

ELECTRONIC FILING PILOT CHECKLIST

For: Electronic Filing of Rule Change Petitions and Rules Comments

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Pilot Description: It is the goal of the Arizona Supreme Court to open up the Rules Change and Commenting process by making this process accessible from the Internet. In addition to posting Rule Change Petitions to the Internet, the Court will also post Rules Comments. Within this site, the Court wishes to provide the ability to submit new Rules Change Petitions and Comments to existing Rules Change Petitions, electronically.

	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 efilng.	YES	The Chief Justice is actively promoting the functionality and the accelerated timetable for providing it to users.
2.	<i>Rule 124(b)(1)</i> Is an efilng plan developed, reviewed and approved? List the members of the affected legal and business community that have been involved.	YES	Not formally documented yet. This is an external facing internal project to provide greater practitioner and public access to proposed court rule changes.
3.	<i>Rule 124(b)(2)</i> Do the procedures ensure document availability, security and integrity and authentication?	YES	See 15, 16, and 17 below.
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?	YES	Currently Rule 28 (A) and 28 (D) require the filing of an original and six copies, in addition to one copy on a CD, disk, or other compatible electronic format. It is expected that these rules will be amended upon successful pilot implementation.
6.	<i>Rule 124(d)</i> Is there a documented consent process for court delivery of electronic documents? Where is it published?	YES	The consent process will be posted on the Website. Petitioners and Commentors are considered parties in a rules case. It is expected that by registering to submit rules comments and petitions, the registrant will also be giving 'consent'. When 'consent' is given, it applies to all current and future matters before the court.

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7.	<i>Rule 124(e)</i> Is there a documented electronic service delivery process? Where is it published?	YES	Website will show the notification requirements. Service in Rule Change matters is limited to serving a copy of comments to the petitioner. Service is the Comment filer's responsibility. Petitioners will be instructed to select the option to have comments e-mailed. The court will need to decide if this is an acceptable form of service.
8.	<i>IIIA – Provisions to preserve content and format:</i> Are the document format requirements documented and published? List accepted formats.	YES	Website controls the fundamental format of comments. Users may make text changes for emphasis, but no bold, italic, underline etc. is available. Users may also file petitions and comments as documents, or provide supporting documentation in attachment files. These are restricted to PDF.
9.	Is there a documented and published process for handling submissions that are not in the approved format?	YES	Website describes the process. Paper comments are still allowed and will be used as the fallback method. The system restricts the filing of documents based on file type (based on file extension).
10.	<i>IIID – Graphics and multimedia</i> Do you have a published policy about whether you accept graphics and multimedia files?	YES	The website instructions explain the types of content allowed. The Code of Judicial Administration restricts the format type to PDF (XML to be permitted in the future). However, a PDF document can contain graphics and others forms of multimedia.
11.	Are graphics and multimedia files accepted? Note what formats are allowed.	NO	Graphics and multimedia files are not allowed – only PDF files are permitted. However, these files can contain graphics.
12.	<i>E. Email</i> Does email play a role in your efilg system? Explain.	YES	E-mail is used to deliver a receipt of the successful posting of a rule as well as for notification of changes in areas subscribed to.
13.	<i>IIIF – Fill-in forms</i> Are there fill-in forms in your efilg system? List them.	YES	They are web forms only and orient the user to the item being commented upon and the comments being made – like a conversation thread in a chat room. Fields are 'Category' and 'Body'.
14.	<i>IVA Authentication of sender</i> Does your efilg system authenticate the submitter of documents or data? Please explain.	YES	Partially – the site requires registration and marks submittals with the identity of the registrant. Registrants must login using a username and password. Upon initial registration an e-mail address is required. A verification code is sent to the registrant at the indicated e-mail address. This verification code must be used the first time the registrant logs in.
15.	<i>IVBI – Document Authentication</i> Does your efilg system detect transmission or other document alteration? How?	YES	Secure encrypted connections will be considered to transport documents to the court.

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16.	<i>IVB2a – Document Maintenance</i> Do you have written procedures for assuring document integrity? Attach (security related documents will not be made public).		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 affect. Document storage and the DotNetNuke databases will be protected within the AJIN network. See security schematic provided.
18.	<i>IVB2b Virus Checking</i> Do all document and efileing 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 on the Website to be acted on by the site moderator. 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.
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?		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?	YES	Periodically, petitions may be archived to write only CD-ROM or DVD. This media will need to be periodically refreshed. Since there are only about 40 Rules Petitions filed annually, many years can be archived on a single disk.
25.	Are the archiving procedures documented including appropriate logging and periodic media refreshing?	YES	Rules cases are currently archived by maintaining the rules case file in the clerk's file room. Rules cases are not sent to Library and Archives. Electronic archival procedures will still need to be determined, but will likely involve CD-ROM or DVD storage. Interim procedures may render the petition to paper for archival.
26.	Does your operations plan contain provisions for the destruction of records in accordance with the approved retention schedule?	YES	Rules cases are a permanent record of the court. The retention schedule for rules cases is established in Administrative Order 2001-45. The petition must be maintained indefinitely, however, the comments do not.

