e-Courts 2012:

eCourts Maturity Model

December 10, 2012, 1:35-2:30pm

by:

Bob Roper
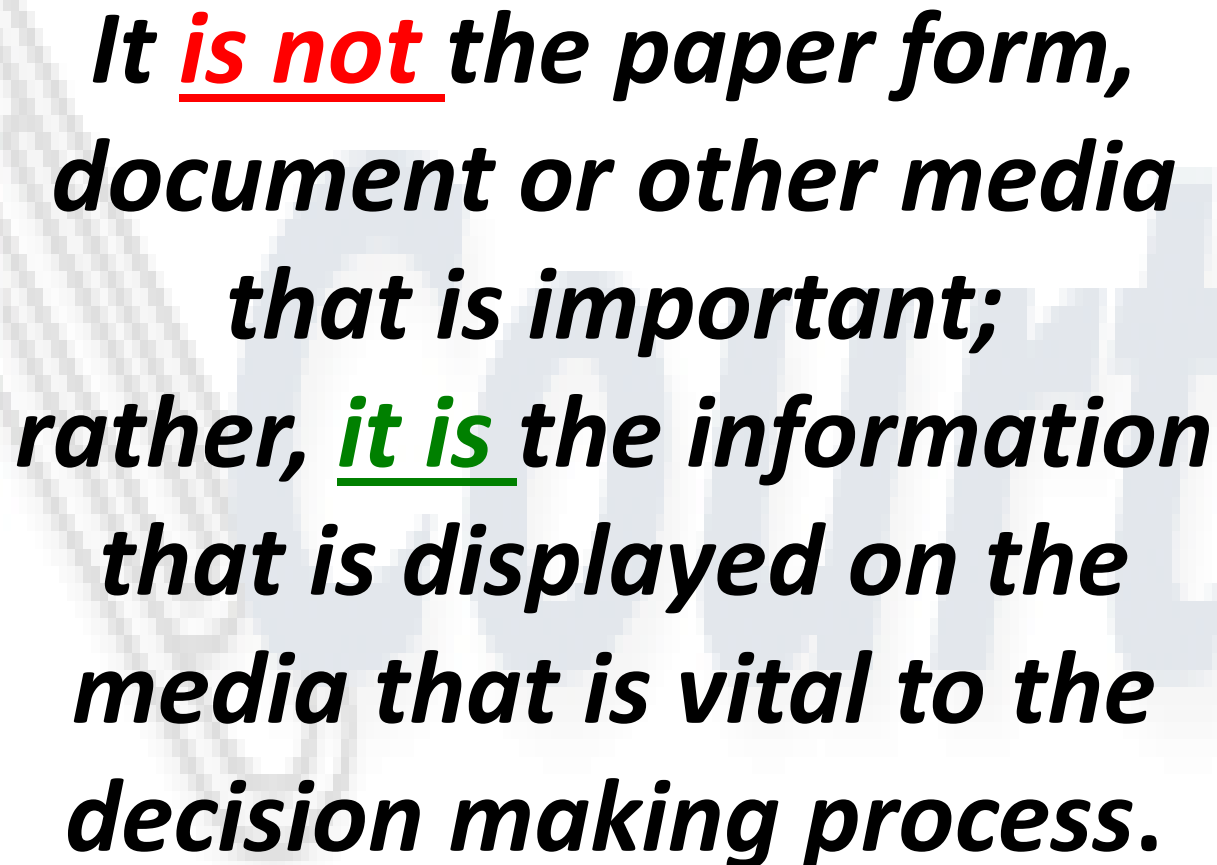
Jorge Basto

What is eFiling?

➢ **FAXing?**

➢ **E-Mailing?**

➢ **Scanning/Indexing Forms and Documents?**

➢ **Online Static Forms?**

➢ **Online Dynamic Forms?**

➢ **Wizard Assistance?**

➢ **Template Assistance?**

➢ **Other Data Exchanges (e.g., e-Citations)?**

...and, and , and—thus, the confusion.

