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3.0 E-Filing Application

A web-based E-Filing Application is the highest prioritized recommendation emerging from justice system stakeholder workshops. It is also a core component of the project as directed by the county and the courts. A number of developed e-filing systems are available and have been explored by the county courts. Building e-filing on top of the existing case management system (CMS), CJIS I- Series, is formidable without the parallel development of web services for the CMS.

Process improvements and other objectives that will be achieved by the development of e-filing for civil casetypes in the Magistrate, State and Superior Courts include:

1. Provide 24/7 online tools to the public, lawyers and companies to access and file civil and family cases in the court;
2. Provide 24/7 online tools to the public, lawyers and companies to access and file pleadings on their existing civil and family cases;
3. Improve and increase efficiency at case creation by intake clerks after a filing request, this objective both the workflow process and the actual user interface where data entry, validation and quality control would be provided;
4. Provide electronic online payment of filing fees for cases and pleadings, with a long-term goal of providing other types of online payments for bail, garnishments, levies and other types of deposits;
5. Enable registered users to see docket and calendar information about their cases in a data-rich environment; and
6. Preserve and enhance the existing CJIS I-Series core system, CMS, including archived data, while beginning the long process towards providing browser-based tools to end users that are more agile, intuitive and easier to use.

The E-Filing web application is designed to have a high impact on efficiency, communication and outcomes in the case management process (see objective 3 above). An E-Filing Application will enable litigants, companies that are litigants and lawyers to submit case requests (complaints) and pleadings on existing cases. It will provide enhanced online electronic payment of fines and fees; and it will enable court clerks to improve efficiencies and data entry at case initiation. Registered users, and especially frequent filers such as lawyers and companies, will be able to track and manage multiple cases for which they are registered as litigants or lawyers. The tracking of multiple cases provides rich, real-time information about those cases, but does not constitute case management, except where frequent filers use the E-Filing Application to submit pleadings and provide docketing and calendar information.

The E-Filing Application may be accessible to the court and court administrators, primarily to view targeted management information related to case filings. Because all active cases in CMS (CJIS I-Series) must be accessible to the E-Filing system, in part for registered viewing, and in part to provide tools to submit pleadings.

It is strongly recommended that the E-Filing Application be implemented in multiple steps, in conjunction with Phase 1 development of web services. This approach requires strong and effective project management from the county to manage expectations and mitigate stress of long-term development.

The procurement approach for an E-Filing Application is addressed in Section 2.0, Technical Analysis and Procurement Approach. Recommended phased design and development are for a 30 weeks project:¹

Implementation Step 2.1	External Interface Specification, System and Web Design (12 weeks)
Implementation Step 2.2	Pilot Magistrate Court Civil E-Filing (6 weeks)
Implementation Step 2.3	Expand E-Payments to online E-Filing (3 weeks)
Implementation Step 2.4	State Court Civil E-Filing (3 weeks)
Implementation Step 2.4	Superior Court Civil and Family E-Filing (6 weeks)

3.1 Agencies and End Users

Agencies include the following:

Courts

- Superior Court
- Superior Court Clerk's Office
- State Court
- State Court Clerk's Office
- Magistrate Court
- Magistrate Court Clerk's Office

Administrators

- Technical Administrators
- Court Administrators
- Business Administrators

End user *Position Types* include the following. User security, access and permissions will be determined during the design process.

Registered Users

- Public Individual
- Companies (including Law Offices)
- Attorney
- Attorney Supervisors

Courts

- Judge_1 Lead/Supervising Judge
- Judge_2 Trial Judge
- Clerk_1 Lead/Supervising Clerk
- Clerk_2 Assignment Clerk
- Clerk_3 Court Clerk
- Clerk_4 Intake Clerk

¹ Estimated timelines are only guidelines, based on estimates provided by a number of e-filing vendors of off-the-shelf software. If the County chooses to go with fully customized development, the timelines will likely substantially increase. During the RFP development process, the County must determine if timeline restrictions will be placed on the procurement deliverables. In addition, implementation steps may substantially overlap or be built in parallel.

Administrators

Admin_1	Technical Administrator
Admin_2	Court Administrator
Admin_3	Court Administrator Staff
Admin_4	Help Desk

3.2 E-Filing Application Functional Requirements

The process flow for the E-Filing Application starts with the county and courts web portal; and ends for case requests and pleading submissions with the Intake Clerk list (queue) and case or pleading creation. Other important functionalities require pushing active case data from CMS (CJIS I-Series) to the E-Filing application for authorized viewing by public, attorney and company users.

The application consists of a multi-layered process of activities and events, leading to a number of outcomes for a public, lawyer or company user (users), based on a two-tiered structure of access with functionalities for Court and Clerk review and acceptance:

Unregistered (anonymous) Users Processes

1. Public Case Inquiry
2. Public Calendar Inquiry
3. Public Electronic Payment of Traffic Fines

Registered Users

1. Registration of Public, Company or Lawyer
2. Login
3. Registered Account Management
4. Case Request
5. Registered Case List and Information
6. Pleading Submission

Court Intake Clerks and Clerk Supervisors

1. Case and Pleading Request List (queue)
2. Case and Pleading Request Management (review, edit and acceptance)
3. Case Creation
4. Pleading Creation
5. E-Payment Reconciliation

Other functional and non-functional requirements

1. Management Information
2. State Model
1. Account and Security Management
2. Reference Data Management
3. Help Desk

Basic web application navigation rules for court users include the following:

1. In general, unless otherwise indicated in the requirements, a single click on a row in a list of any sort (e.g. cases, pleadings, defendants) will activate the row for editing enabled fields. Double-clicking on a row will expose a form applet. A form applet will be able to toggle back to the list.
2. Alternatively, the user will be able to expose a list on the left side of the screen and a form on the right side of the screen. Scrolling through the list will change the form to align with the data set. It will be obvious to the user that the system is retrieving data to ensure alignment of the form with the selected row in the list.
3. All user interfaces will be high interactivity, meaning that leaving an unfinished form or list tool will automatically save the data. Initiating a new list or row will be reversible by clicking "Esc." Stepping off the list will save the data.
4. All Cases, My Cases and My Service Request lists indexed by case or Service Request number shall be able to be filtered by query on almost any column, except free text fields. All case and SR lists shall also be able to be sequenced in up or down alpha or numeric order on any most alpha or numeric columns.

Basic web application navigation rules for non-court registered and anonymous users shall be prescribed by sequence and logic of screens and functionality as required for the E-Filing Application. They will not be manageable by the user, except for the choice of skins, fonts, colors or pre-figured templates provided by off-the-shelf software as part of the base package. No additional customized management and look and feel tools will be required or purchased. The following navigation rules are required, at minimum, but should be minimum, not customized, requirements:

1. Mandatory fields will be starred or highlighted in a way that is immediately associated with the field.
2. Functionalities shall be presented to the user in a logical sequence as simple screens that do not force the user to scroll right, ever. Scrolling down shall be minimized to no more than the geography of a second full screen.
3. Screens shall be presented logically and sequentially and navigable in both directions, after the user has progressed through the screens once.
4. Screens shall be clean, not cluttered, with fields in an obvious sequential order. Editable fields on a single screen shall not exceed 20 (twenty).
5. The completion of data on each screen shall be confirmed by the clicking of a "Submit" or "Accept" button, at which point the system shall validate that mandatory fields have been filled or document types attached. Validations shall include the highlighting of unfilled mandatory fields and/or a pop up message describing the missing data fields.
6. Field validations within a single screen shall only display requirements, if the user enters information incorrectly.
7. Registered user information, required to submit a case request or to see a list of litigant cases, shall be accessible and editable as "My Account" information (see Administrative requirements below).
8. All My Cases and My Service Request lists indexed by Service Request number shall be able to be filtered by query on almost any column, except free text fields. All case and SR lists shall also be able to be sequenced in up or down alpha or numeric order on any most alpha or numeric columns.

Levels I and II E-Filing Application

Requirement is that the E-Filing Application developer work with the CJIS I-Series technical team to ensure that the data (attributes) needed for the E-Filing Application are made available on the web service for consumption by the E-Filing Application; including the development of a joint External Interface Specification (EIS) and a Web Service Definition Language (WSDL) for consumption of CMS data.

EFILE 20.0 E-Filing Overview

Functional requirements for E-Filing are defined by the below set of workflow processes:

E-FILE 20.0	E-Filing Overview
E-FILE 20.1	Public Case Inquiry
E-FILE 20.2	Public Calendar Inquiry
E-FILE 20.3	Public Fine E-Payments
E-FILE 21.0	Registration
E-FILE 21.1	Person Registration
E-FILE 21.2	Company Registration
E-FILE 21.3	Attorney Registration
E-FILE 22.0	Registered User Login
E-FILE 22.1	Registered Case View
E-FILE 22.2	Magistrate Court Case Request
E-FILE 22.3	State Court Case Request
E-FILE 22.4	Superior Court Case Request
E-FILE 22.5	Submit Pleadings
E-FILE 23.0	Clerk Users
E-FILE 23.1	Create Case
E-FILE 23.2	Create Pleadings
SVCS 12.0	Financials
E-FILE 12.2	E-Payment

Level III E-Filing Application

EFILE 20.1 Public Case Inquiry

EFILE 20.1.1 Public Case Inquiry

All anonymous users visiting the County Courts E-Services web portal shall have as a first-tier choice, "Public Case inquiry." Selection of this function shall be by single or double click of a mouse.

