

## ELECTRONIC FILING PILOT CHECKLIST

**For:** Maricopa County Trial Courts

**Prepared By:** John Barrett, Chief Technology Officer

**Submitted By:** John Barrett, Chief Technology Officer

**Date:** November 2, 2005

**Pilot Description:** description here? The Trial Courts in Maricopa County are requesting approval for a pilot project to allow attorneys to electronically initiate Forcible Detainer cases in the Justice Courts.

Attorneys would access the E-Court Internet site, sign on with a unique ID and password, supply information, pay for the filing, and submit for processing. The E-Court would interact with the iCIS case management system, initiate the case and return case number, hearing date/time, and other information to the attorney.

For this pilot project, no electronic transmission or storage of documents is anticipated. Maricopa representatives will provide a short presentation of the process.

	ITEM	Check for YES	Comment or Explanation
1.	<i>Rule 124(a)</i> Has the Presiding or Chief Judge, and, if applicable, the municipal governing body agreed to permit e-filing.	Yes	
2.	<i>Rule 124(b)(1)</i> Is an e-filing plan developed, reviewed and approved? List the members of the affected legal and business community that have been involved.	Yes	This effort is a continuation of the e-filing plans for Maricopa County previously approved by the Committee.
3.	<i>Rule 124(b)(2)</i> Do the procedures ensure document availability, security and integrity and authentication?		No documents will be filed.
4.	<i>Rule 124(c)</i> Is a document deemed filed based on when transmission begins?		No documents will be filed.
5.	Are there any paper follow-up or additional copies requirements? If yes, why and for how long?	Yes	Parties will bring filings and notices to court the day of the hearing.
6.	<i>Rule 124(d)</i> Is there a documented consent process for court delivery of electronic documents? Where is it published?		No documents will be filed.
7.	<i>Rule 124(e)</i> Is there a documented electronic service delivery process? Where is it published?		No service is involved.
8.	<i>IIIA – Provisions to preserve content and format:</i> Are the document format requirements documented and published? List accepted formats.		No documents will be filed.
9.	Is there a documented and published process for handling submissions that are not in the approved format?	Yes	Not published. If for the data is rejected a notice will be emailed to the filer with the reason.

	<b>ITEM</b>	<b>Check for YES</b>	<b>Comment or Explanation</b>
10.	<i>IID – Graphics and multimedia</i> Do you have a published policy about whether you accept graphics and multimedia files?		No graphics or multimedia files are accepted.
11.	Are graphics and multimedia files accepted? Note what formats are allowed.		No.
12.	<i>E. Email</i> Does email play a role in your efilg system? Explain.	Yes	Email may be used to send status notices to filing parties after data transmissions are submitted.
13.	<i>IIIF – Fill-in forms</i> Are there fill-in forms in your efilg system? List them.		In the future the E-Court application may be integrated with this efilg system to allow on-line forms to be filled-out and used to initiate cases in the CMS.
14.	<i>IVA Authentication of sender</i> Does your efilg system authenticate the submitter of documents or data? Please explain.	Yes	An assigned User ID and password will be used to authenticate users on the system.
15.	<i>IVB1 – Document Authentication</i> Does your efilg system detect transmission or other document alteration? How?		No documents will be filed.
16.	<i>IVB2a – Document Maintenance</i> Do you have written procedures for assuring document integrity? Attach (security related documents will not be made public).		No documents will be filed.
17.	Do you have security in place to protect documents from hackers, either internal or external (e.g. firewalls, audit logging)? Provide a security schematic.		No documents will be filed.
18.	<i>IVB2b Virus Checking</i> Do all document and efilg transmissions get scanned for viruses? What product?	Yes	Trend Micro
19.	<i>IVB2c Alternate copy</i> Are there procedures to assure an alternate document copy is available? Explain.		No documents will be filed.
20.	<i>IVB2d Backup Procedures</i> Are there documented backup procedures with appropriate logs and periodic verifications?		Yes.
21.	Are backups stored off-site? Where?		Yes. Location is in Maricopa County and determined by vendor.
22.	Are contingency plans and procedures for system downtime developed and published?	Yes	Copies are available for internal users.
23.	<i>IVB2e Media standards</i> Is your primary and alternate electronic copy stored on media conforming to ANSI/AIIM standards? Note brand selected and appropriate ANSI/AIIM standards followed?	Yes	Brand selected by vendor.
24.	<i>IVB2f Archive media</i> Is there archiving media non-reusable?		Tape backups are used.
25.	Are the archiving procedures documented including appropriate logging and periodic media refreshing?	Yes	
26.	Does your operations plan contain provisions for the destruction of records in accordance with the approved retention schedule?	Yes	

