



e-Courts West 2010

Successful E-Filing: How to Improve User Acceptance

December 13, 2010

Presented by:

The Honorable Mary I. Yu, Superior Court Judge

Teresa Bailey, Deputy Director, Superior Court Clerk's Office

King County (WA)

Superior Court & Clerk's Office



King County
Department of Judicial Administration

- The Court: General Jurisdiction Trial Court
 - 53 Judges & 13 Commissioners
- The Clerk's Office: Executive Branch Department
 - Over 76,000 new cases filed in 2009
 - 1,758,928 documents filed; over 7,000 daily
- Electronic Court Records (ECR) Program
 - A multi-year project with distinct & separate phases
 - 2007 Innovations in American Government Award
Ash Institute for Democratic Governance & Innovation

Superior Court New Case Filings



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Department of Judicial Administration

Category	2006	2007	2008	2009	2009-2008 Change	2009-2008 Change (%)
Criminal	10,648	10,767	8,667	6,498	-2,169	-25.0%
Civil (excluding RALJ and Matters Filed with Clerk)	25,469	26,020	27,577	29,821	2,244	8.1%
Civil Matters Filed with Clerk	12,536	12,784	13,881	14,662	781	5.6%
Domestic	7,750	7,720	7,254	7,673	419	5.8%
Probate	5,136	5,363	5,373	5,110	-263	-4.9%
Guardianship	875	885	901	841	-60	-6.7%
Adoption	751	717	772	685	-87	-11.3%
Paternity	1,199	1,421	1,147	1,233	86	7.5%
Mental Illness	2,225	2,397	2,420	2,727	307	12.7%
Juvenile At-Risk Youth and Child in-need of Service	413	411	417	341	-76	-18.2%
Juvenile Dependency	945	971	888	903	15	1.7%
Juvenile Truancy	2,204	2,111	2,512	2,083	-429	-17.1%
Juvenile Offender	4,178	3,954	3,803	3,967	164	4.3%
Criminal RALJ	247	225	214	180	-34	-15.9%
Civil RALJ	93	95	73	86	13	17.8%
Total	74,669	75,841	75,899	76,810	911	1.2%

Electronic Court Records Program



King County

Department of Judicial Administration

1998 ECR Program Master Plan; Document Scanning Project



2000 ECR Core: Clerk's Office Electronic Court Records File Management System



2002 ECR Viewer: Superior Court, Clerk's Office and Law, Safety & Justice Partners record viewing over KC WAN



2005 eFiling and ECR Online: Clerk's applications for filing and viewing documents via the internet



2009 Mandatory eFiling for Attorneys implemented



2010+ Online Court Forms, Enhancements, ECR Core Rewrite

Court Rules: Keys to Success



King County

Department of Judicial Administration

- RCW 36.23.065: Electronic reproductions are an acceptable media format (amended 1998)
- WA State Court Rules: General Rules
 - ✓ GR 31: Access to Court Records
 - ✓ GR 30: Mandatory E-Filing Authorization, Signatures Rules, Hours, Service, Waiver Requirements & Fees
- King County Local Court Rules
 - ✓ LGR 31: Online Access to Court Records
 - ✓ LGR 30: Mandatory E-Filing for Attorneys



Court Rule Resource Links



King County
Department of Judicial Administration

- RCW 36.23.065:
<http://apps.leg.wa.gov/RCW/default.aspx?cite=36.23.065>
- WA State Court Rules: General Rules
http://www.courts.wa.gov/court_rules/?fa=court_rules.list&group=ga&set=GR
- King County Local Court Rules (KCLGR)
<http://www.kingcounty.gov/courts/Clerk/Rules/LocalRulesbyIndividualLink>

ECR Viewer: 'Connectivity'

User Acceptance Efforts



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Department of Judicial Administration

Goal: From paper to the Electronic Court Record as the *Official Court Record*



- Spread the word – obtain early buy-in for the transition
- Be Ready to answer tough questions
 - ✓ Legality / Security & Privacy / Technology
- Access Focus Groups & Special Issue User Committees
- Recognize change is difficult – include change management efforts – be open to ideas & suggestions

ECR Viewer: 'Connectivity'

User Acceptance Efforts



King County
Department of Judicial Administration

- Obtain user input in application development - build tools to ease their burden
 - ✓ Electronic sort of documents
 - ✓ Calendar based queue of records
- Successful Pilot Projects build trust – take small steps
- Create Service Level Agreements – agree to exceptions & include review dates
- Provide paper on demand vs. maintaining paper files

E-Filing: Voluntary vs. Mandatory



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- Voluntary: A filing option for the interested
 - ✓ Reality is minimal usage
 - ✓ Good first step to mandatory e-filing
- Mandatory:
 - ✓ Requires business process changes
 - ✓ Recommended by customers
 - ✓ Created time & resource savings
 - ✓ Expect user comparisons with Federal Model



Mandatory E-Filing User Acceptance Efforts



King County
Department of Judicial Administration

Communicate, Communicate, Communicate

- Facilitated creation of Local Rule to guide practice
- Engaged in community outreach & marketing

- ✓ Promoted: free, easy, convenient & green
- ✓ Assigned staff liaisons for agencies & departments
- ✓ Provided training resources:

CLE Demos / Video Tutorials / FAQs / Step-by-Step Guides

- ✓ Presentations & Demonstrations at stakeholder meetings

Mandatory E-Filing User Acceptance Efforts



King County
Department of Judicial Administration

- Expanded Customer Service Support
 - ✓ Staffed eService help desk: phone & e-mail communications
- Implemented enhanced eFiling application functionality
- Developed phased approach to waiver process
 - ✓ Supported learning process: non-compliance fee waived first month
 - ✓ Provided one-on-one trainings and additional support as needed



User Friendly Applications



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- “Training not Required”: Yet provide training resources in a variety of formats
- Limit Process Steps: Keep things simple
- Specialized Functionality: Role base
- Table Maintained Options: Allows for flexibility
- Shopping Cart / Batch Processes: User savings
- Be Mindful of the Future: what’s next?

