



# ARIZONA SUPREME COURT

Administrative Office of the Courts  
1501 West Washington, Suite 105  
Phoenix, Arizona 85007

Statement of Work (SOW) 13.03

Statewide Arizona Courts Electronic Filing System

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**SECTION 1**  
**INTRODUCTION AND OVERVIEW**

**1.1 INTRODUCTION**

The Arizona Supreme Court, Administrative Office of the Courts (hereinafter referred to as the Court) seeks to acquire an electronic filing solution for the State of Arizona that meets the requirements of the accompanying Statement of Work (SOW) - 13.03 for a firm-fixed price. The proposed solution must be capable of supporting all case types for both initial and subsequent case submissions in all Arizona City, County and State courts. **To ensure that the courts can continue to provide a quality and cost-effective service to filers, the Court plans to acquire an electronic filing solution through one of two Business Models, each of which consists of two options. The Court will consider the Business Model and associated Option that is in the best interest of the Court.**

Offerors must provide a proposal for at least one Option per Business Model as described below. For each Business Model, the Court is seeking a solution it would either license on a perpetual basis (**Options 1 and 3**) or purchase outright (**Options 2 and 4**).

**Business Model 1:** The first model is a complete statewide electronic filing system consisting of the Filing Review Major Design Element (FRMDE), Filing Assembly Major Design Element (FAMDE), and Legal Service Major Design Element (LSMDE) detailed in the SOW. For options 1 and 2 the system must be fully implemented to meet the Court Jurisdictions and Case Types described in Section 3.1.2 no later than **5/01/2015 for Go Live on 6/01/2015**.

**Option 1:** A full-featured, self-contained electronic filing system, licensed for use throughout Arizona. The electronic filing system vendor will enhance and maintain its product on an ongoing basis. This option provides an electronic filing system, which at a minimum includes:

1. Filing Review Major Design Element (FRMDE) consists of:
  - a. Clerk Review
  - b. Judge Review
  - c. Court Policy
  - d. Electronic Filing Manager (EFM)
  - e. Common Electronic Payment Service
  - f. Common Registration Service
  - g. Common Legal Service Support (see Legal Service Major Design Element)
  - h. Capability to support multiple FRMDE systems
  - i. Capability to support multiple system-to-system FAMDE-to-FRMDE transactions
  - j. Capability to support multiple Court Record Major Design Element (CRMDE) systems
2. Filing Assembly Major Design Element (FAMDE) enhanced per Arizona business and technical requirements

3. Legal Service Major Design Element (LSMDE)
4. Court ownership of any transactional interface specifications/formats utilized beyond the ECF standard
5. Vendor maintenance and support
6. Vendor configuration/development services and support
7. Vendor places source code in escrow, including every release

**Option 2:** A full-featured self-contained electronic filing system, as described in Option 1, owned by the Court.<sup>1</sup> The electronic filing system vendor may, at the discretion of the Court, continue to enhance and maintain its product.

**Business Model 2:** The second model is an electronic filing system designed to accommodate multiple FAMDE/LSMDE allowing third-party vendors the ability to connect their proprietary systems for use by their customers. This model would require the vendor to maintain a standard FAMDE/LSMDE for development, testing, and certification purposes. For options 3 and 4, the Offeror's electronic filing solution must be implementation ready by **6/01/2014** to allow sufficient time for the multi-vendor FAMDE/LSMDE solutions to be tested and certified no later than **5/01/2015 for Go Live on 6/01/2015**. A subsequent multi-vendor FAMDE/LSMDE certification process will be developed by the Court, in conjunction with the selected vendor, following the contract award of RFP 13-03.

**Option 3:** A full-featured FRMDE, licensed for use throughout Arizona. The vendor will enhance and maintain its product on an ongoing basis. The solution's primary role is to perform the duties of the FRMDE and support multiple third-party FAMDE/LSMDE providers (e.g. third-party vendors, law firms, government agencies). These third-party service providers will directly support submitters of court case data and documents. This option provides the court-side portion of the electronic filing system under a perpetual enterprise software license, which at a minimum includes:

1. Filing Review Major Design Element (FRMDE) consists of:
  - a. Clerk Review
  - b. Judge Review
  - c. Court Policy
  - d. Electronic Filing Manager (EFM)
  - e. Common Electronic Payment Service
  - f. Common Registration Service
  - g. Common Legal Service Support (see Legal Service Major Design Element)
  - h. Capability to support multiple FRMDE systems
  - i. Capability to support multiple system-to-system FAMDE-to-FRMDE transactions
  - j. Capability to support multiple Court Record Major Design Element (CRMDE) systems

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<sup>1</sup> The phrase "owned by the court" means a perpetual software license giving the Court the rights to modify and maintain the Offeror's electronic filing solution source code for all Arizona Courts.

2. Vendor FAMDE and LSMDE, which are:
  - a. Enhanced per Arizona business and technical requirements
  - b. Used in FRMDE development, testing, integration, and implementation, and third-party FAMDE/LSMDE certification process activities
3. This is a multi-FAMDE option with the vendor establishing and publishing the required specifications for all qualified third-party FAMDE vendors
4. Court ownership of any transactional interface specifications/formats utilized beyond the ECF standard
5. Vendor maintenance and support
6. Vendor configuration/development services and support
7. Vendor places source code in escrow, including every release

**Option 4:** A full-featured FRMDE, as described in Option 3, owned by the Court.<sup>2</sup> The electronic filing system vendor may, at the discretion of the Court, continue to enhance and maintain its product.

The purpose of the statewide court electronic filing system is to provide attorneys, self-represented litigants, court staff, and other case participants the ability to efficiently and cost-effectively transmit all case information, for all case types and related documents, to all Arizona courts in a standard and supportable way. The system must be capable of supporting individual and high-volume case file submissions. The system must also enable court staff (e.g. clerks and judges) to review, confer, and process all case file submissions received.

The electronic filing system must conform to non-vendor-proprietary national XML standards to ensure that the Courts are able to freely operate the system and not be dependent on any one vendor. Additionally, the electronic filing system must fully operate within the Court's technical environment, be maintained by Court staff, and require little to no vendor intervention when operating the system. This includes, but is not limited to: addition or modification of new case types, document types, and fees.

For an overview of the system environment, refer to the logical design diagrams that follow.

### 1.1.1 Arizona Electronic Filing System Logical Design

The following diagram illustrates the logical message flows with the Court's supported technical infrastructure. The message flows are consistent with the OASIS LegalXML ECF standard and the infrastructure highlights a three-tier system and network architecture.

The principle elements depicted in this logical representation of the replacement Arizona electronic filing system include:

1. The Court has direct access to the Electronic Payment Service Provider for access to reports (e.g. reconciliation) and to assist with customer support issues;
2. All of vendor's electronic filing system software is installed and operated within the Court infrastructure;

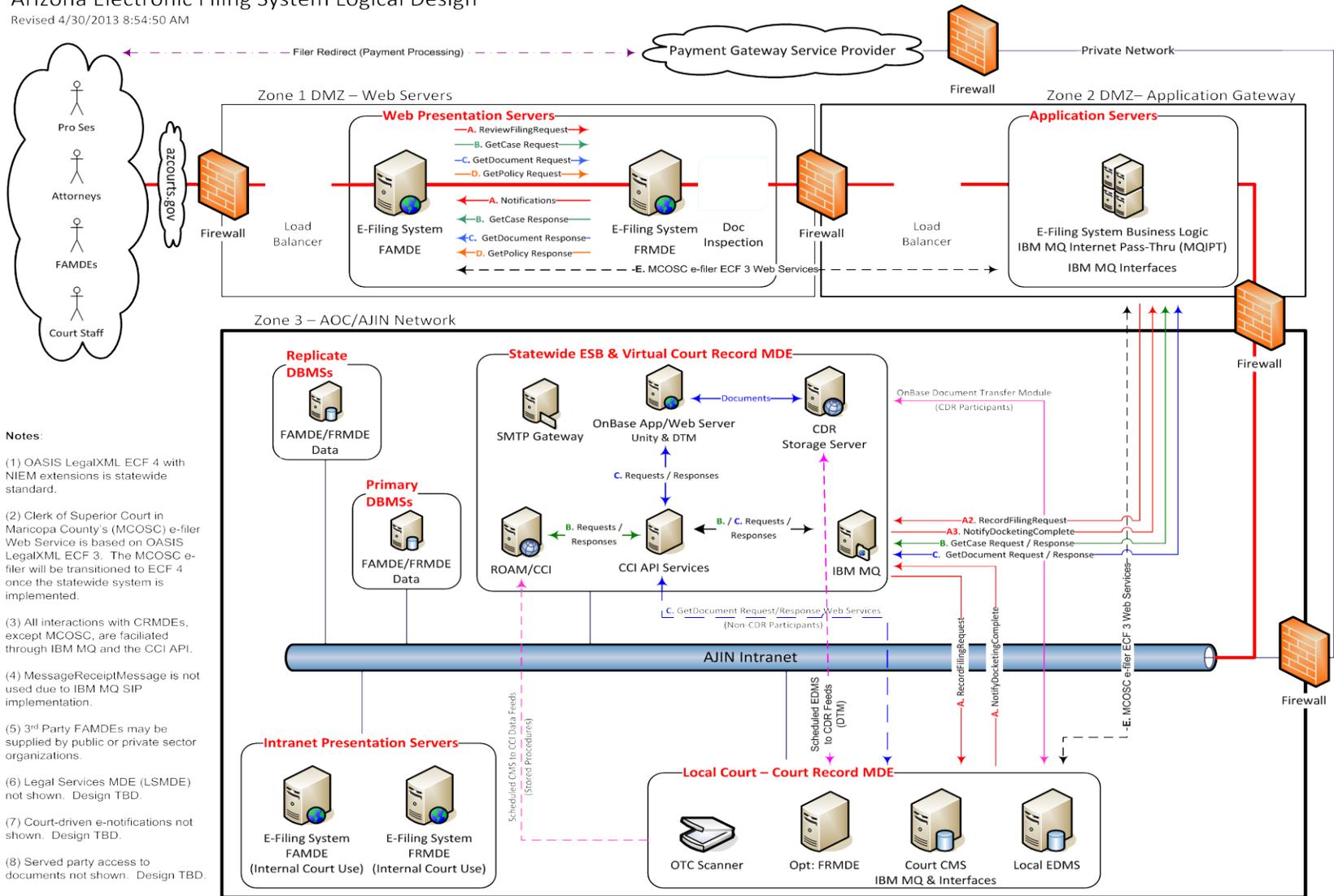
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<sup>2</sup> The phrase "owned by the court" means a perpetual software license giving the Court the rights to modify and maintain the Offeror's electronic filing solution source code for all Arizona Courts.

3. Non vendor proprietary inter-Major Design Element (MDE) message exchanges based on the OASIS LegalXML ECF standard;
4. Non vendor proprietary access to the Arizona electronic filing system by third-party Filing Assembly Major Design Element (FAMDE) providers based on the OASIS LegalXML ECF standard (multi-FAMDE support model);
5. A minimum three-tier architecture, i.e., presentation, business logic, and database support operate in separate Court network zones;
6. Concurrent support for the OASIS LegalXML ECF version 3 and 4 standards;
7. Concurrent support for multiple Filing Review Major Design Element (FRMDE) systems supplied by the electronic filing system vendor and local courts;
8. Concurrent support for multiple Court Record Major Design Elements (CRMDE);
9. FAMDE and FRMDE integration with the Court's Central Case Index (CCI) and Central Document Repository (CDR) provides real-time access to case number, case participant, and other case related information including documents; and
10. A single electronic filing system interface, the Court's IBM MQ system, which facilitates all CRMDE communications.

