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## **Electronic Document Management System (EDMS)**

### **ISSUE**

This *Issue Review* provides an overview of the Electronic Document Management System (EDMS) project within the Judicial Branch (courts).

### **AFFECTED AGENCIES**

Judicial Branch

### **CODE AUTHORITY**

Chapter 602

### **BACKGROUND**

The Electronic Document Management System (EDMS) will allow attorneys and citizens to electronically file court documents with the Judicial Branch via the Internet. The EDMS will integrate with the Iowa Court Information System (ICIS), enabling electronic access to authorized parties via the Internet to the court docket and documents 24 hours a day, seven days a week. In addition, court notices will be e-mailed to lawyers, litigants, and officials.

In 1999, the Judicial Branch released a feasibility study outlining the EDMS project. Funding from the Enhanced Court Collections Fund was to be used to fund the project. Under current law, the maximum annual deposit in the Enhanced Court Collections Fund is \$4.0 million. This is based on the Judicial Branch achieving the Revenue Estimating Conference's (REC) goal for court receipts deposited in the General Fund (Code Section 602.1304).

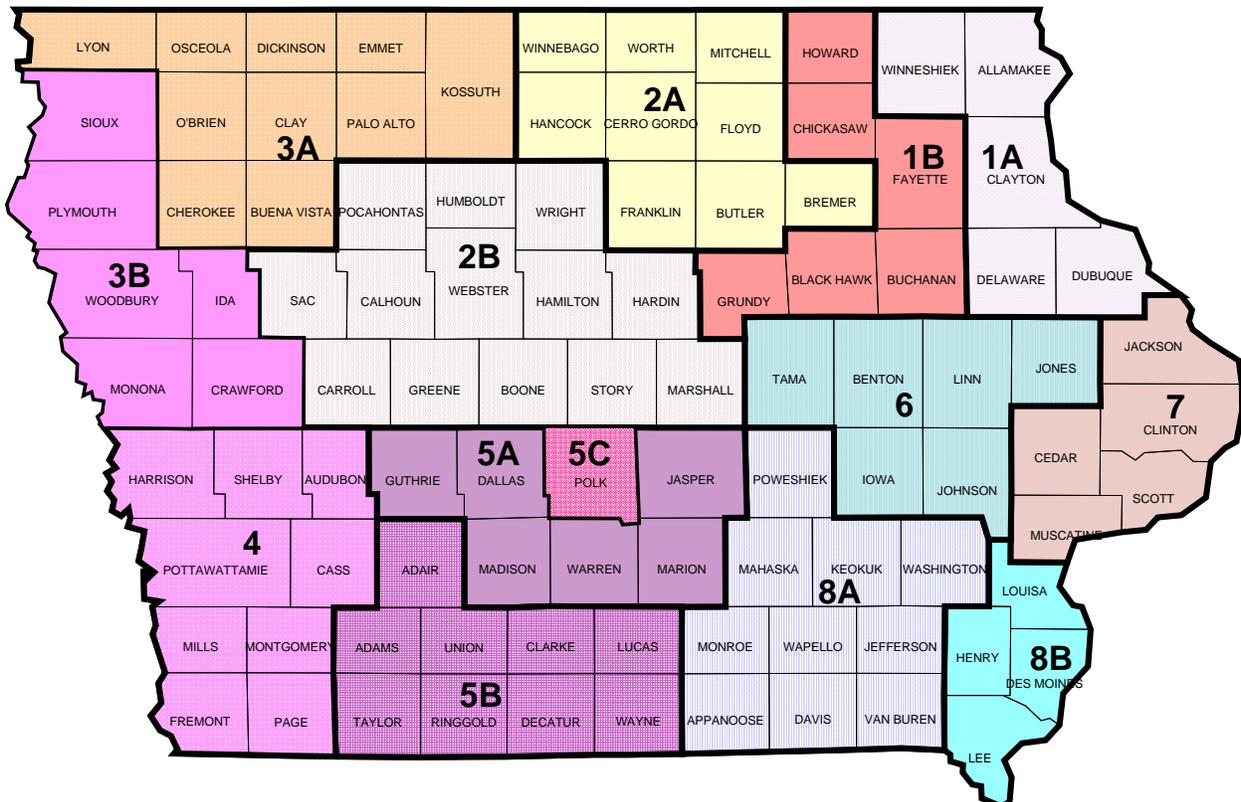
In the January 2001 State of the Judiciary speech, the EDMS was presented as the centerpiece of the online court system. Pilot projects were to begin in Clinton and Dubuque Counties; however, those did not occur due to the deappropriation of \$4.0 million from the Enhanced Court Collections Fund in S.F. 267 (FY 2001 Deappropriations Act).

