



DISTRICT COURT OF MARYLAND

**Maryland Judicial Center
580 Taylor Avenue, A-3
Annapolis, Maryland 21401**

ELECTRONIC FILING PLAN

February, 2003

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E-Filing Plan**

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District Court of Maryland E-Filing Plan

1. Introduction

The District Court plans to implement a pilot electronic filing (efiling) project for selected Landlord Tenant cases in District 5, Prince George's County. Currently, high volumes of Landlord Tenant cases are processed entirely manually under the tight time constraints required by Maryland law. Because it is manual, this system is inefficient and highly time consuming.

This plan is pursuant to Maryland Rule 16-506, and details the steps the District Court proposes to follow to implement the pilot. The plan also discusses the District Court's initiative to implement efiling in all of its civil cases statewide.

2. Committee Members, Consultants, and Reviewers

The District Court has convened an efiling committee to guide the development and implementation of the pilot. This plan has received the approval of the committee. The committee members are:

The Honorable Thomas Love, Associate Judge, Fifth District – Prince George's County
The Honorable Josef Brown, Associate Judge, Fifth District – Prince George's County
Charles Moulden, Assistant Chief Clerk, Operations
Rick Clemens, Assistant Chief Clerk, Finance
Laurie Burr, Senior Technical Business Analyst
Joyce Brown, Supervisor, Landlord Tenant, Prince George's County
Betty Young, District Court Supervisor, Hyattsville
Loretta Cunningham, Deputy Assistant Chief Clerk, Operations
Raj Leyl, Enterprise Project Manager

In addition to the efiling committee, the District Court has worked with several other individuals as consultants and reviewers. These are:

The Honorable Thurman Rhodes, Administrative Judge, Fifth District – Prince George's County
Patricia Platt, Chief Clerk, District Court of Maryland
Violet Owens, Administrative Clerk, Fifth District – Prince George's County
Margo Wheet, Executive Director, Finance, Administrative Office of the Courts
Phil Braxton, Director, Judicial Information Systems
Frank Broccolina, State Court Administrator, Administrative Office of the Courts

3. Compliance with Maryland Rule 16-506

The District Court's efiling plan will fully comply with Maryland Rule 16-506. Specific aspects of this plan are discussed below.

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3.1. Public access to any public record in an electronic file

The District Court's efilng system will use Internet technology and will therefore be available to any authorized individual who has access to a personal computer with an Internet connection.

3.2. Protection of privacy

Privacy will be protected in the District Court's efilng system by using techniques to authenticate, or verify, the identity of individuals who use the system. These authentication procedures will conform to the standards called for by the National Center for State Courts, and to the extent possible, to District Court administrative orders, Maryland Annotated Code, and court customs and practices. Individuals will only be allowed to view information for which they are authorized.

3.3. Available for use at a reasonable cost

The District Court will undergo a competitive procurement process and negotiate with the accepted vendor to secure a system which meets the District Court's requirements at the lowest possible cost.

3.4. Compatibility with the data processing and operational systems used or anticipated for use by the Judiciary

The District Court will require the vendor to provide a system which is compatible with the current and anticipated systems presently used by the Judiciary. The internet-based nature of the efilng system means the system will be accessible from a browser. The data will be backed up on the Judiciary's equipment. The system will also use standard desktop computers.

3.5. Compatibility with electronic filing systems that may be installed by other courts

The efilng system will comply with the National Center for State Court's Draft for Consideration by National Consortium for State Court Automation Standards and COSCA/NACM Joint Technology Committee Standards for Electronic Filing Processes or its successors. This document seeks to encourage the broad scale implementation of electronic filing technology by setting standards that facilitate system interoperability. It has been summarized in the Appendix in section 5.4.

3.6. Installation and use of the proposed system will not create any undue financial or operational burdens on the District Court

The District Court efilng system will follow a fee-for-service model. Users of the system will pay the vendor for use of the system, thereby limiting the Court's financial burden. The operational burden to the court will be minimized in several ways. Vendors will be required to install system components at off-hours or at other times so as to minimize the impact on operational processes.

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Existing staff will operate the system. The Court and vendor will work together to design processes that efficiently use court resources.

3.7. The proposed system will be effective, secure, and not likely to break down

The District Court's system will meet the National Center for State Court's standards for effectiveness, security, and reliability as specified in the Draft for Consideration by National Consortium for State Court Automation Standards and COSCA/NACM Joint Technology Committee Standards for Electronic Filing Processes or its successors.

3.8. The court can discard or replace the system during or at the conclusion of a trial period without undue financial or operational burden

The District Court will negotiate a contract with the vendor that includes the ability to terminate use of the vendor's system with reasonable notice and without termination penalty on the part of the Judiciary. The Application Service Provider (ASP) model of the vendor means most of the system components (hardware and software) will reside at the vendor's location and will not require de-installation should the vendor relationship terminate.

4. Detailed Plan

4.1. Scope

The Court intends to implement the electronic filing system in 3 Phases. First, the Court intends to pilot the system by automating Landlord/Tenant cases in District 5, Prince George's County. This District processes over 155,000 Landlord/Tenant cases annually, or approximately thirty percent of the Court's total Landlord/Tenant caseload. The electronic filing system will initially be offered for use to a few selected law firms which file more than 500 cases per month. The remaining Landlord Tenant cases in Prince George's County will be converted to electronic form after filing, so a single electronic system of case folders may be used.

