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

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

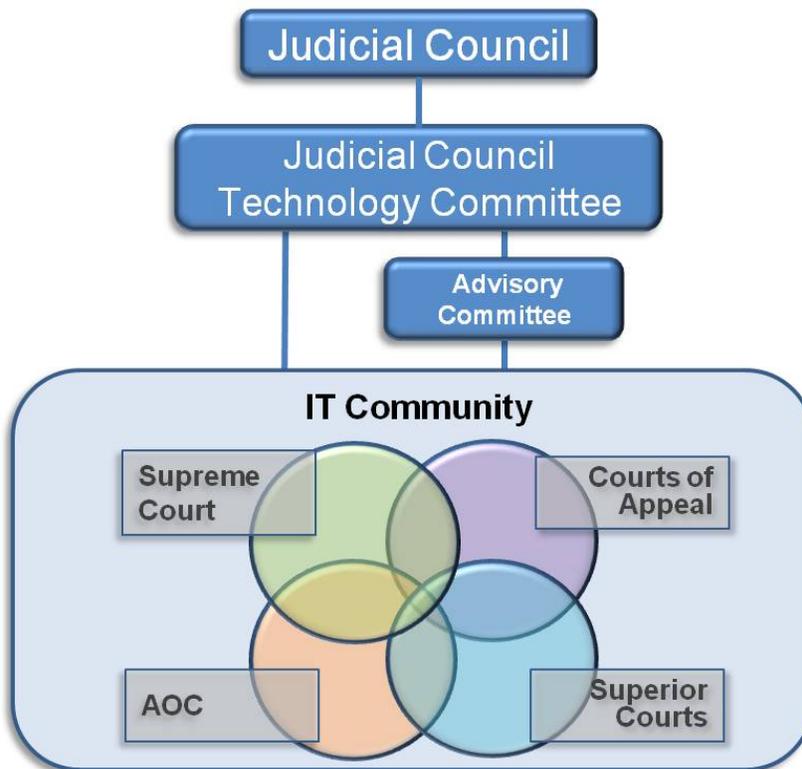
To encourage innovation and sharing of best practices, we anticipate that technology pilots and prototypes could occur in any of these program categories.

## Roles and Responsibilities

### *Working together as an IT community*

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

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



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

- Project management and technical resources for programs and initiatives can be staffed with resources from the entire judicial branch IT community.
- The Judicial Council Technology Committee continues its oversight, policy, and coordination roles for branchwide technology strategy and branch-level projects on behalf of the Judicial Council.
- The Court Technology Advisory Committee is restructured into the Information Technology Advisory Committee and focuses on promoting, coordinating, and

facilitating the application of technology to the work of the courts. It will establish standards to ensure technology compatibility; facilitate court technology projects funded in whole or in part by the state; propose rules, standards, or legislation to ensure privacy, access, and security; and assist courts in acquiring and developing useful technology systems. ITAC will also establish mechanisms to collect, preserve, and share best practices across the branch.

- This restructuring will require a change to rule 10.53 of the California Rules of Court, which defines the role of the Court Technology Advisory Committee.
- Information technology professionals and leaders at the court level are more actively engaged and involved in project management and execution. The focus is on leveraging the judicial IT community to establish courts as innovation centers that collaborate on efforts to expand, enhance, and where appropriate, standardize access to justice between and among the courts. This requires a commitment from the courts to contribute human resources to branchwide, consortia (groups of courts working together) and local innovations that solve local business problems with a view towards their application in other jurisdictions.

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

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

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

Increasing the technology subject matter expertise of ITAC can be achieved by increasing the percentage of membership with technology backgrounds and increasing the expertise of ITAC members through direct participation in technology projects.

**Governance roles and responsibilities—General**

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

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

Benefits of these changes in responsibility include:

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

**Governance of the strategic plan**

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

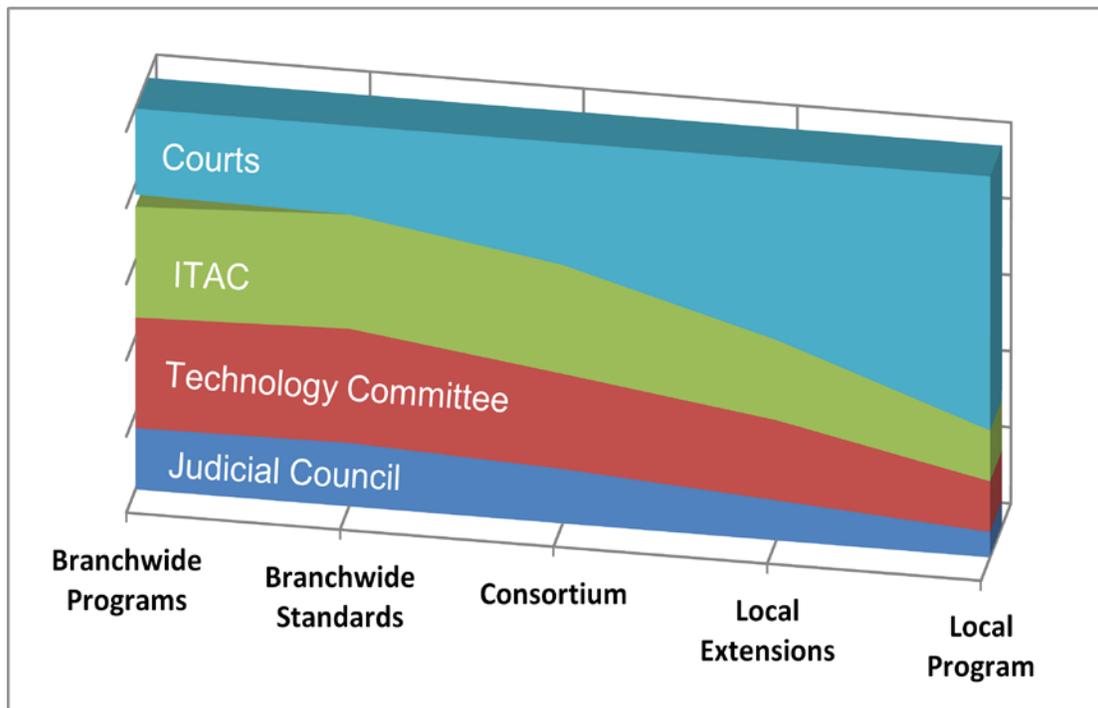
	IT Strategic Plan (4 Year)	IT Tactical Plan (2 Year)
Judicial Council	Final Approval	Final Approval
Technology Committee	Develops, recommends, seeks input, oversees.	Oversight approval and determination of priorities.
Information Technology Advisory Committee	Provides input.	Develops, recommends, seeks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

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

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

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

**Governance Focus Areas by Technology Initiative Type**



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

A more detailed view of the responsibilities for each group is summarized below.

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

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

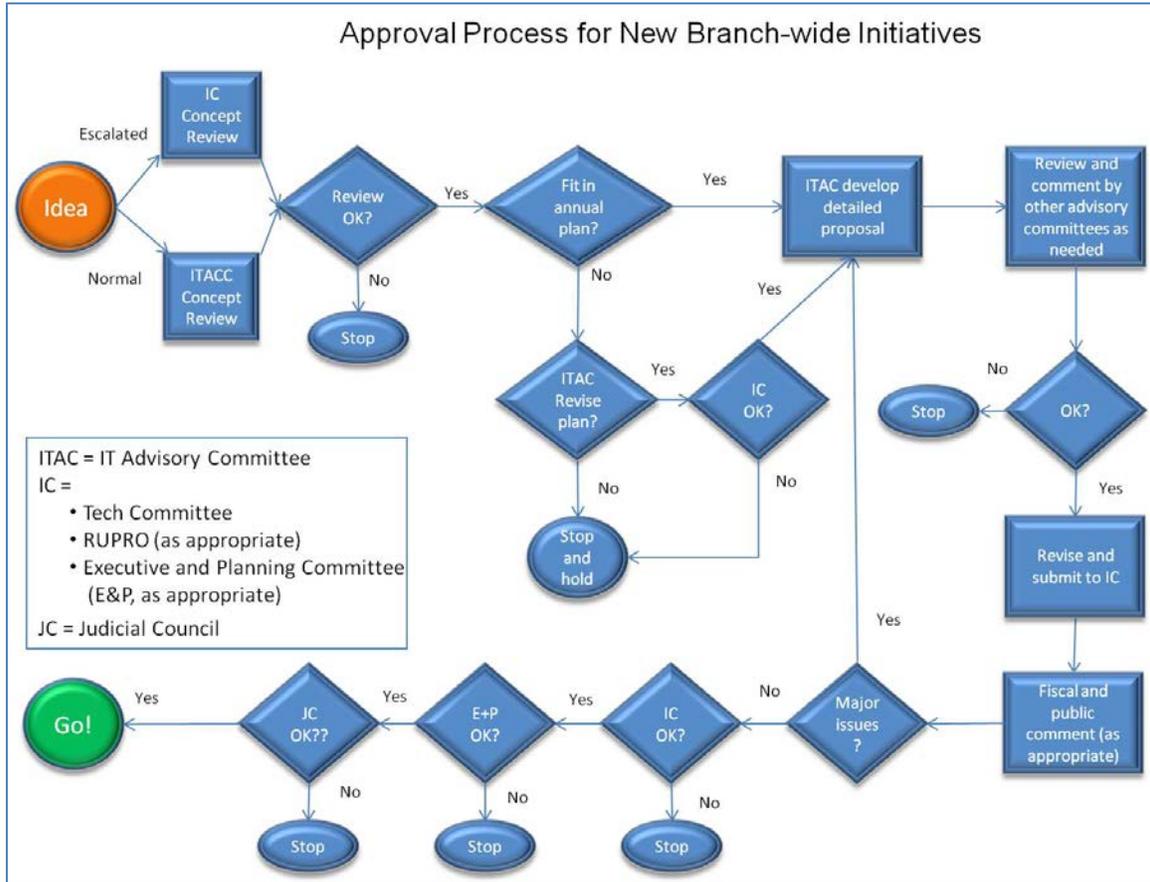
## **Approval of New Branchwide Initiatives**

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

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

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

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



## Program Prioritization Criteria

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

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

A sample scorecard is illustrated below.

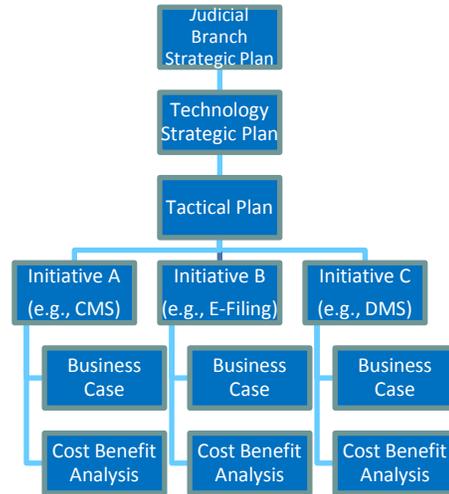
DRAFT Project Prioritization Scorecard						
Court Name		<h1>DRAFT</h1>				
Submitter's Name						
Requested Funds						
Project Description						
Project Evaluation Criteria		Response	Score	Weight	Weighted	Comments
Strategic Alignment	Alignment with Branch Strategic Goals (Access)	2-3 Goals	2	5	10	
	Alignment with Branch Technology Priorities	High	3	3	9	
	External partner Alignment	None	0	3	0	
					<b>19</b>	
External Impact	Public Benefit	High	3	5	15	
	Justice Partner Benefit	"some"	2	5	10	
					<b>25</b>	
Benefit Realization	Scope of impact	Consortia	2	3	6	
	Financial ROI	0-2 Years	3	5	15	
	Likelihood of benefit realization	Medium probability	2	5	10	
					<b>31</b>	
Organizational Risk Mitigation	Urgency for change - operations	Urgent	3	5	15	
	Urgency for change - legal/regulatory/compliance	Not urgent	0	5	0	
	Organization readiness	Minor concerns	2	5	10	
					<b>25</b>	
Technology Alignment / Fit	Level of alignment with branch-wide technology standards	Aligned	3	4	12	
	Level of alignment with branch-wide vendors	Aligned	3	2	6	
	Level of alignment with branch architecture	Aligned	3	3	9	
					<b>27</b>	
Technology Risk	Existing infrastructure can support this project	Covered	3	3	9	
	Identified tech staff can support this technology	No	0	3	0	
	Product / technology maturity	New / Mature	2	3	6	
					<b>15</b>	
					<b>142</b>	

In the example above, the scorecard has been filled out for a sample project. Each of the evaluation criteria in the first column was used to assess the project and 0-3 points assigned based upon the result. For example, on the first row, the project aligns with 2-3 of the branch strategic goals and 2 points were assigned. Had it aligned with 4 or more goals, 3 points would have been assigned. Each of the criteria is weighted to emphasize its relative importance and a final weighted score calculated. All scores are then added up for a total score which can then be compared with other projects that have been assessed in the same manner.

## STRATEGIC PLAN AND TACTICAL PLAN

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

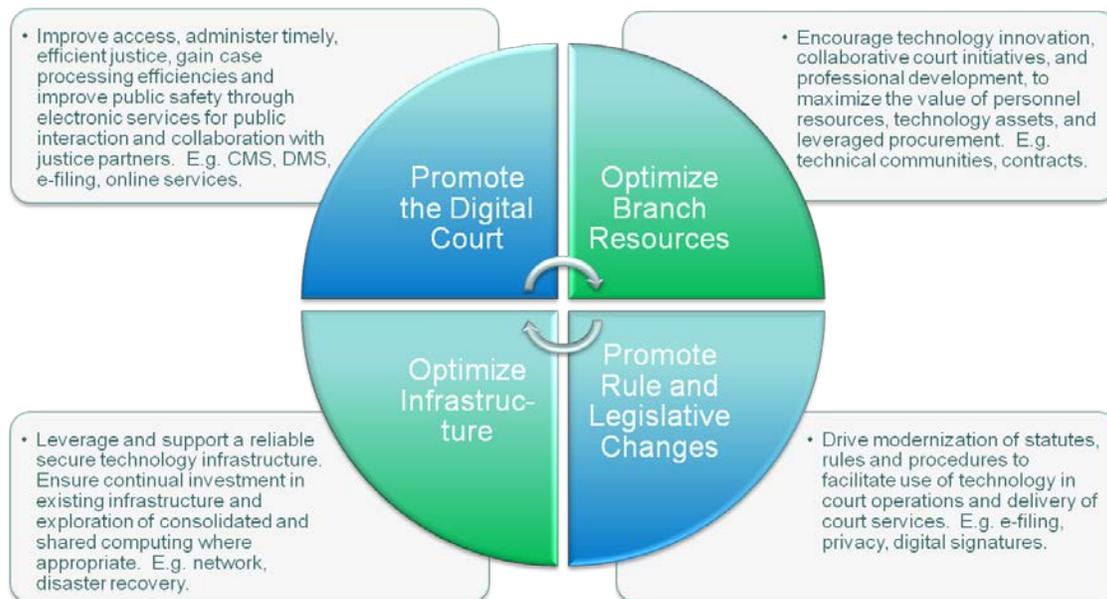
The branch technology strategic plan is a cascading plan based upon the overall Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a 4-year technology strategic plan, which will then drive a detailed 2-year tactical plan consisting of individual projects. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis.



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

## Technology Goals (2014–2018)

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



### ***Goal 1: Promote the Digital Court***

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

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

Furthermore, the Digital Court will also facilitate data and information sharing across the courts and provide enhanced collaboration and cooperation between and among courts.

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

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

### ***Goal 2: Optimize Branch Resources***

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

Over the past few years, budget cuts and reduction in personnel have made maintaining current aging court technology a challenge and replacing it difficult. These same cuts have impacted court operations where technology solutions are needed to help automate manual processes, provide needed tools to staff, and offer electronic services to the public.

The branch cannot address these demands without proper technology and personnel resources. In the short-term, optimizing branch resources will provide limited opportunities to make progress on technology goals. In the long-term, funding must be restored to sufficiently invest in technology and personnel to allow the branch to operate optimally. Once funding is restored, the branch will continue to optimize branch resources to ensure that return on investment is maximized.

### ***Goal 3: Optimize Infrastructure***

The judicial branch will leverage and support a reliable and secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

The judicial branch is addressing the increased expectations and reliance of court users on electronic access to court information by:

- Transitioning from paper driven processes and services to electronic ones where the official court record will be created, maintained, and stored in a digital format.
- Enabling automated electronic data and information sharing among the courts and with the public, state, and local justice partners, and to facilitate automated reporting and collection of statistical information.
- Committing to ensure that adequate disaster recovery provisions will be made for all systems, services, and information maintained by the judicial branch.

This goal relies upon an effective, reliable, efficient, up-to-date, and secure technology infrastructure which includes technology to support local area networks, wide area networks, infrastructure and information security, local, shared, and centralized data centers, unified communications (voice, video, presence), an enterprise service bus, and disaster recovery technologies.

### ***Goal 4: Promote Rule and Legislative Changes***

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

Many of the current statutes, rules, and procedures governing court operations were written to address a physical, in-person, paper-driven environment. Technology that improves service and increases access to justice through the use of virtual, remote, digital, electronic solutions will continue to prompt a need to review and revise, when necessary, the guidance provided by these rules and legislation. For example, revisions have been made to support electronic filing and remote video appearances. In the near future, rules concerning technologies such as digital signatures should be examined. The judicial branch must promote rule and legislative changes to encourage and provide guidance for the proper use of technology solutions by the courts and members of the public.

Because the process for changing rules and legislation is guided by strict scheduling requirements, the judicial branch must be pro-active and allow adequate time for the review, examination, and proposal of any changes. Considerations should be made at the start when technologies are being investigated, not as an afterthought just before they are ready to be deployed.

Furthermore, the addition or modification of rules and legislation must be sensitive to preserving equal access to justice. Although there is a benefit to incorporating technology solutions into the justice process, we cannot place constituents at a disadvantage if they do not have access to those solutions.

## Technology Initiatives (2014–2016)

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

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

## FUNDING

The current funding situation for technology in the branch is bleak. The source for funding branchwide initiatives is facing a deficit, restrictions on year-to-year carryover of funds results in de-prioritizing technology investments, and there is no guarantee one-time budget change proposals will be funded.

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

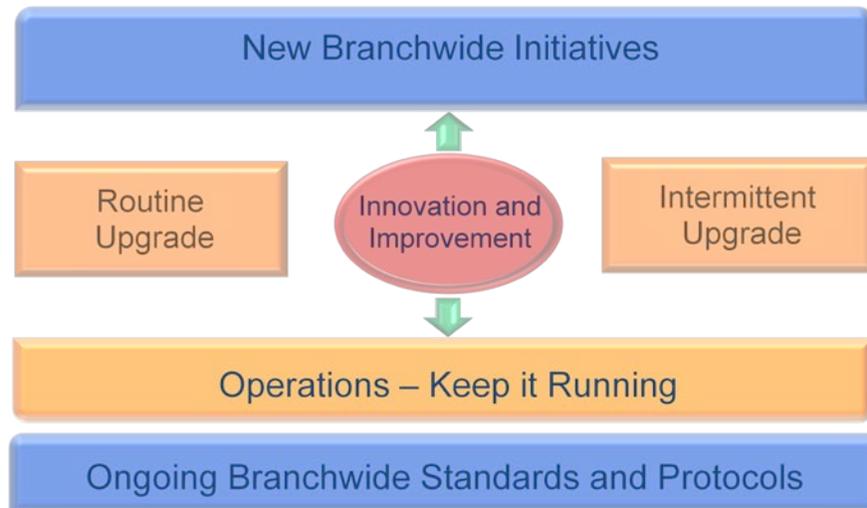
Once funding is restored, the following funding models and governance processes will be used to manage and allocate funds consistently, transparently, and predictably.

## Technology Funding Categories

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

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

A summary of the funding categories is illustrated below.



The funding for New Branchwide Initiatives and Ongoing Branchwide Standards and Protocols will be managed at the branch level.

The funding for Routine Upgrade, Intermittent Upgrade, and Operations – Keep it Running will be managed at the local court level for local court expenses and at the branch level for expenses associated with branchwide initiatives.

The funding for Innovation and Improvement is managed at the branch level and dedicated to innovation and improvement projects that can be initiated anywhere in the branch.

### ***Operations—Keep It Running***

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

### ***Routine upgrade***

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

### ***Intermittent upgrade***

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

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

- If the branch is to continue to innovate to discover and explore new ways of providing services and doing business, there needs to be funding to allow courts to innovate and learn about new approaches and technologies.
- In addition, there needs to be funding of a one-time nature to allow a court to jump-start advanced technology opportunities.

- This funding can come from a local court budget, but the intention is to establish a branchwide fund to support the experimentation with technologies for innovation and improvement.
- Past innovation examples: remote video appearance; e-filing; e-citations; improved access for self-represented litigants (Smart Forms, I-CAN, small claims system in Sacramento, self-help portal, etc.); mail processing machines.
- Past improvement examples: imaging all active cases to allow a court to become paperless; data conversion; conversion of microform documents to electronic documents.

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

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

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

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

## Funding Sources and Governance

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

## CONCLUSION

### Expected Outcomes

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

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

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

CALIFORNIA JUDICIAL BRANCH

# Technology Governance and Funding Model

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**Technology Planning Task Force**

**4/17/2014**

DRAFT v7.0

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## Message from the Technology Planning Task Force Chair

Dear Friends of the Courts,

The Technology Planning Task Force, appointed by Chief Justice Tani G. Cantil-Sakauye, and the Judicial Council Technology Committee are pleased to present the Judicial Branch Technology Governance and Funding Model.

A comprehensive and collaborative technology governance structure and planning update and redesign, grounded in the technology needs of the courts, is the key to branch technology progress and funding. Dramatic changes have occurred both in the evolution of information technology and needs of the courts. We need to advance to better support our justice partners and the people of California.

We are and should be an IT community with input and participation by all the courts. In order to assess court needs, the Judicial Council Technology Committee began, shortly after the termination of the California Court Case Management System (CCMS), by surveying the trial courts on case management system status, failure potential, and replacement plans. One of the lessons learned from CCMS was the importance of court input and buy-in relative to information technology projects and plans. Soon after, the courts attended a two-day information technology summit with the participation of the California Department of Technology (CalTech). CalTech emphasized the need for an updated technology plan and governance structure in order to obtain support from other branches of government for technology funding.

These efforts not only pointed to the need for a new technology plan but also the need for a court-focused technology planning task force to execute that planning process. The success of the planning process is grounded in the broad coalition of constituencies represented by the task force membership. Throughout the process, Administrative Presiding Justices, Presiding Judges, Court Executive Officers, and Chief Information Officers have been kept abreast of progress, most recently through presentations at regional meetings. In addition, the task force has continued to brief both legislative and executive branch agencies, including the Department of Finance, CalTech, the Legislative Analyst's Office, and legislative staff, on the progress of our planning.

Enhancing electronic access to justice and promoting more efficient business practices through information technology aligns with the core values of our judicial branch and with the proposed technology vision. Chief Justice Cantil-Sakauye's recently announced vision for restoring access to our courts, Access 3D, includes remote access as one of its principles. The "digital court" with the capability of 21st century data exchange will not only allow us to do more with less but also significantly broaden meaningful access to the courts for litigants, lawyers, justice partners, and the public.

James E. Herman  
Chair, Judicial Council Technology Committee  
and Technology Planning Task Force

## Technology Planning Task Force Membership

**Hon. James E. Herman, Chair**

Assistant Presiding Judge of the Superior  
Court of California, County of Santa  
Barbara

**Hon. Judith Ashmann-Gerst**

Associate Justice of the Court of Appeal  
Second Appellate District, Division Two

**Hon. Terence L. Bruiniers**

Associate Justice of the Court of Appeal  
First Appellate District, Division Five

**Hon. Daniel J. Buckley**

Judge of the Superior Court of California,  
County of Los Angeles

**Ms. Sherri R. Carter**

Court Executive Officer of the Superior  
Court of California, County of Los Angeles

**Mr. Jake Chatters, Governance Lead**

Court Executive Officer of the Superior  
Court of California, County of Placer

**Mr. Brian Cotta, Strategic Plan Lead**

Chief Information Officer of the Superior  
Court of California, County of Fresno

**Mr. James (Jim) R. Kalyvas**

Attorney at Law  
Foley & Lardner LLP

**Hon. Ira R. Kaufman**

Presiding Judge of the Superior Court of  
California, County of Plumas

**Hon. Robert James Moss**

Judge of the Superior Court of California,  
County of Orange

**Mr. Robert Oyung, Program Manager**

Chief Information Officer of the Superior  
Court of California, County of Santa Clara

**Hon. Glen M. Reiser**

Judge of the Superior Court of California,  
County of Ventura

**Hon. Marsha Slough, Funding Lead**

Presiding Judge of the Superior Court of  
California, County of San Bernardino

**Ms. Charlene Ynson**

Clerk/Administrator of the Court of Appeal  
Fifth Appellate District

CJER GOVERNING ADVISORY  
COMMITTEE LIAISON

**Hon. Mary Thornton House**

Judge of the Superior Court of California,  
County of Los Angeles

COMMITTEE STAFF

**Ms. Jessica Craven**

Information Technology Services Office  
Administrative Office of the Courts

**Mr. David Koon**

Information Technology Services Office  
Administrative Office of the Courts

## Governance Track Members

**Mr. Jake Chatters, Track Lead**

Court Executive Officer of the Superior  
Court of California, County of Placer

**Hon. Judith Ashmann-Gerst**

Associate Justice of the Court of Appeal  
Second Appellate District, Division Two

**Hon. Steven D. Barnes**

Assistant Presiding Judge of the Superior  
Court of California, County of Kings

**Hon. Daniel J. Buckley**

Judge of the Superior Court of California,  
County of Los Angeles

**Mr. Richard D. Feldstein**

Court Executive Officer of the Superior  
Court of California, County of Napa

**Mr. James P. Fox**

Attorney at Law  
Foley & Lardner LLP

**Ms. Lisa Galdos**

Assistant Executive Officer of the Superior  
Court of California, County of Santa Clara

**Hon. James E. Herman**

Assistant Presiding Judge of the Superior  
Court of California, County of Santa  
Barbara

**Hon. Robert James Moss**

Judge of the Superior Court of California,  
County of Orange

**Mr. Darrel E. Parker**

Court Executive Officer of the Superior  
Court of California, County of Santa  
Barbara

**Ms. Heather Pettit**

Chief Information Officer of the Superior  
Court of California, County of Sacramento

**Mr. Michael M. Roddy**

Court Executive Officer of the Superior  
Court of California, County of San Diego

**Ms. Renea Stewart**

Senior Manager, Information Technology  
Services Office, Administrative Office of  
the Courts

## Funding Track Members

**Hon. Marsha Slough, Track Lead**  
Presiding Judge of the Superior Court of  
California, County of San Bernardino

**Ms. Mary Beth Todd**  
Court Executive Officer of the Superior  
Court of California, County of Sutter

**Mr. Alan Carlson**  
Chief Executive Officer of the Superior  
Court of California, County of Orange

**Ms. Sherri R. Carter**  
Court Executive Officer of the Superior  
Court of California, County of Los Angeles

**Ms. Jessica Craven**  
Information Technology Services Office  
Administrative Office of the Courts

**Mr. Alan Crouse**  
Chief Information Officer of the Superior  
Court of California, County of San  
Bernardino

**Ms. Rebecca Fleming**  
Court Executive Officer of the Superior  
Court of California, County of Stanislaus

**Hon. Ira R. Kaufman**  
Presiding Judge of the Superior Court of  
California, County of Plumas

**Mr. Joseph A. Lane**  
Clerk/Administrator of the Court of Appeal  
Second Appellate District

**Hon. Glen M. Reiser**  
Judge of the Superior Court of California,  
County of Ventura

**Mr. Mark P. Robinson, Jr.**  
Attorney at Law  
Robinson Calcagnie Robinson

**Ms. Virginia Sanders-Hinds**  
Senior Manager, Information Technology  
Services Office, Administrative Office of  
the Courts

**Mr. Zlatko Theodorovic**  
Director, Fiscal Services Office  
Administrative Office of the Courts

## INTRODUCTION

This document presents the judicial branch technology governance and funding model. It addresses a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. It establishes a roadmap for the adoption of technology solutions that further the administration of justice and meet the needs of the people of California. A revised approach was necessary following the decision of the Judicial Council to terminate the California Court Case Management System (CCMS).

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

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

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

## Technology Planning Documents

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model (this document)	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Two-year Tactical Plan for Technology (2014–2016)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 18,000 court employees, and nearly 8.5 million cases—serves over 38 million people. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts and other agencies.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 1,000 people while the largest has 587 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities, and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court rather than a digital electronic one.

## Formation of the Technology Planning Task Force

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system. Additionally, the council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

- Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
- Leveraging the CCMS V4 technology and developed software to benefit ongoing judicial branch technology solutions;
- Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public;
- Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
- Developing alternatives for the CCMS V4 early adopter court, San Luis Obispo, to meet its current case management system needs; and

- Developing strategies to assist trial courts with existing critical case management system needs.

A Judicial Branch Technology Initiatives Working Group was created in June 2012 and launched a series of technology workstreams that were tightly scoped projects to address the short-term critical technology needs for the branch in six-months or less. They brought in direct participation from the courts to work together with the AOC as an IT community. Both costs and risks were reduced as a result of the tight scope. By early 2013 they were successful in generating:

- a case management system request for proposal (RFP) resulting in three commercial software products selected for master services contracts;
- an e-filing roadmap and planning document;
- an assessment of CCMS V4 technology that could be leveraged for future opportunities; and
- foundational work for this governance and funding model.

The workstreams not only addressed the short-term technology needs of the branch and addressed the directives from the Judicial Council but also provided an opportunity for the branch to work in a new model and invigorate the technology strategic planning process.

The California Department of Finance and the California Department of Technology (CaITech) have both indicated that the judicial branch needs to adopt a strategic plan for technology to support long-term funding to meet judicial branch technology needs.

Additionally, the Bureau of State Audits (BSA)<sup>1</sup> reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the Administrative Office of the Courts (AOC) and the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

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

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

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<sup>1</sup> BSA has been renamed to California State Auditor.

While there is no requirement for all courts to rely on a single technology solution, it is imperative that the branch communicate its strategy in a unified manner and leverage common solutions, technologies, and funding, in a collaborative consortium model. After the Judicial Branch Technology Summit, the Chief Justice authorized the creation of a task force reporting to the Judicial Council Technology Committee charged with:

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

Specifically, the task force was tasked to:

- Work collaboratively with the courts and judicial branch stakeholders;
- Develop a comprehensive branchwide plan for technology governance that will delineate the parameters of state versus local decision-making for technology initiatives;
- Develop a strategic plan for technology that will provide direction and vision for technology within the branch;
- Develop a tactical plan for technology that will define the steps needed to achieve the goals defined in the strategic plan;
- Develop administrative and technical guidelines;
- Identify and promote trial court collaboration and consortiums for the benefit of technology;
- Develop recommendations for a stable, long-term funding source for judicial branch technology; and
- Delineate technology funding sources.

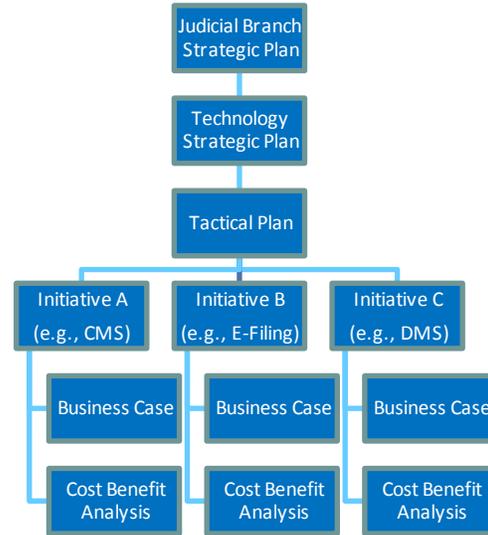
## **Technology Planning Task Force Structure**

The task force reports to the Judicial Council Technology Committee and will terminate in 2014 after the approval and publication of its recommendations.

The task force worked collaboratively to define judicial branch technology governance in terms of statewide versus local decision-making, to develop a strategic plan for technology across all court levels that provides a vision and direction for technology within the branch, and to develop recommendations for a stable, long-term funding source for supporting branch technology, as well as a delineation of technology funding sources.

The task force utilized a planning framework based on industry best practices that focused on two main concepts:

1. Treat the strategic plan as a roadmap that is used and referenced continually to help direct and focus branch efforts in technology rather than simply as a document that is written, published, and put on the shelf.
2. The technology strategic plan is a cascading plan. The judicial branch strategic plan and its goals drive a four-year technology strategic plan that then drives a detailed two-year tactical plan that contains individual initiatives and projects that align with the overall goals of the branch.



These best practices ensure that the planning process is thorough, efficient, and aligned—producing practical actionable results.

The work of the task force was divided into three tracks:

- **Governance**—determined the process for how the branch will prioritize and select technical programs.
- **Strategic Plan**—identified a prioritized list of goals and initiatives.
- **Funding**—proposed a mechanism for funding technology programs.

The following chart lists the participants of each track.

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

There were 14 members on the task force and a total of 41 participants contributing to all three tracks representing 20 superior courts, three Courts of Appeal, and the AOC.

## GOVERNANCE

Governance models provide a framework for answering the following questions:

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

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

## Technology Vision

As part of its charge to adopt a statewide strategic plan for technology, the judicial branch must begin with a vision of where it needs to be moving forward given the financial, personnel, geographic, and consumer opportunities and challenges. Future success in technology funding and project implementation depends on a solid, clear vision that can be communicated to internal and external stakeholders. A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California citizens.

**Recommendation 1: The Judicial Council should adopt a new judicial branch technology vision:**

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

The judicial branch must advance its technological efforts in a systematic and comprehensive manner in order to enhance and expand its delivery of services and modernize court practices. This recommended branchwide vision fosters statewide collaboration while recognizing that local capacity, community, and culture play an important and vital role in innovating, developing, and delivering services enabled by technology.

This recommended vision sets forth the goals of where the branch must be to not only secure adequate funding for technology, but, equally important, to keep pace with the ever-changing demands placed on the branch from all court users to provide faster and higher quality service through the use of technology.

This recommended vision also sets forth the framework within which the guiding principles can readily be applied.

## Technology Principles

Guiding principles establish a set of considerations for technology project decision-makers. At its August 31, 2012 meeting, the Judicial Council adopted a set of guiding principles that articulate the fundamental values that provide overall direction to technology programs within the justice community. As principles, they are not mandates nor do they establish conditions for technology project advancement. These guiding principles are in no way intended to obligate courts to invest in new, or to modify existing, solutions or services.

### ***Guiding Principles—Adopted August 2012<sup>2</sup>***

Court technology and the new ways it facilitates interaction with the courts should always advance access and participation in the justice system in order to improve the trust and confidence Californians have in their court system.

1. **Ensure Access and Fairness.** Use technologies that allow all court users to have impartial and effective access to justice.
2. **Include Self-Represented Litigants.** Provide services to those representing themselves, as well as those represented by attorneys.
3. **Preserve Traditional Access.** Promote innovative approaches for public access to the courts while accommodating persons needing access through conventional means.
4. **Design for Ease of Use.** Build services that are user-friendly, and use technology that is widely available.
5. **Provide Education and Support.** Develop and provide training and support for all technology solutions, particularly those intended for use by the public.
6. **Secure Private Information.** Design services to comply with privacy laws and to assure users that personal information is properly protected.
7. **Provide Reliable Information.** Ensure the accuracy and timeliness of information provided to judges, parties, and others.
8. **Protect from Technology Failure.** Define contingencies and remedies to guarantee that users do not forfeit legal rights when technologies fail and users are unable to operate systems successfully.
9. **Improve Court Operations.** Advance court operational practices to make full use of technology and, in turn, provide better service to court users.
10. **Plan Ahead.** Create technology solutions that are forward thinking and that enable courts to favorably adapt to changing expectations of the public and court users.

