

Utah Courts Case and Document Management

Agenda

- Overview of Utah's court structure
- Implementing an electronic records system
- Working in a paperless environment
- The technology
- Information exchanges
- Document retention
- Lessons learned



Utah's Court Structure

Utah has a unified court system

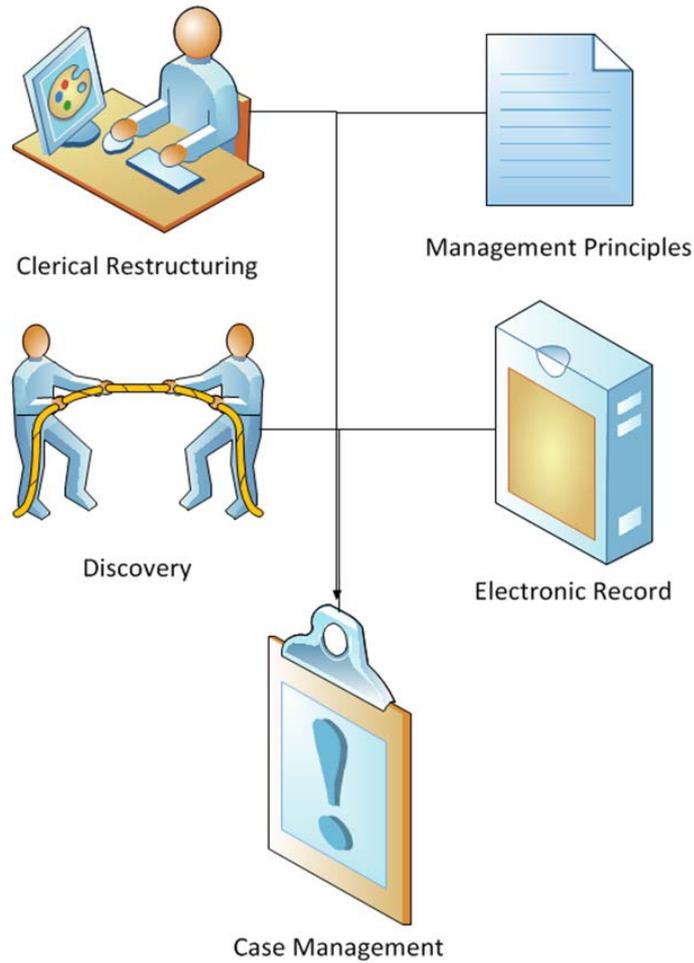
CORIS – District and Justice Court System

CARE – Juvenile Court System

AIS – Appellate Court System

Court	Jurisdiction	Number of Locations	Number of Judges	Cases
Supreme Court	Court of last resort	1	5	595
Court of Appeals	Juvenile and District Court Appeals	1	7	943
District Court	General jurisdiction	36	78	285,196
Juvenile Court	Juvenile matters	34	31	37,789
Justice Court	Local courts of limited jurisdiction	128	98	524,628

Reengineering the court system



The Electronic Record

The key enablers to an electronic record

- Create a court culture that embraces and incorporates technology as part of its business strategy
- Integrate technology with the court's business strategy
- Create an electronic document management system
- Integrate the document management system with CARE, CORIS and AIS case management systems
- Mandate electronic filing
- Adopt W3C technology standards governing access, security, and information exchanges
- Integrate public and private computing services
- Integrate court computing services with our exchange partners

Utah's e-Everything Initiatives

Electronic Service:	Description:
e-record	A paperless form of record keeping.
e-filing civil	An electronic document delivered to a court by electronic means.
e-filing criminal cases	Electronic filing of criminal cases through the statewide Prosecutor Case Management System (PIMS).
e-filing juvenile cases	Electronic filing of juvenile case information.
e-payment	Allows justice, district and juvenile court users to pay for fines, fees, and other court related costs from the Internet.
e-document	A digitally certified document that is created electronically either through e-filing or through scanning paper documents into an electronic form.
e-warrant	Allows law enforcement to electronically request and receive blood draw or search warrant from judges thereby promoting stronger enforcement of DUI and other law through an online application.
e-citation	Moves a citation from law enforcement to the court.
e-warrant juvenile	Allows AG and DCFS workers to electronically request and receive child removal orders.
e-audio	Reliance on a digital recording as the hearing record.
e-transcript	An Internet service that allows an attorney to identify a court hearing and request a verbatim transcript made from the court's digital recording.
e-notice	Notifies attorneys that are participating on a case electronically that an event has occurred on a case to which they are a party.
e-service	Except for primary service where documents are served in person, the system supports secondary service that notifies all parties on the case of additional documents that are submitted on that case.
e-access	Enables the public to access case history and public documents online for a minimal fee through XChange for district and justice courts and MyCase for juvenile courts.
e-video	A remote video conferencing system that allows a judge to participate in a non evidentiary hearing where the judge is in one courthouse and the attorneys and parties are in another courthouse. In addition, the system will allow services to be provided by clerk office personnel who are in a different location than the court patron.
e-translate	A audio/video system that allows an individual to provide translation services for court hearings from a central location rather than requiring travel to the courthouse where the hearing is taking place.
e-appeal	An appellate electronic filing system where the appellate case and the record on appeal is electronically created upon the filing of a notice of appeal in the lower court.