Landlord and Tenant cases are a good candidate for e-filing. Over 500,000 Landlord/Tenant cases are filed in the Court statewide each year. A limited number of attorneys handle the majority of cases that are filed, and these attorneys are computerized. Nearly all information is currently submitted on pre-printed multi-part forms. The entire case management process for Landlord Tenant is currently a manual operation on the part of the Court.

Upon the successful completion of the E-Filing pilot in Prince George's County, and pending approval by the Court of Appeals, the District Court anticipates Phase 2 will entail rolling out electronic filing for all Landlord/Tenant Cases statewide. Phase 3 will involve implementing electronic filing for approximately 300,000 other types of civil cases statewide.

The scope of the detailed plan is limited to the pilot in Prince George's County. However, the procurement will provide for continuation of the vendor relationship over all three phases, assuming suitable performance.

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4.2. Business Process and Operational Plan

4.2.1. Requirements of Annotated Code of Maryland

The electronic filing system shall meet all requirements of the Annotated Code of Maryland. Some specific portions of the Annotated Code that are particularly applicable to efilings are summarized below.

Maryland Annotated Code, Real Property Article, Title 8, This code addresses a landlord's remedies when a tenant fails to pay rent, including requirements for filing complaints and issuing summons.

Maryland Code Annotated, State Government Article, Section 10-612 et seq., This code addresses the public's general right to information along with certain prohibitions.

Maryland Rule 3-121 et seq., This rule addresses the service of summons and complaints as it applies to service in Landlord and Tenant cases.

4.2.2. Compliance with Electronic Filing Standards

The District Court's electronic filing system will comply with the National Center for State Court's Draft for Consideration by National Consortium for State Court Automation Standards and COSCA/NACM Joint Technology Committee Standards for Electronic Filing Processes or its successors. The functional standards components of this document have been summarized in section 5.4 of this document. Where applicable, the District Court has commented and made specific references to the pilot in Prince George's County.

4.2.3. Manual filings

The District Court efilings system will be voluntary and the Court at this time does not envision discontinuing the acceptance of paper filings. Therefore, there will need to be a system for processing these manual filings in an electronic environment.

The Court will convert manual filings to image documents by processing them through a high-speed scanner. A clerk will inspect the image of each scanned document prior to final acceptance and storage. A clerk will also key data from the document into the electronic filing system in order for the document to be quickly and reliably indexed and retrieved for future use.

4.2.4. Fees

The efilings system vendor will be required to collect court-mandated fees from filers and remit them to the court and the Sheriff, respectively. The vendor will provide the capability to electronically transfer court-mandated fees to the Court's bank account through the U.S. Federal Reserve Bank's Automated Clearing House (ACH) payment system. The Sheriffs' fees will be transferred to the

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Sheriffs in a manner that is acceptable to each. The vendor will also provide daily reports to the Court which will enable the Court to reconcile their account.

4.3. Costs

Costs for the electronic filing system will fall into 3 categories: personnel; training and support; and other equipment and infrastructure costs. These costs are discussed below.

4.3.1. Personnel

Based on the number of Landlord Tenant cases annually and the percentage of cases filed by the attorneys invited to participate, it is expected the court will reach an electronic filing rate of approximately 80 percent. Therefore, during the pilot, personnel costs are not expected to increase. Existing Landlord Tenant staff will be retrained to perform their job functions using the electronic filing system.

4.3.2. Training and Support

Training for the electronic filing system will be delivered in several ways. Training fees will not be assessed, nor will any staff be added for system training and support.

Using a "Train-the-Trainer" model, the vendor will be required to train District Court Operations Resource Specialists to operate the system and to conduct training for other employees. The vendor will also be required to train other users of the system, such as attorneys at no fee. The current staff of District Court Operations Resource Specialists will be responsible for training Court employees on the operation of the system.

4.3.3. Equipment and Infrastructure

The costs for equipment and infrastructure to operate the system may be borne by the District Court. This equipment will consist of any personal computer and desktop printing upgrades that may become necessary to operate the efilng system in the clerk's office, scanning equipment, and any equipment needed to automate the Judges' chambers and bench. The costs for equipment and infrastructure to backup the data to Judiciary equipment may be borne by the Judicial Information Systems (JIS). Like the Baltimore City Asbestos Case Efilng system, the project will have no noticeable impact upon the statewide data network and no impact on the JIS security firewall.

4.4. Implementation Plan

A period of detailed planning will precede the cutover to the electronic filing system pilot. This section describes the steps which will be followed during that period.

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4.4.1. Procurement

The District Court will submit a detailed Statement of Work (SOW) to the Judiciary's procurement department following the approval of this plan. This SOW will contain the functional requirements a vendor must meet in order to be considered for contract award. The Judiciary's procurement department will use the SOW as a basis for a Request for Proposal (RFP). A contract will be awarded to the vendor who most closely meets the District Court's requirements at the lowest total cost, as determined by the committee members listed in Section 2.

4.4.2. Detailed Design for Pilot

The system vendor will develop a Detailed Design (DD) for the pilot. The purpose of the DD is to confirm and clarify the current and future business process flow as well as all functional and technical requirements. The DD will document process flow, data elements, and parties. The DD will also detail security and audit functions, such as location of firewalls, authentication processes, etc. The DD will include sections on the payment, case management, and document management subsystems. The DD will include a section on processing of cases received manually. The DD shall be presented and reviewed at regularly scheduled project management meetings while it is under development.