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<sup>2</sup> Excerpt from “Advancing Access to Justice Through Technology: Guiding Principles for California Judicial Branch Initiatives” adopted by the Judicial Council August 31, 2012

These original 10 principles published in the document “Advancing Access to Justice Through Technology: Guiding Principles for California Judicial Branch Initiatives” were intended to:

further the Judicial Council’s commitment to access and fairness while pursuing modernization of court practices through technology. Therefore, the introduction of technology or changes in the use of technology should advance access and increase participation whenever possible.

They focused on the aspect of access to justice. The Technology Planning Task Force recommends the addition of four additional principles. These new principles do not change the intent or objective of the already adopted 10 principles. As with the original set they are intended to:

advise justice system decision-makers to consider and take steps to use technology to enhance access to justice.

Although it is critical that the courts comply with the relevant laws and policies that may affect technology services, particularly related to privacy and access, these guiding principles do not—and are not intended to—specify the legal obligations of the courts. Technology initiatives can push the boundaries of current laws and rules in providing access for conducting business in ways not previously considered. As a result, technology is a relatively dynamic area for judicial branch laws and policy. Thus, it is important that the judicial branch communicate advances and changes in policy and that those within the branch closely track these developments.

These new principles focus more on *how* we desire to proceed with an initiative. They are designed to work in concert with the initial principles and support them with additional detail that addresses the branch governance and funding structure.

**Recommendation 2: The Judicial Council should augment the Guiding Principles for California Judicial Branch Initiatives by adopting four additional principles:**

11. **Improve Branchwide Compatibility Through Technology Standards.** Provide branchwide technology standards or guidelines related to access to information or submission of documents that support the branch’s goal of greater compatibility for the public and state justice partners.
12. **Consider Branchwide Collaboration and Economies of Scale.** Identify opportunities to collaborate on technologies to reduce costs, leverage expertise and training, and improve consistency.
13. **Foster Local Decision-Making.** Develop, fund, and implement technologies to improve local business processes that may provide a model for wider implementation.
14. **Encourage Local Innovation.** When developing branchwide technologies, allow for adaptation to address local needs, foster innovation, and provide, where appropriate, a model for wider implementation.

The additional principles are intended to provide guidance and consideration to foster collaboration across the branch, leverage solutions when appropriate, and encourage innovation at all levels. The original 10 principles described the branch’s overall goals for technology, while the additional 4 principles describe how those goals can be realized. The pages that follow provide additional detailed context for these principles in the same form and format as the original 10 principles were discussed in the report “Advancing Access to Justice Through Technology: Guiding Principles for California Judicial Branch Initiatives.”

**Guiding Principle 11. Improve Branchwide Compatibility Through Technology Standards****Statement**

Provide branchwide technology standards or guidelines related to access to information or submission of documents that support the branch's goal of greater compatibility for the public and state justice partners.

**Rationale**

Californians require and deserve consistent access to our judicial system. There are already established rules and standards relating to fees and format of paper filings to make interaction with our court systems more consistent and predictable. These same consistencies should be applied to technology-based interactions with the branch.

Standards and rules define the consistent framework upon which both state-level and local decision-makers construct technology solutions to both unique and common business problems. Where these solutions define how the public interacts with the court, there is benefit from a consistent set of rules and standards to ensure a general uniformity of experience by the public across multiple venues.

**Implications**

This establishes consistent guidelines between the courts and users (e.g., standards on form and format of electronic pleadings). While necessarily establishing some restrictions on the variation that can be developed by a local court, standardized protocol does so in a way that should not limit *how* a court handles its work, only the standards by which users access the court.

***Guiding Principle 12. Consider Branchwide Collaboration and Economies of Scale*****Statement**

Identify opportunities to collaborate on technologies to reduce costs, leverage expertise and training, and improve consistency.

**Rationale**

Although operating in a decentralized decision-making model, the challenges confronted by individual courts are often shared by others. These challenges are at times universal among jurisdictions. Some challenges are unique to large courts, to rural courts, or courts with a heavier caseload of one type.

Sharing of information and resources can reduce project costs, leverage the work of others, and reduce the time to implementation. Universal solutions are not always appropriate, but this should not dissuade branch entities from seeking to collaborate when possible to ensure the best use of taxpayer funds.

Further, technology continues to evolve and it becomes increasingly difficult for each entity to maintain expertise in all emerging fields. Collaborative projects between entities can serve to leverage unique expertise while still creating technology solutions tailored to a single or small group of courts.

**Implications**

Technology initiatives at the state and local level should carefully consider opportunities to collaborate early in the project process. Through collaboration, the opportunity to develop a technology solution that is scalable, valuable, and affordable for other courts is improved. Collaboration will not always be appropriate, but should be at least a key consideration prior to the expenditure of public funds.

**Guiding Principle 13. Foster Local Decision-Making****Statement**

Develop, fund, and implement technologies to improve local business processes that may provide a model for wider implementation.

**Rationale**

Principles for collaboration and consistency are balanced by the need to ensure technology built upon those tenets serve the local business need.

Finances, facilities, case mix, and local culture can all impact the viability and need for a particular solution. Where a solution addresses a local business problem at a single court, local decision-makers are in the best position to evaluate and implement technology solutions.

Local solutions should, wherever possible, consider the potential for broader use of the technology to support consistency among courts and to act as a potential pilot for other entities within the branch.

**Implications**

State-level discussions of technology solutions should carefully evaluate whether the business problem being solved relates to *how* an entity performs its function. In such instances, it may be most appropriate to allow local decisions to dictate the timing and feasibility of a particular technology solution.

***Guiding Principle 14. Encourage Local Innovation*****Statement**

When developing branchwide technologies, allow for adaptation to address local needs, foster innovation, and provide, where appropriate, a model for wider implementation.

**Rationale**

Statewide rules, guidelines, and technology solutions should provide sufficient direction to be useful and increase consistency of access among the courts, and wherever possible, encourage innovation and creativity.

Individual courts and consortiums of courts should be allowed the freedom to explore and improve upon the ideas developed at the state level. These innovations, in turn, should be shared as envisioned by Principle 12, with other entities using or embarking on similar technologies. Adaptations should not alter the underlying core functionality of the branchwide solution or otherwise force other entities using the branchwide solution to change technology or business processes without prior consultation at the branch level.

**Implications**

Rules, standards, and applications should be written and designed in ways that foster creativity and improvement. Where a single branchwide solution is in use, the allowance for innovation will need to strike a delicate balance between allowing for some local adaptation for local needs and the goal of providing uniformity of experience.

## Technology Initiative Categories

Any governance model will need to have established definitions to determine what decisions need to be made and how to make them.

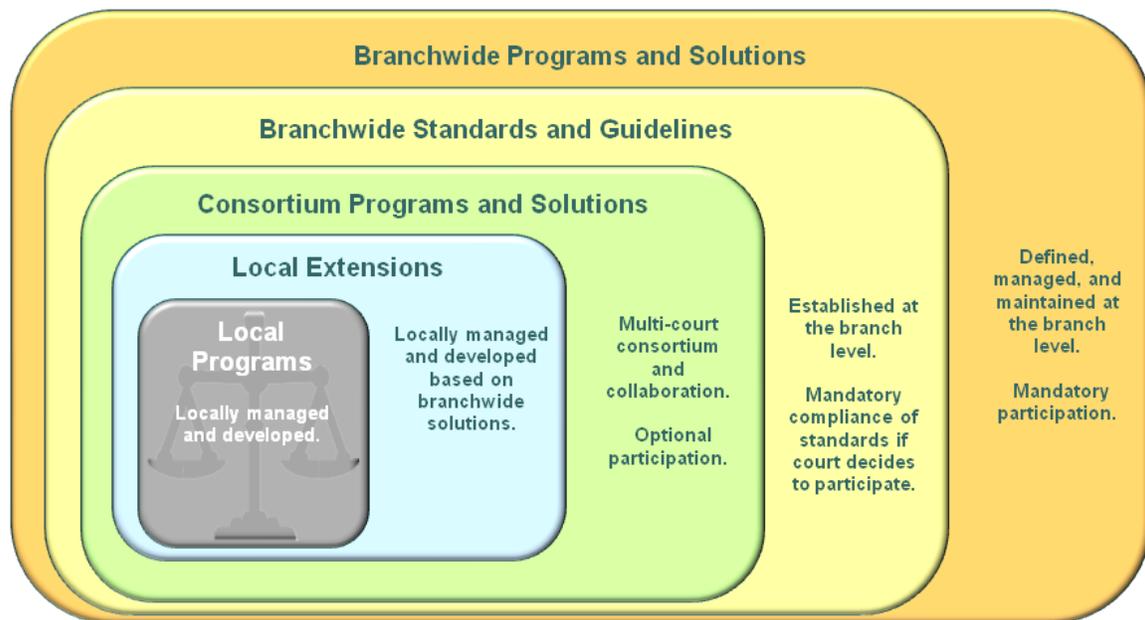
**Recommendation 3: Judicial branch technology initiatives should be governed based on the type of solution being sought and implemented.**

The Technology Planning Task Force is recommending that projects and initiatives be governed and funded in different manners depending on their specific nature. Therefore, they will need to be categorized based on a defined, agreed-upon, and documented set of criteria. To that end, the Technology Planning Task Force recommends five categories be established and defined as discussed below. These categories are:

- Branchwide Programs and Solutions
- Branchwide Standards and Guidelines
- Consortium Programs and Solutions
- Local Extensions of Branchwide/Shared Programs
- Local Programs and Solutions

The primary purpose of identifying these categories and their related characteristics provides an agreed-upon scope of responsibility for how judicial branch technology initiatives can be governed by taking a cohesive look at what can be done most effectively from a state or local perspective.

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



Technology programs, solutions, standards, and guidelines are defined as follows:

### ***Branchwide Programs and Solutions***

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

### ***Branchwide Standards and Guidelines***

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

### ***Consortium Programs and Solutions***

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

### ***Local Extensions of Branchwide/Shared Programs***

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

### ***Local Programs and Solutions***

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

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

## **Categorizing Technology Initiatives**

As new technology initiatives and programs are proposed, technology governing bodies will require a set of criteria to correctly categorize initiatives, programs, and solutions. Such criteria are necessary to ensure consistency in the governance and funding determinations.

**Recommendation 4: The Judicial Council and its committees should classify projects into the defined technology categories based on a set of predefined and transparent criteria.**

Each recommended category is listed below with a set of related criteria. It is important to note that while the majority of the criteria assigned to a particular category should normally be met, it is not necessary for any specific program, initiative, or solution to strictly meet all listed category criteria.

### ***Branchwide Programs and Solutions Criteria***

- Represents substantial economies of scale.
- Technology has a high cost of entry and unique skill set that cannot be easily achieved by all courts.
- Supports public safety through uniform access to vital information.
- Data and information are required by the Judicial Council or established by another “control” agency and therefore must be consistent.
- Program or solution is scalable—it can work for the smallest and largest court.
- Single state agency integration.
- Branch development will not slow local adoption.
- Funding is available or can be sought at a branch level to pay for development and implementation for all impacted judicial branch entities.

***Branchwide Standards and Guidelines Criteria***

- Consistency is desired, but adoption is dependent on other local technologies, making a branchwide program infeasible but standards desirable.
- Uniformity in standards, guidelines, and rules makes it easier on the public, attorneys, and justice partners to access every court.
- Rules are necessary to protect confidential information.
- Consistent policy decisions make technology faster to implement at the local level.
- Concept is known but solution not yet defined.
- It is more important to define what must be done, leaving how to be done to local decision-makers.

Solutions, concepts, or programs that do not fall into the branchwide programs or standards categories may still require branch-level support. These are:

***Consortium Programs and Solutions Criteria***

- Solution offers moderate economies of scale.
- Majority of requirements are common, but implementation is dependent on other local technology or culture.
- Program or solution is a commodity and candidate for master service agreement or branchwide contract (optional adoption).
- Single state agency integration, but lack of branchwide funding or state program development would slow local adoption.
- Small set of courts already hold expertise and can expand to additional courts as they volunteer.
- Incremental, collaborative implementation will speed adoption.

During the above evaluation it may also be beneficial for technical staff and policymakers to consider whether initiatives and programs that meet the criteria for a branchwide approach should be initiated at a regional or local level and then expanded branchwide. This approach may provide greater ease of modification and adjustment to local trial court requirements while giving the Judicial Council more flexibility to reevaluate branchwide involvement at a later date.

***Local Extensions of Branchwide/Shared Programs Criteria******Local Programs and Solutions Criteria***

Technologies that do not meet the previous criteria are local programs or solutions. This may include local solutions that are completely independent of branchwide or shared programs and initiatives or local extensions of branchwide or shared programs and initiatives. This category's purpose is to allow the local trial courts to pursue innovative solutions that:

- Meet local strategic priorities;
- Address the needs of local court cultures and communities; and
- Foster the innovation and flexibility necessary to meet desired goals and outcomes such as operational efficiencies and improved access.

An example of a local extension of a branchwide or shared solution would be where a trial court expands a branchwide document management solution for case documents to also include administrative matters, e.g., budgetary and human resource management documents. An example of a completely independent local initiative is a trial court's acquisition and implementation of a document management system that is not one sponsored through a multicourt shared solution or program.

While local programs and solutions may be vital to a trial court's operations, their development and implementation is a local decision and effort that typically does not have financial or policy support from the AOC or Judicial Council. Such programs, initiatives, and solutions, however, may still need to follow state standards or interface with state programs. It also is possible that any individual trial court program or solution could become a shared program or solution through trial court collaboration. In the situation where very small courts do not have local IT staff, their local technology programs and support may be provided by the AOC.

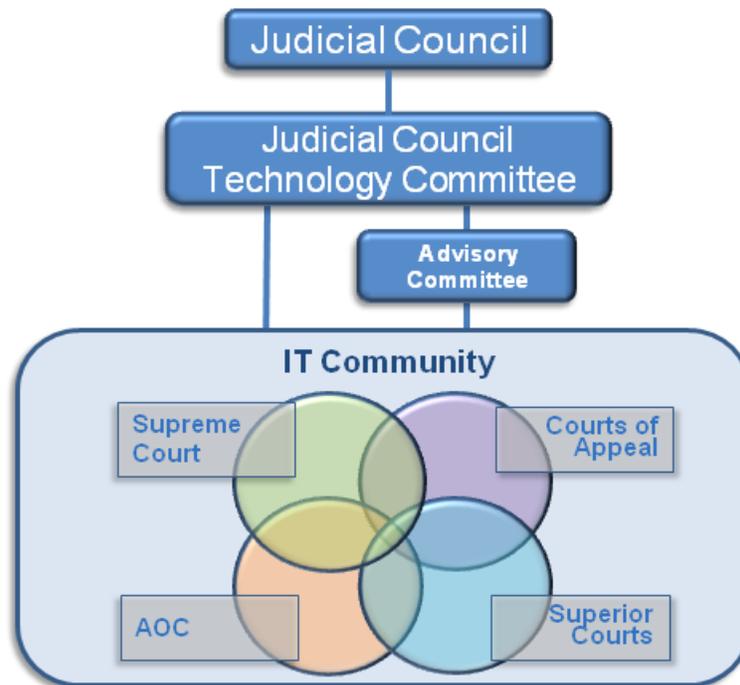
## Roles and Responsibilities

### *Working Together as an IT Community*

Recent successes have been accomplished, in part, due to greater use of expertise that is located throughout the judicial branch's information technology community. The more open use of the full IT community, coupled with utilizing the courts as innovation centers, helps develop buy-in and focuses resources on a small number of vital efforts. The recommendations in this document seek to institutionalize these concepts as a set of defined roles and responsibilities that concentrate branch-level committees on branchwide efforts while also encouraging innovation led by courts and collaborative groups of courts.

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

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



Even during a time when resources are scarce, the collaborative culture within the judicial branch has fostered the efforts of the IT community to contribute to focused technology initiatives that are important to the public, the branch, and individual courts.

However, it has been and will continue to be especially challenging for smaller courts with extremely limited staff to identify personnel who can participate in branchwide initiatives. One option to address this situation could be for other members of the IT community to gain a better understanding of small courts' requirements and represent them in discussions. Additionally, small court consortia have made excellent progress in the areas of common technology solutions such as case management systems, and similar models could be used in the future.

### ***Current Judicial Council Technology Committee and Technology Advisory Committee Structure***

The current technology governance structure is defined by the California Rules of Court, rules 10.10, 10.16, and 10.53. Pursuant to rule 10.16, the Judicial Council Technology Committee:

- Oversees the council's policies concerning information technology. The committee is responsible for determining that council policies are complied with and that specific projects proceed on schedule and within scope and budget.
- Coordinates the activities of the Administrative Director of the Courts, council internal committees and advisory committees, the courts, justice partners, and stakeholders on matters relating to court technology.
- For those advisory committees and task forces over which it has been assigned oversight by the Chief Justice, the Judicial Council Technology Committee ensures that the activities of each are consistent with the council's goals and policies. To achieve these outcomes, the committee:
  - (1) Communicates the council's annual charge to each; and
  - (2) Reviews an annual agenda for each to determine whether the annual agenda is consistent with its charge and with the priorities established by the council.

Rule 10.53 defines the role of the Court Technology Advisory Committee (CTAC), specifying that CTAC:

- 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.

Technology governance in the branch has not been the sole authority of these groups, and multiple models for technology governance have been used over the past decade. Some, such as the CCMS initiative, included steering committees separate from CTAC; others were closely managed by the AOC with subject matter participation by the appellate or trial courts; and some were governed directly by CTAC with staff support from the AOC.

The varied approach to governance, while well intentioned and the result of reasoned consideration of each initiative, became an increasing focal point of concern for both internal and external stakeholders. In addition, the perception that appellate and trial court voices were lost in the technology development process led the Judicial Council Technology Committee to initiate a new concept for project governance and management in 2012.

The Technology Initiatives Working Group was created, with oversight from the Judicial Council Technology Committee, to focus on technology workstreams—a small number of discrete technology initiatives using a community-style model. This model sought to execute projects using experts from all areas of the judicial branch—trial courts, appellate courts, and the AOC—to lead and be accountable for project completion.

This new concept resulted in a number of rapidly completed projects with increased participation in branchwide initiatives. The quick success of this model was a major input to the Technology Planning Task Force’s recommendations.

In addition to these successes, the task force recognized the need for clarification of the roles and responsibilities of the Judicial Council Technology Committee and CTAC. Prior to making any recommendations for a more mature decision-making model, the roles of these two groups, and their relationship with one another, needed to be more clearly defined and communicated.

A key goal of the task force was to ensure greater participation and buy-in from the courts and branch stakeholders. The task force explored the elimination of CTAC and a model that instead used subcommittees to the Judicial Council Technology Committee to evaluate and facilitate technology strategy and projects.

While such a model may have held merit, the task force quickly determined it would not be feasible. Rule 10.10 of the California Rules of Court does not make any provision for the creation of subcommittees to Judicial Council internal committees.

In addition, the task force considered the Judicial Council’s recent actions in restructuring internal committees and advisory committees and how recommendations could and should be made to the Judicial Council and the Judicial Council Technology Committee. Task force members felt strongly that the Judicial Council Technology Committee should continue to receive input from the perspective of making a business case for technology and that the input should come from a technology advisory committee. The Judicial Council Technology Committee could then consider these recommendations along with input from other advisory committees such as the Administrative Presiding Justices Advisory Committee (APJAC), the Trial Court Presiding Judges Advisory Committee (TCPJAC), the Court Executives Advisory Committee (CEAC), and the Trial Court Budget Advisory Committee (TCBAC) before making a recommendation on technology initiatives to the full Judicial Council.

**Recommendation 5: The Judicial Council should retain the internal Technology Committee and the supporting technology-related advisory committee.**

Such a structure will allow the technology-related advisory committee to make recommendations on the business need for technology, while allowing the Judicial Council Technology Committee to consider those recommendations alongside the opinions of priority expressed by the APJAC, TCPJAC, and CEAC and the funding options and limitations identified by the budget advisory groups (APJAC and TCBAC).

### ***Technology Advisory Committee Name***

The task force is recommending a change in the name of the technology-related advisory committee. This name change is intended to accomplish two goals. First, the modified name will highlight that a change is being made to the charge and function of the advisory committee as described later in this document. Second, the name seeks to clarify that the role of the advisory committee is focused on information technology for the entire branch. The current title appears to limit the functions of the committee solely to the work of the courts. A slightly broadened title makes it more clear that projects and initiatives may be undertaken to support the needs of those within the justice community but external to individual courts. The name also intends to carve out a focus on *information*-related technology and to signal that this advisory committee may not be involved in *facility* or other technologies that are the purview of other advisory committees.

#### **Recommendation 6: Rename the Court Technology Advisory Committee as the Information Technology Advisory Committee.**

This name change—from the Court Technology Advisory Committee (CTAC) to the Information Technology Advisory Committee (ITAC)—will require modification of rule 10.53 of the California Rules of Court. ITAC will continue to have its annual agendas and work approved and prioritized by the Judicial Council Technology Committee.

### ***Technology Advisory Committee Structure***

CTAC has been very successful historically in developing and making recommendations for changes to rules of court and law to enable technology adoption. The advisory committee's role and activities around development of specific technology solutions has, however, been less well defined. While some projects, such as remote video appearances, have received extensive input and participation from the advisory committee, other branch technology projects, such as the LAN/WAN network refresh, have not. This has led to perceptions of an ad hoc approach to IT project oversight.

As previously stated, a major input to the work of the task force was the recent success of the workstream concept used in 2012 and 2013. The workstream concept leveraged a small group of leaders, in that case through the temporary Technology Initiatives Working Group, to identify project facilitators. Those facilitators, who were accountable to the larger working group, were responsible for forming teams of technology experts from throughout the branch and facilitating work plans for these initiatives. This concept helped to (1) leverage the expertise of the branch's technology community, (2) ensure accountability to the larger group, and (3) increase buy-in by having a larger group of participants.

Leveraging this success, the task force is recommending that ITAC's role be clarified to specifically define its role to act as facilitator of specific initiatives that are approved as part of its overall annual work plan. To act as an effective facilitator, ITAC needs to comprise technology subject matter experts who can be assigned lead facilitator roles for each type of initiative.

As a facilitator, ITAC will need to rely on experienced program managers to structure, track, and manage the progress of individual tasks and milestones. These program managers could

be members of the IT community, from the AOC or the courts, or from external partners or vendors if appropriate.

**Recommendation 7: Modify the charge and structure of the Information Technology Advisory Committee to include the responsibility of ITAC to facilitate technology initiatives, as directed by the Judicial Council Technology Committee, consistent with the branch Strategic Plan for Technology and Tactical Plan for Technology.**

The task force is not recommending a change in the groups represented in ITAC. Existing positions for justices, judges, court executives, IT professionals, and external stakeholders should remain. Instead, the task force is recommending that appointments be made with a consideration toward candidates who have skill sets that best equip them to facilitate future initiatives. The recommendation does not require a rule change; instead it is intended to assist the Chief Justice in making future appointment decisions.

***Summary of Major Elements in the Proposed Model***

The proposed model is designed to ensure that all branch-level technology initiatives fall under the governance of the Judicial Council Technology Committee, with a large majority receiving routine oversight from the advisory committee.

- Project management and technical resources for programs and initiatives can be staffed with resources from the entire judicial branch IT community.
- The Judicial Council Technology Committee continues its oversight, policy, and coordination roles for branchwide technology strategy and branch-level projects on behalf of the Judicial Council.
- The Court Technology Advisory Committee is restructured into the Information Technology Advisory Committee and focuses on promoting, coordinating, and facilitating the application of technology to the work of the courts. It will make recommendations to the Judicial Council Technology Committee on standards to ensure technology compatibility; facilitate court technology projects funded in whole or in part by the state; propose rules, standards, or legislation to ensure privacy, access, and security; and, with support from the AOC, assist courts in acquiring and developing useful technology systems. ITAC will also establish mechanisms to collect, preserve, and share best practices across the branch.
- This restructuring will require a change to rule 10.53 of the California Rules of Court, which defines the role of the Court Technology Advisory Committee.
- Information technology professionals and leaders at the court level are more actively engaged and involved in project management and execution. The focus is on leveraging the judicial IT community to establish courts as innovation centers that collaborate on efforts to expand, enhance, and where appropriate, standardize access to justice between and among the courts. This requires a commitment from the courts to contribute human resources to branchwide consortia (groups of courts working together) and local innovations that solve local business problems with a view toward their application in other jurisdictions.

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

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

	<b>Current Structure</b> Court Technology Advisory Committee	<b>Recommended Structure</b> Information Technology Advisory Committee
Membership	60% Judicial officers 15% Court executive officers 10% Chief information officers 15% External members	Increase technology subject matter expertise and project facilitation capability.
Responsibilities	1. Rules and legislative proposals 2. Technology projects	1. Technology projects 2. Rules and legislative proposals
Project Source	Selected by committee members.	Determined by branch strategic plan and tactical plan as approved by the Judicial Council.
Project Staffing	Primarily from Administrative Office of the Courts (AOC)	IT community—appellate courts, trial courts, and AOC

Increasing the technology subject matter expertise and project facilitation of ITAC can be achieved by increasing the percentage of membership with technology project management backgrounds and increasing the expertise of ITAC members through direct participation in technology projects.

The newly formed joint technology subcommittee between CTAC and the Appellate Advisory Committee will continue to exist in the new ITAC model.

### ***Governance Roles and Responsibilities***

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

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

Benefits of these changes in responsibility include:

- Increasing participation and support from the courts for branchwide programs and solutions.
- Encouraging consortium arrangements between groups of courts.
- Supplementing limited program resources at the Administrative Office of the Courts and at the courts.
- Providing closer oversight of branchwide programs and solutions.
- Actively engaging Information Technology Advisory Committee members in coordinating and facilitating branchwide programs and solutions.
- Increased interaction and integration with existing advisory committees.

This format also helps to more clearly define the interrelated roles of other Judicial Council advisory committees and groups. While the Information Technology Advisory Committee is reviewing technology initiatives in terms of business need, technology capability, and risk and providing this information to the Judicial Council Technology Committee, the Administrative Presiding Justices Advisory Committee (APJAC) and the Trial Court Budget Advisory Committee (TCBAC) are doing the same related to funding each technology initiative. Specific input from Trial Court Presiding Judges Advisory Committee (TCPJAC)

and the Court Executives Advisory Committee (CEAC) is also defined to ensure a level of priority among court leaders is also included in the Judicial Council Technology Committee's ultimate recommendations to the full Judicial Council.

These relationships among the advisory committees can be summarized by looking at the types of questions they are answering, as illustrated in the table below.

Basic Objective	Responsible Body	How?	Specific Contributions
Where should the branch go with technology?	Judicial Council	Policy and fiscal direction	Approval of 4-year Strategic Plan for Technology and 2-year Tactical Plan for Technology
How does the branch get there?	Judicial Council Technical Committee	Policy and fiscal determinations	Recommendations to Judicial Council
	IT Advisory Committee	Technical and fiscal impact determinations	Recommendations to Judicial Council Technology Committee
How can the branch pay for it?	TCBAC and APJAC	Fiscal determinations	Recommendations to the Judicial Council Technology Committee and comments to the IT Advisory Committee
How does this initiative rate in terms of priority?	APJAC, TCPJAC, and CEAC	Prioritization evaluation	Recommendations to the Judicial Council Technology Committee and comments to the IT Advisory Committee
How can the branch implement technology on the local level to support the branchwide strategic plan goals?	Local courts	Local technology and fiscal determinations and requirements	Reporting and recommendations to the IT Advisory Committee regarding: <ul style="list-style-type: none"> <li>▪ Identification of local impacts and requirements</li> <li>▪ Establishment of best practices</li> <li>▪ Project management</li> <li>▪ Evaluation of challenges and successes</li> </ul>

### ***Governance of the Strategic Plan***

General responsibilities for governing the strategic plan and the tactical plan are summarized below.

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

For the strategic plan, the Judicial Council Technology Committee develops the content with input from the Information Technology Advisory Committee (ITAC) and individual courts, and the Judicial Council approves.

For the tactical plan, ITAC develops the content with input from individual appellate and trial courts, the Judicial Council Technology Committee provides oversight approval and prioritization, and the Judicial Council provides final approval.

### ***Governance Focus Areas***

Recommendation 3 states that technology initiatives should be governed based on the type of solution being sought and implemented. These categories have varied from a local project that solves a local problem with no need for any branch-level support or funding to a branchwide system that requires extensive planning, implementation, and ongoing program management.

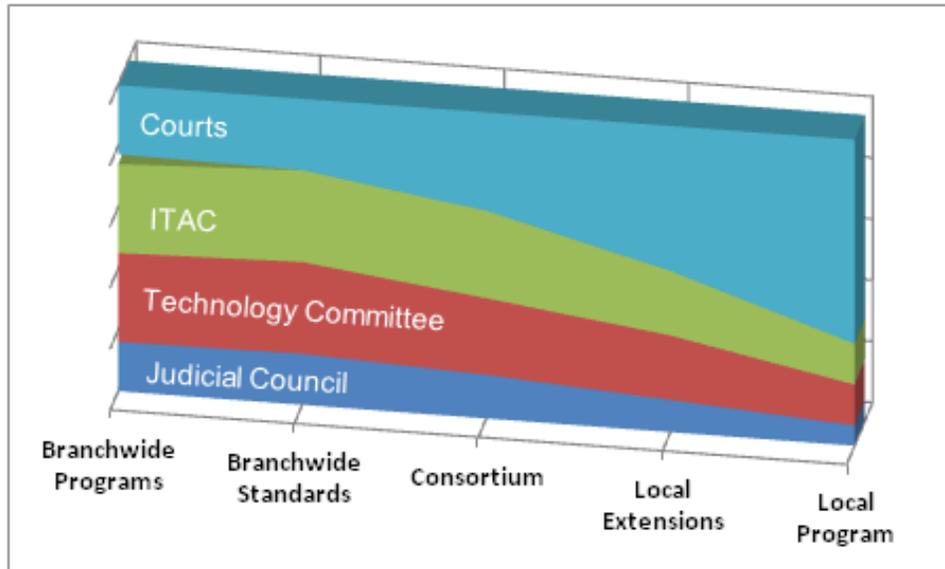
The governance roles and responsibilities can be illustrated in terms of the amount of participation by each group in the different types of technology initiatives.

**Recommendation 8: Project governance, oversight, and facilitation activities should be dependent upon the amount of branch-level resources required/requested.**

In general, the Judicial Council, the Judicial Council Technology Committee, and the Information Technology Advisory Committee will be focused on initiatives that require branch resources and support from the Administrative Office of the Courts while local courts will govern locally funded and locally supported initiatives. In situations where the AOC provides support and services to smaller local courts, those courts will still retain overall governance of and decision-making about the scope and implementation of those services, taking into consideration the constraints of their allocated funding and available resources.

The chart below illustrates the areas of focus for each group.

**Governance Focus Areas by Technology Initiative Type**



**Governance of Technology Initiatives**

A more detailed view of the responsibilities for each group is summarized below.

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

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

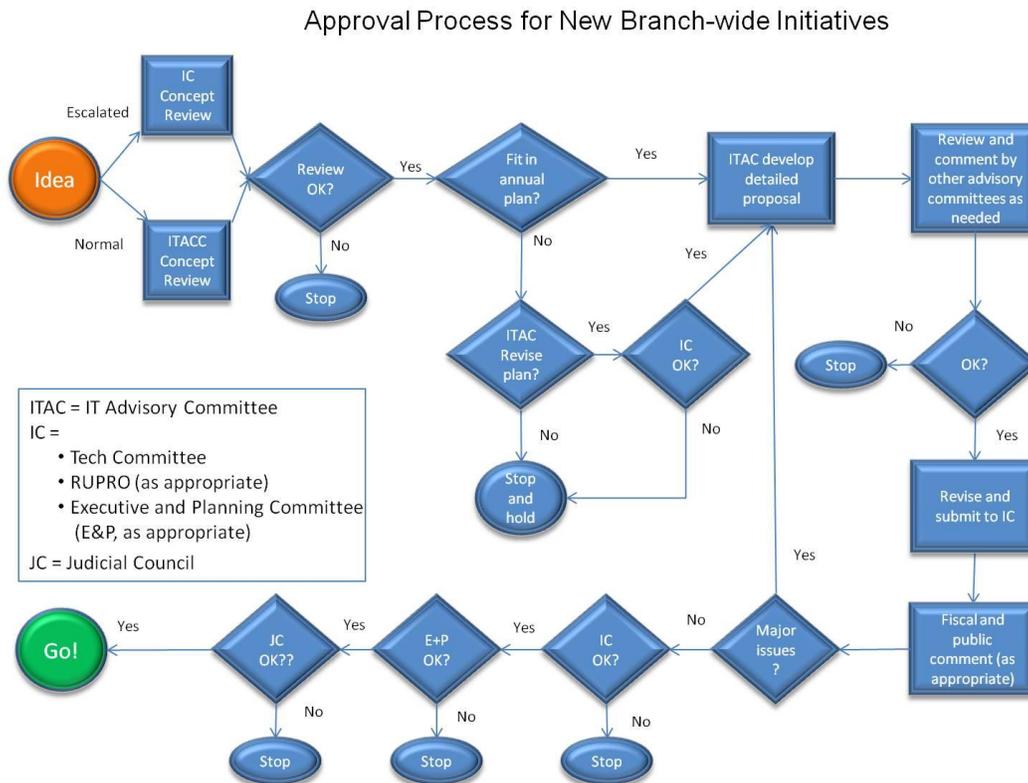
## Overview of Approving New Branchwide Initiatives

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

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

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

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



### ***Advisory Committee Input***

The flowchart provided above includes input from the fiscal advisory committees (APJAC and TCBAC) and from leadership advisory committees (e.g. APJAC, TCPJAC, and CEAC). This is intended to ensure that the Judicial Council Technology Committee is receiving input from the:

- Business and technology advisors—via the recommendations from ITAC.
- Funding advisors—from the fiscal committees, APJAC for the appellate courts and TCBAC for the trial courts.
- Leadership advisors—from APJAC and appellate clerk/administrators for the appellate courts and TCPJAC and CEAC for the trial courts.

This process is intended to ensure input from all perspectives, while also ensuring that each group is able to focus on its charge. The fiscal advisory committees often grapple with insufficient funding to support all requests. Discussions in these committees can then become frustrated as the funding committee members have insufficient information to make decisions on priority of projects.

**Recommendation 9: The Judicial Council Technology Committee should consider input from the fiscal advisory committees and leadership advisory committees prior to making recommendations to the Judicial Council.**

The proposed process will allow the funding groups to identify available funding, or lack thereof, and provide this information to the Judicial Council Technology Committee (JCTC). Likewise, the leadership advisory committees will be included to provide their perspectives on relative priority of initiatives, balancing technology initiatives with other important access to justice issues and priorities for resources (both political and financial).

By receiving information from these two groups along with ITAC, the JCTC will be better able to prioritize initiatives and annual planning efforts and communicate a full set of facts and opinions to the full Judicial Council during budget planning meetings as well as annual planning meetings.

### ***Workstream Approach***

The judicial branch has achieved a large degree of success over the past 12 to 18 months due to a renewed focus on collaboration and inclusiveness. The workstream concept piloted by the Technology Initiatives Working Group achieved large degrees of success and buy-in. This was largely attributed to four factors:

1. Identifying project facilitators who were accountable to a larger committee.
2. Defining and limiting the scope of projects with clear direction from the project initiative.
3. Leveraging the expertise of the entire judicial branch IT community as needed for each initiative.
4. Using courts as innovation centers.

The task force recommends that this approach be adopted as one option for future technology initiatives facilitated by both the JCTC (where appropriate) and ITAC. For initiatives utilizing this workstream approach, the following would apply:

1. One or two members of either JCTC or ITAC would be identified as the facilitator of a specific initiative.
2. The facilitator would be responsible for assembling a team of experts to serve as staff on the initiative.
3. Team members would be identified from throughout the judicial branch, including appellate courts, trial courts, and the AOC.
4. In many cases, staff-level support will still be required to complete detailed technical tasks, but the workstream would be responsible for monitoring the work to ensure that it was performed to complete the project for the benefit of the branch.

