



JUDICIAL COUNCIL OF CALIFORNIA

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REPORT TO THE JUDICIAL COUNCIL

Item No.: 21-072

For business meeting on March 12, 2021

Title

Judicial Branch Administration: *Tactical Plan for Technology 2021–2022*

Rules, Forms, Standards, or Statutes Affected

N/A

Recommended by

Judicial Council Technology Committee
Hon. Kyle S. Brodie, Chair
Information Technology Advisory
Committee
Hon. Sheila F. Hanson, Chair

Agenda Item Type

Action Required

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Executive Summary

The Tactical Plan Update Workstream and the Information Technology Advisory Committee recommend adopting the updated *Tactical Plan for Technology 2021–2022*. The updated plan was developed by reviewing the *Strategic Plan for Technology 2019–2022* to ensure alignment with branchwide goals, evaluating the status of existing initiatives, and considering new proposed initiatives. Building on the technology strategic plan, the tactical plan describes the focused efforts on technology solutions that further the administration of justice and meet the needs of the people of California.

Recommendation

The Technology Committee and the Information Technology Advisory Committee recommend that the Judicial Council adopt the *Tactical Plan for Technology 2021–2022* to supersede the 2019–2020 plan. This is the third update of the judicial branch tactical plan for technology since it was established within the *Technology Governance and Funding Model*, effective October 2014. The revised tactical plan is attached at pages 5–49.

Relevant Previous Council Action

The Judicial Council adopted the initial *Court Technology Governance and Strategic Plan*—which included the *Technology Governance and Funding Model*, the *Strategic Plan for Technology*, and the *Tactical Plan for Technology*—effective August 2014. The council then adopted the updated *Court Technology Governance and Strategic Plan* effective October 2014. The first update to the technology tactical plan (for calendar years 2017–2018) was adopted by the council in March 2017, and the second in May 2019. The first update to the technology strategic plan (for calendar years 2019–2022) was adopted by the council in November 2018.

Analysis/Rationale

The *Technology Governance and Funding Model*¹ (October 2, 2014) directs the Judicial Council to adopt, every two years, a *Tactical Plan for Technology* that will guide branch technology decisions. It assigns to the Information Technology Advisory Committee (ITAC) the responsibility of developing, seeking input on, and producing the technology tactical plan. This proposed plan represents the third update to the technology tactical plan since the governance model was adopted. ITAC tasked the Tactical Plan Update Workstream with the responsibility of updating the plan. The workstream included representatives from the appellate and trial courts, the Judicial Council Technology Committee, ITAC, and Judicial Council staff.

As a starting point to drafting this updated plan, the workstream members reviewed the technology goals, vision, and principles in the *Strategic Plan for Technology 2019–2022*.² The technology strategic plan explains *why* we need certain technology initiatives, and the technology tactical plan explains *what* those initiatives should be. Advisory committee annual agendas can then create projects and workstreams to explain *how* those initiatives can be considered and implemented. The workstream discussed and defined the scope and purpose of the tactical plan. The guidelines that the workstream established included ensuring that initiatives are at the right level, would have branchwide impact, and are appropriately prioritized.

The workstream reviewed the existing tactical plan, assessed the progress made on each initiative, and decided which initiatives need reorganization and which should be extended into the new plan. Additionally, the workstream evaluated possible new initiatives based on emerging technologies and input from stakeholders and leadership. The draft plan was circulated for public comment December 28, 2020, to January 11, 2021. The plan was refined to include minor non-substantive revisions.

The workstream remained sensitive to the funding and resource challenges posed by the COVID-19 pandemic. However, the pandemic has made the need for innovation and technological enhancements more urgent than ever before. The modernization funding in the 2020-21 budget

¹ Available at www.courts.ca.gov/documents/jctc-Court-Technology-Governance-Funding-Model.pdf.

² Available at www.courts.ca.gov/documents/jctc-Court-Technology-Strategic-Plan.pdf.

makes much of that work possible. Any reduction in funding would require revisiting the tactical plan, and potentially postpone or eliminate certain initiatives.

Summary of key updates

All existing initiatives are continued in the revised plan, and one new initiative has been introduced: The Digital Court Ecosystem. This initiative refers to an effort that was developed through the Court Innovations Grant Program and is currently in production, supported by a court technology modernization funding allocation. Each initiative was carefully reviewed and discussed. The proposed plan has been revised to reflect progress made on existing initiatives as well as the goals to be achieved over the next two years. A summary of the status of each initiative is included in the *Tactical Plan for Technology 2021–2022*.

Policy implications

Enhancing electronic access to our courts and court services and promoting more efficient business practices through information technology align with the core values of our judicial branch, with the branch’s technology vision, and with Access 3D—Chief Justice Tani G. Cantil-Sakauye’s vision for enhancing access to our courts. Tactical initiatives expanding the “digital court” not only allow us to operate more efficiently but also significantly broaden meaningful access to the courts for litigants, lawyers, justice partners, and the public. The technology tactical plan also facilitates efforts related to information security and data analytics.

Comments

The draft was circulated to the public for comment between December 28, 2020, and January 11, 2021. Two comments were received: one offered to provide suggestions as work is undertaken but suggested no specific revisions, and the other simply stated agreement with the proposal. No revisions were required by either comment.

Alternatives considered

The Information Technology Advisory Committee is charged with developing the biannual *Technology Plan for Technology* as described in the *Technology Governance and Funding Model* adopted by the Judicial Council.

Given the severe constraints imposed by the COVID-19 pandemic on the branch and society in general, ITAC and the workstream considered simply extending the existing plan for the next two years. While keeping efforts at current levels, extending the plan would also have the unfortunate effect of presenting an outdated view of the significant achievements accomplished by the branch over the past two years and of its aspirations for the next plan period.

Upon review, the workstream found that the plan could be updated to reflect achievements and build on them without creating undue burdens for courts and council staff. Initiatives could also be updated to reflect the work that will be done using the \$25 million court technology modernization funding and its alignment with the plan.

Fiscal and Operational Impacts

Projected implementation requirements and costs vary from initiative to initiative within the tactical plan and are noted in the Potential Funding Requirements section describing each initiative. Where impacts to operations may be likely for the courts, the Judicial Council, or justice partners, or where funding may be needed, business analysis will be performed at the project or workstream level to ensure that return on investment can be maximized.

Attachments and Links

1. Chart of comments, at page 5
2. *Tactical Plan for Technology 2021–2022*, at pages 6–53

SP20-12

Tactical Plan for Technology 2021-2022

All comments are verbatim unless indicated by an asterisk (*).

	Commenter	Position	Comment	Committee Response
1.	<u>CourtCall</u> by Bob Alvarado, CEO Los Angeles, CA	AM	<p>CourtCall respectfully suggests that the proposals are appropriate to begin to form the basis of an approach but that much additional consideration is required.</p> <p>More specifically, CourtCall can offer a number of suggestions to support the initiative and would welcome the opportunity to do so or to assist with the work of any advisory groups. Zoom-bombing, security concerns, the cost of using court staff to schedule and moderate sessions and the statutes and rules that require modification reflect a few of the many issues to be addressed. We observe that there is considerable interplay among the topics of Language Access Technology, Remote Video Appearances (which should include consideration of telephonic appearances), Electronic Evidence Management and Online Dispute Resolution Evaluation and Implementation and further observe that the “best practices” and methods to employ these technologies vary among case types and the nature of the hearing involved.</p>	No revisions required.
2.	Superior Court of San Bernardino County	A	No specific comment submitted	No revisions required.

TACTICAL PLAN FOR TECHNOLOGY

2021–2022



December 2020



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Introduction

In 2020, Californians found themselves interacting with technology in unprecedented ways. Schools transitioned to distance learning. “Telemedicine” became a new way to provide healthcare. Movie premieres moved into our living rooms. Working remotely became the new normal for millions.

The exponential growth of new technologies is more visible in the wake of the COVID-19 pandemic, but the judicial branch has been transforming its use of technology for years. The *Tactical Plan for Technology* sets forth the portfolio of technology projects currently undertaken by the judicial branch. Collectively, those projects reflect the creativity, hard work, and passion for public service that epitomize the best of the judicial branch.