	<b>ITEM</b>	<b>Check for YES</b>	<b>Comment or Explanation</b>
27.	<i>IVC Confidential documents</i> Are confidential or sealed documents accepted? How is security assured?		No documents will be filed.
28.	<i>VA Internet filing and costs</i> Is the efilng system available via the Internet?	Yes	
29.	Does your solution require any kind of licensed software to be used by external users? List.		No.
30.	Are the minimum hardware and software requirements for external efilng users published? Summarize them here.		Not yet. Requirements will be provided to users.
31.	<i>VB Communications protocols</i> Are the protocols industry-standard and non-proprietary? List.	Yes	Protocols have not yet been finalized.
32.	<i>VC Public Access</i> Is remote access provided? To whom? (Court personnel? Other courts? Attorneys? Litigants? Public?)		No.
33.	Is public access to electronic documents provided? Explain the process allowing public access to electronic documents with emphasis on accessibility and security?		No documents will be filed.
34.	<i>VIA Acknowledgement of receipt</i> Is an acknowledgement of receipt provided to the filer?	Yes	
35.	<i>VIB1 CMS interface</i> Does the efilng process verify case management information data and codes? List elements from the CMS that are validated.	Yes	Elements have not yet been finalized.
36.	Are the data validation and edits for efilng data elements consistent with those for the CMS?	Yes	
37.	<i>VIB2 Docketing</i> Does the efilng processing automatically docket to the CMS?	Yes	
38.	<i>VIB3 Indexing</i> Does the efilng processing automatically index the document? List indexing elements.		No documents will be filed.
39.	<i>VIC Document Access</i> Do the efilng system procedures comply with ACJA 1-504 provisions for accessibility and migration?		No documents will be filed.
40.	<i>VID Efilng Plan</i> Is your efilng plan attached?		This effort is a continuation of the e-filing plans for Maricopa County previously approved by the Committee.
41.	Is the hardware and software requirement for users documented?		See #30.
42.	Do you have an electronic document management system in place? Provide product(s) name.		Yes. OnBase used by the Clerk of Court. No documents will be filed.
43.	Is the acquisition and installation plan developed?		No. Project has not yet begun. This document is being prepared for approval to begin the project.

	<b>ITEM</b>	<b>Check for YES</b>	<b>Comment or Explanation</b>
44.	Is the acquisition and installation plan executed?		No. Project has not yet begun. This document is being prepared for approval to begin the project.
45.	Is the testing plan executed?		No. Project has not yet begun. This document is being prepared for approval to begin the project.
46.	Is the training plan for both internal and external users developed? Attach.		No. Project has not yet begun. This document is being prepared for approval to begin the project.
47.	Is the training plan for both internal and external users executed?		No. Project has not yet begun. This document is being prepared for approval to begin the project.
48.	Is the staffing and support plan for both internal and external users of efilng developed? Attach.		No. Project has not yet begun. This document is being prepared for approval to begin the project.
49.	Are the efilng staffing and support resources in place? How many FTE's are assigned?		No. Project has not yet begun. This document is being prepared for approval to begin the project. It is estimated this project will take 120 hours of developer time.
50.	<i>VIE Published procedures</i> Are the procedures for electronic filing (including procedures, acknowledgement practices and support) published? Please provide location.		No. Project has not yet begun. This document is being prepared for approval to begin the project.
51.	Are any documents besides confidential documents excluded from the efilng process? Explain.		No documents will be filed.
52.	Does your efilng plan include a phasing in of any excluded documents?		No documents will be filed.
53.	Can documents be filed at any time? Note the times the system is available for filing.		No documents will be filed. Data submissions will be available 24 hours a day.
54.	Can efilng assistance be obtained at any time? Note the times that support resources are available for assistance.		Support will be provided during normal Court business hours.
55.	Are fees accepted electronically? Explain the process for electronic or manual fee collection, including impact on filing time.		No. This feature may be
56.	Have you followed the prescribed project management methodology so you have project documentation of development and implementation activities, issues, changes, resource requirements, etc. to-date?		No. Project has not yet begun. This document is being prepared for approval to begin the project.
57.	Is the electronic filing software vendor-provided? Explain the licensing, ownership and cost provisions and issues if this were to be replicated in another court.		No.
58.	Are there provisions for the long-term support, maintenance and enhancement of the product in your plan and/or your vendor contract? Explain.		There is no vendor contract.

	<b>ITEM</b>	<b>Check for YES</b>	<b>Comment or Explanation</b>
59.	Have you developed success measures for the pilot? List the success criteria.		Law firms and court staff using the system will be surveyed. Their satisfaction and reduced time required to file cases will be factors for success. Other factors may be identified during project development and implementation.
60.	Is there a projected end date for the pilot? What is it?		No.
61.	Did the project come in on or below budget? Note the budget requirement to offer e-filing with this system/approach by category of personnel and ERE, professional services, travel, equipment and software and other operating.		No. Project has not yet begun. This document is being prepared for approval to begin the project.
62.	Is the operational budget over the next three to five years estimated? Please attach.		No. Project has not yet begun. This document is being prepared for approval to begin the project.