4.4.3. Detailed Project Plan for Pilot

The vendor shall establish and maintain a detailed schedule for development of the solution up to the establishment of the production baseline. The purpose of this detailed project plan is to guide the development and implementation of the pilot. The plan will encompass activities vendor personnel, Judiciary headquarters personnel, and Judicial Information Systems (JIS) personnel will follow.

4.4.4. Detailed Procedures for Pilot

Once the Detailed Design of the pilot is complete, the District Court Operations staff will develop and distribute a detailed procedural guide for the clerks to follow in processing electronically and manually filed Landlord Tenant cases in Prince George's County.

4.4.5. Detailed Training Plan for Pilot

District Court Operations staff will develop a detailed plan for training on the electronic filing system. The vendor will use a "Train-the-Trainer" approach to delivering solution training for District Court employees. The vendor will make the entire system available for training in the computer room of the District Court's Conference Center. The vendor will also be responsible for training attorneys and other non-District Court parties.

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4.4.6. Detailed Cut-Over Plan for Pilot

The vendor will develop a detailed plan for the actual implementation of the electronic filing system pilot. This plan will describe any conversion activities that are required. The plan will cover the steps attorneys, court personnel, and other parties will follow to begin using the efilng system. The plan will specify the development of brochures, web sites, or other communications vehicles which may be needed to implement the new system.

4.4.7. Prototype of Pilot

The purpose of the prototype is to confirm the functionality described within the DD. The District Court encourages the vendor to build this as a 'working prototype.' The Court does not envision that the prototype will be discarded but rather more fully developed until it is ready to be implemented as the pilot system. The prototype will be presented to the Electronic Filing Committee for comments and approval.

4.4.8. Project Management

The vendor will establish and maintain a 'Project Management System' which shall include the following areas: program planning and control, regularly scheduled reviews at the Court's site, configuration, financial, data, issues, and risk management, and an electronic database of project materials that will be shared with the Court.

4.4.9. Ownership and Maintenance

As mentioned previously, the vendor will follow an Application Service Provider (ASP) business model. This implies the vendor owns and maintains most of the electronic filing system components. The District Court will own all desktop devices, including printers and scanners. The Judicial Information Systems (JIS) group will maintain the desktop devices and will own and maintain the system components used to provide backup within the Judiciary data center. The data, while residing on the vendor's server, will be the property of the judiciary.