It has long been true that Californians want to be able to do business from anywhere, at any time. Chief Justice Tani G. Cantil-Sakauye recognized that expectation when she announced her “Access 3D” initiative. As she put it, “Remote access means increasing our ability to conduct branch business online to file court cases, access case information and records, and to make video appearances where and when appropriate.”

Since the Chief Justice called for improved remote access, we have seen transformative expansions across a wide range of court operations. Digital documents are increasingly common. E-filing is routine. Remote hearings, once confined to the world of “someday,” are part of our here and now.

But our work is not finished. We are expanding self-help services for court users and working to allow disputes to be resolved online. We are also using technology to help break down language barriers that can inhibit access to justice.

Courts will be using technology to improve their internal operations. Gathering solid, verifiable data will give courts the ability to structure their operations to best serve court users. Digital records, identity management, and modern case management systems are fundamental to working smarter and making the best use of always-limited resources.

Californians expect excellence. The *Tactical Plan for Technology 2021–2022* shows how we are meeting that expectation and furthering the goals that are outlined in the *Strategic Plan for Technology 2019–2022*. Although 2020 was challenging in ways that few could have anticipated, we are ready for whatever tomorrow may bring. The judicial branch has embraced every challenge as an opportunity to improve and innovate. And we are just getting started.

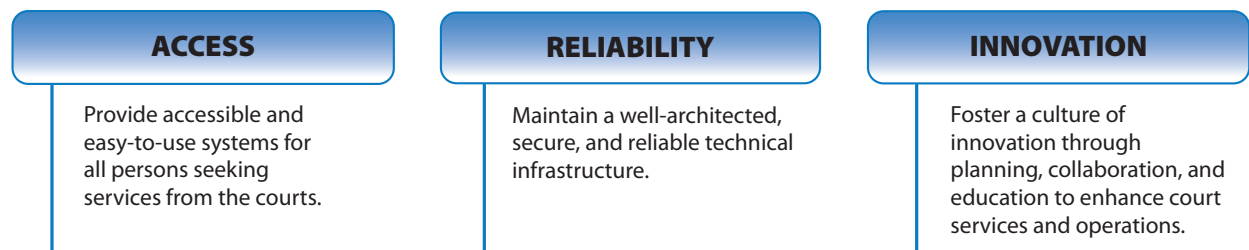


Summary of the *Strategic Plan for Technology 2019–2022*

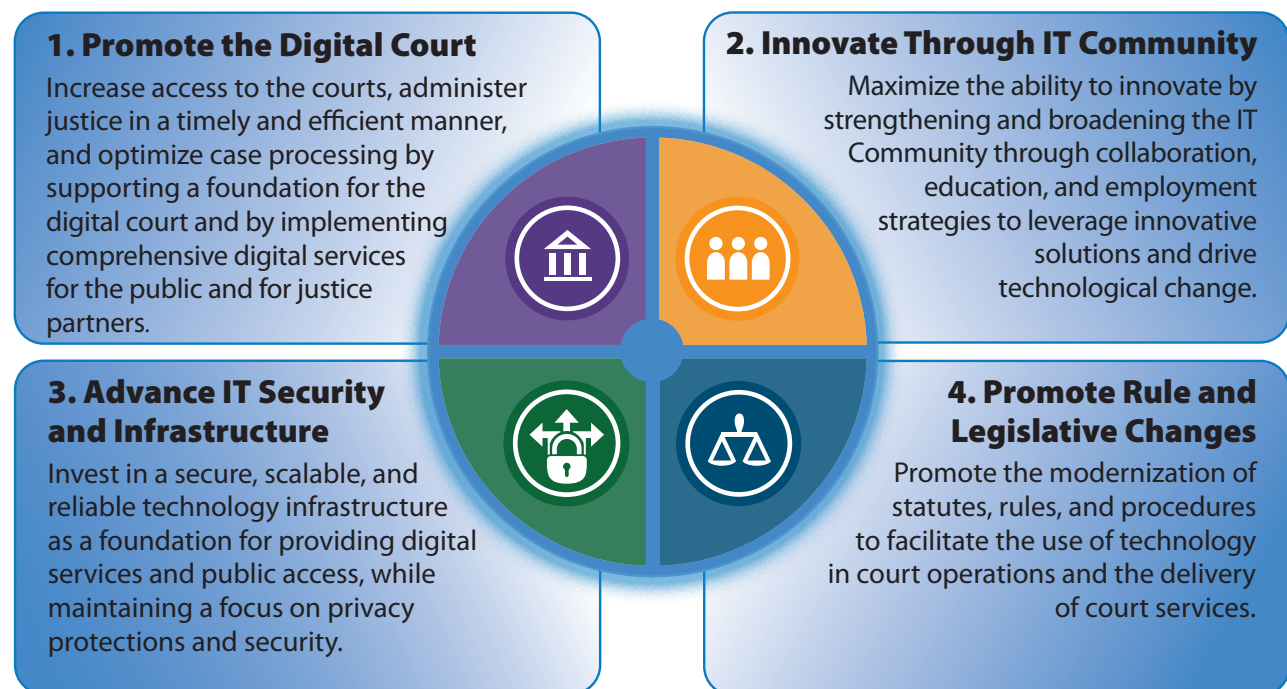
Vision

Through collaboration, innovation, and initiative at a branchwide 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 litigants, attorneys, justice partners, and the public.

Principles



Goals





Tactical Plan for Technology: Summary of Initiatives

The four-year *Strategic Plan for Technology* contains goals and objectives that are aligned with the overarching goals in the judicial branch's strategic plan. It also provides the strategic framework for this two-year *Tactical Plan for Technology* that contains the individual initiatives that will be pursued to support the higher-level goals.



GOAL 1: Promote the Digital Court

- Case Management System Migration and Deployment
- Expansion of Electronic Record Management
- Language Access Technology
- Remote Video Appearances
- Data Analytics: Governance and Sharing
- Electronic Evidence Management
- Branchwide Identity Management
- Enterprise Resource Management
- Online Self-Help Services
- Electronic Filing Development and Deployment
- Online Dispute Resolution Evaluation and Implementation



GOAL 2: Innovate Through IT Community

- Expansion of Collaboration Within the Branch IT Community
- Digital Court Ecosystem (*New*)



GOAL 3: Advance IT Security and Infrastructure

- LAN/WAN Infrastructure
- Next-Generation Branchwide Hosting Solutions
- Disaster Recovery
- Branchwide Information Security



GOAL 4: Promote Rule and Legislative Changes

- Identification of New Policy, Rule, and Legislative Changes



Promote the Digital Court

Case Management System Migration and Deployment

Description

Although most trial courts have deployed, or are in the process of deploying, new case management systems, some courts still have legacy systems that need to be replaced. Modernizing these remaining systems will complete the branchwide digital court foundation from which court services can be expanded. It is essential for courts to provide expanded digital access and services that meet the expectations of the people of California, especially during the public health social distancing protocols of the COVID-19 pandemic.

To accelerate the remaining case management system (CMS) deployments, courts should leverage the collective knowledge and experience of the judicial branch IT community in support of their modernization efforts.

Benefits

- Builds the branchwide foundation for the digital court.
- Provides for faster and easier access to case records and documents for judicial officers, research attorneys, and judicial assistants.
- Provides the opportunity to expand online access for all external participants in the justice process—state and local justice partners, private attorneys, and public users—through authorized remote access to case records and documents.
- Lowers costs to store and retrieve documents electronically through a CMS.
- Enables integration with state and local justice partner systems.
- Provides the foundation to expand ease-of-use functionality to the public, such as electronic filing and acceptance of online payments.
- Enables management reporting to make data-driven decisions.
- Improves operational efficiencies by automating processes, which is critical for optimizing branch resources and providing the public greater access to the courts.
- Allows groups of courts using the same CMS to take advantage of economies of scale and implement best practices.



Goals and Objectives

- Continue implementation of new, current CMS systems for all case types across the branch.
- Collaborate on, track the status of, and support CMS deployments for all courts.
- Support courts in completing CMS deployment projects funded by budget change proposals.
- Support CMS user groups in leveraging lessons learned from prior and in-progress CMS deployments and migrations.

