Data Analytics Draft Policy Concepts

Data Analytics Workstream of ITAC

November 13, 2020
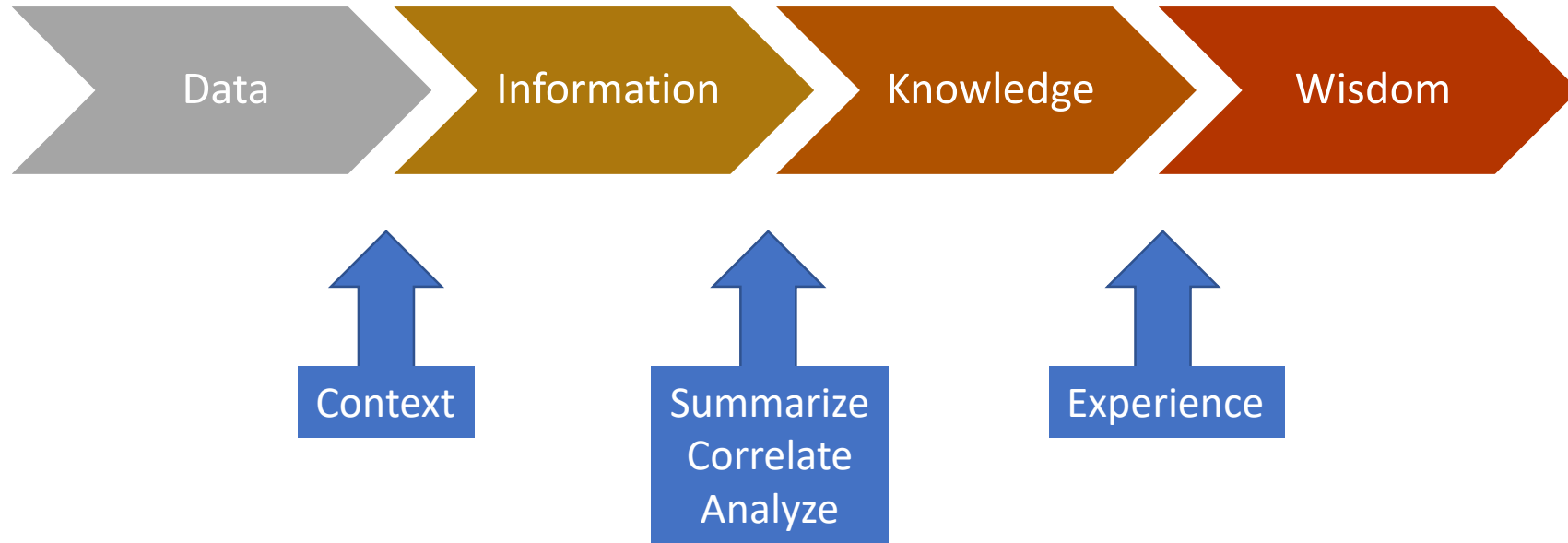
What is Data Analytics?
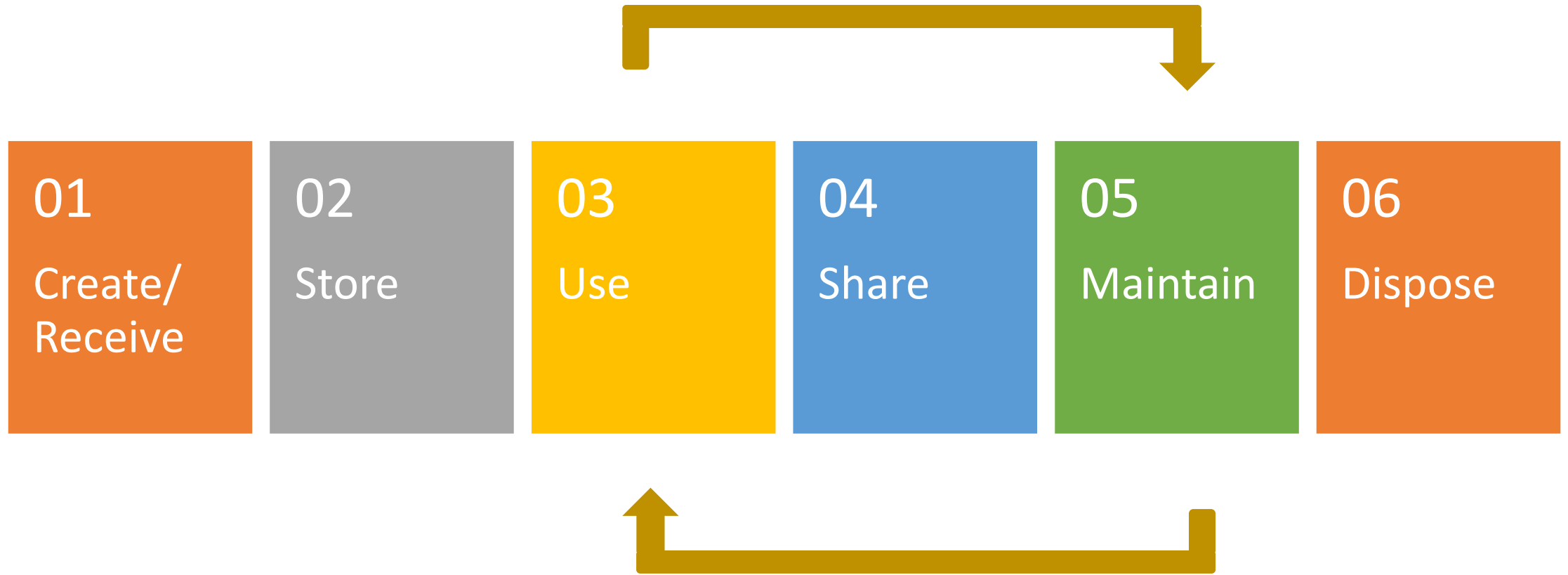
The process by which information or data is collected & analyzed to draw conclusions and make business recommendations