This structure allows groups to form based on a specific interest area or skill set needed to work on a defined schedule and to disband when the work is complete. It also ensures each facilitator's accountability to ITAC (or JCTC where appropriate) so that initiatives do not stall due to lack of leadership.

Initiatives that require branch resources or funding can be managed either through a workstream approach or a traditional approach where AOC resources help coordinate the work under the oversight of ITAC (or JCTC where appropriate) while gathering input from the courts. For example, a new initiative that requires broad discussion and input from the courts, such as updating the e-filing deployment plan, could be managed through a workstream approach while the continued deployment of a mature existing program, such as the California Courts Protective Order Registry (CCPOR), could be managed in a traditional manner. When the initiative is in the planning stage, ITAC or JCTC can determine which model would be most appropriate to use.

**Recommendation 10: Branch-supported technology projects should leverage the workstream approach for facilitating efforts when appropriate.**

This recommendation is central to the development and acknowledgment of the power of the branch's IT community. Successive years of funding reductions have reduced the workforces of all courts and the AOC. This reduced level of support individually provides an opportunity to better leverage the expertise located throughout the branch to simultaneously avoid duplication of effort while increasing buy-in.

Finally, this structure places the focus on the courts as innovation centers. Encouraging involvement by courts from the initiation of ideas, allowing a court or small consortia of courts to be involved from the 'ground up' on technology development. This local court participation will allow the branch to implement proof of concepts and allow innovations to occur at the local courts and then expand to broader implementation.

Whether a workstream approach or traditional approach is used to manage initiatives that require branch resources or funding, a common Program Management Office could be

utilized to ensure that branchwide initiatives are tracked and reported consistently. The Program Management Office is discussed later in this document.

## Processes and Decision Flows

The judicial branch utilizes a project management life cycle approach to ensure proper planning and execution of initiatives. The overall strategic planning activity can be integrated into this life cycle as illustrated below.

Phase	Strategic Planning	Concept Initiation	Project Planning	Project Development and Implementation
Components	<ul style="list-style-type: none"> <li>▪ Strategic Plan</li> <li>▪ Tactical Plan</li> <li>▪ Annual Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Idea Generation</li> <li>▪ Concept Approval</li> <li>▪ Initiative Categorization</li> <li>▪ Business Analysis and Funding Approval</li> </ul>	<ul style="list-style-type: none"> <li>▪ Establish Project Team</li> <li>▪ Create Project Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Design</li> <li>▪ Develop</li> <li>▪ Deploy</li> <li>▪ Operate</li> <li>▪ Maintain</li> <li>▪ Retire</li> </ul>

The remainder of this section contains detailed process descriptions that illustrate the recommended review, approval, and execution of initiatives based on the above life cycle.

## **Strategic Planning Process**

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

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

**Recommendation 11: The Judicial Council should adopt a Strategic Plan for Technology every four years that will guide branch technology decisions.**

The task force is recommending an initial plan to be included in the document titled “Strategic Plan for Technology 2014–2018.”

The task force is further recommending that the Judicial Council Technology Committee be responsible for updating the technology strategic plan on a four-year cycle. They would be tasked with identifying key technology goals, soliciting input from all stakeholders, drafting the initial plan, communicating and developing buy-in to the plan, and ultimately recommending the new plan to the Judicial Council.

Once the strategic plan is adopted, the Judicial Council Technology Committee will be responsible for monitoring and overseeing the branch’s activities toward meeting the goals set forth in the strategic plan. This includes oversight of any tactical plans, annual work plans for ITAC, or new technology initiatives.

The high-level responsibilities for this process are outlined below.

### **Process for Developing and Updating the Strategic Plan for Technology**

Judicial Council	<ul style="list-style-type: none"> <li>• Directs Technology Committee to adopt/revise plan</li> <li>• Adopts recommended plan (4-year)</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Develops ideas for the plan</li> <li>• Seeks input on potential plan</li> <li>• Produces draft plan</li> <li>• Produces recommended plan</li> </ul>
All Advisory Committees	<ul style="list-style-type: none"> <li>• Provide input</li> </ul>
Court Community and State Stakeholders	<ul style="list-style-type: none"> <li>• Provide input</li> </ul>

Exhibit 1 in Appendix B provides the complete workflow diagram illustrating the process for development and modification of the strategic plan.

### ***Tactical Planning Process***

The task force is recommending that the Judicial Council adopt a two-year technology tactical planning cycle. These tactical plans should support the four-year Strategic Plan for Technology. The first such plan is included in the document titled “Judicial Branch Tactical Plan for Technology 2014–2016.”

The task force is recommending that the Information Technology Advisory Committee (ITAC) be responsible for drafting each tactical plan based on the strategic direction set forth in the adopted strategic plan. ITAC would be responsible for identifying the more-detailed projects; soliciting input on these concepts from court leaders, stakeholders, and other advisory committees; and recommending the tactical plan to the Judicial Council Technology Committee (JCTC).

**Recommendation 12: The Judicial Council should adopt a Tactical Plan for Technology every two years that will guide branch technology decisions.**

The tactical plan is scoped for a two-year time frame that allows for two tactical plans to be created for each four-year strategic plan. This structure provides a mechanism for dividing the work necessary to achieve the goals in the strategic plan into two manageable sets of tactical initiatives.

The JCTC will be responsible for reviewing the proposed tactical plan, considering the input from other advisory committees and groups, verifying fit with the strategic plan, and reevaluating prioritization within the tactical plan. Ultimately, the JCTC would recommend the tactical plan to the Judicial Council for approval.

Once the tactical plan is adopted, ITAC will be responsible for monitoring and overseeing the branch’s activities toward meeting the goals set forth in the tactical plan. This includes using the tactical plan as the primary input to ITAC’s draft annual work plan and for evaluating new technology initiative ideas.

Further, consistent with the recommendation for ITAC roles, ITAC will be responsible for facilitating tactical plan IT initiatives, as approved by the JCTC as part of the ITAC annual plan, through its new project approach.

The high-level responsibilities for this process are outlined below.

**Process for Developing and Updating the Tactical Plan for Technology**

Judicial Council	<ul style="list-style-type: none"> <li>Adopts recommended plan (2-year)</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>Directs ITAC to develop plan</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>Develops ideas for the plan</li> <li>Seeks input on potential plan</li> <li>Produces draft plan</li> <li>Incorporates comments/revises as appropriate</li> <li>Produces recommended plan</li> </ul>
Other Advisory Committees and Court Stakeholders	<ul style="list-style-type: none"> <li>Review</li> <li>Provide input</li> </ul>
Fiscal Committees (TCBAC and APJAC)	<ul style="list-style-type: none"> <li>Review for state-level fiscal impacts</li> <li>Identify funding sources or methods (if any)</li> <li>Produce fiscal analysis</li> <li>Comment on plan</li> </ul>

Exhibit 2 in Appendix B provides the complete process flow diagram illustrating the process for development and modification of the tactical plan.

### ***Information Technology Advisory Committee (ITAC) Annual Plan***

Strategic and tactical plans that outline what an organization hopes to accomplish are meaningless unless actual projects and effort conform to these planning efforts. The existing advisory committee planning structure addresses this issue by requiring each advisory committee to develop an annual plan that is subject to review by an internal committee to the Judicial Council and ultimately approval by the Judicial Council.

**Recommendation 13: The Information Technology Advisory Committee’s annual plan should be developed and adopted consistent with the Tactical Plan for Technology and approved by the Judicial Council Technology Committee.**

The task force is not recommending any change to this process but is instead clarifying the relationship between the annual plan for ITAC and the branch tactical plan. The tactical plan establishes a two-year technology roadmap for the branch. The annual plan identifies the individual projects scheduled for the next year. The annual planning process includes an overall evaluation and prioritization of any new ideas to be considered for the year as well as projects that will be continued from the previous year. Any modifications to an annual plan, once adopted, should go through a well-defined review and approval process and be reconciled with the tactical plan.

The high-level responsibilities for this process are outlined below.

#### **Process for Developing and Updating the ITAC Annual Plan**

Judicial Council	<ul style="list-style-type: none"> <li>Adopts recommended annual plan</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>Validates consistency with tactical plan</li> <li>Recommends annual plan adoption</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>Develops Annual Plan</li> <li>Produces Recommended Annual Plan</li> </ul>

Exhibit 3 in Appendix B provides the complete process flow diagram illustrating the annual planning process for ITAC.

## **Concept Approval Process**

Technology change is rapid. The task force's recommendations for a tiered planning cycle seek to allow opportunities for adjusting activities to account for new ideas and sudden advancements in technology. The task force acknowledges that a good technology idea now may be out of date in four years due to major advances in the industry. Because of this possibility, any planning process must remain fluid enough to allow for new innovations and ideas due to potentially significant improvements that they bring to information efficiencies for access to justice.

**Recommendation 14: The technology planning process should allow for new ideas and innovations to be evaluated and assessed during the planning cycle to determine if further evaluation and investigation would be beneficial.**

Competing with the need for innovation is the need to remain focused on goals and outcomes. Planning processes can fail under the weight of new ideas and the desire to meet all goals simultaneously. Staff can be pulled into too many projects, resulting in a dilution of time and energy and an inability, despite all best efforts, to bring projects to conclusion. To that end, the task force is recommending a concept evaluation approach that acknowledges the need for flexibility while building in controls to ensure this flexibility does not move technology efforts away from the core technology goals of the branch.

This initial process provides a screening or triage function for new ideas to determine if additional resources and time should be invested in fully investigating the idea.

The triage process will determine if a new idea should be added to the work of ITAC (and by extension the AOC's Information Technology Services Office and court staff participants).

First, new ideas can come from anywhere. Some may be a directive from the Judicial Council due to some major initiative, legislative change, or a need to respond to some critical failure. Others may be of such critical or time-sensitive nature that the JCTC desires to retain direct oversight of any project activities.

For all other projects, the task force is recommending that new technology ideas be directed to ITAC for initial concept review. This review will include an assessment of how well the ideas fit with the strategic plan and the tactical plan; whether a specific idea is already in ITAC's annual plan; whether an idea that is not in the annual plan can be accomplished with existing resources; and whether capacity exists to complete the project. During a subsequent Business Analysis Process, the court community and state stakeholders will have an opportunity to provide input on the concept. Projects will be funded per the funding model described later in this document.

Recommendations are then made by ITAC, based on this initial fast and limited assessment, whether to add the idea to the current annual plan, save it for the next annual plan, or take no action. These recommendations are then reviewed by the JCTC and any additions to plans are subject to Judicial Council approval.

The high-level responsibilities for this process are outlined below.

**Process for Evaluating New Branchwide Technology Ideas (Triage)**

Judicial Council	<ul style="list-style-type: none"> <li>• Determines if concepts are internally or externally mandated</li> <li>• Approves ITAC Annual Plan revisions (as required)</li> <li>• Adopts recommended plan</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Determines priorities</li> <li>• Determines if direct oversight by the Technology Committee is appropriate</li> <li>• Develops projects and executes projects with direct oversight</li> <li>• Recommends adoption of annual plan revisions (as required)</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Defines ideas for discussion with appropriate level of detail</li> <li>• Reviews ideas related to annual plan, technology principles, and tactical and strategic plans</li> <li>• Reviews ideas for risk, rewards, and capacity to complete</li> <li>• Determines if ideas are already in the plan and/or if they are a required addition</li> <li>• Recommends annual plan revisions</li> <li>• Develops and executes projects</li> </ul>
Funding Advisory (TCBAC and APJAC) and Other Advisory Committees	<ul style="list-style-type: none"> <li>• Define ideas for discussion with appropriate level of detail</li> </ul>

Exhibit 4 in Appendix B includes the complete process flow diagram illustrating the process for initial review and screening of new ideas and how to evaluate these ideas.

The task force believes this structure will encourage innovation while balancing the desire for new ideas against the need for a formal planning process.

### ***Technology Initiative Categorization Process***

After assessing a new idea and making a decision to continue with a more-detailed analysis and evaluation, the idea should be categorized and evaluated based upon the type of initiative. In general, the more branch-level resources are required, the more formal and detailed the branch-level involvement by the Judicial Council and its committees.

For example, a local trial court or consortium innovation that requires no branch-level support would not require approval by the Judicial Council and its committees. A local trial court initiative where special funds are needed or support from AOC staff is being requested would require review by ITAC, JCTC, and potentially the Judicial Council.

The high-level responsibilities for this process are outlined below.

#### **Process for Categorizing Initiatives**

Judicial Council	<ul style="list-style-type: none"> <li>• Approves new technology initiatives</li> <li>• Monitors the progress of branchwide programs</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Determines if direct oversight by the Technology Committee is appropriate</li> <li>• Establishes workstream team for projects with direct oversight</li> <li>• Categorizes the initiative</li> <li>• Monitors the progress of projects with direct oversight</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Establishes workstream team for project</li> <li>• Categorizes the initiative</li> <li>• Monitors the progress of project</li> </ul>
Local Courts	<ul style="list-style-type: none"> <li>• Establish local teams for local projects</li> </ul>

The previously recommended criteria described in the “Categorizing Technology Initiatives” section of this document can be used to help with this process. Exhibit 5 in Appendix B includes the full-sized process flow diagram illustrating the process for initial review and screening of new ideas and how to evaluate these ideas. The appellate courts have a separate process.

The appellate courts have historically worked as a consortium for technology needs, with guidance and direct support from the Administrative Office of the Courts (AOC), Information Technology Services Office (ITSO). To realize efficiencies and achieve economies of scale, the ITSO budget for core services is shared between the AOC and the appellate courts. The appellate courts share a single case management system, developed, hosted, and maintained by the AOC. Application and infrastructure upgrades are supported by the AOC and coordinated across the courts.

The current appellate court technology roadmap was developed in June 2013, through a joint effort between ITSO and the California Appellate Court Clerks Association (the association),

comprised of the clerk/administrators and assistant clerk/administrators from the Supreme Court and each Court of Appeal district. The courts use a technology roadmap to prioritize and guide technology initiatives. The appellate courts work with ITSO to adhere to a standard change management review and approval process. The appellate court user group, assisted by the AOC and comprised of representatives from each court (including system administrators), submits proposals for technology initiatives to the association for prioritization, approval, and authorization to proceed.

The association is responsible for forwarding recommendations for statewide initiatives to the Administrative Presiding Justices (APJ) Advisory Committee for approval. The APJ advisory committee reviews recommendations from the association for funding of local court enhancements, applications, and services. Initiatives originating from advisory committees and statewide initiatives requiring Judicial Council action or approval are submitted to the JCTC for final approval, in alignment with the overall governance model.

### ***Business Analysis Processes***

After categorizing an initiative either the Judicial Council Technology Committee or ITAC, depending upon the governance of the initiative, performs a detailed business analysis to determine risk, costs, benefits, and return on investment (ROI).

The process for detailed business analysis will vary based upon the type of initiative. The following pages provide decision diagrams for this process. The task force directs the reader to the following two key decision points:

1. Are branch resources being requested?
2. Does this project fit within the strategic and tactical plans?

These two questions guide the amount of branch-level involvement in the initiative.

The high-level responsibilities for these processes are outlined below.

#### **Project Execution: General Process for Statewide Program (Business Case/Approval)**

Judicial Council	<ul style="list-style-type: none"> <li>• Confirms need for statewide program development</li> <li>• Approves statewide program development</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Confirms applicability of statewide program development</li> <li>• Receives report on ITAC recommendation</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Establishes workstream team (if not already established)</li> <li>• Develops high-level business case and scope for statewide program (e.g., why it's needed, capability of establishing)</li> <li>• Seeks input</li> <li>• Determines recommendation if a statewide program is appropriate</li> <li>• Prepares full business case/report for statewide program, including cost benefit</li> </ul>
All Advisory Committees	<ul style="list-style-type: none"> <li>• Provide input on concept</li> <li>• Identify potential funding sources and recommendations for funding (TCBAC and APJAC)</li> </ul>
Court Community and State Stakeholders	<ul style="list-style-type: none"> <li>• Provide input on concept</li> </ul>

Exhibit 6 in Appendix B includes the complete process flow diagram illustrating the process for analyzing potential branchwide programs and solutions.

**Project Execution: General Process for Statewide Standards**

Judicial Council	<ul style="list-style-type: none"> <li>• Confirms applicability of standards development</li> <li>• Adopts recommended judicial branch standards</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Recommends creation of standards</li> <li>• Recommends adoption of standards</li> <li>• Receives report of ITAC recommendation</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Establishes workstream (if not already established)</li> <li>• Develops business case for standards (why needed, why capable of establishing)</li> <li>• Seeks input</li> <li>• Determines appropriateness of creating standards</li> <li>• Proposes standards be developed</li> <li>• Develops standards</li> <li>• Seeks formal public comment</li> </ul>
All Advisory Committees	<ul style="list-style-type: none"> <li>• Provide input on standards concept(s)</li> <li>• Provide input on standards</li> </ul>
Court Community and State Stakeholders	<ul style="list-style-type: none"> <li>• Provide input on standards concept(s)</li> <li>• Provide input on standards</li> </ul>

Exhibit 7 in Appendix B includes the complete process flow diagram illustrating the process for analyzing potential branchwide standards and guidelines.

**Project Execution: General Process for Local Court Innovation (Statewide Funding Request)**

Judicial Council	<ul style="list-style-type: none"> <li>• Approves project and funding source</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Determines if sufficient technology innovation funds are available</li> <li>• Determines if AOC staff support is required (if applicable)</li> <li>• Recommends projects and funding source to the Judicial Council</li> <li>• Approves projects</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Compares project idea against strategic and tactical plans</li> <li>• Evaluates risk, including capacity to complete</li> <li>• Evaluates all requests submitted by local courts and consortiums</li> <li>• Recommends approval</li> <li>• Receives project reports and includes in annual report to the Technology Committee</li> </ul>
Fiscal Advisory Committees (TCBAC and APJAC)	<ul style="list-style-type: none"> <li>• Review funding methods</li> <li>• Identify current year funding</li> <li>• Identify potential future funding and make recommendation (for or against)</li> </ul>
Consortia of Courts	<ul style="list-style-type: none"> <li>• Prepare and submit technology and funding requests</li> <li>• Manage project(s); may require AOC assistance</li> <li>• Report on progress (reporting detail requirement determined by level of funding)</li> </ul>

Exhibit 8 in Appendix B includes the complete process flow diagram illustrating the process for analyzing potential consortium programs and solutions.

**Project Execution: General Process for Local (or Consortium) Extensions of Branchwide Programs**

Judicial Council	<ul style="list-style-type: none"> <li>• Approves project and alternate funding source (if applicable)</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Recommends projects for approval</li> <li>• Confirms sufficient technology innovation funds are available</li> <li>• Recommends funding source (non-innovation fund)</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Evaluates requests for modifications of branchwide programs</li> <li>• Confirms conformance with standards (as applicable)</li> <li>• Evaluates impact of underlying system(s)</li> <li>• Determines if state funding is requested</li> <li>• Recommends approval</li> <li>• Receives report and includes in annual reporting to the Technology Committee</li> </ul>
Fiscal Advisory Committees (TCBAC and APJAC)	<ul style="list-style-type: none"> <li>• Review funding methods</li> <li>• Identify current-year funding</li> <li>• Identify potential future funding and make recommendation (for or against)</li> </ul>
Consortia of Courts	<ul style="list-style-type: none"> <li>• Prepare and submit local extension requests</li> <li>• Manage project; may require AOC involvement</li> <li>• Report on progress (reporting detail requirement determined by level of funding)</li> </ul>

Exhibit 9 in Appendix B includes the complete process flow diagram illustrating the process for analyzing potential local extensions.

**Project Execution: General Process for Local Court Innovation (Statewide Funding Request)**

Judicial Council	<ul style="list-style-type: none"> <li>• Approves project and alternate funding source (if applicable)</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Confirms sufficient technology innovation funds are available</li> <li>• Recommends projects for approval</li> <li>• Recommends funding source (non-innovation fund)</li> <li>• Approves projects</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Compares project idea against strategic and tactical plans</li> <li>• Evaluates risk, including capacity to complete</li> <li>• Evaluates all requests submitted by local courts and consortia</li> <li>• Recommends approval</li> <li>• Receives project reports and includes in annual report to the Technology Committee</li> </ul>
Fiscal Advisory Committees (TCBAC and APJAC)	<ul style="list-style-type: none"> <li>• Review funding methods</li> <li>• Identify current-year funding</li> <li>• Identify potential future funding and make recommendation (for or against)</li> </ul>
Local Courts	<ul style="list-style-type: none"> <li>• Prepare and submit local extension requests</li> <li>• Manage projects</li> <li>• Report on progress (reporting detail requirement determined by level of funding)</li> </ul>

Exhibit 10 in Appendix B includes a complete process flow diagram illustrating the process for analyzing potential local programs requiring branch funds.

### ***Project Execution Process***

After a project is approved, either the Judicial Council Technology Committee or ITAC, depending upon the governance of the initiative, forms a project team and executes the program using the workstream model to develop the solution. These project teams are not formal subcommittees or working groups but rather informal project teams identified for the specific purpose of executing the development of a branchwide program, standard, or guideline.

This process applies when developing branchwide programs and solutions or branchwide standards and guidelines. There is no intent to impose or enforce a particular development process for local court or consortia programs, which should be managed under the discretion of the local court or consortium. However, the task force encourages the use of this process and its checkpoints where appropriate in the spirit of information sharing and collaboration.

The high-level responsibilities for this process are outlined below.

#### **Project Execution: General Process for Statewide Program (Build)**

Judicial Council	<ul style="list-style-type: none"> <li>• Approves or denies scope/funding changes</li> <li>• Adopts deployment plan</li> </ul>
Technology Committee	<ul style="list-style-type: none"> <li>• Receives status reports</li> <li>• Recommends approval scope/funding changes</li> <li>• Approves/recommends deployment plans</li> </ul>
Information Technology Advisory Committee	<ul style="list-style-type: none"> <li>• Develops detailed requirements</li> <li>• Seeks internal/stakeholder comment</li> <li>• Prepares status reports</li> <li>• Prepares change orders (including funding)</li> <li>• Builds solutions</li> <li>• Recommends adoption of program / deployment plan</li> </ul>
All Advisory Committees	<ul style="list-style-type: none"> <li>• Provide input on requirements</li> <li>• Review/make recommendations on fiscal (TCBAC and APJAC)</li> <li>• Provide input on deployment plans</li> </ul>
Court Community and State Stakeholders	<ul style="list-style-type: none"> <li>• Provide input on requirements testing</li> <li>• Provide input on deployment plan (may include each court submitting readiness information)</li> </ul>

Exhibit 11 in Appendix B includes the complete process flow diagram illustrating the process for developing branchwide programs and solutions.

## Program Management Office Responsibility

The AOC Information Technology Services Office provides individual staff support to branchwide initiatives. That responsibility is essential for ensuring that branchwide initiatives are tracked and reported consistently.

In general, that function is performed by a program management office (PMO), which defines and maintains standards for project management, tracks project progress, and reports on project status. Providing visibility to project status helps project teams, managers, and sponsors understand whether activities are on track, within budget, or need assistance.

**Recommendation 15: The Judicial Council Technology Committee should work with the AOC Information Technology Services Office to establish a basic PMO function to support branchwide initiatives.**

Careful consideration should be made when establishing a PMO function. The PMO exists to support projects. It should be staffed to accomplish its main purpose but it does not have a governance role nor should it become an impediment to executing projects. A successful PMO supports project teams and their sponsors and does not act as a gatekeeper or bureaucratic organization to be avoided. The PMO function for branchwide initiatives should be formed from existing staff with any additional resource requirements approved by the Judicial Council Technology Committee.

## Program Prioritization Criteria

In the processes and decision flows described previously, projects and initiatives will need to be evaluated. Furthermore, scarce resources and funding result in the need to prioritize initiatives so that investments will provide the highest returns.

**Recommendation 16: The Judicial Council Technology Committee should implement an equitable, transparent methodology for prioritizing technology projects.**

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

A balanced scorecard approach relies on measuring several individual criteria grouped into key business categories. By applying weights to each of the criteria, more importance can be placed on some aspects.

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

A sample scorecard developed by the Technology Planning Task Force is included in Appendix C.

***Pilot Use of the Scorecard***

At the end of September 2013, the Judicial Council Technology Committee needed to identify a list of trial courts that had the highest need for funding to replace their aging case management systems. An initial survey indicated interest from 32 courts to participate in a budget change proposal (BCP) to request funding from the California Department of Finance. Recognizing the scarcity of available funding, the Judicial Council Technology Committee decided to pilot the use of the scorecard to prioritize the requests.

The Judicial Council Technology Committee used a transparent process involving broad and clear communications to the trial courts to ensure everyone had an opportunity to participate and that expectations were set appropriately. The sample scorecard was shared with the courts to be filled out. Fourteen formal requests were received and the Judicial Council Technology Committee used the scorecard to help facilitate their decision-making process, resulting in six proposals being included in the BCP.

The Technology Planning Task Force recommends the continued use of the scorecard with refinement over time to ensure that the measures best reflect the priorities and constraints of the branch when it is used.

## FUNDING

The current funding situation for technology in the branch is bleak. The source for funding branchwide initiatives is facing a deficit; restrictions on year-to-year carryover of funds results in de-prioritizing technology investments; and there is no guarantee that budget change proposals requesting additional General Fund monies will be funded.

A series of deep budget reductions to the branch has led to courthouse and courtroom closures, service hour reductions, furloughs, and other painful cuts to services the public needs and has come to rely on the courts to provide. On the technology front, many courts have outdated and sometimes unsupported systems, many of which are in critical need of replacement. Current court technology funding sources do not meet the need to operate on an ongoing basis. Only the continued use of trial court reserve funds has forestalled serious problems for most courts, and trial court reserve funds have been restricted to 1 percent of operational expenditures by the end of fiscal year 2013–2014. The statewide trial court budget has been severely impacted by previous reductions and redirection to trial court operations away from technology.

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

Once funding is restored, funding models and governance processes approved by the Judicial Council will be used to manage and allocate funds consistently, transparently, and predictably. In the interim, the governance process will provide the framework for managing funding requests.

## Existing Funding Sources

Five sources of funding support court technology for the trial courts and one ongoing source is available for the appellate courts.

### ***Trial Court Technology Funding***

Sources of funding for trial court technology include:

1. Two percent automation fund revenue;
2. Government Code section 77207.5 (replacement of 2 percent automation fund) trial court distributions;
3. State Trial Court Improvement and Modernization Fund (IMF; allocated by the Judicial Council);
4. Trial Court Trust Fund (allocated by the Judicial Council); and
5. Trial Court Trust Fund (allocated by the trial courts).

Of the five listed sources of available funding for trial court technology, the first two are statutorily dedicated to court technology and the other three have committed resources for those purposes.

The “2 percent automation fund” was established by the Legislature through Government Code section 68090.8 and restricted to the “development of automated administrative systems, including automated accounting, automated data collection through case management systems, and automated case-processing systems for the trial courts, together with funds to train operating personnel, and for the maintenance and enhancement of the systems” (excluding electronic reporting systems for use in a courtroom). Initially retained locally, beginning June 30, 1996, these monies became state funds and are now remitted to the IMF. Comprising 2 percent of criminal fines, penalties, and forfeitures collections, the average amount remitted to the IMF over the past three fiscal years has been \$16.7 million.

In addition, since January 1, 2006,<sup>3</sup> Government Code section 77207.5 has required the Judicial Council to allocate \$10.9 million annually from the Trial Court Trust Fund to trial courts for the development, implementation, and maintenance of automated systems as described in section 68090.8(a).<sup>4</sup>

The IMF funds are allocated by the Judicial Council to fund a variety of branchwide projects and programs that benefit the trial courts (Gov. Code, § 77209), not just to fund technology. Technology programs and projects have received approximately \$46.6 million annually from this source. In addition to funding technology, IMF allocations fund a range of services, including trial court security grants, the Litigation Management Program, self-help centers, and judicial leadership training. However, the IMF already faces a structural deficit as expenses have exceeded revenues and the existing reserve balance is being depleted. Current revenue and expenditure projections indicate an ongoing structural deficit of approximately \$25 million and a funding shortfall in FY 2014–2015 of between \$5 million and \$10 million.

The Judicial Council has traditionally made certain allocations of Trial Court Trust Fund (TCTF) monies to technology projects and currently funds programs providing direct, ongoing services to the trial courts. These allocations have been partially funding branchwide initiatives such as the Phoenix Financial and Human Resources systems, the California Courts Technology Center, and case management initiatives and operations. The total allocation has been approximately \$13 million annually in recent years, of which \$5.3 million has been offset by contributions from trial courts receiving the services.

The bulk of technology funding within the branch has come from TCTF allocations to each trial court for general court operations. The allocations do not separately identify a technology allocation component. The trial courts expend approximately \$180 million annually from their operational budgets to support the current level of technology. The expenditure levels of individual courts vary widely across courts and across fiscal years

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<sup>3</sup> With enactment of the Uniform Civil Fees and Standard Fee Schedule Act (Assem. Bill 145; Stats. 2005, ch. 75).

<sup>4</sup> Previously, Government Code section 77209(h) had required the Judicial Council to distribute to the trial courts a portion of the “2 percent automation funds” remitted at the time to the Trial Court Improvement Fund “not less than the revenues collected in the local 2 percent automation funds in fiscal year 1994–95.” The amount in FY 1994–1995 was \$10.9 million.

depending on the management decisions of each court concerning new initiatives and system replacements. These expenditures are subject to serious reduction in FY 2014–2015 as the trial courts are faced with the full impacts of budget cuts to the branch and the virtual elimination, through the imposed 1 percent cap on trial court reserves, of prior flexibility to mitigate these impacts.

### ***Appellate Court Technology Funding***

The appellate courts have only one dedicated source of funding—\$660,000 in General Fund monies, allocated to the Administrative Office of the Courts (AOC), through an ongoing budget change proposal (BCP). Beyond the BCP funding the appellate courts use their operating budget for salaries and benefits for their technical support staff, while the AOC’s Information Technology Services Office (ITSO) budget for core services is shared between the AOC and the appellate courts for technology initiatives.

## **Existing Technology Funding Approval Structure**

Historically, the technology funding structure of the branch has been derived through a complex process that included direct allocation, special allocation, loans, and some reimbursement. The organizational flow of funding to courts and projects was not based on a branchwide model and therefore was not always consistent. To further assist the courts, the Judicial Council implemented a process for providing “supplemental” funding based on emergency requests for financial assistance. This process has undergone some changes. In addition to the work of the Technology Planning Task Force, the Trial Court Budget Advisory Committee is also reviewing automation funding and allocation.

**Recommendation 17: Clarify and further establish the roles and relationships between the Judicial Council Technology Committee and the Trial Court Budget Advisory Committee with respect to technology and funding issues.**

This clarification will also ensure that resulting recommendations will align with the proposed models for technology governance and the judicial branch Strategic Plan for Technology.

## **Current Technology Funding Approaches in Other U.S. Jurisdictions**

The discussion of the existing funding sources (above) describes the source and amounts of existing technology funding for California’s state courts. In an effort to explore funding options, a survey of the technology funding streams for the judicial branches in other states and the federal government was undertaken (see Appendix A).

While the judicial branches in the majority of states generally depend upon general fund revenues from their state legislatures, the federal Public Access to Court Electronic Records (PACER) system and several states fund technology through specific filing fees and/or information access fees.

The Technology Planning Task Force is mindful that such fees may represent a barrier in access to justice even though technology is essential to the operation of the judicial system. Any new fees must balance these interests.

## **Underlying Principle and Strategy**

Most of the funding recommendations in the remainder of this document are based upon the principle of “*linking the funding source with the type of technology task to be accomplished.*” The recommendations also reflect a funding strategy that:

- Maximizes the benefit from existing funds;
- Seeks stable General Fund resources for core costs such as case management systems; and
- Searches for new funding sources to fund new initiatives.

## Technology Funding Categories

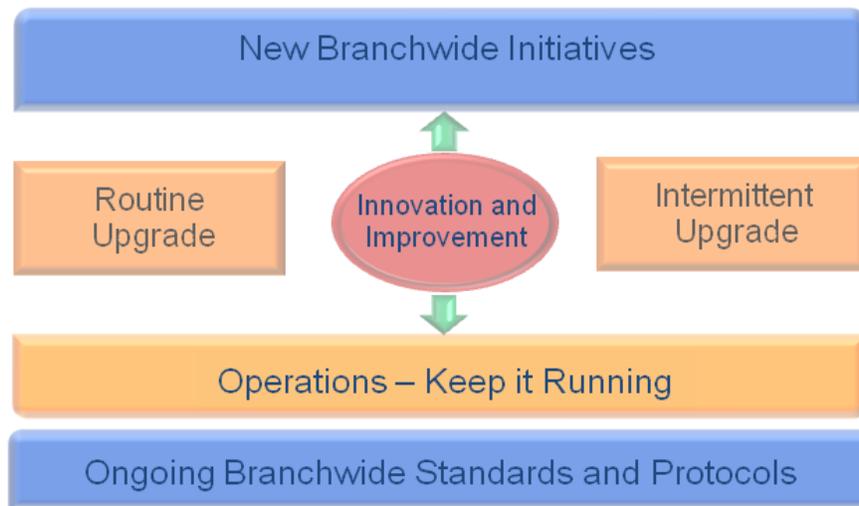
Funding for technology is used to cover a broad variety of expenses. These include one-time and ongoing expenses, investments in new technology as well as maintenance of existing solutions.

**Recommendation 18: Technology funds should be allocated according to technology expenditure categories.**

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

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

A summary of the funding categories is illustrated below.



The funding for New Branchwide Initiatives and Ongoing Branchwide Standards and Protocols will be managed at the branch level.

The funding for Routine Upgrade, Intermittent Upgrade, and Operations—Keep It Running will be managed at the local court level for local court expenses and at the branch level for expenses associated with branchwide initiatives.

The funding for Innovation and Improvement is managed at the branch level and dedicated to innovation and improvement projects that can be initiated anywhere in the branch.

***Operations—Keep It Running***

- Routine, ongoing information technology costs supporting core court operations.
- Year-to-year costs are typically stable and predictable. These costs are either fixed or vary based on the number of users or level of use.
- This category also includes costs associated with court staff or professional services needed to keep the core operations running.
- These expenses may be associated with the operations of technology programs at a local court or with ongoing operations of branchwide initiatives.
- Examples: Annual hardware and software maintenance; telecommunications services; e-mail services; data center costs; support and maintenance for the Appellate Court Case Management System; hardware and software maintenance and support costs for trial court case management systems.

***Routine upgrade***

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

***Intermittent upgrade***

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

***Innovation and improvement***

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

- Past improvement examples: imaging all active cases to allow a court to become paperless; data conversion; conversion of microform documents to electronic documents.

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

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

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

- A coordination effort is required when trial courts and/or appellate courts are exchanging data or otherwise interacting with state agencies, other trial or appellate courts, or local agencies. There is a value in having data exchange protocols or standards to minimize integration efforts. Funds could be available at the state level to fund the efforts to develop and maintain standards or protocols.
- There are a number of services and tasks that might be accomplished more economically and efficiently if done at a state level, on a regional basis, or through a consortium of courts.
- Ongoing maintenance of branchwide standards and protocols differs from typical operations and “keep it running” activities since there is periodic ongoing development required to keep the standards and protocols up to date.
- Examples: State-level data exchanges and data integration with justice partners for programs like CCPOR, CHP e-citations, and California Department of Child Support Services (DCSS) child support data; master service agreements for IT equipment, software, data centers, etc.

## Funding Sources and Governance

For each type of expense defined, the source for funding could vary as could the management requirements for those funds.

**Recommendation 19: Technology funds should be sourced and managed according to technology expenditure categories.**

The following chart summarizes the recommended funding sources and governance for each category of fund. A detailed description can be found in Appendix D.