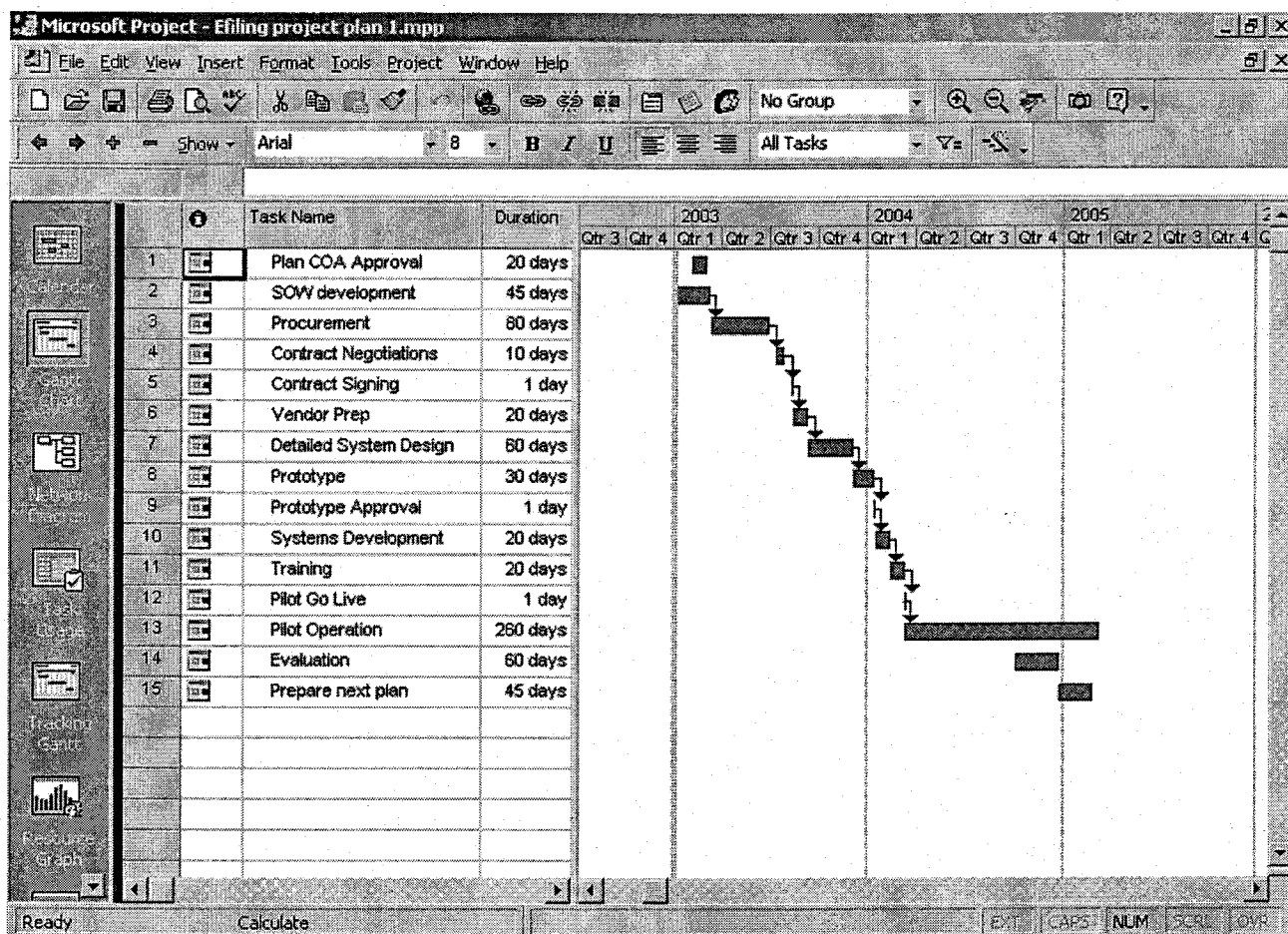
4.5. Project Evaluation

In accordance with Maryland Rule 16-506, a formal evaluation of the electronic filing pilot will be conducted before the expiration of the two-year period

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5. Appendices

5.1. Electronic Filing Pilot Timeline

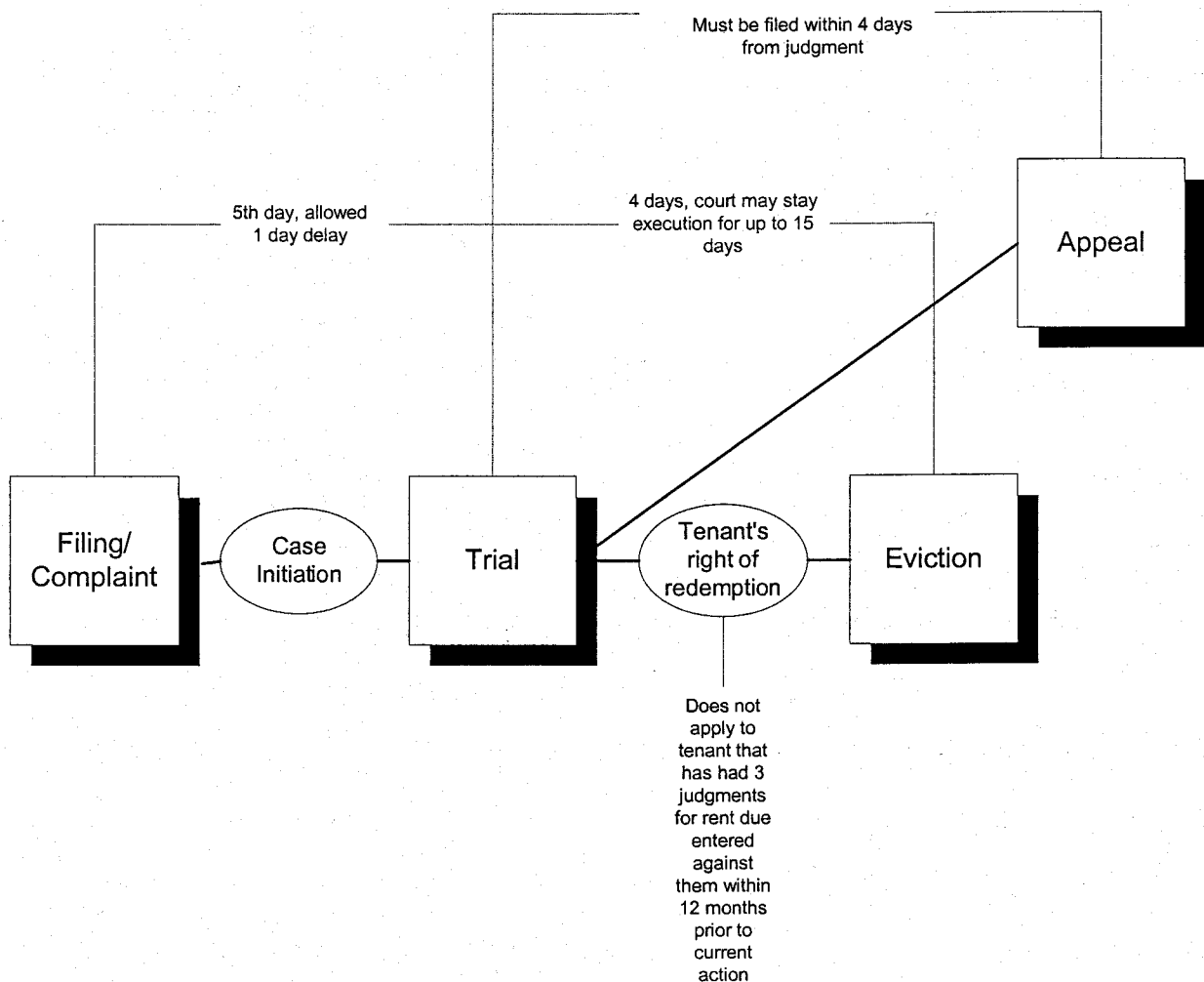


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5.2. Landlord Tenant Summary Case Flow

This summary case flow will be given to the vendor and to be used as a basis for the Detailed Design.

Landlord Tenant Summary Case Flow



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5.3. Landlord Tenant Form

The next page contains the Landlord Tenant filing form.

