

# **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

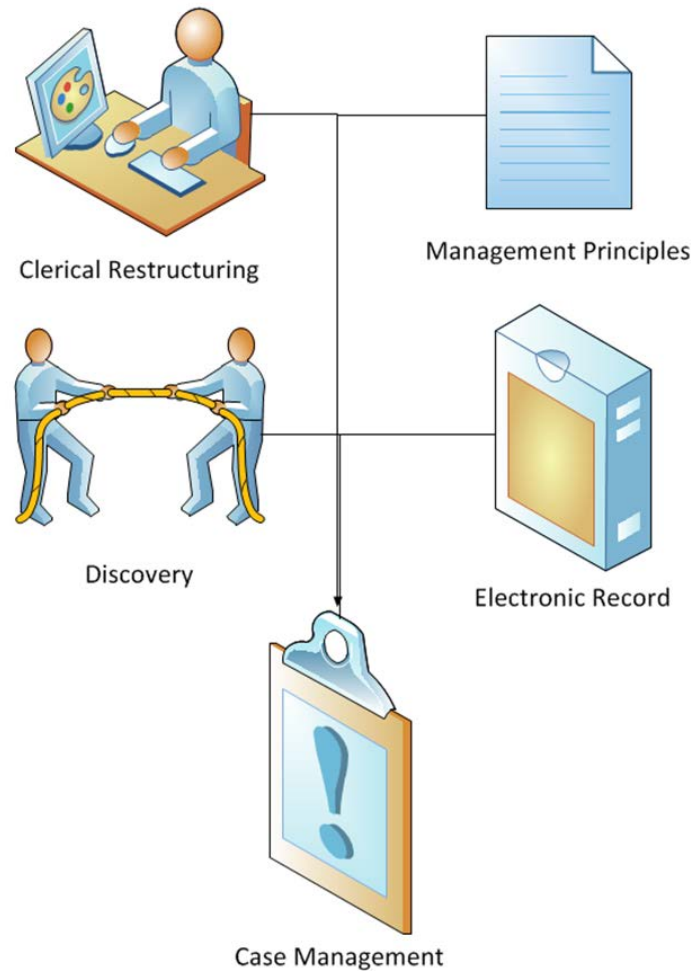
CORIS – District and Justice Court System

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:
<b>e-record</b>	A paperless form of record keeping.
<b>e-filing civil</b>	An electronic document delivered to a court by electronic means.
<b>e-filing criminal cases</b>	Electronic filing of criminal cases through the statewide Prosecutor Case Management System (PIMS).
<b>e-filing juvenile cases</b>	Electronic filing of juvenile case information.
<b>e-payment</b>	Allows justice, district and juvenile court users to pay for fines, fees, and other court related costs from the Internet.
<b>e-document</b>	A digitally certified document that is created electronically either through e-filing or through scanning paper documents into an electronic form.
<b>e-warrant</b>	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.
<b>e-citation</b>	Moves a citation from law enforcement to the court.
<b>e-warrant juvenile</b>	Allows AG and DCFS workers to electronically request and receive child removal orders.
<b>e-audio</b>	Reliance on a digital recording as the hearing record.
<b>e-transcript</b>	An Internet service that allows an attorney to identify a court hearing and request a verbatim transcript made from the court's digital recording.
<b>e-notice</b>	Notifies attorneys that are participating on a case electronically that an event has occurred on a case to which they are a party.
<b>e-service</b>	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.
<b>e-access</b>	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.
<b>e-video</b>	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.
<b>e-translate</b>	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.
<b>e-appeal</b>	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

# Utah State Courts

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Hearing -> District

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

Court Room: ▾

Hearing Date:\* 2014-09-15  

Locations: ▾


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



Hearing -> District

Judge/Commissioner: RANDALL N. SK

Locations:

Hearings (119)

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<input type="checkbox"/>	08:30 AM	★ <a href="#">CLUFF, LOGAN RICHARD</a>

Hearing Documents - CHAIREZ, ERICA MARTINEZ (131903718)

Criteria Used

Document Descr:

Category:

Filing Start Date:

Filing End Date:

☐ Show documents only in the hearing

Upload Document to Hearing

Remove All Documents from Hearing

Apply Filter

Clear Filter

Document List

Description	View Doc	Hearing	Add Doc	Category	Filing Date	Logname
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Minutes for SENTENCE, JUDGMENT, COMMITME				Minutes	09-15-2014 10:53:50	
**** PROTECTED **** Filed: AP&P Pre Sentence Inv...				Regular	09-09-2014 08:17:10	saram
Filed: AP&P referral				Regular	07-28-2014 13:04:10	saram
Filed: Statement of Defendant				Order	07-28-2014 13:03:10	saram
Minutes for Change of Plea				Minutes	07-28-2014 09:56:15	
Filed: Return of Electronic Notification				Regular	07-23-2014 16:19:00	efiler
Filed: Order to Strike Jury Trial				Order	07-23-2014 16:18:00	rskanchy
Filed: Return of Electronic Notification				Regular	07-22-2014 19:10:00	efiler
Filed: Order (Proposed) to Strike Jury Trial				Regular	07-22-2014 19:06:00	efiler
Filed: Motion to Strike Jury Trial				Motion	07-22-2014 19:06:00	efiler
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Minutes for POST PRELIM 3				Minutes	06-09-2014 12:01:50	
Filed: Return of Electronic Notification				Regular	05-19-2014 09:13:00	efiler

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Case Notes

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Hearing -> District

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

Locations:  ▾

Hearings (119)

Show All: ☐ Highlight Notes: ☐ Case Last Name:  Party 

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	08:30 AM	★ <a href="#">ARCHULETTA, ANTHONY MICHAEL</a>	<a href="#">141909127</a>	<a href="#">SCHEDULE</a>
	08:30 AM	★ <a href="#">BARKLEY-GODFREY, JENNIFER ANNE</a>	<a href="#">141908191</a>	<a href="#">SCHEDULE</a>
	08:30 AM	★ <a href="#">BAXTER, KEVIN TODD</a>	<a href="#">101909114</a>	<a href="#">B/W ORDER</a>
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	08:30 AM	★ <a href="#">BONILLA, MICHAEL</a>	<a href="#">131910194</a>	<a href="#">CHANGE C</a>
	08:30 AM	★ <a href="#">BONILLA, MICHAEL STEVEN</a>	<a href="#">141903652</a>	<a href="#">CHANGE C</a>
	08:30 AM	★ <a href="#">BOWEN, KIMBERLY</a>	<a href="#">091900778</a>	<a href="#">POST PREL</a>
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	08:30 AM	★ <a href="#">CHAIREZ, ERICA MARTINEZ</a>	<a href="#">131903718</a>	<a href="#">SENTENCI</a>
	08:30 AM	★ <a href="#">CHAMBERLAIN, BRADLEY EDGAR</a>	<a href="#">081908731</a>	<a href="#">REVIEW H</a>
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	08:30 AM	★ <a href="#">CLUFF, LOGAN RICHARD</a>	<a href="#">141906268</a>	<a href="#">SENTENCI</a>

## Case Information - CHAIREZ, ERICA MARTINEZ (131903718)

Case: STATE OF UTAH vs. CHAIREZ, ERICA MARTINEZ Case #: [131903718](#)  
 Description: State Felony Appearances: 8  
 Assigned Judge: RANDALL SKANCHY Continuances: 0  
 Birth Date: 11-22-1982

### Parties

Relationship	Party	Represented By
DEF	ERICA MARTINEZ CHAIREZ	RICHARD G SORENSON
PLA	STATE OF UTAH	ETHAN P RAMPTON
PLA	STATE OF UTAH	NATHANIEL J SANDERS



### Charges

Charge #	Offense	SEV	Offense Date
Charge 1	41-6A-502 - DRIVING UNDER THE INFLUENCE OF ALCOHOL/DRUGS (GUILTY)	F3	2013-03-23
Charge 2	41-6A-530 - ALCOHOL RESTRICTED DRIVERS (DISMISSED (W/O PREJ))	MB	2013-03-23
Charge 3	41-6A-518.2(3) - INTERLOCK RESTRICTED DRIVER OPERATING VEHICLE W/O IL SYSTEM (DISMISSED (W/O PREJ))	MB	2013-03-23
Charge 4	53-3-227(3)(A) - DRIVE ON SUSP/REVOCATION/DEN ALC RELATED (DISMISSED (W/O PREJ))	MB	2013-03-23
Charge 5	41-6A-710(1) - FAILURE TO STAY IN ONE LANE (DISMISSED (W/O PREJ))	MC	2013-03-23
Charge 6	41-6A-601 - SPEEDING (DISMISSED (W/O PREJ))	MC	2013-03-23
Charge 7	41-6A-1803(1) - FAIL WEAR SEAT BELT OR USE CHILD RESTRAINT DEVICE (DISMISSED (W/O PREJ))	IN	2013-03-23