"Data-driven decision-making"

How Data Becomes Wisdom

Information Life Cycle

01 Create/ Receive	02 Store	03 Use	04 Share	05 Maintain	06 Dispose

Strategic Roadmap

2017 Mar	2018 Jul	2019 Sep	2020 Fall	2020 Late	2021 Early	2021 Spring
Award Data Analytics Innovation Grant to Orange Superior Court	Form Branchwide Data Analytics Workstream	Continue Governance Framework Development	Conduct Technical Platform Pilots in 5 Courts	Review Draft Policy Concepts	Present Policies to Judicial Council for Approval	Expand Technical Platform Pilots to 5-10 Courts

ITAC Data Analytics Workstream

Hon. Tara Desautels (Executive Sponsor) – **Alameda**	Snorri Ogata, CIO – **Los Angeles**
David Yamasaki, CEO (Executive Sponsor) – **Orange**	Robert Oliver, ACEO– **Solano**
Hon. Kyle Brodie, Judge – **San Bernardino**	Darrel Parker, CEO- **Santa Barbara**
Jake Chatters, CEO- **Placer**	Chris Stewart, CIO – **Sacramento**
Alan Crouse, CIO– **San Bernardino Superior Court**	Brian Taylor, CEO – **Solano**
Darren Dang, CFO – **Orange**	Peter Vigna, Supervisor/Criminal – **Santa Clara**
Hon. David De Alba, Judge – **Sacramento**	Andrea Wallin-Rohmann, CEO – **Third DCA**
Amy Downey, Assistant CEO – **Madera**	Leah Rose-Goodwin, Project Manager – **Judicial Council**
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Paras Gupta, CIO – **Monterey**	Heather Pettit, CIO– **Judicial Council**
Hon. Joyce Hinrichs, Presiding Judge - **Humboldt**	John Yee, Enterprise Architect – **Judicial Council**
Hon. Louis Mauro – **Third DCA**	

DRAFT Vision

The Judicial Branch will analyze, use, and share data to inform decision-making in order to enhance and expand vital and accessible programs and services for all the people of California.