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

### ***Linking Funding with the Technology Task to Be Accomplished***

Several actions must be taken to implement the previously described technology expenditure categories, proposed funding approaches, and appropriate governance. These actions can be summarized as follows:

1. Establish formula-driven funding from a stable, state-provided source for the routine costs of maintaining a court technology infrastructure and services. The rationale for this set of expenditures is that they can be identified and quantified within the current trial

court funding allocation formula, the Workload-based Allocation and Funding Methodology (WAFM), and formula funding/allocation of these costs within the trial court funding allocation formula can be established. A budget change proposal (BCP) would be prepared to cover the difference between the current state funding received and the actual cost of these expenditures. The funding would be allocated to individual trial courts each year by the Judicial Council based on WAFM. Once allocations are distributed, each court would continue to make its own decisions about actual expenditure of the funds. However, each court would have been equitably funded to meet its needs. These include:

- a. Keep it running—Ongoing information technology costs supporting basic core court operations. These costs remain fairly constant over time.
- b. Routine upgrade/update/refresh—Upgrades in hardware that occur on a regular basis, based on the expected life cycle of equipment. These costs may vary annually but are generally constant over time.
- c. Intermittent upgrade—More episodic and less predictable as to timing due to unplanned events. The triggering event is often a vendor’s decision to upgrade/sell/discontinue a product.

The routine costs of maintaining branchwide infrastructure and services is also included in this category but would be allocated to the AOC’s operating budget based upon approved plans.

2. A limited amount of innovation and improvement money should be allocated each year on a one-time competitive basis administered by the Judicial Council Technology Committee. These funds would not cover ongoing operating, license, or maintenance costs. The committee should consider factors such as the business case; how the proposed project increases access to justice, provides efficiencies, or provides information; innovation; potential for broader application; time required; matching monies; savings to be realized; collaboration with others; and compliance with guidelines in the Judicial Branch Contracting Manual for projects in excess of \$1 million and \$5 million. Not every technology innovation will result in a successful project scalable for branchwide adoption and therefore a ‘guarantee’ of branchwide application should not be required up-front.
3. New branchwide initiatives should follow the review and approval process described earlier in this document. Mandated initiatives, e.g., Phoenix Financial system, should provide both start-up and ongoing funding to cover the new costs. Where a mandated initiative replaces an existing cost, a “maintenance of effort” fee from the courts or an adjustment to the trial court funding allocation formula may be appropriate. Optional service offerings, e.g., Phoenix HR, should be reimbursed by the participating courts. New branchwide initiatives could be funded by BCPs, grant funds, consortia of courts, partnerships with other agencies, and/or public-private partnerships.
4. A limited amount of technology funding should be set aside each year in order to develop and maintain standards and protocols in areas where a single branchwide policy or standard would be beneficial, such as data exchanges and information security. It is essential to coordinate across courts with justice partners, the federal government, state executive branch agencies, and local law enforcement agencies on these tasks.

## Immediate Potential Sources of Funds

While reviewing the existing technology funding and the funding approval process, it was apparent to the Technology Planning Task Force that while many programs have been working well and providing great benefit to the branch, the prior funding process was perceived as being nontransparent, in part because it was not based on a branchwide model or formula and in part because of the complexity of the prior funding models. Work to address this concern within the Trial Court Budget Advisory Committee has already started.

**Recommendation 20: Review existing branchwide programs for confirmation of their ongoing benefit to the branch or determination of the need to wind them down.**

This review should address the necessity for the programs themselves; how program funding has been established; the context in which the funding was established; and the impacts of the proposed change in direction on any courts affected. Initial review indicates there are examples of state funds supporting optional programs that have benefited a limited number of participating trial courts. These circumstances have built up over time and cannot reasonably be changed overnight. However, they can, and should be, addressed over time to be more consistent with the new funding expenditure categories and the equity principles established with the WAFM implementation.

## New Funding Options

Merely redirecting existing funds would not resolve the technology funding shortfall for the branch. Similarly, relying upon the BCP process and a steady stream of General Fund revenues is unlikely to resolve the ongoing challenges. As recent experience has demonstrated, even relatively dependable funding sources can become unreliable in times of economic turmoil.

**Recommendation 21: Explore additional funding sources such as new or increased fees to support technology generally, fees for particular services or functionality, or fees that differ based on potential users of information or records.**

There may be fee opportunities that have the advantage of tying the revenues received to the service provided; for example, increasing existing fees, adding fees for specific services, and/or eliminating certain fee exemptions.

The Technology Planning Task Force also identified the following funding opportunities that are not fee based:

1. **Grants.** The judicial branch has historically had some modest success in attracting grants from external sources. While these have not provided major sources of funding, it may be possible to initiate new pilot or branchwide systems through grants in areas such as public safety, homeland security, criminal reporting, access to justice, remote interpretation, etc.

2. **Partner agencies.** The judicial branch has historically had some success in attracting funds by working with its partner agencies. Particularly in the area of electronic data exchange, working with our partners has served to improve the efficiency of both agencies by avoiding re-creation and re-keying of data.
3. **Voluntary fee, as part of State Bar dues, dedicated to expanding access to justice through automation of self-help.** As we work through the automation of the court process, we cannot leave the less-advantaged behind, and this is highlighted in the principles adopted by the Judicial Council. State Bar members are sensitive to this issue and may be willing to partially offset a portion of the cost of supporting this population through a voluntary check-off program.

## Issues for Large Multiyear Projects

The trial courts face a challenge in funding any large multiyear initiative due to the imposition on June 30, 2014, of a 1 percent cap on trial court reserves. The anticipated inability to save and manage funds presents a significant barrier to successful implementation of any large multiyear project, such as the replacement of any of the many failing local case management systems. When combined with the timelines and requirements of the Judicial Branch Contract Law, projects have steep, additional administrative burdens to overcome that add to project management complexity.

### **Recommendation 22: Establish a mechanism for funding large multiyear projects.**

The Technology Planning Task Force suggests two approaches to these issues:

- Modify the list of exemptions from the 1 percent–reserve calculations under Government Code section 77203 to include funds reserved for technology projects that are expected to last more than one calendar year or span more than one fiscal year;
- Implement a ‘savings’ program through a fund held by the Judicial Council, likely the IMF or TCTF. Instead of receiving a portion of their annual allocation, trial courts could deposit their monies in the central fund where these funds would be effectively ‘saved’ until the project deliverables are received.

## Immediate Issues Facing the Trial Courts

As mentioned earlier in this report, overshadowing the work of the Technology Planning Task Force have been three concerns of exigent proportion:

- Case management system replacement needs;
- Lack of adequate, dedicated funding and expenditure priority challenges, resulting in an IMF shortfall beginning in fiscal year 2014–2015; and
- Cap on the amount of unexpended funds that can be carried forward from one year to the next for larger technology projects, starting June 30, 2014.

While the work of the Technology Planning Task Force has been to focus on the long-term framework for branch technology, these looming issues require immediate attention and cannot be disregarded. In many respects, these exigent issues serve as case studies for the types of issues the budget framework proposed by the task force must address over time. The issues of immediate concern also provide a test basis for the solutions being developed. It is clear that the branch needs a long-term approach that is transparent and credible if we are to enlist the support of others to assist with the immediate problems at hand.

### ***Case Management System Replacement Needs***

The decision to terminate the California Court Case Management System (CCMS) initiative in March 2012 exacerbated the problem of outdated and often unsupported case management systems across the state. A court's case management system (CMS) is the very hub of its technology and operations. Courts had been largely 'on hold' regarding CMS technology during the CCMS effort. Not only did technology move past the systems in use during this time, but hardware changes, platform changes, and vendor support decisions also left many courts in dire situations with no clear path forward. A survey of trial courts in May 2012 indicated 5 courts with the urgent need to replace their case management system within 12 months; 17 courts in discussion, or near discussion, with their CMS vendor to upgrade their CMS; and 19 courts requiring replacement of their CMS within the next five years. A branchwide request for proposals was completed in May 2013 and established master service agreements with three commercial CMS vendors. However, the combination of the long lead times required to implement a new CMS, the massive state budget cuts, and a new 1 percent limit on reserves effective June 30, 2014, has prevented most affected courts from moving forward with new systems.

### ***IMF Shortfall in Fiscal Year 2014–2015***

The task force recognizes the impending shortfall in the IMF for the branch. The IMF supports many significant branch programs, including the Litigation Management Program, self-help centers, and judicial leadership training, as well as providing some \$46.6 million annually for branch technology. The branch response to massive state budget reductions has worked to diminish the fund balance in the IMF to the point that, in fiscal year 2014–2015, the fund will be unable to support even the existing programs. Instead, the forecasts show a reduction in expenditures of \$5 million to \$10 million may be required. As the affected branch programs have already been subject to massive cuts, it is unclear how this reduction could be achieved without further reducing the monies available for branch technology.

### ***Cap on Amount of Funds that Can be Carried Forward***

The new 1 percent limit on reserves, effective June 30, 2014, is preventing many courts from moving forward with functioning, updated case management systems. As most large automation projects will span multiple fiscal years, providing funding security is an important component for success. Further, year-end fiscal pressures should not be allowed to become a factor in determining the acceptability of project deliverables. The new fiscal constraints could mean that trial courts will be facing a choice between a lesser product that can be delivered within the fiscal deadline or no product at all.

It is evident these three immediate issues only exacerbate the technology funding problems. At the very time additional investment is needed to rectify the critical needs for case

management, a significant existing funding source is drying up and will be unable to sustain funding at even the current levels.

### ***Addressing Immediate Issues***

The following table identifies potential actions to address these immediate issues.

Action	CMS Replacement	IMF Shortfall	Notes
Provide funding based on the trial court funding allocation formula (currently WAFM) for operations and for routine and intermittent upgrades of technology and pursue a budget change proposal (BCP) for the gap between the current state funding for the courts' ongoing technology expenses and the projected actual cost, based on industry standards and norms, for operations and for routine and intermittent upgrades of technology.	Neutral	Neutral	
Establish a fixed, moderate amount of annual funding to support technology innovation and improvement and small-scale new branchwide initiatives.	Neutral	Slightly Negative as IMF would be a candidate source.	
Submit BCPs for major new branchwide initiatives, including their anticipated ongoing operating and maintenance costs, initially on an individual initiative basis but with a future goal of augmenting current ongoing statewide automation funding.	The most obvious source of CMS replacement funding if CMS is considered basic to court operations.	Assists	Could relieve some of the pressure on the IMF; not feasible for courts to accumulate funds for CMS replacement if 1% cap is not lifted.
Clarify and further establish the roles and relationships between the Judicial Council Technology Committee and the Trial Court Budget Advisory Committee with respect to technology issues.	Neutral	Neutral	
Review existing branchwide programs for confirmation of their ongoing benefit to the branch or determination of the need to wind them down.	Assists	Assists	
Consider the business case and take into consideration any return on investment that can be leveraged when developing funding strategies for a project.	Assists	Assists	

Action	CMS Replacement	IMF Shortfall	Notes
Explore additional funding sources such as new or increased fees to support technology generally, fees for particular services or functionality, or fees that differ based on potential uses of information or records.	Assists	Assists	
Options to address 1% reserve cap for large projects:  Modify the list of exemptions from the 1%-reserve calculations to include technology projects that exceed the 1%-reserve limit or last more than one fiscal year;  Implement a 'savings' program through a fund held by the Judicial Council allowing trial courts to 'save' funds until technology deliverables are received. (As stated earlier under " Issues for Large Multiyear Projects.")	Assists	Neutral	

The work of the Technology Planning Task Force has been to make recommendations for stable, long-term funding sources for judicial branch technology. At the same time, the task force recognizes significant and immediate issues facing the branch in technology funding.

The set of funding actions above is intended to provide a framework to rebuild some modicum of effective case management system capability and to establish a strong, equitable foundation for the ongoing operation of branch technology systems.

## CONCLUSION

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

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

## Expected Outcomes

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

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

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

## SUMMARY OF RECOMMENDATIONS

### Governance

Recommendation 1: The Judicial Council should adopt a new judicial branch technology vision.

Recommendation 2: The Judicial Council should augment the Guiding Principles for California Judicial Branch Initiatives by adopting four additional principles.

Recommendation 3: Judicial branch technology initiatives should be governed based on the type of solution being sought and implemented.

Recommendation 4: The Judicial Council and its committees should classify projects into the defined technology categories based on a set of predefined and transparent criteria.

Recommendation 5: The Judicial Council should retain the internal Technology Committee and the supporting technology-related advisory committee.

Recommendation 6: Rename the Court Technology Advisory Committee as the Information Technology Advisory Committee.

Recommendation 7: Modify the charge and structure of the Information Technology Advisory Committee to include the responsibility of ITAC to facilitate technology initiatives, as directed by the Judicial Council Technology Committee, consistent with the branch Strategic Plan for Technology and Tactical Plan for Technology.

Recommendation 8: Project governance, oversight, and facilitation activities should be dependent upon the amount of branch-level resources required/requested.

Recommendation 9: The Judicial Council Technology Committee should consider input from the fiscal advisory committees and leadership advisory committees prior to making recommendations to the Judicial Council

Recommendation 10: Branch-supported technology projects should leverage the workstream approach for facilitating efforts when appropriate.

Recommendation 11: The Judicial Council should adopt a Strategic Plan for Technology every four years that will guide branch technology decisions.

Recommendation 12: The Judicial Council should adopt a Tactical Plan for Technology every two years that will guide branch technology decisions.

Recommendation 13: The Information Technology Advisory Committee’s annual plan should be developed and adopted consistent with the Tactical Plan for Technology and approved by the Judicial Council Technology Committee.

Recommendation 14: The technology planning process should allow for new ideas and innovations to be evaluated and assessed during the planning cycle to determine if further evaluation and investigation would be beneficial.

Recommendation 15: The Judicial Council Technology Committee should work with the AOC Information Technology Services Office to establish a basic PMO function to support branchwide initiatives.

Recommendation 16: The Judicial Council Technology Committee should implement a equitable, transparent methodology for prioritizing technology projects.

## **Funding**

Recommendation 17: Clarify and further establish the roles and relationships between the Judicial Council Technology Committee and the Trial Court Budget Advisory Committee with respect to technology and funding issues.

Recommendation 18: Technology funds should be allocated according to technology expenditure categories.

Recommendation 19: Technology funds should be sourced and managed according to technology expenditure categories.

Recommendation 20: Review existing branchwide programs for confirmation of their ongoing benefit to the branch or determination of the need to wind them down.

Recommendation 21: Explore additional funding sources such as new or increased fees to support technology generally, fees for particular services or functionality, or fees that differ based on potential users of information or records.

Recommendation 22: Establish a mechanism for funding large multiyear projects.

## Appendix A: State Funding Benchmark

As part of the data-gathering effort for the Technology Planning Task Force, a survey of how judicial branch technology is funded in other jurisdictions was undertaken. Key technology contacts were approached and interviewed in each state. The states are grouped so that similar funding strategies appear together. The federal information was taken from publically available sources.

Jurisdiction	How Technology Is Funded
Alaska	Technology monies are designated by the legislature from the state general fund. State legislators are provided low-level detail of intended use, e.g., licensing; hardware replacement, etc.
Texas	Technology funds are a specific allocation from the state general fund. How the funds are utilized is determined within the judicial branch. State-wide e-filing has been funded by additional fees paid to a private vendor. However, this was just changed so that the funds pass through the branch. Local counties fund the trial courts without support from the state or fees.
Massachusetts	Technology monies are part of the larger branch allocation from the state general fund. Branch allocates money to technology as required. Specific requests are made to the legislature for capital projects.
Georgia	Technology monies are part of the larger branch allocation from the state general fund. Branch allocates money to technology as required. Specific requests are made to the legislature for capital projects. Counties fund their own court technology or can use centralized, statewide case management systems at no charge. Court allocation is 0.78% of state budget.
Utah	Technology monies are part of the larger branch allocation from the state general fund. Branch allocates money to technology as required. Approximately 10% of revenues are cost recovery from services. Credit card fees are paid by interest on accounts. E-filing service charge goes entirely to service provider. Document sales split with court producing the document.
Indiana	Filing fee of \$5 to \$7 per filing is in place statewide to support statewide technology. However, counties can fund their own case management systems if desired and upon approval of application. The centralized, statewide case management systems are available at no charge to the counties. A new oversight committee has just been established with members from the state technology agency, the court, and both parties in the state assembly and senate.
Federal Government—Public Access to Court Electronic Records (PACER)	As mandated by Congress, the public access program is funded entirely through user fees set by the Judicial Conference of the United States. The fees are published in the Electronic Public Access Fee Schedule, available on <a href="http://www.uscourts.gov">www.uscourts.gov</a> and <a href="http://www.pacer.gov">www.pacer.gov</a> . Funds generated by PACER are used to pay the entire cost of the judiciary's public access program, including telecommunications, replication, and archiving expenses, the case management/electronic case files system, electronic bankruptcy noticing, Violent Crime Control Act Victim Notification, online juror services, and courtroom technology.

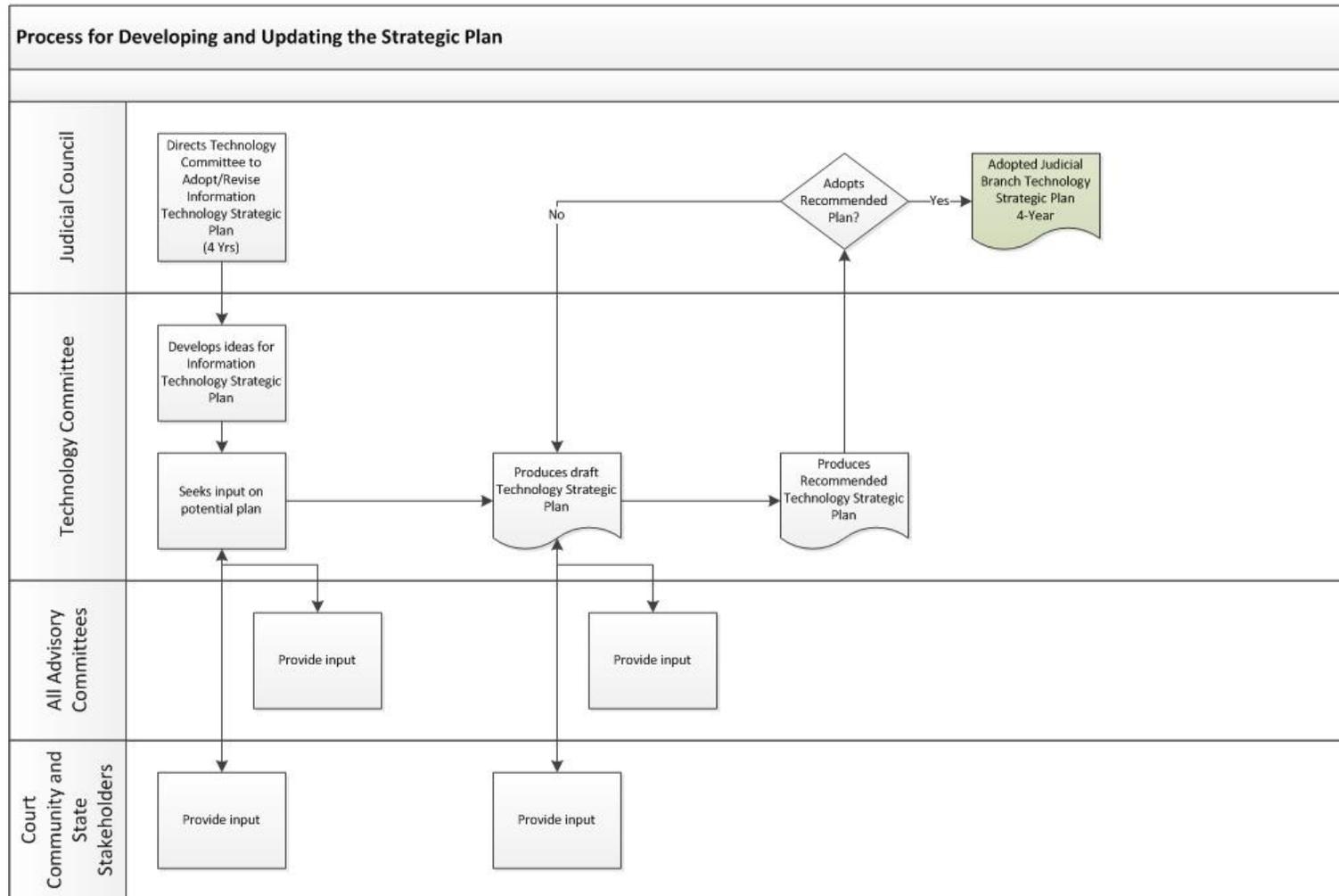
Jurisdiction	How Technology Is Funded
Colorado	Technology is funded by fees on data access and filing. Technology does not receive general fund monies, but money can be requested for capital projects.
Arizona	Non-unified system: Municipal courts funded by the cities; justice of the peace courts funded by the counties; superior and appellate courts funded by the state. Judicial branch also operates adult and juvenile probation. Probation technology is paid from state general fund monies. Court technology is paid from a civil filing fee surcharge called 'Judicial Collection Enhancement'. There are additional, targeted programs that are self-financing; e.g., e-filing; intensive payment program. Court technology funds pay for operation, infrastructure, and new development. The two largest counties operate their own case management systems, at their own cost; but tie to the statewide infrastructure and e-file, etc. Use a 'Business Technology Committee' and a 'Technologist Committee' to oversee technology.
Illinois	Technology is largely county based and each county may opt to impose filing fees for automation and/or records storage up to a maximum amount established by the legislature. There is currently some preliminary investigation of an additional fee to fund statewide automation.