# Arizona Electronic Filing System Logical Design

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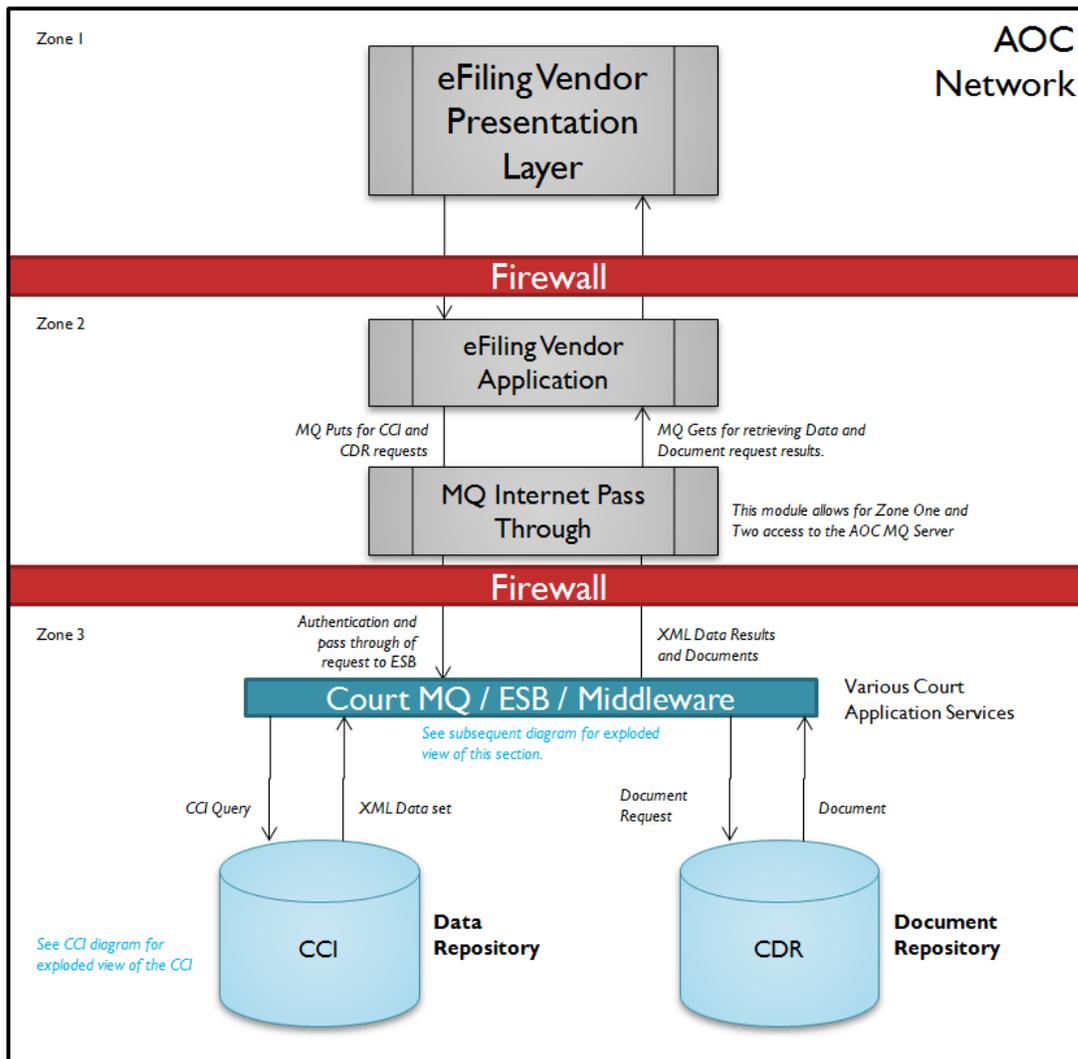


## Notes:

- (1) OASIS LegalXML ECF 4 with NIEM extensions is statewide standard.
- (2) Clerk of Superior Court in Maricopa County's (MCOSC) e-filer Web Service is based on OASIS LegalXML ECF 3. The MCOSC e-filer will be transitioned to ECF 4 once the statewide system is implemented.
- (3) All interactions with CRMDEs, except MCOSC, are facilitated through IBM MQ and the CCI API.
- (4) MessageReceiptMessage is not used due to IBM MQ SIP implementation.
- (5) 3<sup>rd</sup> Party FAMDEs may be supplied by public or private sector organizations.
- (6) Legal Services MDE (LSMDE) not shown. Design TBD.
- (7) Court-driven e-notifications not shown. Design TBD.
- (8) Served party access to documents not shown. Design TBD.

### 1.1.2 Technical Architecture

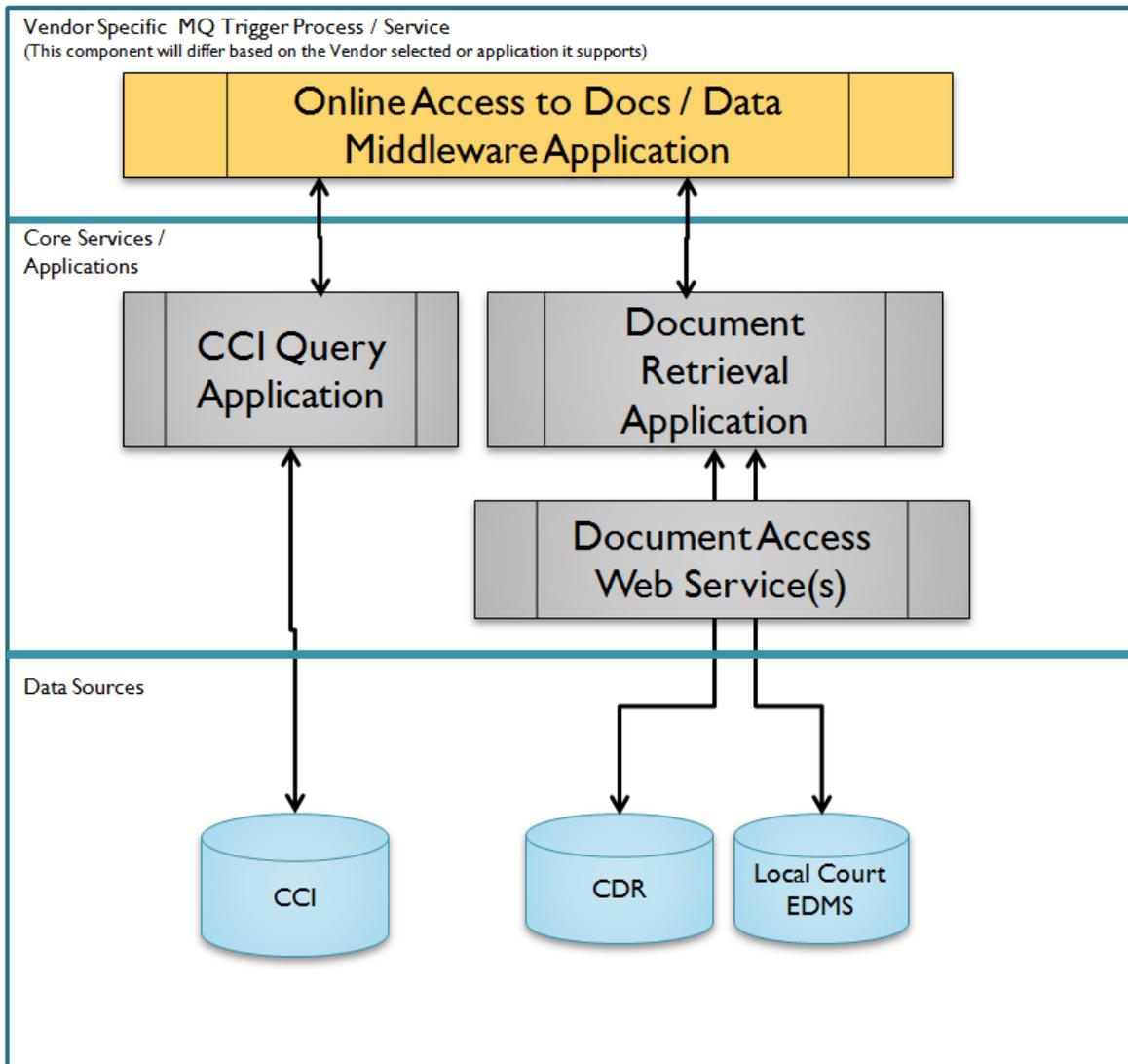
The following diagram shows how a vendor application accesses the Central Case Index (CCI) and Central Document Repository (CDR) for electronic filing purposes. All CCI and CDR requests are made via a CCI Application and IBM MQ. The vendor application puts a message on a queue using the IBM MQ Internet Pass Through. This message is then picked up by an IBM MQ trigger process residing on the Court's Enterprise Service Bus (ESB) and processed. The resulting XML data or document is returned to the vendor application through IBM MQ where the vendor would retrieve and process the information. This diagram depicts a vendor application that is hosted inside the Court network infrastructure.



The following diagram shows more detail about how the Court middleware applications interact with the CCI and CDR. The orange middleware application located at the top of the diagram is an IBM MQ “Trigger Process” that consumes and processes messages located on an IBM MQ

queue. The IBM MQ trigger process application contains the logic geared toward a particular application, in this example electronic filing. This application then consumes other “re-usable” services, as needed, which provide common access to the CCI and CDR for many applications. The orange middleware application is responsible for taking the results of the various CCI and CDR requests it makes and packages that information up appropriately for the specific vendor application. Essentially this is a Service Oriented Architecture (SOA).

### Court ESB / Middleware



#### 1.1.3 Court-Developed Electronic Filing Systems

The Court developed three separate electronic filing systems, two of which continue to operate in production environments today. Two of the electronic filing systems belong to the Appellate courts ([1] Arizona Supreme Court and Court of Appeals Division 1, and [2] Court of Appeals

Division 2) and one belongs to the Clerk of the Superior Court in Maricopa County. One of the Appellate court electronic filing systems is written in Cold Fusion (Court of Appeals Division 2). The other two electronic filing systems were developed in .NET, one in Microsoft Visual Basic and the other in Microsoft C#. Both of these systems leveraged the OASIS LegalXML ECF 3 specifications and support the Court Information System and Technology standards.

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## **SECTION 2**

### **DEFINITIONS**

#### **2.1 DEFINITIONS**

1. **Alpha Release** – Interim product release(s) which can be tested in various ways to ensure performance and other functional requirements (e.g. integration). Alpha released software is deployed and tested in a development environment.
2. **AOC** – Administrative Office of the Courts.
3. **Application Fees** – An existing fee assessed to support the enhanced services offered by the Court’s current electronic filing system. This could be a flat fee or a percentage based fee.
4. **Attorney** – A person licensed to practice law in Arizona.
5. **Authorize & Capture** – The process of authorizing the availability of funds for a transaction but delay, if desired, the capturing of funds until a later time. Authorize & Capture enable the modification of original authorization amounts due to transaction changes occurring after the initial transaction is submitted.
6. **Beta Release** – Production release candidate based on Statement of Work. User Acceptance Testing is typically performed with this product release in a test environment.
7. **Case** – A matter defined by statute, common law, or the rules of the court that requests consideration for one or more issues or charges, and is placed before the court in anticipation of a decision, ruling, or verdict.
8. **Case Category** – The second of three levels of case classification (optional). This level further refines the General Case Category classification.
9. **Case Consolidation** – A Case grouping with a designated lead case and associated member cases.
10. **Case File Submission** – The collection of lead/main and, when applicable, connected documents submitted to initiate or supplement a case.
11. **Case Side** – One or more litigant groups (i.e., sides in a case) declared in and associated with the same case.
12. **Case Subcategory** – The lowest of three levels of case classification. This level further refines the Case Category classification. Use depends on business requirement.
13. **Central Case Index (CCI)** – Court-provided system that serves as an aggregation point for CRMDE-supplied case data, including document indexes.
14. **Central Case Index Application (CCI-Application)** – Court standard application interface to CCI, CDR, and local court-supplied Web Services.

- 15. Central Document Repository (CDR)** – Court-provided system that serves as an aggregation point for CRMDE-supplied documents. Documents are stored at the Court if they are a part of the official court record.
- 16. Configurable** – a) System is expected to enable Court and local court administrators to define values and rules governing the operation of the system with little or no vendor intervention. b) System is expected to permit changes without incurring downtime due to source code modifications or resource-intensive User Acceptance Testing.
- 17. Connected Document** – A document(s) submitted as part of a Case File Submission that complements lead/main documents within the same Case File Submission. . (See also “Court Case Classification” definition)
- 18. Court** – Term that represents the Arizona Judiciary.
- 19. Court Case Classification** – The combined values of General Case Category (e.g. Civil), Case Category (e.g. Contracts), and Case Subcategory (e.g. Accounts) that are valid for a specified local court. The combined values are used to determine: a) which lead and connected documents are associated with a given case file submission; and b) fees associated with a given case file submission.
- 20. Court Record Major Design Element (CRMDE)** – Enables a court to record electronic documents and docket entries in its case management and document management systems and returns the results to the Filing Review MDE. The CRMDE also enables filers to obtain: service information for all parties in a case; information about cases maintained in the court’s docket; register of actions and calendars information; and documents maintained in the court’s electronic records. Access to CRMDE information will be facilitated by the Court’s Central Case Index (CCI) Application. Based on the OASIS LegalXML ECF Specifications.
- 21. Credit Memo** – This is an Arizona-specific document, included with case file submission information submitted to the Clerk of the Superior Court in Maricopa County, which records payments that have been made on non-answer subsequent filings. A similar document, "Notice of Deposit" is used on cases submitted for appeal in Maricopa Superior Court.
- 22. CRMDE Ingestion** – The automated processes invoked by the CRMDE upon receipt of Record Filing Request (RFR) messages. Typically ingestion will result in documents being registered in the local court’s electronic document management system, docketing into the local court’s Case Management System, and the creation and return of Notify Docketing Complete (NDC) messages per RFR submitted. Other steps may be taken during the CRMDE ingestion process depending on case types and other applicable criteria.
- 23. Document** - A physical or electronic medium used for communicating information. Also referred to as document form.
- 24. Document Rendition** – A specific format of a document (e.g. paper, PDF, DOC, etc). Any given document exists in at least one rendition (format), but may exist in many renditions (formats).
- 25. Document Stamp** – A designation applied to a document that describes the manner in which the document came into existence (e.g. Filed, Received, Issued). There are specific stamp content requirements vary by local court, document type, or type of action. The physical or meta location of the stamp may vary. In general, stamp contents include: the action take by clerks (e.g. Filed, Received, Issued); submission date/time; local court

name; case number; name of the local court clerk; and, if applicable, a profile silhouette of President Abraham Lincoln's face.