Definitions

Data

- Facts and statistics collected for reference or analysis
- When validated, organized, and contextualized, data becomes **information**.

Judicial Branch Entity (JBE)

- The Supreme Court, each Court of Appeal, each superior court, and the Judicial Council (also collectively referred to in these policies as the Judicial Branch).

Judicial Branch DRAFT Data Analytics Principles

- Collect, use, and share data and information as appropriate to promote and support informed decision-making.

- Be clear about the use and purpose of data and information.

- Promote data transparency.

- Use high-quality, validated data and information.

- Follow published standards and governance principles when sharing data.

- Secure all data and information.

- Manage data and information according to retention requirements.

Proposed Roles

Data Steward

- Maximizes the value of data and information;
- Determines data access and addresses data sharing requests;
- Determines data quality, and validates the completeness and accuracy of data;
- Establishes procedures and guidelines for data integrity.

Data Administrator

- Maintains and stores the data;
- A business role associated with each data source;
- Ensures confidentiality, integrity, and availability of data;
- Implements policies, standards, procedures, and guidelines.

Data and Information Classification Policy Concepts

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Classification

- Data and information should be classified as "publicly accessible," "non-public," or "restricted," based on the nature of the data or information.

Confidentiality

- Categories of court records that are confidential by law or may be subject to sealing orders are identified in statute, the rules of court, and the Trial Court Records Manual.
- In using and sharing data and information, JBEs will strive to protect the individual privacy rights of court users.

Data and Information Access Policy Concepts

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Permissions-based Access

- Individuals are granted access to data and information at the level appropriate for the authorized function.

- Prevent unauthorized access.

Data and Information Use Policy Concepts

Viewing is not Possession

- A person or entity viewing data or information does not have the same responsibilities or obligations as one who receives a physical or electronic copy of data or information.

- Allowing another JBE to view or copy data or information also does not alter the classification of the data or information. If it was "nonpublic" previously, it remains so.

Data and Information Sharing Policy Concepts

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JBE receiving non-JBE data from outside the Branch

- May be governed by non-JBE data sharing agreement

JBE sharing with non-JBE outside the Branch

- Data sharing agreement may be appropriate;
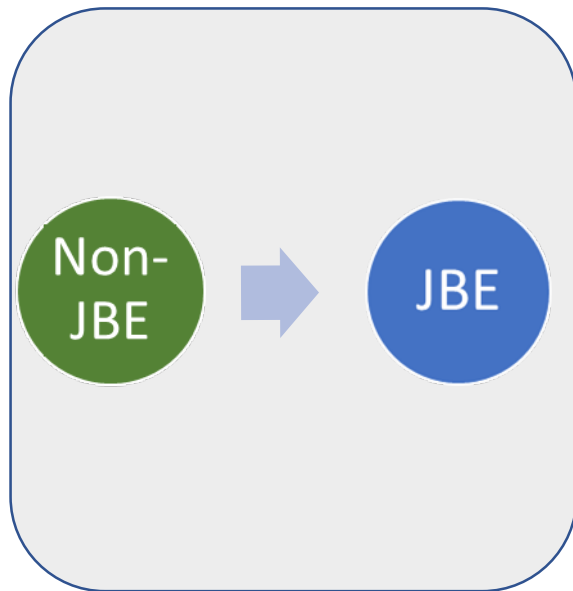
JBE sharing within the Branch