Systems to support e-everything were developed in-house by the AOC IT Division

Impact of electronic case management

- Utah's mandatory e-filing committee estimates clerical time savings equal to 8 to 16 percent when moving from a paper based to an electronic records management system.
- In a focused time study of before and after electronic filing in three magistrate courts and three district courts, the National Center for State Courts found a measureable case processing savings of: 44.2% in civil cases, 45% in domestic violence cases, 35.2% in misdemeanor cases 37.8% in felony cases, 48.9% in civil cases, 14.8% in DWI cases, and a 6.2% increase in traffic cases.
- In the first fiscal year, Utah has realized an actual on-going savings of \$570,000 by selectively filling only some vacant clerical positions
- In the current fiscal year, Utah has saved \$150,000 by not purchasing file folders.

Working with an electronic case file

Judicial Workspace

To assist judges and judicial teams to prepare for and manage court hearings using the electronic court record by...

- Associating documents to a hearing
- Creating case, hearing, and document notes for that hearing
- Managing the calendar in the courtroom
- Accessing case information, and
- Reviewing relevant case notes and documents during the hearing

Hearing -> District

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Judge/Commissioner:* RANDALL N. SKANCHY (rskanchy) ▾

Court Room: ▾

Hearing Date:* 2014-09-15  

Locations: ▾

Start Time: ▾ 

End Time: ▾ 

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Hearings (119)

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Show All: Highlight Notes: Case Last Name:  Party Last Name: Attorney Name: Cancelled: Case Name vs Case Title

Time	Case Name	Case	Hearing Description	Location	All Docs	All Notes	Hearing Notes	Case Notes			
<input type="checkbox"/> 08:30 AM	★ ANDERSON, ALISHA	141907724	SCHEDULING CONF 1	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ ARCHULETTA, ANTHONY MICHAEL	141909127	SCHEDULING CONF 1	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BARKLEY-GODFREY, JENNIFER ANNE	141908191	SCHED CONF 1	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BAXTER, KEVIN TODD	101909114	B/W ORDER TO SHOW CAUSE	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BONILLA, GUILLERMO	131910196	CHANGE OF PLEA	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BONILLA, MICHAEL	131910194	CHANGE OF PLEA	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BONILLA, MICHAEL STEVEN	141903652	CHANGE OF PLEA	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ BOWEN, KIMBERLY	091900778	POST PRELIM 10	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CARSON, JARED MICHAEL	141905270	PRELIM WAIVER/CHANGE OF PLEA	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CHAIRES, ERICA MARTINEZ	131903718	SENTENCING	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CHAMBERLAIN, BRADLEY EDGAR	081908731	REVIEW HEARING	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CHAVEZ, ALBERTO	131910197	POST PRELIM 1	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CLARK, KAID BRIAN	141904856	BENCH WARRANT HRG	3RD DISTRICT COURT - SALT LAKE: N42			 	 			
<input type="checkbox"/> 08:30 AM	★ CLUFF, LOGAN RICHARD	141906268	SENTENCING	3RD DISTRICT COURT - SALT LAKE: N42			 	 			

Hearing -> District

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Judge/Comm Review Area - CARSON, JARED MICHAEL (141905270)

Locations:

Hearings (119)

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Time
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All Notes

Creation Time	Notes	Owned By
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Case Notes + [Case History - 141905270](#)

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Hearing Notes +

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Note

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Hearing Documents

Description	File Date
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Document