Total Restitution Amount Due: \$0.00 Total Restitution Amount Paid: \$0.00

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Case Name vs Case Title

Hearing Notes	Case Notes			
				
				
				
				
				
				
				
				
				
				
				
				
				
				

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

Locations:

Hearings (119)

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### All Notes

Creation Time	Notes	Owned By
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<b>Hearing Notes</b> +		
	no records found	
<b>Doc Notes</b> +		
	no records found	

### Note

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### Hearing Documents

Description	File Date
Filed: Information	05-09-2014 12:31:47

### Document

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Tools Fill & Sign Comment

Certified by Administrative Office of the Courts, State of Utah, certificate issued by Administrative Office of the Courts.
 Signature Panel

SIM GILL, Bar No. 6389  
District Attorney for Salt Lake County  
BERNADETTE GOMEZ, Bar No. 10369  
Deputy District Attorney  
111 East Broadway, Suite 400  
Salt Lake City, UT 84111  
Telephone: (385) 468-7600

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"

**FILED DISTRICT COURT**  
Third Judicial District  
**MAY 09 2014**  
SALT LAKE COUNTY  
By \_\_\_\_\_ Deputy Clerk

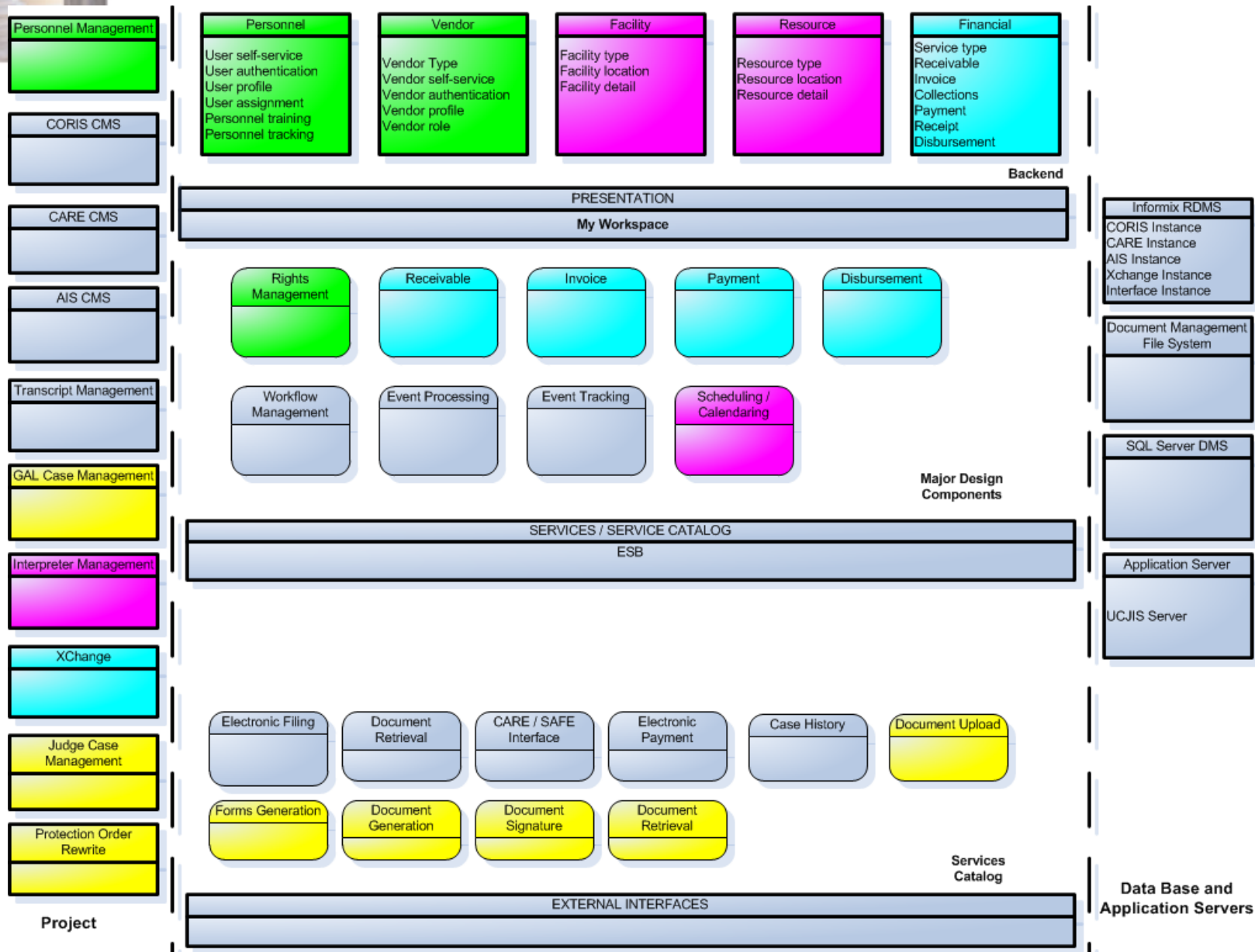
Screened by: BERNADETTE GOMEZ  
Assigned to: ECR TEAM