In 2007, the Judicial Branch issued a new request for proposals (RFP) to restart the EDMS project. However, at the conclusion of the process, the State Court Administrator rejected vendor proposals for material breach related to limitation of liability. The RFP was modified and reissued on May 7, 2008. Under the new RFP, the limitation of liability was set at three-and-a-half times the value and applies to the costs for each subcontractor, not for the entire project. Nine vendors submitted proposals by the July 11, 2008, deadline. The Judicial Branch selected the Datamaxx Group, Inc., as the top finalist for the EDMS project contract. The State Court Administrator signed contracts with Datamaxx Group, Inc., and its subcontractors in November 2008.

**CURRENT SITUATION**

Plymouth County was the first county to pilot the EDMS project. Plymouth County began accepting electronically filed documents in January 2010 and as of October 2010 testing is in the final phases, with all new cases being electronically filed. As of October 12, 2010, the Judicial Branch has completed the walk through of the Story County Courthouse to determine placement and installation of equipment. Officials have also met with law enforcement and training for attorneys will take place at the beginning of November. Story County will begin accepting electronically filed documents in November 2010. At the same time, the Judicial Branch plans to begin working on the EDMS project in the appellate courts.

The Judicial Branch is in the process of developing a video and on-line training session on EDMS for future county roll-outs. Once Story County is up and running, the Judicial Branch will begin rolling out the EDMS project by adding approximately two counties per month. This is estimated to begin in March of 2011 and will be implemented by Judicial Election District. The first Judicial Election District is 3B followed by 2B and then 5C. Statewide implementation of the EDMS project is scheduled to take approximately four years. The Judicial Branch is exploring ways to expedite the implementation of EDMS across the State. Below is a map showing the Judicial Election Districts. The roll out is scheduled to occur as follows: 3B, 2B, 5C, 5A, 6, 7, 4, 1B, 2A, 8A, 3A, 1A, 8B, and 5B.



**BUDGET AND STAFFING IMPACT**

The signed contracts for the EDMS are for an amount not to exceed \$15.0 million. The Judicial Branch anticipates an additional \$4.0 million (\$1.0 million per year) will be required for setup

preparation and additional network costs incurred during the four-year implementation period. The estimated ongoing operating cost for the EDMS, excluding personnel costs, is \$1.2 million (\$700,000 per year for software maintenance and \$500,000 a year for ongoing network expenses). Funding for the project comes from the Enhanced Court Collections Fund and the Court Technology and Modernization Fund.

For FY 2011, the balance brought forward in the Enhanced Court Collections Fund was \$5.2 million. As of October 27, 2010, the balance in the Fund was \$3.2 million and no deposits toward the \$4.0 million (Code Section 602.1304) had been made to the Enhanced Court Collections Fund for FY 2011. The Enhanced Court Collections Fund was used to cash flow money for the Sixth Judicial District for the flood recovery and approximately \$3.4 million remains to be reimbursed to the Fund.

The balance brought forward in the Court Technology and Modernization Fund was \$4.8 million. As of October 27, 2010, the balance in the Fund was \$5.4 million. This included the \$1.0 million deposit for FY 2011 [Code Section 602.8108(7)]. The Judicial Branch anticipates there is currently enough funding set aside in the two Funds to implement EDMS in approximately 15-20 counties. Once those funds are depleted, the project would be suspended until additional funds become available to complete the implementation in all 99 counties.

|                              | FY 2009<br>Court |                                 |  | FY 2010<br>Court |                                 |  | FY 2011<br>Court |                                 |  | Total EDMS<br>Contract To<br>Date |
|------------------------------|------------------|---------------------------------|--|------------------|---------------------------------|--|------------------|---------------------------------|--|-----------------------------------|
|                              | General<br>Fund  | Technology<br>& Modern.<br>Fund | Enhanced<br>Court<br>Collections<br>Fund | General<br>Fund  | Technology<br>& Modern.<br>Fund | Enhanced<br>Court<br>Collections<br>Fund | General<br>Fund  | Technology<br>& Modern.<br>Fund | Enhanced<br>Court<br>Collections<br>Fund |                                   |
| <b>EDMS Contract</b>         |                  |                                 |  |                  |                                 |  |                  |                                 |  |                                   |
| Professional Fees            | \$ 0             | \$ 0                            | \$ 347,898                               | \$ 0             | \$ 0                            | \$ 2,435,527                             | \$ 0             | \$ 0                            | \$ 202,059                               |                                   |
| Software                     | 0                | 0                               | 917,425                                  | 0                | 0                               | 535,302                                  | 0                | 0                               | 589,876                                  |                                   |
| Hardware                     | 0                | 0                               | 790,675                                  | 0                | 0                               | 344,134                                  | 0                | 0                               | 17,105                                   |                                   |
| <b>Total</b>                 | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 2,055,998</b>                      | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 3,314,963</b>                      | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 809,039</b>                        | <b>\$ 6,180,000</b>               |
| <b>Outside EDMS Contract</b> |                  |                                 |  |                  |                                 |  |                  |                                 |  |                                   |
| Professional Fees            | \$ 0             | \$ 0                            | \$ 142,229                               | \$ 0             | \$ 577,316                      | \$ 57,846                                | \$ 0             | \$ 0                            | \$ 151,898                               |                                   |
| Contract Personnel           | 0                | 0                               | 31,987                                   | 0                | 0                               | 139,917                                  | 0                | 0                               | 55,177                                   |                                   |
| <b>Total</b>                 | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 174,215</b>                        | <b>\$ 0</b>      | <b>\$ 577,316</b>               | <b>\$ 197,763</b>                        | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 207,075</b>                        |                                   |
| <b>Total by Fiscal Year</b>  | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 2,230,213</b>                      | <b>\$ 0</b>      | <b>\$ 577,316</b>               | <b>\$ 3,512,727</b>                      | <b>\$ 0</b>      | <b>\$ 0</b>                     | <b>\$ 1,016,114</b>                      |                                   |
| <b>Total All Funds</b>       |                  |                                 | <b>\$ 2,230,213</b>                      |                  |                                 | <b>\$ 4,090,043</b>                      |                  |                                 | <b>\$ 1,016,114</b>                      | <b>\$ 7,336,369</b>               |