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 Signature Panel

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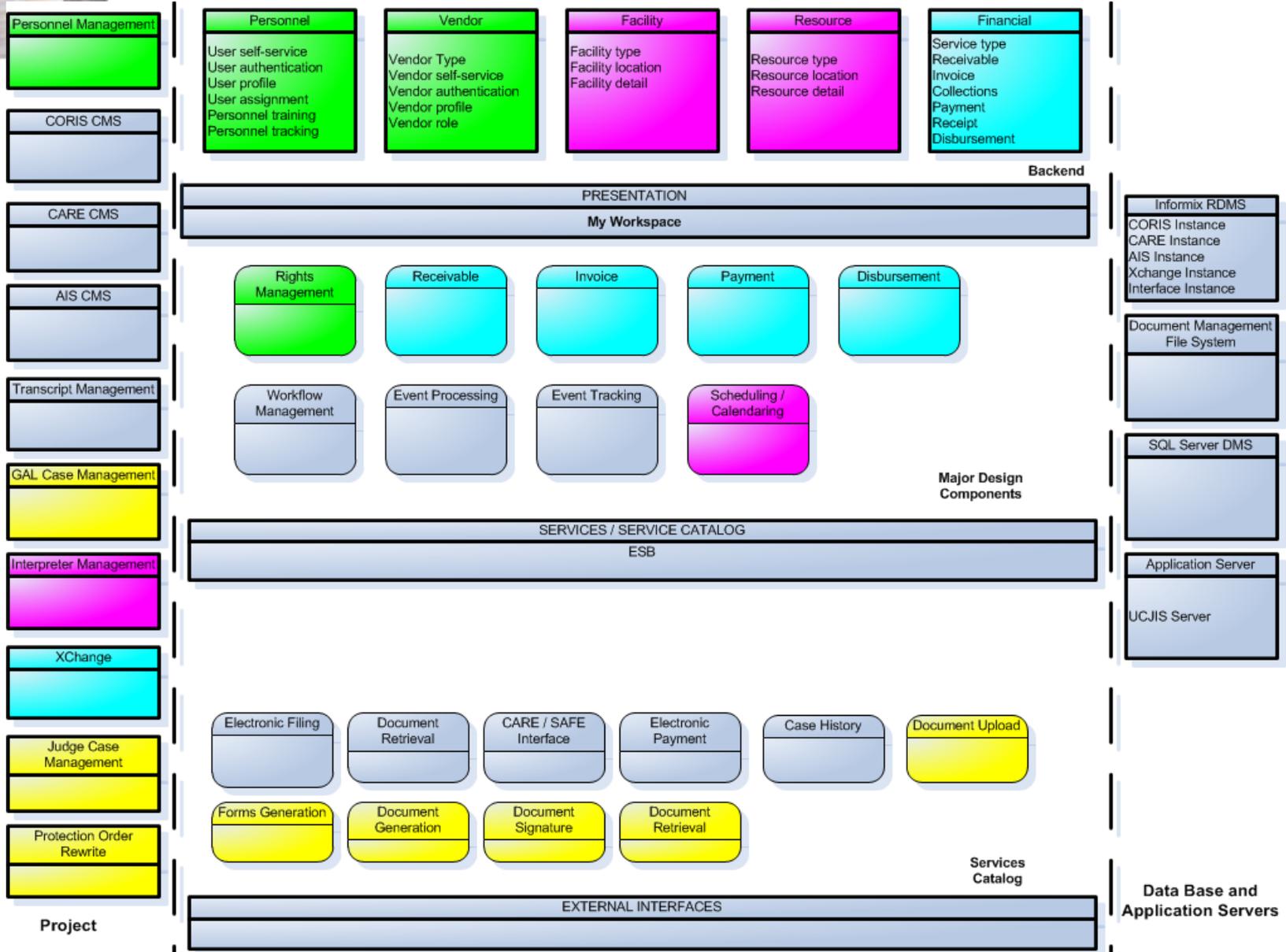
FILED DISTRICT COURT
 Third Judicial District
MAY 09 2014
 SALT LAKE COUNTY
 Deputy Clerk