**INFORMATION**

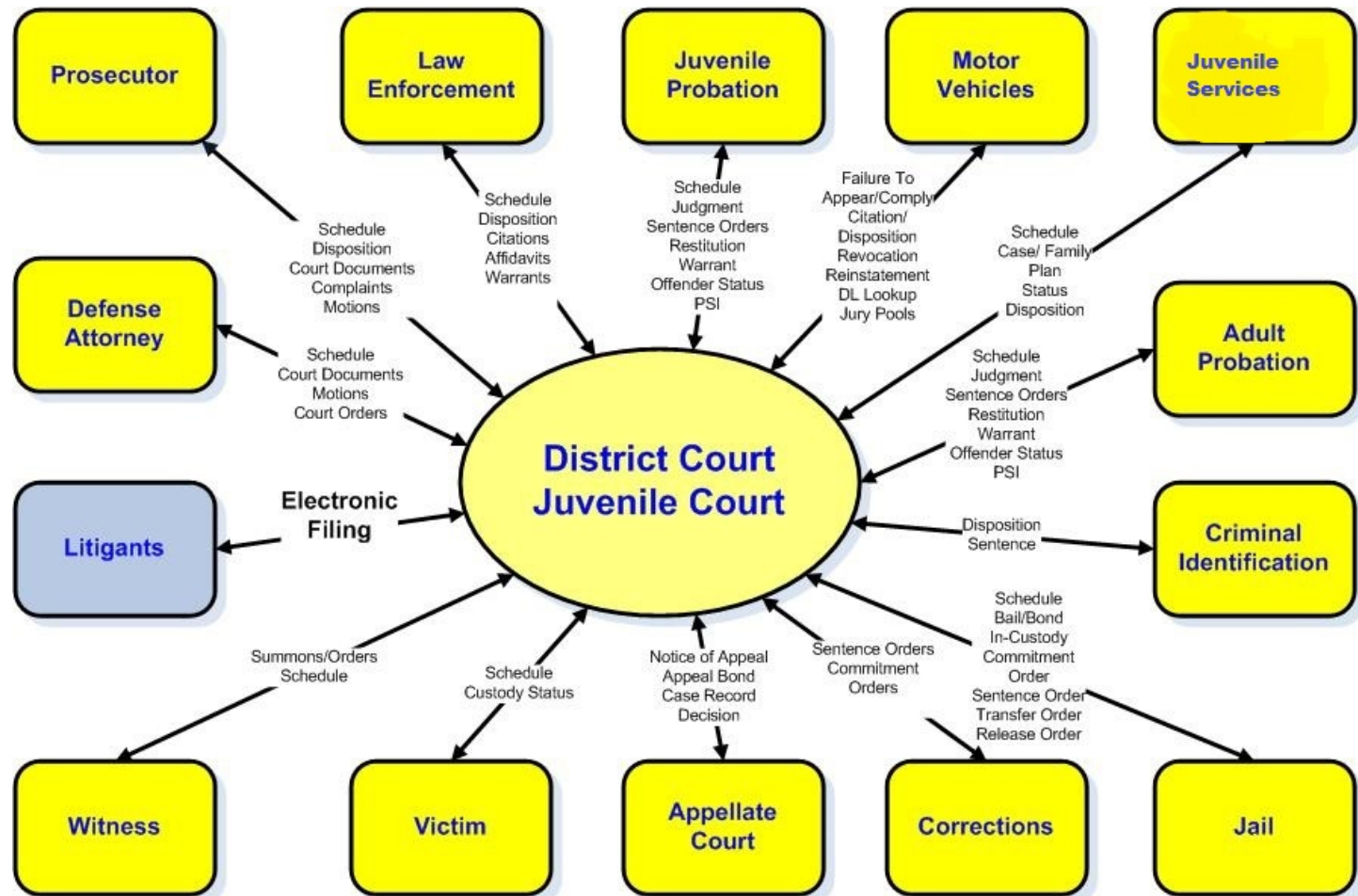
DAO # 14010466

ECR Status: ECR  
Initial Appearance: May 28, 2014 8:30 AM

# Utah State Courts



# Utah's Exchange Partners



# Utah's Exchange Methodology