# Appendix B: Detailed Process and Decision Flows

## Exhibit 1: Process for Developing and Updating the Strategic Plan

California Judicial Branch  
Technology Governance and Funding Model

V10.8

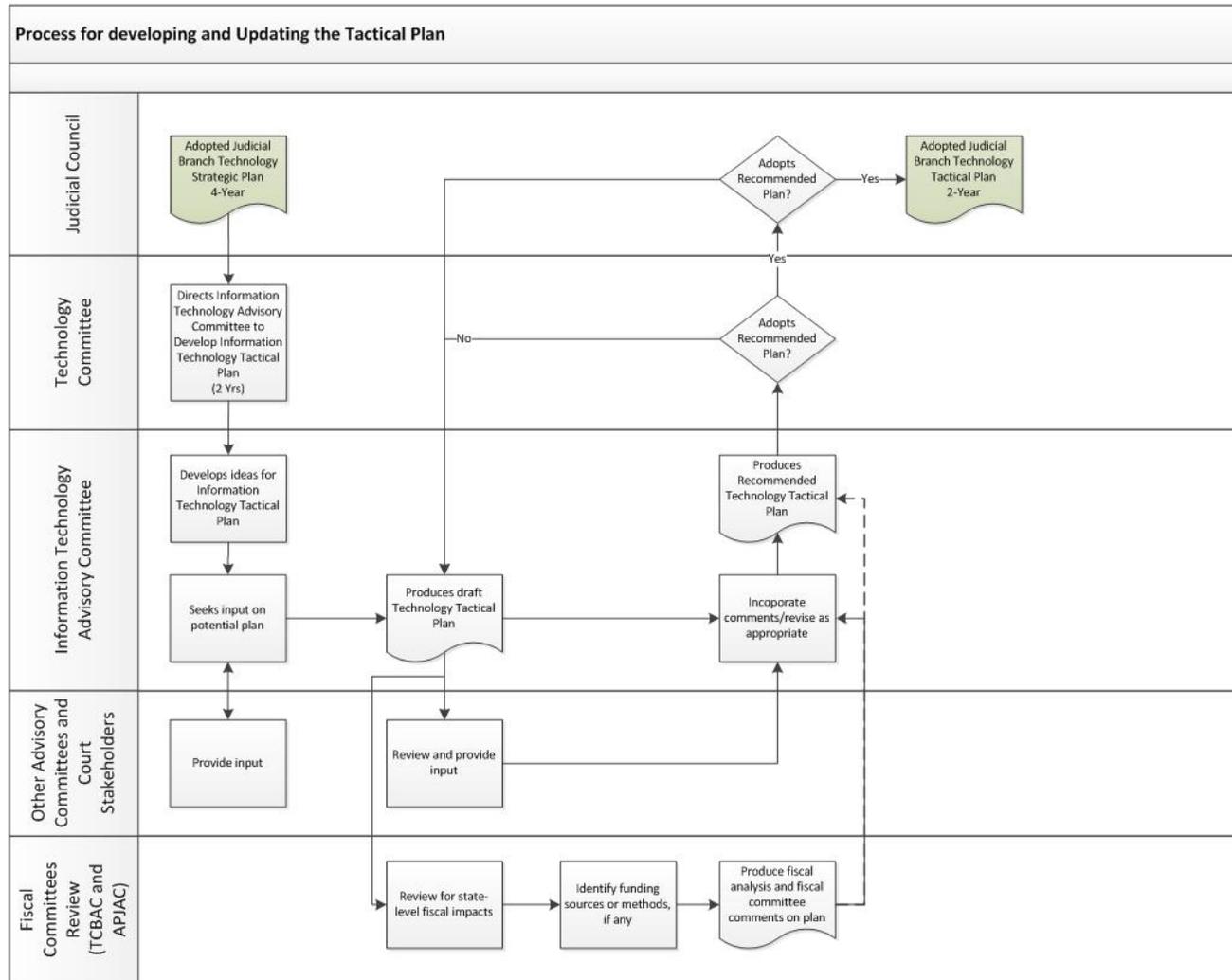


## Appendix B: Detailed Process and Decision Flows

### Exhibit 2: Process for Developing and Updating the Tactical Plan

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

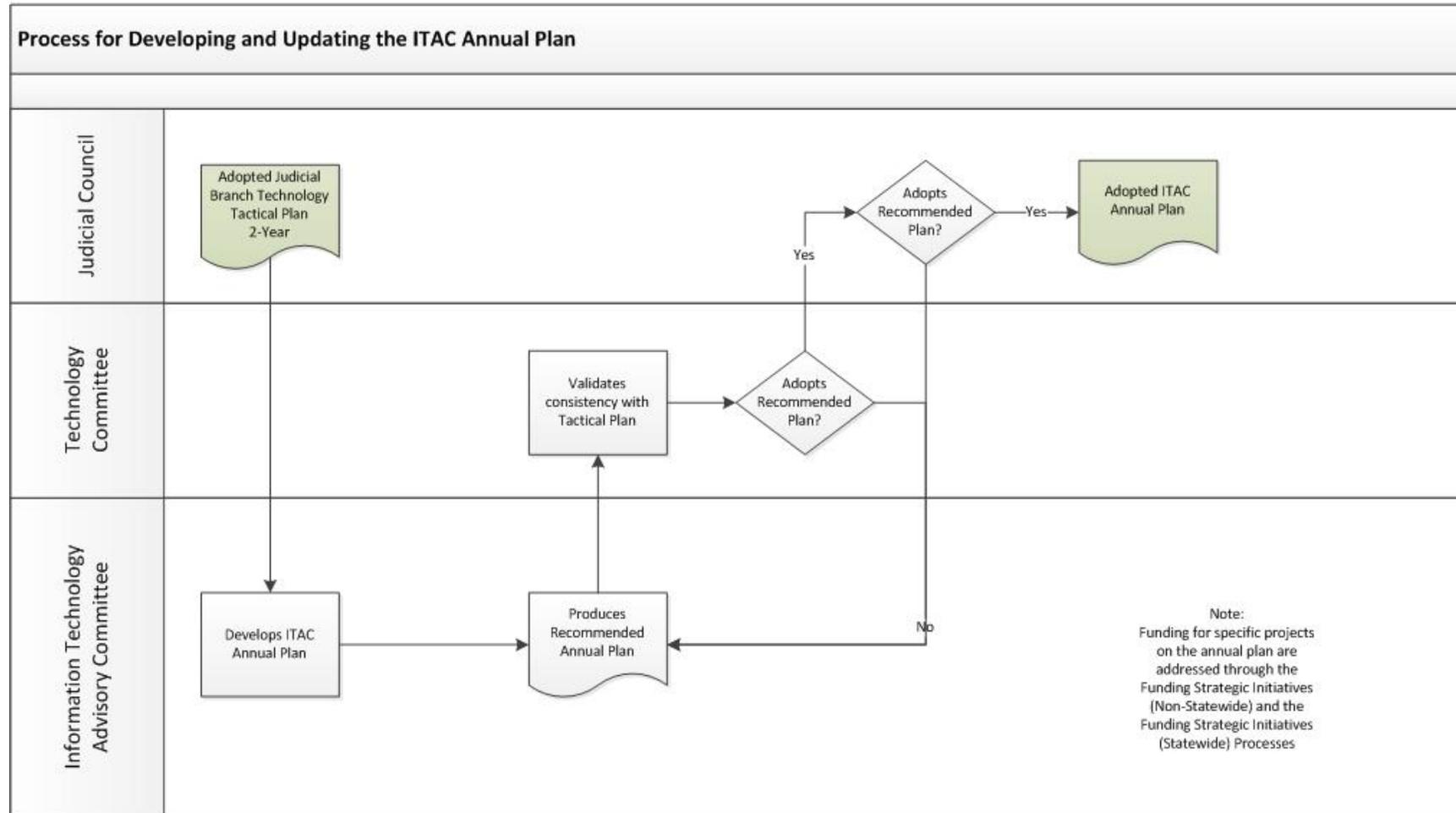


## Appendix B: Detailed Process and Decision Flows

### Exhibit 3: Process for Developing and Updating the ITAC Annual Plan

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

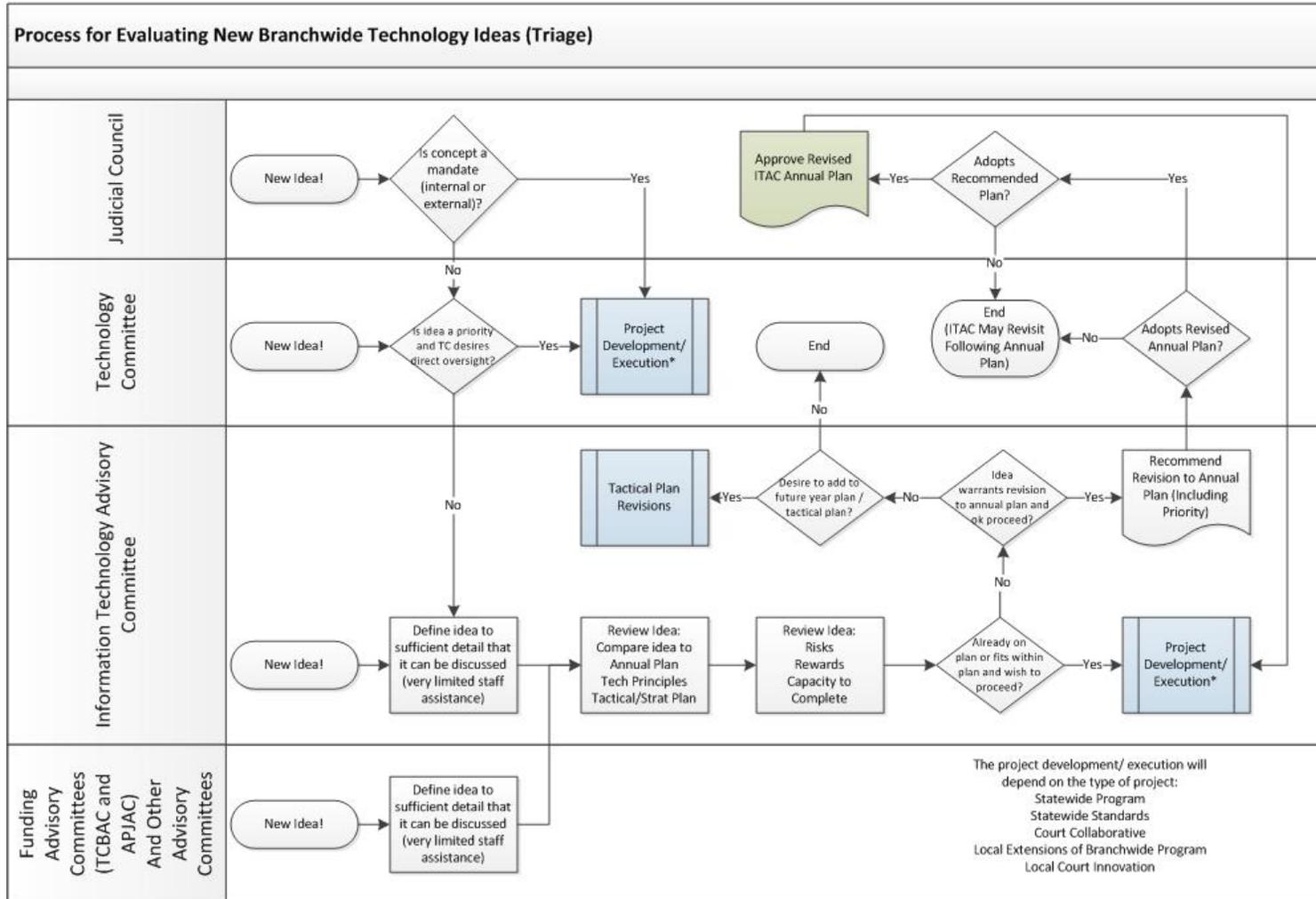


## Appendix B: Detailed Process and Decision Flows

### Exhibit 4: Process for Evaluating New Branchwide Technology Ideas (Triage)

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

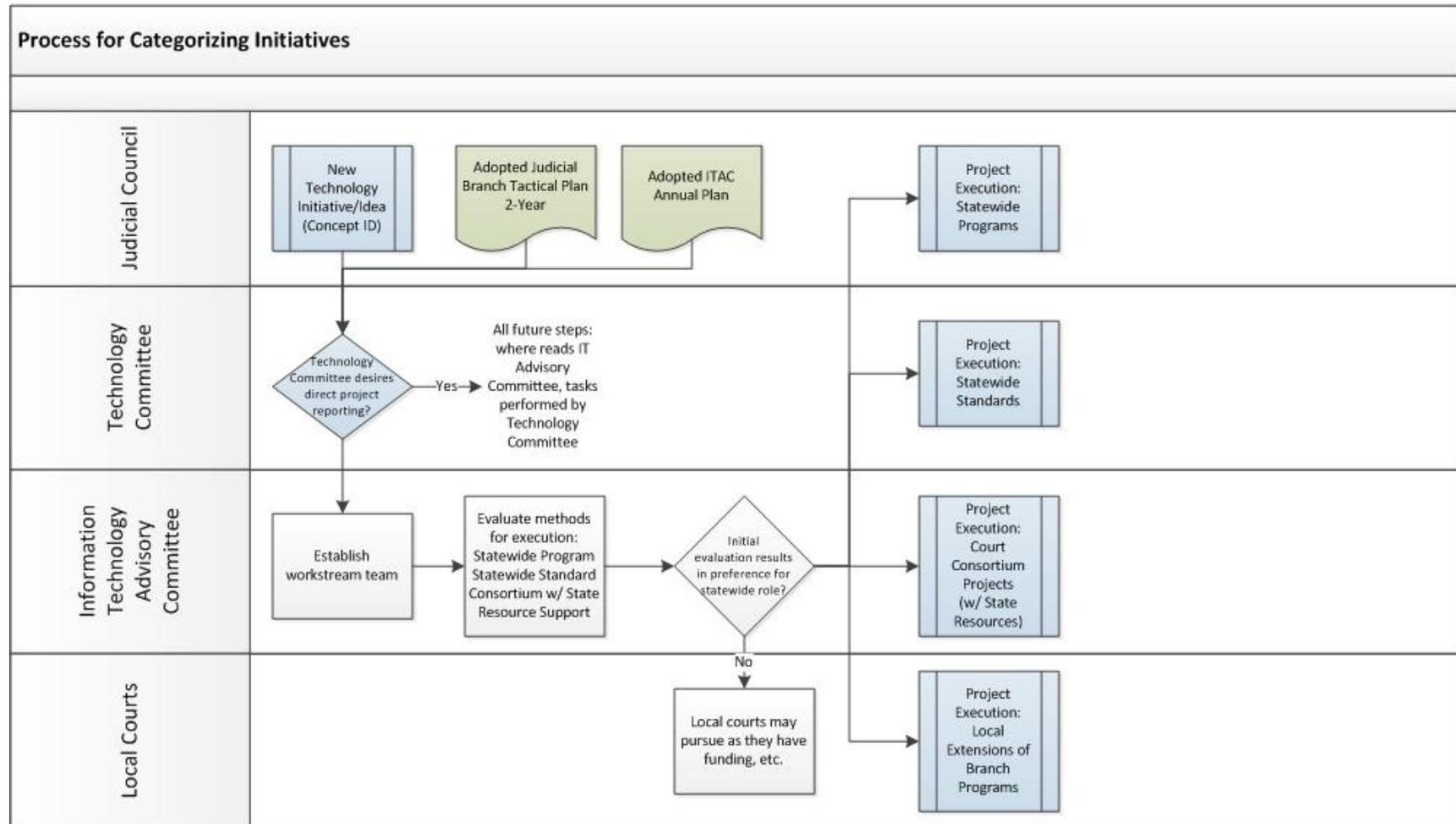


## Appendix B: Detailed Process and Decision Flows

### Exhibit 5: Process for Categorizing Initiatives

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

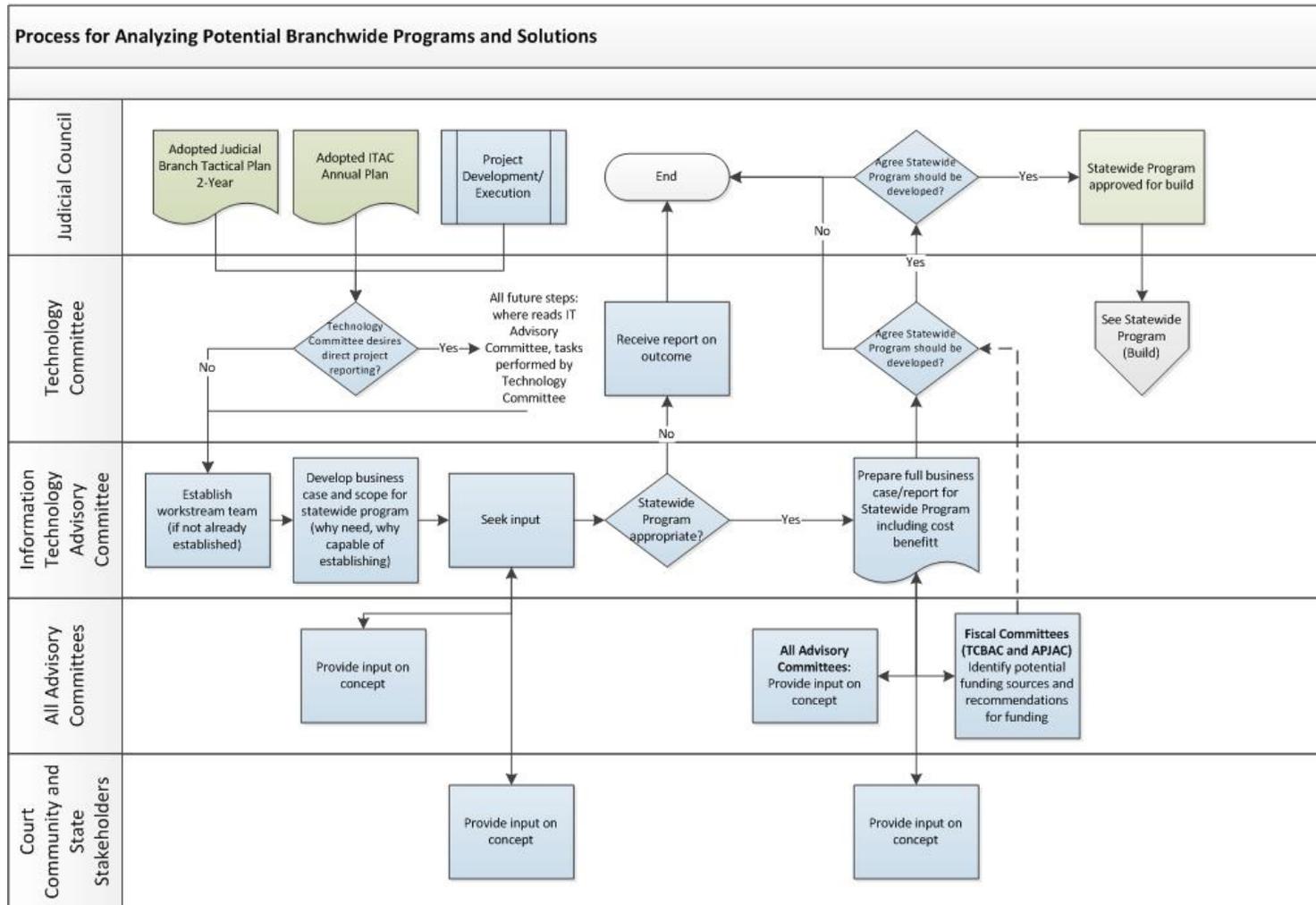


# Appendix B: Detailed Process and Decision Flows

## Exhibit 6: Process for Analyzing Potential Branchwide Programs and Solutions

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

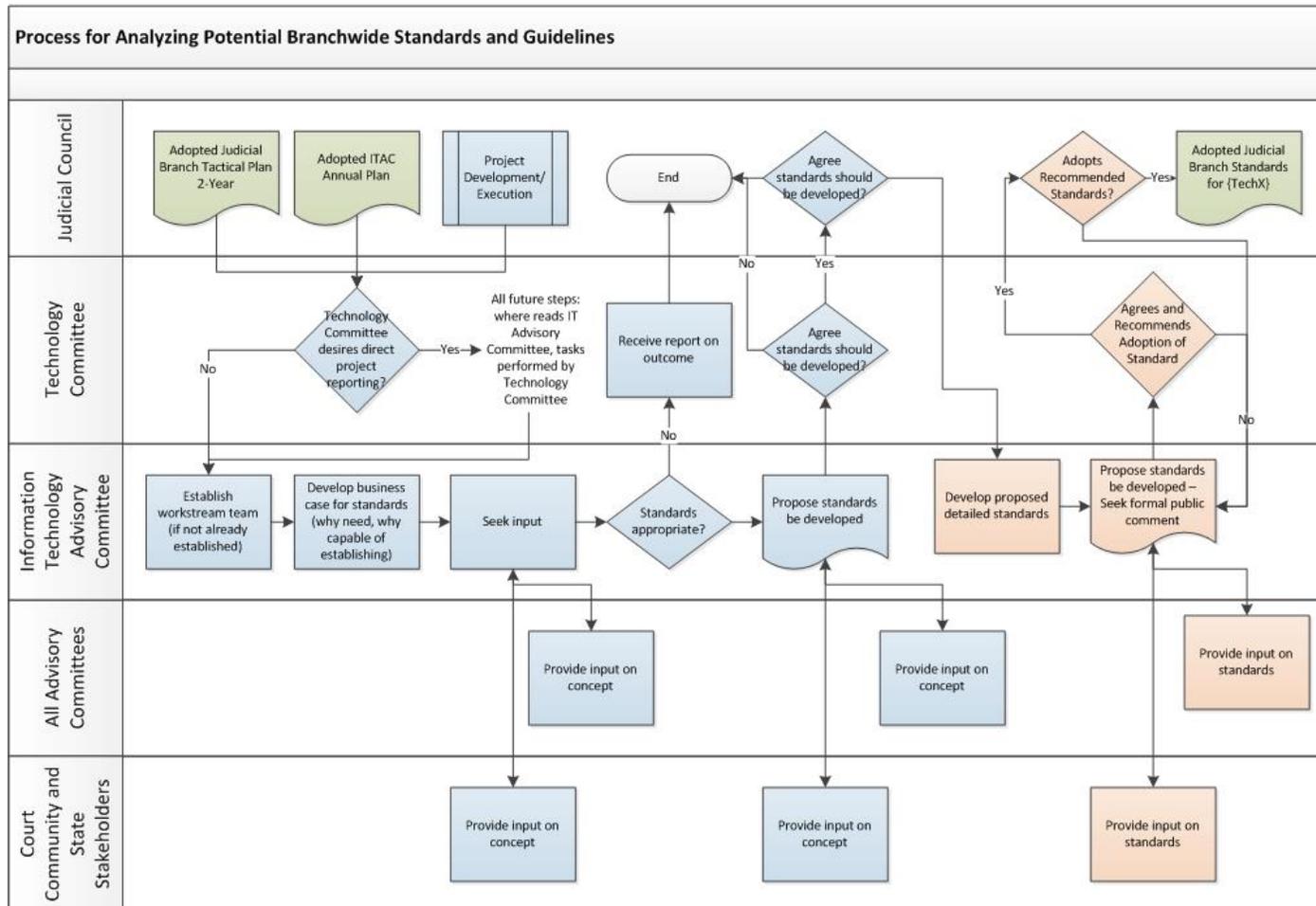


# Appendix B: Detailed Process and Decision Flows

## Exhibit 7: Process for Analyzing Potential Branchwide Standards and Guidelines

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

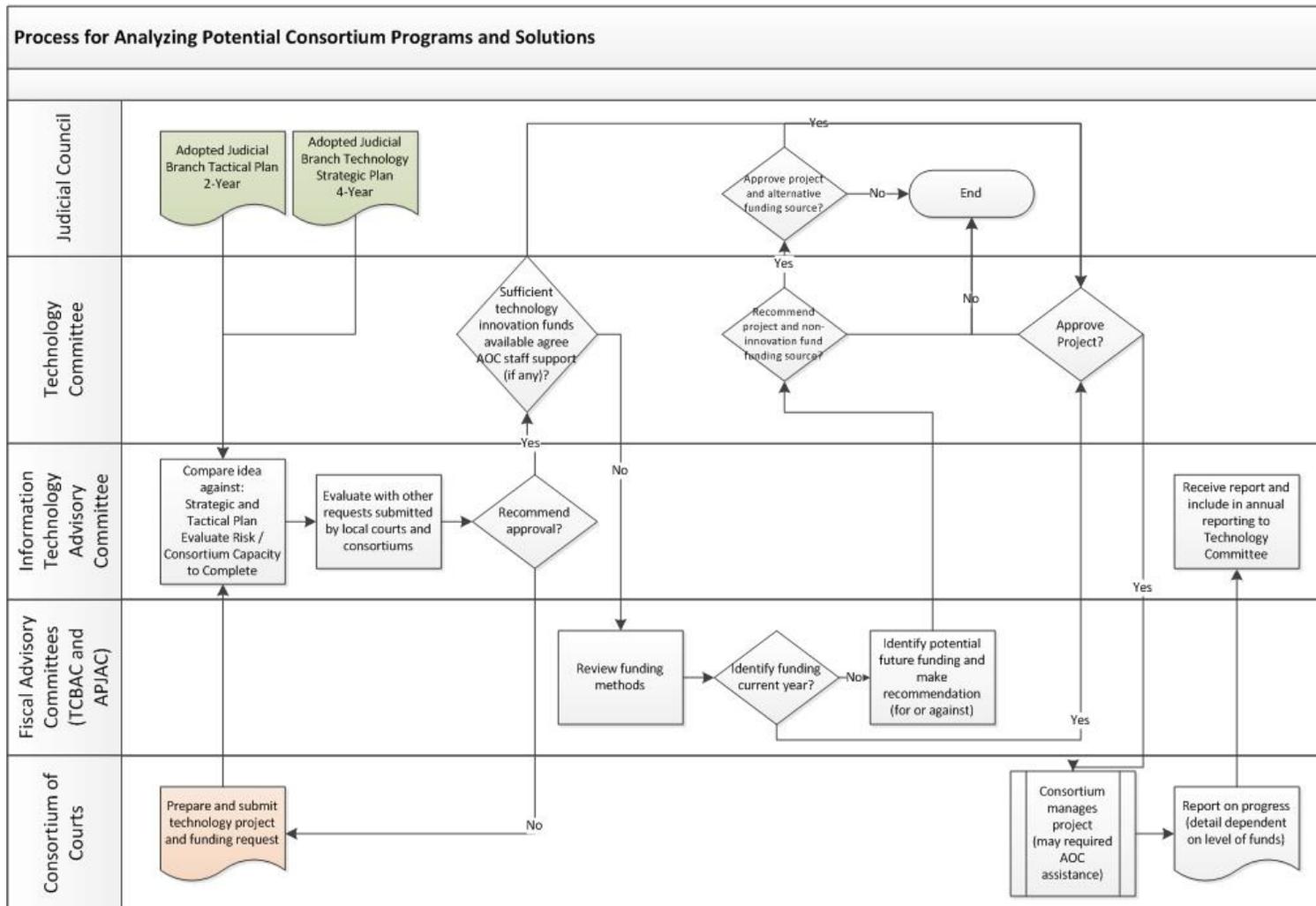


## Appendix B: Detailed Process and Decision Flows

### Exhibit 8: Process for Analyzing Potential Consortium Programs and Solutions

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

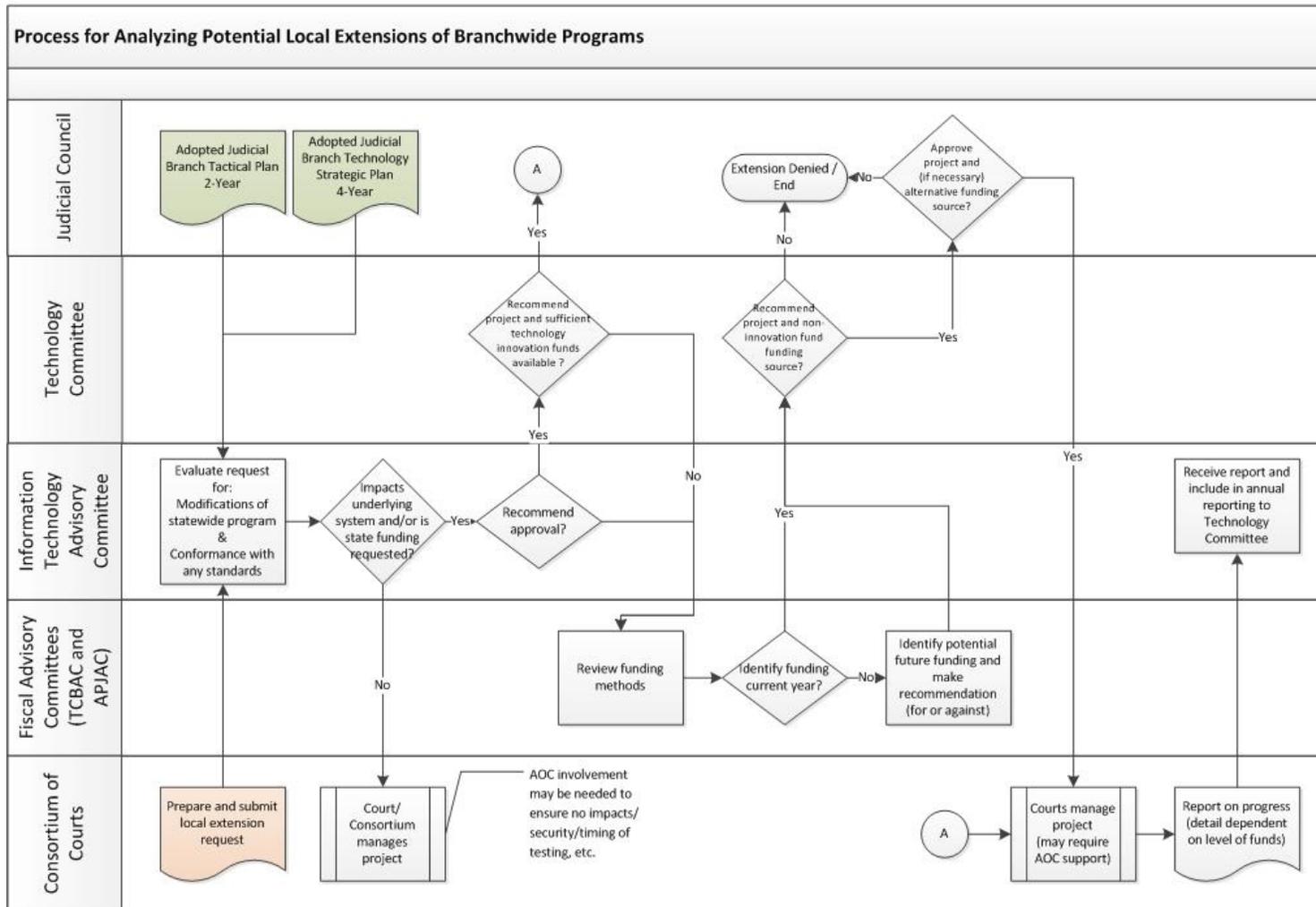


# Appendix B: Detailed Process and Decision Flows

## Exhibit 9: Process for Analyzing Potential Local Extensions

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

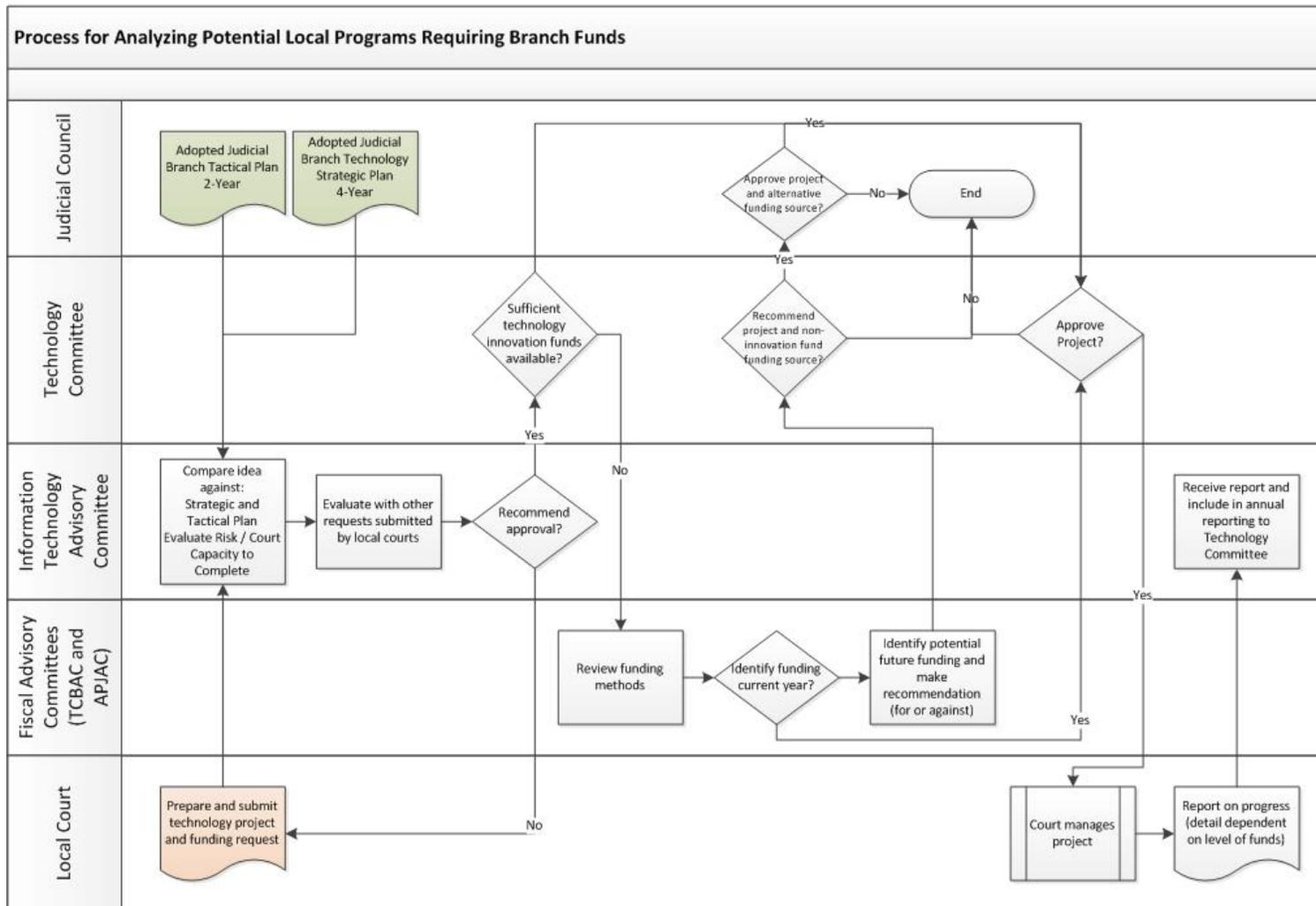


# Appendix B: Detailed Process and Decision Flows

## Exhibit 10: Process for Analyzing Potential Local Programs Requiring Branch Funds

California Judicial Branch  
Technology Governance and Funding Model

V 10.8

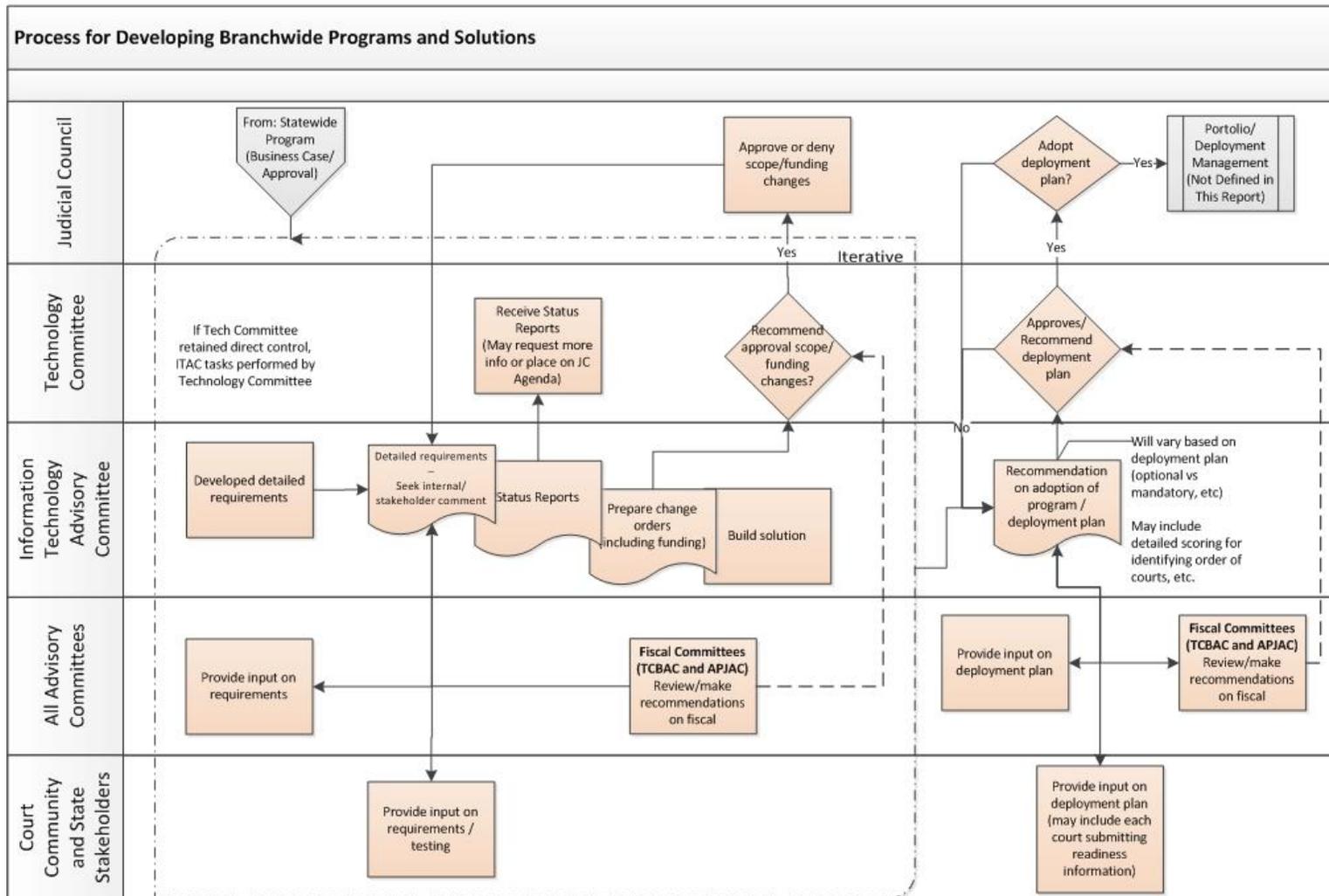


# Appendix B: Detailed Process and Decision Flows

## Exhibit 11: Process for Developing Branchwide Programs and Solutions

California Judicial Branch  
Technology Governance and Funding Model

V10.8



## Appendix C: Project Evaluation Scorecard

DRAFT Project Prioritization Scorecard						
Court Name		<h1>DRAFT</h1>				
Submitter's Name						
Requested Funds						
Project Description						
Project Evaluation Criteria		Response	Score	Weight	Weighted	Comments
Strategic Alignment	Alignment with Branch Strategic Goals (Access)	2-3 Goals	2	5	10	
	Alignment with Branch Technology Priorities	High	3	3	9	
	External partner Alignment	None	0	3	0	
					<b>19</b>	
External Impact	Public Benefit	High	3	5	15	
	Justice Partner Benefit	"some"	2	5	10	
					<b>25</b>	
Benefit Realization	Scope of impact	Consortia	2	3	6	
	Financial ROI	0-2 Years	3	5	15	
	Likelihood of benefit realization	Medium probability	2	5	10	
					<b>31</b>	
Organizational Risk Mitigation	Urgency for change - operations	Urgent	3	5	15	
	Urgency for change - legal/regulatory/compliance	Not urgent	0	5	0	
	Organization readiness	Minor concerns	2	5	10	
					<b>25</b>	
Technology Alignment / Fit	Level of alignment with branch-wide technology standards	Aligned	3	4	12	
	Level of alignment with branch-wide vendors	Aligned	3	2	6	
	Level of alignment with branch architecture	Aligned	3	3	9	
					<b>27</b>	
Technology Risk	Existing infrastructure can support this project	Covered	3	3	9	
	Identified tech staff can support this technology	No	0	3	0	
	Product / technology maturity	New / Mature	2	3	6	
					<b>15</b>	
					<b>142</b>	

In the example above, the scorecard has been filled out for a sample project. Each of the evaluation criteria in the first column was used to assess the project and 0-3 points assigned based upon the result. For example, on the first row, the project aligns with 2-3 of the branch strategic goals and 2 points were assigned. Had it aligned with 4 or more goals, 3 points would have been assigned. Each of the criteria is weighted to emphasize its relative importance and a final weighted scored calculated. All scores are then added up for a total score which can then be compared with other projects that have been assessed in the same manner.

## Appendix D: Detailed Description of Funding Categories

<b>CATEGORY OF EXPENDITURE</b>	<b>CURRENT FUNDING APPROACH</b>	<b>PROPOSED FUNDING APPROACH</b>	<b>RESPONSIBLE GROUP</b>
<p><b>1. OPERATIONS—KEEP IT RUNNING</b>  <b>Description:</b> Routine, ongoing information technology costs supporting basic core court operations. These costs are either fixed, or vary based on number of users or level of use, which is fairly constant.</p> <p><b>Examples:</b> Annual software licenses; hardware maintenance, telecommunications services (such as Internet access); e-mail services; data center costs (county, AOC-CCTC, or private). Software could include operating systems, e-mail, office systems, CMS, DMS, jury management, HR, payroll, etc.                      Also includes costs associated with court staff or professional services needed to keep the core operations running. Court staff may include network administrators, technicians, help-desk staff, business analysts and developers needed to maintain</p>	<p><b>TRIAL COURTS:</b>                      The new WAFM trial court funding allocation model recently approved by the Judicial Council implicitly includes a certain level of IT expenditures as part of the ratios for Program 90 staffing level and OE&amp;E expenses, which ratios are based on actual past Program 90 staffing and OE&amp;E expenditures in trial courts. The allocation is individual to each trial court.</p> <p>Since the shift to greater state funding there has been funding deposited and appropriated at the state level and allocated to individual trial courts for:</p> <ul style="list-style-type: none"> <li>- 2% automation money; and</li> <li>- Automated Recordkeeping and Micrographics.</li> </ul> <p>For several years there has been funding appropriated to and</p>	<p><b>RECOMMENDATION:</b></p> <p>a) “Keep it running” expenses should be funded from a steady revenue source, such as the state General Fund,<sup>1</sup> since it is a basic cost of doing business.</p> <p>b) BCP could be prepared for the gap between currently available funding and the required level of funding to perform this ‘Keep it running’ function. Note that courts may have been able to fund this through 12/13 from reserves.</p> <p>c) For trial courts, separately identify the technology costs within the WAFM formula by ‘unbundling’ IT costs from both Program 90 staff ratios and OE&amp;E ratio as the basis for a BCP. Funds would be allocated to the trial courts based on the trial court funding allocation formula (currently WAFM).</p> <p>d) For the appellate and supreme courts, no change in the current funding approach is recommended.</p>	<p><b>Allocation:</b>                      Monies would be allocated by the Judicial Council based on the trial court funding allocation formula (currently WAFM) after review by the Trial Court Budget Advisory Committee.</p> <p><b>Expenditure:</b>                      Monies would be expended by local trial courts and the Courts of Appeal based upon local priorities and needs.</p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p>core operations (CMS/DMS/ etc.).</p>	<p>allocated from the State Trial Court Improvement and Modernization Fund (IMF and its predecessors) for various projects and initiatives, including CCMS, interim case management systems, Phoenix, CCTC, CCPOR, etc.</p> <p>Funding has also been provided to 18 trial courts as part of the “Statewide Administrative Infrastructure Initiative”.</p> <p><b>APPELLATE COURTS AND SUPREME COURT:</b></p> <p>The routine operating costs for the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p>e) Note that while this approach is intended to ensure each court can fund this function at a sustainable level, the court will retain the discretion on how the funds are actually expended. Courts may expend more or less funds on actually performing this effort according to their local priorities and approach; but will have been funded adequately and equitably.</p> <p><b>ALTERNATIVES CONSIDERED:</b></p> <p>Characterizing an expense as ‘keep it running’, as opposed to ‘routine upgrade’ (see 2 below) involves a policy choice about maintaining a software or hardware product or service. Some courts purchase maintenance agreements along with the software or hardware so that the court is always running the latest version and can upgrade whenever there is a new version covered by the maintenance agreement. The cost of the product and maintenance would be a ‘keep it running’ cost. Other</p>	

CATEGORY OF EXPENDITURE	CURRENT FUNDING APPROACH	PROPOSED FUNDING APPROACH	RESPONSIBLE GROUP
		<p>courts may choose to buy a product without the maintenance agreement, and upgrade when the court chooses to buy the new version. This would fall under the ‘intermittent upgrade’ category below. Which choice is more cost effective probably depends on the frequency of replacement, the benefits in upgrades, and the relative costs and the risk tolerance of the specific court. Falling behind in maintenance may increase the risk of disruption or sudden need for a major upgrade. At this time this policy choice is left to each individual trial court as part of its local budget authority.</p>	
<p><b>2. ROUTINE UPGRADE/UPDATE/REFRESH</b>  <b>Description:</b> Upgrades in hardware that occur on a regular basis, based on the expected life cycle of equipment.   <b>Examples:</b> Replacement of desktop/laptops every few years; replacement of servers every few years.</p>	<p><b>TRIAL COURTS:</b>                      The new WAFM trial court funding allocation methodology recently approved by the Judicial Council implicitly includes a certain level of IT expenditures as part of the ratios for Program 90 staffing level and OE&amp;E expenses, which ratios are</p>	<p><b>RECOMMENDATION:</b>                      a) “Routine Upgrade” costs should be funded from a steady revenue source such as the state General Fund<sup>1</sup> since it is a basic cost of doing business.                      b) BCP could be prepared for the gap between currently available funding and the required level of funding to perform these ‘Routine Upgrades’. Note that</p>	<p><b>Allocation:</b>                      Monies would be allocated by the Judicial Council based on the trial court funding allocation formula (currently WAFM) after review by the Trial Court Budget Advisory Committee.</p>

CATEGORY OF EXPENDITURE	CURRENT FUNDING APPROACH	PROPOSED FUNDING APPROACH	RESPONSIBLE GROUP
	<p>based on actual past Program 90 staffing and OE&amp;E expenditures in trial courts. The allocation is individual to each trial court.</p> <p>Since the shift to greater state funding there has been funding deposited and appropriated at the state level and allocated to individual trial courts for:</p> <ul style="list-style-type: none"> <li>- 2% automation money; and</li> <li>- Automated Recordkeeping and Micrographics.</li> </ul> <p>For several years there has been funding appropriated to and allocated from the State Trial Court Improvement and Modernization Fund (IMF and its predecessors) for various projects and initiatives, including CCMS, interim case management systems, Phoenix, CCTC, CCPOR, etc.</p> <p><b>APPELLATE COURTS AND SUPREME COURT:</b></p>	<p>courts may have been able to fund this through 12/13 from reserves.</p> <p>c) For trial courts, separately identify the technology costs within the WAFM formula by ‘unbundling’ IT costs from the OE&amp;E ratio and compare that to the available funding as the basis for a BCP. Funds would be allocated to the trial courts based on the trial court funding allocation formula (currently WAFM) and the branch policy on the frequency of replacement. The funding would be allocated to individual trial courts each year. Unless alternatives to the 1% reserve cap are implemented, courts would replace a certain amount of equipment each year.</p> <p>d) For the appellate and supreme courts, no change in the current funding approach is recommended.</p> <p>The Strategic Planning Track may also inform the scope of these efforts.</p>	<p><b>Expenditure:</b> Monies would be expended by local trial courts and the courts of appeal based upon local priorities and needs.</p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
	<p>The routine operating costs for the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p><b>ALTERNATIVES CONSIDERED:</b>                      Other options considered for funding this category of expense include:                      Budget/allocate a fixed amount at the state level and each trial court knows that in a given year it will receive funding for replacements. This has the advantage of smoothing out funding year-to-year at the state level and better ensuring that all courts get periodic replacement on the same pattern. However, this approach removes some discretion from the courts to postpone or expedite replacements for budgetary reasons.</p>	
<p><b>3. INTERMITTENT UPGRADE</b>  <b>Description:</b> Some upgrade expenditures are more episodic than regular in occurrence and are often unpredictable as to timing. The triggering event is often a vendor’s decision to upgrade a product, which does not necessarily occur on a regular cycle. Another example is an enhancement to software,</p>	<p><b>TRIAL COURTS:</b>                      The new WAFM trial court funding allocation methodology recently approved by the Judicial Council implicitly includes a certain level of IT expenditures as part of the ratios for Program 90 staffing level and OE&amp;E expenses, which ratios are</p>	<p><b>RECOMMENDATION:</b>                      a) “Intermittent Upgrade” costs should be funded from a steady revenue source such as the state General Fund<sup>1</sup> since it is a basic cost of doing business.                      b) BCP could be prepared for the gap between currently available funding and the required level of funding to perform these ‘Intermittent upgrades’. Note</p>	<p><b>Allocation:</b>                      Monies would be allocated by the Judicial Council based on the trial court funding allocation formula (currently WAFM) after review by the Trial Court Budget Advisory Committee.</p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p>including applications, to address changes in the law, defects, and productivity or functionality enhancements.</p> <p><b>Examples:</b> Upgrade to a newer version of an operating system, Microsoft Office, upgrade or replacement of a CMS, DMS, or JMS; or a technology stack upgrade.</p>	<p>based on actual past Program 90 staffing and OE&amp;E expenditures in trial courts. The allocation is individual to each trial court.</p> <p>In addition, in past years funding has been allocated by the Judicial Council from one or more of the TCTF, IMF, TCIF, or MOD<sup>5</sup> fund to support CMS replacement initiatives for:</p> <ul style="list-style-type: none"> <li>- V2 (Fresno);</li> <li>- V3 (SD, Orange, Ventura, Sacramento, San Joaquin);</li> <li>- Interim case management systems, including SUSTAIN courts; and</li> <li>- CCMS V4 development;</li> <li>- San Luis Obispo and Kings Counties.</li> </ul> <p><b>APPELLATE COURTS AND SUPREME COURT:</b></p> <p>The routine operating costs for</p>	<p>that it should be possible to document existing examples of courts which have been unable to fund these upgrades due to budget reductions and are operating on unsupported platforms/software.</p> <p>c) For trial courts, separately identify the technology costs within the WAFM formula by ‘unbundling’ IT costs from the OE&amp;E ratio and compared to the available funding as the basis for a BCP. Funds would be allocated to the trial courts based on the trial court funding allocation formula (currently WAFM) and the branch policy on the frequency of upgrades. The funding would be allocated to individual trial courts each year with the expectation that the trial court would either ‘save’ the funds for periodic replacement, or reduce other spending in a year to allow for the replacement/upgrade expense (see discussion below).</p> <p>d) For the appellate and supreme courts, no change in the current</p>	<p><b>Expenditure:</b> Monies would be expended by local trial courts and the Courts of Appeal based upon local priorities and needs.</p>

<sup>5</sup> TCIF and MOD were predecessors of the IMF.