IN THE THIRD DISTRICT COURT, SALT LAKE DEPARTMENT
 IN AND FOR THE COUNTY OF SALT LAKE, STATE OF UTAH

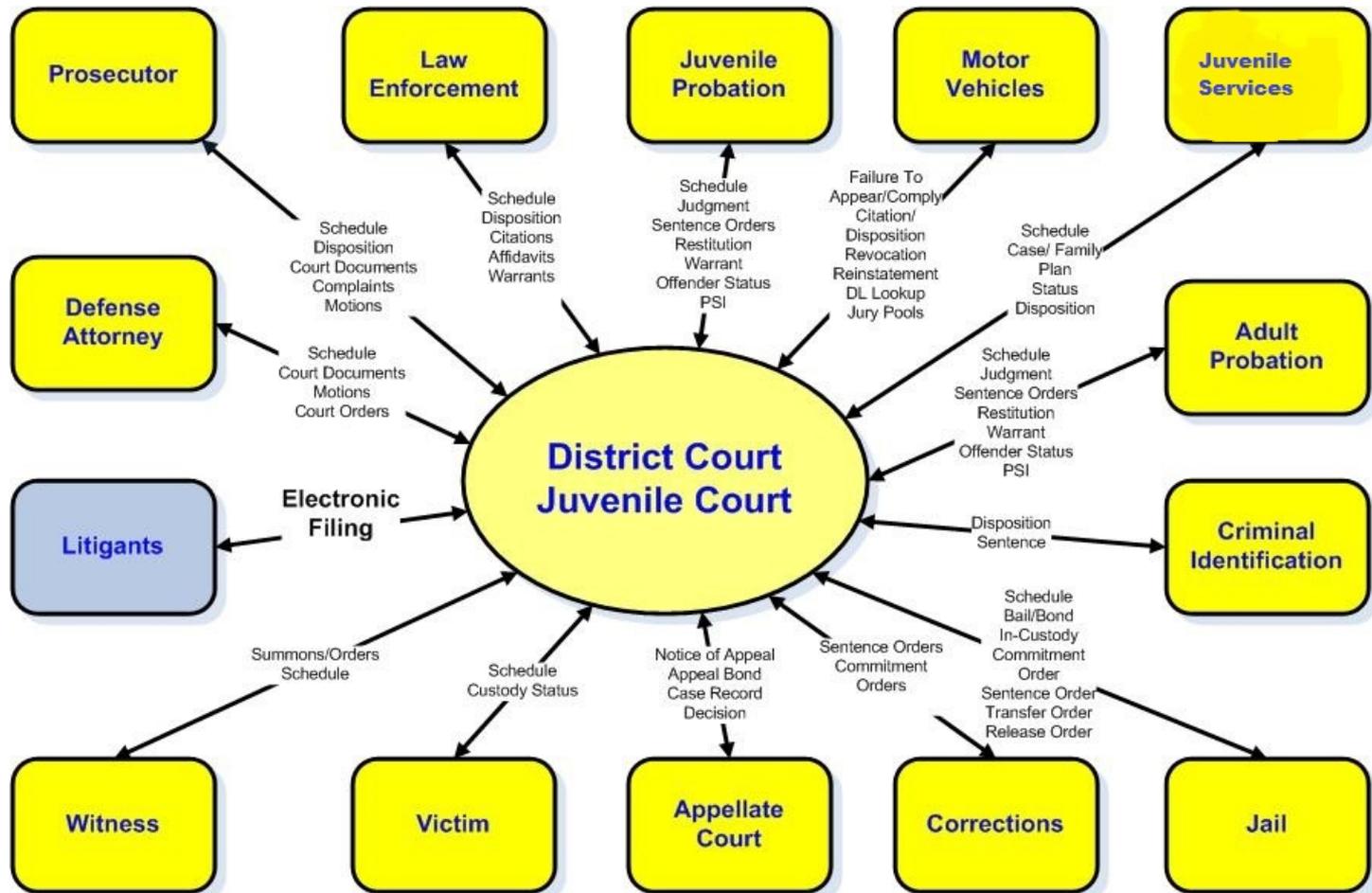
THE STATE OF UTAH Plaintiff, vs. JARED MICHAEL CARSON DOB: 05/17/1983, AKA: Jered Carson, "Jay"	Screened by: BERNADETTE GOMEZ Assigned to: ECR TEAM INFORMATION DAO # 14010466 ECR Status: ECR Initial Appearance: May 28, 2014 8:30 AM
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Utah State Courts