EFILE 20.1.2 Select Case Parameters

The following parameters (fields with pick lists) shall be displayed:

- Court (mandatory) – default = Magistrate Court;

- Casetype (either litigant name or casetype is mandatory, not both) – default = blank, selection is constrained by court;
- Litigant Name (either litigant name or casetype is mandatory, not both) – default = blank;
- Year (mandatory, unless Litigant Name is filled in) – default = current year; and
- Case number (optional) – default = blank.

After selecting mandatory fields an anonymous user may click “Search,” which will display a list of matching cases to the search.

EFILE 20.1.3 Case List View

The case list will include

- case number,
- names of primary plaintiff and defendant,
- filing date,
- current status and
- judgment date, if reached.

EFILE 20.1.4 More Info Drill Down

Double clicking on the case number will display a case summary report of docket and calendar information, including documents that are available to the public. The document list will be clickable to open the document in the browser or a PDF reader.

EFILE 21.0 Registration

At the E-Services web portal, the user will be presented with Username and Password login fields with a Registration option geographically nearby. The Registration option will include a Person, Attorney, and Company registration, immediately below. Only the sub-categories will be clickable. An anonymous user that attempts to login without registering (acquiring a username and password), will be returned to the top tier screen in the web portal in order to register.

All registration screens shall include a FAQs, Help, Contact and Home Links that will open in separate windows.

- FAQs shall take the user to a pop-up window of common questions and answers;
- Help shall take the user to a pop-up window of help information, including how to contact the Court to get technical assistance;
- Contact shall provide the user with standard contact information, including the addresses of the courthouse and help contact information;
- Home shall take the user back to the Web Portal, after warning the user that all Registration data will be lost.

EFILE 21.1 Person Registration

Selection of the Person Registration will take the user to a screen that will discourage the user from registering multiple accounts. System validation for multiple accounts will prohibit the use of the same email address, username, password, or credential ID for more than one account.

EFILE 21.1.1 First Time?

On the same screen as Terms and Conditions, the User will be reminded that they are not permitted to register multiple accounts. If they have a registered account and username and password, they are to click on a displayed Back button to return to the web portal for login.

EFILE 21.1.2 Terms and Conditions

Standard terms and conditions for persons attempting to register shall be displayed for all new users. The user will be required to scroll through the entire set of terms and conditions in order to reach an Accept button. The terms and conditions shall not be constrained by the two screen geography maximum.

EFILE 21.1.3 Accept?

At the bottom of the Terms and Conditions screen, the Accept button shall be clickable. Not clicking the button and attempting to click the Back button or to leave the Person Registration will warn the user that all Registration information will be lost. Clicking on any of the links at the top of the Terms and Conditions screen will open separate windows and not affect the navigation of Terms and Conditions.

EFILE 21.1.4 User Profile

No user profile/My Account information will be stored as case data in CMS (CJIS I-Series). The database for E-Filing shall at all times be kept separate from the persons database for cases. Only a clerk or a judge can accept (convert and transfer) online account information to case information.

Accepting the terms and conditions will immediately take the user to a User Identity screen. The user will be reminded that any information they fill out on the webpage will become their registered Account, will need to be up to date and accurate, and will be used by the E-Filing system as plaintiff data for a case request.

Data sets include:

- Parsed name information (mandatory family name);
- Alias(es), note the system must store prior names, after name edits or changes as past names or aliases (also known as) (not mandatory);
- Address(es), note that the system must store all current and past addresses (mandatory one address);
- Credential ID, (mandatory one credential with one alpha numeric field, options include: driver's license, passport, social security number, voter ID card, other;
- Email address (note that this is mandatory for E-Filing registration);
- Cellphone number (not mandatory, but required for SMS notifications);
- Attorney name (not mandatory) from a pre-selected list of registered attorneys or free text field; and
- Other information (free text field).

EFILE 21.1.5 Username and Password

User must enter a username and password based on prescribed alpha-numeric, upper

lower case, symbols and size to be provided at design. Rules to be illustrated immediately adjacent. Password must be successfully entered twice. User must have option to see or not see the password during data entry.

EFILE 21.1.6 Secret Questions

The user will be provided with a list of secret questions to be used as password reminders. The pre-set list of minimum six different questions will include a free text field to fill in the answer. Correct answers will not be case sensitive.

EFILE 21.1.7 Submit

At the completion of the user identity and username and password, the user will be required to click on "Submit," with written instructions to check their email inbox within two to up to ten minutes for an email with a Confirmation Key provided by the Court, needed in order to Register. User will be warned to write their password on a piece of paper in order to remember it.

EFILE 21.1.8 Auto Email with PIN (Confirmation Key)

The E-Filing system will auto-return an email to the user with a randomly generated confirmation key. The password will not be included in the email. The email will include information provided by the court and a link back to the registration login page (not the primary login page). The link will be an easy to duplicate masked link with a unique URL.

The user will be required to fill in a Registered Login screen accessible only from the email web link. Login will include username, password (x2), and confirmation key from the email.

EFILE 21.2 Company Registration

Selection of the Company Registration will take the user to a screen that will discourage the user from registering multiple company accounts. A company account shall be identified as a single company with a company license and Federal EIN. System validation for multiple company accounts will prohibit the use of the same email address, username, password, or company license and Federal EIN for more than one account.

Note that multiple persons may be authorized to submit cases or pleadings on behalf of a company. The company user must be notified that first time registrations of a company as a Court user will require that the authorized person either submit a scanned copy of a certified authorization of their status as an officer of the company, legally authorized to represent to company; or to physically go to the courthouse to complete the Registration.

EFILE 21.2.1 First Time?

On the same screen as Terms and Conditions, the User will be reminded that they are not permitted to register multiple accounts. If they have a registered account and username and password, they are to click on a displayed Back button to return to the web portal for login.

EFILE 21.2.2 Terms and Conditions

Standard terms and conditions for persons attempting to register shall be displayed for all new users. The user will be required to scroll through the entire set of terms and conditions in order to reach an Accept button. The terms and conditions shall not be constrained by the two screen geography maximum.

EFILE 21.2.3 Accept?

At the bottom of the Terms and Conditions screen, the Accept button shall be clickable. Not clicking the button and attempting to click the Back button or to leave the Company Registration will warn the user that all Registration information will be lost. Clicking on any of the links at the top of the Terms and Conditions screen will open separate windows and not affect the navigation of Terms and Conditions.

EFILE 21.2.4 Company Identity

No user profile/My Company Account information will be stored as case data in CMS (CJIS I-Series). The database for E-Filing shall at all times be kept separate from the persons database for cases. Only a clerk or a judge can accept (convert and transfer) online account information to case information.

Accepting the terms and conditions will immediately take the user to a Company Identity screen. The user will be reminded that any information they fill out on the webpage will become their registered Account, will need to be up to date and accurate, and will be used by the E-Filing system as plaintiff data for a case request.

Data sets include:

- Company name (mandatory);
- AKA(s), note the system must store prior names, after name edits or changes as past names or aliases (also known as) (not mandatory);
- Names of Subsidiaries, wholly owned by the company (not mandatory);
- Address(es) of all office, branches, or subsidiaries wholly owned by the company (mandatory one address);
- Company State Commercial License ID, (mandatory);
- Federal EIN (mandatory);
- Attorney name(s) (not mandatory) from a pre-selected list of registered attorneys or free text field; and
- Other information (free text field).

EFILE 21.2.5 Authorized Company Representatives Identity(ies)

The user will be reminded that any information they fill out on the webpage for authorized users will become part of the registered Account, will need to be up to date and accurate, and will be used by the E-Filing system as plaintiff data for a case request.

Data sets by authorized user include:

- Parsed name(s) information (mandatory family name);
- Company title (mandatory);
- Alias(es), note the system must store prior names, after name edits or changes as past names or aliases (also known as) (not mandatory);

- Address(es), note that the system must store all current and past addresses (mandatory one address);
- Credential ID, (mandatory one credential with one alpha numeric field, options include: driver's license, passport, social security number, voter ID card, other;
- Email address (note that this is mandatory for E-Filing registration);
- Cellphone number (not mandatory, but required for SMS notifications); and
- Other information (free text field).

EFILE 21.2.6 Attorney(s) identity(ies)

Attorney names are not mandatory, but strongly encouraged for companies. The user shall be able to select from a pre-stored list of attorney offices and attorneys or enter new attorney information. If an attorney is selected from the list, the below data sets will automatically be populated, and the user will be asked to confirm that this is the correct attorney.