26. **Document Type** – A classification of a document into a business-recognizable format or purpose, e.g. Proposed Order, Exhibit, Petition for Review.
27. **Document File Type** – A classification of the internal structures or formats that specify the arrangement of text, graphics, audio, video, fonts, and other features of a document, e.g. DOCX, PDF, ODT.
28. **Easy-to-Use** – The electronic filing system is expected to provide an intuitive user interface requiring little (less than one day) to no submitter/filer or staff training.
29. **Electronic Filing System (aka System)** – Electronic filing systems generally provide mechanisms for: 1) submitters/filers to assemble, pay for, and transmit case file information to local courts, receive notifications and other official case related information from local courts, and send notifications to other case participants; 2) clerks to review case file submissions (e.g. accept, reject/mark deficient, receive); 3) notifications to be sent to submitters/filers and other case participants about individual case file submissions or about cases in general; and 4) clerk-processed case file submissions to be sent to local court case management systems (CRMDE). Electronic filing systems interact with submitter/filer personal computers, online payment processing service providers, and local court technical infrastructures. Arizona's electronic filing system implementation follows the OASIS LegalXML Electronic Court Filing (ECF) version 3 and 4 specifications, which are comprised of the Filing Assembly, Filing Review, Court Record, and Legal Services Major Design Elements.
30. **Filer-Assisted Methods** – Electronic filing system functionality including, but are not limited to, questionnaires, submitter/filer interviews, document forms generation, etc.
31. **Filing Assembly Major Design Element (FAMDE)** – Enables a filer to create a filing message for submission to a court, and for service on other parties in the case, returning a response from the court to the filer. Based on the OASIS LegalXML ECF Specifications.
32. **Filing Dates & Times** – The electronic filing system is expected to retain and use the original case file submission dates and times on all documents submitted to local courts. This approach also applies to documents that have been marked deficient by clerks of court. (See “No-Reject” definition).
33. **Filing Fees** – Statutory and other local court fees assessed on select case file submissions. Methods for calculating filing fees can vary by local court. (See also “Court Case Classification” definition)
34. **Filing Review Major Design Element (FRMDE)** – Enables a court to receive, review, and edit, as required, a submitter/filer case file submission and prepare it for posting into CRMDEs. The FRMDE also enables submitters/filers to obtain court-specific policies regarding electronic filing and to check on the status of their case file submissions. Based on the OASIS LegalXML ECF Specifications.
35. **Full Online** – Refers to the electronic filing system's (e.g. FAMDE, FRMDE, LSMDE) ability to seamlessly integrate with the courts' various FRMDE and CRMDE environments, largely via the CCI and CDR.
36. **General Availability Release** – Production-ready product based on State of Work. User acceptance of the Production-ready product will first occur in the test environment and may require an additional test cycle after migration to a Production environment.
37. **General Case Category** – The highest level of the Court Case Classification.

- 38. Issuance Document** – General term used to refer to documents which are issued by the court (clerk’s office or judge) and returned to submitters/filers so that the document can be served upon a party personally. Examples of issuance documents include: Summonses, Writs, Subpoenas, Warrants, and Notices of Provisional Remedy. Note: Issuance documents receive an issuance stamp which is separate and distinct from a file stamp. Issuance stamps vary by local court.
- 39. Judge/Judicial Officer** – An active justice, judge, hearing officer, referee, commissioner, court-appointed arbitrator, or other person exercising judiciary powers or serving in the capacity thereof.
- 40. Lead Document** – Generally, a document that is included in a local court’s register of actions (docketed, indexed). There can be one or more lead documents included in a case file submission. (See also “Court Case Classification” definition)
- 41. Legal Service Major Design Element (LSMDE)** – Enables a party to receive service electronically from other parties or their representatives (e.g. attorneys) in the case. Note that service TO other parties in the case is performed by the Filing Assembly MDE. Based on the OASIS LegalXML ECF Specifications.
- 42. Litigant Group** – A collection of one or more sets of case parties that have the same legal representation (e.g. one or more attorneys or law firms) on the same side of a case.
- 43. Local Court** – Within the context of this document, any Arizona state court that receives and processes submitter/filer case file submissions. Local courts also assess and reconcile filing fees associated with case file submissions.
- 44. Lower Court Cases** – A [child] case whose lineage originated with a predecessor [parent] case.
- 45. Main Document** – The first lead document included in a case file submission. There is only one main document per case file submission. (See also “Court Case Classification” definition)
- 46. Multi-Episode Clerk Review** – Can only occur when a case file submission contains multiple lead documents and when the clerk review result for one lead document is communicated to the CRMDE independent of the results of the other lead documents. The handling of individual lead documents may occur within seconds/hours/days from one another. Each clerk review episode results in the transmission of separate Record Docketing Messages sent to the CRMDE.
- 47. No-Reject** – Court directive that calls for local court clerks to receive and persist all submitter/filer case submission information within the CRMDE. Local courts must apply best efforts to maintain and make accessible case submission information even if flawed or otherwise unusable for judicial review purposes. Clerks mark such submissions as “Deficient.” Partial acceptance of flawed/unusable case submissions is permitted, particularly if multiple lead/main documents are accepted by the local court. Payment refunds and other related management processes apply and are requirements of the Electronic Payment Service. Deficient documents are generally not considered part of official court case records, but they must be [electronically] persisted by local courts in the event of future judicial matters associated with them.
- 48. OASIS LegalXML Electronic Court Filing (ECF) Technical Committee** – Organization responsible for developing ECF specifications for the use of XML to create and exchange case file information and documents between case participants (e.g. attorneys, attorney-represented litigants, self-represented litigants, local courts, etc.).

- 49. Organization** – A legally recognized entity such as a business, foundation, political group, etc.
- 50. Participant** – A person or organization that is involved in a case. Participants include Judicial Officers, Attorneys, Staff Attorneys, Court Reporters, Transcriptionists, and Parties (Litigants).
- 51. Party** – A person, organization, organization member, organization position, property, estate, or class of individuals engaged in a case and who assume a party role in a case (e.g. appellee, petitioner, respondent, defendant, plaintiff), and who are viewed by the local court as having a unique identity in the case. Parties are usually named in a case filing but may be admitted by others means (e.g. Petitions to Intervene).
- 52. Payment Card Industry Data Security Standard (PCI)** – a set of requirements designed to ensure that **ALL** companies that process, store, or transmit credit card information maintain a secure environment. Essentially any merchant that has a Merchant ID (MID).
- 53. Payment Processing Services** – Support functionality that complements the electronic filing system. Payment Processing Services may be physically installed alongside the electronic filing system or made accessible via network means as a service to the electronic filing system.
- 54. Pro Hac Vice** – Refers to an attorney from outside the jurisdiction who applies for and is granted permission to file in Arizona through a coordinated effort with a local Arizona attorney.
- 55. Public-Facing Court Applications** – Any Court-sponsored application that provides a service to the general public. Examples include Public Access to Court Documents, Fines/Fees and Restitution, and Electronic Filing.
- 56. Signatures** – A digital facsimile or unique identifier associating the registered submitter/filer to case file submissions processed through the electronic filing system.
- 57. Smart Forms** – Specially created court documents that can guide submitters/filers through the process of completing those documents and submitting them to the court with little to no third-party assistance
- 58. Submitter/Filer** – These individuals use the electronic filing system to create, pay for, submit, and monitor the statuses of case file submissions. Submitters are those individuals who will submit case file information on behalf of filers or local courts. Filers represent the case and case participants. Note: Judges and their judicial assistants submit orders and other case related material via the electronic filing system.
- 59. Submitter/Filer Reference or Tracking Number** – This is an alphanumeric value used by law firms to track their work associated with each client. Associating the submitter/filer reference or tracking number with case file submissions helps them to track the work that has been done and bill their clients.
- 60. System** – Short-hand term used to describe the electronic filing system.
- 61. System-to-System Interface(s)** – Standard methods that enable third-party Filing Assembly Major Design Element (FAMDE) providers to submit and pay for, when applicable, case information (data and documents) transmitted one-at-a-time and in batch/bulk. Third-party FAMDE organizations that interact with the electronic filing system may include, but are not limited to, private law firms, prosecuting attorneys, public defenders, and additional or alternative vendors who supply the submitter/filer User Interface.

- 62. Tokenization** – Also associated with “tokens.” Approach used by electronic payment processing providers to protect credit card information. This approach is associated with PCI Compliance, simplifies repeat business conducted by submitters/filers, and provides flexibility for submitters/filers who require the use of multiple credit cards.
- 63. User** – A generic term intended to encompass the individuals who will use the electronic filing system (e.g. submitters/filers, clerks, system administrators, etc.).

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## **SECTION 3**

### **STATEMENT OF WORK**

#### **3.1 MANDATORY REQUIREMENTS**

Section 3.1.1, 3.1.2, and 3.1.3 represent the mandatory deliverables of the proposed electronic filing solution. The Offeror of RFP 13-03 must meet these requirements to be susceptible for award. The Court reserves the right to modify mandatory requirements if in the best interest of the Court.

**3.1.1 Mandatory Products and Services Requirements:** Vendors who cannot affirm their product’s current ability to meet the Mandatory Products & Services Requirements are requested not to respond to this solicitation request.

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#### **3.1.1.1 100% of the electronic filing system software physically installs and operates at Court**

100% of the electronic filing system software physically installs and operates at the Court, and is maintainable by Court staff, including the installation of product software patches supplied by vendor as part of ongoing product maintenance and support. The product software must be delivered with technical, operational, and system administration documentation covering installation, setup, configuration, and integration.

#### **3.1.1.2 Product software operates on Court Information Technology and Information System product standards<sup>3</sup>**

Product software supports Court Information Technology and Information System product standards for server operating systems (Microsoft Windows 2008 R2), database management systems (Microsoft SQL Server 2012 SP1), messaging systems (IBM MQ v7.0.1), electronic mail (Microsoft Exchange, Microsoft Outlook, and Simple Mail Transfer Protocol gateway), web platform support (Microsoft IIS v7), software development framework (C#, ASP.NET for Web Apps, .NET Framework v4), document management system (Hyland OnBase v11 SP2), and anti-

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<sup>3</sup> Susceptible Offerors are not required to demonstrate interoperability with IBM MQ, Hyland OnBase, or McAfee Virus Scan Enterprise during the onsite product demonstration process; however, Offerors must attest to their ability to support these Court standards in their RFP 13-03 responses.

malware (McAfee Virus Scan Enterprise v8.8) systems. Vendor must provide product software updates within 12 months of the Court updating its commercially available software.

### 3.1.1.3      **Product software, under a maintenance agreement, is kept up to date**

All product software must be kept up-to-date to run with at least the latest two major versions of mainstream industry web browsers, including Microsoft Internet Explorer, Mozilla Firefox, Apple Safari, and Google Chrome.

### 3.1.1.4      **Product software is configurable to transmit Arizona-approved document file types to local courts**

Product software supports the submission of the following Arizona-approved standard document file types: PDF, DOC, DOCX, and ODT. Each court selects the appropriate document file types for their location via configuration options available in the electronic filing system.