Efiling, in the Courts' Environment, is the [Electronic Exchange of Data](#) Between the Courts and Other Entities, in all casetypes.

<u>Other Entities</u> have Traditionally Included Attorneys, both Public and Private, and are Now Expanding to Any Entity that Contributes Materials to the Electronic Court Folder Which Includes: Judicial Officers, Self-Represented Litigants, Process Service Providers, Schools, Banks and others.

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*It **is not** the paper form, document or other media that is important; rather, **it is** the information that is displayed on the media that is vital to the decision making process.*

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Why Do eFiling?

➢ **Minimize the routine production of paper documents;**

➢ **Reduce costs associated with the initial compilation of filed documents;**

➢ **Reduce costs associated with the maintenance of paper based files/documents (e.g., repurposing facility space that used to store those paper files);**

➢ **Reduce costs associated with the distribution of documents among the litigants and the court;**

➢ **Improve customer service and satisfaction with the system;**

➢ **Reduce redundant data entry among the court and the litigants;**

➢ **Reduce the time it takes to process papers and share information—even in the courtroom;**

➢ **Improve the accessibility of data/information to the public, the litigants and the courts;**

➢ **Provide more complete, accurate and timely information;**

➢ **Make data reusable in multiple contexts;**

➢ **Create an improved ability to search documents and data; and**

➢ **Improve the ability to associate related data/information and documents.**

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Two Dimensions

1. Forms/Documents Migration

2. Characteristics of an e-Filing System

Both Dimensions Work Within the Constraints of the Court Technology Framework

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Forms Migration Dimension: Component 1

Imaged Base Filing

- **Filing/Retrieval Method**
  - Complete Paper Forms (Paper/Typed)
  - Scan/Upload
  - Enter Meta-Data
  - Store/Send Images
  - Retrieved Via Meta-Data
- **Disadvantages**
  - Document Scoping
  - Redundant Data Entry
  - DMS Dependent
  - Extensive COOP
- **Advantages**
  - Breaking Paper Dependencies
  - Easy to Develop/Deploy

Forms Migration Dimension: Component 2

Static Forms Filing

- **Filing/Retrieval Method**
  - Complete Static Form OnScreen Where Data Is Not Stored
  - Enter Meta-Data
  - Upload/Store/Send Images
  - Retrieved Via Meta-Data
- **Disadvantages**
  - Costs for Creating Static Forms
  - Document Scoping
  - Redundant Data Entry
  - DMS Dependent
  - Extensive COOP
- **Advantages**
  - Breaking Paper Dependencies
  - Easy to Develop/Deploy
  - Improves Legibility on Forms

Forms Migration Dimension: Component 3

Dynamic Forms Filing

- **Filing/Retrieval Method**
  - Complete Dynamic Form OnScreen Where Data is Stored
  - Recreated Forms Produced On Demand
- **Disadvantages**
  - Increases in Maintenance and Hardware
  - Costs for Creating Dynamic Forms
  - Data Integration Costs and Time for Integration with the Court CMS
- **Advantages**
  - Breaking Paper Dependencies
  - Improves Legibility on Forms
  - Minimal DMS Storage
  - Cost Effective COOP
  - Improves Search Capabilities
  - Improves Automatic Redaction
  - Minimizes Redundant Data Entry Through Enhanced Integration with the DMS

Forms Migration Dimension: Component 4

Forms Free Filing

- **Filing/Retrieval Method**
  - Complete Data Entry in Semi-Structured, Wizard or Template Based
  - Recreated Forms Produced On Demand
  - Data Can Be Reviewed in any Defined Format
- **Disadvantages**
  - Increases in Maintenance and Hardware
  - Costs for Creating Wizards and Templates and ***Reformed*** Displays
  - Data Integration Costs and Time for Integration with the Court CMS
- **Advantages**
  - Minimal DMS Storage
  - Cost Effective COOP
  - Improves Search Capabilities and Automatic Redaction
  - Minimizes Redundant Data Entry Through Enhanced Integration with the DMS
  - More Intuitive
  - Presents Only Relevant Displays of Data and Information,
 - Reuses Text Fields