Considerations

- Ongoing funding sources for branchwide initiatives or for support and maintenance.
- Deployment schedules, which depend on the availability of vendor resources.
- Timing of legacy system replacements, which depend on local court staff resources.

Potential Funding Requirements

One-time costs

- Deployment of new case management systems.

Ongoing costs

- Licensing, maintenance, support, and enhancement of new case management systems.
- Staff resources to provide support to the trial courts related to CMS services and judicial branch master service agreements.



Promote the Digital Court

Expansion of Electronic Record Management

Description

To receive the full benefit and efficiencies of electronic filing and a digital court record, a court must transition from existing paper-based case files to electronic case files. To do so, a court's case management system must integrate with a document management system (DMS) or an enterprise content management system (ECMS). Both provide for a true digital court record or paper-on-demand environment with configurable workflows and other operational benefits. Although modern case management systems include an integrated DMS, extending existing case management systems with digital court record solutions such as a DMS or ECMS, where feasible, may be another option in circumstances where case volume and workload do not require the efficiencies generally garnered from the implementation of a new case management system.

DMSs and ECMSs also provide support and operational efficiencies for court administration (e.g., fiscal, facilities, human resources, procurement, and other functions). To leverage the benefits of digital court records, a court's legacy records may be converted to a digital format.

Providing equipment and start-up funding to enable courts to digitize records is the essential first step to providing increased remote access to court documents for litigants, attorneys, justice partners, and the public. Digitized records will also provide the foundation for courts to transition to remote case processing and improve a court's disaster preparedness through reduced dependency on physical files.

To date, as part of a digitized document pilot project, seven superior courts and one district court of appeal are engaged in digitizing 330,683 linear feet of active and permanent paper records, 38,524 rolls of microfilm, and 1,091,376 sheets of microfiche, reducing costs for facilities required to store these records. Additional courts have expressed interest as funding becomes available.

Benefits

- Improves workforce efficiency through simultaneous access and review of case documents.
- Eliminates the risk of lost or misplaced physical files by providing centrally stored, managed, and protected electronic files accessible by authorized personnel.
- Promotes uniformity in document processing.
- Eliminates the need for manual reminders and file-tracking tasks, promoting instead the use of automated electronic processes.



- Improves court disaster recovery and continuity of operations.
- Reduces physical document storage and provides for more efficient means of purging documents eligible for destruction.
- Reduces reliance on outdated microfilm/fiche viewing equipment.
- Expands options for public access.
- Promotes greater and more convenient self-service.
- Reduces the costs related to staff time required to retrieve, distribute, and locate case files.
- Reduces or eliminates the need for courts to purchase physical case file jackets.
- Reduces copy fees.

Goals and Objectives

- Identify additional opportunities for implementation or expansion of DMSs and/or ECMSs with existing branch and local case management systems, and for administrative use throughout the branch.
- Monitor and provide input on the completion of DMS implementation for the existing Appellate Court Case Management System.
- Identify the most efficient and cost-effective models for transitioning from paper-based case files and filmed archival records (e.g., microfilm/fiche) based on the results of the Digitizing Court Records Phase 1 project.
- Leverage branchwide master service agreements for DMS software procurement and digitization of court case records.
- Promote information sharing for courts transitioning from paper and filmed archival records to electronically accessible case files.

Considerations

- Funding and resource allocation for digitization programs and services.
- Court business process reengineering.

Potential Funding Requirements

One-time costs

- Hardware, software, and services for DMS or ECMS implementation at identified courts.
- Hardware, software, and services for implementation of document digitization at identified courts.

Ongoing costs

- Annual maintenance and periodic software and hardware upgrades.



Promote the Digital Court

Language Access Technology

Description

In August 2013, Chief Justice Tani G. Cantil-Sakauye announced Access 3D, her vision for improving access to justice for all Californians. Access 3D involves physical (safe, secure, accessible), remote (online), and equal access to the justice system, including the need for courts to serve people of all languages, abilities, and needs, in keeping with California's diversity. In 2015, the Judicial Council adopted the *Strategic Plan for Language Access in the California Courts*,¹ which recommends the appropriate use of technology throughout the branch to enhance language access. More than 200 languages are spoken in California, and the state has 7 million limited-English-proficient (LEP) residents and potential court users. Efforts to enhance language access for all LEP court users through projects including video remote interpreting (VRI) and voice-to-text language services are critical components of this vision.

VRI uses video conferencing technology to provide court users with a qualified interpreter when an onsite interpreter is not readily available. When surveyed in October 2020, nearly half the courts expressed a prioritized need for using modernization funding to support VRI solutions. In fiscal year 2020–21, the judicial branch will grant funding to interested courts to deliver remote video solutions and services more broadly, including for VRI.

Voice-to-text language services will allow court staff outside the courtroom to conduct court business with LEP stakeholders via the use of automated translation technologies. Several courts are piloting voice-to-text solutions at clerks' counters and self-help centers. The pilot will provide information on the usability of such solutions and the business processes necessary for them to be effective during live interactions with court customers.

Benefits

- Leverages technology to provide LEP court users additional access to court services through scalable language services.
- Provides increased and timely access to the courts by streamlining the logistics involved in arranging or interacting with language services

¹ Judicial Council of Cal., *Strategic Plan for Language Access in the California Courts* (2015), www.courts.ca.gov/documents/CLASP_report_060514.pdf.



Goals and Objectives

- Expand the availability of remote services from certified and registered court interpreters.
- Improve the quality of remote interpretation technology.
- Expand the use of remote language services using assistive voice-to-text technologies for court activities conducted outside the courtroom (e.g., at clerks' counters, self-help centers, family law facilitators' offices, and mediation facilities).
- Capture lessons learned from pilot projects to inform future deployments.

Considerations

- Strategies to measure technology-based language services to validate their effectiveness.
- Collaboration between the various groups working on remote video and language access programs.
- Adequate internet bandwidth and fidelity to provide quality web-based language service solutions.

Potential Funding Requirements

One-time costs

- Hardware, software, and telecommunications infrastructure, if not currently available.

Ongoing costs

- Annual maintenance, lease, licensing, or expenses for hardware and software.
- Hosted, cloud-based solutions, which may require an annual subscription or have consumption-based expenses.



Promote the Digital Court

Remote Video Appearances

Description

The Commission on the Future of California's Court System sought practical ways to effectively adjudicate cases, achieve greater fiscal stability for the branch, and use technology to enhance the public's access to its courts. One of the key recommendations in the commission's final report was to move forward with remote video appearances for most noncriminal court proceedings: "The option to attend court proceedings remotely should ultimately be available for all noncriminal case types and appearances, and for all witnesses, parties, and attorneys in courts across the state."² The Information Technology Advisory Committee established a workstream to investigate the issue and explore implementation. The workstream conducted a mock hearing and developed a set of key considerations, which were accepted by the Judicial Council on September 25, 2020. Following the conclusion of the workstream, several advisory bodies will collaborate to consider the expansion of remote appearances to all case types.

The COVID-19 pandemic propelled the branch to adopt remote appearance technologies at an unprecedented pace in all case types. Although primarily driven by public health guidelines to reduce the number of participants physically appearing in court, this experience has shown that a significant number of participants are willing and eager to interact with the court remotely. The option to appear via remote video in and out of the courtroom has allowed courts to continue to provide access and services to the public that they otherwise would not have been able to provide under the shelter-in-place orders and social distancing protocols imposed during the pandemic. With the added option of remote video appearances, courts have a responsibility to prepare and support the public in the process. The lessons learned during the pandemic response can inform how courts can continue to provide this expanded access while preserving in-person appearances, as appropriate.

Benefits

- Enhances the remote experience by providing participants additional visual information not available in audio-only appearances.
- Gives participants more convenient options for appearance locations, including their homes or workplaces.

² Commission on the Future of California's Court System, *Report to the Chief Justice* (Apr. 2017), p. 222, www.courts.ca.gov/documents/futures-commission-final-report.pdf.



- Saves participants time and the cost of travel and reduces the need to miss work or arrange childcare.
- Provides easier access for those with illnesses, disabilities, or difficulty traveling to the courthouse.
- Provides individuals in custody the ability to appear remotely in civil matters, reducing costs for the state and the person in custody.

