

**Electronic Filing/Records Management System****FY2015 Request: \$4,400,000****Reference No: 52410****AP/AL:** Appropriation**Project Type:** Equipment / Commodities**Category:** Law and Justice**Location:** Statewide**House District:** Statewide (HD 1-40)**Impact House District:** Statewide (HD 1-40)**Contact:** Rhonda McLeod**Estimated Project Dates:** 07/01/2014 - 06/30/2019**Contact Phone:** (907)264-8215**Brief Summary and Statement of Need:**

This is a multi-year project to implement an electronic filing system, which includes an electronic document management system to be fully integrated with the trial court case management system and include a number of data exchanges between the court systems and other agencies.

<b>Funding:</b>	<u>FY2015</u>	<u>FY2016</u>	<u>FY2017</u>	<u>FY2018</u>	<u>FY2019</u>	<u>FY2020</u>	<u>Total</u>
Gen Fund	\$4,400,000	\$2,000,000					\$6,400,000
<b>Total:</b>	\$4,400,000	\$2,000,000	\$0	\$0	\$0	\$0	\$6,400,000

<input type="checkbox"/> State Match Required	<input type="checkbox"/> One-Time Project	<input type="checkbox"/> Phased - new	<input checked="" type="checkbox"/> Phased - underway	<input type="checkbox"/> On-Going
0% = Minimum State Match % Required		<input type="checkbox"/> Amendment	<input type="checkbox"/> Mental Health Bill	

**Operating & Maintenance Costs:**

	<u>Amount</u>	<u>Staff</u>
Project Development:	0	0
Ongoing Operating:	0	0
One-Time Startup:	0	0
<b>Totals:</b>	<b>0</b>	<b>0</b>

**Prior Funding History / Additional Information:**

Sec1 Ch16 SLA2013 P98 L3 SB18 \$5,900,000

Sec1 Ch17 SLA2012 P152 L20 SB160 \$1,785,000

Sec1 Ch5 SLA2011 P119 L7 SB46 \$1,400,000

**Project Description/Justification:**

Today, most litigants prepare word processed documents, print them out, and physically deliver them to the courthouse with the appropriate filing fees and instructions. Court clerks review the documents, accept payments, type information about the case into the court's case management system and place the documents into a case jacket. Case files are routed to the appropriate judge or staff for processing until the case is closed. Eventually, closed case files are routed to a central location for scanning so that images of the documents are preserved in an electronically accessible format.

With electronic filing ("E-filing"), documents are prepared in much the same way as paper documents, but are transmitted to a court, and then stored by the court, electronically rather than on paper, allowing the case to be managed electronically from initiation through final disposition and archiving. The benefits of an E-filing system include:

- It is more convenient and less expensive for litigants to file cases and documents with the court;

- It allows better customer service and more complete, accurate case information is easily and immediately retrievable at less cost to the court and to the customer;
- It leads to greater staff efficiencies because less time is spent copying, searching, moving, and tracking paper files;
- It creates cost savings in terms of file cabinets, folders, paper, and postage;
- It allows files to be accessed by multiple people simultaneously; and
- It is a more secure way to maintain documents because electronic case files can be duplicated and stored in multiple locations for more flexible disaster recovery planning.

*Components of an E-Filing System:*

A complete E-filing system consists not only of a means for litigants to transmit documents to the courts electronically, but also for the court to manage the electronic files in document and case management systems. Management of documents also includes the electronic exchange of data between litigants and the court, and between other organizations and the courts.

1. *Electronic Document Management System (DMS):* This component can be thought of as the place where electronic filings are accepted and stored. The most sensible approach for a court that accepts documents electronically is to also use the documents in their electronic form. Otherwise, the time and expense of printing documents is simply transferred from litigants to the judiciary.

With an electronic DMS, the court will: (1) receive and send electronically-generated (word processed or PDF) documents; (2) scan paper documents/filings as they come in ("front end" scanning); and (3) index electronic documents for search/retrieval from any court location.

2. *Integrated Case Management System (CMS):* An integrated case management system is the component of the overall E-filing system that tracks cases, documents, filing fees, judicial assignments and other events, and produces statistical, financial, and management reports. The integrated CMS also provides an index/retrieval mechanism for records in the document management system. In an electronic filing environment, the case and document management systems are integrated so that information is shared automatically, without the extra time, expense, and risk of errors caused by rekeying data from paper into multiple systems.

The court's current case management system requires significant enhancements to integrate it with e-filing and the electronic document management systems. Despite improvements in automation attained by the statewide rollout of the current system, case processing still entails copying, mailing, and moving paper files and keying data into the automated system. The current case management system has made more case information electronically accessible, but it still requires changes and improvements to fully integrate it with other software applications that allow electronic creation and management of documents.

*E-Filing Implementation:*

E-filing will be implemented in phases. Basic e-filing will be achieved by allowing litigants to submit documents electronically, manually transferring those documents to the electronic document management system, manually entering key data from the documents into the current case management system (indexing) and creating a means for internal users to retrieve the documents from the document management system for use by court personnel or court customers. The court will also begin to deploy "smart forms" that will capture the index data and other basic case information at

the time electronic documents are filed, thus reducing the amount of manual processing needed to enter the information into the CMS. The smart forms, DMS, and new CMS will be fully integrated, allowing fully automated case processing from e-filed data and documents.

In FY2012, then Chief Justice Carpeneti appointed a governance committee to oversee the first phases of this project. During this ongoing initial phase of the project, the committee will review network and organizational infrastructures and consider recommendations for changes to support the project. The court system hired a project manager to develop a governance structure for the project, formulate a project plan, and conduct initial training for judges and court staff.

The E-filing project manager assists the court system with making decisions about equipment and software required to implement the electronic document management system and with development of a user interface for retrieval of documents. The court system also intends to hire temporary employees to eliminate the backlog of 1-2 years' worth of imaging closed paper case files sent to Anchorage from courts around the state. Once imaged, these case records will be electronically accessible from any court location, which relieves clerks from searching, copying, and moving paper files. Also in FY2012, Civil Rule 5.1 was adopted to allow filings to be submitted by email in certain circumstances as a first step in the e-filing process.

In FY2013, the court system hired a project manager to develop a governance structure for the project, formulate a project plan, and conduct initial training for judges and court staff. During this ongoing aspect of the project, the committee continues to review network and organizational infrastructures and consider recommendations for changes to support the project. The E-filing project manager assists the court system with making decisions about equipment and software required to implement the electronic document management system and with development of a user interface for retrieval of documents.

In FY2013 and for the next few years, the court system will hire temporary employees to scan closed paper case files sent to Anchorage from courts around the state in an attempt to reduce the growing backlog of cases that need to be scanned and made available through the CMS. Once imaged, these case records will be electronically accessible from any court location, which relieves clerks from searching, copying, and moving paper files.

In FY2015 through FY2017, the court will continue to purchase services, components, and integration services to implement the fully integrated E-filing system, electronic document management system, and case management system. This effort will result in a fully automated document filing system that significantly reduces or eliminates the need for manual data entry by court staff to initiate and process a court case.

The project is expected to affect long term operating costs for increased network bandwidth, hardware replacement, software maintenance, and staff training.