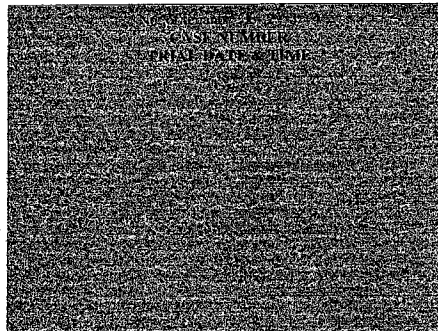
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DISTRICT COURT OF MARYLAND FOR _____

Located at _____

Landlord/Agent (Plaintiff) _____ Affixed on Premises _____
 Address of Landlord/Agent _____ Date _____
 City _____ State _____ Zip _____ ☐ Mailed to Tenant
 ① Name of Tenant (Defendant) _____ Constable _____
 ② Name of Tenant (Defendant) _____
 Address of Tenant _____ Served on Party: _____
 City _____ State _____ Zip _____ Date _____ Date _____



FAILURE TO PAY RENT — LANDLORD'S COMPLAINT FOR REPOSSESSION OF RENTED PROPERTY UNDER REAL PROPERTY § 8-401

- The property is described as: _____ Maryland,
 Number Street Apt. City
 - The Tenant rents from the Landlord who asks for possession of the property and a judgment for the amount determined to be due.
 Property Name _____
 - The rent is \$ _____ due on the _____ of the ☐ week ☐ month which has not been paid or reduced to judgment.
 As of today, rent is due for the ☐ weeks ☐ months of _____ in the total amount of \$ _____
 Late charges accruing in or prior to the month in which the complaint was filed for the ☐ weeks ☐ months
 of _____ are due in the amount of \$ _____
 The total amount of rent and late fees due at the date of this complaint is \$ _____
 - ☐ The Landlord requests future rent between the date of complaint and date of judgment in the amount of \$ _____
 - Total including future rent \$ _____
 - The Landlord requests the Tenant's right of redemption be foreclosed due to prior judgments. List the case numbers and judgment dates within the last year: _____
 Case Numbers & Judgment Dates
☐ All the Tenant(s) on the lease are listed above.
☐ The Defendant is not in military service.
☐ The Defendant serves in the military, but: ☐ the premises are not chiefly a dwelling for his/her dependents
☐ the monthly rental rate stated above exceeds \$1,200
- I do solemnly declare and affirm under the penalty of perjury that the matters and facts set forth above are true to the best of my knowledge and belief.

Print Name of Landlord/Attorney/Agent _____ Signature of Landlord/Attorney/Agent _____ Date _____
 Address _____ Telephone _____
 Continued To _____ Request of _____ Reason _____

DISPOSITION

- The following parties appeared on final trial date: ☐ Landlord ☐ Tenant
- ☐ Determined due and unpaid: \$ _____ ☐ By default ☐ After trial ☐ By consent
- ☐ Judgment in favor of Landlord
- ☐ For possession of the premises. ☐ Without the right of redemption
- ☐ Money judgment for \$ _____ against Tenant #1 ☐ #2 ☐
☐ Costs against Tenant \$ _____
- ☐ Voluntary dismissal by: ☐ Landlord ☐ Stipulation of parties
- ☐ Case dismissed for failure of Plaintiff to appear
- ☐ Judgment in favor of Tenant
- ☐ Non Pros ☐ After trial ☐ By consent
- Execution stayed until _____
- ☐ Execution stayed by filing an approved appeal bond in the amount of \$ _____

Judge _____ Date _____

SUMMONS

STATE OF MARYLAND, TO WIT:
 TO Sheriff of this County/Constable of this Court, Greetings:
 You are hereby ordered to notify, by first class mail, the Defendant named in this Complaint to appear before the District Court to answer the Landlord's complaint to show cause why the prayer of the Landlord should not be granted, and you shall proceed to serve the Summons upon the Defendant in the property or upon Defendant's known or authorized agent, but if for any reason neither the Defendant, nor his Agent, can be found, then you shall affix an attested copy of the Summons conspicuously upon the property.

Judge/Clerk _____ Date _____

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5.4. Standards for Electronic Filing Processes Draft 7/12/02

This appendix contains an excerpted version of the National Center for State Court's Draft for Consideration by National Consortium for State Court Automation Standards and COSCA/NACM Joint Technology Committee Standards for Electronic Filing Processes. Each section number of the appendix is cross-referenced to the COSCA/NACM Standards for Electronic Filing Processes (in parentheses). The District Court intends to comply with these standards and their successors, except in the instances where there is a conflict with existing statutes or legitimate court business needs.

5.4.1. (1.1) General Principles

5.4.1.1. (1.1A) Official Court Record – The electronic document will be the official court record. Paper records, if maintained, will be considered a copy of the official court record.

5.4.1.2. (1.1B) Electronic Viewing – Electronic filing processes will presume that all users will view documents on their computer screens. Paper copies will be available on demand, but their production will be exceptional, not routine.

5.4.1.3. (1.1C) Technical Requirements – Courts will use Internet browser, extensible Markup Language, web services and W3C recommended standards for electronic filing processes.

5.4.1.4. (1.1D) Document Format – Courts will require electronic documents to be submitted in a format that is renderable, and, when possible, searchable and tagged. Courts will only require formats for which software to read and write documents is available free for viewing and is available free or at a reasonable cost for writing and printing.