Forms Migration Dimension

1 Imaged-Based Filing

FILING/RETRIEVAL METHOD:
- Complete paper forms (handwritten or typed)
- Scan/Upload forms
- Enter supplemental metadata (indexing/search capabilities)
- Send/Store forms as images (e.g., PDF, TIFF)
- Images retrieved searching by metadata

DISADVANTAGES:
- Extensive document scoping (decoding/translating images into data)
- Redundant data entry (court CMS/DMS)
- DMS-Dependent (storing images/forms)
- Expensive COOP (infrastructure prevention & recovery)

ADVANTAGES:
- Easy to develop & deploy
- Breaking away from paper dependencies

2 Static Forms Filing

FILING/RETRIEVAL METHOD:
- Complete onscreen, static fillable forms (typically PDF-based where data is not stored)
- Enter supplemental metadata (as needed)
- Upload/Send/Store forms as images
- Images retrieved searching by metadata

DISADVANTAGES:
- Additional costs for creating static forms
- Extensive document scoping
- Redundant data entry
- DMS-Dependent
- Expensive COOP

ADVANTAGES:
- Easy to develop & deploy
- Breaking away from paper dependencies
- Improves legibility on forms

Images-to-Images

3 Dynamic Forms Filing

FILING/RETRIEVAL METHOD:
- Complete/Submit fixed, onscreen, dynamic forms (PDF-based or HTML where forms are stored as data, eliminating upload & metadata entry)
- Official court forms can be recreated (retrieved) on-demand

DISADVANTAGES:
- Increases in maintenance costs (hardware)
- Additional costs for creating & producing dynamic forms
- Additional development costs for data integration into court CMS/DMS

ADVANTAGES:
- Minimal DMS storage (data being stored as data, not images)
- Cost-effective COOP
- Improves search capabilities
- Paper independent
- Minimal document scoping
- Improves automatic redact
- Improves data availability in court CMS (minimizing redundant data entry efforts)

Images-to-Data

4 Forms-Free Filing

FILING/RETRIEVAL METHOD:
- Enter/Submit data in a semi-structured, wizard-like or template-based interface (independent of forms & redundant data entry)
- Official court forms can be recreated (retrieved) on-demand
- Data can be viewed (retrieved) in any defined format

DISADVANTAGES:
- Increases in maintenance costs
- Additional development costs for planning, analysis, & deployment of integration (business reengineering)

ADVANTAGES:
- Cost-effective COOP & DMS maintenance/storage
- Optimizes search capabilities & user response times
- Paper independent
- Minimal document scoping
- Improves automatic redact
- Eliminates the need for redundant data entry
- More intuitive (reduces filing time & training costs)
- Presents only relevant information in data retrieval
- Re-uses text fields produced by templates