Goals and Objectives

- Evaluate how the solutions implemented during the COVID-19 pandemic response created greater access.
- Identify successful approaches to providing remote video appearance solutions and share best practices to enhance existing solutions and/or inform implementation priorities.
- Identify necessary legislative changes or revisions to rules of court to eliminate barriers for increased remote video appearances.

Considerations

- Ongoing operational costs and potential funding models.
- Willingness of the court and parties to litigate in a nontraditional manner.
- Collaboration and cooperation with other advisory committees and working groups.
- Collaboration and cooperation with other stakeholders (e.g., interpreters, bar associations, justice partners).
- Changes or updates to legislation or rules of court.

Potential Funding Requirements

One-time costs

- Hardware, software, and courtroom audio and telecommunications infrastructure, if not currently available.
- Bandwidth/network upgrades, if required.

Ongoing costs

- Annual maintenance, leases, and licensing for hardware and software.
- Staffing needs, depending on the workload created by the solutions.



Promote the Digital Court

Data Analytics: Governance and Sharing

Description

It is critical for the judicial branch to analyze and share data to inform decision-making related to enhancing, evolving, and expanding programs and services that serve the people of California. *Data analytics* is the process by which information or data is collected and analyzed to draw conclusions and make business recommendations. Although in the past, analyzing data has been a time-consuming activity, technical advancements in data analysis tools have made the process easier and more accessible, reliable, and digestible than ever before. Advanced data analytics tools combined with other court-related advances (e.g., modern case management systems, electronic filing, electronic juror summons, human resources platforms, inexpensive storage, computing power, and cloud technology) create an opportunity for the judicial branch to use data to enhance its business practices and operations and make data-driven decisions. The key to success is determining what data is relevant, gathering that data, and translating it into understandable visuals that can provide greater insight into court services and management for all judicial branch entities.

Several key efforts are underway toward implementing a data governance infrastructure—consisting of policies, processes, and technology—that will ensure better use and management of data across the branch, including in the areas of data submission, accuracy, security, and access. The Data Analytics Workstream is identifying areas of policy and governance, while a data-sharing and data integration project aims to build an integrated analytics platform developed from pilot projects, including the Superior Court of Orange County Court Innovations Grant project, pretrial risk assessment, Judicial Branch Statistical Information System modernization, the ability-to-pay application, and a statewide case search index.

Benefits

Data analytics can help inform, enhance, and transform the way the judicial branch operates to increase access to justice, provide fair and timely case resolution, and improve court operations, regardless of jurisdiction. The following examples demonstrate how data analytics could benefit the courts and those who interact with the courts:

- Clarifies litigation and appellate trends that demonstrate resource needs or suggest internal reallocation of court resources through the analysis of existing statewide reporting data (e.g., Judicial Branch Statistical Information System filings).



- Helps organize resources to meet the needs of self-represented litigants through analysis of self-help services provided (e.g., demand, location, case type, and language).
- Facilitates the organization and scheduling of interpreters and court reporters to promote increased language access and compliance with legal reporting requirements through analysis of interpreter and court reporter requests.
- Helps courts more accurately analyze juror summons response and usage rates, potentially saving state residents substantial time and transportation costs.
- Helps courts predict and track vacancies and better plan for the associated management and budgetary impacts through analysis of human resources data.
- Provides a mechanism to perform “what-if” analysis on potential changes in legislation, alternative business practices, and model policies.

Goals and Objectives

- Adopt workstream proposals for rule, legislative, or policy development, including such critical touchpoints as data analytics collection, governance, sharing, security, and publication.
- Identify an advisory committee to create data collection, retention, sharing, reporting, and destruction standards that can be adopted by judicial branch entities.
- Create local and branchwide data analytics governance models to facilitate the consistent and intentional use of data analytics, as well as public disclosure of analytics results, where appropriate.
- Continue to identify and prioritize areas of focus that might be appropriate subjects of a data analytics pilot program.
- Investigate appropriate data analytics solutions for the branch and develop associated data analytics training and implementation resources.
- Consider a potential statewide request for proposal or master services agreement for data analytics products, software, and services, and make related proposals, as appropriate.
- Explore options for leveraging the Digital Court Ecosystem (aka CourtStack) to supply standardized data to solutions developed via the Data Analytics Workstream.

Considerations

- Accuracy and reliability of the data being gathered. Currently, data collection capabilities vary. Leveraging common business processes would contribute to more effective data analytics efforts.
- Local court technology staff resources and their skill sets. Many courts do not have the personnel or funding to engage in meaningful data analytics efforts. For that reason, clear, low-cost implementation opportunities and associated funding will be necessary for any widespread analytics work within the branch.



Potential Funding Requirements

One-time costs

- Software, hardware, and services for data analytics tools.
- Staff training to implement appropriate data collection and analytics practices.

Ongoing costs

- Software and hardware maintenance.
- Software programming and integration services for effective implementation of data analytics tools.
- Staffing to support data collection and analytics.



Promote the Digital Court

Electronic Evidence Management

Description

The COVID-19 pandemic has propelled the judicial branch to adopt remote appearance technologies in many case types at an unprecedented rate, resulting in an increased demand for the courts to also be able to accept electronic evidence. As courts continue to pursue additional ways for attorneys, justice partners, and the public to appear in court remotely, having the ability to accept, store, or retain electronic evidence is no longer just a convenience, it has become a necessity. The current practice for most courts is to require that electronic evidence be transferred onto a physical storage medium such as CDs, DVDs, or flash drives, which are becoming outdated modalities in today's electronic world.

A statewide survey conducted in 2018, as well as individual court experiences, have illustrated that it would be beneficial for the California courts to identify a common set of processes and technology solutions to better manage electronic evidence. Courts and justice partners have also expressed interest in having statewide guidelines and technology recommendations established that address electronic evidence.

Ideally courts can share their policies, processes, and electronic evidence management solutions so that others may learn from their experiences and leverage effective practices. Technology solutions for electronic evidence management are also continuing to evolve and additional solutions are entering the market, offering more options for consideration.

Benefits

- Minimizes the requirement for paper or other physical evidence when an electronic copy is available.
- Provides consistency, efficiency, and security of practices for accepting, storing, presenting, and retaining electronic evidence.
- Offers recommendations for equipment and services for securely accepting, storing, and retaining electronic evidence.
- Minimizes the cost and effort by establishing master services agreements for the branch.
- Reduces the need for and cost of physical storage.
- Provides greater consistency and predictability across courts for litigants (including self-represented litigants), attorneys, and the public.
- Efficiently uses technology to securely share and view electronic evidence.



Goals and Objectives

- Propose changes to rules and statutes for accepting and managing electronic evidence and identifying potential standards and formats.
- Research and propose statewide standards and best practices for accepting, maintaining, securing, accessing, storing, retaining, protecting, transmitting, and otherwise managing electronic evidence.
- Research and recommend existing technology and services available in the market for managing electronic evidence.
- Establish a means for courts to share experiences with and best practices for implementing electronic evidence solutions.
- Ensure that recommendations consider both the requirements of trial courts and those of courts of review, including appellate and federal courts.
- Ensure that recommendations consider law enforcement and justice partners for optimal use of technology for digital evidence.
- Circulate proposed best practices and technical standards for comment, and then publish them.

Considerations

- Rule and statute changes should support the strategy and road map of proposed electronic court initiatives.

Potential Funding Requirements

One-time costs

- Consulting assistance regarding technical standards, if needed.
- Modification of existing document or case management systems to accept, store, and provide access to digital exhibits.
- Acquisition of technology solutions.

Ongoing costs

- Expanded hardware storage capacity for electronic evidence, possibly including associated storage and retrieval software.
- Maintenance of technology solutions.
- Implementation of new policies and business practices by court staff.



Promote the Digital Court

Branchwide Identity Management

Description

Branchwide identity management provides individual court users with the means to authorize and authenticate themselves using a single user identity (“single sign-on”) as they interact with online court services. In addition to single sign-on, it enables the appropriate authorized access level for each of the online court services for those individual users.