Data sets by attorney include:

- Name of law office;
- Parsed name(s) information (mandatory family name);
- License number;
- Address(es), note that the system needs only to store all current registered addresses (mandatory one address);
- Email address (not mandatory);
- Cellphone number (not mandatory, but required for SMS notifications); and
- Other information (free text field).

EFILE 21.2.7 Company License

User will be required to attach a copy of the company's commercial license. See 10.2 Attach Document for requirements.

EFILE 21.2.8 Certified Authorization

User will be required to attach a certified copy of authorization to legally represent the company. See 10.2 Attach Document for requirements.

EFILE 21.2.9 Username and Password

For companies, authorized users must have unique usernames and passwords. Each of the authorized users listed at registration will be provided with a system-derived, randomly-generated username and password, although only the registering user will be provided with the additional usernames and passwords. Additional users will be required to login, but will not receive their randomly generated username and password. At first time login, they will be asked to create a new username and password, confirm their email address, select secret questions; and an email with a confirmation key will be sent to them at Submit (see below).

User must enter a username and password based on prescribed alpha-numeric, upper lower case, symbols, and size to be provided at design. Rules to be illustrated immediately adjacent. Password must be successfully entered twice. User must have option to see or not see the password during data entry.

EFILE 21.2.10 Secret Questions

The user will be provided with a list of secret questions to be used as password reminders. The pre-set list of minimum six different questions will include a free text field to fill in the answer. Correct answers will not be case sensitive.

EFILE 21.2.11 Submit

At the completion of the user identity and username and password, the user will be required to click on "Submit," with written instructions to check their email inbox within two to up to ten minutes for an email with a Confirmation Key provided by the Court, needed in order to Register. User will be warned to write their password on a piece of paper in order to remember it.

EFILE 21.2.12 Account Registration Summary

An account registration summary will be displayed after completion of all information and clicking Submit. The user will be to save a PDF copy of the summary.

EFILE 21.2.12D Account Registration Summary Print

The user will be able to print a copy of the Account Registration Summary.

EFILE 21.2.13 Auto Email with PIN (Confirmation Key)

The E-Filing Application will auto-return an email to the user with a randomly generated confirmation key. The password will not be included in the email, except for other authorized company representatives. For company registration, additional authorized users will be listed, and randomly generated usernames and passwords issued in the same email.

The email will include information provided by the court and a link back to the registration login page (not the primary login page). The link will be an easy to duplicate masked link with a unique URL.

The user will be required to fill in a Registered Login screen accessible only from the email web link. Login will include username, password (x2) and confirmation key from the email.

For additional authorized company users, at initial login, using the system-generated username and password, they will be re-directed to enter a new password (email address will default as the username) twice, and submit in order to receive a confirmation key and complete registration.

EFILE 21.3 Attorney Registration

All registered attorneys in the County Courts will be provided with pre-registration notification and applications. Attorney companies and individual attorneys will be requested to submit all pertinent information for authorized users to the Court for direct insertion in the E-Filing Application database.

Pre-registered attorneys will all receive randomly assigned usernames and passwords and a URL at which they will be asked to change their password (username will

default to email address) in order to be provided with a confirmation key to complete registration.

The registration process below is designed for county, domestic, and foreign attorneys, who seek to file a case in the County courts on behalf of a plaintiff. The attorney registration tool cannot be used for registering attorney companies or groups of attorneys, in large part because lawyer licenses and registrations are by individual attorney.

Selection of Attorney Registration will display a screen that will discourage the user from registering multiple attorney accounts. System validation for multiple attorney accounts will prohibit the use of the same email address, username, password, or attorney license ID or other credential ID for more than one account.

EFILE 21.3.1 First Time?

On the same screen as Terms and Conditions, the User will be reminded that they are not permitted to register multiple accounts. If they have a registered account and username and password, they are to click on a displayed Back button to return to the web portal for login.

EFILE 21.3.2 Terms and Conditions

Standard terms and conditions for persons attempting to register shall be displayed for all new users. The user will be required to scroll through the entire set of terms and conditions in order to reach an Accept button. The terms and conditions shall not be constrained by the two screen geography maximum.

EFILE 21.3.3 Accept?

At the bottom of the Terms and Conditions screen, the Accept button shall be clickable. Not clicking the button and attempting to click the Back button or to leave the Person Registration will warn the user that all Registration information will be lost. Clicking on any of the links at the top of the Terms and Conditions screen will open separate windows and not affect the navigation of Terms and Conditions.

EFILE 21.3.4 Attorney Identity

No user profile/My Attorney Account information will be stored as case data in CMS (CJIS I-Series). The database for E-Filing shall at all times be kept separate from the persons database for cases. Only a clerk or a judge can accept (convert and transfer) online account information to case information.

Accepting the terms and conditions will immediately take the user to an Attorney Identity screen. The user will be reminded that any information they fill out on the webpage will become their registered Account, will need to be up to date and accurate. The data will NOT be used by the E-Filing system as plaintiff data for a case request.

Data sets include:

- Attorney name parsed (first and family name mandatory);
- AKA(s) (also known as), note the system must store prior names, after name

- edits or changes as past names or aliases (not mandatory);
- Address(es) of all offices at which the attorney works (mandatory one address);
- Attorney License ID, (mandatory);
- Registration date;
- Expiration date;
- States and courts at which attorney is licensed to practice (list local courts + free text other courts) (one court mandatory);
- Email address (mandatory);
- Cellphone number (not mandatory, but required for SMS notification; and
- Other information (free text field).

EFILE 21.3.5 Attorney License

User will be required to attach a copy of the attorney license. See 10.2 Attach Document for requirements.

EFILE 21.3.6 Submission of Attorney Entry on Case/Plaintiff Identity

Attorney will be required to identify the plaintiff whom they will represent. The identification of a plaintiff will initiate a client list or database for the attorney. Subsequent filings will be able to select from the client list. Adding a client will utilize the same interface as this process, EFILE 21.3.6, although without requiring to pre-register the attorney. Plaintiff data will be identical to the datasets in EFILE 21.1.4.

EFILE 21.3.7 Username and Password

A new user must enter a username and password based on prescribed alpha-numeric, upper lower case, symbols and size to be provided at design. Rules to be illustrated immediately adjacent on the screen. Password must be successfully entered twice. User must have option to see or not see the password during data entry.

EFILE 21.3.8 Secret Questions

The user will be provided with a list of secret questions to be used as password reminders. The pre-set list of minimum six different questions will include a free text field to fill in the answer. Correct answers will not be case sensitive.

EFILE 21.3.9 Submit

At the completion of the user identity and username and password, the user will be required to click on "Submit," with written instructions to check their email inbox within two to up to ten minutes for an email with a confirmation key provided by the court, needed in order to complete registration. User will be warned to write their password on a piece of paper in order to remember it.

EFILE 21.3.10 Account Registration Summary

An account registration summary will be displayed after completion of all information and clicking Submit. The user will be to save a PDF copy of the summary.

EFILE 21.3.10D Account Registration Summary Print

The user will be able to print a copy of the Account Registration Summary.

EFILE 21.3.11 Auto Email with PIN (Confirmation Key)

The E-Filing Application will auto-return an email to the user with a randomly generated confirmation key. The password will not be included in the email. The email will include information provided by the court and a link back to the registration login page (not the primary login page).

EFILE 22.0 Registered User Login

The user will be required to fill in a Registered Login screen accessible only from the email web link. Login will include username, password (x2) and confirmation key from the email.

EFILE 22.0.1 Successful?

If the login is unsuccessful, the system will parse the username, password, and confirmation key (first time only). If the confirmation key is incorrect the system will not prompt the user for password reminders, but will simply deny access and direct the user to contact the county or courts (see Help information). If the username or password is incorrect, the system will only ask if the user cannot remember password, and do they want password reminder prompt.

If the Login is successful, the user will be immediately directed to 22.1 Registered Case List of prior registered cases, if this is not the first time they have registered a case online (note that only after successfully registering a case once will a login result in seeing other cases that belong to a litigant or an attorney).

In addition to a Registered Case List, the user will be provided with clickable choices to initiate a case registration in 22.2 Magistrate, 22.3 State or 22.4 Superior Court.

EFILE 22.0.1 Password Reminders

If yes, the system will display a pop-up window with one or more secret questions. The user will be required to correctly answer.

If answered correctly, the system will notify the user that an email will be sent with the username and a randomly generated password, and the user will try again. Use of a system-generated password will always result in a login that requires the user to change their password and enter it twice.

EFILE 22.1 Registered Case View

In addition to a Registered Case List, the user will be provided with clickable choices to initiate a case registration in 22.2 Magistrate, 22.3 State or 22.4 Superior Court.

EFILE 22.1.1 Registered Case View

Note that the registered case list (22.1.5) is only available to registered users, who have received their first case. The below process is for first time logins that have not yet received a case number for a case.