Data-to-Data

Bridging the Data Divide
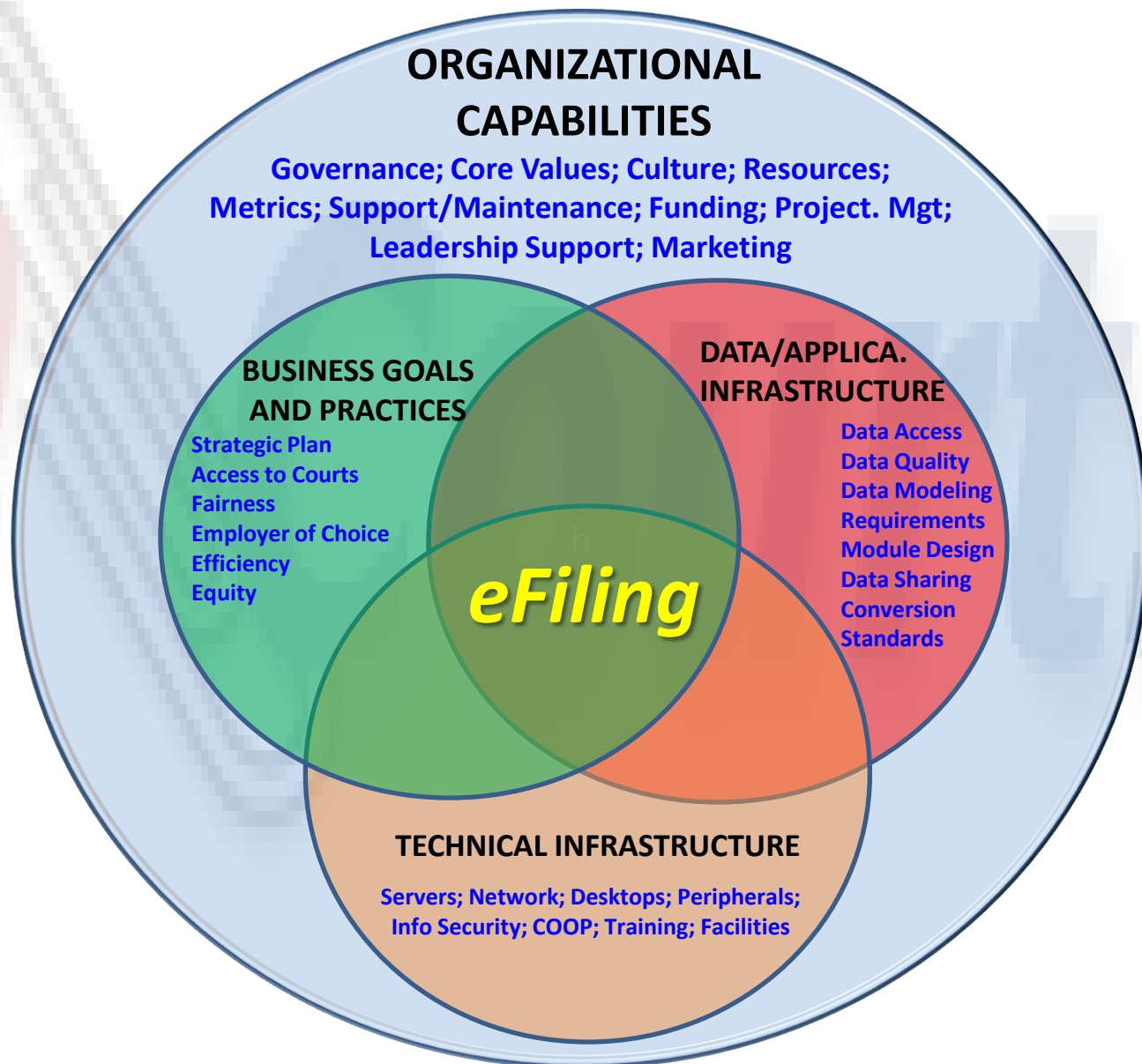
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Characteristics of the eFiling Dimension

➢ **Customer Base—who is eFiling?**

➢ **System Functions and Capabilities—what can the eFiling system do?**

➢ **Integrated Data Sharing—what other systems does it play nicely with in the sandbox?**

➢ **System Attributes and Conformance to Standards—how is the eFiling system designed and how does it work?**