### 3.1.1.5      **Product software substantially conforms to OASIS LegalXML Electronic Court Filing version 4 specifications<sup>4,5</sup>**

Product software substantially conforms to OASIS LegalXML Electronic Court Filing (ECF) version 4 specifications and supports a single message exchange standard for all local court and case type implementations. At a minimum, product software conformance is defined to include the following components:

- a. Filing Assembly Major Design Element (FAMDE)
- b. Filing Review Major Design Element (FRMDE), including easy-to-use, fully-integrated, table-driven Court Policy and Electronic Filing Manager (EFM) functionality

### 3.1.1.6      **Product software integrates with a full-service PCI-compliant online payment service**

Product software fully integrates with a full-service, PCI-compliant online payment service that offers:

1. Real-time payment authorizations and captures, e.g. Authorizing credit card payment amounts via the FAMDE and capturing payment transfers via the FRMDE automatically or via manual Clerk Review processes

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<sup>4</sup> The word “conforms” in this context means that the product software supports: 1) Conformance with ECF as defined in [Section 7 of the ECF specification](#); 2) Inter-MDE communications as specified by the OASIS LegalXML ECF standard (e.g. Filing Assembly MDE to Filing Review MDE intercommunications, Filing Review MDE to Court Record MDE intercommunications); and 3) LegalXML message extensions as permitted by the OASIS LegalXML ECF standard using National Information Exchange Model (NIEM) data elements and schemas whenever and wherever practicable. Non vendor-proprietary message exchanges between all MDEs as defined by ECF are expected.

<sup>5</sup> National open industry standards that define how computer systems exchange information must continue to be used to ensure that the Courts are able to freely operate the system and not be dependent on any one vendor. All Extended Markup Language (XML) specifications/standards used, modified, extended, developed, or otherwise documented in association with this engagement are to be freely available to any entity per the applicable terms and conditions of the OASIS, NIEM, and other applicable industry standards organizations, as well as those set forth by the Court as required. The vendor shall not make any copyright or intellectual property rights of ownership claims in this regard.

2. Court and local court accessible reporting capabilities, including payment reconciliation, payment tracking, and auditing support that draws its information from both the electronic filing system and payment system
3. Tokenization (aka reference transaction) functionality for credit card and debit card payment methods
4. Support for the settlement of payment transaction funds in one or both of the following ways: a) Settlement account with automated next-day disbursements directly into local court and Court bank accounts; and b) Settle directly into the Court and local court bank accounts, respectively

#### **3.1.1.7 Product software offers protection from viruses and other malware-infected documents**

Product software must protect local courts by ensuring that documents submitted to them are free from viruses and other malware by the initial implementation go-live date. Ensuring protection can be enabled by either: 1) scanning documents at the time submitters/filers attach them during the filing assembly process; or 2) responding to virus-infected documents detected by Court-supplied anti-virus scanning software. Either approach must be performed prior to permitting the consumption of documents by FRMDEs or CRMDEs. Product software must notify submitters/filers when their submitted documents cannot be processed. If applicable, vendor must identify the make and model of the anti-malware product it intends to implement and/or support.

#### **3.1.1.8 Vendor follows a generally accepted software development process when enhancing and maintaining product software**

Vendor must adhere to a generally accepted software development process, including an emphasis on documenting traceable business and technical requirements. Court approval is required prior to vendor developing enhancements or new functionality associated with the Arizona initiative. Vendor must provide a written description of their software development process and tools, and sample business and technical requirements and product design documentation developed for and approved by vendor's current customers.

#### **3.1.1.9 Vendor has adequate dedicated staffing to achieve implementation schedules**

Vendor must provide dedicated staff to perform project management, formal business and systems analysis, product software development/enhancement/configuration, product software maintenance and support, and product software documentation (e.g. training manuals, system administration, etc.). Vendor must supply resumes for the individual(s) to be assigned to these tasks. No staff shall be removed from or added to the project without the agreement of the Court.

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**3.1.2 Mandatory Court Jurisdiction and Case Type Support (Go live date = 6/1/2015):** The electronic filing system must be capable of supporting the case types and court jurisdictions described in sections 3.1.2 by the go-live date. The Court anticipates that Court and local court

staff will be enabled to add, delete, and modify case types, associated filing fees, documents types, and participant role types for all 3.1.2 court jurisdictions via easy-to-use administrative interfaces.

Mandatory functionality emphasizes efficiencies for attorney-based case file submissions.

Vendors are expected to deliver clerk and judge review functionality that will be used by some, but not all courts. This means that the electronic filing system must integrate with external clerk review systems (Filing Review Major Design Element or FRMDE) and include its own clerk review system (FRMDE) via OASIS standard and Arizona-extended ECF XML transactions. The aforementioned external clerk review systems are operated with the Arizona Judiciary.

**3.1.2.1 Appellate (Supreme Court):** Civil (Petitions for Review for Appeal; Corporation Commission; Habeas Corpus; Industrial Commission; Juvenile; Mental Health; Special Action, Tax, and Unemployment Board Civil case types, including Accelerated Appeals for each; Criminal (Petitions for Review – Appeal, Post Conviction), Post Conviction, Death Penalty, Habeas Corpus, Judicial Conduct, Special Action, State Bar (Conditional Admission, Miscellaneous – Appointment of Special Investigator, Miscellaneous Legal Services Organization, Petition for Review – Admission on Motion, Petition for Review – Bar Applicant – Examination and Character and Fitness, Resignation (in Good Standing), Disciplinary Appeal, Reinstatement, Interim Suspension, and Miscellaneous Other State Bar; Transfer Petition; Water Case Interlocutory Grand Jury; Civil Transfer; Criminal Transfer; Direct Civil Appeal (Elections); Original Compliant; Appointment of Capital Case Attorney; Extraordinary; Civil Certified Question; Special Action Other. *CRMDE integrated initial and subsequent case submissions*

**3.1.2.2 Appellate (Court of Appeals):** Civil, Corporation Commission Appeal, Criminal, Electric Power Appeal, Habeas Corpus, Industrial Commission, Juvenile, Mental Health, Special Action, Tax, Unemployment Board Appeal. *CRMDE integrated initial and subsequent case submissions*

**3.1.2.3 General Jurisdiction (Clerk of the Superior Court in Maricopa County):** General Civil. *FRMDE integrated subsequent general civil submissions only unless the Clerk of the Superior Court in Maricopa County updates its FRMDE (see 3.1.1.5)*

**3.1.2.4 General Jurisdiction (Clerk of the Superior Court in Pima County):** General Civil Statewide. *CRMDE integrated initial and subsequent case general civil submissions*

*Note: Civil case types include, but are not limited to Civil, Transcription of Judgment, and Tax cases, as well as the categories and sub-categories thereof.*

**Additional Mandatory Products and Services requirements (Go live date = 6/1/2015):**

**3.1.2.5 Product software will support Arizona’s implementation of OASIS LegalXML ECF 4 specifications:** Product software supports the Arizona implementation and extension of the OASIS LegalXML ECF version 4 specifications by go-live (e.g. [OASIS LegalXML ECF TC Working Draft of the IBM MQ Service Interaction Profile \(SIP\)](#)), Extension Schema, Court Policy and Code Lists, etc.). All extensions conform to ECF and NIEM rules.

**3.1.2.6 Product software supports the Clerk of Superior Court in Maricopa County’s existing “e-filer” FRMDE, which is based on the OASIS LegalXML ECF 3 specification:**

Product software supports the Clerk of the Superior Court in Maricopa County’s “e-filer” FRMDE web service based on the OASIS LegalXML ECF 3.x standard. At present, the existing “e-filer” web service supports General Civil subsequent case submissions. Depending on the project implementation schedule, the Clerk of the Superior Court in Maricopa County may update their “e-filer” FRMDE web service to support the ECF 4 standard. Adopting the ECF 4 standard includes support for initial and subsequent General Civil case submissions.

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**3.1.3 Additional Court Jurisdictions and Case Types:** The following section represents the additional set of case types to be delivered in all court jurisdictions by the **agreed upon dates**. Implied in this section is that all mandatory case types described in section 3.1.2 will be available for the remaining court jurisdictions. The system must support the following additional case types by court jurisdiction for initial and subsequent case file submissions. Note that each case type must be configurable in terms of availability (on/off) by local court. The system must be **implementation-ready** for each court jurisdiction and case type as described in section 3.1.3. The actual implementation dates for each individual local court will vary depending on each local court’s readiness to accept and process electronic filing case submissions. Vendor pricing for RFP 13-03 should focus on the implementation-readiness of the electronic filing system by case type and court jurisdiction, and not based on the actual implementation schedule for each local court.

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**3.1.3.1 General Jurisdiction (General Civil Statewide Enhancements):** Tax, Garnishments, Transcripts of Judgments, Name Changes, Probate (Guardianships, Conservatorships, Estates), pre- and post-decree Family Law (dissolution, legal separation, child support, paternity, etc.), Protective Orders, Injunctions against Harassment, and Injunctions against Workplace Harassment, Juvenile delinquency, Juvenile dependency, and Mental Health.

**3.1.3.2 Limited Jurisdiction:** Small Claims, Civil, and Eviction Actions with individual submitter/filer support.

**3.1.3.3 Limited Jurisdiction:** Small Claims, Limited Civil, and Eviction Actions with external FAMDE system-to-system support (see Definitions for a description of system-to-system interfaces)

3.1.3.4      **Limited Jurisdiction:** Protective Orders, Injunctions against Harassment, and Injunctions against Workplace Harassment with individual submitter/filer support.

3.1.3.5      **General Jurisdiction:** Criminal with individual submitter/filer support.

3.1.3.6      **General Jurisdiction:** Criminal with external FAMDE system-to-system support. (see Definitions for a description of system-to-system interfaces)

3.1.3.7      **Limited Jurisdiction:** Criminal with individual submitter/filer support.

3.1.3.8      **Limited Jurisdiction:** Criminal with external FAMDE system-to-system support. (see Definitions for a description of system-to-system interfaces)

3.1.3.9      **Appellate (Arizona Supreme Court):** Court Rules Forum with individual submitter/filer support.

## **3.2      GENERAL BUSINESS FUNCTIONALITY**

**3.2.1 Additional System Requirements:** The Court anticipates that the electronic filing system solution will support the following additional system features and functions.

3.2.1.1      System is flexible and configurable by local court. For example, modifications to existing on-screen questionnaires (e.g. explanatory text, questions, branching, hypertext links, etc.) or new on-screen questionnaires (e.g. court-supported case types) are creatable, alterable, and removable by Court staff without vendor involvement (to the extent that electronic filing system interfaces and application logic are not altered). Note: Explanatory text includes, but is not limited, providing access to Frequently Asked Questions (FAQs), the Enterprise License User Agreement (EULA), and special instructions pursuant to Americans with Disabilities Act (ADA) requirements.

3.2.1.2      System minimally supports a three-tier architecture.

3.2.1.3      System is capable of operating at peak performance 24 hours a day, 7 days a week, 365 days a year, less time for scheduled maintenance.

3.2.1.4      System requires a zero-sized footprint on the submitter/filer computing devices.

3.2.1.5      System temporarily caches case file submissions exclusively for the duration of the submission process for filing assembly, clerk review, disaster recovery, and business continuity purposes.

3.2.1.6      System purges cached case file submissions, based on a configurable time period, following the successful completion of the CRMDE ingestion process. Notes:

1. Court is the sole authorized custodian of case file information (e.g. documents, meta data, etc.) submitted, either manually or electronically
2. Court retains and maintains all submitted case files
3. With the exception of Issuance documents, vendor does not retain or distribute copies of case file/document submissions
4. Court determines for the vendor which case file documents may be released, to whom, in which format, under which conditions, and when on a case-by-case or scenario-by-scenario basis
5. Vendor does not provide access to court records, official or unofficial, directly or indirectly, unless expressly authorized by the Court
6. If authorized by the Court, vendor provides litigant/party access only to those case documents to which the litigant/party is associated
7. If authorized by the Court, vendor provides access to documents prescribed by the Court to various other individuals or interested parties

3.2.1.7 System complies with the Arizona Government Information Technology Agency (GITA) Statewide Policy for Website Accessibility (P130)  
([http://www.azgita.gov/policies\\_standards/](http://www.azgita.gov/policies_standards/))

3.2.1.8 System provides an accessibility model in which web content authors, format designers, and software developers within budget units understand their roles in providing persons with disabilities, access to existing and developing State web sites.

3.2.1.9 System is designed for the general public with disabilities who are able to handle general-purpose web content under ordinary operating conditions.

3.2.1.10 System presents and requires registrant acceptance of an Enterprise User License Agreement, co-developed between the vendor and Court, during the registration process.

3.2.1.11 System has the ability to present banner notices to inform submitters/filers, Court, and local courts of system outages (e.g. maintenance, repair, other).

3.2.1.12 System provides Court Support Center contact information to answer submitter/filer and local court questions.

3.2.1.13 System supports data storage capacities commensurate with a statewide electronic filing system, including capacity for works-in-progress as required.

3.2.1.14 System supports data transmission and storage security.

3.2.1.15 System simultaneously supports IBM MQ and local court web services for inter-MDE application communications.

3.2.1.16 System provides full reporting support in all applicable MDEs (e.g. reconciliation, registration, transaction logs, etc.).

3.2.1.17 System provides readily accessible customer service and support administration tools to be used for troubleshooting/repairing, viewing system log files, and auditing case file submissions.