Utah's Exchange Partners



Utah's Exchange Methodology

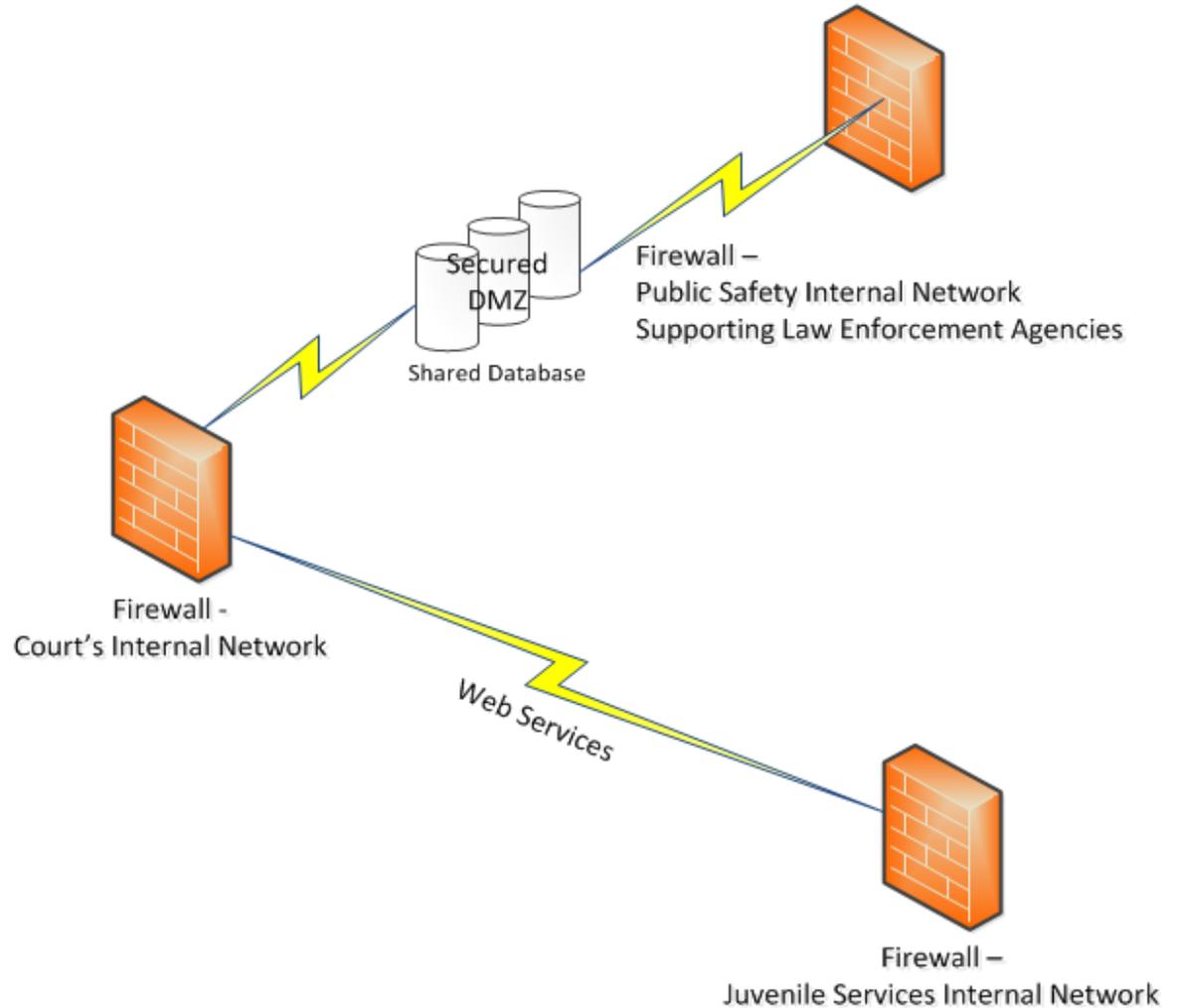
Utah Court's Case Management Systems

Public Safety Exchanges

- Criminal Dispositions
- Driver Records
- Protective Orders
- Arrest/FTA Warrants
- Citations
- Jail Release Agreements
- DNA Testing
- Probable Cause Statements
- E-Warrants
- (Search, GPS, Cell, Drone, Blood Draw, Subpoena)
- Master Offense Table

Juvenile Services Exchanges

- DCFS Data
- EREP/USSDS
- Hearings
- Notifications
- Juvenile Data where DCFS has jurisdiction



Document retention

The Premise:

- The case history, whether paper or electronic, is a permanent record and retained forever

Historical document retention rules:

- Documents could be destroyed after a specified period of time based on case type
- Paper files were shredded at that date

Retention purpose:

- Reconstruct the events that occurred on any case

The rules governing document retention change when adopting a paperless records system

Document retention

**Data should be kept for as long as is necessary
for the purpose it was obtained**

- The court's case management systems are retained as a permanent record
- Electronic documents can now be included as a part of the permanent record
- Utah's courts are now filing 1 million documents each year
- Utah currently maintains 24 Terabytes of digital storage on a system that can expand to 94 Terabytes
- Without a viable document retention policy, the Utah courts would have to double its storage requirements every 3.2 years
- The proposed document retention policy would retain only the final order on a case after 2 years
- The final order will become a permanent record

Lessons learned

A paperless records system changes everything

You must plan for the conversion to an electronic record over the life cycle of the business process and the document supporting that process

Things to consider:

- Do you really need the document?
- How will you create the electronic document?
- How will you certify the electronic document as a true and accurate public record?
- Who gets to see the document and under what document security rules?
- How will your staff work with the document?
- How will that change your current business processes?
- How long do you need to keep the electronic document?
- How will you remove a document once it is no longer required?

Comments?
Questions?

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