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27.	<i>IVC Confidential documents</i> Are confidential or sealed documents accepted? How is security assured?	NO	The Code of Judicial Admin, 1-506 E.4 prohibits e-filing of confidential or sealed documents. Petitions will never be confidential. On rare occasion, confidentiality of a comment may be requested. Confidential comments will be required to be filed via paper.
28.	<i>VA Internet filing and costs</i> Is the e-filing system available via the Internet?	YES	Ability to file petitions and comments will be available from the Internet.
29.	Does your solution require any kind of licensed software to be used by external users? List.	YES	Only a standard browser. User is expected to have the ability to either produce documents in Adobe PDF format, or convert documents to PDF format. The back end is DotNetNuke open source web development and content management
30.	Are the minimum hardware and software requirements for external e-filing users published? Summarize them here.	YES	MS Internet Explorer and Netscape Browser configurations
31.	<i>VB Communications protocols</i> Are the protocols industry-standard and non-proprietary? List.	YES	Protocols are industry standard. TCP/IP, HTTP, HTTPS.
32.	<i>VC Public Access</i> Is remote access provided? To whom? (Court personnel? Other courts? Attorneys? Litigants? Public?)	YES	Remote access, via the Internet is available to all.
33.	Is public access to electronic documents provided? Explain the process allowing public access to electronic documents with emphasis on accessibility and security?	YES	Rules petitions are available for public review. Comments may only be accessible within the rules comment filing period. This may include comment text and comment filing documents.
34.	<i>VIA Acknowledgement of receipt</i> Is an acknowledgement of receipt provided to the filer?	YES	Via e-mail
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.	N/A	No connection to the case management system.
36.	Are the data validation and edits for e-filing data elements consistent with those for the CMS?	N/A	No case management data recorded.
37.	<i>VIB2 Docketing</i> Does the e-filing processing automatically docket to the CMS?	NO	No automatic connection to case management system. Petition filing will be docketed into the CMS. Currently comment filings are docketed. This procedure will be reviewed to determine if comments entered on the Web site will continue to be docketed.

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38.	<i>VIB3 Indexing</i> Does the e filing processing automatically index the document? List indexing elements.	YES	No automatic connection to the document management system. The petition will be registered into the EDMS. Indexing values include: case number, date, filer, document type, key words, title, abstract, etc.
39.	<i>VIC Document Access</i> Do the e filing system procedures comply with ACJA 1-504 provisions for accessibility and migration?	YES	Comment periods are discrete and short in duration. Once revisions are published, comments may be archived.
40.	<i>VID E filing Plan</i> Is your e filing plan attached?		Currently being developed by a task force.
41.	Is the hardware and software requirement for users documented?	YES	PC with Browser and Internet connection
42.	Do you have an electronic document management system in place? Provide product(s) name.	N/A	Comments are stored on server as part of a conversation thread. Documents submitted will be registered into the Appellation EDMS (in production usage for over seven years).
43.	Is the acquisition and installation plan developed?	YES	Software has been acquired and installed. Demonstration site developed.
44.	Is the acquisition and installation plan executed?	YES	
45.	Is the testing plan executed?	YES	Several users are actively participating in review and testing.
46.	Is the training plan for both internal and external users developed? Attach.		Being developed based on business processes being decided.
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 e filing developed? Attach.		Minimal
49.	Are the e filing staffing and support resources in place? How many FTE's are assigned?	YES	0 FTE's assigned. Support will be absorbed into the existing support organization. This support model will be revisited after an operational history has been collected.
50.	<i>VIE Published procedures</i> Are the procedures for electronic filing (including procedures, acknowledgement practices and support) published? Please provide location.		Process will be described on the website for users.
51.	Are any documents besides confidential documents excluded from the e filing process? Explain.	YES	Any documents containing inappropriate material may be excluded at the moderator or court's discretion.
52.	Does your e filing plan include a phasing in of any excluded documents?	NO	Excluded documents will not be later permitted.
53.	Can documents be filed at any time? Note the times the system is available for filing.	YES	Comments may be made from the opening of the conversation thread until the comment period closes. Filing a new Rule Change Petitions will also only be available during a prescribed filing season each year (which currently ends November 1). The site will be available 24 hours a day, 7 days a week.

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54.	Can efilng assistance be obtained at any time? Note the times that support resources are available for assistance.	NO	Instructions will be available at all times on the website. Human assistance will only be available during normal Support Center hours. Normal questions regarding content and format of comments and rule change petitions will be handled by the court during normal work 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 rule change petitions or comments.
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: 138281.
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.	YES	Source code for DotNetNuke is available freely. AOC can purchase the source for the Discussion module but has chosen not to for this application at this time.
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	No contract -- open source software. The open source community is continuing to develop enhancements and make those freely available on the open market. Additional modules are available at marginal costs from vendors. Source code is available at marginal cost.
59.	Have you developed success measures for the pilot? List the success criteria.	YES	Percentage of rules comments made electronically. Breadth of representation of public on electronic comments.
60.	Is there a projected end date for the pilot? What is it?	NO	Not currently.
61.	Did the project come in on or below budget? Note the budget requirement to offer efilng with this system/approach by category of personnel and ERE, professional services, travel, equipment and software and other operating.	N/A	No. Project has not yet begun. This document is being prepared for approval to begin the project. There is no formal budget at this time.
62.	Is the operational budget over the next three to five years estimated? Please attach.	NO	No. Project has not yet begun. This document is being prepared for approval to begin the project.