3.2.1.18 System provides administration and support tools for all applicable MDEs.

3.2.1.19 System provides security administration support for all applicable MDEs.

3.2.1.20 System supports initial and subsequent case submissions, which automatically post directly to local court Case Management Systems, i.e., no manual clerk intervention required.

3.2.1.21 System supports third-party forms design and development tools that enable Court staff to create forms that can seamlessly integrate with the electronic filing system.

3.2.1.22 System is capable of generating documents.

3.2.1.23 System is capable of stamping documents under two conditions: 1) Documents the system generates; and 2) Documents that are received from submitters/filers.

3.2.1.24 System is capable of generating and returning Issuance-stamped documents to submitters/filers.

3.2.1.25 System is capable of accepting and applying Issuance stamps to submitter/filer-attached documents.

3.2.1.26 System provides simultaneous support for No-Reject and Reject local court implementations.

3.2.1.27 System is capable of auto-notifying case participants when the Court Central Case Index (CCI) detects and communicates to the electronic filing system changes that have occurred in a case (e.g. Notices of Hearing).

3.2.1.28 System supports publishable system-to-system interface specifications that enable local court and third-party FAMDEs to submit and pay for, when applicable, case information transmitted one-at-a-time and in batch/bulk (e.g. third-party law firm and prosecuting attorney records/case management system interface, vendor's e-filing system and third-party Electronic Filing Service Provider interface). Note: vendor-provided FRMDE supplies FAMDE with unique Filing Identifiers as defined by OASIS LegalXML ECF specifications. (see Definitions for a description of system-to-system interfaces)

3.2.1.29 System includes a submitter/filer registration system that operates independently from or in tandem with other registration systems/functions (e.g. electronic filing system administrators, local court administrators, local court staff) supported within the electronic filing system environment.

3.2.1.30 System includes a submitter/filer registration system capable of distinguishing various access privileges for multiple individuals (by entity role types) serving one or more submitter/filer organizations.

3.2.1.31 System includes a submitter/filer registration service capable of supporting other public-facing court applications.

3.2.1.32 System includes a court staff registration system that operates independently from or in tandem with the submitter/filer registration systems/functions and distinguishes basic court users from Court and local court administrators.

3.2.1.33 System includes Court administrator accounts that enable administrator-level access privileges to all or parts of the electronic filing system.

3.2.1.34 System includes a Court “super-administrator” account that enables access privileges to the entire electronic filing system.

3.2.1.35 System applies Mountain Standard Time (MST) to all electronic filing activities.

3.2.1.36 System presents Mountain Standard Time (MST) to submitters/filers, clerks, and other system users throughout the electronic filing process

3.2.1.37 System provides the capability to modify on-screen and forms text without having to recompile code, perform User Acceptance Testing, and schedule redeployments to Production

3.2.1.38 System enables Court and local court administrators to easily create, modify, and delete enterprise-wide system parameters and local court-supported case types and associated information (e.g. document types, document titles, fees) with no vendor involvement, provided there are no XML specification or message changes required.

3.2.1.39 System is capable of simultaneous supporting OASIS ECF LegalXML versions 3 and 4 message exchanges.

3.2.1.40 System is capable of readily adapting to Court-extensions and modifications to OASIS ECF LegalXML versions 3 and 4 specifications.

3.2.1.41 System supports Secondary Electronic Service consistent with the OASIS LegalXML Electronic Court Filing Legal Services Major Design Element (LSMDE).

3.2.1.42 System generates, maintains, and enables the reporting of all transaction logging data (e.g. type of activity, activity dates/times, and case submission information) for all inter-FAMDE, FRMDE, LSMDE, and CRMDE communications for a configurable period of time.

3.2.1.43 System enables the collection of electronic filing data and statistics for court performance reporting purposes.

3.2.1.44 System displays and enables the execution of hyperlinks to external websites for additional information or authorities. Note: Court has the ability to setup, modify, and remove hyperlinks without vendor intervention or system downtime.

3.2.1.45 System enables the Court and local courts through Court Policy to identify which case types, document types, or other matters require emergency/expeditious handling.

3.2.1.46 System's Filing Assembly Major Design Element (FAMDE) and Filing Review Major Design Element (FRMDE) interact in real-time with multiple Case Management Systems exclusively via the Court Central Case Index and IBM MQ message transport technology. Note: The only exception to this requirement is the initial implementation of the Superior Court in Maricopa County's existing General Civil Subsequent "e-filer" application.

3.2.1.47 System simultaneously supports multiple FRMDE systems (one supplied by the electronic filing system vendor and others by local courts)

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**3.2.2 General Registration Requirements:** The Court anticipates that the electronic filing system solution will support the following filer registration features and functions.

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3.2.2.1 System provides a single user registration service capable of supporting multiple Filing Assembly Major Design Elements (FAMDE) systems.

1. User registration service is accessible to any FAMDE, certified and registered to work in a secure manner with system's FRMDE, to create submitter/filer accounts, enable submitters/filers to change their credentials and profile attributes, and validate existing credentials and profile attributes for entry to the electronic filing system.
2. User registration service manages credentials and profile attributes in a secure manner.
3. User registration service enables electronic service to any registered party that has opted to accept service electronically.
5. Vendor provides a file layout that can be used for importing registrant profile data.

Note: The Court will determine if, when, and under which conditions multiple FAMDEs will be implemented in a production environment.

3.2.2.2 System requires all users along with their respective entity role type attributes to be registered and logged in prior to performing electronic filing tasks.

3.2.2.3 System permits unregistered submitters/filers to visit the electronic filing site and access various help and educational materials prior to registering and logging into the system.

3.2.2.4 System uniquely identifies individual submitters/filers through a single submitter/filer account, which includes the use of a registration system-wide unique electronic mail address.

3.2.2.5 System requires submitters/filers to provide a valid electronic mail address at the time of registration to successfully complete the registration process.

3.2.2.6 System verifies submitter/filer identities at the time of registration by sending them emails containing links that they click to complete the registration process.

3.2.2.7 System enables Court administrators, at their option, to register submitters/filers/organizations and associate them with one or more Court-defined entity role type attributes, e.g. prosecuting attorneys, defense attorneys, private practice attorneys, process servers, self-represented litigants, court reporters and other appointed individuals (Special Masters), government agencies, business organization, law firms, etc.

3.2.2.8 System recognizes that a single submitter/filer may access the electronic filing system in one or more capacities. Examples - A submitter/filer may be: an attorney in one case and a self-represented litigant in another case; a court reporter in one case and a self-represented litigant in another case; a sole practitioner in one case and an attorney affiliated with a law firm in a different case; a judge or judicial assistant submitting an order in a case.

3.2.2.9 System enables Court administrators to define registrant roles/types and system access associated with these roles/types. Note: Role type identifier values are used.

3.2.2.10 System enables individual submitters, filers, and, organizations (via optional configuration) to setup and manage their own registration accounts.

3.2.2.11 System enables Court administrators to approve submitter/filer/organization registration requests as an optional final step in the registration process.

3.2.2.12 System enables Court administrators to disable any submitter/filer/organization account.

3.2.2.13 System presents and requires registrant acceptance of an Enterprise User License Agreement, co-developed between the vendor and Court, during the registration process.

3.2.2.14 System requires all registrants to have a unique username and a strong password.

3.2.2.15 System encrypts stored registrant passwords, which Court administrators cannot decode.

3.2.2.16 System encrypts communications that occur between all users of the electronic filing system and the electronic filing system modules.

3.2.2.17 System enables all users of the electronic filing system to change their respective passwords themselves following the steps described for first-time registrants (e.g. email-based account validations).

3.2.2.18 System provides a configurable submitter/filer password expiration period.

3.2.2.19 System prevents password resets on disabled submitter/filer accounts.

3.2.2.20 System enables attorney registrants to identify themselves as attorneys and requires their bar number or bar association identifier and associated bar association information.

3.2.2.21 System provides real-time interface to Court-authorized external information sources that can validate attorney name, attorney bar number, attorney association, and attorney contact information.

3.2.2.22 System is capable of validating attorney Arizona State Bar credentials to ensure attorney is authorized to practice law in Arizona.

1. Vendor agrees to work with Arizona State Bar to use the requisite interface service (e.g. web service) to validate attorney Bar numbers entered by attorneys within the system.
2. Upon submission of documents to the court, if the attorney Bar card number does not confirm an attorney authorized to practice law in Arizona, an error is generated and returned to the submitter/filer via the FAMDE, if applicable.

3.2.2.23 System allows organization accounts to be distinguished by Court-configurable attributes, e.g. non-Federal government agencies, non-government agencies, businesses.

3.2.2.24 System distinguishes between and provides Court-configurable attributes for special submitter/filer role types and associated information for individuals who support court case processes, e.g. transcriptionists, court reporters, process servers.

3.2.2.25 System provides a way to identify individual submitters/filers as being fee-exempt for a specific case when the individual submitters/filers would otherwise be non-fee-exempt, e.g. special masters, arbitrators, receiver, public fiduciary, court appointed conservator or attorney or mediator, guardian ad litem, etc.

3.2.2.26 System distinguishes between and provides special attributes for special submitter/filer role types for individuals who support filing processes, e.g. attorneys, county attorney/prosecutor, self-represented litigants, judges, transcriptionists, court reporters, process servers, guardian ad litem, etc.

3.2.2.27 System enables individual registrants to be associated with zero, one, or many organizations.

3.2.2.28 System provides account management functions that support aggregating and managing accounts for all members of a single organization, such as a law firm or agency.

3.2.2.29 System prohibits organization accounts from being used to submit case file information to local courts, i.e., submitters/filers are persons and not organizations.

3.2.2.30 System limits organization account functionality to organization account administration purposes only.

3.2.2.31 System provides administrative controls that restrict organizational membership to only those individuals authorized by the organization.

3.2.2.32 System enables registered submitters/filers to delegate other registered submitters/filers to perform case file assembly and submission work on their behalves, e.g. paralegals login and submit case file information, including attorney-of-record profile information, on behalf of the attorneys they serve.

3.2.2.33 System provides the ability to identify fee-exempt organizations, e.g. State of Arizona government agencies, legal services organizations<sup>6</sup>. Notes:

1. Participation in the use of the system is voluntary for all attorneys and litigants until deemed otherwise by the Court.
2. Fee establishment and modifications are subject to Court approval prior to their implementation.

3.2.2.34 System provides the ability to identify non-fee-exempt organizations, e.g. Federal government, private businesses.

3.2.2.35 System enables submitter/filer delegates, when working on behalf of submitters/filers associated with fee-exempt organizations, to be exempt from all Application Fees and local court Filing Fees for all case file submissions.

3.2.2.36 System enables Court administrators, at the Court's discretion, to control the fee-exempt setting for organization accounts.

3.2.2.37 System enables organization members to request organization membership, subject to approval by the organization's administrator.

3.2.2.38 System communicates the fee-exempt status of a submitter/filer in XML messages sent from the FAMDE to the FRMDE and CRMDE.

3.2.2.39 System provides registration identification information for a submitter/filer in XML messages sent from the FAMDE to the FRMDE and CRMDE.

3.2.2.40 System communicates registrant profile data to all applicable Major Design Elements (MDEs) for Application Fee and local court Filing Fee calculation support, and for general case submission assembly support.

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<sup>6</sup> Arizona Government Entities shall not incur filing fees per Arizona Revised Statute Title 12 Section 12-304: Exemption of state, county, city, town or political subdivision of a county from court fees (<http://www.azleg.gov/FormatDocument.asp?inDoc=/ars/12/00304.htm&Title=12&DocType=ARS>); Vendor shall not assess a fee against case files submitted by Government entities

3.2.2.41 System includes a submitter/filer registration service capable of supporting other public-facing court applications.

3.2.2.42 System allows an organization to control which payment instruments are associated with which users within the organization.

3.2.2.43 System provides organization administrators the ability to associate payment methods with their respective organizations.

3.2.2.44 System provides organization administrators the ability to establish which users within their respective organizations may use the available payment methods that have been associated with the organization.

3.2.2.45 System provides support for both United States and International addresses and telephone numbers associated with registered submitters/filers.

3.2.2.46 System enables Court system administrators to set and alter, for example: registrant account profile attributes and values; organization member information; submitter/filer delegate assignments; payment tokens, etc.

3.2.2.47 System enables Court system administrators to control/reset passwords, view reports.

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**3.3 General Major Design Element Requirements:** The following sections contain specific requirements associated with the various OASIS ECF LegalXML versions 3 and 4 Major Design Elements.

### **3.3.1 Filing Assembly Major Design Element (FAMDE)**

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3.3.1.1 System calculates case file submission Application Fees and local court Filing Fees based on Arizona's current fee assessment models, which are: registrant's profile, business rules and criteria (e.g. first appearance), case types and case subtypes, participant role types, and document types. Note: Fee calculation models are subject to change per Court rules, new legislation, etc.