eFiling Maturity Matrix
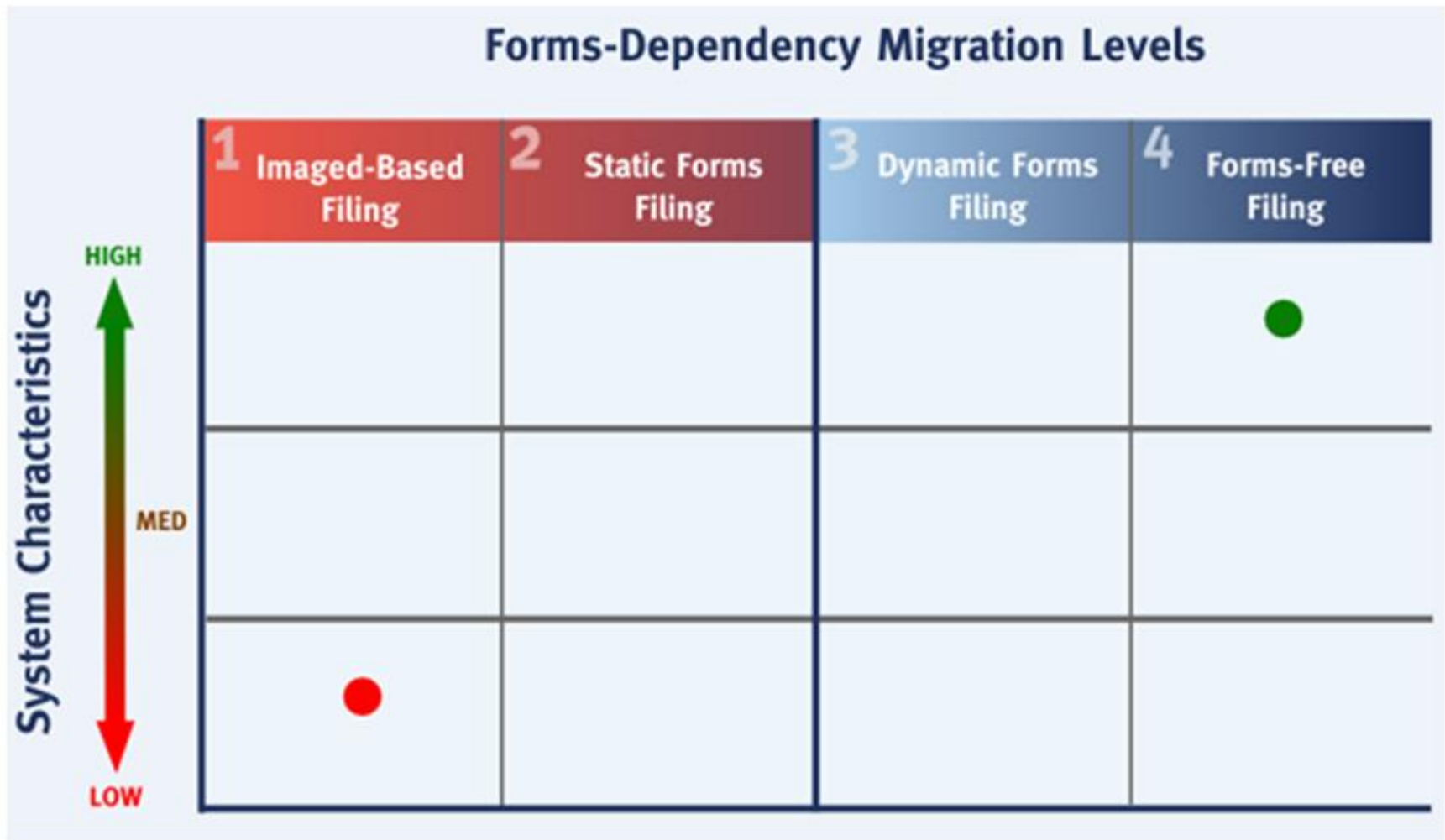
It Is Important to Remember, that Despite the Best of Intentions, Where You Start Is Where You are Likely to Be For Quite Some Time.

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Constraints of the Court Technology Framework Dimension

ORGANIZATIONAL CAPABILITIES

Governance; Core Values; Culture; Resources; Metrics; Support/Maintenance; Funding; Project. Mgt; Leadership Support; Marketing

BUSINESS GOALS AND PRACTICES

Strategic Plan
Access to Courts
Fairness
Employer of Choice
Efficiency
Equity

DATA/APPLICA. INFRASTRUCTURE

Data Access
Data Quality
Data Modeling
Requirements
Module Design
Data Sharing
Conversion
Standards

eFiling

TECHNICAL INFRASTRUCTURE

Servers; Network; Desktops; Peripherals;
Info Security; COOP; Training; Facilities

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It's All About _not Compromising the Integrity_ of _Authentic_ Information:
...and right now, for most people, it is all about the "Form and Paper Paradigm".