5.4.1.5. (1.1E) Self-Contained Documents – Each filed document will be self-contained, with links only to other documents submitted simultaneously or already in the court record.

5.4.1.6. (1.1F) Data Accompanying Submitted Documents – Courts will require filers to transmit data identifying a submitted document, the filing party, and sufficient other information for the entry in the court's docket or register of actions. In the case of a document initiating a new case, sufficient other information will be included to create a new case in the court's case management information system. This data will be specified with particularity by the court.

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- 5.4.1.7. (1.1G) Identity of the Sender – Courts will authenticate the identity of persons interacting with its electronic filing system.**
- 5.4.1.8. (1.1H) Integrity of Transmitted and Filed Documents and Data – Courts will maintain the integrity of transmitted documents and data, and documents and data contained in official court files, by complying with current Federal Information Processing Standard 180.1 or its successor.**
- 5.4.1.9. (1.1I) Electronic Acceptance of Payments – Courts will establish a means to accept payments of fees, fines, surcharges and other financial obligations electronically, including the processing of applications to waive fees.**
- 5.4.1.10. (1.1J) Surcharges for Electronic Filing – Courts should avoid surcharges for filing of or access to electronic documents if they are able to obtain public funding of their electronic filing processes. Courts may impose such surcharges or use a private vendor that imposes surcharges when public funding is not available. Such surcharges should be limited to recouping the marginal costs of supporting electronic filing processes if collected by the court or to a reasonable level if imposed by a private vendor.**
- 5.4.1.11. (1.1K) Court Control over Court Documents – Whenever a court's electronic documents reside on hardware owned or controlled by an entity other than the court, the court will ensure by contract or other agreement that ownership of the documents remains with the court or clerk of court. All inquiries for court documents and information will be made against the current, complete, accurate court record.**
- 5.4.1.12. (1.1L) Addressing the Special Needs of Users – In developing and implementing electronic filing, courts will consider the needs of indigent, self-represented, non-English speaking, or illiterate persons and the challenges facing persons lacking access to or skills in the use of computers.**

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5.4.2. (1.2) Court Rules

5.4.2.1. (1.2A) Service of Filings on Opposing Parties – Court rules will provide that electronic transmission of a document through the electronic filing process to opposing counsel or parties who participate in the electronic filing process will satisfy the service requirements of court procedural rules. Electronic filing processes will automatically create and docket a certificate of service for documents served electronically through the electronic filing process. Court rules will not provide additional time for responding to documents served in this fashion.

5.4.2.2. (1.2B) Use of Unique Identifier – Court rules will provide that a lawyer or other person provided with a unique identifier for purposes of filing documents electronically will be deemed to have filed any document submitted using that identifier.

5.4.2.3. (1.2C) Determining when a Document is Filed – Court rules will articulate the criteria by which an electronic document is deemed “received,” “filed,” “served,” and “entered on the docket or register of actions.” Courts will record the date and time of filing and inform the filer of them or of rejection of the document and the reasons for rejection.

5.4.2.4. (1.2D) Availability of Electronic Filing Process – Courts will accept electronic documents 24 hours per day, 7 days per week, except when the system is down for maintenance. Documents are deemed filed on the date they are actually filed, as defined by the court pursuant to Standard 1.2C, whether or not the clerk’s office was open for business at the time of filing.

District Court comment: Pursuant to Standards 1.2C and 1.2D, the District Court will define the terms “received” and “filed” in such a way as to enable the court to meet requirements of the law, particularly in regards to holding a trial on the 5th day after filing.

5.4.2.5. (1.2E) Remedy for Failure of Electronic Processes – Court rules will create procedures and standards for resolving controversies arising from the electronic filing process.

5.4.3. (1.3) Implementing Electronic Filing Systems

5.4.3.1. (1.3A) Universal Electronic Filing Processes – Courts will ultimately include all documents in all case types in electronic filing processes although they may implement electronic filing incrementally.

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- 5.4.3.2. (1.3B) Mandatory Electronic Filing Processes – Court rules may mandate use of an electronic filing process if the court provides a free electronic filing process, the court allows for the exceptions needed to ensure access to justice for indigent, disabled or self-represented litigants, the court provides adequate advance notice of the mandatory participation requirement, and the court (or its representative) provides training for filers in the use of the process.**
- 5.4.3.3. (1.3C) Judicial Discretion to Require Electronic Filing in Specific Cases – Judges will have the authority to require participation in the electronic filing system in appropriate cases until such participation becomes mandatory for all cases.**
- 5.4.3.4. (1.3D) Maintaining Supplementary Scanning Capability – Courts will ensure that all documents in electronic cases are maintained in electronic form. Consequently, in voluntary electronic filing processes, courts will scan paper documents and file them electronically.**
- 5.4.3.5. (1.3E) Quality Control Procedures – Courts will institute a combination of automated and human quality control procedures sufficient to ensure the accuracy and reliability of their electronic records system.**
- 5.4.3.6. (1.3F) Eliminating Unnecessary Paper Processes – Courts will eliminate paper processes that are obsolete or redundant in an electronic environment.**
- 5.4.3.7. (1.3G) Integration with Case Management and Document Management Systems – Electronic documents will be accessed through a court's case management information system. Courts will mandate that case management information systems provide an application programming interface capable of accommodating any electronic filing application that complies with these standards. Courts using electronic filing processes will require automated workflow support.**
- 5.4.3.8. (1.3H) Archiving Electronic Documents – Courts will maintain forward migration processes to guarantee future access to electronic court documents.**

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5.4.4. (3.1) General Court Standards

5.4.4.1. (3.1.1) System conforms to existing COSCA/NACM standards and has the flexibility to adapt to emerging COSCA/NACM standards found at <http://www.ncsc.dni.us>.