EFILE 22.1.2 Identity Confirmed?

If the user has not registered prior cases, or has not received a case number for an active case request, the Case List will be empty.

EFILE 22.1.3 Instructions

The user will receive instructions to complete the case registration; access to their case list will be provided after they receive a case number. If the user does not want to file a case, and only seeks to register in order to see their case list, they will be advised to go to court to have their identity confirmed.

EFILE 22.1.4 Identity Confirmed

If the user proceeds to court to confirm their identity a clerk or an administrator with user access permissions will be able to check and confirm a user's identification and toggle a checkbox to confirm identity (see administrative requirements below).

Users that file a case will have their identity automatically confirmed by the system after a case number has been issued. Note that this precautionary measure is designed to keep a malicious user from establishing a false online identity for the purposes of finding out all the court cases listed under a single litigant. The workflow is predicated on the principle that most cases require filing fees and the use of a credit card to confirm identity. In addition, the user assumes greater legal liability for abuse of process, if a case is filed maliciously.

EFILE 22.2 Magistrate Court Case Request

EFILE 22.2.1 Case Request

Selecting a Magistrate Court Case Request exposes a sequence of e-filing screens very similar to the functionality for State and Superior Court. The key differences include the titles and names on each screen, which shall display uniquely by court; the lists of values (pick lists) for case types and other unique content by court; help text; and workflow, especially at the court side, intake clerks (see 23.0 below).

Significant help text, using a number of methodologies, must be considered at this juncture to help the user understand which court to consider. Help text must include the role and purpose of each court, the types of cases that can be filed at each court, jurisdictional limits, dollar amounts and other information.

Help text must be provided in FAQs, detailed documentation available as PDFs from a menu, references to laws and statutes and summaries available in pop-up windows on mouse-over of each court.

EFILE 22.2.2 Terms and Conditions

Standard terms and conditions for persons attempting to file a case shall be displayed for all new users. The user will be required to scroll through the entire set of terms and conditions in order to reach an Accept button. The terms and conditions shall not be constrained by the two screen geography maximum.

Terms and conditions at case registration are intended for a different purpose than at person, company or attorney registration. The content for these will be developed and provided by the courts, working with legal counsel. It is required that the content for terms and conditions be able to be easily administered and modified by court

administrators on an ad hoc basis.

EFILE 22.2.3 Accept?

At the bottom of the Terms and Conditions screen, the Accept button shall be clickable. Not clicking the button and attempting to click the Back button or to leave the Person Registration will warn the user that all Registration information will be lost. Clicking on any of the links at the top of the Terms and Conditions screen will open separate windows and not affect the navigation of Terms and Conditions.

EFILE 22.2.4 Update Profile

No user profile/My Account information will be stored as case data in CMS (CJIS I-Series). The database for E-Filing shall at all times be kept separate from the persons database for cases. Only a clerk or a judge can accept (convert and transfer) online account information to case information.

See 21.1.4 User Identity, for data sets associated with the plaintiff. For person and company filers, the profile of the registered user will be referred to as My Account. The update profile screen will include all account information for the plaintiff. They shall be requested in associated help text to ensure that the profile information is accurate and up-to-date; it will be used as the plaintiff information.

For attorneys, the Update Profile will include a selection list at the top to identify the plaintiff from a list of clients, and the update profile screen will display their biographical and identifying information. The attorney will also have a New button to create a new client/plaintiff. The new client/plaintiff will display a set of profile attributes, identical to the update profile screen, with no information filled in.

At the completion of update or new plaintiff, the user will be required to click a Submit button at the top of the screen. The system will validate missing mandatory fields.

Update profile for person and company users will be available to edit at any time during a login session. Update profile for an attorney will also take him/her to the My Account page, but not to the plaintiff profile page.

EFILE 22.2.5 Add Power of Attorney

If an attorney or 3rd party submitting a case is acting as a guardian ad litem, guardian or other authorized representative of a minor or incapacitated person, they must submit and attach a document authorizing them as power of attorney. See 10.2 Attach Document for the procedures. A person, who is not an attorney, but is acting on behalf of another party, must add the person as a plaintiff on the case (see 22.2.6 Additional Plaintiffs below).

EFILE 22.2.6 Additional Plaintiffs

Additional plaintiffs user interface shall include a description of the role of other plaintiffs, who must have standing in the dispute. Including other plaintiffs on the list does not prevent them from withdrawing their name from the case. Other plaintiffs must be served notice of the case (see Service of Process instructions below), similar

to Defendants.

The interface shall be presented as a list to which New plaintiffs may be added. Data entry for new plaintiffs may be done in the list or by double clicking on the list, in a forms tool. Data sets for additional plaintiffs are consistent with plaintiff data sets, with exceptions:

- Parsed name information (mandatory family name);
- Alias(es), note the system must store prior names, after name edits or changes as past names or aliases (also known as) (optional);
- Address(es), note that the system must store all current and past addresses (mandatory one address);
- Credential ID, (optional, one credential with one alpha numeric field, options include: driver's license, passport, social security number, voter ID card, other;
- Email address (optional);
- Cellphone number (optional, but required for SMS notifications);
- Attorney name (optional) from a pre-selected list of registered attorneys or free text field; and
- Other information (optional, free text field).

EFILE 22.2.7 Defendant(s)

Defendants user interface shall include a description of the role of Defendants, who must have standing in the dispute as the opposite party(ies). Defendants must be served notice of the case (see Service of Process instructions below).

The interface shall be presented as a list to which Defendants may be added. Data entry for Defendants may be done in the list or by double clicking on the list, in a forms tool. Data sets for defendants are consistent with plaintiff data sets, with exceptions:

- Parsed name information (mandatory family name);
- Alias(es), note the system must store prior names, after name edits or changes as past names or aliases (also known as) (optional);
- Address(es), note that the system must store all current and past addresses (mandatory one address);
- Credential ID, (optional, one credential with one alpha numeric field, options include: driver's license, passport, social security number, voter ID card, other;
- Email address (optional);
- Cellphone number (optional, but required for SMS notifications);
- Attorney name (optional) from a pre-selected list of registered attorneys or free text field; and
- Other information (optional, free text field).

EFILE 22.2.8 Dispute Description

The dispute description will be a free text field with instructions to describe in summary the dispute between the plaintiff(s) and defendant(s). If the user is an attorney, the dispute description is not equal to the complaint text; in part because complaints may be much larger than what would be able to fit into a limited text field.

The attorney shall be advised to attach the complaint and provide a summary brief of the causes of action in the description.

EFILE 22.2.9 Select Casetype

Casetypes are constrained by court. Each casetype shall include a mouse-over description of the casetype, its purpose, and jurisdictional limitations for the court and casetype (i.e. dollar limits on prayers); a link to FAQs about casetypes and other Help information for assistance where warranted or permissible. Additional information shall be provided on this screen informing the filer that selected casetypes including statements of claim at Magistrate Court and family cases at Superior Court will have a high likelihood of requiring mandatory ADR.

EFILE 22.2.10 Causes of Action and Prayers

Causes of action and prayers shall include a pre-determined list of primary and secondary causes, constrained by casetype. Examples include amounts requested for the primary judgment; interest; court costs and attorney fees. An "Other" choice will require the completion of a free text description of what other means.

EFILE 22.2.11 Attachments

The plaintiff will be required to attach documents in PDF form, either from scans or from document conversions. Mandatory documents for E-Filing will be identified by Type and Subtype and constrained by casetype and court.

EFILE 22.2.12 E-Payment?

The filer shall be presented with an option to pay the filing fee online or to proceed to the courthouse to pay. Paying online will be enabled with the following choices:

Person filer: credit card or EFT from bank account

Company filer: credit card or EFT from pre-set escrow or bank account

Attorney filer: credit card or EFT from pre-set escrow or bank account

The filer shall be warned that additional fees may be charged by 3rd party credit card handling companies and banks for the convenience of using online payment channels. The exact text for these advisories will be provided by court legal counsel.

If the filer chooses to pay the filing fee online, they will be directed to an E-Payment process. See 12. 2 E-Payment. At E-Payment the final calculation of the filing fee may include the assessment of additional charges for service of process on the complaint, if they choose to use Sheriff service.

EFILE 22.2.13 Service of Process Instructions

The filer shall then be advised that, if they have paid the filing fees online, they will be required to notify the defendant(s). If they have not paid for Sheriff service, they will be required to use private process servers. Instructions about where to go and what to do shall be made available at this process.

EFILE 22.2.14 Confirmation/Submit

A summary of the entire E-Filing, all data fields and information, will be displayed for

the filer to review and to confirm that all information is correct. If they wish to modify any information, they will be advised to return to the appropriate screen to edit the information by use of a sequential, tabbed navigation link. No fields should be editable on the E-Filing Summary screen.