As courts move further into the digital world, transactions that once required a visit to the courthouse may now be done remotely through online or mobile court services and third-party service providers. Transactions such as e-filing a document, accessing case information remotely, or making a reservation for services at the court (e.g., a self-help center workshop) are possible but require verification of the online user. Connecting a person’s online and physical identity is accomplished with an identity management program.

Establishing a central location to securely store and manage online identities will allow individual users to access services across many courts and, potentially, justice partners from different jurisdictions. The efficiencies gained by a centralized identity management platform will improve the experience for all court users and allow courts to fully realize the power of transitioning to the digital world.

Identity and access management (IAM) has three core capabilities:

- *Identity management:* The baseline platform that supports IAM services and includes a unique online digital identity; the ability to capture, store, and share identity information (directory services); and the ability to manage the identity over time.
- *Access management:* The process of controlling and granting access to services. Features include single sign-on, the ability to establish trust and federation across organizations (for certain types of identities), the ability to grant or revoke access (user entitlement management), and auditability.
- *Authentication and authorization:* The processes to manage login, sharing access attributes and directory information within and across service providers.

Benefits

- Protects the individual and the court from unintended access to court resources and services and restricts access to personal information.
- Improves the user experience through single sign-on and data sharing across courts and services.



- Allows an individual user to access services across several courts and services without needing to establish separate online identities.
- Improves the user experience as data can be securely shared between authorized service providers outside the court.
- Increases productivity for the court, justice partners, and litigants as users become more self-sufficient in completing tasks.

Goals and Objectives

The underlying technology to support branchwide identity management has already been selected. The goals and objectives of this phase focus on policy and implementation.

Policy

- Develop an IAM governance structure for courts and the judicial branch.
- Identify and document policies (statewide and court specific) required to effectively implement an identity-management capability.
- Develop identity-information sharing guidelines between service providers.

Implementation

- Develop implementation guidance for courts and vendors.
- Establish a process to ensure that service providers adhere to judicial branch requirements.
- Manage legacy vendors (CMS vendors for case access; e-filing managers for EFSP) and their transition to the branch identity solution.
- Manage and facilitate implementation and transition to a branchwide identity solution.
- Implement and deploy new services enabled by identity management using the experience gained from early IAM deployments in the Placer and Los Angeles courts.
- Identify and define a funding model for ongoing user identity-management costs.
- Ensure IAM linkage to, and alignment with, other branchwide initiatives such as e-filing, the self-help portal, the ability-to-pay application, next-generation hosting, and CMS migration.
- Recommend any necessary legislative or rules changes needed to support IAM in the courts in conjunction with the Information Technology Advisory Committee's Rules and Policy Subcommittee.

Considerations

- Service providers must adhere to the branchwide identity solution to realize benefits.
- Public identities must be managed centrally to ensure the greatest access to services.



- Justice partner identities are greatly simplified with local court and county adoption of Microsoft Office 365 or Microsoft Azure identity services.
- Identity proofing (linking an online and a physical identity) may require local court effort.
- Authorization to some services (e.g., person-centric docketing of events in the court's case management system) may require local court effort.

Potential Funding Requirements

One-time costs

- Court staff to implement and integrate identity management capabilities into court legacy applications.
- Vendor consulting to implement and integrate identity management capabilities into their services.

Ongoing costs

- Identity services for users and authentication.



Promote the Digital Court

Enterprise Resource Management

Description

Enterprise resource planning (ERP) systems are designed to manage core administrative business processes such as finance and accounting, human resources (including education management), and facilities. The vendors that design these applications continually invest in research and development of new technologies and incorporate industrywide best practices into their software. Understanding and adopting these advancements will allow courts and the judicial council to create additional efficiencies by using modern tools that support the administrative functions of the courts and integrate with reporting tools.

This initiative focuses only on ERP systems managed by the Judicial Council. Examples include the following existing systems:

- *Phoenix System:* The statewide financial system for all trial courts as well as the human resources application for a growing number of courts.
- *Human Resources and Education Management System:* The primary human resources application and education tracking system for the Judicial Council, the Supreme Court and appellate courts, the Habeas Corpus Resource Center, and the Commission on Judicial Performance.
- *Computer-Aided Facilities Management:* Branchwide facilities, lease, and maintenance management.

Judicial Council ERP systems are essential for supporting day-to-day core business operations. They provide vital services to the branch for managing staff, financial, and facilities resources. These mission-critical support systems must be kept up to date for supportability and to incorporate new functionality to address changing business needs.

Benefits

- Ensures stability, security, and better integration.
- Supports deployment of new technology (e.g., mobile and cloud) and enhanced functionality (e.g., self-service and data analytics).
- Introduces economies of scale with implementation as well as the ability to leverage existing enterprise agreements.
- Collects data for more-informed decisions.



Goals and Objectives

The overall goal is to continue to provide robust ERP solutions managed by the Judicial Council in support of the courts.

- Enable consistent, ongoing investment to keep these systems protected.
- Determine ongoing staffing required to support changing technology needs and evolving business processes.
- Identify new technologies and functionality that can be incorporated into Judicial Council-managed ERP systems.
- Realize economies of scale by incorporating local court functionality, as appropriate.
- Migrate ERP systems to next-generation hosting solutions.

Considerations

- Leveraging ERPs requires an examination of business processes and flexibility in standardizing these processes.
- The move toward more standardized business processes requires strong change management.

Potential Funding Requirements

One-time costs

- Acquisition of software products and hardware/equipment.
- Services related to migration, hosting, and consulting.
- Upgrades for technology infrastructure.
- Project implementation activities, such as travel and training.
- Purchase or development of required system or application interfaces.

Ongoing costs

- Staffing or services to design, develop, deploy, and maintain functionality as defined by the branch.
- Maintenance for software products and equipment.
- Training.
- Maintenance associated with interfaces.



Promote the Digital Court

Online Self-Help Services

Description

Each day, thousands of Californians research or seek information that will enable them to resolve a legal issue. In California, more than 4.3 million people per year come to court without an attorney and more than 75 percent of civil cases have at least one party without an attorney. The trend of Californians representing themselves in court, as well as the expectation that they can conduct court business online, is increasing.

The vision for statewide online self-help services is to enable the public to access the courts more effectively online, instead of *in* line. A new statewide self-help portal aims to deliver an end-to-end “customer journey” for site visitors, beginning with instructional information, moving on to document assembly, and culminating with e-filing or online document submission. A key component of the portal will be intelligent chat technology to assist users in navigating the court processes and to provide real-time support as they complete legal forms. This technology will be tested with a pilot focusing on name change, with an additional two domains to follow.

Benefits

- Enhances service delivery through remote technology, reducing the need for court visits, additional staffing, and space requirements.
- Informs and prepares litigants for visiting court self-help centers and participating in their hearings.
- Provides the ability to achieve economies of scale and leverage current statewide instructional materials and resources.
- Enables the introduction of electronic tools to reduce the error rate of submitted and filed legal forms and documents.
- Allows greater online interaction between self-represented litigants and court systems.
- Offers the public more convenience and greater access to the justice system.
- Provides access to court services at any time, resulting in greater customer satisfaction because of fewer missed work hours and delays caused by needing to travel to court during regular business hours.
- Enhances digital services by integrating self-help resources with trial court systems.
- Offers intelligent chat services to provide real-time answers to common questions and assistance in completing Judicial Council forms, thereby helping customers in a more timely, cost-effective manner.



- Supports mobile-friendly self-help by providing access via smartphones and tablets.
- Improves satisfaction with the court experience overall.

Goals and Objectives

- Assess courts' needs and interest in expanding online self-help services.
- Deliver a judicial branch self-help portal that includes increasing levels of assistance: self-service (e.g., wayfinding and form completion), interactive chat (including automated and live agent services), and a video drop-in/virtual self-help center.
- Align the self-help portal and other online services with language access technology and other virtual court services.
- Leverage lessons learned from the Self-Help Assistance and Referral Program (SHARP), a collaborative effort between 22 courts led by the Superior Court of Butte County.
- Building on the results of the Intelligent Forms Workstream, identify next steps to provide more effective assistance to the public in completing and filing Judicial Council forms.
- Develop chat services in prioritized services/subject matter domains.
- Complete procurement activities for live chat technologies to support a virtual customer service center.

