

Attachment 2: E-filing Capabilities and Scenarios

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Offeror Response to Capabilities

The table below lists the capabilities needed in an E-filing system framework. The capabilities do not describe the complete configuration of the final product. Configuration requirements will be further defined in cooperation with the selected Offeror.

E-filing System Capabilities

No.	Category	Description of Capability	Included	Note
1	Browser Technology for E-filing	Use browser technology for e-filing or an email receiving capability with spam filtering and white-listing.		
2	Architecture Supporting XML	Provide an architecture that supports XML data exchange.		
3	Staff Control of User E-filing Activities Allowed	Provide appropriate processes for court staff to control e-filing user privileges to create, modify, delete, print, or read electronic records (e.g., attorneys and self-represented litigants for the duration of the case, court staff, judges, systems maintenance staff, general public not involved in the case)		
4	Staff Control of Security Access to E-filing	Provide designated court staff with control of assignment and revocation of e-filing user security levels and privileges.		
5	User Registration for E-filing	Maintain a register of authorized e-filing users and identifiers, supporting the registration/authorization process for submission of e-filings by: (a) attorneys, (b) non-Guam attorneys permitted to practice in Guam (c) self-represented litigants, (d) judges, and (e) government agency users.		
6	Provide Secure Passwords for E-Filers	Provide application level passwords to individual e-filing users and roles.		
7	Control Access and Privileges of E-Filers	Control access to e-filing data and system functions according to user roles defined by individual identification and password authentication.		
8	Email Address(es) for Registered E-filing Users	Require one or more email addresses for a registered e-filing user.		
9	Disable Hyperlinks	Disable hyperlinks to external papers or websites.		

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No.	Category	Description of Capability	Included	Note
10	CMS and DMS Interface	Deliver e-filing case information for entry into the court's CMS and DMS with "one-click" methods that do not require duplicative work by court clerks for record entry.		
11	E-filing for Self Represented Litigants	Support an Internet-based forms creation process for self-represented e-filing litigants (e.g., guardianship of a child, uncontested divorce with no children), OR interface with documents produced via www.guamselfhelp.org .		
12	E-filing Cover Sheet	Accept data identifying the e-filed document submitted, the e-filing party, and sufficient other information for entry in the court's docket.		
13	Inform E-Filer of Document Receipt	Inform the e-filer of the date and time of a document's receipt.		
14	Deem Time of E-filing	Deem any e-filed document submitted to be filed by 11:59 p.m. at the court's local time to be filed on that date, so long as it is accepted by the clerk upon review.		
15	Identification of Confidential E-filed Documents	Allow the e-filing party to identify documents made confidential by statute, court rule, or court order.		
16	Temporary Sealing of Documents E-filed	Allow the e-filing party to electronically submit documents under temporary seal pending court approval of the user's motion to seal.		
17	Hold E-Filing for Submission	If the court's CMS is not operational, the front end E-filing system sends a message immediately to the filer and holds the e-filing for submission when the court's system is operational. For appellate documents, the CMS must have the option to reject e-filing submissions placed on hold where the filer after receiving the error message files the documents manually with the clerk's office. (Most filings with the Supreme Court have deadlines and any delay when the CMS is non-operational will affect the deadlines.)		
18	Validate E-filed Data for Populating CMS Database	Validate case number, e-filing parties, case types, document types, and other elements required for populating the court's database.		
19	Unique Identifier for Each E-filing	Assign a unique identifier for each e-filing.		
20	Correct E-filing Error Due to Technical Problems	Allow the clerk to correct an e-filing problem when e-filing does not occur due to technical problems such as (1) An error in the transmission of the document to the E-filing system or served party that was unknown to the sending party; (2) A failure to process the electronic document when received by the E-filing system; or (3) Other technical problem experienced by the filer with the E-filing system. Supreme Court must allow the clerk to reject an e-filing that was filed manually.		
21	Clerk Review E-filing Conformity	Allow clerk to review e-filing to determine whether it conforms with applicable E-filing requirements.		

