

ELECTRONIC FILING PILOT CHECKLIST

For: Electronic Filing of the Record On Appeal

**Prepared and Submitted By: Denise Lundin, Cochise County Clerk of the Superior Court
Information obtained from Yavapai County's Electronic Filing Pilot Checklist prepared by
Gary Graham, Arizona Supreme Court Appellate Automation Manager**

Date: January 4, 2007

Pilot Description: This pilot will authorize statewide court to court electronic filing for the record on appeal using the e-Appeal Record on Appeal XML Transmission Specification (e-ROA XML) recommended by the Technical Advisory Council (TAC). This pilot will authorize electronic filing of the record on appeal between the Court of Appeals Division Two and the superior court in Cochise County.

	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	Chief Judge John Pelander has authorized e-filing for the Court of Appeals Division Two from Cochise County Superior Court. Cochise County Superior Court Presiding Judge Wallace Hoggatt has written a letter of support.
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	Plan is documented and will be revised throughout the course of the project as changes occur.
3.	<i>Rule 124(b)(2)</i> Do the procedures ensure document availability, security and integrity and authentication?	YES	XML message structure provides elements for document integrity and authentication. MQ provides security and persistence features in addition to integrity and authentication.
4.	<i>Rule 124(c)</i> Is a document deemed filed based on when transmission begins?	NO	No, the document is deemed filed when it has been accepted by the court.
5.	Are there any paper follow-up or additional copies requirements? If yes, why and for how long?	NO	Even in cases where a full or partial paper record exists, these paper copies will not need to be transferred to the appellate court.
6.	<i>Rule 124(d)</i> Is there a documented consent process for court delivery of electronic documents? Where is it published?	N/A	Not applicable to the electronic transfer of the record on appeal.
7.	<i>Rule 124(e)</i> Is there a documented electronic service delivery process? Where is it published?	N/A	Not applicable to the electronic transfer of the record on appeal.
8.	<i>IIIA – Provisions to preserve content and format:</i> Are the document format requirements documented and published? List accepted formats.	YES	Documents are transferred in PDF format. Scanned images (TIFF) are automatically converted to PDF as part of the transfer process.

	ITEM	Check for YES	Comment or Explanation
9.	Is there a documented and published process for handling submissions that are not in the approved format?	YES	It will be up to the receiving court to accept or reject transmissions which contain documents in an un-approved format.
10.	<i>IIID – Graphics and multimedia</i> Do you have a published policy about whether you accept graphics and multimedia files?	YES	PDF files which contain graphics and/or multimedia may be accepted. Acceptance will be at the determination of the receiving court.
11.	Are graphics and multimedia files accepted? Note what formats are allowed.	YES	See above.
12.	<i>E. Email</i> Does email play a role in your efilng system? Explain.	YES	E-mail may be the preference for communication of acceptance or rejection notifications. The alternative will be to use MQ messages.
13.	<i>IIIF – Fill-in forms</i> Are there fill-in forms in your efilng system? List them.	NO	There are settings and fields within the ‘Assembler’ application. These fields are used for configuration, or to input a case number to start the transfer process.
14.	<i>IVA Authentication of sender</i> Does your efilng system authenticate the submitter of documents or data? Please explain.	YES	The sender must login using a username and password. The submitter’s name is transmitted to the receiving court along with the record.
15.	<i>IVB1 – Document Authentication</i> Does your efilng system detect transmission or other document alteration? How?	YES	A message digest can be sent on the lead message and used to compare with each document message to assure document integrity.
16.	<i>IVB2a – Document Maintenance</i> Do you have written procedures for assuring document integrity? Attach (security related documents will not be made public).	To Do	Procedures have not yet been written, but procedure proposal is pending for review by the task force.
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.	YES	Multiple Firewalls, and server security schemes will be in effect. Document storage and the document management repositories will be protected within the AJIN network. Security schematic available through Gary Graham.
18.	<i>IVB2b Virus Checking</i> Do all document and efilng transmissions get scanned for viruses? What product?	YES	All files are virus checked when they are initially received, and then again each time the file is moved. MacAfee.
19.	<i>IVB2c Alternate copy</i> Are there procedures to assure an alternate document copy is available? Explain.	YES	The primary copy will be maintained by the electronic filing manager (EFM). A secondary copy will be registered into the court’s EDMS.
20.	<i>IVB2d Backup Procedures</i> Are there documented backup procedures with appropriate logs and periodic verifications?	YES	Incremental backups are performed nightly. Full backups are done weekly. A level zero backup is done monthly.
21.	Are backups stored off-site? Where?	YES	DataPro, Glendale
22.	Are contingency plans and procedures for system downtime developed and published?	YES	General procedures are published in the Operations manual, and the Disaster Recovery manual. Application specific procedures are being developed in a Service Level Matrix document.