...But They Will Get Over the "Form and Paper Paradigm" When They _"Trust"_ that the Information and Data Originally Filed is the Same Throughout the Process—That May Take Some Time and Small Successes.

"Beam Me Up Scotty" Concerns:

IN THE CIRCUIT COURT OF THE NINETEENTH JUDICIAL CIRCUIT
LAKE COUNTY, ILLINOIS

```
                            )
                            )
        James  Mitchell  )
                Plaintiff, )
vs.                         )        Gen No. 12SC00001007
                            )
                            )
        Don  Jones  )
            Defendant. )
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FILED

COMPLAINT

COMES NOW, the Plaintiff James Mitchell by and through his/her attorney PETERS, SUSAN J. and for his/her claim for relief against the Defendant Don Jones alleges as follows.

Plaintiff, James Mitchell ("Plaintiff") is a resident of the State of Illinois, residing in the county of Lake.

Defendant, Don Jones ("Defendant") is a resident of the State of Illinois, residing in the county of Lake.

Defendant verbally agreed to pay me this money, but has not paid me, even though I demanded payment.

Date(s) this happened: 21212

DATED:

KECK MAHIN & CATE

by:
                        Attorney for Plaintiff

_____

VERIFICATION
(SEE ATTACHED AFFIDAVIT)

For Example, People are Starting to let Loose of Forms when it has to do w/Their Money:

- ➢ **Give Their Credit Card and Not Need Receipts**

- ➢ **Give Their Credit Card and Not Have to Sign for Some Amounts**

- ➢ **Don't Use Deposit Slips to Give Their Money Away to the Banks**

- ➢ **Don't Use Withdrawal Slips to Get Money from an ATM; and**

- ➢ **Do Online Banking/Bill Paying Not Relying on a Paper Statement**

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GA Has Rolled Out Two Successful Projects

Child Support EFiling
www.georgiacourts.gov/gaje

"one-to-one"
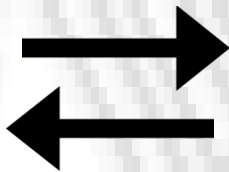
Georgia State Patrol
www.georgiacourts.gov/ccs

"one-to-many"
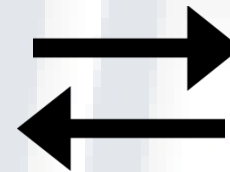
General Civil eFiling in GA