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No.	Category	Description of Capability	Included	Note
22	Support Review of E-filing Acceptance	Support automated acceptance and rejections of e-filings and documents (e.g., correct court for E-filing, within jurisdictional amount).		
23	Notify E-Filer of Acceptance or Reasons for Rejection	Inform the e-filer of the acceptance or rejection, including reasons for rejection.		
24	Payment of E-filing Fee via E-filing	Accommodate payment of e-filing fee (where not waived).		
25	Discretionary Waiver of E-filing Fee via E-filing	Accommodate e-filer request and judicial review of waiver of filing fee.		
26	Waiver of E-filing Fee by Case Type	Accommodate waiver of filing fee through e-filing by case type (e.g., criminal cases).		
27	Electronic Signature on E-filed Proposed Order	Allow a judge or justice to securely apply an electronic signature to an e-filed proposed order.		
28	Temporary Unique Identifier on E-filed Case Opening	Assign a unique case identifier to an e-filing until assignment of a permanent case number by the court.		
29	Automated Receipt of Subsequent E-filings	Allow automated receipt of subsequent e-filings without requiring submission of the case to the clerk review queue, at the court's option by case type and document type.		
30	Automated Docket Entries for Subsequent E-filings	Support automated docket entries for subsequent e-filings without clerk review, at the court's option by case type and document type.		
31	Electronic Service of E-filed Documents	Provide email electronic service of e-filed documents (not requiring summons or subpoena) and notice to other parties participating in the e-filing system		
32	E-filing Service List	Accept a service list with an e-filing, updating the case record with parties to be served electronically and parties to be served in the traditional manner		
333	Record of Non-E-filing Parties	Generate a record of the non-e-filing parties to whom physical service must be provided.		
34	Certificate of E-filing Service	Automatically create and docket in the court's CMS a certificate of service for the document served time-stamped as of e-filing		
35	Verify Integrity of Submitted E-filed Documents	Provide a means to verify the integrity of any e-filed document received and stored by the court		
36	Virus Checking at Transmission and upon Receipt of E-filing	Provide robust virus/computer malware checking applied prior to transmission of e-filings to the court and upon receipt of the transmission at the court		
37	Generally Accepted Security Protocols for E-filing	Comply with generally accepted security protocols for e-filing, including use of HTTPS and secure socket layer (SSL).		

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No.	Category	Description of Capability	Included	Note
38	Audit Log of E-filed Transactions	Provide an audit log of e-filed transactions (e.g., logs of entries into the portal, or logs of their authentication of user access for e-filing).		
39	Transmit Proposed Orders by E-filing	Provide a method for parties to transmit proposed orders and other proposed materials by e-filing to judicial officers for consideration, without docketing the event and committing the document and data to the database.		
40	Return Modified Proposed Orders by E-filing	Provide a method for the judicial officer to return a modified proposed document by e-filing to the sending parties without docketing the event and committing the data to the database.		
41	Notice When Transmit Proposed Orders by E-filing	Provide automatic notice to all parties when an e-filer sends a proposed order to a judicial officer for consideration.		
42	Notice When Return Modified Proposed Orders by E-filing	Provide automatic notice to all parties when the judicial officer returns a modified proposed e-filed document to the sending parties.		
43	E-filing Court Policy	Provide a process to inform current users of court policy changes relative to e-filing.		
44	Migration Strategies for E-filing Standards	Incorporate migration strategies for new releases of XML standards used in e-filing.		

E-Filing System Scenarios

These functions require some interface with the CMS and the DMS, and without interfaces cannot be fully demonstrated. Screen shots and “talking through” the process may suffice.

Criminal complaints may be imported through an interface with the Attorney General’s CMS (see **Attachment 8**), and a clerk would initiate each case after reviewing the complaint. A prosecutor would make subsequent filings in criminal cases through this E-Filing System, or through the interface.