	ITEM	Check for YES	Comment or Explanation
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?	N/A	Primary and alternate copy will be stored on server storage on separate drives. ANSI/AIIM standards are not applicable to this type of media.
24.	<i>IVB2f Archive media</i> Is the archiving media non-reusable?		With traditional hard copy record on appeal, the record is returned when the appellate court is finished with it. The appellate courts have not yet determined if they will 'purge' the electronic record or maintain it.
25.	Are the archiving procedures documented including appropriate logging and periodic media refreshing?		See #24 above.
26.	Does your operations plan contain provisions for the destruction of records in accordance with the approved retention schedule?		See #24 above.
27.	<i>IVC Confidential documents</i> Are confidential or sealed documents accepted? How is security assured?	NO	Although the Code of Judicial Admin, 1-506 E.4 prohibits e-filing of confidential or sealed documents, this is interpreted to not be applicable to documents within the record. This system does support the transfer of sealed documents which are marked as such.
28.	<i>VA Internet filing and costs</i> Is the e-filing system available via the Internet?	NO	Internet transport technologies are not used. Transfer is via MQ the Message Transport standard established in the Enterprise Architecture Standards (EAS).
29.	Does your solution require any kind of licensed software to be used by external users? List.	N/A	There are no planned users 'external' to the courts.
30.	Are the minimum hardware and software requirements for external e-filing users published? Summarize them here.	N/A	There are no external e-filing users.
31.	<i>VB Communications protocols</i> Are the protocols industry-standard and non-proprietary? List.	NO	Protocol is IBM MQ as established by the COT Enterprise Architecture Standards.
32.	<i>VC Public Access</i> Is remote access provided? To whom? (Court personnel? Other courts? Attorneys? Litigants? Public?)	NO	There is no public access provided.
33.	Is public access to electronic documents provided? Explain the process allowing public access to electronic documents with emphasis on accessibility and security?	NO	This system transfers documents but does not make them available for public access. The receiving court may wish to make them public available upon acceptance.
34.	<i>VIA Acknowledgement of receipt</i> Is an acknowledgement of receipt provided to the filer?	YES	MQ provides a Confirm on Delivery (COD) mechanism that can be requested by the sender.
35.	<i>VIB1 CMS interface</i> Does the e-filing process verify case management information data and codes? List elements from the CMS that are validated.	YES	Court codes, case numbers, case lineage relationships, event type codes and document type codes.

