

## **Attachment D Reporting Requirements**

Any court or clerk that wishes to implement an electronic filing system, that would reduce or eliminate the need for paper filing, must institute the testing criteria described in this section. This test will be subject to review by the courts. This test is to ensure the accuracy of the data being captured, the reliability and availability of the electronic filing system, and the timeliness of the electronic filing system are satisfactorily addressed.

**Per Florida Courts Technology Commission approval, copies of the monthly progress reports should be provided to (1) the Chief Judge of the Judicial Circuit or District Court; and (2) the Director of Information Systems Services, OSCA (via email to [e-initiatives@flcourts.org](mailto:e-initiatives@flcourts.org)).**

<b>Testing Criteria for E-Filing System</b>
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In order to ensure the court record is received and processed with no errors, the court record is secure, and the system has the capacity and ability to handle expected volume of filings, a testing period is required and information about the test must be reported on. The minimum test period is 90 days.

### **Establish the pilot group**

There should be a pilot group for each division that will be accepting electronic filings that would be available to test the application. The clerk will need to define the scope of their pilot group. Feedback during the test period should be documented for review.

### **Capacity and Volume**

System capacity must be adequate and scalable to accept the volume of filings it will be receiving per day. The volume of filings that will be received will need to be determined in the testing phase.

1. Establish a capacity benchmark based on case filings per division.
2. Simulate an electronic filing load to see if the application can accept the filings in a timely fashion.

### **User or Data Interfaces (Points of Access)**

Test all interfaces for the following:

Security

Reliability

System Failover

Redundancy

Section 508, Florida law and the ADA Compliance

If you have any questions relating to E-Filing, please contact

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Interfaces should support bi-directional communications, and support LDAP and Active Directory support.

### **Quality Control Measures**

#### Document Quality

Test verification points and acceptance criteria such as  
Number of pages received  
Quality of document image  
Section 508, Florida law and the ADA Compliance

#### Data Quality

Test data quality verification points and acceptance criteria such as  
Filed in proper county/jurisdiction  
Case type identified properly

Criteria for the acceptance of the filing or issues related to the filing should be documented and defined in a work flow diagram.

### **Notification**

Test all notification processes to notify parties for court events such as:

Acceptance of Filing  
Issue with Filing  
Docketing  
Calendaring  
Court Orders  
Clerk events

### **Information Systems Security**

Test and describe security methods in place to protect the confidentiality, integrity and availability of the information systems.

### **Continuity Of Operation Plan (COOP)/Contingency Plan/Disaster Recovery Plan**

There are three levels of planning that must be in place and tested. Demonstrate that these plans have been reasonably tested to the extent feasible during this testing phase.

**Continuity of Operation (COOP):** focuses on restoring the courts essential functions at an alternate site and performing those functions for up to 30 days.

**Contingency:** plan to operate in the event of a system failure during normal court operations.

**Disaster Recovery:** Plan for a major disruption or catastrophic disaster to recover capabilities where normal court operations are impacted.

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(Down times are defined in each Circuit's Mission Essential Functions of their COOP.)

**Collections**

Test and describe the collection process of filing fees and other filing related costs/charges.

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**Attachment D  
Documentation of Electronic Filing Activities**

**Monthly Status Report**

**County:**

**Date:**

**Reporting Requirements for the Testing Period**

During the testing period, statistical information and other reports are to be collected and provided to the courts. The report will be broken into 30 day increments with a 90 day report summary.

At the discretion of the local court (i.e. chief judge), the frequency of the reporting process may be amended to contain a progress report that is beyond the initial 90-day pilot period. Thus, the report must be distributed every thirty days, to each of the members of the local review committee to include any operational or technical modifications made to the initial description of the project's scope, current progress, and approval by the local court.

**Reporting Categories**

**Scope of Pilot**

Define the areas that are included in the electronic filing and document imaging, and the scope of the pilot group involved in the test.

**Statistical Information**

**Provide the following details:**

1.	The number of attorneys and/or law enforcement electronically filing.	Amount
2.	The number of electronic filings received by the clerk.	Amount
3.	List any system adjustments made during the reporting period. Examples: Changes to internal coding to add data elements, change workflow, add reports, or change user interfaces.	Amount
	<b>Changes Made:</b>	
4.	Copies of any commentary received from electronic filing	Amount

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<b>Attachment D</b>		
<b>Documentation of Electronic Filing Activities</b>		
<b>Monthly Status Report</b>		
<b>County:</b>		
<b>Date:</b>		
	participants in the pilot group.	
<b>Technical Information</b>		
1.	List all user and data interfaces used by the application.	
2.	Describe how each interface used to access the system is secured	
3.	Describe the following for each interface:	
a.	Does it support bi-directional communications?	
b.	Does it support LDAP and Active Directory?	
<b>Period Statistics (information to date; will include mutli-month statistics)</b>		
1.	Provide the number of attorneys and/or law enforcement, to date, who have electronically filed.	Quantity
2.	For each court venue approved by the court, please provide:	
a.	the number of electronic filing transactions received;	Quantity
b.	the average number of page counts for each transaction;	Quantity
c.	the page count of the largest transaction received by the court.	Quantity
<b>System Adjustments</b>		
3.	How many paper documents compared with electronic filings are being filed?	
a.	Number of paper documents submitted:	Quantity
b.	Number of electronic documents filed:	Quantity
4.	Please provide copies of any commentary received from electronic filing participants.	

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**Monthly Status Report**

<b>County:</b>		
<b>Date:</b>		
	<b>Commentary:</b>	
5.	Please include any operational or technical modifications made to the initial description of the project's scope, the current progress and approval of the governing members.	
	<b>Modifications:</b>	

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