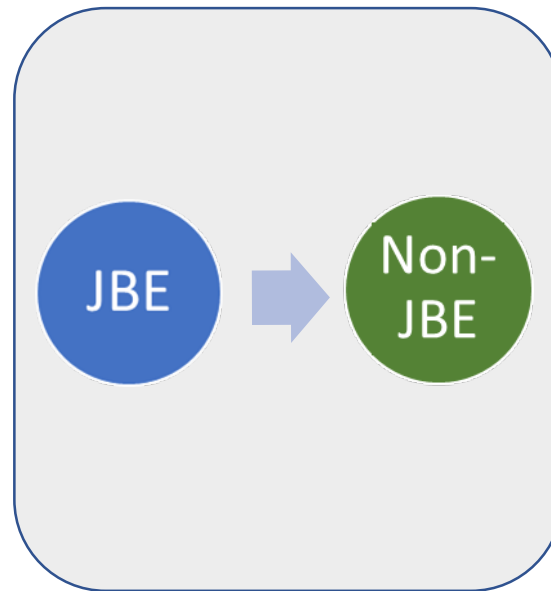- Data sharing agreement optional. Governed by Judicial Branch and local policies.

Data and Information Sharing Policy Concepts

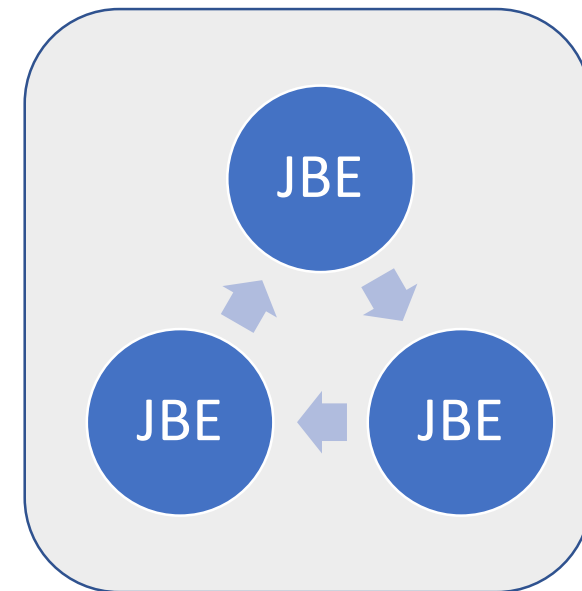**DRAFT**

With Judicial Branch

Non-JBE → JBE

May be governed by data sharing agreement.

From Judicial Branch

JBE → Non-JBE

Governed by data sharing agreement if appropriate.

Within Judicial Branch

JBE, JBE, JBE

Governed by internal policies. Data sharing agreement optional.

Data and Information Sharing Policy Concepts

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Data Sharing within the Judicial Branch

- Disclosure to another judicial branch entity does not compel public disclosure.

Consultation before sharing

- Data steward should be consulted before sharing data to ensure accuracy of data and propriety of disclosure.

Preliminary draft data

- Should be marked appropriately and treated differently than final validated data.

Data and Information Maintenance Policy Concepts

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Integrity

- Data and information quality should be maintained and measured against defined standards that include accuracy, reliability, and timeliness.

Availability

- Data and information protection and preservation should match the sensitivity of the content.

Data and Information Maintenance Policy Concepts

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Archive and Retention

- Data retention should follow established retention schedules and data should be archived as appropriate.

Additional Policies and Guidelines for Future Consideration

Data and Information Management Policies

Administrative

Quality

Data and Information Preservation

Technical

Trial Court Records Manual and Rules Updates

Data and information storage, retention, destruction, and archiving

Timeline

	What	When
1	Review model policy concepts with ITAC	October 2, 2020
2	Review model policy concepts with Technology Committee	October 9, 2020
3	Review model policy concepts with PJs/CEOs	October 14, 2020
4	Judicial branch internal policy review	October – November 2020
5	Status update at Appellate PJ advisory committee	October 27, 2020
6	Status update at TCPJAC/CEAC executive committee	October 28, 2020
7	**Review model policy concepts with Judicial Council**	**November 13, 2020**
8	Public comment period	Late November 2020
9	Request ITAC approval	January 2021
10	Request Technology Committee approval	January 2021
11	Request Judicial Council approval	March 2021

Thank you

Questions or comments?