	ITEM	Check for YES	Comment or Explanation
36.	Are the data validation and edits for efilng data elements consistent with those for the CMS?	YES	CMS data is used for validation as part of clerk review. Some data transmitted can only be validated against the sending court CMS; this is the sending court's responsibility.
37.	<i>VIB2 Docketing</i> Does the efilng processing automatically docket to the CMS?	YES	Record on Appeal filing is automatically docketed and documents are automatically registered and indexed with the document management system.
38.	<i>VIB3 Indexing</i> Does the efilng processing automatically index the document? List indexing elements.	YES	Indexing values include: case number, date, filer, document type, key words, title, abstract, event, etc.
39.	<i>VIC Document Access</i> Do the efilng system procedures comply with ACJA 1-504 provisions for accessibility and migration?	N/A	Issues of accessibility and migration addressed in ACJA 1-504 E. apply to the EDMS and not the e-filing system. Upon court acceptance of the record from the e-filing system, the documents will be managed by an EDMS which meets these requirements.
40.	<i>VID Efilng Plan</i> Is your efilng plan attached?		Currently being developed by a task force.
41.	Is the hardware and software requirement for users documented?	YES	PC with Windows operating system and AJIN connection.
42.	Do you have an electronic document management system in place? Provide product(s) name.	N/A	Documents submitted will be registered into the Appellamtion EDMS (in production usage for over seven years). Currently a project is underway to integrate Appellamtion to OnBase.
43.	Is the acquisition and installation plan developed?	YES	MQ infrastructure (software, hardware and operating environment) has already been established. Other software components are AOC developed.
44.	Is the acquisition and installation plan executed?	YES	See above.
45.	Is the testing plan executed?	YES	Active testing is currently underway between Yavapai Superior court, Court of Appeals Division One, and the AOC.
46.	Is the training plan for both internal and external users developed? Attach.	YES	Being developed based on business processes being decided. Help guides already developed and distributed.
47.	Is the training plan for both internal and external users executed?		Not yet
48.	Is the staffing and support plan for both internal and external users of efilng developed? Attach.	YES	Minimal; MQ and AJIN support provided by AOC Infrastructure group, software support by Appellate Automation group, other support provided by AOC Support Center.
49.	Are the efilng staffing and support resources in place? How many FTE's are assigned?	YES	Currently there are no FTE's exclusively assigned to this project. Support will be absorbed into the existing support organization. This support model will be revisited after an operational history has been collected.

	ITEM	Check for YES	Comment or Explanation
50.	<i>VIE Published procedures</i> Are the procedures for electronic filing (including procedures, acknowledgement practices and support) published? Please provide location.	YES	Procedures are published in the 'Assembler' and are registered in the appellate DMS as document #49459.
51.	Are any documents besides confidential documents excluded from the e-filing process? Explain.	YES	Many exhibits will not exist in electronic form. These exhibits must continue to be transported using existing methods.
52.	Does your e-filing plan include a phasing in of any excluded documents?	N/A	No documents are excluded.
53.	Can documents be filed at any time? Note the times the system is available for filing.	YES	Record on Appeal may be transferred at any time.
54.	Can e-filing assistance be obtained at any time? Note the times that support resources are available for assistance.	NO	Instructions will be available on-line at all times. Human assistance will only be available during normal Support Center hours.
55.	Are fees accepted electronically? Explain the process for electronic or manual fee collection, including impact on filing time.	N/A	There are no fees collected for the transfer of the record on appeal.
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?	YES	Project plans and documentation on file per the AOC ITD PMO (i.e. Project Management Office). Project Number: 133842.
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	The e-filing software has been developed by the AOC.
58.	Are there provisions for the long-term support, maintenance and enhancement of the product in your plan and/or your vendor contract? Explain.	YES	The AOC is committed to the future support of this software.
59.	Have you developed success measures for the pilot? List the success criteria.	YES	System is able to extract record on appeal documents from the sending court's OnBase EDMS, produce a rules compliant Index of Record, transport the documents and the index of record to the receiving appellate court utilizing MQ, and provides a clerk review function, that upon acceptance of the record, will automatically register the documents into the court's EDMS repository and record appropriate entries into the court's Case Management System.
60.	Is there a projected end date for the pilot? What is it?	NO	Although detailed planning is still underway, the participating courts are considering an aggressive schedule. Start date to begin early 2007.
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.	N/A	A budget has not yet been established.

	ITEM	Check for YES	Comment or Explanation
62.	Is the operational budget over the next three to five years estimated? Please attach.	NO	Operational budget will be evaluated.