Considerations

- Integration with related initiatives (e-filing, intelligent chat, intelligent forms, and identity management).
- Coordination with and leveraging of a multitude of existing self-help resources at the branch and local court levels (e.g., smart forms have already been developed for many Judicial Council forms, and document assembly software is licensed at the branch level).
- Commitment by courts to engage in the prototype or pilot and later phases.

Potential Funding Requirements

One-time costs

- Initial design, testing, development, deployment, and integration based on a phased rollout.

Ongoing costs

- Maintenance of new e-services, and maintenance and updating of forms, information, resources, and instructional materials.



Promote the Digital Court

Electronic Filing Development and Deployment

Description

Electronic filing (e-filing) is becoming a standard method for people to interact with the courts. This initiative will establish a statewide standards-based e-filing environment that employs multiple electronic filing manager (EFM) solutions to ensure a competitive marketplace and give courts the ability to select a vendor that best suits their individual needs. E-filing requires courts to use an EFM and an e-filing service provider (EFSP) to route documents between filers and courts. Individuals use an e-filing service provider to submit documents to the electronic filing manager. The EFM, in effect, acts as a bridge between the EFSP and the court. The EFM provides courts with the ability to review and accept or reject case documents. The EFM also provides payment processing support, including the transfer of filing fees to the court.

Although courts are not required to use an EFSP, many have chosen or will choose this route because the EFSP will shoulder much of the workload, from training users to providing technical support for e-filing transactions.

The statewide e-filing program relies on the Electronic Court Filing/National Information Exchange Model³ standards published by the Organization for the Advancement of Structured Information Standards.⁴

The Electronic Filing Workstream established an e-filing framework and selected two EFM vendors—Journal Technologies and ImageSoft—to serve California’s trial courts. In this model, electronic filing service providers must first be certified in order to work with all statewide EFMs. The development effort is currently being led by Journal Technologies, who will implement e-filing for the Placer and Madera courts. The solution that is implemented will produce the initial baseline version of the California ECF standard.

Benefits

- Increased services to the public and streamlined court filing operations.
- Zero cost to implement for courts using a core case management system.
- Lower processing fees for filers.
- Availability of executed master agreements for all courts.

³ Available at www.oasis-open.org/committees/tc_home.php?wg_abbrev=legalxml-courtfiling.

⁴ Available at www.oasis-open.org/.



- Availability of implementation assistance for smaller courts.
- Integration with statewide identity management system.
- More flexible options for law firms operating in multiple jurisdictions.

Goals and Objectives

- Continue to assess and meet statewide court e-filing needs by convening an e-filing forum and developing best practices.
- Publish an implementation plan for trial courts participating in the statewide e-filing program.
- Establish the standards for integration between EFSPs, EFM, and courts.
- Coordinate branchwide efforts to integrate EFM and EFSPs, including through an identity and access management solution.
- Establish an escalation process for resolution managed at the statewide level of issues between principal stakeholders (EFSPs, EFM, and courts).
- Allow for universal deployment of e-filing for all case types.
- Facilitate e-filing access by justice partners.

Considerations

- Adherence of service provider agreements to the *Judicial Branch Contracting Manual*.
- Congruence of a court's CMS strategy (current or future) with its strategy for e-filing.

Potential Funding Requirements

One-time costs

- Court staff time to design the new procedures for handling electronic caseflow and filing fee management.

Ongoing costs

- Judicial Council staff time to administer the statewide shared e-filing program components.



Promote the Digital Court

Online Dispute Resolution Evaluation and Implementation

Description

New developments in technology have resulted in the increased use of online tools to resolve disputes. Online dispute resolution (ODR) provides a mechanism for individuals and entities to negotiate and settle disagreements without the need for in-person negotiation, mediation, arbitration, or formal court proceedings. Many courts in the United States and abroad have been testing and implementing various ODR solutions. Additionally, the Commission on the Future of California's Court System recommended that online alternative dispute resolution be expanded in California to allow parties to resolve cases without having to go to a court location.

Benefits

- Resolves disputes effectively and in a timely manner.
- Offers an alternative approach for parties to resolve their disputes.
- Increases access to justice.
- Adds the convenience of remote online access.
- Maximizes the effective use of court time, money, and other resources.

Goals and Objectives

- Identify and evaluate available ODR technologies and potential scenarios in which ODR might benefit the judicial branch and its customers.
- Capture lessons learned and best practices from courts and pilots.
- Assess the need for a branchwide master service agreement.

Considerations

- Usability, efficiency, availability, and maturity of ODR options.
- Possible need for amendments to existing laws and court rules.
- Reconfiguration of court business processes.



Potential Funding Requirements

One-time costs

- Hardware, software, and resources for ODR implementation.

Ongoing costs

- Maintenance and periodic software and hardware upgrades.



Innovate Through IT Community

Expansion of Collaboration Within the Branch IT Community

Description

The California courts are diverse in terms of geography, demographics, and population, yet all courts are striving to pursue technology solutions that achieve local court efficiencies, allow for state and local integrations, and provide increased access and services to the public. The branch needs accessible collaboration tools that support increased information sharing among courts, including research materials, project artifacts, documented best practices, and local court innovations. Using technology to collaborate will ultimately reduce the burden on individual courts to independently research and develop common solutions, while also providing tools to support more effective project and program teams.

The pace of technological change, along with the demand for remote online access by those served by the courts—particularly in response to the COVID-19 pandemic—requires courts to remain agile in their technology pursuits. For the past decade, the judicial branch has committed to a collaborative approach to technology adoption and sharing solutions. The increased use of collaboration tools will serve to strengthen the branch IT community overall.

Benefits

- Offers more efficient access across the branch via a shared community collaboration platform.
- Streamlines project management and delivery with geographically diverse project participants.
- Facilitates adoption of common digital services by more courts in a repeatable fashion, offering more consistent services throughout the branch.

Goals and Objectives

- Increase collaboration throughout the branch by sharing work products in an accessible manner to reduce the time spent researching solutions (e.g., the transition to electronic case files).
- Identify and implement a shared, web-based platform to share technology-related knowledge and experience.



Considerations

- Commitment throughout the branch to work together to contribute information and knowledge to solve common problems.
- Planning, orientation, and follow-through to ensure that tools that are adopted are being used effectively.
- Funding for recommended strategies.

Potential Funding Requirements

One-time costs

- Judicial Council establishment of a branch collaboration solution.

Ongoing costs

- Judicial Council program support, as needed.
- Judicial Council IT maintenance and licensing of branch collaboration solutions.



Innovate Through IT Community

Digital Court Ecosystem

Description

The judicial branch has made considerable progress in modernizing and reducing the number of vendor-specific case management systems implemented throughout the branch. However, when courts want to expand their core CMS functionality through integrated systems or products, the current approach requires courts to repeatedly “reinvent the wheel” to do so. This is largely because these add-on systems must be tightly coupled with the underlying CMS. These challenges, along with variations in technology resources from court to court, create significant inconsistencies in digital access and services for the public throughout California. A common, CMS-agnostic platform is needed to shorten the time required for courts to implement these common peripheral applications to provide greater operational efficiencies, streamline work between justice agencies, and provide digital access and services to the public.

The judicial branch IT community has a long history of sharing ideas and leveraging solutions where possible. To extend these efforts and focus on sharing solutions, a judicial branch team has created a vision for an application development architectural framework, known as CourtStack, that will create a digital court “ecosystem.” The CourtStack architecture distills the technology into standards-based components and application programming interfaces (APIs) (e.g., Virtual CMS, an integration engine, identity management, case searching, case access, etc.) that create an abstraction layer on top of the core case management systems and a common communication layer for systems to interact with. This modular approach to integrating and interacting with core case management systems provides the foundation from which to streamline the adoption of current and future technology solutions across courts and promotes significant reuse of branch technology assets.

Benefits

- Enables courts to adopt innovative solutions developed by other courts and vendors.
- Enables courts to adopt branchwide programs geared toward increasing local court efficiencies and to expand remote access and remote services to the public—critical objectives of the Digital Court.
- Reduces the time required to implement innovative solutions and branchwide systems.
- Expands available digital court solutions that increase the public’s access to services.