Staffing for the project is being handled by existing information technology staff within the Judicial Branch. A total of 10.25 FTE positions are dedicated to the project from information technology (4.0 FTE positions are 100.0% dedicated to the project and an additional 20.0 FTE positions with varying levels of time are also dedicated to the project). Of the total 49.0 FTE positions in the Judicial Branch assigned to Information Technology (IT), 21.0% are dedicated to the EDMS Project. Since FY 2000, all Judicial Branch IT staff have been paid from the General Fund. Additional staff are being contracted as necessary to complete the project. Once EDMS is rolled out statewide, it is anticipated that between 15 and 20 additional employees at a cost of \$1.2 million to \$1.6 million will be required to support the program. Personnel costs for the Judicial Branch are funded from the General Fund.

**Future Cost Reduction**

Once EDMS is operating in all 99 counties, the Judicial Branch anticipates that no additional document storage space will be required. County courthouses may see a reduction in required document storage space potentially freeing up internal storage space for conference rooms and

office space. However, EDMS is prospective and does not cover previously filed paper copies that will continue to require storage per Code Section 602.8103(4).

Due to the current understaffing of Clerk of Court offices, the Judicial Branch plans to use EDMS as a resource management tool rather than a cost reduction tool. It is anticipated that staff time in the Clerk of Court offices will be better utilized and more efficient as a result of time savings from locating and delivering files, and minimized duplication of efforts. The Judicial Branch is currently operating with 64 Clerk's of Court supervising offices in 100 courthouses. This was accomplished through retirements and attrition. The EDMS will help the Judicial Branch to continue to operate with a reduced staff. In addition, judicial officers will be more efficient as a result of on-line access to case files and documents allowing judges to work from one county rather than traveling around to various counties to sign orders.

Work also continues on the judicial interface that allows judges to view, manage, and adjudicate cases while sitting on the bench. Since March 2010, judges Plymouth County have been interfacing with electronically-filed cases and documents through the Criminal Justice Information Network (CJIN) and the e-File software, allowing orders to be approved electronically rather than manually. All cases initiated in Plymouth County since January 1, 2010, have been electronically filed and additional filings are being handled electronically.

### Comparison to Other States

In Iowa, EDMS was built to interface with the currently existing Iowa Court Information System (ICIS) structure and allows for case and document management to be done within the current system. It also allows the judges to view cases on the bench and to create, sign, and file orders in real-time. Iowa's EDMS is owned by the Judicial Branch rather than going through a vendor to provide e-filing services. When a person e-files in Iowa, they can expect to pay the same fees as if they were filing the document in the physical, courthouse location. According to the Judicial Branch, there are no current plans to implement a "user fee" or a "technology fee" for e-filing.

According to the National Center for State Courts (NCSC), many state and local jurisdictions are charging a fee for e-filing ranging from \$5 to \$10 per filing. In Colorado, for example, of the \$5 fee, \$4 goes to the private vendor and \$1 goes to the State. Delaware charges a \$0.50 technology fee per document. Utah does not charge a fee to e-file but the vendor does.

The Judicial Branch is implementing e-filing on all case types: civil, criminal, probate, juvenile, domestic relations, etc. Other states that have some form of e-filing include [Alabama](#), [Delaware](#), [Texas](#), [New York](#), [Utah](#), [Connecticut](#), and [Colorado](#). Many states are pursuing e-filing only on civil cases because the fee is easier to charge and collect than on criminal and family matters types of cases. [Maricopa County](#) in Arizona has a criminal e-filing system.

According to the [2009 electronic filing survey](#) completed by the NCSC, Kentucky, Oregon, Vermont, Missouri, Idaho, and Arkansas all cited cost as the most significant barrier to implementing e-filing in their states. South Dakota, Hawaii, New Jersey, and South Carolina reported that their case management systems and technological foundations would require updates before an e-filing system could be implemented.

**Related Web Site: National Center for State Courts – [www.ncsc.org](http://www.ncsc.org)**

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