

Electronic Filing Implementation Plan and Costs

Alternative method for electronic filing implementation

The original eFiling implementation plan envisioned simultaneous rollout of all case types, supported through a biennial budget request of \$2.1 million, but the funding was not provided. The Committee of Chief Judges and CCAP have worked together to find an alternative approach that does not require new funds to implement. We have concluded that the best option is to begin mandatory eFiling with civil, family, small claims and paternity cases.

The new plan takes advantage of the fact that so many counties have moved to paperless files and begun to offer voluntary eFiling. Currently 51 Wisconsin circuit courts allow voluntary eFiling for certain civil, small claims and family cases. At least 18 counties are entirely paperless, and many have moved to all-electronic case files in selected case types. This rapid progress will allow CCAP to use existing staff and resources to quickly complete the software development and training for the first four case types.

There are many advantages to starting this way. The initial expense for onsite training will be reduced because staff and judges are already trained to work with electronic files, so training can focus on attorneys and other eFilers. The counties have already been provided with the necessary document scanning equipment to support eFiling for these case types and have done much of the scanning already. The revenues from these case types will be sufficient to fund expansion of the eFiling system for the remaining case types.

In order to implement mandatory eFiling for civil, family, small claims and paternity cases, CCAP must accomplish the following deliverables:

1. Upgrade the eFiling system to conform with the new rule and to current CCAP technology standards

CCAP will use existing programming and analyst resources to update the current eFiling system, which was initially developed eight years ago. Network connections, storage capability, and backup systems will be expanded. New functions will be added in alignment with the proposed Supreme Court Rule. CCAP will incorporate suggestions from current eFilers, judges and court staff to make the system more efficient.

Attachment A lists the changes that are needed to implement eFiling for the civil, family, small claims and paternity case types. **Attachment B** lists the current outstanding requests that will need to be subsequently addressed. We

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anticipate that the majority of these changes will be in place by the end of 2017 as additional case types are developed.

The eFiling development team has already begun work on this project. CCAP staff have been reassigned from other projects to work on eFiling. The major development effort for the eFiling framework and first four case types will conclude in time for the pilot. Additional contractors will be hired in late 2016 to expand eFiling to the remaining case types, using eFiling revenues from the early counties.

The decision to use existing resources for the first phase of the eFiling project impacts CCAP's ability to complete other court-related technology projects. **Attachment C** lists projects that are currently deferred until the eFiling system has been successfully implemented in at least 15 counties.

2. Provide on-site training in each county for court staff, local bar, county agencies and other filers as eFiling is adopted.

CCAP's team of business process analysts are currently creating training guides, designing online tutorials, and providing onsite training to local bar and paralegal associations. Once the initial software development is completed, these staff will travel to all 72 counties to provide training to new users. While there are over 12,000 practicing attorneys in the state, fewer than 1,000 attorneys have participated in eFiling during the past four years, so extensive training for new filers in all counties is expected.

As eFiling rolls out to each county, the business process analysts will be embedded in the courts for several weeks to work directly with court staff, judges, and county agency staff. CCAP will install temporary training networks in each county to provide hands-on training. Webinars and online training videos will supplement this hands-on training and serve as reference material for eFilers after the implementation is concluded. CCAP will also provide training at legal conferences, paralegal training programs, and other venues.

The business process analysts will also provide help desk support for eFilers and their support staff. Additional analyst staff will be needed during 2017 to assist with the added workload as new counties and case types are added. The eFiling fee revenue will be used to fund these new positions.

3. Provide additional hardware to transition from paper to electronic records.

CCAP plans to delay installation of additional desktop scanners and large screen or dual monitors. As noted above, much of the document scanning equipment

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necessary for implementing civil, family, small claims and paternity cases has already been provided, and some clerks have voluntarily provided scanners from their own budgets. As mandatory eFiling is rolled out, an additional 375 scanners will be needed for installation in counties that are not currently participating in voluntary eFiling, to be purchased with eFiling fee revenues in 2017. The cost for these additional scanners will be \$103,100.

CCAP estimates an additional 1,025 desktop scanners will be needed to make all case types available by the end of 2019. The cost for these scanners is \$281,900. Again, the eFiling fee revenue will be used to purchase these additional scanners.