Goals and Objectives

- Develop and expand the CourtStack technical ecosystem for integration between core case management systems and custom-developed and vendor-based peripheral systems that will allow for further innovation sharing among courts.
- Identify established state and local initiatives, use cases, and/or solutions that would have the greatest potential benefit to the branch.
- Incorporate technical foundation requirements into prioritized initiatives for piloting or deployment (e.g., an ability-to-pay application) and capture lessons learned.
- Propose a funding and support model for establishing the technical foundation and ongoing support needs.

Considerations

- Identify and prioritize the foundational components and services required before developing top-level solutions.
- Identify new or established branchwide programs that can leverage the foundation.
- Court and branch commitment to leveraging the Digital Court Ecosystem foundation when building, integrating, and supporting new peripheral systems to allow for adoption by other courts.
- Assess courts' needs and interest in expanding online self-help services.

Potential Funding Requirements

One-time costs

- Development of technical foundation.

Ongoing costs

- Maintenance and support.



Advance IT Security and Infrastructure

LAN/WAN Infrastructure

Description

The Telecommunications LAN/WAN Program provides a portfolio of services for all courts. The current program projects focus on modernizing branchwide wireless infrastructure to support mobile apps and services while optimizing LAN/WAN infrastructure and architecture to support data analytics and cloud-based applications and services. Additional focus areas include implementing infrastructure for cost-effective and reliable internet service at all courts; offering managed security services that provide a layered defense against threats to the availability, integrity, and confidentiality of court data; and inventory tracking for network equipment.

This initiative's areas of focus do not change greatly from year to year; however, new technology and services implemented during the period covered by this tactical plan provide the necessary foundation for courts to operate in the electronic realm.

Benefits

- Increases coverage and capacity for wireless and mobile devices, applications, and the IoT (Internet of Things).
- Proactively identifies and closes gaps in maintenance coverage.
- Enhances accuracy in budget projections.
- Provides a stronger defense against threats to court information and services as court technology and use of mobile devices expand.
- Increases availability and improves performance for remote online access to court services, remote hearings, data analytics, and cloud-based applications and services.

Goals and Objectives

- Increase LAN backbone speeds as equipment is refreshed and court cabling permits.
- Upgrade routing, switching, and security infrastructure and architecture to support the increase in internet and WAN bandwidth required for remote access to court services, data analytics, and cloud-based applications and services.
- Provide reliable internet access for all courts, especially those located in remote rural areas.
- Modernize Wi-Fi infrastructure to provide better coverage and more bandwidth for mobile devices, mobile apps, and IoT.



- Modernize standards for cloud connectivity, WAN failover (transferring tasks from a failed component to a backup component), and WAN optimization.
- Extend the footprint of new managed security services to additional seats/courts.
- Continue collaboration between the Judicial Council's Facilities Services and Information Technology offices to design and implement modern technologies and platforms in smart buildings that meet current requirements and are adaptable for future need.

Considerations

- Current funding source (State Trial Court Improvement and Modernization Fund) is operating at a structural deficit and may be unable to provide complete funding for this program.

Potential Funding Requirements

One-time costs

- Modernization of the branchwide wireless infrastructure.
- Infrastructure to provide cost-effective and reliable internet service at all courts.

Ongoing costs

- Asset management.
- Additional managed security services.



Advance IT Security and Infrastructure

Next-Generation Branchwide Hosting Solutions

Description

Over the past several years, the branchwide strategy for hosting court case management systems and other shared applications has evolved to correspond with the growth of new hosting technology solutions. The judicial branch continues to evaluate available modern hosting solutions to ensure that resources and opportunities are being used as effectively as possible to address the current and future needs of courts and align the branch with the new strategic direction.

As hosting models and technology evolve, the most cost-effective branchwide strategy for hosting IT applications and services 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 is to further leverage the branchwide hosting model to provide strategies that support a modern approach to data center and application delivery, including the transition of branchwide applications to hosted solutions, and continued consultation with and services to courts.

Benefits

- Provides a strategy for business continuity and disaster recovery.
- Reduces ongoing needs for maintenance and support of local infrastructure.
- Reduces dependency on core facility infrastructure provisions, such as electrical power, cooling, and space.
- Reduces reliance on outdated technologies that do not meet the strategic goals of the judicial branch.
- Provides a versatile environment that enables the judicial branch to more rapidly deploy new services that better meet the needs of the public and consumers of judicial branch services.
- Offers the ability to rapidly obtain needed infrastructure in emergency and nonemergency situations.

Goals and Objectives

- Create a multifaceted application strategy to make determinations about hosting, factoring, building, and/or replacing applications and their delivery.
- Determine how new applications can be deployed and/or built using secure cloud-optimized and cloud-native design principles.



- Utilize the structured hosting matrix that identifies potential use cases for cloud computing, including the benefits and challenges for specific application workloads.
- Align next-generation hosting with the strategy and road map for the digital court initiatives and ensure that it is consistent/compliant with the security road map.

Considerations

- Availability of Judicial Council and court staff resources to plan, develop, and execute next-generation hosting for judicial branch entities.
- Availability of expertise to assist judicial branch entities in their transition to next-generation hosting.

Potential Funding Requirements

Ongoing costs

- Hosting services that are shared across the branch.
- Direct billing to the courts for court-specific services.



Advance IT Security and Infrastructure

Disaster Recovery

Description

The vision of the disaster recovery initiative is to modernize and simplify the approach to implementing disaster recovery solutions within the California judicial branch. A robust disaster recovery program is a critical component of an organization's continuity of operations plan. In case of a significant disruption resulting from a disaster such as a flood, a fire, an earthquake, or another natural or man-made incident, judicial branch entities have varying degrees of preparedness for recovery of their technological systems and may be at risk of being unable to provide a timely restoration of essential functions and services to court staff and the public.

Modern technologies with new thresholds for elasticity, availability, and security provide judicial branch entities with opportunities to design, test, and deploy scalable disaster recovery solutions in an expedited, cost-effective, and efficient manner. This initiative will continue to promote the adoption of modern disaster recovery solutions.

Benefits

- Improves the availability of and accessibility to court programs and services.
- Ensures essential court records will be securely maintained and will remain available, even in the event of a disaster.
- Provides a model for interested judicial branch entities to adopt emerging disaster recovery solutions.
- Modernizes and simplifies the approach to implementing disaster recovery solutions within the California judicial branch.
- Improves continuity of business services and access to justice.
- Reduces the risk of interruption to vital court services.
- Ensures that courts are better able to meet the public's expectations after a disaster incident.
- Reduces the complexity of the local infrastructure footprint as well as the cost.
- Extends recovery capabilities using modern and emerging technology service providers.

Goals and Objectives

- Modernize and simplify the approach to implementing disaster recovery solutions within the California judicial branch.



- Demonstrate the viability of emerging solutions for disaster recovery.
- Recommend a list of critical technology services that make business sense for recovery adoption.
- Develop a set of business questions or a toolkit for judicial branch entities to self-assess their preparedness for disaster recovery and tolerance for risk.
- Leverage the work products and design solution templates from the Disaster Recovery Phase 2 Workstream to increase the disaster recovery maturity level.
- Recommend standard recovery times and priorities for each of the major technology components of the branch that leverage learnings from the new technology capabilities and service offerings.
- Identify existing technology initiatives and infrastructure solutions that can be leveraged, such as the Next-Generation Hosting Workstream, the Court Innovations Grant Program, and courts that have deployed solutions in the cloud (e.g., functional hybrid architectures for critical systems that extend local infrastructure by using cloud service offerings for high availability).
- Track and validate courts moving to implement modern and emerging disaster recovery solutions for critical technology services.
- Conduct education sessions and demonstrations of relevant use-case scenarios for courts interested in design, testing, and implementation of disaster recovery solutions using emerging technology solutions.

Considerations

- Work products and recommended approach from the Disaster Recovery Workstream.
- Success of the pilot implementation of disaster recovery solutions.
- Funding sources for judicial branch entities to implement recovery solutions using technologies from vendors selected in the disaster recovery master agreement.