5.4.4.2. (3.1.2) System describes unique court filing policies and standards in an XML format, accessible free of charge by potential filers, including service providers.

5.4.4.3. (3.1.3) System provides a process to inform current users of court policy changes relative to electronic filing.

5.4.5. (3.2) System Architecture

5.4.5.1. (3.2.1) System architecture supports XML data exchange in accordance with standards adopted by COSCA and NACM.

5.4.5.2. (3.2.2) System architecture incorporates migration strategies for new releases of XML standards.

5.4.5.3. (3.2.3) System architecture provides capabilities for high volume filers to transfer large numbers of documents, attachments and envelopes at one time ("mass filing").

5.4.5.4. (3.2.4) System has disaster recovery and rollback capabilities consistent with court needs and policy.

5.4.6. (3.3) Electronic Documents

5.4.6.1. (3.3.1) System records all dates and times needed to apply court rules governing the time and date that court filing occurs and informs filer of the date and time of filing.

5.4.6.2. (3.3.2) System accepts the importation of non-electronic documents into the electronic court record in accordance with statutes and rules.

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5.4.6.3. (3.3.3) System provides a method for handling other electronic materials involved in a case, including, e.g., transcript, exhibits, and multimedia presentations made to the jury.

5.4.6.4. (3.3.4) System presents the documents in the electronic formats allowed by the court.

5.4.6.5. (3.3.5) System will produce copies on demand.

5.4.7. (3.4) Document Integrity

5.4.7.1. (3.4.1) System provides a means to verify the integrity of any electronic document received and stored by the court.

5.4.7.2. (3.4.2) System provides document redundancy.

5.4.7.3. (3.4.3) Hash algorithms must be provided within receipt and the system must provide a document history of hashes.

**5.4.7.4. (3.4.4) At a minimum, system must comply with FIPS 180-1 or successors.
(<http://www.itl.nist.gov/fipspubs/fip180-1.htm>)**

5.4.8. (3.5) System Security

5.4.8.1. (3.5.1) System transmissions are secure.

5.4.8.2. (3.5.2) System provides an audit log of transactions as appropriate to the court's needs.

5.4.8.3. (3.5.3) System must provide that appropriate court staff have control of assignment and revocation of security levels and privileges.

5.4.8.4. (3.5.4) System provides appropriate processes for court staff to control user privileges to create, modify, delete, print, or read electronic records.

5.4.8.5. (3.5.5) The "Legal Envelope" and the document must both have state-of-the-art and robust virus checking applied prior to transmission to the court and upon receipt of the transmission at the court.

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5.4.8.6. (3.5.6) System complies with generally accepted security protocols, including use of HTTPS and secure socket layer (SSL).

5.4.9. (3.6) Signatures and Authentication

5.4.9.1. (3.6.1) System complies with statutes and rules for authentication of electronic documents.

5.4.9.2. (3.6.2) System provides authentication of filer identity in accordance with court policies.

5.4.9.3. System provides a method of authenticating judicial officer actions.

5.4.10. (3.7) Case and Document Confidentiality

5.4.10.1. (3.7.1) System provides provisional confidentiality until the court makes a determination on confidentiality.

5.4.10.2. (3.7.2) System allows for changes of confidentiality status for documents or the case during the life of the case.

5.4.10.3. (3.7.3) Based on the nature of the document and the nature of the case, system provides automatic confidentiality at the time of electronic document filing in accordance with statutes and rules or court orders.

5.4.11. (3.8) Acceptance and Rejection of Filings

5.4.11.1. (3.8.1) Front End Application is able to support the court's policy on filing when the court's accepting system is down.

5.4.11.2. (3.8.2) System informs the filer of the acceptance or rejection. The receipt must include the reasons for rejection and document hash.

5.4.11.3. (3.8.3) System supports automated acceptance and rejections of filings and documents in accordance with the form and substance requirements of the court.

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5.4.11.4. (3.8.4) Acknowledgements of filings must include the address of the document on the court's server.

5.4.12. (3.9) User and Service Registration

5.4.12.1. (3.9.1) System maintains a register of authorized users and identifiers. System supports registration/authorization process for submission of electronic court filings by attorneys, self-represented litigants, court personnel, other agencies, and other authorized users.

5.4.12.2. (3.9.2) A registry of web services must be provided by the system for integration, e.g. UDDI.

5.4.13. (3.10) Court Payments

5.4.13.1. (3.10.1) System accommodates payments in accordance with statutes and rules.

5.4.14. (3.11) Submission of All Filings

5.4.14.1. (3.11.1) If the court's case management system is not operational, the front-end electronic filing system sends a message immediately to the filer and holds the filing for submission when the court's system is operational.

5.4.14.2. (3.11.2) Front-end system validates case number, filing parties, case types, document types, and other elements required for populating the court's database.

5.4.14.3. (3.11.3) Front-end system provides error messages and correction options if the filing is not in accordance with court policies, codes, and requirements including case openings.

5.4.14.4. (3.11.4) System assigns and confirms a unique identifier for each filing.