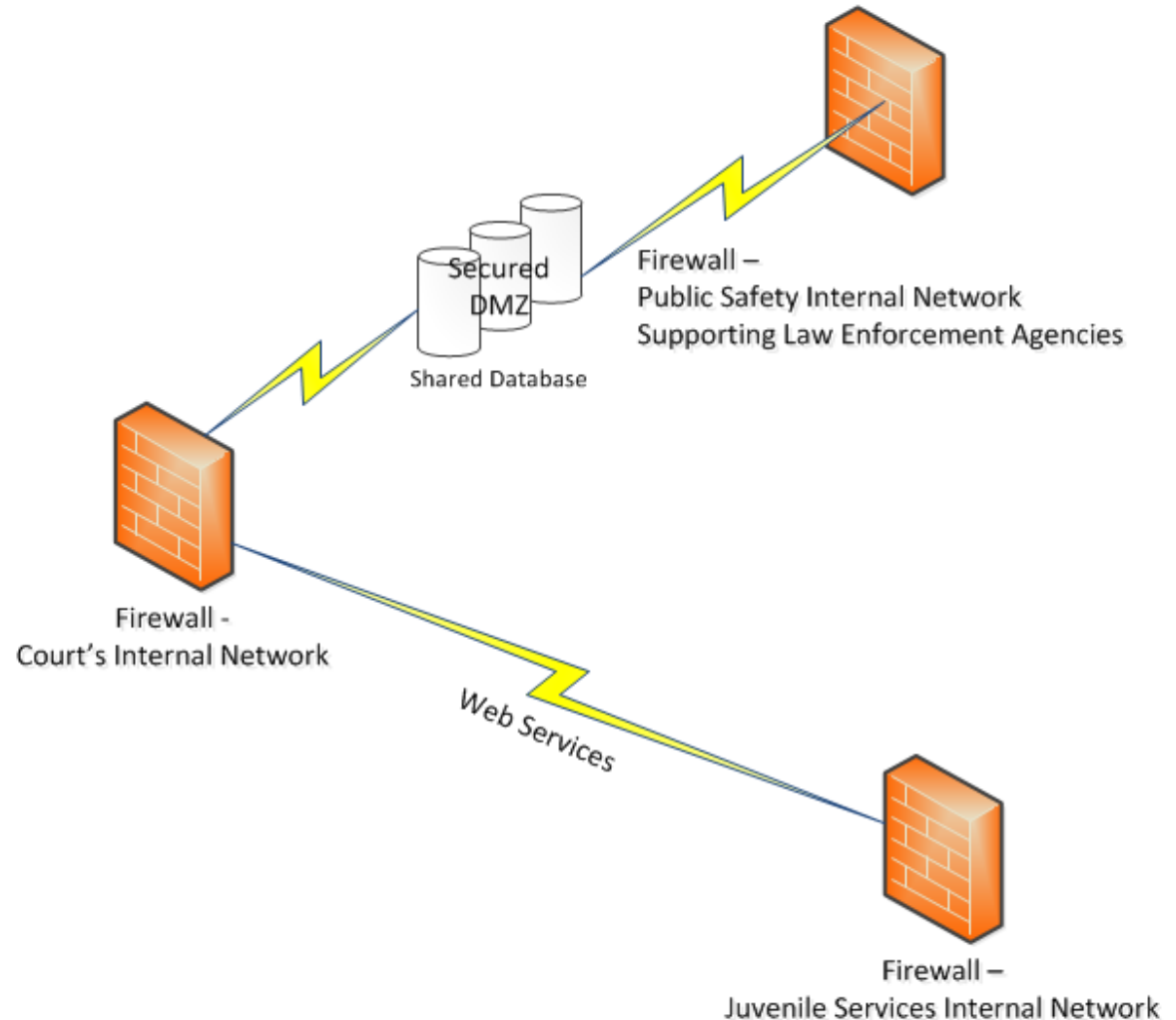
## Utah Court's Case Management Systems

### **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?

Ron Bowmaster  
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801.578.3872