3.3.1.2 System is able to conditionally support both flat pre-defined per-transaction Application Fee amounts and Application Fee amounts based on a percentage of the total cost of case submissions.

3.3.1.3 System provides fee waivers support.

3.3.1.4 System provides fee deferrals support for eligible submitters/filers.

3.3.1.5 System only invokes and transmits payment information to the electronic payment system for fee-eligible case file submission transactions.

3.3.1.6 System identifies and communicates both the submitter/filer and payer information to the FRMDE and CRMDE.

3.3.1.7 System makes credit card and bank account number aliases/nicknames available to authorized submitters/filers as they assemble and submit case file information to local courts.

3.3.1.8 System is capable of generating document forms, such as Issuance documents (e.g. summonses) and local court specific documents such as credit memos.

3.3.1.9 System generates document forms based on local court business requirements, case types, and other case type related criteria.

3.3.1.10 System-generated document forms conform to the Court's forms design requirements.

3.3.1.11 System requires submitters/filers to supply document titles for all documents included in a case file submission. Notes:

1. Document titles are different than document type descriptions, which are values required to describe documents included in case file submissions.
2. Document title character lengths are Court-configurable (maximum length is 255 characters).

3.3.1.12 System supports third-party document forms design and development tools that enable Court staff to create forms that seamlessly integrate with the electronic filing system.

3.3.1.13 System enables submitters/filers to include/attach submitter/filer-provided documents in their case file submissions.

3.3.1.14 System supports third-party forms design and development tools that enable Court staff to create forms that can seamlessly integrate with the electronic filing system.

3.3.1.15 System provides submitters/filers the ability to locate and retrieve a library of static and updateable Court and local court-provided document forms to be included in case file submissions.

3.3.1.16 System enables authorized submitters/filers to save and later retrieve case file submission works-in-process.

3.3.1.17 System provides submitters/filers have access to all local court case records to which they are associated and authorized, as permitted by the local courts. Note: Vendor enables non-case parties to submit case file information to local courts without giving them authorization to access case records, e.g. Process Servers, Court Reporters, Transcriptionists.

3.3.1.18 System provides submitters/filers access to and print capabilities for Issuance documents for service of process purposes.

3.3.1.19 System provides submitters/filers real-time and automated access to electronic filing payment reports via automated system-to-system data exchanges and on-demand downloads. (see Definitions for a description of system-to-system interfaces)

3.3.1.20 System provides submitters/filers on-demand access to electronic filing payment reports in “human-friendly” formats (e.g. Excel, PDF).

3.3.1.21 System provides submitters/filers on-demand access to electronic filing payment reports in “automation-friendly” formats (e.g. CSV, XML, ASCII).

3.3.1.22 System enables the submission of and payments for individual and multiple case filings in a single submitter/filer interaction.

3.3.1.23 System prohibits the transmission of attached documents that contain malicious content (e.g. viruses) or fail to meet the Court’s document file type standards, i.e., PDF, DOC, DOCX, and ODT.

3.3.1.24 System limits submitter/filer document attachments to the following Court-standard document file types, configurable by court: PDF, DOC, DOCX, and ODT.

3.3.1.25 System enables document file types to be controlled at a document type level configurable by local court (e.g. proposed orders are .DOCX document file types, but other lead or connected documents can be PDF, ODT, or DOCX document file types).

3.3.1.26 System provides a configurable means (e.g. via Court Policy, CCI feed, etc.) to restrict document file types permitted for a specified document type in case file submissions (e.g. Proposed Orders, Notices of Hearing).

3.3.1.27 System provides defenses against spam, denial-of-service, and other Internet attacks, such as spoofing and SQL-injections.

3.3.1.28 System allows the maximum file size of lead documents to be configured separately from the maximum size of their associated connected documents.

3.3.1.29 System provides a configurable means to restrict the size of documents by local court and other criteria.

3.3.1.30 System provides a configurable means to set limits on the number of lead documents (e.g. one-to-many) contained in a case file submission. (See also “Court Case Classification” definition)

3.3.1.31 System provides a configurable means to set limits on the number of connected documents (e.g. zero-to-many) associated with each lead document contained in a case file submission. (See also “Court Case Classification” definition)

3.3.1.32 System provides a configurable means to restrict document types permitted or required to be included in a case file submission as main, lead, or connected documents by local court and case type. (See also “Court Case Classification” definition)

3.3.1.33 System enables submitters/filers to attach multiple renditions, as defined by OASIS LegalXML ECF, of the same document.

3.3.1.34 System provides configurable error message and error code support. Note: Court will provide a standard list of codes its system(s) will generate when responding to GetCase and GetDocument calls.

3.3.1.35 System restricts or redirects submitter/filer activity based on error code results that occur during case file submission assembly. Note: Error conditions include the inaccessibility to system resources, e.g. CCI Environment, local court electronic document management systems.

3.3.1.36 System is configurable to auto-notify submitters/filers of all case file submission statuses (e.g. court-received case submissions, clerk-accepted case submissions, etc.).

3.3.1.37 System is configurable to auto-notify individuals identified by submitters/filers about any activity associated with individual case submissions (e.g. court-received case submissions, clerk-accepted case submissions, etc.).

3.3.1.38 System is capable of auto-notifying case participants when the Court Central Case Index (CCI) detects and communicates to the electronic filing system changes that have occurred in a case (e.g. Notices of Hearing).

3.3.1.39 System provides submitters/filers ability to review notifications and messages within the FAMDE.

3.3.1.40 System captures case file submission dates and times when: 1) fee-eligible submission payments are approved and transmitted by the FAMDE to the FRMDE; or 2) fee-exempt, fee waiver, or fee deferral case file submissions are transmitted from the FAMDE to the FRMDE (no payment approval is required).

3.3.1.41 System provides simultaneous support for Arizona’s no-reject<sup>7</sup> and reject-permitted directive on all case submissions.

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<sup>7</sup> Rather than a clerk of court rejecting a document, in Arizona the document may be found to be deficient and the filer has an opportunity to correct it. Clerks of court are responsible for retaining copies of any deficient documents that could be later provided to a judge should the determination of deficiency become a legal issue. At present three courts that support electronic filing have been grandfathered and continue to reject documents: the Clerk of the Superior Court in Maricopa County, Maricopa County Justice Courts, and Court of Appeals Division 2.

3.3.1.42 System enables submitters/filers to correct “Deficient” case submission documents and data while retaining original case file submission dates and times.

3.3.1.43 System provides a configurable option (on/off), by local court, that enables submitters/filers to indicate which lead documents contained in a submission require judge review (aka “Judge Action Indicator” or JAI). Notes:

1. JAI requires submitters/filers to indicate with an explicit Yes/No indication which lead document(s) do and do not require a judge’s attention
2. Record Filing Request messages contain JAI information
3. Configurable per local court and other business-related criteria (e.g. case type).

3.3.1.44 System enables submitters/filers to include submitter/filer reference or tracking number per case file submission, which may be used by law firms to associate case file submissions with internal customer account information.

3.3.1.45 System persists submitter/filer reference or tracking number information for all applicable case file submission messages sent to FRMDE and CRMDE. Note: This is an alphanumeric field of at least 100 characters in length.

3.3.1.46 System presents submitter/filer reference or tracking number information in all applicable electronic filing system screens and reports to all applicable submitters/filers.

3.3.1.47 System enables the submitter/filer reference or tracking number to be configurable at the submitter/filer organization level. This configuration includes the ability to make it a required field for everyone electronically filing on behalf of the organization.

3.3.1.48 System provides configurable support for the potential implementation of an enterprise/statewide court case number and court case number format mask for multiple case types.

3.3.1.49 System provides configurable support for local court-specific case numbers and local court case number format masks for all case types supported by local courts.

3.3.1.50 System supports third-party forms design and development tools that can be used by the Court to create “smart document forms,” which seamlessly integrate with the electronic filing system.

3.3.1.51 System supports real-time requests for and retrievals of case file data (e.g. for case number validation, case participant matching, etc.) and documents from local court CRMDEs via the Court’s CCI Environment. Note: The CCI-Application serves as the electronic filing system’s interface to the Central Case Index (CCI), Central Document Repository (CDR), and local court electronic document management systems.

3.3.1.52 System verifies the active existence of local court cases via the CCI Environment.

3.3.1.53 System is optionally capable of enabling submitters/filers to “sign” each case file submission asserting to its authenticity, conformance, and correctness. Note: The submitter/filer registration account persists the filer’s/submitter’s signature information/images.

3.3.1.54 System enables submitters/filers to select a local court to which case file submissions are associated.

3.3.1.55 System requires submitters/filers to identify the local court and case number when creating and submitting case file information, unless the case file submission is a request to initiate a case (in which case only the local court selection would be required).

3.3.1.56 System enables the collection and distribution of case file submission information, supplied by submitters/filers, based on the local court, case category type, document types, and other business-related criteria. (See Court Case Classification definition)

3.3.1.57 System enables the presentation of submitter/filer-selectable information derived from external sources (e.g. CCI, Court Policy) during the case filing assembly process.

3.3.1.58 System provides Spanish and other non-English language support for submitter/filer presentation.

3.3.1.59 System conditionally enables the identification of parties needing court interpreters during the case initiation filing assembly process.

3.3.1.60 System provides support for both United States and International addresses and telephone numbers.

3.3.1.61 System requires submitters/filers to attach specific documents based on the document(s) to be included in case file submissions (e.g. enforcing the inclusion of specific document types, connected or lead documents, and the number of documents required in the case file submission).

3.3.1.62 System supports the addition of new case parties and their party role types (e.g. e.g. new party role for existing parties, such as third party plaintiff, and/or party roles for newly added parties, such as intervenor) through subsequent case file submissions under specific conditions (e.g. Motions to Intervene).

3.3.1.63 System displays the words “Sealed document” with the filing date on the list of documents associated with a case when the document has a sealed flag as maintained in the CCI.

3.3.1.64 System enables support of submitters/filers to file Pro Hac Vice, which includes the collection of local and out-of-state attorney information.

3.3.1.65 System works in a secure manner with system’s FRMDE.

3.3.1.66 System supports real-time requests for and retrievals of case file data (e.g. for case number validation, case participant matching, etc.) and documents from local court CRMDEs via the Court's CCI Environment. Note: The CCI-Application serves as the electronic filing system's interface to the Central Case Index (CCI), Central Document Repository (CDR), and local court electronic document management systems.

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### **3.3.2 Filing Review Major Design Element (FRMDE)**

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3.3.2.1 System's FRMDE is capable of being physically and logically separable into self-contained modules: 1) Electronic Filing Manager (EFM); and 2) Clerk and Judge Review.

3.3.2.2 System securely persists all pending case file submission information; including documents, submission and payment receipt confirmations, and applicable clerk review decisions until such time that the CRMDE returns all associated case file submission Notify Docketing Complete Messages (NDCs) and Court-configurable purge criteria have been met.

3.3.2.3 System provides administrators with the ability to establish case submission retention and purge criteria that extends the retention period. Note: Purge criteria are configurable by local court, case type, or court case classification.

3.3.2.4 System enforces local court supported document types via Court Policy.

3.3.2.5 System notifies submitters/filers with the filing status of submissions only after the CRMDE has confirmed the receipt of the corresponding NDC messages.

3.3.2.6 System requires clerk and court staff to login with a username and confidential password before being permitted to access clerk and judge review functions.

3.3.2.7 System enables authorized system administrators to set clerk/local court staff privileges based on the type(s) of cases and documents they have been assigned to process (e.g. some clerks are allowed to review sealed documents, while others are not).

3.3.2.8 System enables clerks and other court staff to search for all or a filtered subset of case submissions based on various search criteria (e.g. case participant roles, case types, document types, date ranges, locked case submissions, case file submissions with emergency/expeditious handling needs, etc.).

3.3.2.9 System automatically locks access to case submissions once they have been opened by a clerk for review. Note: System allows other authorized clerks read-only access to locked case submissions.

3.3.2.10 System enables clerks to optionally preserve case file submission lock statuses for works-in-process until such time that the responsible clerk concludes the review process or deliberately releases the lock.

3.3.2.11 System enables clerks to optionally persist case file submission lock statuses after the case file submission has been processed.

3.3.2.12 System enables authorized clerk administrators to override lock statuses of case submissions, i.e., unlock case submissions.

3.3.2.13 System enables authorized clerks to inspect all case file submission information provided by submitters/filers, including their associated documents, for completeness and accuracy regardless from which MDE the information was sent.