If the filer chooses to confirm the information on the E-Filing, they will be asked to “Confirm;” advised that clicking “Submit” will lock the E-Filing for editing, unless the court asks them to amend the E-Filing; and then requested to click “Submit” or “Submit to Court.” Clicking “Submit” will lock the E-Filing for editing, except the My Account (user profile) details.

At the clicking of “Submit,” the E-Filing stage will change to “Submitted.”

EFILE 22.2.14D View/Print Service Request Summary

The filer will be permitted to download or print the E-Filing Summary from a PDF file.

EFILE 22.2.15 Email/SMS Notification

The filer will receive an auto-email from the court informing him/her that the E-Filing request has been received. Two email templates shall be used with the configuration and look and feel for each customized for each of three courts: Magistrate Court, State Court and Superior Court.

Template 1 Fee Payment

If E-Payment has been successfully submitted, advisory to wait for N hours or N days for review by the court and the creation of a court case. If any problems or errors are noted by the court, they will advise the filer via email and change the stage of the E-Filing request to Amendment Required.

Template 2 No Fee Payment

If E-Payment has not been chosen or successfully processed, advisory to proceed to court to complete case registration; to be prepared to pay a filing fee; and information about where to go and a limitation on how long the filer has to complete case registration at the court.

EFILE 23.1 Create Case

The Create Case process is designed for the court or intake clerks in Magistrate, State and Superior Court. The E-Filing requests must be placed in a “Service Request” list of submitted cases in a Court module of the E-Filing application for each Court, depending on the Court and casetype chosen in the E-Filing request.

The Service Request list will include new case filings and new pleading filings from existing cases. These will clearly identified and filterable by query.

EFILE 23.1.1 Fees Paid?

If fees are not paid in the E-Filing, the requests shall remain in the queue until the filer appears at the intake counter. Selected cases, such as temporary restraining orders, do not require filing fees, and the system will validate that no payment is required and the clerk may proceed with case registration. The court or intake clerk may open

the filing, but they will not be able to edit, accept or register any cases without a paid filing fee, where required, by system validation.

If filing fees have been electronically paid, the clerk may proceed to register a case. See 23.1.3 below.

EFILE 23.1.2 N Days Elapsed?

After a pre-determined number of days without the appearance of the filer at the court, an E-Filing request with unpaid filing fees will be changed to “Expired,” and a notification sent to the filer that their request has expired. The status change simply enables the clerk to filter out these types of requests, although the clerk will be required to reopen the E-Filing when the filer appears at court.

Any E-Filing for which the filer has allowed their online account to lapse or expire will be Closed and will not be able to be reopened.

EFILE 23.1.3 Intake Clerk Review

The intake clerk shall review the E-Filing request and will be able to perform one type of operation on the data – link the parties on the case to CMS database parties only. This operation will be performed in a temporary user interface on the E-Filing itself.

EFILE 23.1.4 Filing Complete?

If the E-Filing is not complete or requires amendment, the clerk will be able to notify the filer via email and an easy-to-use checkbox of pre-set, common errors + a free text field to describe what might need to be done. Common errors include the attachment of an incorrect document with the correct document type or subtype.

EFILE 23.1.4 Process E-Payment or Counter Payment

The clerk shall confirm the successful processing of an E-Payment for filing fees, or, at this juncture, may process a filing fee at the counter, using the E-Filing service request, when the filer appears at the court. This process interface shall include the ability to conduct a point of sale transaction by credit card using a touch-screen monitor made available to the filer with a POS credit card swipe machine. Alternatively, the filer may pay by cash or check, and a receipt issued

EFILE 23.1.5 Register Case

Case registration shall be completed in the E-Filing Court module of the application, using a Create Case button from a temporary user interface with the other parties linked to the correct database parties, where already included in the CMS database. Matching of parties will only be by credential IDs, not by name. Case registration will require a real-time bi-directional integration with CMS (CJS I-Series) to enable the CMS to generate the case number and load the E-Filing application.

EFILE 23.1.6 Email/SMS Notification

Once a case has been registered, the filer will receive an email notification with the case number, judge assignment, additional advice about serving other parties and

other needed information, regardless of whether they completed filing online or at the counter.

Non-Functional Requirements

EFILE 2.1 Management Information

EFILE 2.1.1 Dashboard

Provide a dashboard of basic management information, including a table of data and associated and relevant graphs in color format. Graphs may utilize mouse over or static data illustrations. Drill downs on any primary level criteria will expose a list of the cases by case number that match the criteria. Requirements include:

Number of E-Filing SRs with cases registered, initiated and sortable by:

- Person filer, by case registered
- Company filer
- Attorney filer
- E-Payments utilized by form of E-Payment
- Court
- Casetype
- Judge
- Year, quarter, month, day
- Trends by month over a year; by year over 5 years

Number of E-Filing service requests sortable by:

- Person filer, by E-Filing initiated, no case registered
- Company filer, by E-Filing initiated, no case registered
- Attorney filer, by E-Filing initiated, no case registered
- Ratio (percentage) of cases registered from E-Filing requests to E-Filing requests initiated (total E-filing requests/cases registered from E-Filing requests)
- Trends by month over a year; by year over 5 years

Number of E-Filing service requests sortable by:

- Person filer, by E-Filing initiated, and amendment required to register, by number of amendments, and average per E-Filing
- Company filer, by E-Filing initiated, and amendment required to register, by number of amendments, and average per E-Filing
- Attorney filer, by E-Filing initiated, and amendment required to register, by number of amendments, and average per E-Filing
- Ratio (percentage) of cases registered from E-Filing requests to E-Filing requests with amendments (total E-filing requests with amendments/cases registered from E-Filing requests)
- Trends by month over a year; by year over 5 years

Duration of E-Filing from E-Filing initiation to E-Filing case registration by:

- Mean, median, 100th percentile duration

- Person filer
- Company filer
- Attorney filer
- Court
- Casetype
- Year, quarter, month, day
- Trends by month over a year; by year over 5 years

EFILE 2.1.2 Ad Hoc Reporting

Provide the ability for authorized end users to convert any list to a report in MS Word, MS Excel, PDF or RTF.

EFILE 2.2 Administration and Security

EFILE 2.2.1 E-Filing Application End Users Within Intranet

User identities, usernames and passwords shall be defined by CMS and wholly integrated into the application with a single sign on when accessing from within the County Intranet. User access and permissions (read/write) shall be established by an indexed position type for uniform access to application functionality and responsibilities. Single sign-on access shall only be provided for existing and future CMS (CJIS I-Series) users, not for person, company and attorney filers.

EFILE 2.2.2 E-Filing Application End Users Outside Intranet (Internet-based access)

Access to the E-Filing Application from the Internet shall provide medium interactivity functionality. End users will not be required to use a VPN, but will be required to sign on using a username and password and access the E-Filing application using HTTPS security protocols. For person, company and attorney users, identities must be established for E-Filing Application access, entirely separate from CMS (CJIS I-Series).

EFILE 2.2.3 Administration of Users

E-Filing Application users from inside the County intranet shall be granted and denied access via the CMS interface and single sign-on, and not by separate E-Filing Application tools. These tools must include the ability for non-technical administrators to associate users with position types and responsibilities. User access and permissions for position types shall not be editable with the substantive creation of unique position types, in order to ensure uniformity of position type roles. VPN usernames and passwords shall be easily managed by non-technical administrative tools.

External E-Filing person, company and attorney users shall be managed by administrative tools from the E-Filing Application.

EFILE 2.2.4 Administration of Key Tables

All key tables or lists of values shall be managed within CMS and integrated with E-Filing through master data integration, except for supplementary data that is not currently provided in CMS, specifically associated with E-Filing:

- Person, company and attorney lists of values needed for E-Filing application
- Tabbed and pick list values needed for E-Filing application, not derived from

CMS

State Model

EFILE 2.2.1 E-Filing Stages

A detailed auto-state model must be built describing for the users the current E-Filing stage, including, at minimum, the following stages:

1. **In Process_01, _02, _N times:** this will be the first status that the SR will have. An uncompleted SR not submitted, will always be in process, unless expired. For Fee Payment functionality, if the Clerk returns the SR to the filer for amendments or fee payment, the status will be changed back to In Process. Each time the SR is In Process, it will be numbered with a suffix _N.
2. **Submitted:** As soon as the user clicks on the submit button to submit the SR, its status changes to Submitted. A Submitted SR can be transferred between clerks and seen by all authorized clerks by Court/casetype.
3. **Expired:** if the SR times out whether this resides with the filer or the clerk its status changes to Expired. Expired SRs can always be re-activated to be In Process or Submitted again.
4. **Case Number Assigned:** This is a final status, as soon the clerk clicks on create case button, the SR status will change to Case Number Assigned.
5. **Case Updated:** For future phases, a requestor will be able to request a motion, petition or case update by service request. Once the request has been accepted and added to the case, the SR status will change to Case Update.
6. **Closed:** For SRs that have been submitted, but for which no Case Number has been assigned, the SR will be changed to Closed after N days, or when the filer account lapses. Closed SRs cannot be reopened.