5.4.15. (3.12) Case Opening Filings

5.4.15.1. (3.12.1) System assigns a unique case identifier until assignment of a permanent case number by the court.

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5.4.15.2. (3.12.2) System allows automated initiation of new cases without requiring submission of the case to the clerk review queue.

5.4.15.3. (3.12.3) System supports automated docket entries for initial filings without clerk review.

5.4.16. (3.13) Subsequent Case Filings

5.4.16.1. (3.13.1) System supports automated docket entries for subsequent filings without clerk review.

5.4.16.2. (3.13.2) System allows automated receipt of subsequent filings without requiring submission of the case to the clerk review queue.

5.4.17. (3.14) Service and Notice

5.4.17.1. (3.14.1) System electronically serves documents and notice to other parties participating in the electronic filing system, in accordance with statutes and rules.

5.4.17.2. (3.14.2) System generates a record of the non-electronic filing parties to whom service must be provided.

5.4.17.3. (3.14.3) System automatically creates and docketed in the court's case management system a certificate of service for the document served.

5.4.18. (3.15) Judicial Consideration of Drafts

5.4.18.1. (3.15.1) System provides a method for parties to transmit proposed orders and other proposed materials to judicial officers for consideration, with or without docketing the event and committing the document and data to the database.

5.4.18.2. (3.15.2) System provides a method for the judicial officer to return a modified proposed document to the sending parties with or without docketing the event and committing the data to the database.

5.4.18.3. (3.15.3) System provides automatic notice to all parties when filer sends a proposed order to a judicial officer for consideration.

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5.4.18.4. (3.15.4) System provides automatic notice to all parties when the judicial officer returns a modified proposed document to the sending parties.

5.4.19. (3.16) Clerk Review

5.4.19.1. (3.16.1) System provides for review of data and documents by court staff prior to inclusion in the court record based on local procedures and rules.

5.4.19.2. (3.16.2) If the filer must take additional action after clerk review, the system provides a method for the clerk to send notice to the filer.

5.4.20. (3.17) Court Initiated Filings

5.4.20.1. (3.17.1) System allows for court judicial officers and court staff to initiate actions as filings.

5.4.20.2. (3.17.2) System informs parties of court initiated filings.

5.4.21. (3.18) Requests for and Responses to Requests for Case Information

5.4.21.1. (3.18.1) System processes requests and responses to standard queries for court records according to the standard protocol approved by COSCA/NACM.

5.4.21.2. (3.18.2) Every response to a query includes the most current, complete and accurate CMS and DMS records as defined by court policy.

5.4.21.3. (3.18.3) System provides a notice to the person making the query of the currency of the information.

5.4.21.4. (3.18.4) System provides authentication and verification that the court order in the court's database is the court order received by the requestor.

5.4.21.5. (3.18.5) System supports queries of court records and responses to queries of court records.

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5.4.21.6. (3.18.6) System notifies appropriate actors of updates to the court record.

5.4.22. (3.19) Integration with Document Management Systems

5.4.22.1. (3.19.1) System delivers case documents for entry and retrieval into the court's electronic Document Management System and Case Management System with "one-click" methods that do not require duplicative work on the part of court clerks for record entry into or retrieval from case management or document management systems.

5.4.22.2. (3.19.2) System stores documents until the court takes custody of the document.

5.4.23. (3.20) Integration with Case Management System

5.4.23.1. (3.20.1) System delivers case information for entry and retrieval into the court's electronic Document Management System and Case Management System with "one-click" methods that do not require duplicative work on the part of court clerks for record entry or retrieve into case management or document management systems.

5.4.23.2. (3.20.2) System stores information associated with the filing until the court takes custody of the filing.

5.4.23.3. (3.20.3) CMS is used to access or point to the location of documents in electronic court records.

5.4.24. (3.21) Judicial Information Sharing Among Courts, Including Appellate Courts

5.4.24.1. (3.21.1) The system provides the record on bindover or transfer to another court from the electronic record in accordance with statutes and rules.

5.4.25. (3.22) Document Retention and Archiving

5.4.25.1. (3.22.1) System provides for archiving of data and documents in accordance with approved retention, archiving and destruction policies.

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5.4.25.2. (3.22.2) System provides for forward migration of all court documents.

5.4.26. (3.23) Related Technical Considerations

5.4.26.1. (3.23.1) System uses browser technology and complies with W3C technical standards for a variety of platform operating systems and browsers.

5.4.26.2. (3.23.2) System complies with W3C web services standards.

5.4.26.3. (3.23.3) System supports annotation that is not part of the court record, with appropriate confidentiality and access controls.

5.4.26.4. (3.23.4) System supports actor-to-actor communication that is not part of the court record, with appropriate confidentiality and access controls.

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5.5. Judiciary Planned System Environment

Overall Architecture

The Court will adhere to an N-Tier architecture in the future. UML will be used for documentation. Java will be used on both the client and the server side.

Presentation Layer

The Court requires browser independence at the presentation layer. Adobe Acrobat is in use. All other products and standards that may impact E-Filing are still under consideration.

Business Rules Layer:

The Court has standardized on Oracle 9i Application Server. All other products and standards that may impact E-Filing are still under consideration.

Data Layer:

The Court is migrating to Oracle 9i, although all of the Court's current operational systems still run in IMS. All other products and standards that may impact E-Filing are still under consideration.

Messaging:

The Court will be using messaging products, although standards have not yet been determined.