CCAP also plans to delay the installation of large screen or dual monitors. This hardware ensures that court staff can easily review electronic documents while simultaneously viewing case management data. CCAP's current monitors are just large enough to allow court staff to use a split-screen setting to view documents and data together without causing a major burden. CCAP can delay the purchase of the additional 1770 monitors until eFiling fee revenue is available. The cost for these monitors is \$354,000.

Hardware Installation per CCAP Equipment Allocation Policy	Total Installations	Current Installations	2017	2018 -2019
Desktop Scanners	1,820	420	375	1025
Large screen/dual monitors	2,600	830	0	1770

The total cost for scanners implemented in 2017 is \$103,100. The total cost for scanners and monitors to be implemented in 2018-2019 is \$635,900. All hardware purchases will be funded through the eFiling fee.

4. Develop, implement, and provide training for mandatory eFiling on all remaining case types

CCAP will use revenues from the eFiling fee to procure contractors to complete the programming and business analyst work for the remaining case types. Additional training materials and documentation will be created, support services will be available, and extensive on-site training will be provided, all funded by the eFiling fee. Implementation will be ongoing through 2019 as new case types are enabled throughout the state.

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Summary

CCAP will expand the current eFiling system for the first four case types using existing CCAP software programmers and business process analyst staff. All the work for mandatory eFiling of civil, family, small claims and paternity cases will be absorbed by CCAP staff and contractors, so no new funding is needed. The bulk of this effort will conclude in the next six months. Essential court functions will continue to be supported during this time.

Using eFiling fee revenues from the first four case types, CCAP will expand eFiling to all case types. The fee will be sufficient to support programming and business analyst staff, purchase necessary hardware, and provide ongoing support and maintenance of the eFiling system. Completion of statewide eFiling for all case types is projected for the end of 2019.

eFiling Revenue and Cost Projections

Without legislative funding, a fee increase for eFiling is necessary. This model increases the current eFiling fee from \$5 to \$20 per case per filer. The revenue will allow CCAP to expand eFiling to all case types, maintain the hardware and software, upgrade the system as needed, and provide filers with ongoing training and support resources.

The increased eFiling fee coupled with the use of CCAP staff provides a mechanism to move mandatory eFiling forward without the need for significant start-up funds. This model will begin to generate a revenue stream within the first six months of implementation that will fund the next phase of the project. The following table details the revenue projections the eFiling fee will generate, as well as the costs for additional case types, through 2019.

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	2016	2017	2018	2019	Ongoing costs
Hardware cost	\$0	\$622,300	\$622,300	\$622,300	\$622,300
New scanners and monitors	\$0	\$103,100	\$318,000	\$318,000	\$0
Development cost	\$120,000	\$240,000	\$120,000	\$120,000	\$120,000
Travel	\$77,200	\$103,900	\$77,200	\$77,200	\$0
Support and implementation	\$0	\$742,400	\$742,400	\$742,400	\$742,400
Total Cost Estimates	\$197,200	\$1,811,700	\$1,879,900	\$1,879,900	\$1,484,700
Revenue Projections	\$256,800	\$2,274,300	\$2,543,600	\$2,244,200	

Notes:

1. Revenues are based on projections of case filings with attorneys representing parties for SC, CV, and FA case types using filing data from 2009 - 2015. Cases with attorneys for indigent filers have been removed.
2. This assumes no revenues in the quarter in which a county is implemented.
3. Hardware costs include ongoing maintenance and support for eFiling infrastructure and equipment replacement in the circuit courts. Costs are averaged over the four year life cycle of hardware.
4. Development costs include two contract programmers to begin in third quarter of 2016 through 2017, and reduced to one contract programmer from 2018 on.
5. Support and implementation cost include eight contract business process analysts.
6. Ongoing costs are general estimates due to the rapidly changing nature of technology and other unknowns.

Attachment A

The following list details outstanding functionality that is needed to implement eFiling for the civil, family, small claims and paternity case. This list is comprised of requests made by eFilers, judges, court commissioners and clerks of circuit court, as well as modifications needed to support the changes outlined in the modified Supreme Court Rule which mandates eFiling.