Set Up Attorney E-filing Account [For appellate cases, the filer should separately register for Supreme Court e-filing]

1. Enter attorney name and other information
2. Complete registration process and receive confirmation account set-up
3. Display court’s roster of attorney registrations

Attorney E-filed Civil Case Initiation with Fee Payment

1. Extract filer name from cover sheet, confirm filer status and verify fee payment arrangements
2. Time-stamp (endorse) filing, acknowledge receipt, and save it as tentatively accepted, with docket entry
3. Clerk reviews and makes acceptance/rejection decision
4. Alternative: Notify filer of reasons if rejected, with docket entry
5. Obtain and record fee payment, with docket entry
6. Alternative: Request for fee waiver similar to “Attorney E-filed Proposed Order” scenario below
7. Initiate case - assign case number, make entry in docket
8. Search master name index for possible matches
9. Clerk selects suggested information, or else accepts/adds new party information
10. Steps (#8) and (#9) repeat for each party added
11. Save documents in case with docket entry
12. Generate service documents and route or email to Marshal Division for service, with docket entry

Attorney E-filed Proposed Order (Civil)

1. Extract filer name from cover sheet and confirm filer status (assume no fee)

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2. Time-stamp (endorse) filing, acknowledge receipt, and save it as tentatively accepted, with docket entry
3. Clerk reviews and makes acceptance/rejection decision (notify filer of reasons if rejected) , with docket entry
4. Send the proposed order to a judge's queue for review, with docket entry
5. Judge reviews proposed order and signs it electronically or returns it with instructions, with docket entry, and sends to clerk, with docket entry
6. Save documents in case with docket entry
7. Generate service documents and route or email to Marshal for service, with docket entry

Attorney E-filed Motion (Civil or Criminal)

1. Extract filer name from cover sheet and confirm filer status (assume no fee)
2. Time-stamp (endorse) filing, acknowledge receipt, and save it as tentatively accepted, with docket entry
3. Clerk reviews and makes acceptance/rejection decision (notify filer of reasons if rejected) , with docket entry
4. Clerk sets motion on hearing calendar [In appellate cases there is no automatic motion hearing date for motions filed]
5. Save documents in case with docket entry
6. Generate service documents and route or email to parties, with docket entry

Attorney E-filed Pleading Not Adding Parties

1. Arrangements (assume fee applies)
2. Time-stamp (endorse) filing, acknowledge receipt, with docket entry
3. Obtain and record fee payment, with docket entry
4. Save documents in case with docket entry
5. Serve documents on registered users, with docket entry for each; if there is a non-registered recipient, notify filer that non-registered party must be served by other means, with docket entry

Mass Case Operations

1. Enter first filing for a collection agency as plaintiff (high volume filer)
2. Show method of entering multiple e-filed documents and attachments at one time ("mass e-filing")

Internet-Based Forms Creation Process for Self-Represented E-Filing Litigants - Preparation of Temporary Protection Order, Small Claims Filing

1. Enter person name, email address, and other identifying information
2. Complete registration process and receive confirmation account set-up
3. Person enters information relating to the claim and submits it to system
4. System time-stamps (endorse) filing, acknowledges receipt, and saves it as tentatively accepted, with docket entry (assume no fee)
5. Clerk reviews and makes acceptance/rejection decision
6. Alternative: Notify filer of reasons if rejected, with docket entry
7. Initiate case - assign case number, make entry in docket
8. Search master name index for possible matches
9. Clerk selects suggested information, or else accepts/adds new party information
10. Steps (#8) and (#9) repeat for each party added
11. Generate service documents and route or email to plaintiff for service, with docket entry

[Currently, the Superior Court of Guam does not accept e-filing. So procedurally the above scenarios are at best a standard that possibly other states are following. We would need testing to ensure we do not miss any crucial steps in filing all types of cases.]