CATEGORY OF EXPENDITURE	CURRENT FUNDING APPROACH	PROPOSED FUNDING APPROACH	RESPONSIBLE GROUP
	<p>the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p>funding approach is recommended.</p> <p><b>ALTERNATIVES/ISSUES CONSIDERED:</b></p> <p>The need for funding is unpredictable, but often can involve a lead time of a year or two. Funds could be ‘saved’ for a couple of fiscal years until sufficient funding is available to make the changes only if:</p> <ul style="list-style-type: none"> <li>- the 1% reserve cap is lifted,</li> <li>- funds for this type of expense are exempted from the cap at the trial court level;</li> <li>- funds could be ‘parked’ at the state level by deferring a portion of their annual allocation, and retained until needed, thus managing the required funds within the constraints of reserve cap;</li> <li>- funds could be ‘loaned’ at the state level from an on-going fund and repaid over a period of years;</li> </ul> <p>- A sinking fund could be permitted in each court where funds are set aside each year so that sufficient</p>	

<b>CATEGORY OF EXPENDITURE</b>	<b>CURRENT FUNDING APPROACH</b>	<b>PROPOSED FUNDING APPROACH</b>	<b>RESPONSIBLE GROUP</b>
		<p>                     funding is available for each replacement cycle as it occurs. This would result in funds at each court that accumulate over several years, and then are spent all at once. Again, this would require modification of the 1% cap on reserve carry forward, this is not viable unless the cap is raised, or the amount exempted from the cap.                 </p> <p>                     Alternatively, funds could be budgeted each year on a branchwide basis, and a court could apply for funding from the pool.                 </p>	
<p> <b>4. NEW BRANCHWIDE INITIATIVES</b>  <b>Description:</b> If a branchwide policy decision is made to provide a certain type of service that was not previously provided, there will be costs to implement the service in all courts that choose to take advantage of the service offering. Some branchwide initiatives may be mandated; e.g., Phoenix Financial, other offerings may be                 </p>	<p> <b>TRIAL COURTS:</b>                      Funding has been allocated by the Judicial Council from one or more of the TCTF, TCIF, IMF, or MOD fund to support new initiatives                      The branch has applied for and received grants from state or federal agencies, or other entities (SJI) to fund new initiatives.                      Individual trial courts have funded new initiatives or                 </p>	<p> <b>RECOMMENDATION:</b>                      The branch or a consortium of courts, possibly including partnerships with other agencies (for example, from DoJ, US DoT, SJI, LSC, etc.), could apply for a grant or BCP to fund an initiative.                      A pool of funds could be set aside at the state level, from TCTF, IMF, or other, to be allocated by the Judicial Council based on the review and approval process                 </p>	<p> <b>Funding Request:</b>                      Monies would be requested by the Judicial Council as part of the annual BCP prioritization process based upon the recommendations from the Judicial Council Technology Committee and input from the Trial Court Budget Advisory                 </p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p>optional; e.g., Phoenix HR. Funding is needed for the one-time costs of acquiring the hardware, software, for staff to implement and deploy, and for deployment services to roll out the new service to courts. Funding would also be required to cover any increase in maintenance costs which would occur in the ‘Keep it running’ category. <b>Examples:</b> Phoenix, Phoenix HR; CCPOR; JBSIS, e-citations from CHP; remote video appearances.</p>	<p>improvements from their own TCTF allocation or obtained grant funding.  <b>APPELLATE COURTS AND SUPREME COURT:</b>  The costs of new initiatives for the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p>developed. Mandated initiatives should come with ongoing funding for ‘keep it running’ costs from the branch. Individual trial courts can fund new optional initiatives or improvements from their own TCTF allocation or other revenue sources, including grants.  If a court achieves cost savings from an initiative funded at the state level, as opposed to individual court allocation, there should be an established split in the savings achieved.  Where a court incurs additional cost as a result of a mandated initiative, the court should only incur the ‘maintenance of efforts’ cost of its previous solution, if one existed.</p>	<p>Committee.  <b>Allocation:</b> Monies would be allocated by the Judicial Council after review by the Trial Court Budget Advisory Committee for consistency with the budget request.  <b>Expenditure:</b> Monies would be expended by the appropriate agency, AOC, local trial court, and/or the Courts of Appeal based upon the approved plan.</p>
<p><b>5. INNOVATION AND IMPROVEMENT</b> <b>Description:</b> If the branch is to continue to innovate to discover and learn new ways of doing business, new ways of providing services, or providing new</p>	<p><b>TRIAL COURTS:</b> Funding has been allocated by the Judicial Council from one or more of the TCTF, TCIF, IMF, or MOD fund to support innovation.  The branch has applied for and</p>	<p><b>RECOMMENDATION:</b> A pool of money at the state level could be available to fund innovative ideas proposed by courts and approved by the Judicial Council, for example, through a grant application</p>	<p><b>Allocation:</b> Monies would be allocated by the Judicial Council after review by the Trial Court Budget Advisory Committee</p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p>services not previously provided, there needs to be funding to allow courts to innovate and learn about new approaches and technologies. In addition, there needs to be funding of a one-time nature to allow a court to jump start to a more advanced technology state.  <b>Innovation Examples:</b> remote video appearance; e-filing; e-citations; improve access for self-represented litigants (Smart Forms, I-CAN, small claims system in Sacramento, self-help portal, etc.); mail processing machines; etc.  <b>Improvement Examples:</b> imaging all active cases to allow a court to become paperless; data conversion; conversion of microform documents to electronic documents;</p>	<p>received grants from state or federal agencies, or other entities (SJI) to fund innovation.                      Individual trial courts have funded new initiatives or improvements from their own TCTF allocation or obtained grant funding.   <b>APPELLATE COURTS AND SUPREME COURT:</b>                       The innovation and improvement costs for the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p>process. The application process and report back must be sufficiently simple and must not be so rigid that it thwarts or inhibits real innovation. The process must recognize that there may be more than one path to a particular result and that new initiatives often involve mistakes and the need to realign scope as unintended benefits are discovered as the project proceeds. The pool needs to be sufficiently large so as to allow several courts to innovate and to do this on a meaningful scale. Funds received from this central funding pool would be restricted to funding technology. This would not preclude a court or group of courts from funding innovation internally. This category of funding could also include grants from other sources (for example, SJI), funding partnerships with other agencies, or funding from NGO or private partners.                      Note that the addition of a new service or product often creates ongoing costs to keep it running</p>	<p>and based upon the review and recommendation of the Technology Committee.   <b>Expenditure:</b>                      Monies would be expended by appropriate agency, AOC, local trial court, and/or the Courts of Appeal based upon the approved proposal.</p>

CATEGORY OF EXPENDITURE	CURRENT FUNDING APPROACH	PROPOSED FUNDING APPROACH	RESPONSIBLE GROUP
		<p>after the implementation has occurred. Funding for the implementation phase may come from one source, but the cost of regular upkeep should be added to the 'keep it running' category above.</p> <p>Individual trial courts can fund innovations from their own TCTF allocation or other revenue sources, including grants.</p> <p>If a project was maintained or expanded to other courts, the cost of maintenance would come out of item 1, 2, or 3 above.</p> <p>A BCP may be required to establish this pool of funding.</p> <p><b>OTHER ALTERNATIVES/ISSUES:</b></p> <p>If a court achieves cost savings from an initiative funded at the state level, as opposed to individual court allocation, the savings should be split at a ratio determined as part of the funding application process.</p>	

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p><b>6. ON-GOING BRANCHWIDE POLICIES AND PROTOCOLS</b>  <b>Description:</b>                      A coordination effort is required where trial courts are exchanging data or otherwise interacting with state agencies, other trial courts, or local agencies, there is a value in having data exchange protocols or standards to minimize integration efforts. Funds could be available at the state level to fund the efforts to develop and maintain standards or protocols. For example, data exchanges, whether it be traffic citations or the clerk’s record on appeal, should be uniform, avoiding the need for multiple transfer protocols and associated maintenance. In addition, some courts could take advantage of master contracts for equipment, software, or other services where it is not economical for the court to act individually. There are a number of services and tasks that might be</p>	<p><b>TRIAL COURTS:</b>                      Funding has been allocated by the Judicial Council from one or more of the TCTF, TCIF, IMF, or MOD fund for such initiatives.                      The branch has applied for and received grants from state or federal agencies, or other entities (SJI) for such initiatives.</p> <p><b>APPELLATE COURTS AND SUPREME COURT:</b>                      The branchwide policy and protocol costs for the appellate courts and Supreme Court are funded from a dedicated portion of the monies allocated to the AOC.</p>	<p><b>RECOMMENDATION:</b>                      An allocation at the state level to fund efforts to develop and maintain branchwide standards, protocols, master service agreements, etc. A constant level of funding would be needed for maintenance, and an additional amount for development of new standards, either on a yearly basis, or project specific, for example, development of data exchanges with the California Department of Social Services. Services used by a court should be funded from the court’s allocations from one of the above categories. This category of funding could also include funding partnerships with other agencies, grants from other sources (for example, SJI), or funding from NGO or private partners.</p> <p>A BCP may be required if these funds cease to be available or a major initiative is undertaken.</p>	<p><b>Allocation:</b>                      Monies would be allocated by the Judicial Council after review by the Trial Court Budget Advisory Committee and after review and recommendation of the Judicial Council Technology Committee.</p> <p><b>Expenditure:</b>                      Monies would be expended by appropriate agency, but likely the AOC.</p>

<p><b>CATEGORY OF EXPENDITURE</b></p>	<p><b>CURRENT FUNDING APPROACH</b></p>	<p><b>PROPOSED FUNDING APPROACH</b></p>	<p><b>RESPONSIBLE GROUP</b></p>
<p>accomplished more economically and efficiently if done at a state level, on a regional basis, or through a consortium of courts.</p> <p><b>Examples:</b> State level data exchanges and data integration with justice partners, for example, CCPOR, CHP e-citations, DCSS child support data. Master service agreements for IT equipment, software, data centers, etc.</p>		<p><b>OTHER ALTERNATIVES:</b></p> <p>Services provided at the state, regional or consortium level that a court can choose to use would be paid for by each participating court out of its allocation. For example, Phoenix HR, payroll, IT contract negotiation data center hosting, assistance in vendor selection, project management, data conversion, implementation assistance, etc.</p>	

<sup>1</sup> It must be noted that during times of economic upheaval the General Fund may not be a steady source of funding.

CALIFORNIA JUDICIAL BRANCH

# Strategic Plan for Technology

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2014–2018

**Technology Planning Task Force**

**4/17/2014**

DRAFT v7.0

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## Message from the Technology Planning Task Force Chair

Dear Friends of the Courts,

The Technology Planning Task Force, appointed by Chief Justice Tani G. Cantil-Sakauye, and the Judicial Council Technology Committee are pleased to present the Judicial Branch Strategic Plan for Technology.

A comprehensive and collaborative technology plan, grounded in the technology needs of the courts, is the key to branch technology progress and funding. Dramatic changes have occurred both in the evolution of information technology and the needs of the courts. We need to advance to better support our justice partners and the people of California.

Enhancing electronic access to justice and promoting more efficient practices through information technology aligns with the core values of our judicial branch and with the proposed technology vision. Chief Justice Cantil-Sakauye's recently announced vision for restoring access to our courts, Access 3D, includes remote access as one of its principles. The "digital court" with the capability of 21st century data exchange, within the judicial branch and with justice partners where appropriate, will not only allow us to do more with less but also significantly broaden meaningful access to the courts for litigants, lawyers, justice partners, and the public.

James E. Herman  
Chair, Judicial Council Technology Committee  
and Technology Planning Task Force.

## Technology Planning Task Force Membership

**Hon. James E. Herman, Chair**

Assistant Presiding Judge of the Superior Court of California, County of Santa Barbara

**Hon. Judith Ashmann-Gerst**

Associate Justice of the Court of Appeal Second Appellate District, Division Two

**Hon. Terence L. Bruiniers**

Associate Justice of the Court of Appeal First Appellate District, Division Five

**Hon. Daniel J. Buckley**

Judge of the Superior Court of California, County of Los Angeles

**Ms. Sherri R. Carter**

Court Executive Officer of the Superior Court of California, County of Los Angeles

**Mr. Jake Chatters, Governance Lead**

Court Executive Officer of the Superior Court of California, County of Placer

**Mr. Brian Cotta, Strategic Plan Lead**

Chief Information Officer of the Superior Court of California, County of Fresno

**Mr. James (Jim) R. Kalyvas**

Attorney at Law  
Foley & Lardner LLP

**Hon. Ira R. Kaufman**

Presiding Judge of the Superior Court of California, County of Plumas

**Hon. Robert James Moss**

Judge of the Superior Court of California, County of Orange

**Mr. Robert Oyung, Program Manager**

Chief Information Officer of the Superior Court of California, County of Santa Clara

**Hon. Glen M. Reiser**

Judge of the Superior Court of California, County of Ventura

**Hon. Marsha Slough, Funding Lead**

Presiding Judge of the Superior Court of California, County of San Bernardino

**Ms. Charlene Ynson**

Clerk/Administrator of the Court of Appeal Fifth Appellate District

CJER GOVERNING ADVISORY  
COMMITTEE LIAISON

**Hon. Mary Thornton House**

Judge of the Superior Court of California, County of Los Angeles

COMMITTEE STAFF

**Ms. Jessica Craven**

Information Technology Services Office  
Administrative Office of the Courts

**Mr. David Koon**

Information Technology Services Office  
Administrative Office of the Courts

## Strategic Plan Track Members

**Mr. Brian Cotta, Track Lead**

Chief Information Officer of the Superior  
Court of California, County of Fresno

**Hon. Terence L. Bruiniers**

Associate Justice of the Court of Appeal  
First Appellate District, Division Five

**Mr. Mark Dubeau**

Chief Financial Officer of the Superior  
Court of California, County of Orange

**Mr. Mark W. Dusman**

Director/Chief Information Officer  
Information Technology Services Office  
Administrative Office of the Courts

**Ms. Kimberly Flener**

Court Executive Officer of the Superior  
Court of California, County of Butte

**Mr. James (Jim) R. Kalyvas**

Attorney at Law  
Foley & Lardner LLP

**Hon. Gary Nadler**

Judge of the Superior Court of California,  
County of Sonoma

**Mr. Snorri Ogata**

Chief Technology Officer of the Superior  
Court of California, County of Los Angeles

**Mr. Robert Oyung**

Chief Information Officer of the Superior  
Court of California, County of Santa Clara

**Mr. Pat Patterson**

Chief Information Officer of the Superior  
Court of California, County of Ventura

**Mr. Michael D. Planet**

Court Executive Officer of the Superior  
Court of California, County of Ventura

**Mr. Anh Tran**

Chief Information Officer of the Superior  
Court of California, County of San Joaquin

**Ms. Jeannette Vannoy**

Chief Information Officer of the Superior  
Court of California, County of Napa

**Mr. Gary Whitehead**

Deputy Executive Officer of the Superior  
Court of California, County of Riverside

**Ms. Charlene Ynson**

Clerk/Administrator of the Court of Appeal  
Fifth Appellate District

## INTRODUCTION

This document presents the judicial branch **Strategic Plan for Technology**. It addresses a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. It establishes a roadmap for the adoption of technology solutions that further the administration of justice and meet the needs of the people of California.

Recommendations for the judicial branch Technology Governance and Funding Model along with this document and the associated Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level. The future will be built upon the success of local and branchwide innovation and leadership. These are the results from the Technology Planning Task Force, which includes judicial officers, court executive officers, chief information officers, and other stakeholders representing the trial and appellate courts and the public.

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

## Technology Planning Documents

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

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018) (this document)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Two-year Tactical Plan for Technology (2014–2016)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 18,000 court employees, and nearly 8.5 million cases—serves over 38 million people. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts and other agencies.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 1,000 people while the largest has 587 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court rather than a digital electronic one.

## Technology Vision

A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California citizens. The vision for judicial branch technology is:

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

This vision also sets forth the framework within which guiding principles can readily be applied.

## Technology Principles

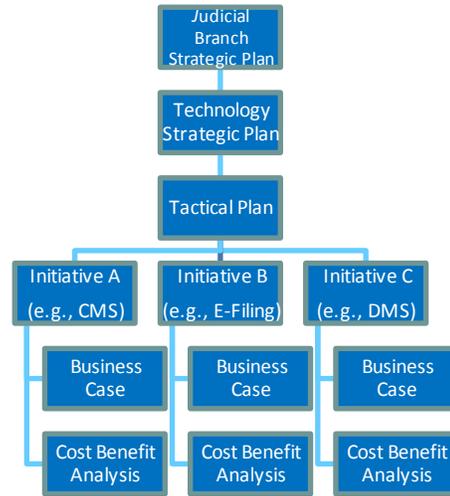
Guiding principles establish a set of considerations for technology project decision-makers. They articulate the fundamental values that provide overall direction to technology programs within the justice community. As principles, they are not mandates nor do they establish conditions for technology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

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

# STRATEGIC PLAN

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

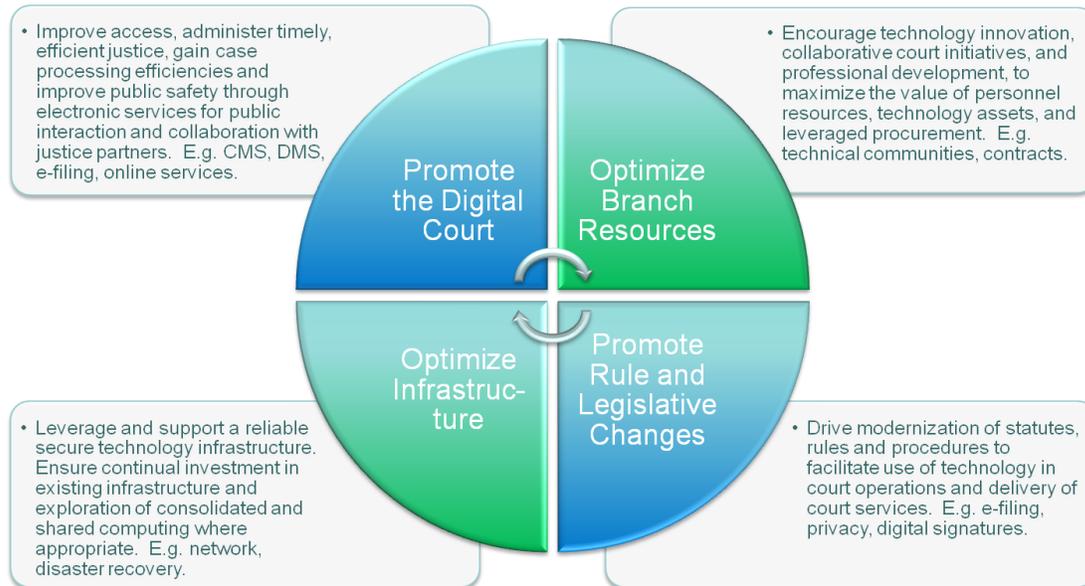
The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Before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



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

## Summary of Technology Goals (2014–2018)

The Technology Planning Task Force has identified four technology goals for the branch in support of the overall goal of providing access to justice.



## Detailed Description of Technology Goals (2014–2018)

### Goal 1: Promote the Digital Court

The primary goal of this strategic plan is to promote the Digital Court environment. The Digital Court is an ambitious goal that is divided into two parts:

- Digital Court Part 1: Foundation
- Digital Court Part 2: Access, Services, and Partnerships

Part 1 focuses on core systems such as case management systems and document management systems. Part 2 focuses on providing electronic services to the public and other parties who interact with the court to increase access to justice.

### Goal 1: Promote the Digital Court—Part 1: Foundation

#### *Statement of Goal*

The judicial branch will increase access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for the Digital Court throughout California.

#### *Business Driver/Need*

It is essential for the judicial branch to implement and maintain information technology solutions that better meet the needs of the public by administering timely and efficient justice, enhancing court operations, and improving public safety. The courts require technology systems that are optimized to maintain effective operations and meet the demands of internal and external stakeholders for access to court information and services.

To effectively serve the needs of the public, a foundational set of technologies is required. These include modern case and document management systems, fiscal and human resource systems, and technologies allowing better collaboration with justice partners that also assist judicial and administrative decision-makers in the administration of justice.

The 58 trial courts and the appellate courts use a broad assortment of technologies. Many of these are functionally obsolete and are incapable of supporting the needs and expectations of an increasingly technology-literate public and court personnel.

Before any court in the branch can provide the range of services and access the public expects from a true “digital court,” the necessary foundation and infrastructure must be provided. Full implementation of these modern foundational technologies that adhere to common standards will be critical to achieving both local court and branchwide efficiencies.

### **Objectives (prioritized)**

- 1.1.1. Establish a digital court foundation by implementing modern and supportable case management systems (CMS) and document management systems (DMS) where needed to allow all courts to efficiently deliver services to the public.
- 1.1.2. Ensure that courts have the ability to operate independently of local government infrastructure for critical court operations.
- 1.1.3. Facilitate or provide shared technology infrastructure for courts without local resources and/or for those courts who wish to collaborate or leverage other opportunities for shared services.
- 1.1.4. Effectively utilize the digital court foundation to enable:
  - Extended access and services to the public, including electronic filing.
  - Enhanced judicial and administrative decision-making.
  - Data and information sharing across the courts.
  - Enhanced collaboration and cooperation between and among courts.
  - Enhanced collaboration and cooperation with local and statewide justice partners to promote public safety.

#### Areas of focus to enable “Digital Courts”:

- **Case Management Systems (CMS).** Implement modern and supportable court case management systems, where needed, to provide timely and accurate case information, improve public safety, support judicial decision-making, enable electronic filing (e-filing), and provide court operational efficiencies.
- **Document Management Systems (DMS)/Enterprise Content Management Systems (ECM).** Implement DMS / ECM Systems to enhance court operations, enabling automated administrative and judicial workflows. The use of electronic documents and case files will provide more immediate and reliable access to court documents for judicial officers and the public and will significantly reduce retrieval, storage, and destruction costs. Electronic case files will also permit common disaster recovery solutions.
- **Back office systems.** Implement modern financial, human resource, and productivity software systems to enhance court operations and provide accountability for use of public resources at both the local and branch levels.
- **Jury management systems.** Implement latest generation jury management systems in all trial courts to include extended automated solutions (i.e., online self-service, document management, text notifications, kiosks, etc.) to improve the convenience and quality of jury service.
- **Access.** Establish standards and methods to provide remote public access solutions to essential court information and services in all courts.
- **Decision support.** Establish judicial and administrative decision support systems integrating CMS, DMS/ECM, and justice partner information to enhance decision-making.

### ***Anticipated Results/Benefits/Outcome***

- Achieve cost savings, operational efficiencies, and enhanced case processing through the use of modern, standards-based case and document/content management systems.
- Achieve branchwide efficiencies by using common back office and jury systems where appropriate and leveraging branchwide economies of scale while balancing the need for local agility.
- Eliminate or reduce the costs associated with the storage, retrieval, archiving, and destruction of paper court records and improve access for internal court users and the public.
- Provide greater insight into court performance and guidance for local resource allocation through measurable case flow management standards.
- Help support a workforce that has been reduced over the past several years.
- Provide the court, judges, attorneys, litigants, and the public with faster access to information.

### ***Dependencies/Requirements***

Technology has inherently high costs in acquisition, deployment, and maintenance. Not all courts have the fiscal and human resources to acquire and implement current technology, or to support the technology once installed. Collaboration and cooperation between courts by sharing and leveraging resources will be necessary to support and sustain innovation. Significant technology projects require time to implement and are rarely capable of completion within a single fiscal year. Stable and predictable funding for both branch and local technology projects is essential to the success of any project, and to the future of the branch. Transparent and accountable management of technology projects and resources is essential to obtain support from other branches of government.

Overall goal dependencies:

- Clear, efficient governance.
- Adoption of a branch tactical plan/roadmap for CMS enabling, over time, highly functional modern e-business-capable case management systems in every court.
- Access to DMS/ECM for every court and the business and technical support required.
- Adoption of a tactical e-filing plan/roadmap for the branch, with clearly articulated common standards.
- Sufficient and stable funding to acquire, deploy, and maintain the programs.

Applicable to all system acquisitions:

- Assessment of current and anticipated local and branch needs.
- Prioritization of court implementations based on urgency, capability, and financial resources.
- Decisions on use of local, shared, or branchwide solutions.

- Roadmap—which courts are going to use which systems, when, hosted where, supported by whom, etc.

***Metrics (measures of progress toward implementation of this goal)***

- Number of courts providing full/partial Digital Court services.
- Increasing satisfaction of people who interact with the courts.

## **Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships**

### ***Statement of Goal***

The judicial branch will improve access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by implementing a comprehensive set of services for both public interaction with the courts and collaboration with branch justice partners.

### ***Business Driver/Need***

It is essential that the judicial branch implement and maintain information technology solutions that meet the needs of the public, support the administration of timely and efficient justice, support court operations, and enhance public safety. In recent years, courts have been forced to close facilities and to eliminate or curtail many previously provided public services. Court users are increasingly sophisticated in the daily use of technology, relying on a variety of desktop and mobile computing devices to interact with businesses and with each other. They expect government services, including court services, to be provided with the same ease and flexibility available in the business sector, demanding that courts be effective, efficient, and responsive.

To restore, and even expand and enhance, services and access to the public, courts must explore new models, methods, and collaborations; must look to new opportunities to share information with state and local partners; and must find new ways to deliver services to the public, making effective use of available technology. Building on the “digital court” foundation, courts can provide these expanded access and service capabilities—including services to currently underserved populations. Courts can also leverage available technology through strategic business solutions such as shared services and collocated resources.

### ***Objectives (prioritized)***

- 1.2.1. Provide consistent, convenient, and secure remote digital access to court information and services for court users and practitioners, including self-represented litigants, regardless of geographic and jurisdictional limitations and local resource constraints.
- 1.2.2. Increase operational efficiencies by establishing new or expanding existing e-business opportunities.
- 1.2.3. Enhance public safety through expansion of statewide programs such as the California Courts Protective Order Registry (CCPOR) to include all courts.
- 1.2.4. Establish standardized, automated, and timely data exchanges with state (e.g., California Highway Patrol (CHP), Department of Justice (DOJ), Department of Child Support Services (DCSS)) and local partners (e.g., county agencies, collections providers, etc.), to promote public safety and improve the overall effectiveness and efficiency of the California justice system.

Potential areas of focus for access, services, and partnerships include:

- **Online access to case information.** Implement online solutions to allow litigants and the public to access case data and documents where appropriate, consistent with personal privacy and confidentiality considerations.
- **Electronic filing.** Enable electronic filing across case types.
- **Self-service.** Provide “online,” instead of “in line” services for routine transactions historically provided only at the courthouse (e.g., payment of traffic citations).
- **Remote video appearances.** Implement remote video appearances and hearings in appropriate case types and matters.
- **Standards.** Create standardized state (e.g., CHP, DMV, DOJ, DCSS) and local (e.g., district attorney, public defender, and sheriff) interfaces at the branch and local levels, compatible across multiple case management systems.

### ***Anticipated Results/Benefits/Outcome***

- Reduce the cost of court operations and increase the efficient use of court resources.
- Ensure accurate and timely processing of court-related transactions and sharing of information through technology.
- Provide immediately available services, 24/7, to everyone within the judicial branch, in authorized local agencies, and to the public throughout the state.
- Restore and enhance public access to the courts with consistent and convenient access to court information and services across jurisdictions for court users and practitioners, including self-represented litigants.

### ***Dependencies/Requirements***

Each court will vary in its ability to acquire, implement, and support the technology necessary to enable electronic access and services. Not all elements of a local “Digital Court” foundation will be available in every court. Cooperation and collaboration will be essential to making solutions consistent and coherent across the branch. The vision contained in this goal is only achievable to the extent that each court is willing to adopt it and, recognizing local constraints, is willing to work toward its fulfillment.

### ***Metrics (measures of progress toward implementation of this goal)***

- Number of courts providing full/partial Digital Court services.
- Increasing satisfaction of people who interact with the courts.
- Number of courts leveraging standard data exchanges.

## Goal 2: Optimize Branch Resources

### *Statement of Goal*

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

### *Business Driver/Need*

Over the past few years, budget cuts and reduction in personnel have made maintaining current aging court technology a challenge and replacing it difficult. These same cuts have impacted court operations where technology solutions are needed to help automate manual processes, provide needed tools to staff, and offer electronic services to the public.

The branch cannot address these demands without proper technology and personnel resources. In the short term, optimizing branch resources will provide limited opportunities to make progress on technology goals. In the long term, funding must be restored to sufficiently invest in technology and personnel to allow the branch to operate optimally. Once funding is restored, the branch will continue to optimize branch resources to ensure that return on investment is maximized.

### *Objectives (prioritized)*

- 2.1. Reduce overall cost and effort when purchasing technology by forming groups and consortia to leverage procurements wherever possible.
- 2.2. Recruit, develop, and maintain a workforce with the knowledge, skill, and ability to deliver the full potential of information technology within the branch and to the public.
- 2.3. Maximize the value of limited branch resources through innovative technology solutions that can improve, enhance, and support the efficient and effective implementation and delivery of court programs, processes, and education.
- 2.4. Maximize the return on investment when leveraging existing technology assets and selecting new technologies.
- 2.5. Integrate branchwide strategic priorities into education and professional development programs for judicial officers and court staff.
- 2.6. Promote continual improvement of court practices by collaborating on court technology solutions, leveraging and sharing technology resources, and creating tools to educate court stakeholders and the public.
- 2.7. Identify and implement technology best practices within the branch.

Potential areas of focus for branchwide optimization include:

- **Hardware and software master agreements.** Master agreements have already been established for document management systems, case management systems, networking hardware, and other IT products. Establishing master agreements saves time by

eliminating the need for courts to conduct individual procurements and usually reduces individual cost to the court and overall cost to the branch through economies of scale.

- **Technology communities.** Create formal and informal communities of interest to share best practices and tools, leverage expertise across the branch, discuss technology issues, and provide input to branchwide initiatives. Communities could focus on issues related to specific court environments such as a small court technology environment or appellate court environment. Other communities could be technology focused and discuss strategies for deployment, configuration, and management of case management systems or create a repository for shared software solutions developed by the courts.
- **Shared solution catalog.** Courts often have similar issues but these issues are often solved locally by each individual court. Examples include online probable cause processing, document imaging, electronic juror check-in and notification, and electronic traffic citations. These solutions are not typically visible to other courts but could include the opportunity to be leveraged or offer insight into creating other local solutions. Creation and maintenance of a solution catalog, which could begin with publication of a list of existing solutions as a starting point, could help eliminate the redundancy of each individual court trying to solve every problem itself.
- **Employee retention and development.** Use of typical tools such as wage increases are neither available nor practical during difficult financial times, but other nonmonetary approaches could be evaluated. Ideas include publishing a list of current and future skill requirements for staff in alignment with accomplishing the goals of the strategic plan; creating a mentorship program across the branch to foster personal growth and expand individuals' visibility into other environments; and making suggestions for how employees can self-manage their careers.
- **Technology professional development.** Training in key technologies and technical processes such as service desk, quality assurance, change management, and program and project management. Computer-based training solutions should be considered in addition to traditional classroom training.
- **Educational opportunities for judicial officers and court leaders.** Ideas include training in leading change initiatives related to technology, as well as discussion and appropriate networking opportunities within existing and potentially new forums.

### ***Anticipated Results/Benefits/Outcome***

- Reduced time, effort, and overall cost when procuring technology that can be used by several courts.
- Faster time to market in providing technology to the courts and public by leveraging existing solutions.
- Court employees who understand their responsibilities, have the training to do their best work, and have opportunities to grow and expand their career options.
- Court leaders who support and promote the adoption of technology solutions within the branch.

***Dependencies/Requirements***

The willingness and support of court leadership is necessary to facilitate the optimization of branchwide resources, including dedicating sufficient staff time and resources to accomplish this goal.

Collaboration and coordination with the Center for Judiciary Education and Research (CJER) will benefit personnel training and development objectives.

Procurement objectives will benefit from collaboration and coordination with local and branch contracting, procurement, and finance groups. All procurements must follow the policies and procedures outlined in the Judicial Branch Contracting Manual.

***Metrics (measures of progress toward implementation of this goal)***

- Number of master agreements signed.
- Number of courts leveraging master agreements.
- Number of active technology communities.
- Number of courts represented in each community.
- Number of solutions leveraged from the shared solution catalog.
- Number of attendees participating in recommended training classes.
- Overall job satisfaction.

## Goal 3: Optimize Infrastructure

### *Statement of Goal*

The judicial branch will leverage and support a reliable and secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

### *Business Driver/Need*

The judicial branch is addressing the increased expectations and reliance of court users on electronic access to court information by:

- Transitioning from paper-driven processes and services to electronic ones where each official court record will be created, maintained, and stored in a digital format.
- Enabling automated electronic data and information sharing among the courts and with the public, state, and local justice partners, to facilitate automated reporting and collection of statistical information.
- Committing to ensure that adequate disaster recovery provisions will be made for all systems, services, and information maintained by the judicial branch.

This goal relies upon an effective, reliable, efficient, up-to-date, and secure technology infrastructure that includes technology to support local area networks; wide area networks; infrastructure and information security; local, shared, and centralized data centers; unified communications (voice, video); an enterprise service bus; and disaster recovery technologies.

### *Objectives (prioritized)*

- 3.1. Ensure secure and reliable data network connectivity throughout the branch.
- 3.2. Provide a consistent level of infrastructure security across the branch.
- 3.3. Determine if there is any efficiency that could be achieved through the deployment of converged voice and data technologies.
- 3.4. Develop a next-generation data center hosting model that will meet the current and anticipated future business needs of the branch.
- 3.5. Ensure that critical systems and infrastructure can be recovered in a timely manner after a disaster.

Potential areas of focus to optimize infrastructure include:

- **Support and maintain existing branch infrastructure.** The judicial branch must continue to maintain its current data network in support of its business goals to serve the needs of the courts, justice partners, and the public. The network and its supporting technologies must be up to date, effective, reliable, efficient, and secure. These objectives can be achieved by ensuring that all courts have:

- Reliable connectivity to wide-area-network and public Internet services by working with network service providers and upgrading older communication circuit technologies with more modern connectivity solutions.
- Updated information security protection settings and threat detection and prevention systems in place to secure and protect electronic data.
- Network devices that are operating at current software version levels and covered under maintenance agreements.
- **Develop an infrastructure security framework.** The Administrative Office of the Courts provides infrastructure security guidance and provides managed intrusion detection and prevention services. However, courts do not have consistent network security measures in place and many require assistance to implement new systems, procedures, and policies. An infrastructure security framework that includes a model implementation guide, sample procedures, and accompanying policy guide will benefit courts that need assistance and ensure consistency throughout the branch.
- **Investigate an enterprise voice over Internet Protocol (VoIP) and video over Internet Protocol (video over IP) infrastructure.** Possible branchwide efficiencies may be realized by taking advantage of the convergence of communication infrastructure technology, including voice over IP (VoIP,) video, and unified messaging. Although a VoIP implementation playbook has been created for individual courts to utilize if they so choose, the judicial branch currently has no enterprise VoIP solution. This investigation would determine if such a solution would offer a benefit to the branch.
- **Next-generation data center hosting model.** Identify and evaluate options for a flexible, scalable, cost-efficient hosting model designed to provide application and data center hosting services to courts that need those services. The next-generation hosting model could potentially be enabled through a combination of consolidation, virtualization, and implementation of a secure public or private cloud environment.
- **Disaster recovery framework.** Provide a framework for recovering systems and services operated at the individual court level and at the branch level after a disaster. The framework could include a model implementation guide, sample procedures, and recommended policies for use throughout the branch.