Potential Funding Requirements

One-time costs

- A disaster recovery solution for critical systems using recovery solutions based on emerging and modern technology platforms.
- Design and deployment of functional hybrid architectures for priority systems that extend infrastructure to the cloud while reducing the local footprint.

Ongoing costs

- Data storage, system, bandwidth, and other operational usage needs related to operating cloud-based, hybrid, or other emerging disaster recovery solutions.



Advance IT Security and Infrastructure

Branchwide Information Security

Description

With increased use of technology and remote access solutions comes increased security risks to the courts throughout California. One of the judicial branch's strategic objectives is to establish a sustainable information security program to support the reliable delivery of services to judicial branch entities and their customers. The judicial branch continues to invest in a secure, scalable, and robust technology infrastructure as a foundation to providing digital services. This program will accomplish its mission through the use of information security governance, policies, standards, guidelines, and services that protect the judicial branch's information assets and the security interests of the users of branch services. The Information Technology Advisory Committee's security workstream now in progress will develop further recommendations to achieve these goals and ensure alignment with ongoing development of judicial branch security standards.

Benefits

- Enhances security and data reliability; improves collaboration, data sharing, and decision-making.
- Provides more effective risk management.
- Provides clear security guidelines for all judicial branch entities.
- Creates baseline policies as a foundation to measure effectiveness.
- Ensures consistent application of security controls across the branch.
- Provides a central point of contact for judicial branch entities to address IT security needs.

Goals and Objectives

- Update the implementation road map for addressing evolving security strategies and tools.
- Create an overarching strategy for educating courts on information security best practices, risk management, and incident response.
- Create an overarching strategy in the branch for educating courts on information security best practices, risk management, and incident response.
- Continue to provide ongoing branchwide information security assessments to court security environments and prioritize activities within the security road map.
- Formalize an IT Security Governance model that is community-focused and leverages resources from local, state, and federal cybersecurity organizations.



- Enhance and update security incident response processes and procedures to detect, identify, and address an ever-evolving set of potential security risks.
- Propose additional proactive risk management tools and tactics, including end point management and incident response.

Considerations

- Ability of courts to keep up with constantly evolving security protocols.
- Aligned policies, procedures, and standards that can be leveraged by individual courts.
- Availability of and funding for security awareness training for employees, executives, and judicial leaders.
- An understanding that information security is an ongoing program requiring maintenance and support and not a one-time, discrete project.
- Difficulty for some courts to fund additional and ongoing expenses for information security (including business continuity and disaster recovery programs) out of their existing budgets.

Potential Funding Requirements

Ongoing costs

- Maintenance of an effective information security program.



Promote Rule and Legislative Changes

Identification of New Policy, Rule, and Legislative Changes

Description

The need to align policies, rules of court, and legislation to support the use of technology in all courts consistent with the judicial branch's *Strategic Plan for Technology* is ongoing. This need includes supporting changes to implement select initiatives of the Commission on the Future of California's Court System, advance the use of innovative technologies in the courts, ensure that laws support the adoption of new and existing technologies, authorize the use of technology to improve the court-room experience, balance the protection of personal privacy, and increase public access to the court. Proposals for such changes may originate with judicial branch advisory committees or workgroups, courts, judges, attorneys, government entities, or the public.

Benefits

- Updates or provides new authority to implement modern business practices and technology.
- Increases public satisfaction as court users are able to conduct court business and obtain services electronically outside of traditional business hours.
- Promotes safety and potential savings in time, resources, and expenses.
- Improves, expands, and offers more convenient access to the courts.
- Aligns with branch efforts to expand self-help and language services.
- Allows for better communication and information sharing between courts and justice partners.

Goals and Objectives

- Continue modernization of statutes, rules, and procedures to permit and enhance the use of technology in court operations and the delivery of court services.
- Develop and update rules, standards, and guidelines in areas in which new technologies affect court operations and access to the courts.
- Update and publicize branch and model court privacy policies on electronic access to court records and other court-held information contained in the *Privacy Resource Guide*.⁵

⁵ Judicial Council of Cal., *Privacy Resource Guide: For the California Trial and Appellate Courts and the Judicial Branch* (Nov. 1, 2018), available on the Judicial Resources Network.



- In partnership with the Court Executives Advisory Committee, revise the *Trial Court Records Manual* to reflect changes in the law, new standards and guidelines, and best practices relating to electronic court records.

Considerations

- Rules and legislative proposals require action by the Judicial Council, internal committees, and advisory committees (including subcommittees).
- Legislative proposals require action by the Legislature and Governor.
- Branch internal policies and guidelines require advisory committee action and may also require action by the Judicial Council and internal committees.
- Public and stakeholder feedback must be considered at all levels.
- Judicial Council staff support is required throughout applicable review and approval processes.

Potential Funding Requirements

No new funding is required to change policies, rules, and legislation.

One-time costs

- Implementation of policy, rule, and legislative changes by individual courts.

Ongoing costs

- Staff support and committee member time for the development, review, and approval process of specific proposals.
- Implementation of policy, rule, and legislative changes by individual courts.



Initiative Summary and Progress

2019–2022 Strategic Plan Goal	2019–2020 Tactical Plan Initiative	2021–2022 Tactical Plan Initiative Update	Strategic Plan Objectives Supported*
Promote the Digital Court	CMS Migration and Deployment	CMS Migration and Deployment	1.1, 1.3, 1.4, 1.5, 2.2, 3.2, 3.4
	Expansion of Electronic Court Record Management	Expansion of Electronic Record Management	1.1, 1.2, 1.3, 1.4, 1.5, 3.1, 3.2, 3.3, 3.5, 3.6
	Language Access Technology	Language Access Technology	1.1, 2.1, 2.2, 3.1, 3.5, 4.1, 4.2, 4.3, 4.4
	Remote Video Appearances	Remote Video Appearances	2.2, 3.5, 4.1, 4.2, 4.3
	Self-Help Electronic Services	Online Self-Help Services	1.1, 1.3
	Statewide Electronic Filing Program Development & Deployment	Electronic Filing Development & Deployment	1.1, 1.2, 1.3, 2.2, 3.4, 4.1, 4.2, 4.3
	Digital Evidence Management	Electronic Evidence Management	1.1, 1.2, 1.3, 1.5, 2.1, 2.2, 2.3, 3.2, 3.3, 3.4, 3.5, 4.1, 4.2, 4.3, 4.4
	Branchwide Identity Management	Branchwide Identity Management	1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.5, 3.2, 3.4
	Data Analytics and Business Intelligence	Data Analytics: Governance and Sharing	1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, 2.5, 4.1
	Enterprise Resource Management	Enterprise Resource Management	1.1, 1.2, 1.4, 2.2, 3.2, 3.5
	Online Dispute Resolution Investigation	Online Dispute Resolution Evaluation and Implementation	1.3
Innovate Through IT Community	Expand Collaboration Within the Branch IT Community	Expand Collaboration Within the Branch IT Community	1.2, 1.4, 2.1, 2.2, 2.3, 2.4, 2.5
		Digital Court Ecosystem (New)	1.1, 1.2, 1.3, 1.5, 2.2



2019–2022 Strategic Plan Goal	2019–2020 Tactical Plan Initiative	2021–2022 Tactical Plan Initiative Update	Strategic Plan Objectives Supported*
Advance IT Security and Infrastructure	LAN/WAN Infrastructure	LAN/WAN Infrastructure	1.1, 1.2, 1.4, 3.1, 3.2, 3.3, 3.5, 3.6
	Transition to Next- Generation Branchwide Hosting Model Phase II	Next-Generation Branchwide Hosting Solutions	1.1, 1.2, 1.3, 1.5, 1.6, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6
	Disaster Recovery Phase II	Disaster Recovery	1.1, 2.2, 2.5, 3.3
	Branchwide Information Security Road Map	Branchwide Information Security	1.3, 1.5, 1.6, 3.1, 3.4, 3.6
Promote Rule and Legislative Changes	Identify New Policy, Rule, and Legislative Changes	Identify New Policy, Rule, and Legislative Changes	4.1, 4.2, 4.3, 4.4
* Judicial Council of California, <i>Strategic Plan for Technology 2019–2022</i> , pp. 8–15.			