3.3.2.14 System enables authorized clerks to correct case file submission information provided by submitters/filers, including their associated documents, for completeness and accuracy regardless from which MDE the information was sent. Note: Clerks and local court staff may neither alter nor delete original documents submitted by submitters/filers.

3.3.2.15 System presents in real-time CRMDE and Court Policy information (e.g. case numbers, case participants, document types and descriptions, etc.), which can be selected by authorized clerks and made part of case file submissions during the review process.

3.3.2.16 System enables authorized local court clerk administrators to configure document disposition options (e.g. received, filed, issued, rejected, deficient, etc.).

3.3.2.17 System enables case file submission dispositions independent from their associated document dispositions.

3.3.2.18 System supports the application of rules, by local court and case type category, that limit or constrain case file submission disposition options based on document disposition options (e.g. if any documents within a case file submission have been rejected, then only permit the case file submission to be marked “deficient”).

3.3.2.19 System provides “deficient” case file submission handling capabilities that include the ability to return all or portions of case file submissions to submitters/filers for correction in the FAMDE. Note: The results of making corrections or alterations to a case file submission may result in fee changes. Vendor is to provide a description of how this will be addressed.

3.3.2.20 System requires clerks to indicate reasons for marking case file submissions “deficient.”

3.3.2.21 System preserves submitter/filer original case file submission dates and times for a configurable number of submitter/filer case file submission correction cycles.

3.3.2.22 System enables clerks to take corrective action on case file submissions, such as optionally replacing document types, adding additional document types, correcting

submitter/filer-provided case file information, changing case numbers, and changing local court designations. Notes:

1. The results of taking corrective actions may further result in fee changes. Vendor is requested to describe how they will address this potential issue.
2. Changed case numbers are validated against values contained in the CCI Environment.

3.3.2.23 System provides clerk review including the ability to edit document types, document titles, case types, case numbers, and party roles (on initial cases) before ingestion into CRMDE systems and to review submitter/filer provided responses to questions.

3.3.2.24 System enables authorized clerks to backdate submitter/filer case submissions.

3.3.2.25 System enables local court clerk administrators to temporarily remove or permanently purge deficient case file submissions from clerk review queues if the case file submissions exceed certain configurable parameters (e.g. review cycle times, number of case submission attempts).

3.3.2.26 System prevents clerks from modifying case file submissions, including their associated documents, once their reviews have been concluded and transmitted to CRMDEs.

3.3.2.27 System enables clerks to access pending, works-in-progress, and concluded case file submissions for informational, troubleshooting, statistical reporting, and historical purposes.

3.3.2.28 System automatically purges case file information, including documents, from its internal stores once administrator-configurable purge criteria have been met.

3.3.2.29 System simultaneously supports the No-Reject and Reject-Permitted clerk review decisions by local court, case type, and other criteria based on available case submission data.

3.3.2.30 System optionally enables, based on Court configurable parameters, the calculation of Application Fees and local court Filing Fees based on registrant's profile, case type business criteria (see Court Case Classification), document types, party role types, first appearances in a case, etc.

3.3.2.31 System allows clerks to review payment information including the amounts paid for filing fees, application fees, and information about payers.

3.3.2.32 System provides document stamping capabilities that include 1) configurable stamp contents information defined by system and local court administrators; and 2) the original submitter/filer case file submission dates and times transmitted from the FAMDE(s).

3.3.2.33 System facilitates message exchanges between all Major Design Elements (MDE) by leveraging data contained within LegalXML messages.

3.3.2.34 System determines whether to route case file submissions to local court Clerk Review systems or to the common electronic filing system's Clerk Review system.

3.3.2.35 Message exchanges with OASIS LegalXML ECF 4 local courts operating their own Clerk Review systems are facilitated through IBM MQ. Note: Due to the use of the Court's of IBM MQ, Message Receipt Message (MRM) is not implemented by the Court to respond to Record Filing Request messages.

3.3.2.36 Message exchanges with OASIS LegalXML ECF 3.1 local courts operating their own Clerk Review systems are to be facilitated through the local court's Web Services.

3.3.2.37 System provides defenses against spam, denial-of-service, and other Internet attacks, such as spoofing and SQL-injections.

3.3.2.38 System, if applicable based on the implementation approach, invokes the electronic payment provider system only when there are fees to be paid by the submitter/filer.

3.3.2.39 System architecture provides performance and sizing scalability as volume rises due to increased participation as well as providing scalability for spikes in daily traffic.

3.3.2.40 System simultaneously enables clerk staff and the FRMDE (auto-processing mode) to inform and enable submitters/filers to correct and resubmit case file submissions that were deemed "Deficient" via the original case file submission identifier.

3.3.2.41 System provides simultaneous support for automatic and manual processing of case file submissions.

3.3.2.42 System allows auto-processing feature to be configured on/off for specific local courts and local court supported case types and other case file submission criteria.

3.3.2.43 System enables submitters/filers to correct "Deficient" case submissions, submitted to no-reject local courts, while retaining original case file submission dates and times.

3.3.2.44 System is enabled to configure on/off, by local court and local court supported case types, the automatic assignment of case numbers to case initiation requests upon clerk review acceptance. Note: Certain local courts will pre-load case numbers in the vendor's electronic filing system FRMDE; whereas, other local courts will obtain their case numbers from their respective FRMDEs or CRMDEs. Both of these scenarios are to be supported by the electronic filing system.

3.3.2.45 System enables clerks to manually apply case numbers to clerk-accepted case initiation submissions.

3.3.2.46 System enables clerks to save their works-in-process.

3.3.2.47 System provides for real-time and automated access to electronic filing payment reports via automated system-to-system data exchanges and on-demand downloads. (see Definitions for a description of system-to-system interfaces)

3.3.2.48 System provides on-demand access to electronic filing payment reports in “human-friendly” formats (e.g. Excel, PDF).

3.3.2.49 System provides on-demand access to electronic filing payment reports in “automation-friendly” formats (e.g. CSV, XML, ASCII).

3.3.2.50 System prohibits the transmission of attached documents that contain malicious content (e.g. viruses) or fail to meet the Court’s document file type standards, i.e., PDF, DOC, DOCX, and ODT.

3.3.2.51 System limits submitter/filer document attachments to the following Court-standard document file types, configurable by court: PDF, DOC, DOCX, and ODT.

3.3.2.52 System provides defenses against spam, denial-of-service, and other Internet attacks, such as spoofing and SQL-injections.

3.3.2.53 System uniquely identifies system and filer-generated documents, e.g. document type codes, document type descriptions.

3.3.2.54 System is capable of assigning and stamping case initiation documents with pre-loaded local court-provided case numbers for local courts that do not receive case numbers via the CRMDE

3.3.2.55 System enables the stamping of electronic filing system generated documents (e.g. Issuances documents).

3.3.2.56 System is capable of applying Issuance stamps and file stamps.

3.3.2.57 System enables the generation of “Issuance” documents for specific case submissions that are made available to submitters/filers for service of process purposes.

3.3.2.58 System provides configurable error message and error code support.

3.3.2.59 System restricts or redirects submitter/filer activity based on error code results that occur during case file submission assembly. Note: Error conditions include the inaccessibility to system resources, e.g. CCI Environment, local court electronic document management systems.

3.3.2.60 System provides configurable manual and automated notifications/alerts support to submitters/filers via email and intra-electronic filing system messaging to FAMDE.

3.3.2.61 System provides configurable manual and automated notifications/alerts via email and intra-system messaging to judges, judge staff, and staff attorneys.

3.3.2.62 System provides OASIS LegalXML ECF Court Policy support to configure case types, documents, Filing Fees, etc. per local court.

3.3.2.63 System provides Court and local court-led Court Policy system administration support, including add, delete, and modify capabilities.

3.3.2.64 System's Court Policy function enables individual entries to be date and time marked for scheduled entry implementations and retirements.

3.3.2.65 System provides case type and clerk function security access controls.

3.3.2.66 System communicates case file submission statuses to registered submitters/filers, per system administrator and local court configurable messages, via electronic mail and FAMDEs.

3.3.2.67 System displays case file submission statuses based on confirmed case file ingestion by CRMDE.

3.3.2.68 System enables clerks to route all or select parts of case file submissions to other FRMDE-registered local court staff (e.g. judges, judicial assistants) prior to concluding the clerk review process.

3.3.2.69 System provides FRMDE-registered local court staff to include routing instructions as part of the clerk review process.

3.3.2.70 System alerts FRMDE-registered local court staff (e.g. clerks, judges, judicial assistants) when case file information is routed to them.

3.3.2.71 System provides recipients of routed case file information with the tools necessary to perform specific functions, such as continue routing case file information to other FRMDE-registered local court staff, reviewing and commenting or providing instructions, etc.

3.3.2.72 System persists (enabling historical reviews) and communicates information provided by other reviewers to the originator of the routed case file submission information.

3.3.2.73 System prevents case information that is in the process of being routed for additional review by other local court staff from being accepted and transmitted to the CRMDE.

3.3.2.74 System supports multi-episode clerk reviews. (See Definitions section for a definition of multi-episode clerk review)

3.3.2.75 System enables the stamping of documents upon clerk acceptance based on local court configuration information, such as case category types, document types, lead or connected documents, and document disposition selection (e.g. filed, received, issued, rejected, deficient, etc.). Note: System does not physically alter original submitter/filer-provided documents.

3.3.2.76 System enables document stamping based on local court configuration parameters, such as case type, document type and business criteria: 1) on a separate coversheet applied to or included with lead documents; or 2) on the first page of the lead document.

3.3.2.77 System restricts submitters/filers from viewing stamped documents until docketing confirmation has been returned via Notify Docketing Complete (NDC) messages sent from the corresponding CRMDE. Note: Not all documents are docketed, e.g. Issuance documents.

3.3.2.78 System is capable of applying document stamps on pre-defined/configured document locations for each stamp-eligible document supported by local courts.

3.3.2.79 System is capable of including pre-defined/configured information (e.g. filing date, clerk name, case number, etc.) in applied document stamps for each stamp-eligible document supported by local courts.

3.3.2.80 System communicates Proposed Order and Issuance document information to the CRMDE via Record Filing Request (RFR) messages regardless of the local court's decision to persist or not persist said documents as part of official court case records. Note: Submitters/filers require copies of stamped Issuance documents so that they can serve them.

3.3.2.81 System communicates case file submission clerk directives (e.g. filed, received, issued, rejected, deficient, etc.) and any other related information added, modified, or removed by clerks via the Record Docketing Message (RDM), not the Core Filing Message (CFM).  
Notes:

1. FAMDE information is contained within the Core Filing Message and Payment Message.
2. Core Filing Messages, Payment Messages, and Record Docketing Messages are all communicated to the CRMDE in tandem. Note: For multi-episode clerk reviews, the Core Filing and Payment messages are repeated for each episode, but the Record Docketing messages are unique to the specific episode.

3.3.2.82 System enables the submission of and payments for individual and multiple case files in a single system-to-system interaction. (see Definitions for a description of system-to-system interfaces)

3.3.2.83 System supports initial and subsequent case file submissions that automatically post to local court CRMDEs, i.e., no manual clerk intervention required.

3.3.2.84 System supports the ability for court staff (e.g. clerks, judges, judicial assistants) to search/filter by emergency versus non-emergency documents.

3.3.2.85 System supports the ability for court staff (e.g. clerks, judges, judicial assistants) to see whether submitters/filers have marked the Judge Action Indicator (JAI) or equivalent handling/processing indicator.

3.3.2.86 System allows authorized court staff (e.g. clerks, judges, judicial assistants) to view messages associated with particular case file submissions.

3.3.2.87 System allows authorized court staff (e.g. clerks, judges, judicial assistants) to view document lists associated with a case in the same manner enabled for submitters/filers.

3.3.2.88 System allows authorized court staff (e.g. clerks, judges, judicial assistants) to view the history of submissions, including any error messages generated by the CRMDE during the ingestion process.

3.3.2.89 System allows authorized court staff (e.g. clerks, judges, judicial assistants) to view payment transaction numbers provided to submitters/filers.

3.3.2.90 System captures the dates/times of clerk actions on submissions separate and independent from filing dates.

3.3.2.91 System enables clerk supervisors to assign and direct work to specific court staff (default setup upon entry into system) based on court case classifications, the individual elements that comprise case classifications, and/or document type(s).

3.3.2.92 System persists Review Filing Request and Record Filing Request messages for a configurable period of time, set by the Court and local courts, and based on court case classification elements.

3.3.2.93 System supports publishable system-to-system interface specifications that enable local court and third-party FAMDEs to submit and pay for, when applicable, case information transmitted one-at-a-time and in batch/bulk (e.g. third-party law firm and prosecuting attorney records/case management system interface, vendor's e-filing system submitter/filer interface, and third-party submitter/filer interface). Note: vendor-provided FRMDE supplies FAMDE(s) with unique Filing Identifiers as defined by OASIS LegalXML ECF specifications. (see Definitions for a description of system-to-system interfaces)

3.3.2.94 System employs security so that the transmissions are encrypted and initiated from known hosts.

3.3.2.95 System provides a success code and a confirmation number back to the FAMDE upon successful submission of Review Filing Request messages transmitted to the FRMDE.