### ***Anticipated Results/Benefits/Outcome***

Successful completion of these goals will:

- Ensure continued availability of technology infrastructure systems and services within the judicial branch that are essential for support and delivery of public services provided by courts today.
- Equip the judicial branch with a modern, scalable, efficient, reliable, and secure technology infrastructure that will enable new operational efficiencies, support development of new services and capabilities, and improve public access to justice.

***Dependencies/Requirements***

Stable, long-term funding must be secured to support infrastructure maintenance, replacement, and improvement.

Technology infrastructure experts from industry should be consulted on best practices and recommendations for the selection and implementation of appropriate technologies.

***Metrics (measures of progress toward implementation of this goal)***

- Percentage of critical infrastructure devices that operate at the required software level.
- Percentage of critical infrastructure devices covered by maintenance agreements.
- Infrastructure security framework published.
- Number of courts that have implemented the infrastructure security framework.
- Report published on the analysis of a branch-level converged voice and data infrastructure.
- Report published on next-generation data center hosting model recommendation.
- Disaster recovery framework published.

## Goal 4: Promote Rule and Legislative Changes

### *Statement of Goal*

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

### *Business Driver/Need*

Many of the current statutes, rules, and procedures governing court operations were written to address a physical, in-person, paper-driven environment. Technology that improves service and increases access to justice through the use of virtual, remote, digital, electronic solutions will continue to prompt a need to review and revise, when necessary, the guidance provided by these rules and legislation. For example, revisions have been made to support electronic filing and remote video appearances. In the near future, rules concerning technologies such as digital signatures should be examined. The judicial branch must promote rule and legislative changes to encourage and provide guidance for the proper use of technology solutions by the courts and members of the public.

Because the process for changing rules and legislation is guided by strict scheduling requirements, the judicial branch must be proactive and allow adequate time for the review, examination, and proposal of any changes. Considerations should be made at the start when technologies are being investigated, not as an afterthought just before they are ready to be deployed.

Furthermore, the addition or modification of rules and legislation must be sensitive to preserving equal access to justice. Although there is a benefit to incorporating technology solutions into the justice process, we cannot place constituents at a disadvantage if they do not have access to those solutions.

### *Objectives (prioritized)*

- 4.1. Determine if it is necessary to add new rules or legislation or modify any existing ones in anticipation of technology solutions that will be deployed in the near term.
- 4.2. Ensure current rules and legislation do not inhibit the use of current technology solutions.
- 4.3. Ensure rules and legislation support the four-year strategic plan and the two-year tactical plan.

Potential areas of focus for new or updated legislation include:

- **Electronic document processing.** Specific rules, legislation, and procedures that apply to a paper documents must be reviewed, modified, or supplemented appropriately to address the creation, processing, and retention of electronic documents. Examples include:

- Rules for electronic proof of service
  - Standards for filing dates and times
  - Electronic declaration under penalty of perjury
  - Uniform standards for electronic service
  - Uniform rules for electronic filing
  - Use of electronic signatures—in particular, uniform rules for electronic signing and verification.
- **Courtroom technology.** Technology has the opportunity to improve the overall courtroom experience, optimize the utilization of scarce resources, and increase access to justice. Examples include:
    - Remote hearings enabled through video technology or telephone
    - Electronic courtroom record
    - Remote interpreting—American Sign Language (ASL) and foreign languages—enabled through video technology or telephone.
  - **Data and information privacy.** A benefit of electronic information is its ease of access and distribution. This benefit must be balanced by ensuring that the proper controls exist to protect electronic data. Regardless of whether court information is paper based or electronic, access to that information can only be given to entities that have proper authorization.

### ***Anticipated Results/Benefits/Outcome***

- Rules, legislation, and procedures that support, encourage, and appropriately govern electronic information and services.
- Increased access to court services and improved service levels.
- Clear requirements that ensure fair and proper use of technology while protecting information.

### ***Dependencies/Requirements***

Proposals for additions or changes to rules, legislation, and procedures should be performed in conjunction with the execution of the judicial branch Tactical Plan for Technology. Rule and legislative changes should generally be considered as part of the planning, design, and implementation of individual tactical plan initiatives since they need to apply to the technology being deployed. Only occasionally would rule, legislation, and procedure changes be considered independent of a specific technology initiative. In those cases, the topic would typically be of a general nature applying to all technology or multiple areas. For example, data and information privacy rules and legislation would likely not be associated with just a single technology but would apply to all technology solutions.

### ***Metrics (measures of progress toward implementation of this goal)***

- Number of legislative changes proposed per year in support of the strategic plan.
- Number of legislative changes implemented per year in support of the strategic plan.

## Alignment of Technology Goals

The goals of the proposed Strategic Plan for Technology strongly align with the goals of the judicial branch strategic plan. The chart below highlights the technology goals that support specific judicial branch goals. Note that all goals of the Strategic Plan for Technology support the primary goal for the overall branch of “Access, Fairness, and Diversity.”

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

There is no intention to align every technology goal with every branch goal. Each technology goal has a specific purpose, but it must support at least one of the branch goals.

The goals of the proposed Strategic Plan for Technology also strongly align with the California Department of Technology’s strategic plan for the state of California. The chart below highlights the state technology goals that support specific judicial branch goals. Note that all goals of the Strategic Plan for Technology support the primary goal for the state of “Responsive, Accessible, and Mobile Government.”

<b>Alignment with the Department of Technology Strategic Plan</b>	<b>Branch Technology Goals</b>			
	Promote the Digital Court	Optimize Branch Resources	Optimize Infrastructure	Promote Rule and Legislative Changes
<b>Overall State Goals</b>				
1. Responsive, Accessible, and Mobile Government	X	X	X	X
2. Leadership and Collaboration	X	X	X	X
3. Efficient, Consolidated, and Reliable Infrastructure and Services		X	X	
4. Secure and Manage Information as an Asset	X		X	X
5. Capable Information Technology Workforce		X		
6. Responsive and Effective IT Project Procurement		X	X	

Alignment with both the judicial branch strategic plan and the state’s strategic plan demonstrates how the judicial branch technology goals can support these overall goals. Furthermore, it aligns the work that court personnel perform to ensure that resources allocated to branch projects clearly understand how they are supporting the overall objectives of the branch and the state.

## CONCLUSION

The California judicial branch is as complex and diverse as the population that it serves. The judicial branch has diversity in geography, court size, and case types. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the courts like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court system rather than a digital electronic one.

This Strategic Plan for Technology and the associated Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level that address the diversity and challenges the branch is facing.

The proposed strategic plan recognizes the need for judicial, management, and technical experts located at the trial, appellate, and Supreme Court levels, and the Administrative Office of the Courts, working together as an IT community. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

## APPENDIX A: Formation of the Technology Planning Task Force

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system. Additionally, the council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

- Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
- Leveraging the CCMS V4 technology and developed software to benefit ongoing judicial branch technology solutions;
- Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public;
- Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
- Developing alternatives for the CCMS V4 early adopter court, San Luis Obispo, to meet its current case management system needs; and
- Developing strategies to assist trial courts with existing critical case management system needs.

A Judicial Branch Technology Initiatives Working Group was created in June 2012 and launched a series of technology workstreams that were tightly scoped projects to address the short-term critical technology needs for the branch in six-months or less. They brought in direct participation from the courts to work together with the AOC as an IT community. Both costs and risks were reduced as a result of the tight scope. By early 2013 they were successful in generating:

- a case management system request for proposal (RFP) resulting in three commercial software products selected for master services contracts;
- an e-filing roadmap and planning document;
- an assessment of CCMS V4 technology that could be leveraged for future opportunities; and
- foundational work for this governance and funding model.

The workstreams not only addressed the short-term technology needs of the branch and addressed the directives from the Judicial Council, but also provided an opportunity for the branch to work in a new model and catalyze the technology strategic planning process.

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

Additionally, the Bureau of State Audits (BSA)<sup>1</sup> reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the Administrative Office of the Courts (AOC) and the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

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

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

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

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

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

Specifically, the task force was tasked to:

- Work collaboratively with the courts and judicial branch stakeholders;
- Develop a comprehensive branchwide plan for technology governance that will delineate the parameters of state versus local decision-making for technology initiatives;
- Develop a strategic plan for technology that will provide direction and vision for technology within the branch;
- Develop a tactical plan for technology that will define the steps needed to achieve the goals defined in the strategic plan;

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<sup>1</sup> BSA has been renamed to California State Auditor.

- Develop administrative and technical guidelines;
- Identify and promote trial court collaboration and consortia for the benefit of technology;
- Develop recommendations for a stable, long-term funding source for judicial branch technology; and
- Delineate technology funding sources.

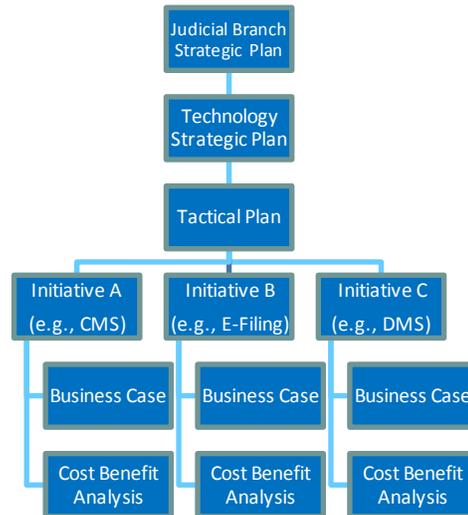
## APPENDIX B: Technology Planning Task Force Structure

The task force reports to the Judicial Council Technology Committee and will terminate in 2014 after the approval and publication of its recommendations.

The task force worked collaboratively to define judicial branch technology governance in terms of statewide versus local decision-making, to develop a strategic plan for technology across all court levels that provides a vision and direction for technology within the branch, and to develop recommendations for a stable, long-term funding source for supporting branch technology, as well as a delineation of technology funding sources.

The task force utilized a planning framework based on industry best practices and focused on two main concepts:

1. Treat the strategic plan as a roadmap that is used and referenced continually to help direct and focus branch efforts in technology rather than simply as a document that is written, published, and put on the shelf.
2. The technology strategic plan is a cascading plan. The judicial branch strategic plan and its goals drive a four-year technology strategic plan that then drives a detailed two-year tactical plan that contains individual initiatives and projects that align with the overall goals of the branch.



These best practices ensure that the planning process is thorough, efficient, and aligned—producing practical actionable results.

The work of the task force was divided into three tracks:

- **Governance**—determined the process for how the branch will prioritize and select technical programs.
- **Strategic Plan**—identified a prioritized list of goals and initiatives.
- **Funding**—proposed a mechanism for funding technology programs.

The following chart lists the participants of each track.

## Technology Planning Task Force Participants

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

There are 14 members on the task force and a total of 41 participants contributing to all three tracks representing 20 superior courts, three Courts of Appeal, and the AOC.

CALIFORNIA JUDICIAL BRANCH

# Tactical Plan for Technology

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2014–2016

**Technology Planning Task Force**

**4/17/2014**

DRAFT v7.0

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## Technology Planning Task Force Membership

**Hon. James E. Herman, Chair**

Assistant Presiding Judge of the Superior Court of California, County of Santa Barbara

**Hon. Robert James Moss**

Judge of the Superior Court of California, County of Orange

**Hon. Judith Ashmann-Gerst**

Associate Justice of the Court of Appeal Second Appellate District, Division Two

**Mr. Robert Oyung, Program Manager**

Chief Information Officer of the Superior Court of California, County of Santa Clara

**Hon. Terence L. Bruiniers**

Associate Justice of the Court of Appeal First Appellate District, Division Five

**Hon. Glen M. Reiser**

Judge of the Superior Court of California, County of Ventura

**Hon. Daniel J. Buckley**

Judge of the Superior Court of California, County of Los Angeles

**Hon. Marsha Slough, Funding Lead**

Presiding Judge of the Superior Court of California, County of San Bernardino

**Ms. Sherri R. Carter**

Court Executive Officer of the Superior Court of California, County of Los Angeles

**Ms. Charlene Ynson**

Clerk/Administrator of the Court of Appeal Fifth Appellate District

**Mr. Jake Chatters, Governance Lead**

Court Executive Officer of the Superior Court of California, County of Placer

CJER GOVERNING ADVISORY COMMITTEE LIAISON

**Mr. Brian Cotta, Strategic Plan Lead**

Chief Information Officer of the Superior Court of California, County of Fresno

**Hon. Mary Thornton House**

Judge of the Superior Court of California, County of Los Angeles

**Mr. James (Jim) R. Kalyvas**

Attorney at Law  
Foley & Lardner LLP

COMMITTEE STAFF

**Hon. Ira R. Kaufman**

Presiding Judge of the Superior Court of California, County of Plumas

**Ms. Jessica Craven**

Information Technology Services Office  
Administrative Office of the Courts

**Mr. David Koon**

Information Technology Services Office  
Administrative Office of the Courts

## Strategic Plan Track Members

**Mr. Brian Cotta, Track Lead**

Chief Information Officer of the Superior  
Court of California, County of Fresno

**Hon. Terence L. Bruiniers**

Associate Justice of the Court of Appeal  
First Appellate District, Division Five

**Mr. Mark Dubeau**

Chief Financial Officer of the Superior  
Court of California, County of Orange

**Mr. Mark W. Dusman**

Director/Chief Information Officer  
Information Technology Services Office  
Administrative Office of the Courts

**Ms. Kimberly Flener**

Court Executive Officer of the Superior  
Court of California, County of Butte

**Mr. James (Jim) R. Kalyvas**

Attorney at Law  
Foley & Lardner LLP

**Hon. Gary Nadler**

Judge of the Superior Court of California,  
County of Sonoma

**Mr. Snorri Ogata**

Chief Technology Officer of the Superior  
Court of California, County of Los Angeles

**Mr. Robert Oyung**

Chief Information Officer of the Superior  
Court of California, County of Santa Clara

**Mr. Pat Patterson**

Chief Information Officer of the Superior  
Court of California, County of Ventura

**Mr. Michael D. Planet**

Court Executive Officer of the Superior  
Court of California, County of Ventura

**Mr. Anh Tran**

Chief Information Officer of the Superior  
Court of California, County of San Joaquin

**Ms. Jeannette Vannoy**

Chief Information Officer of the Superior  
Court of California, County of Napa

**Mr. Gary Whitehead**

Deputy Executive Officer of the Superior  
Court of California, County of Riverside

**Ms. Charlene Ynson**

Clerk/Administrator of the Court of Appeal  
Fifth Appellate District

## INTRODUCTION

This document presents the judicial branch **Tactical Plan for Technology**. It addresses a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. It establishes a roadmap for the adoption of technology solutions that further the administration of justice and meet the needs of the people of California.

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

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

## Technology Planning Documents

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

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Two-year Tactical Plan for Technology (2014–2016) (this document)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 18,000 court employees, and nearly 8.5 million cases—serves over 38 million people. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 1,000 people while the largest has 587 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court rather than a digital electronic one.

## Technology Vision

A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California citizens. The vision for judicial branch technology is:

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

This vision also sets forth the framework within which the guiding principles can readily be applied.

## Technology Principles

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

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

## STRATEGIC PLAN

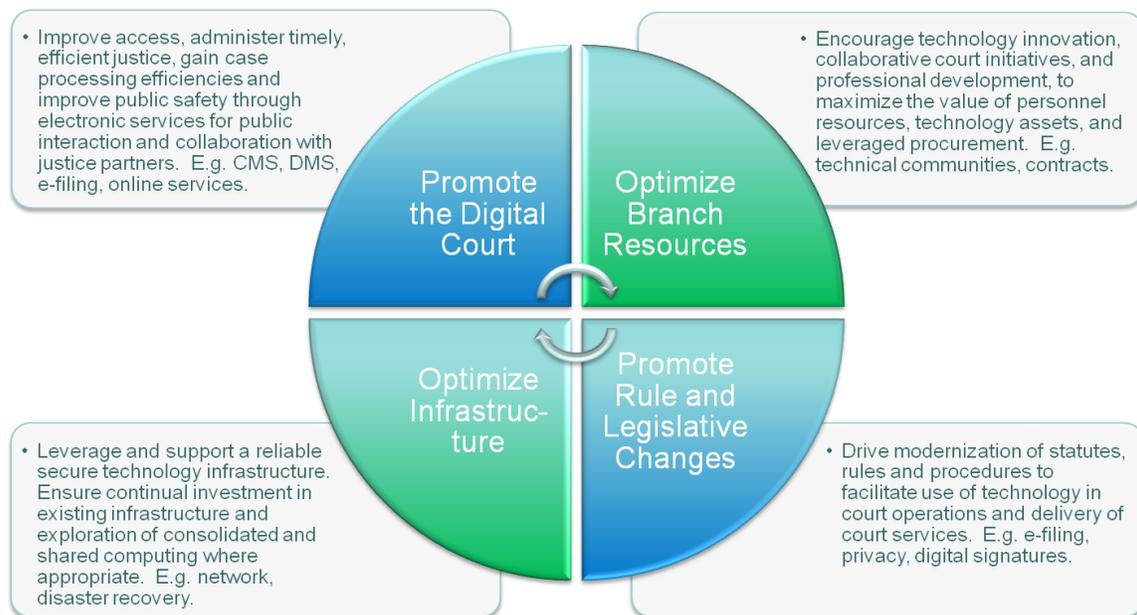
A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

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

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

### Summary of Technology Goals (2014–2018)

The Technology Planning Task Force has identified four technology goals for the branch in support of the overall goal of providing access to justice.



## **Goal 1: Promote the Digital Court—Part 1: Foundation**

### ***Statement of Goal***

The judicial branch will increase access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for the Digital Court throughout California.

### ***Objectives (prioritized)***

- 1.1.1. Establish a digital court foundation by implementing modern and supportable case management systems (CMS) and document management systems (DMS) where needed to allow all courts to efficiently deliver services to the public.
- 1.1.2. Ensure that courts have the ability to operate independently of local government infrastructure for critical court operations.
- 1.1.3. Facilitate or provide shared technology infrastructure for courts without local resources and/or for those courts who wish to collaborate or leverage other opportunities for shared services.
- 1.1.4. Effectively utilize the digital court foundation to enable:
  - Extended access and services to the public, including electronic filing.
  - Enhanced judicial and administrative decision-making.
  - Data and information sharing across the courts.
  - Enhanced collaboration and cooperation between and among courts.
  - Enhanced collaboration and cooperation with local and statewide justice partners.

## **Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships**

### ***Statement of Goal***

The judicial branch will improve access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by implementing a comprehensive set of services for both public interaction with the courts and collaboration with branch justice partners.

### ***Objectives (prioritized)***

- 1.2.1. Provide consistent, convenient and secure remote digital access to court information and services for court users and practitioners, including self-represented litigants regardless of geographic and jurisdictional limitations and local resource constraints.
- 1.2.2. Increase operational efficiencies by establishing new or expanding existing e-business opportunities.
- 1.2.3. Enhance public safety through expansion of statewide programs such as the California Courts Protective Order Registry (CCPOR) to include all courts.
- 1.2.4. Establish standardized, automated, and timely data exchanges with state (e.g., California Highway Patrol (CHP), Department of Justice (DOJ), Department of Child Support Services (DCSS)) and local partners (e.g., county agencies, collections providers, etc.), to promote public safety and improve overall effectiveness and efficiency of the California justice system.

## **Goal 2: Optimize Branch Resources**

### ***Statement of Goal***

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

### ***Objectives (prioritized)***

- 2.1. Reduce overall cost and effort when purchasing technology by forming groups and consortia to leverage procurements wherever possible.
- 2.2. Recruit, develop, and maintain a workforce with the knowledge, skill, and ability to deliver the full potential of information technology within the branch and to the public.
- 2.3. Maximize the value of limited branch resources through innovative technology solutions that can improve, enhance, and support the efficient and effective implementation and delivery of court programs, processes, and education.
- 2.4. Maximize the return on investment when leveraging existing technology assets and selecting new technologies.
- 2.5. Integrate branchwide strategic priorities into education and professional development programs for judicial officers and court staff.
- 2.6. Promote continual improvement of court practices by collaborating on court technology solutions, leverage and share technology resources, and creating tools to educate court stakeholders and the public.
- 2.7. Identify and implement technology best practices within the branch.

## **Goal 3: Optimize Infrastructure**

### ***Statement of Goal***

The judicial branch will leverage and support a reliable secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

### ***Objectives (prioritized)***

- 3.1. Ensure secure and reliable data network connectivity throughout the branch.
- 3.2. Provide a consistent level of infrastructure security across the branch.
- 3.3. Determine if there is any efficiency that could be achieved through the deployment of converged voice and data technologies.
- 3.4. Develop a next-generation data center hosting model that will meet the current and anticipated future business needs of the branch.
- 3.5. Ensure that critical systems and infrastructure can be recovered in a timely manner after a disaster.

## **Goal 4: Promote Rule and Legislative Changes**

### ***Statement of Goal***

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

### ***Objectives (prioritized)***

- 4.1. Determine if it is necessary to add new rules or legislation or modify any existing ones in anticipation of technology solutions that will be deployed in the near term.
- 4.2. Ensure current rules and legislation do not inhibit the use of current technology solutions.
- 4.3. Ensure rules and legislation support the four-year strategic plan and the two-year tactical plan.

## TACTICAL PLAN

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

The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Every two years, the branch will update its tactical plan to support the four-year strategic plan. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis. All of these activities will align with the overall goals of the branch.

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

Because the judicial branch is underfunded, technology investments are severely limited. Therefore, this tactical plan reflects the reality of scarce resources. The majority of the initiatives focus on planning and investigation. Once funding is restored, the judicial branch can make further progress with the initiatives and move into design, development, and deployment.

The tactical plan initiatives were identified by the Technology Planning Task Force and selected based on their ability to support the four strategic technology goals and their overall business drivers. Initiatives were prioritized based on their foundational aspects, dependency on other initiatives, and amount of time required to realize benefits. For example, initiatives focused on core components of the Digital Court such as case management systems and document management systems were given a higher priority than initiatives such as developing case management system interfaces and data exchanges since these depend upon completion of the core components.

A comprehensive business analysis will be performed for each initiative to ensure that return on investment can be maximized. A collaborative and inclusive process will be used to form project teams with members from the trial courts, appellate courts, and the AOC.

The initiatives will be governed under the new model described in the Technology Governance and Funding Model. The majority of the initiatives will be managed by the Information Technology Advisory Committee<sup>1</sup> while the Judicial Council Technology Committee may identify some initiatives that they wish to oversee directly.

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<sup>1</sup> Information Technology Advisory Committee (ITAC) is the proposed name for the advisory committee that will replace the current Court Technology Advisory Committee (CTAC). ITAC's structure is defined in the Governance and Funding Model.

Timelines for initiatives have been estimated and are assumed to begin in the third quarter (Q3) of calendar year 2014, but initiatives may be delayed if adequate funding or resources are not available at the scheduled start time.

Nevertheless, this tactical plan provides a roadmap and intended direction for the judicial branch in moving toward its vision to promote the Digital Court.

## Technology Initiatives Summary (2014–2016)

Technology initiatives are listed in priority order within each of the strategic goals.

Strategic Goal	Initiative	Objectives Supported	Action
Promote the Digital Court	Case management system (CMS) assessment and prioritization	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Determine strategy and plan
	Document management system (DMS) expansion	1.1.1., 1.1.2., 1.1.3., 1.1.4.	Deploy where appropriate
	Courthouse video connectivity	1.2.1., 1.2.2.	Expand where appropriate
	California Courts Protective Order Registry (CCPOR)	1.2.1., 1.2.2., 1.2.3.	Continue deployment
	Implement a portal for self-represented litigants	1.2.1., 1.2.2.	Investigate and prepare proposal
	Jury management technology enhancements (trial courts)	1.1.4.	Determine roadmap and plan
	E-filing service provider (EFSP) selection/certification	1.2.1., 1.2.2.	Develop process
	E-filing deployment	1.2.1., 1.2.2.	Determine implementation plan
	Identify and encourage projects that provide innovative services	1.2.1., 1.2.2.	Investigate and prepare proposal
	Establish an “open source” application-sharing community	1.2.1., 1.2.2.	Investigate and prepare proposal
	Develop standard CMS interfaces and data exchanges	1.2.1., 1.2.4.	Investigate and prepare proposal
Optimize Branch Resources	Establish hardware and software master branch purchasing/licensing agreements	2.1	Identify and negotiate
Optimize Infrastructure	Extend LAN/WAN initiative to remaining courts	3.1.	Expand program
	Transition to next-generation branchwide hosting model	3.1., 3.4., 3.5.	Investigate and prepare proposal
	Security policy framework for court information systems	3.1., 3.2.	Investigate and prepare proposal
	Court disaster recovery framework and pilot	3.1., 3.5,	Determine framework
Promote Rule and Legislative Changes	Identify new policy, rule, and legislation changes	4.1., 4.3.	Identify and draft changes

## Detailed Description of Technology Initiatives

This section provides a detailed description of each technology initiative along with a high-level summary project template. These templates are not intended to document approved commitments but rather to act as a tool to help project teams create detailed project plans once proper funding and resources are available. Scope, deliverables, and timelines are estimated and subject to change.

Each project template contains the following sections:

- **Description**—Detailed description of the initiative along with potential business drivers, background, and history.
- **Major Tasks**—High-level list of expected major tasks and outcomes.
- **Dependencies**—Requirements that the initiative relies upon for successful completion.
- **Funding Requirements**—Estimated one-time costs to launch and deploy the initiative and estimated ongoing costs for maintenance and operation.
- **Potential Funding Sources**—Suggested options for funding one-time and ongoing expenses.
- **Types of Courts Involved**—Could be based on type (trial court, appellate court), size (small, medium, large), location (northern, southern), or consortium (case management specific, etc.).
- **Sample Timeline**—List of major milestones, if known, and estimated time frame for completion.

## Technology Initiatives to Promote the Digital Court

### ***Case Management System (CMS) Assessment and Prioritization***

#### **Description**

This project will determine a high-level approach to identifying strategies and solutions for implementing case management systems with document management functionality that support the Digital Court. The scope of this initiative is only to perform business analysis and planning; it does not include the actual deployment of CMS solutions. One or more CMS deployment initiatives will need to be launched after this assessment initiative is completed.

#### **Major Tasks**

- Update the inventory of existing case management systems within the branch.
- Update the inventory of existing document management systems within the branch.
- Determine strategy and approach for existing CMS environments.
- Determine strategy and approach for courts using V3 and Sustain Justice Edition.
- Establish a prioritization of need for systems replacement.
- Identify potential consortia for related systems.
- Determine strategies for facilitating successful consortia.
- Identify replacement cost.
- Identify available funding for prioritized projects.
- Identify resources to support courts through the project request process.

#### **Dependencies**

- Need to establish mechanism for maintaining and updating a branch CMS inventory.
- Need to identify appropriate sponsor for this initiative (e.g., Technology Committee or technology-related advisory committee).
- Need to identify resources that will support the courts through the project request process.

#### **Funding Requirements**

##### **One-Time**

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

##### **Ongoing**

- None required for this assessment.

#### **Potential Funding Sources**

None required for this assessment.

**Types of Courts Involved**

All trial courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Establish repository for CMS inventory.	Q3 2014
Draft initial assessment.	Q4 2014
Final assessment report.	Q1 2015

## **Document Management System (DMS) Expansion**

### **Description**

To achieve the full benefit and efficiencies of electronic filing, a court's case management system must integrate with a Document Management System (DMS)/Enterprise Content Management (ECM) System. DMS/ECM provides for a true paper-on-demand environment with configurable workflows and other operational benefits. While the majority of modern case management systems include integrated DMS, extending existing case management systems with DMS/ECM where feasible is far less expensive and disruptive than acquiring new case management systems.

DMS/ECM also provides support and operational efficiencies for trial court administration (e.g., fiscal, facilities, HR, procurement, et al.).

### **Major Tasks**

- Identify opportunities for acquisition and integration of DMS/ECM with existing branch and local case management systems, and for administrative use at both branch and local court levels.
  - An example would be potential implementation of a DMS/ECM for the current Appellate Court Case Management System, to take full advantage of the e-filing pilot program currently underway, and to leverage that system for use by the Administrative Office of the Courts.
- Identify the most efficient and cost-effective model for implementation.
- Leverage branchwide master services agreements for document management system software procurement.

### **Dependencies**

- Available budget for DMS acquisition.
- Coordination and alignment with CMS assessment.

### **Funding Requirements**

#### **One-Time**

- Hardware, software, and services for DMS implementation at identified courts.

#### **Ongoing**

- Annual maintenance; periodic software and hardware upgrades.

### **Potential Funding Sources**

- Grant funding or budget change proposal (BCP) for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Determine business need and identify courts that could benefit from a DMS now.	Q3 2014
Submit funding request.	Q4 2014
Deploy solutions.	Q4 2015

## ***Courthouse Video Connectivity***

### **Description**

The initiative will restore and enhance public access to court information and services and will create court cost savings and efficiencies by:

- Expanding use of remote video appearances and hearings in appropriate case types and matters; and
- Expanding remote availability of certified court interpreter services.

Almost two decades ago, the Court Technology Task Force (predecessor to the Court Technology Advisory Committee) in its 1995 report to the Judicial Council, identified nine technology goals, including:

To promote efficiency, access, convenience, and cost reduction, interactive video technology should be incorporated into all justice proceedings and administrative functions as permitted by law and consistent with the purposes of the judicial branch.

In August 1997, the Court Technology Advisory Committee presented a report to the Judicial Council titled *Report on the Application of Video Technology in the California Courts*. While primarily focused on use of video arraignments, the report noted the important benefits achievable by using this technology in other areas, including motions, mental health proceedings, and other pretrial matters.

Use of telepresence technology (e.g., videoconferencing) will allow courts to provide the public with ongoing access to court proceedings at a time when court resources are being substantially reduced and courthouses are being closed.

### *Project 1: Remote Video Hearings*

In December 2012, the Judicial Council adopted rule 4.220 of the California Rules of Court, authorizing trial courts to conduct remote video proceedings (RVP) in cases involving traffic infraction violations and approved a pilot project in the Superior Court of Fresno County. The authorization for remote video proceedings in rule 4.220 applies to any alleged infraction involving a violation of the Vehicle Code or any local ordinance adopted under the Vehicle Code, with certain exceptions. Rule 4.220 defines a “remote video proceeding” as an arraignment, trial, or relate proceeding conducted by two-way electronic audiovisual communication between the defendant, any witnesses, and the court in lieu of the physical presence of both the defendant and any witnesses in the courtroom. (See rule 4.220(b)(2).) The rule requires semiannual reports from any pilot court, including evaluations and assessments of the costs and benefits of the projects.

The experience of the Superior Court of Fresno County can be leveraged to:

1. Identify other courts able and willing to implement remote video traffic appearances;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed;
3. Identify other appropriate case types for remote video appearances; and

4. Pursue any statutory/rule changes required to allow use of remote appearance technology in additional case types

*Project 2: Video Remote Interpreting (VRI)*

In 2011, the Superior Courts of Riverside, Shasta, Sonoma, and Stanislaus Counties began a VRI pilot program for hearing-impaired court users, providing certified American Sign Language (ASL) court interpreters by courtroom video connection. The participating courts have increased access to certified ASL court interpreters, and interpreters can be scheduled quickly and conveniently. VRI allows use of the same interpreter in multiple court facilities in the same half-day sessions, makes more efficient use of a limited resource, and eliminates travel expenses.

Other jurisdictions have pioneered use of remote language interpreting. Seven states have successfully implemented VRI. The Ninth Judicial Circuit in Florida provides centralized Spanish-language interpreting for over 22,000 court hearings per year in 67 courtrooms in seven court facilities covering 2,229 square miles. Certified interpreters are provided for initial appearances, arraignments, dependency and delinquency hearings and trials, traffic and misdemeanor cases, and felony pretrial hearings.

A 2013 National Call to Action report sponsored by the National Center for State Courts and the State Justice Institute, addressed the critical need for courts to develop, improve, or expand resources for individuals with limited English proficiency (LEP). A key recommendation was that courts utilize remote interpreting technology to fulfill LEP needs and ensure quality services.

The experience gained from the California ASL pilot programs and from use of remote language interpreting in other jurisdictions can be leveraged to:

1. Identify one or more courts willing and able to implement remote video language interpreting;
2. Pursue funding and/or vendor partnerships for equipment and telecommunications infrastructure where needed; and
3. Pursue any statutory/rule changes required.

**Major Tasks**

- Implement remote traffic appearances in at least two other jurisdictions by the end of 2014.
- Implement remote video appearances in additional case types in at least one court by the end of 2015, subject to any required legislative and Judicial Council authorization.
- Implement remote video language interpreting in at least one foreign language, in at least two courts, by the beginning of 2015.

## Dependencies

- Infrastructure/equipment.
- Collaboration/cooperation with other advisory committees, working groups, and other programs [Civil and Small Claims, Traffic, Court Interpreters Advisory Panel] and with the AOC Court Language Access Support Program (CLASP).
- Collaboration/cooperation with local government and the public for remote traffic appearances in non-court locations.
- Collaboration/cooperation with justice partners.
- Collaboration/cooperation with other stakeholders (e.g., interpreters, bar associations).

## Funding Requirements

### One-Time

- Hardware, software, and telecommunications infrastructure if not currently available.
- Bandwidth/network upgrades if required.

### Ongoing

- Annual maintenance and/or lease expenses for hardware and software.

## Potential Funding Sources

- Grant funding or budget change proposal (BCP) for initial pilot programs, or vendor partnerships funded by user fees.
- Ongoing costs must be covered by each individual court's operating budget and/or user fees.

## Types of Courts Involved

All courts serving large geographic areas, with diverse demographics, with sufficiently robust existing LAN/WAN or other supporting infrastructure.

## Sample Timeline

### Project 1: Expanded Remote Traffic Appearances

Milestone	Time Frame
Project launch	Q3 2014
Identify additional participating courts and requirements (funding/IT support).	Q3 2014
Implement video appearances in additional participating courts.	Q1 2015
Evaluate projects and identify expansion opportunities for additional courts/case types.	Q4 2015
Prepare any necessary rule of court amendments/legislative change proposals for submission to Judicial Council.	Q2 2016

**Project 2: Remote Language Interpreting**

<b>Milestone</b>	<b>Time Frame</b>
Define implementation guidelines/infrastructure and hardware requirements; draft any required enabling rules of court.	Q3 2014
Identify pilot project courts/vendors; prepare RFP if required.	Q4 2014
Select vendors; obtain Judicial Council adoption of enabling rules of court.	Q1 2015
“Go-live” in one or more pilot courts.	Q2 2015
Evaluate project and report to Judicial Council.	Q4 2015

## **California Courts Protective Order Registry (CCPOR)**

### **Description**

The California Courts Protective Order Registry (CCPOR) is a system developed and maintained by the Administrative Office of the Courts. Currently, the system is used by 32 counties to electronically process and access all restraining and protective orders and their proofs of service. By the end of fiscal year 2014–2015, six more courts will deploy CCPOR.

The system has created for the participating courts:

- A statewide registry for storing data and images of restraining and protective orders ;
- A service allowing judicial officers and law enforcement agencies to access and view outstanding orders, reducing the possibility of conflicting orders across departments; and
- A gateway for processing orders to the DOJ’s CARPOS (California Restraining and Protective Order System) quickly and accurately.

Two key components of CCPOR are the ability to enter and upload protective order data into the system and to search and retrieve that data, including electronic images of court orders. Viewing these electronic images is particularly valuable because this allows users to view special conditions and notes added by judges that are not available through the California Law Enforcement Telecommunications System (CLETS). In addition, information about court orders that is entered into CCPOR is automatically transmitted to CLETS.