E-Filing stages must be triggered by activities and cannot be manually changed by the users.

3.3 Workflow Diagrams

Illustration 3.1
E-Filing Application Level I E-Filing Overview

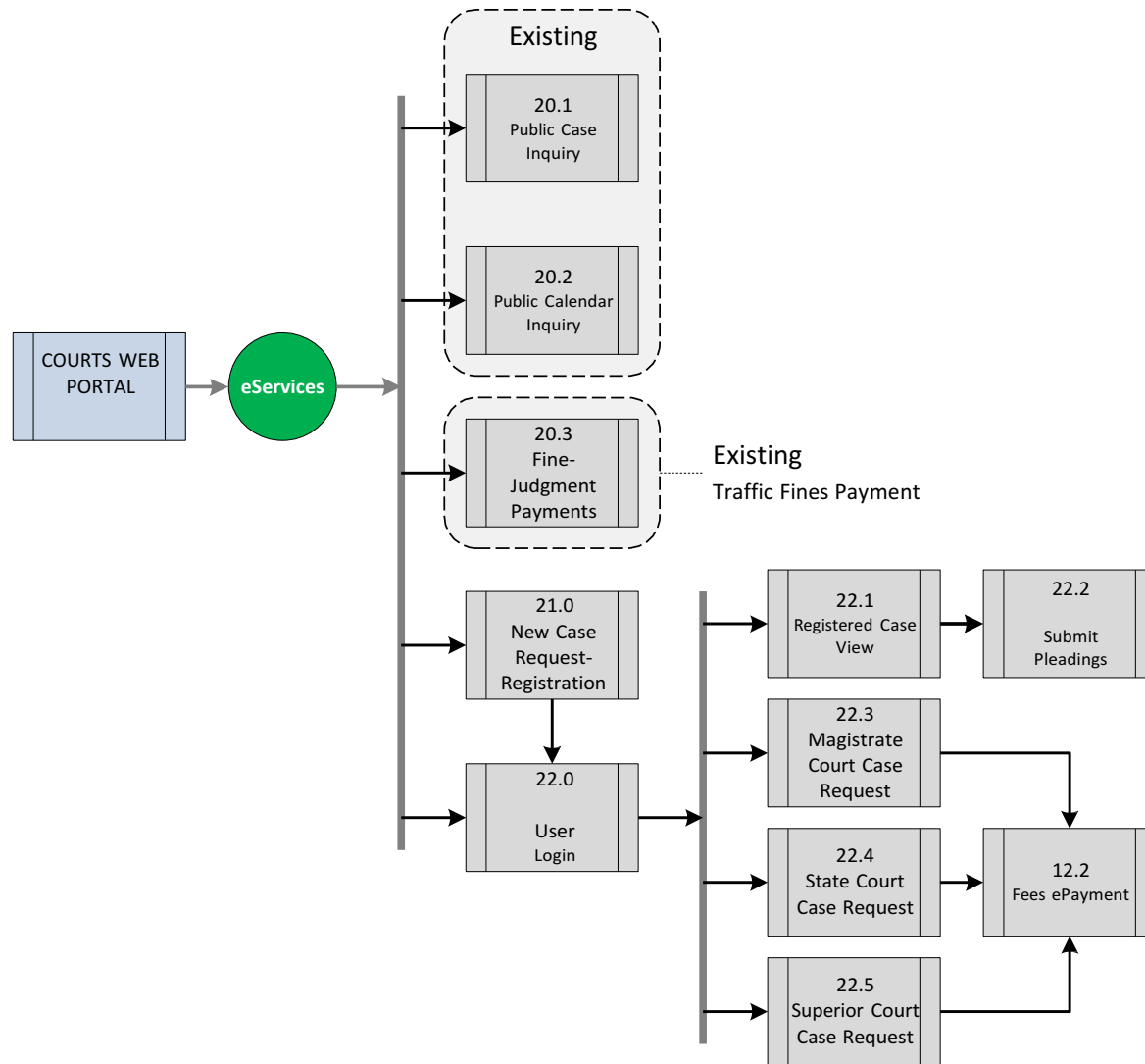


Illustration 3.2
E-Filing 20.1 Public Case Inquiry

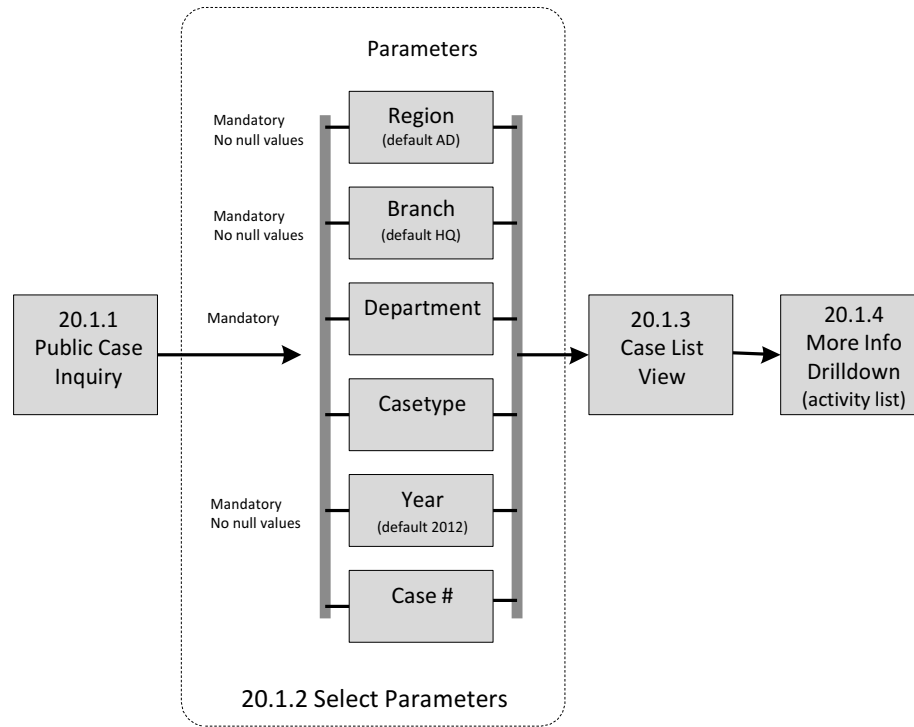


Illustration 3.3
E-Filing 21.0 Registration

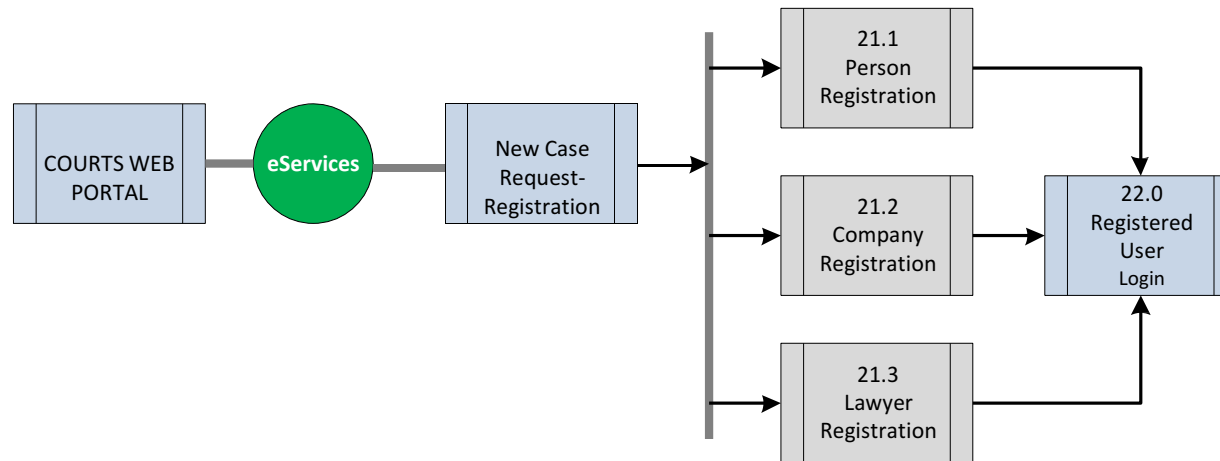


Illustration 3.4
E-Filing 21.1 Person Registration

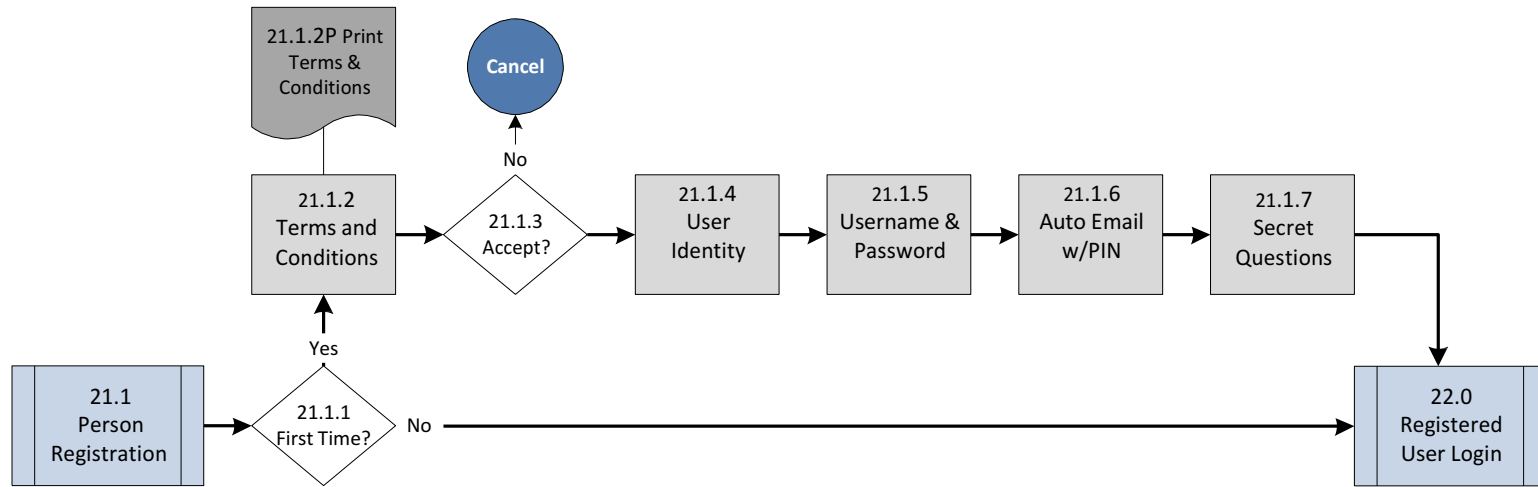


Illustration 3.5
E-Filing 21.2 Company Registration

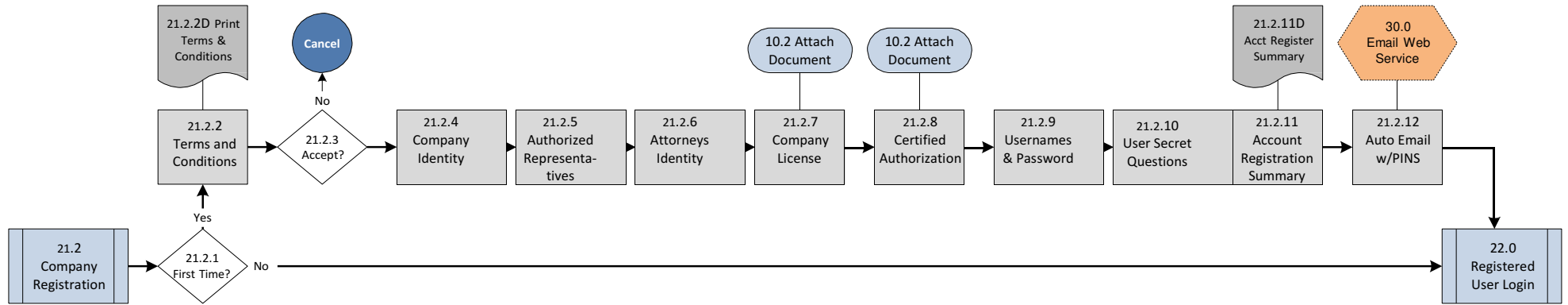


Illustration 3.6
E-Filing 21.3 Lawyer Registration

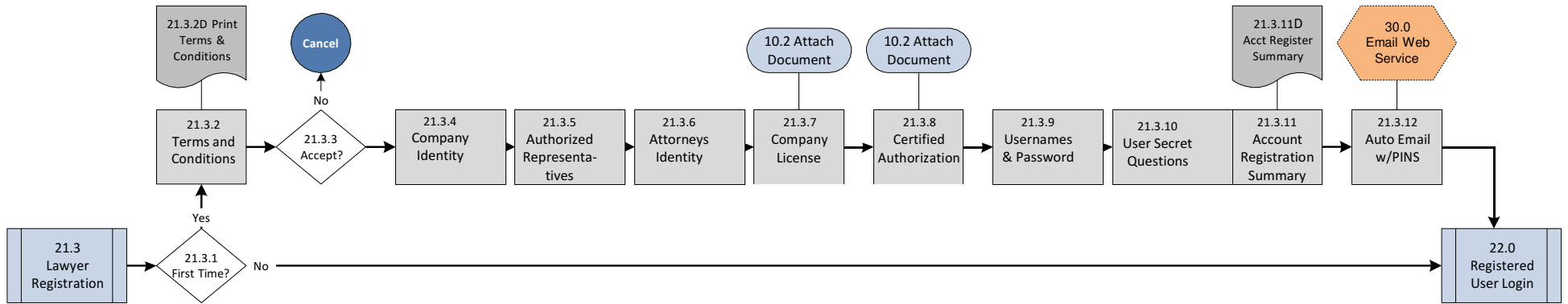


Illustration 3.7
E-Filing 22.0 Registered User Login

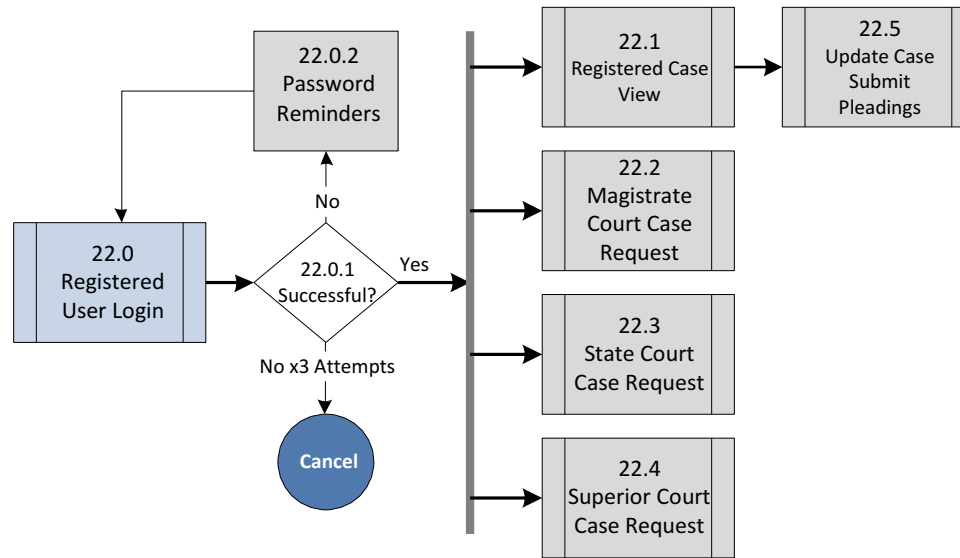


Illustration 3.9
E-Filing 22.2 Magistrate Court Case Request