3.3.2.96 System returns an error code, which is interpreted by the FAMDE to provide instructions to the submitter/filer for further action as applicable, should the submission be unsuccessful.

3.3.2.97 System certifies and registers FAMDE(s), which ensures secure and accurate communications with system. Notes: 1) Court reserves the right to charge service providers a fee(s) to certify and register their respective FAMDEs. 2) FAMDE service providers agree to rules of engagement established in a separate agreement.

3.3.2.98 System facilitates inter-FAMDE support for electronic legal service (e-service) communications.

3.3.2.99 System manages access to and from the common electronic payment processing system.

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### **3.3.3 Legal Service Major Design Element (LSMDE)**

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3.3.3.1 System provides secondary service support that can be configured (on/off) system-wide and by local court.

3.3.3.2 System optionally enables primary service support.

3.3.3.3 System supports the distribution of discovery documents.

3.3.3.4 System enables submitters/filers to save and later retrieve works-in-process.

3.3.3.5 System provides for real-time and automated access to electronic filing payment reports via automated system-to-system data exchanges and on-demand downloads. (see Definitions for a description of system-to-system interfaces)

3.3.3.6 System provides on-demand access to electronic filing payment reports in “human-friendly” formats (e.g. Excel, PDF).

3.3.3.7 System provides on-demand access to electronic filing payment reports that include LSMDE-related transaction information in “automation-friendly” formats (e.g. CSV, XML, ASCII).

3.3.3.8 System prohibits the transmission of attached documents that contain malicious content (e.g. viruses) or fail to meet the Court’s document file type standards, i.e., PDF, DOC, DOCX, and ODT.

3.3.3.9 System limits submitter/filer document attachments to the following Court-standard document file types, configurable by court: PDF, DOC, DOCX, and ODT.

3.3.3.10 System provides defenses against spam, denial-of-service, and other Internet attacks, such as spoofing and SQL-injections.

3.3.3.11 System uniquely identifies all system and filer-generated and attached documents.

3.3.3.12 System provides configurable error message and error code support.

3.3.3.13 System restricts or redirects submitter/filer activity based on error code results that occur during the case filing assembly process, e.g., reason documents cannot be attached. Note: Error conditions include the system resource inaccessibility, e.g. CCI Environment, local court case management or electronic document management systems.

3.3.3.14 System supports real-time notifications sent from all applicable MDEs.

3.3.3.15 System calculates Application Fees based on Court administrator configured parameters.

3.3.3.16 System logs receipts of service and discovery documents that have been accessed by the receiving party so that service can be confirmed.

3.3.3.17 System notifies parties to be served.

3.3.3.18 System provides confirmation to original submitter/filer that the documents had been served electronically.

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#### **3.4 General Electronic Payment Service Support Requirements:**

**3.4.1 General Electronic Payment Service Support Requirements:** The electronic filing system readily integrates with and supports the following electronic payment service features and functions.

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3.4.1.1 Electronic payment system accepts major credit card, debit card, and optionally ACH payment methods.

3.4.1.2 Electronic payment system optionally supports subscription and drawdown payment accounts.

3.4.1.3 Electronic payment system applies payment processing fees in addition to other fees (e.g. Application Fees and Filing Fees) due per case file submission transmitted to local courts.

3.4.1.4 Electronic payment system supports the processing of payment authorizations and captures in the following ways: 1) Authorize and capture payment transactions via the FAMDE; 2) Authorize payment transactions from the FAMDE and capture payment transactions from the FRMDE.

3.4.1.5 Electronic payment system allows for the capture of transaction dollar amounts equal to or less than the authorized transaction dollar amounts (e.g. clerk or system rejects submission resulting in the capture of only the Application Fee, clerk modifies submission in clerk review resulting in a different dollar amount due to the local court, etc.).

3.4.1.6 Electronic payment system provides tokenization functionality for credit card, debit card, and optionally ACH payment methods. Note: FAMDE(s) persists and presents aliased tokens to the submitter/filer during the payment process, thereby alleviating the need for the submitter/filer to re-enter credit card information.

3.4.1.7 Electronic payment system associates payment tokens to organizations, which are available to the organizations' respective submitters/filers.

3.4.1.8 Organization administrators are enabled to assign and manage payment tokens only to select submitters/filers within their respective organizations.

3.4.1.9 Electronic payment system provides financial reporting support for electronic payment transaction information, reconciliation, and auditing purposes, derived from payments made through the FAMDE. Note: It is reasonable to expect that certain submitters/filers will setup multiple accounts within the same FAMDE or across different FAMDEs.

3.4.1.10 Electronic payment system provides financial reporting support for electronic payment transaction information, reconciliation, and auditing purposes, derived from payments made through the electronic payment system.

3.4.1.11 Electronic payment system provides financial reporting support that is available to individual submitters/filers and organizations for their respective payment information, derived from payments made through the FAMDE(s).

3.4.1.12 Electronic payment system provides financial reporting support that is available to individual local courts and that provides payment information specific to individual local courts.

3.4.1.13 Electronic payment system provides financial reporting support that is available to the Court and that provides payment information for all Arizona courts.

3.4.1.14 Access to the electronic payment system's financial reporting function is secured through Court administrative controls.

3.4.1.15 Financial reconciliation reports derive information from both the electronic payment system and FAMDE and have comparative elements that facilitate an automated reconciliation process.

3.4.1.16 Electronic payment system provides real-time and automated access to electronic filing payment reports via automated system-to-system data exchanges and on-demand downloads. (see Definitions for a description of system-to-system interfaces)

3.4.1.17 Electronic payment system provides on-demand access to electronic filing payment reports in "human-friendly" formats (e.g. Excel, PDF).

3.4.1.18 Electronic payment system provides on-demand access to electronic filing payment reports in “automation-friendly” formats (e.g. CSV, XML, ASCII).

3.4.1.19 Electronic payment system communicates/returns dates and times associated with payment authorizations, when payments are required.

3.4.1.20 Electronic payment system supports the settlement of payment transaction funds in one or both of the following ways: 1) Settlement account with automated next-day disbursements directly into local court and Court bank accounts; and 2) Settle directly into the Court and local court bank accounts, respectively.

3.4.1.21 Electronic payment system provides automated processes and administrative tools that provide support for customer-disputed charges and refunds initiated by the Court and local courts.

3.4.1.22 Electronic payment system provides scalable capacity and functional capability to support the online payment processing needs of other Court mission-critical applications.

3.4.1.23 Electronic payment system is capable of complying with and allowing courts using the system to comply with the Minimum Accounting Standards (MAS) as defined in the Arizona Code of Judicial Administration 1-401 ([http://www.azcourts.gov/Portals/27/1-401\\_Effective\\_01-01-2012.pdf](http://www.azcourts.gov/Portals/27/1-401_Effective_01-01-2012.pdf))

3.4.1.24 All modified transactions that result in changes in case file submission payment amounts greater than the originally authorized payment amount are approved by submitters/filers prior to capture.

3.4.1.25 Electronic payment system transmits payer name (independent from submitter/filer name) in such a way that it can be transmitted in the Record Filing Request (RFR) message.

3.4.1.26 Electronic payment system is the common payment service for all payment transactions transmitted by all FAMDE systems.

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### **3.5 General Vendor Support and Process Requirements:**

#### **3.5.1 General Vendor Support Requirements:**

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3.5.1.1 Provides product maintenance and support services during standard and expanded Mountain Standard Time (MST) business hours.

3.5.1.2 Provides ongoing application maintenance, troubleshooting, and repair services.

- 3.5.1.3 Provides system design, tuning and performance optimization support services.
- 3.5.1.4 Provides toll-free product help desk support for Court technical support staff.
- 3.5.1.5 Provides optional toll-free product help desk support for customers.
- 3.5.1.6 Provides web-based product help desk support for Court technical support staff.
- 3.5.1.7 Provides optional web-based product help desk support for customers.
- 3.5.1.8 Provides onsite technical product maintenance and support services.
- 3.5.1.9 Provides train-the-trainer support services.
- 3.5.1.10 Provides technical system setup, configuration, and integration documentation.
- 3.5.1.11 Provides application setup, configuration, and integration documentation
- 3.5.1.12 Provides system administration documentation
- 3.5.1.13 Provides application administration documentation
- 3.5.1.14 Provides product training documentation for system and application administrators
- 3.5.1.15 Provides product training documentation for submitters/filers and local courts, including user guides, tutorials, FAQs, etc.
- 3.5.1.16 Provides ongoing product enhancement and integration support services to facilitate the delivery of solutions that meet the Arizona courts changing business needs.
- 3.5.1.17 Provides smart forms design and development support services.
- 3.5.1.18 Provides formal business analysis support services (e.g. requirements elicitation, process workflows, documentation).
- 3.5.1.19 Provides formal systems analysis support services (e.g. system design, information workflows, documentation).
- 3.5.1.20 Provides product change and release management support services. Notes:
1. Vendor supports Court's change and product release management procedures.
  2. Vendor coordinates with and takes direction from Court-appointed electronic filing governance and oversight committee(s) for the plan, design, configuration (including application and filing fee modifications), new enhancements development, test, operation, maintenance and support (including break/fix) of the e-filing system.

3. Vendor provides the Court and other stakeholders, as required, detailed release notes about new product software enhancements or product software support documentation updates prior to their implementation.
4. Vendor coordinates and receives Court guidance and written acceptance prior to implementing any changes to the electronic filing system.

3.5.1.21 Provides a detailed description of how submitters/filers, Court, and local courts are notified of planned/unplanned system outages.

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### **3.5.2 General Process Management Support Requirements:**

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3.5.2.1 Adheres to Court Product Change Management Procedures, including general software development process signoffs.

3.5.2.2 Adheres to Court Product Release Management Procedures, including process signoffs.

3.5.2.3 Adheres to Court Help Desk Trouble Ticketing Procedures, including process signoffs.

3.5.2.4 Tracks product defects/fixes and enhancement requests/fulfillments in Court's HP Quality Center.

3.5.2.5 Provides all vendor-generated business and systems analysis and design documentation to Court. Note: Court approves and maintains copies of all associated documentation.

3.5.2.6 Implements OASIS LegalXML ECF, NIEM, or Court specifications only after receiving signed Court approval.

3.5.2.7 Court approves and maintains copies of all documentation associated with XML specifications used to support electronic filing in Arizona prior to their implementation.

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### **3.5.3 Activity and Documentation Deliverables**

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3.5.3.1 Project Kick-Off Meeting

3.5.3.2 **Project Plan**

1. Scope Plan
2. Communications Plan

3. Risk Management Plan
4. Change Management Plan
5. Software Release Management Plan
6. Quality Assurance Plan
7. Training Plan
8. Marketing Plan
9. Test Plan
10. Implementation Plan

**3.5.3.2.11 Requirements (e.g. requirements gaps; business, functional, and non-functional requirement, Object Management Group BPMN 2.0)**

1. Gap Analysis Meeting Sessions
2. Gap Analysis Document Delivery
3. Requirements Meeting Sessions
4. Requirements Document Delivery
5. Requirements Document Acceptance Signoff

**3.5.3.2.12 Design (e.g. Screen Mockups, Object Management Group BPMN 2.0 and UML 2.0)**

1. Design Document Delivery
2. Design Acceptance Signoff

**3.5.3.2.13 Development/Customization**

1. Release Software to Development Environment (Alpha Release)
2. Test Scripts Documentation
3. Integration Testing
4. Use Case Testing

**3.5.3.2.14 Testing**

1. Release Software to Test Environment (Beta Release)
2. Integration Testing Acceptance Signoff
3. User Acceptance Testing Signoff
4. Develop FAMDE/LSMDE Certification Documentation
5. FAMDE/LSMDE Certification Document Signoff

**3.5.3.2.15 Training**

1. Develop Training Documentation
  - a. Electronic Filing System Administrators
  - b. Electronic Filing System Technical Support Staff
  - c. Clerks, Judges, and Support Staff
  - d. End Users (FAMDE)
2. Training Documentation Signoff
3. Training Sessions per SOW 3.13 section 3.1.3

**3.5.3.2.16 Implementation**

1. Release Software to Production Environment (General Release)

2. Integration Testing Acceptance Signoff
3. User Acceptance Testing Signoff

3.5.3.2.17     **Post-Implementation**

1. Post-Implementation Meeting
2. Post-Implementation Documentation
3. Post-Implementation Signoff