### **Major Tasks**

- Develop cost projections and recommend an appropriate funding approach for each of the remaining courts/counties. The funding requirements will include the hardware and software necessary to run the system as well as one-time and ongoing costs (e.g., an estimate of staff time required to operate the system).
- Develop and distribute a deployment roadmap including the experiences of existing court CCPOR users. The roadmap will take into consideration the unique hardware, software, and staffing environments of the courts yet to implement CCPOR. Some courts may already have a DMS and already be scanning protective orders, where other courts may not do any document scanning. Funding for a court that is already scanning should support system interfaces instead of additional scanning activity. The roadmap will also address the unique challenges of coordinating with local law enforcement agencies to gain the greatest benefits from CCPOR.
- Identify the sequence and time frames for the deployment of CCPOR to the 26 remaining courts.
- Develop a CCPOR vision and roadmap document that describes where CCPOR goes from here. Should the CCPOR user interface be enhanced for easier use? Should the system be expanded to process additional case types or interface with other systems?

## Dependencies

- The program relies on an electronic image of each protective order. While a DMS is not required for CCPOR, courts with existing document management systems may have fewer challenges with configuration during deployment.
- Local law enforcement agencies must be willing and able to participate in the deployment of the system in each court.

## Funding Requirements

### One-Time

- Hardware, software, and storage for document images.
- Services to assist with the deployment of the system.
- Hardware, software, and services to develop interfaces with existing systems.

### Ongoing

- Annual server hosting and document image storage fees.
- Annual maintenance cost for purchased hardware and software.
- Annual service contract for maintenance of program interfaces.

## Potential Funding Sources

- Grant funding or budget change proposal (BCP) for continued deployment.
- Ongoing costs must be covered by each individual court's operating budget.

## Types of Courts Involved

This initiative will be focused on the 26 trial courts that have not implemented CCPOR. Non-participatory courts have been solicited for their interest and capability to implement the current CCPOR system. Courts that have participated in the interest survey and meet the grant stipulations to use one-time funding for deployment have been reviewed by the Judicial Council Technology Committee. The Superior Courts of San Francisco, Madera, Napa, Nevada, Sierra, and Trinity Counties have been approved for grant-funded deployments to occur in calendar year 2014.

## Sample Timeline

Milestone	Time Frame
Initiative launch	Q4 2014
Solicit interested courts.	Q4 2014
Develop funding requirements and model.	Q1 2015
Secure funding.	Q2 2015
Deploy next phase courts.	Q3 2015
Publish project report.	Q3 2016

## ***Implement a Portal for Self-Represented Litigants***

### **Description**

Self-represented litigants (SRLs) are an increasingly large segment of the population that our courts serve, particularly in certain 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 filing hours in many courts have placed significant additional burdens on both court personnel and on the litigants.

A central portal available to pro se litigants can take advantage of largely existing and available branch resources to provide better and more convenient service to the public, and to provide tangible benefits and efficiencies to the courts. A central access point for self-represented parties (and for community organizations that assist them) can 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.

The cost of developing and implementing such a system can be largely, and perhaps entirely, borne by a modest service fee paid by non-indigent pro se litigants, at far less cost than now incurred when a self-represented party must take time from work and travel to what may be a distant courthouse to submit documents.

### **Major Tasks**

- Determine and validate both litigant needs and court requirements.
- Identify available existing technology and infrastructure components to leverage.
- Identify information resources to assist litigants.
- Identify pilot project participant courts.
- Identify potential vendors and costs/RFP for portal development.
- Initiate pilot program at one or more courts.

### **Dependencies**

- Funding requirements, funding sources, timeline, and milestones to be determined by project team.
- Existing branch infrastructure, including California Courts Technology Center resources, the integrated services backbone (ISB), and LAN/WAN program could be used to complement and supplement local court resources.
- “Smart Forms” have already been developed for many Judicial Council pleading forms, and document assembly software is already licensed at the branch level. There are a multitude of existing self-help resources at the branch and local court levels could be coordinated and leveraged.

**Funding Requirements****One-Time**

- Initial development and deployment costs.

**Ongoing**

- Operational expenses associated with maintaining the portal.

**Potential Funding Sources**

- There may be sufficient vendor interest to allow initial development costs to be funded in whole or in part by one or more service providers. An RFP would be required to assess interest.
- Ongoing operational costs could be supported, in whole or in part, by user fees paid by non-indigent self-represented litigants.

**Types of Courts Involved**

Courts with existing e-filing solutions can benefit from a simplified pro se filer interface and integration with interview software and Smart Forms. Courts without e-filing capability can benefit from e-delivery of complete, accurate, and legible pleadings.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Needs and requirements assessment	Q2 2015

## ***Jury Management Technology Enhancements (trial courts)***

### **Description**

This initiative will establish a roadmap for enhancing trial court jury management technology, including providing enhanced and expanded accessibility to jury services by the public and improved interaction with jury management technology by the trial courts.

### **Major Tasks**

- Identify current jury management technology in use by all courts.
- Identify current access methods to juror services in use.
- Identify a comprehensive solution for jury management and automation.
- Pilot expanded accessibility options and communication methods for jurors.
- Pilot next-generation jury management interfaces and/or software.

### **Dependencies**

Funding requirements, funding sources, timeline, and milestones to be determined by project team.

### **Funding Requirements**

#### **One-Time**

- TBD

#### **Ongoing**

- TBD

### **Potential Funding Sources**

Currently, there is a jury system grant program that the AOC's Information Technology Services Office helps administer. The jury system grant program's goals include assisting those courts that have a jury management system/module that is at risk of failure as well as funding system enhancements that provide greater operational efficiencies and provide jurors with greater access to information.

### **Types of Courts Involved**

Trial courts.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
TBD	TBD

## ***E-filing Deployment***

### **Description**

Electronic filing and storage of court documents is a national trend that is becoming a permanent feature of how litigants interact with the courts. When implemented, e-filing provides immediate benefits to the court through cost efficiency and accuracy and convenience to the filer. In California, only a very few courts are currently benefiting from e-filing and only in limited case types.

A fully successful e-filing implementation is typically characterized by:

- Majority of data entry is performed by the filer through a portal.
- Filing data and attached documents are transmitted to the court using Extensible Markup Language (XML).
- A court e-filing manager (EFM) tracks all inbound and outbound transmissions and performs some validation checking.
- Remaining validations are handled through a “c lerk review” process, which can be automated.
- Accepted filing data is stored in the court case management system, the document is stored in the court document management system, and the notification of acceptance is sent back to the user.
- Court filing fees are typically paid electronically directly by the filer or through an intermediary.

### **Major Tasks**

- Refine and distribute an e-filing deployment roadmap to aid courts in preparing for implementation.
- Survey courts to identify both the current state of e-filing and those courts with current interest and capability to implement e-filing.
- Identify funding mechanisms (e.g., court funded and/or user fee supported) for branch and local e-filing initiatives.
- Create and publish an e-filing implementation plan consistent with level-of-readiness criteria and available funding.
- Assess viability/desirability of a statewide filing portal for at least some e-filing functionality (e.g., self-represented litigants) and for e-delivery to those courts without e-filing capability. Develop plan accordingly.

### **Dependencies**

- To achieve maximum benefit, the program relies on case and document management systems capable of supporting e-filing.
- In order to mandate e-filing, a court will need at least two e-filing service providers (EFSPs) or the court (or AOC) will need to provide and operate an e-filing portal.
- If a portal is court-operated, a PCI-compliant infrastructure is also required to ensure security of filers’ financial information.

- Courts lacking a modern case and/or document management system can implement a variation of e-filing called “e-delivery.” E-delivery removes the dependency on modern case and document management systems but provides reduced benefits.

### Funding Requirements

#### One-Time

- Hardware, software, and storage for the e-filing environment (portal, EFM, clerk review).
- Services to assist with the deployment of the system including portal, CMS, and DMS integration.
- Development of the e-filing portal (whether by the court or by an EFSP).
- Court staff costs to design the new procedures for handling case flow and filing fee management.

#### Ongoing

- Annual maintenance cost for purchased hardware and software.
- Annual service contract for maintenance of program interfaces.
- Annual costs to support the portal and/or EFSPs.

### Potential Funding Sources

- User fees paid by the filers.
- Payment of development and operational costs by one or more EFSPs (recovered through user fees paid by filers).
- Budget change proposal (BCP) funding or grant funding on an ad hoc basis.
- Local court funding supported by cost savings.

### Types of Courts Involved

This initiative is applicable to trial courts and appellate courts. Courts will be surveyed for their interest and capability to implement an e-filing program.

### Sample Timeline

Milestone	Time Frame
Initiative launch	Q3 2014
Update and distribute e-filing deployment roadmap.	Q3 2014
Survey courts to gauge interest and readiness.	Q3 2014
Develop funding models.	Q4 2014
Publish e-filing implementation plan(s) for selected court(s).	Q1 2015
Assess viability/desirability for a statewide filing portal— all inclusive or specialized (e.g., self-represented litigants). Develop plan accordingly.	Q3 2015
Publish project report.	Q2 2016

## ***E-filing Service Provider (EFSP) Selection/Certification***

### **Description**

Rule 2.253(b) of the California Rules of Court allows courts to mandate electronic filing of “documents in civil actions directly with the court, or directly with the court and through one or more approved electronic filing service providers, or through more than one approved electronic filing service provider, subject to [specified conditions].” While not required to use an e-filing service provider (EFSP), many courts will choose this route as the EFSP will shoulder much of the workload in training users and providing technical support for e-filing transactions from the point of e-filing all the way to integration with the courts’ case and document management systems.

California courts currently support two e-filing standards for civil actions: the legacy 2GEFS (2nd Generation E-Filing Standard) standard and the future ECF/NIEM (Electronic Court Filing/National Information Exchange Model) standard. All case management system (CMS) vendors looking to do business in California are being required to support the ECF/NIEM standards. The scope of this project is for ECF/NIEM EFSPs.

On-boarding (or certifying) a new EFSP is an involved process that typically moves through solicitation, selection, contracting, integrating, and testing with the court CMS, and finally implementing. Historically each court would certify EFSPs individually for its particular CMS and jurisdiction. Today there are between 15 and 20 EFSPs doing business in some part of California.

The cost of developing and implementing an EFSP selection and certification process is dependent upon approach. There are three broad approaches:

- **Work with the CMS vendor community to establish the EFSP certification.** In this model, the majority of cost and workload falls onto the CMS vendor community. Courts do not typically share in “cost recovery.” This is historically the most common approach, but creates dependencies with CMS vendors.
- **Select a single vendor (CMS or EFSP) to serve as the statewide EFM.** In this model, the court selects a single vendor to operate a single e-filing gateway to courts. The branch typically implements a “cost recovery” model to fund implementation costs with the various CMS vendors. This approach is being implemented in Texas.
- **Develop and operate a CMS independent E-Filing Manager (EFM) that sits between CMS vendors and EFSPs.** In this model, the court builds and operates the e-filing gateway into which EFSPs and CMS vendors work. It is similar to the option above, but requires the court to play a more active role. In exchange, the costs to implement/operate are recovered by the court through convenience fees. This approach has been implemented in Colorado.

### **Major Tasks**

- Assess merits of each approach and determine a path forward for California courts.
- Secure pilot funding, as needed.
- Develop EFSP evaluation criteria.

- Develop uniform contracts (CMS and/or EFSP, depending upon model).
- Identify pilot project participant courts.
- Initiate pilot program at one or more courts.

#### **Dependencies**

- Certification process must adhere to Judicial Branch Contracting Manual.
- Alignment with CMS strategy required.

#### **Funding Requirements**

##### **One-Time**

- Depend upon the approach selected.
- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

##### **Ongoing**

- Depend upon the approach selected.

#### **Potential Funding Sources**

- Payment of development and operational costs by one or more EFSPs (recovered through user fees paid by filers).
- Budget change proposal (BCP) funding or grant funding on an ad hoc basis.
- Local court funding supported by cost savings.

#### **Types of Courts Involved**

This initiative is applicable to trial courts and appellate courts. Courts will be surveyed for their interest and capability to implement an e-filing program.

#### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
TBD	TBD

## ***Identify and Encourage Projects that Provide Innovative Services***

### **Description**

This initiative will investigate the potential for starting projects focused on providing innovative services to the public, the State Bar, justice partners, and law enforcement agencies. These services will provide a conduit for easier access to court resources and generate automated mechanisms relating to conducting court business. In addition, these innovative services will generate efficiencies within each judicial branch entity, thereby promoting more effective utilization of branch resources and existing infrastructure.

### **Major Tasks**

- Establish a process for fostering local court and branch innovation.
- Determine available funding resources or cost recovery models.
- Examples might include:
  - Payment gateway/portal model for the acceptance of court fines and fees that is compliant with general computing environments, mobile devices, kiosk applications, and branch accounting standards.
  - Electronic search warrants system with the versatility to be hosted centrally or deployed independently at various courts.
  - Electronic probable cause declaration system with the versatility to be hosted centrally or deployed independently at various courts.

### **Dependencies**

Availability of branchwide innovation fund would accelerate the identification and pilot of innovative services.

### **Funding Requirements**

#### **One-Time**

- None.

#### **Ongoing**

- Branchwide innovation fund.

### **Potential Funding Sources**

Initial funding through a budget change proposal (BCP), with ongoing funding from restoration of branch technology funding.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, superior courts.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q1 2015
Final recommendation	Q3 2015

## ***Establish an “Open Source” Application-Sharing Community***

### **Description**

This initiative will investigate the potential for creating a community inside the branch for sharing applications written within the branch. The community will follow an open source model where source code will be made available to anyone within the branch. Courts can then use or modify the code as they like. However, courts are encouraged to contribute any modifications or enhancements back to the community for inclusion in future versions of the application. Examples could include electronic warrant and digital signature application, court document purchase modules, electronic judicial workbench, et al.

### **Major Tasks**

- Integration of Open-source software governance into the existing governance model.
- Repository for making applications available.
- Initial library of applications gathered from within the branch.
- Communication mechanism for promoting the repository.

### **Dependencies**

Standards for Open-source software governance and management.

### **Funding Requirements**

#### **One-Time**

- Potential costs for initial implementation of repository.

#### **Ongoing**

- Minimal ongoing costs for maintaining repository.

### **Potential Funding Sources**

Sponsored by an individual court or through branchwide innovation fund.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, superior courts.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Repository design and gathering of initial applications to be shared in the library	Q3 2015
Repository available for use	Q4 2015

## ***Develop Standard CMS Interfaces and Data Exchanges***

### **Description**

This initiative will investigate the potential for developing a set of commonly used CMS interfaces and data exchanges that would be based on standards and be reusable by courts, vendors, and CMS exchange partners. Selected common, frequently used data exchanges and interfaces would be developed collaboratively by the courts, the AOC, vendors, and other exchange partners. Once available and tested through actual court implementation, the data exchanges and interfaces could be posted to a specially designed web portal that would be a searchable repository for the exchanges' interfaces and their associated documentation. The portal would also serve as a knowledge center for both creators and consumers of the data exchanges and interfaces, allowing for discussion threads and searchable knowledge resources. Finally the portal would also accommodate the certification and posting of court- or vendor-created extensions or modifications to the initial library of common data exchanges and standard interfaces.

Initial data exchanges, data classification activities, and interfaces would focus on the most used common exchanges such as exchanges between trial courts and the Department of Child Support Services, the Department of Motor Vehicles, the Department of Justice, the California Highway Patrol, the Franchise Tax Board, the Department of Social Services, the Department of Corrections and Rehabilitation, the Phoenix Financial system, collection providers, and common local justice partners. It is expected that the needed common exchanges could leverage work from existing court-implemented exchanges or from previous branchwide data exchange efforts.

### **Major Tasks**

- Create governance model for managing the use, ongoing support, addition, or modification of data exchanges.
- Identify any existing interfaces that can be reused or modified for broader use.
- Prioritize list of possible data exchanges for initial development or leverage from existing work.
- Perform data classification for each exchange to determine security level required.
- Document court-generated requirements for each selected exchange.
- Compile functional and technical specifications for each selected exchange.
- Create library of completed and tested initial data exchanges.
- Collect associated knowledge center documentation for data exchanges.
- Budget to support ongoing maintenance of the repository and exchanges.
- Create web portal repository and knowledge center for library of exchanges.

### **Dependencies**

- Alignment with CMS strategy.
- Available documentation from justice partners on data exchange requirements.
- Funding and resources from justice partners to develop their portion of the exchange.

**Funding Requirements****One-Time**

- Costs for initial development.

**Ongoing**

- Annual maintenance cost.

**Potential Funding Sources**

Budget change proposal (BCP) funding or grant funding.

**Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q2 2015
Identify exchanges to develop and fund.	Q3 2015
Begin development of initial exchange.	Q4 2015

## Technology Initiatives to Optimize Branch Resources

### ***Establish Hardware and Software Master Branch Purchasing/Licensing Agreements***

#### **Description**

The initiative will establish master branch agreements (leveraged purchase agreements) with various hardware/software manufacturers and service providers after the completion of a statewide judicial branch procurement process. Ultimately, this will lower judicial branch spending on specific IT goods, as the agreements will establish better prices for hardware and software that all judicial branch entities (JBEs) can benefit from. JBEs that take advantage of these agreements will also benefit from additional savings as they will not incur costs from conducting local procurements. For manufacturers with existing state agreements and contracting pricing programs (i.e., Western States Contracting Alliance (WSCA) and California Integrated Telecommunications Network (CALNET)), this effort will strive to improve upon those and create judicial branch–specific discounts. The objectives of this effort are to provide an easy mechanism for courts to procure and source common hardware and software rather than impose standards. There will be no requirement to use master branch agreements. Additional value would be gained from the formation of groups using the same products, promoting opportunities for knowledge sharing and awareness.

The following criteria should be considered when deciding if a master branch agreement should be initiated:

1. Existing presence of a product deployed broadly or high demand for the product across the judicial branch.
2. Products in use or being considered that are positioned in the “Leaders, Visionaries or Challengers” section of Gartner’s Magic Quadrant or similar comparative analysis.

#### **Major Tasks**

- Summary of products that justify the effort for establishing master branch agreements.
- Business analysis to determine the scope of any RFP that will be issued for this initiative.
- Master branch agreements for computing and video hardware manufacturers.
- Master branch agreements for storage hardware manufacturers.
- Master branch agreement for Microsoft licensing.
- Master branch agreement for VMware licensing.

#### **Dependencies**

- The effort will require a significant amount of time from AOC Legal Services and Business Services staff.
- Additionally, all JBEs will need to identify existing hardware and software licenses in the areas listed above to provide input to the benefit analysis.

- Surveys may need to be completed by each JBE to identify common needs and requirements.
- The output from other tactical initiatives may result in the need for master branch agreements to be established as part of this initiative.
- JBEs must follow the policies and procedures published in the Judicial Branch Contracting Manual and Trial Court Financial Policies and Procedures Manual.

### **Funding Requirements**

#### **One-Time**

- The initiative is not expected to require one-time funding. However, considerable time will be required from AOC legal and contracting staff involved with this initiative.
- Additionally, technology staff time from each JBE will be required to providing input on the prioritization and needs of both hardware and software products.

#### **Ongoing**

- Ongoing costs determined by specific agreements that are completed.

### **Potential Funding Sources**

Funds will be handled individually by each JBE through normal allocations and operating budget.

### **Types of Judicial Branch Entities Involved**

The Supreme Court, Courts of Appeal, superior courts, Habeas Corpus Resource Center, and the AOC will all benefit from this initiative.

### **Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Survey JBEs for existing commonalities and/or needs for hardware and software products.	Q3 2014
Analyze survey results, utilizing comparative analysis such as Gartner’s Magic Quadrants, and determine high-priority and medium-priority selections of products and manufacturers that justify the need for a master agreement.	Q3–Q4 2014
Publish RFPs for high-priority products.	Q1–Q4 2015
Issue award contracts for high-priority products.	Q4 2015
Publish final agreements/documents for high-priority products and make accessible to all within the judicial branch.	Q4 2015
Publish RFPs for medium-priority products.	Q3 2015–Q2 2016
Award contracts for medium-priority products.	Q2 2016
Publish final agreements/documents for medium-priority products and make accessible to all within the judicial branch.	Q2 2016

## Technology Initiatives to Optimize Infrastructure

### *Extend LAN/WAN Initiative to Remaining Courts*

#### **Description**

Integrate the trial courts of Alpine, Los Angeles, Orange, and San Diego Counties into the branchwide telecom, network device, and security refresh schedule and determine program approach for the appellate courts.

#### **Major Tasks**

- Complete needs assessment for all trial courts, develop implementation recommendations, and determine funding needs.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Publish project plans for implementation.
- Deploy devices and implement services for the identified trial courts in alignment with the needs assessment and project plans.
- Publish program approach for eventual inclusion of the appellate courts into the refresh schedule.

#### **Dependencies**

- Needs assessments must be completed to identify and request the necessary funding.
- Staff at the identified courts must be able to dedicate the resources necessary to support the project.

#### **Funding Requirements**

##### **One-Time**

- Purchase costs of products, services, and maintenance contracts, as identified in the needs assessment for each of the identified trial courts.

##### **Ongoing**

- Continuing monthly costs for those ongoing services and maintenance contracts initiated in year one based on the needs assessment for each of the identified trial courts.
- New costs expected to be incurred as a result of eventual inclusion of the appellate courts into the refresh schedule.

#### **Potential Funding Sources**

Funding to integrate the few remaining courts would be provided through the budget change proposal (BCP) process, with future branch funding allocated for the statewide LAN/WAN infrastructure initiative.

#### **Types of Courts Involved**

This initiative is focused on those courts not yet been included in the branchwide telecom, network device, and security refresh schedule but would include a long-term strategy for all courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch <sup>2</sup>	Q1 2014
Complete needs assessment, develop implementation recommendations, and determine funding needs.	Q1 2014
Finalize product, service, and maintenance contract procurement with vendor partners.	Q1 2014
Publish project plans for implementation at each of the identified courts.	Q2 2014
Publish long-term plan.	Q3 2014
Begin implementation of devices and services for the identified courts in alignment with initiative plans.	Q4 2014

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<sup>2</sup> This initiative began in Q1 2014.

## ***Transition to Next-Generation Branchwide Hosting Model***

### **Description**

The current California Courts Technology Center (CCTC) hosting model for information technology applications and services was developed largely based upon the strategy of central hosting of court case management systems and other shared applications. The branchwide strategy for the hosting of court case management systems has changed; therefore, the branch should reevaluate the CCTC hosting model to ensure resources and opportunities are being utilized as effectively as possible to address the needs of courts in alignment with the new strategic direction.

As hosting models and technology evolve, the most cost-effective branchwide strategy for application and services hosting may be enabled through a combination of selective consolidation, virtualization, and implementation of secure private and public cloud environments. The goal of this tactical initiative will be to determine an updated model for branchwide hosting.

### **Major Tasks**

- Complete needs assessment, develop implementation recommendations, and determine the necessary funding changes.
- Finalize product, service, and maintenance contract procurement with vendor partners.
- Publish transition project plan.
- Decommission old services and implement new services in alignment with the needs assessment and transition plan.

### **Dependencies**

- The needs assessment should align with the strategy and roadmap for the Digital Court initiatives.

### **Funding Requirements**

#### **One-Time**

- Initial year one purchase of products, services, and maintenance contracts, as identified in the needs assessment and project plan.

#### **Ongoing**

- Continuing monthly costs for specified ongoing services and maintenance contracts initiated in year one.

### **Potential Funding Sources**

- Branch funding for hosting services that are shared across the branch.
- Direct billing to the courts for court-specific services.

### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts. All courts and the AOC will benefit from an updated branchwide hosting model tightly aligned with current and anticipated future business requirements.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q1 2015
Complete needs assessment, develop implementation recommendations, and determine the necessary funding changes.	Q3 2015
Finalize product, service, and maintenance contract procurement with vendor partners.	Q3–Q4 2015
Publish transition project plan.	Q1 2016

## ***Court Information Systems Security Policy Framework***

### **Description**

In response to requests from courts, the AOC initiated a court information systems security policy framework in 2007, integrating best practices from representative trial courts, appellate courts, and the AOC as a reference document for adoption into their local court information systems security policies.

The initial project was suspended in 2009 due to budget limitations. With a current focus on promoting the Digital Court, information security is a critical component to ensuring its success, and the project should be restarted.

The goal of this initiative is for every court to use the same security framework for adoption into their local information security policies. The framework provides a common reference point recognizing that local policies may not be the same among the courts.

The goals of the framework are:

- To suggest an overall information security policy, governance, and compliance model for the judicial branch to leverage when building security programs;
- To provide a holistic information security framework, based on the International Organization for Standardization's Standard 27002 (ISO 27002) that the courts can leverage in creating local policies;
- To provide guidance to all members of the judicial branch on the proper handling of sensitive information;
- To provide a basis for security training and educational awareness programs that can be developed by the courts;
- To provide the basis for the development of implementation standards, procedures, and guidelines for each platform, operating system, application, and security device that can then be monitored and enforced against the policies in the framework.

### **Major Tasks**

This initiative will complete the framework project by:

- Finishing the work that was started on the Court Information Systems Security Policy Framework;
- Initially deploying the framework at a select group of pilot courts;
- Deploying the framework at the remaining courts as needed.

### **Dependencies**

- The initial project enlisted a committee of 13 court representatives along with AOC staff to represent the branch. A similar approach and participation is needed in order to properly represent all interested entities.
- The deployment schedule would depend on the number of participating courts and cannot be easily determined at this time.

### **Funding Requirements**

**One-Time**

- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.
- Additional funding would be required to assist the courts with the adoption of the framework into their local policies. The amount of funding will depend on the number of participating courts.

**Ongoing**

- Minimal ongoing funds would be necessary to maintain the security policy framework to ensure its ongoing relevance and effectiveness.

**Potential Funding Sources**

This project was previously funded by the Telecommunications LAN/WAN Program.

**Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, and superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Complete framework document.	Q1 2015
Begin deploying framework to pilot courts.	Q2 2015
Modify framework based on pilot.	Q1 2016
Begin deployment to other interested courts.	Q2 2016

## ***Court Disaster Recovery Framework and Pilot***

### **Description**

While a robust and annually tested disaster recovery program has been instituted for the California Courts Technology Center, the appellate courts, the trial courts, and the AOC have various levels of preparedness for disaster recovery of their technology resources.

This initiative would result in framework to assist the courts and the AOC with a process for implementing a disaster recovery program that meets each individual organization's specific needs while leveraging resources and knowledge for the benefit of the entire branch.

The goals of the framework are:

- To suggest an overall disaster recovery model for the judicial branch to leverage in building individual organization disaster recovery plans and identify which components, if any, would apply branchwide.
- To collaboratively develop model disaster recovery requirements, service-level agreements, and priorities for each of the major technology components of the branch such as desktop equipment, networks, infrastructure, applications, security, data, etc.
- To work with a model court to test the framework by using it to develop a court-specific disaster recovery plan.
- To provide guidance to all courts and the AOC on use of the framework and practical implementation guidelines.
- To develop a plan for implementing technology services that could be leveraged for all courts for disaster recovery purposes.

### **Major Tasks**

- Model disaster recovery requirements, standard recovery times, and priorities for each of the major technology components of the branch.
- A disaster recovery framework document that could be adapted for any trial or appellate court to serve as a court's disaster recovery plan.
- A plan for providing technology components that could be leveraged by all courts for disaster recovery purposes.

### **Dependencies**

- This project would be dependent on resources necessary to research and gather requirements and create the deliverable.
- Many of those resources would need to be court business and technical experts, while others would be disaster recovery planning experts.

### **Funding Requirements**

#### **One-Time**

- Funding for disaster recovery consultant.
- Travel budget for a small number of face-to-face planning meetings to supplement regular phone conferences.

- Additional funding would be required to assist the courts with adapting the framework into their local needs. The amount of funding will depend on the number of participating courts in the initial pilot.

### Ongoing

- Minimal ongoing funds would be necessary to maintain the framework to ensure its ongoing relevance and effectiveness.
- Additional funding requests would be developed out of this process for the purpose of procuring and implementing the technical components that can be leveraged by multiple courts and determining what else may be needed at the individual court level for unique court needs.

### Types of Courts Involved

All courts—Supreme Court, Courts of Appeal, superior courts. The framework should be applicable to all courts and to the AOC.

### Sample Timeline

Milestone	Time Frame
Initiative launch	Q3 2014
Select disaster recovery (DR) consultant and court subject matter expert (SME).	Q4 2014
Develop requirements and recovery standards.	Q2 2015
Test with pilot court or courts.	Q3 2015
Develop funding request for DR at branch and court levels	Q1 2016

## Technology Initiatives to Promote Rule and Legislative Changes

### *Identify New Policy, Rule, and Legislation Changes*

#### **Description**

To align policies, rules of court, and legislation supporting the use of technology in the courts consistent with the Strategic Plan for Technology.

#### **Major Tasks**

- Identify the highest priority statutes necessitating review in order to facilitate the move to the digital court.
- Assess rules of court and statutes and develop recommended standards, guidelines, and templates regarding data privacy, data that courts can or cannot make available online, and data mining.
- Revise the *Trial Court Records Manual* on uniform rules and policies for electronic signature and verification.
- Develop branch and model court privacy policies on electronic court records and access.

#### **Dependencies**

- Judicial Council internal committees;
- Judicial Council advisory committees;
- AOC Legal Services Office;
- AOC Office of Governmental Affairs;
- External stakeholders (e.g., Legislature, law enforcement, etc.).

#### **Funding Requirements**

##### **One-Time**

- None required. This initiative requires staff support for Judicial Council internal and advisory committees for initial assessments and proposals.
- Time required for judicial officer and staff training on changes.

##### **Ongoing**

- None required. This initiative requires time for routine reviews of policies, rules, and legislation needs.

#### **Potential Funding Sources**

None required.

#### **Types of Courts Involved**

All courts—Supreme Court, Courts of Appeal, superior courts.

**Sample Timeline**

<b>Milestone</b>	<b>Time Frame</b>
Initiative launch	Q3 2014
Complete review of rules and statutes, and recommend revisions and additions.	Q4 2014
Complete review of the <i>Trial Court Records Manual</i> and recommend revisions and additions.	Q1 2015

## Initiative Timeline Summary

Strategic Goal	Initiative	2014				2015				2016			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Promote the Digital Court	CMS Assessment			■	■	■							
	DMS Expansion			■	■	■	■	■	■				
	Courthouse Video			■	■	■	■	■	■	■	■		
	CCPOR				■	■	■	■	■	■	■	■	
	Portal for SRL						■						
	Jury Management												
	e-Filing Deployment			■	■	■	■	■	■	■	■		
	e-Filing Service Provider												
	Identify Innovative Services					■	■	■					
	Establish Open Source Sharing						■	■	■				
Develop CMS Data Exchanges						■	■	■					
Optimize Resources	Establish Purchasing Agreements			■	■	■	■	■	■	■	■		
Optimize Infrastructure	Extend LAN/WAN Initiative	■	■	■	■								
	Next Generation Hosting Plan					■	■	■	■	■			
	Information Security Framework			■	■	■	■	■	■	■			
	Disaster Recovery Framework			■	■	■	■	■	■	■			
Legislative Changes	Identify New Rules and Legislation			■	■	■							

## CONCLUSION

The California judicial branch is as complex and diverse as the population that it serves. The judicial branch has diversity in geography, court size, and case types. Courts have varying fiscal health and capabilities, and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court rather than a digital electronic one.

This Tactical Plan for Technology and the associated Strategic Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level that address the diversity and challenges the branch is facing.

The proposed tactical plan recognizes the need for judicial, management, and technical experts located at the trial, appellate, and Supreme Court levels, as well as the Administrative Office of the Courts, to work together as an IT community. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

## APPENDIX A: Formation of the Technology Planning Task Force

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system. Additionally, the council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

- Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
- Leveraging the CCMS V4 technology and developed software to benefit ongoing judicial branch technology solutions;
- Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public;
- Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
- Developing alternatives for the CCMS V4 early adopter court, San Luis Obispo, to meet its current case management system needs; and
- Developing strategies to assist trial courts with existing critical case management system needs.

A Judicial Branch Technology Initiatives Working Group was created in June 2012 and launched a series of technology workstreams that were tightly scoped projects to address the short-term critical technology needs for the branch in six-months or less. They brought in direct participation from the courts to work together with the AOC as an IT community. Both costs and risks were reduced as a result of the tight scope. By early 2013 they were successful in generating:

- a case management system request for proposal (RFP) resulting in three commercial software products selected for master services contracts;
- an e-filing roadmap and planning document;
- an assessment of CCMS V4 technology that could be leveraged for future opportunities; and
- foundational work for the governance and funding model.

The workstreams not only addressed the short-term technology needs of the branch and addressed the directives from the Judicial Council but also provided an opportunity for the branch to work in a new model and catalyze the technology strategic planning process.

The California Department of Finance and the California Department of Technology (CaTech) have both indicated that the judicial branch needs to adopt a Strategic Plan for Technology to support long-term funding to meet judicial branch technology needs. Additionally, the Bureau of State Audits (BSA)<sup>3</sup> reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the Administrative Office of the Courts (AOC) and the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

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

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

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

After the Judicial Branch Technology Summit, the Chief Justice authorized the creation of a task force reporting to the Judicial Council Technology Committee. As per earlier documents, the task force was charged with:

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

Specifically, the task force was tasked to:

- Work collaboratively with the courts and judicial branch stakeholders;
- Develop a comprehensive branchwide plan for technology governance that will delineate the parameters of state versus local decision-making for technology initiatives;
- Develop a strategic plan for technology that will provide direction and vision for technology within the branch;

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<sup>3</sup> BSA has been renamed to California State Auditor.

- Develop a tactical plan for technology that will define the steps needed to achieve the goals defined in the strategic plan;
- Develop administrative and technical guidelines;
- Identify and promote trial court collaboration and consortia for the benefit of technology;
- Develop recommendations for a stable, long-term funding source for judicial branch technology; and
- Delineate technology funding sources.

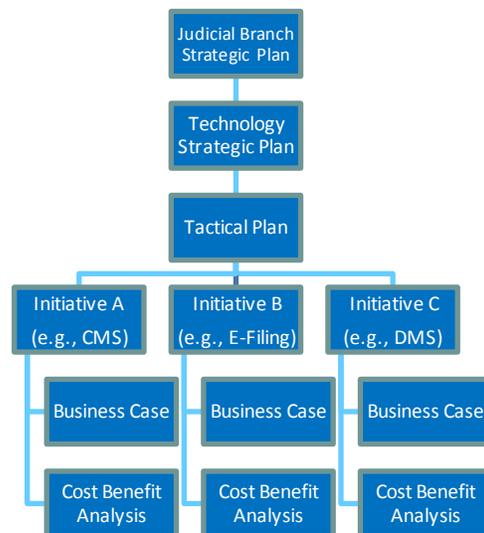
## APPENDIX B: Technology Planning Task Force Structure

The Task force reports to the Judicial Council Technology Committee and will terminate in 2014 after the approval and publication of its recommendations.

The task force worked collaboratively to define judicial branch technology governance in terms of statewide versus local decision-making, to develop a strategic plan for technology across all court levels that provides a vision and direction for technology within the branch, and to develop recommendations for a stable, long-term funding source for supporting branch technology, as well as a delineation of technology funding sources.

The task force utilized a planning framework based on industry best practices and focuses on two main concepts:

1. Treat the strategic plan as a roadmap that is used and referenced continually to help direct and focus branch efforts in technology rather than simply as a document that is written, published, and put on the shelf.
2. The technology strategic plan is a cascading plan. The judicial branch strategic plan and its goals drive a four-year technology strategic plan that then drives a detailed two-year tactical plan that contains individual initiatives and projects that align with the overall goals of the branch.



These best practices ensure that the planning process is thorough, efficient, and aligned—producing practical actionable results.

The work of the task force was divided into three tracks:

- **Governance**—determined the process for how the branch will prioritize and select technical programs.
- **Strategic Plan**—identified a prioritized list of goals and initiatives.
- **Funding**—proposed a mechanism for funding technology programs.

The following chart lists the participants of each track.

## Technology Planning Task Force Participants

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

There are 14 members on the task force and a total of 41 participants contributing to all three tracks representing 20 superior courts, three Courts of Appeal, and the AOC.