"many-to-many"

General Civil?
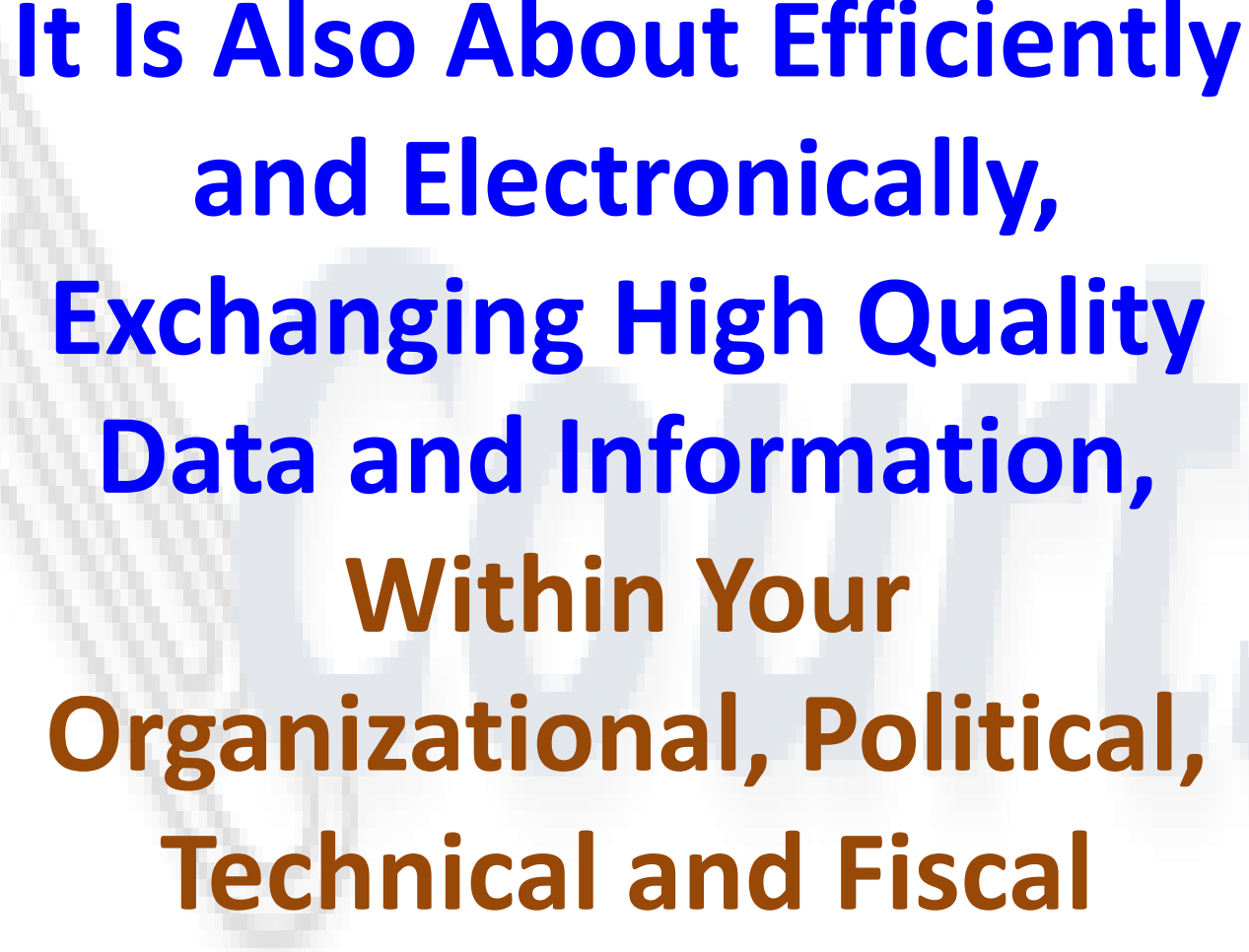
Considerations When Working with the Maturity Matrix

➤ **Objectives have to be clearly affirmed to determine where you are on the matrix.**

➤ **Everyone must understand, define and adopt 'Efiling' the same way.**

➤ **Funding? It is a consideration but shouldn't be the primary determination.**

➤ **Revisit the placement often and ensure you are not moving in the wrong direction.**

➤ **Be comfortable with your placement because it MAY be very difficult to move after starting.**

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This Tool Was Designed to Help Jurisdictions Decide Where They Are Now, and Where They Want to be in the Near Future. It Is Not Designed to Compare the Progress of Individual Jurisdictions.

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It Is All About Getting Information to Decision Makers in the Most…

➢ **Efficient manner (e.g., reducing redundant data entry);**

➢ **Reliable manner (e.g., the system works for everyone consistently and the same information can be utilized over and over again);**

➢ **Accurate fashion (e.g., the data and the information add up);**

➢ **Complete method (e.g., the system provides complete information that can be used in a variety of ways—including searching); and**

➢ **Timely fashion (e.g., real-time)**

The more mature and robust the system is--the better the chances of attaining those objectives.

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It Is Also About Efficiently and Electronically, Exchanging High Quality Data and Information, Within Your Organizational, Political, Technical and Fiscal Constraints/Realities.

…and Most Importantly, Migration to a Data-Centric Model Is About
Trusting that the Integrity of Data and Information Initially Filed
is Not Compromised and is Authentic.

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A .pdf is Like A Security Blankie:
The Question is How Long Do You Keep It?

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