1. Ensure eFiling website meets all ADA requirements for visually impaired filers.
2. Remove electronic notarization for small claims cases.
3. Complete eFiling for civil, family, small claims and paternity cases by enabling all class codes.
4. Provide means for specialized non-party filers to electronically file documents.
5. Provide ability to add second signature for various court orders.
6. Provide ability for filers to correct and resubmit a filing that was not accepted by the clerk of circuit court.
7. Make modifications to remove PIN as requirement for electronic signature.
8. Provide means for transferring electronic cases between counties for change of venue.
9. Make modifications to filing deadlines per new SCR.
10. Create method to identify smaller filing agents not required to eFile.
11. Allow filers to submit a petition for waiver of fees and costs as part of the eFiling process.
12. Provide a one step process for attorneys to electronically file Notice of Retainer.
13. Create court debit accounts for attorney to use for payment of court/eFiling fees.
14. Provide mechanism for court reporters to upload electronic transcripts and authorize access to filers based on payment.
15. Provide automated review of transcript timeframes for filers for redaction purposes.
16. Provide payment module and access rights for transcripts.
17. Enhance system to allow filers access to sealed and confidential documents
18. Provide a notification system to allow filers to designate staff and others to receive communication of electronic filings by parties and the court.
19. Provide the ability for filers to link documents together such as a Stipulation and Order.
20. Enhance system for document redaction.
21. Provide the ability for creditors to docket a civil judgment electronically.
22. Provide the ability for debtors to satisfy a civil judgment electronically.
23. Make modifications to allow filers to indicate their speaking language to notify the court if an interpreter is needed for court proceedings.
24. Enhance system to apply fee for filing certain documents on existing cases.
25. Provide the ability for filers to submit an earnings garnishment notice electronically.
26. Create a portal for reserve judges and court commissioners to access electronically filed cases from remote locations.
27. Improve system logging for technical failures.
28. Make modifications to interface technology to transmit eFiling data to each county circuit court.

Attachment B

The following list details the outstanding case types that will need to be enabled for eFiling and additional functionality that will need to be programmed in the later phases of the development process.

Case Type	Description	Case types that will be enabled in later phase of project
AD	Adoption	X
CF	Felony	X
CI	Commitment of an inmate	X
CL	Construction Lien	X
CM	Misdemeanor	X
CO	Condominium Lien	X
CT	Criminal Traffic	X
CV	Civil	Complete
CX	Complex Forfeitures	X
FA	Family	Complete
FJ	Foreign Judgments	X
FO	Non-Traffic Ordinance Violation	X
GN	Guardianships	X
HL	Hospital Lien	X
HT	Habitual Traffic Offender	X
IN	Informal Probate	X
JA	Juvenile Adoption	X
JC	Juvenile CHIPS	X
JD	John Doe	X
JG	Juvenile Guardianship	X
JI	Juvenile Injunction	X
JJ	Juvenile Judgments	X
JM	Juvenile Civil Commitment	X
JO	Juvenile Civil Law and Ordinance Violations	X
JV	Juvenile Delinquency	X
ME	Civil Commitment	X
ML	Mechanic's Lien	X
OL	Other Lien	X
PA	Paternity	Complete
PR	Probate	X
SC	Small Claims	Complete
TJ	Transcript of Judgment	X
TP	Juvenile Termination of Parental Rights	X
TR	Traffic Forfeiture	X
TW	Tax Warrants	X
UC	Unemployment Compensation	X
WC	Worker's Compensation	X
WL	Wills	X

Attachment B

Following implementation of all case types, we will begin work on these requested enhancements:

1. Develop an interface for large filers to transfer data/documents automatically from attorney case management system to the eFiling system.
2. Provide means for defendants to electronically sign documents in court or remotely during videoconference hearings.
3. Tie online pro se filing assistants for small claims and family sites to eFiling.

Attachment C

The following list details CCAP projects that are currently deferred until the first phase of the eFiling system has been successfully implemented in at least 15 counties.

1. Upgrade circuit court applications (Case and Financial Management) to version 3.0
2. Improve electronic payment system
3. Transfer termination of assignments from the judicial assignment application to the circuit courts
4. Provide a means for CCAP data to populate standard court forms for circuit court case management users
5. Improve system for administration of user authorities
6. Implement eCourts login for circuit court application authentication
7. Create judicial dashboard application for use with mobile devices
8. Expand state public defender interface
9. Modernize and improve the calendar kiosk hardware and software
10. Review and update court system office suite applications
11. Provide circuit courts with the ability to store converted microfiche files of old case documents on the CCAP network
12. Improve WCCA performance monitoring
13. Provide web link to the Calendar Kiosk application
14. Implement eFiling with district attorneys
15. Expand notification options for the court system website
16. Make enhancements to the current statistical reports application
17. Develop next generation interface technology