
Electronic Filing Overview

October 17, 2008

Agenda

- ❑ **Utah state court's approach to electronic filing**
- ❑ **E-Filing rules of procedure**
- ❑ **Special features**
- ❑ **What does it mean to you?**

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The Utah Court's Electronic Filing Goal:

To establish an electronic filing system that directly interacts with the filer's desktop case management system

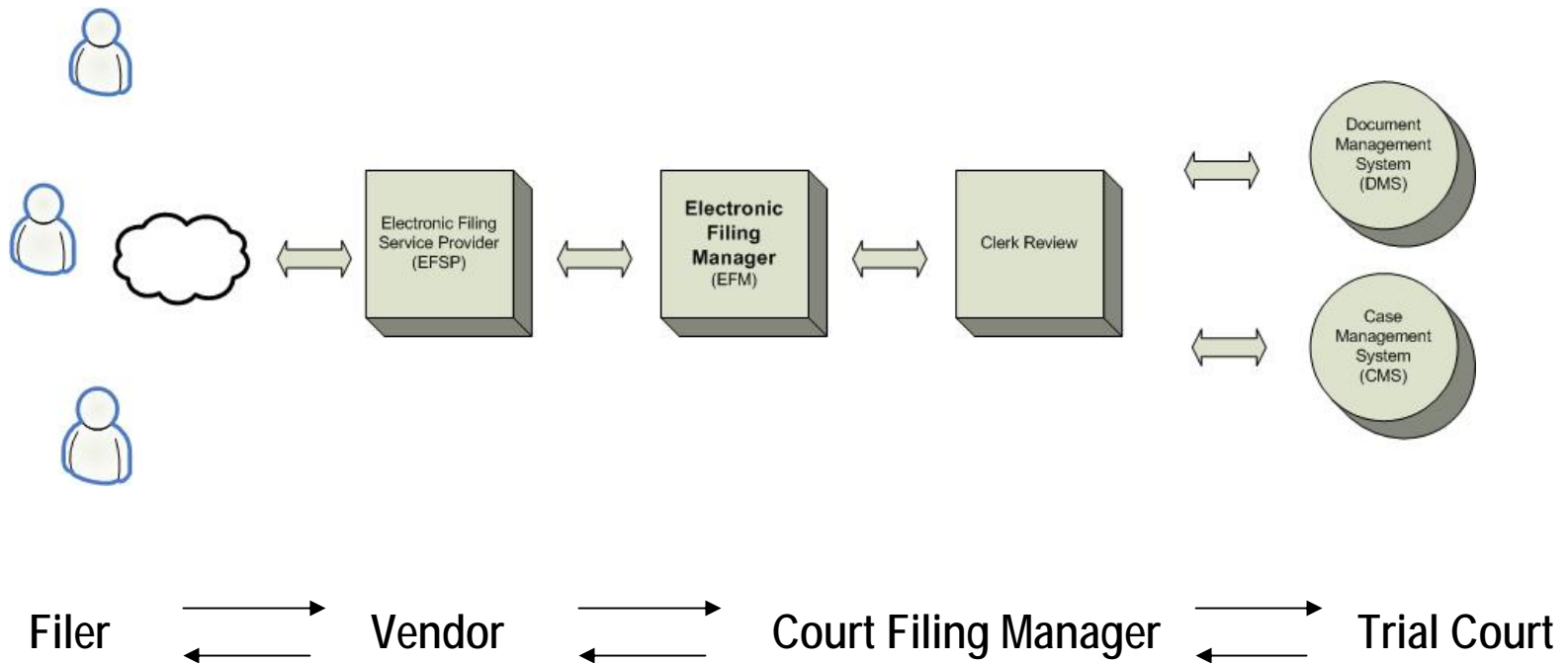
Electronic Filing Overview

Glossary of Terms:

- **Electronic Filing:** An Electronic Filing or eFiling is an electronic document delivered to a court by electronic means.
 - **Electronic Filing Service Provider (EFSP):** Electronic Filing Providers are the vendors outside the court that are capable of delivering Legal XML complaint court filings. Vendors will provide an interface to their customers (lawyers, judges etc) to file a electronic documents to a court.
 - **Electronic Filer's Interface (EFI):** A filer's external view of court filing requirements used to capture the information necessary to complete an electronic filing. The EFI is provided by an EFSP as a service to the filer.
 - **Case Management System (CMS):** A CMS is an application that records and manages information about court cases, records, calendars, finances and other court information. A CMS usually have an existing interface that is different and distinct from Clerk Review Interface.
 - **Document Management System (DMS):** A DMS receives, manages, stores and retrieves electronic documents. A DMS may be part of CMS or EFM.
 - **Electronic Filing Manager (EFM):** EFM is a middleware application that logically resides between EFSP and the court's CMS and DMS. Middleware must be able to receive and process filing data in the Legal XML Court Filing Standard. Middleware must be able to pass the information it receives to CMS and DMS. It sends electronic acknowledgement to the filer.
 - **Clerk Review Interface (CRI):** Clerk Review Interface is an application based interface available to court clerks, court administrators and other court personnel. The CRI is used to review the incoming electronic filings.
 - **Legal XML Court Filing Standard Version 1.1 DTD :** EFSPs will deliver the filing data that should confirm to Legal XML Court Filing DTD version 1.1. For more details see at <http://www.legaxml.org>
 - **Application Programming Interface (API):** An API is an interface used to access an application or a service from within a separate program. The filing API describes the filing rules and program requirements necessary to support electronic filing.
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Electronic Filing Standards

as adopted by the Judicial Council

- ❑ Electronic data and document filing
 - ❑ Electronic service and notice
 - ❑ Electronic docket as the case record
 - ❑ Electronic document access and retrieval
 - ❑ Electronic document validation
 - ❑ Filing Date
 - ❑ Technical failures
 - ❑ Protect Confidential information
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Electronic Filing Overview

Contrast the Federal and the Utah State Court Filing Approach

Administration

Filing Approach	Federal Court	Utah State Courts
Filer Interface	Federal Court	Multiple Vendors
Filer Support	Federal Court	Multiple Vendors
Filer Cost	None	Vendor fees
Usage	Mandatory	Voluntary

Electronic Filing Overview

Federal and Utah State Court Comparison Features

Features	Federal	Utah State Courts
Case initiation	No	Yes
Subsequent filings	Yes	Yes
Document filings	Yes	Yes
Add parties	No	Yes
Initial service	No	No
Service	Yes	Yes
Document access	Yes	Yes
Public access	Yes	Yes
Credit card processing	Yes	Yes
Redaction	Required by rule	Proposed rule
Substitution standards	Yes	Yes

Electronic Filing Rules...

- Minimalist approach. Rely on existing law if possible
 - If the rules do not prohibit it, it must be permitted
 - Apply the rules in a digital environment.
 - Workflow will change dramatically, but for the most part, the rules do not regulate workflow
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Electronic Filing Rules – under consideration or adopted

- Filing – Rule 5
 - Signatures – Rule 10, Rule 11
 - Service – Rule 5
 - Electronic Papers – Rule 10
 - Confidential Information – proposed rules
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Redaction of confidential information

- The courts recognized the exposure of sensitive or confidential information within a document filed as a public record with the court.
 - The court recommends guidelines regulating the submission of confidential information within a court document
 - These guidelines are proposed as rule changes
 - Redaction is the responsibility of the filer
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**Re-published for comment sometime in the near future.
The proposed effective date would be April 1, 2009.**

Miscellaneous

Rule 4-202.09(9)

Records Classification

Rule 4-202.02

Electronic Filing Overview

What does it mean to you?

It means the Utah courts will provide:

- Electronic filing support
- Electronic service
- Electronic event notification
- Document access
- Document trust

Special features

Document Validation

Technical Committee Recommendation

- Create a certifiable and accessible electronic court record
- Documents filed with the court will be digitally certified by the court when filed
- Documents retrieved from the court's computing system will be authenticated when presented to the user

Electronic Court Record Document Validation

Reliance on Court Document Certificate

Documents retrieved from the Utah State Court's Electronic Filing System are self-authenticating

Reliance Demonstration

[Retention of a local copy by filer](#)

[View local copy](#)

[Electronic mail of court document](#)

Electronic Filing Overview

Next Steps:

- ❑ October: Publish Utah eFiling API
 - ❑ November: Solicit vendor participation
 - ❑ November: Test criminal information filings
 - ❑ December: Certify vendors
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Questions?
Comments?
Reservations?