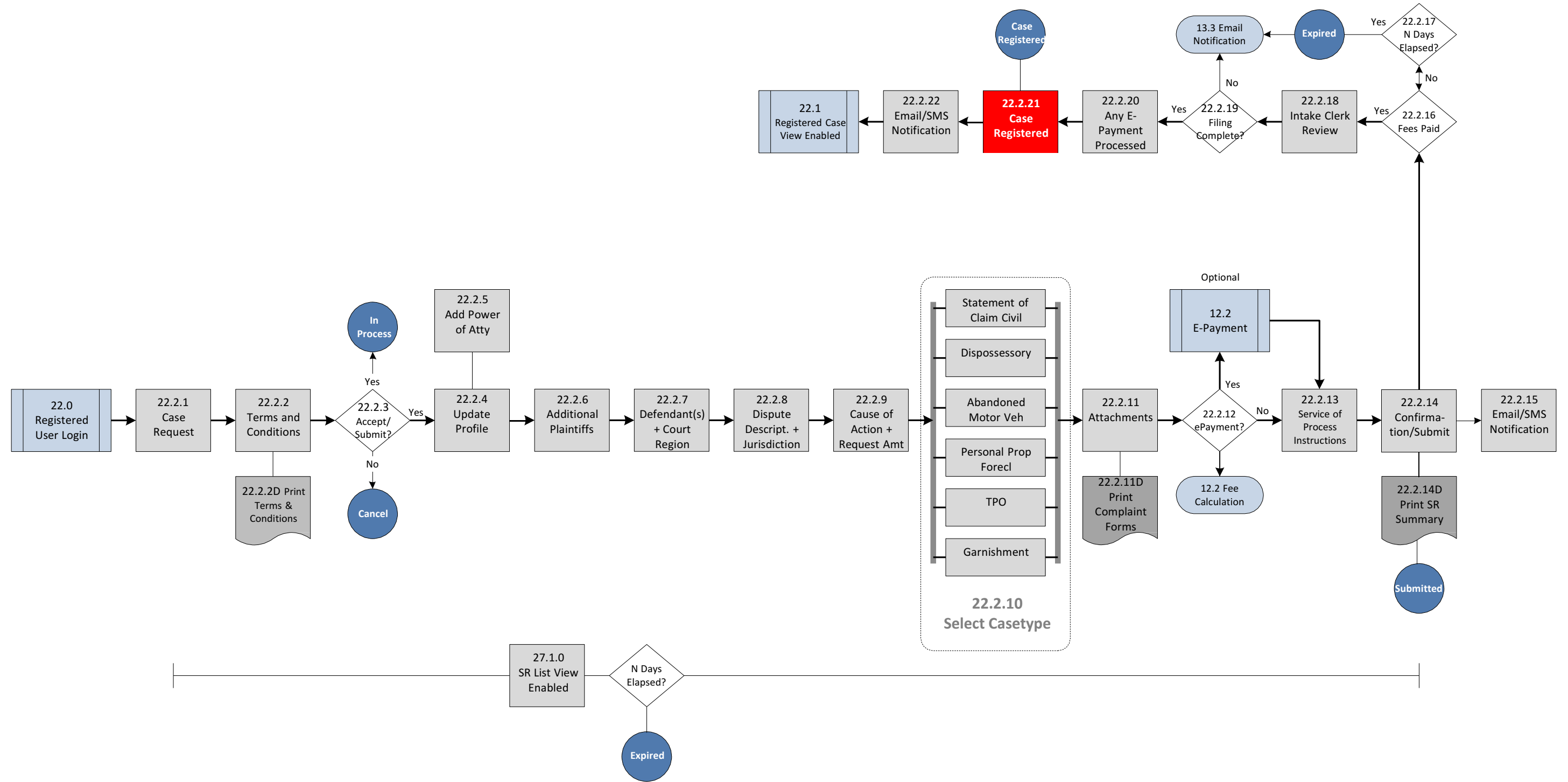


Illustration 3.10
E-Filing 22.5 Submit Pleadings

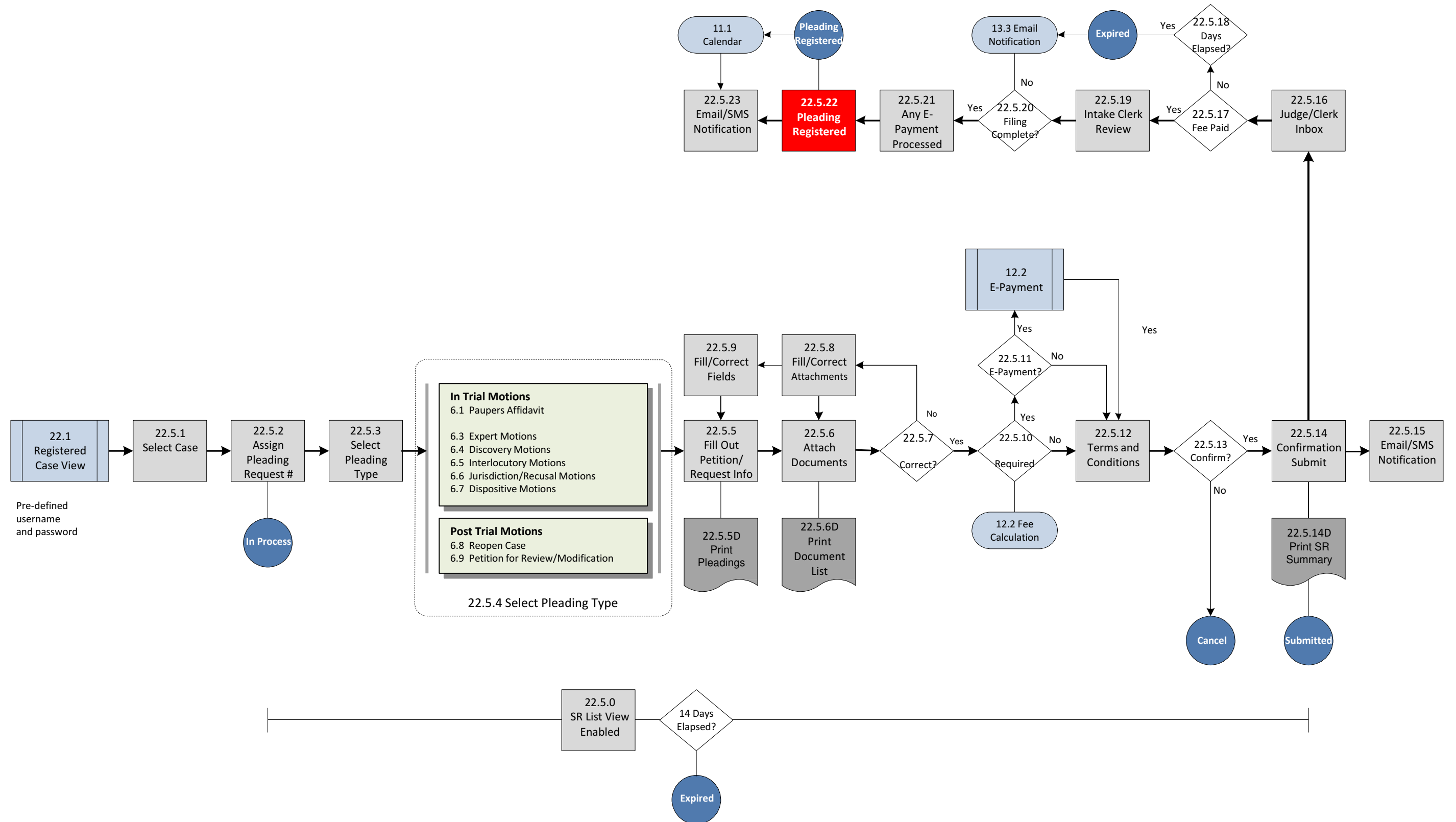
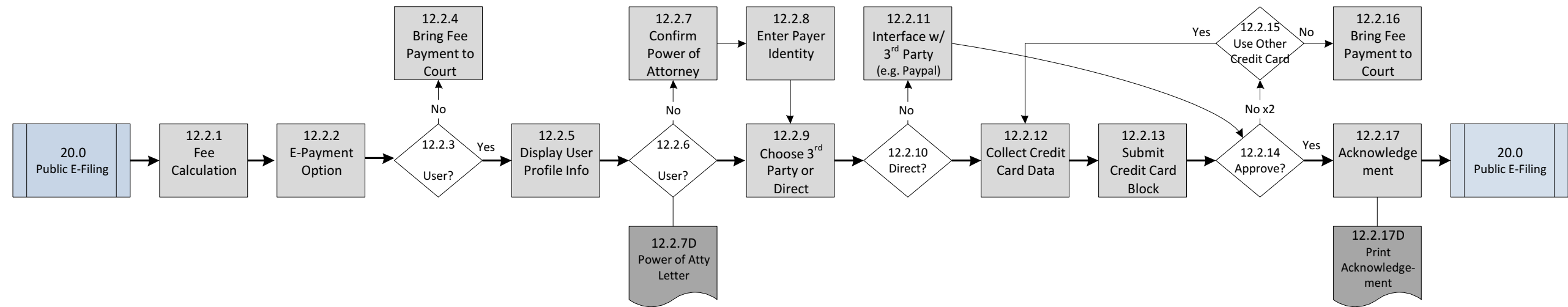


Illustration 3.11
E-Filing 12.2 E-Payment



5.4 Reports

- EFILE D1.1 E-Filing Terms and Conditions 1 and 2**
Downloadable, printable PDF terms and conditions: 1) at filer/plaintiff registration; and 2) at case/pleading submission.
- EFILE D1.2 E-Filing Rules of Court**
Downloadable, printable PDF Rules of Court for E-Filing.
- EFILE D1.3 E-Filing Courts and Casetypes by Court**
Downloadable, printable PDF casetypes and jurisdiction descriptions by three courts: 1) Magistrate Court; 2) State Court; and 3) Superior Court.
- EFILE D1.4 E-Filing Documents**
Downloadable, printable PDF index of documents attached to the E-Filing request.
- EFILE D1.5 E-Filing Receipt**
Downloadable, printable PDF receipt after E-Payment.
- EFILE D1.6 E-Filing Summary Report**
Downloadable, printable PDF summary report of E-Filing information by service request

5.5 Reference and Administrative Data

Reference and administrative data will be required to complete the functional and non-functional requirements for the E-Filing Application. This is especially critical to define the attributes (fields) required for each court, casetype, prosecutor agency and defense counsel agency or office.

These reference data must be keyed and indexed to the CMS (CJIS I-Series) system, but must be expanded to include lists of conditions (e.g. probation) and other values that may currently be associated with free text fields in CMS. Pre-defined sets of selected values must be able to populate free-text fields in CMS; their attributes must be compatible.