Technology Issues



King County
Department of Judicial Administration

Hardware / Software issues will occur - be prepared

- Develop a plan:
 - ✓ Notification mechanism: internal & external
 - ✓ Create & document application down filing process
 - ✓ Document and test downtime plan

<http://www.kcscclerkefilingstatus.com/>

- Be aware of & ready for the publicity



Revenue Opportunities



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- What are customers willing to pay for?
 - eFiling -- eWorking Copies -- eService
 - ECR Online Viewing -- Expedited processes
- Strategies for charging
 - Subscriptions, Flat fees, individual document fees, service provider, technology surcharge
- Offset project costs / cover the cost of new staff

What's in it for me?



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- Flexible Workspace Options
- Access from Remote Locations
- Enhances Record Security
- Increases Efficiencies & Reduces Delays
- Even on the worst days, it's better than paper

Why ECR is Good for Judges



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Department of Judicial Administration

- *Integrity of the record*
- *Easy access*
- *Multi-user*
- *Better decision-making*
- *Advances the digital reality*



Why E-Filing is Good For Judges



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- *A seamless process*
- *Proposed Orders*
- *Prompt distribution of signed order*
- *Resources savings for county & filer*



Judge E-Filing Process Steps

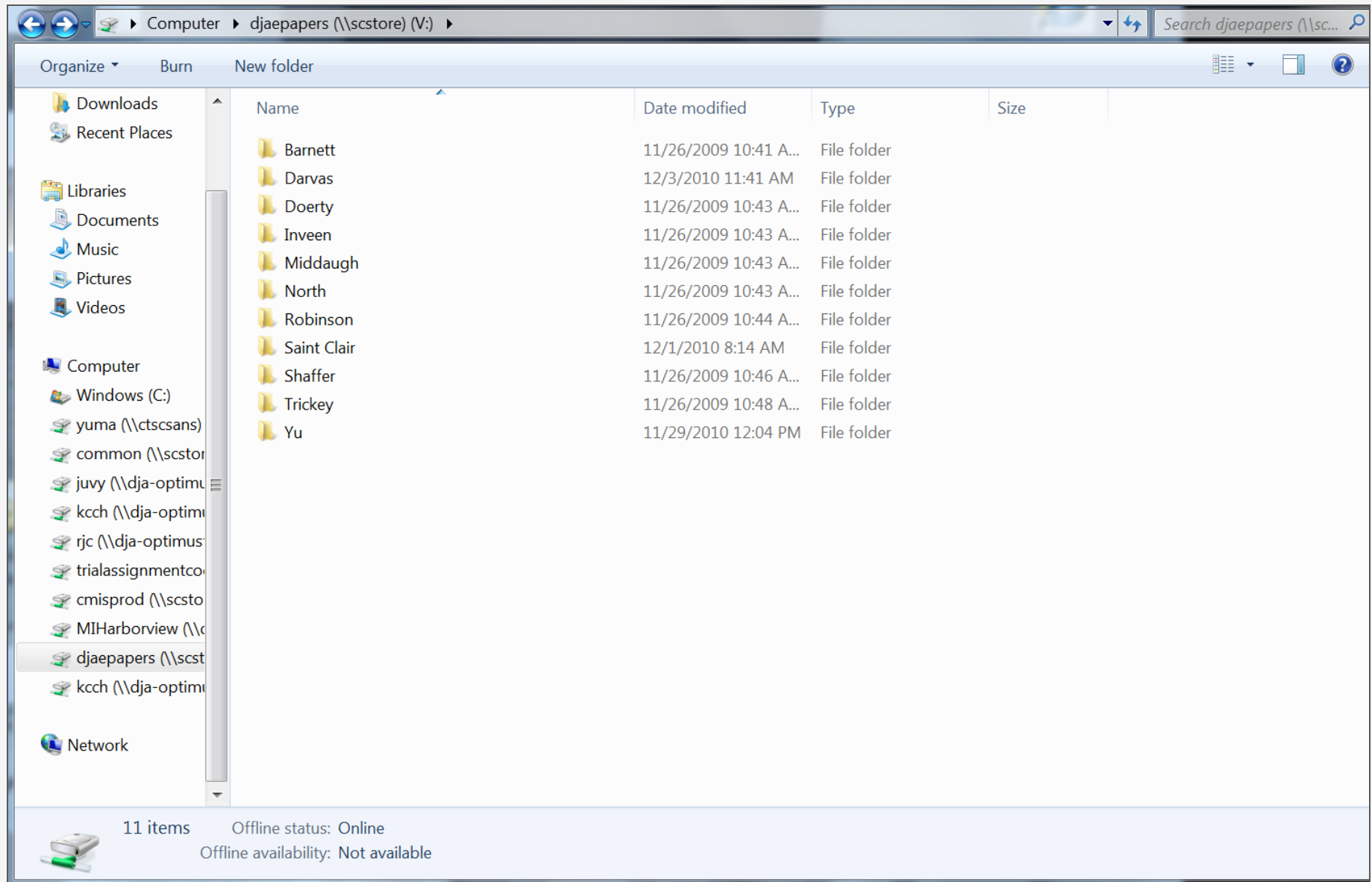


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1. Party submits proposed order electronically
2. Order accessed in Judge's personal folder
3. Review of order & modify as appropriate
4. Access the eFiling application
5. Complete 4 step 'E-Filing into an Existing Case' process
6. Immediate distribution of signed Order

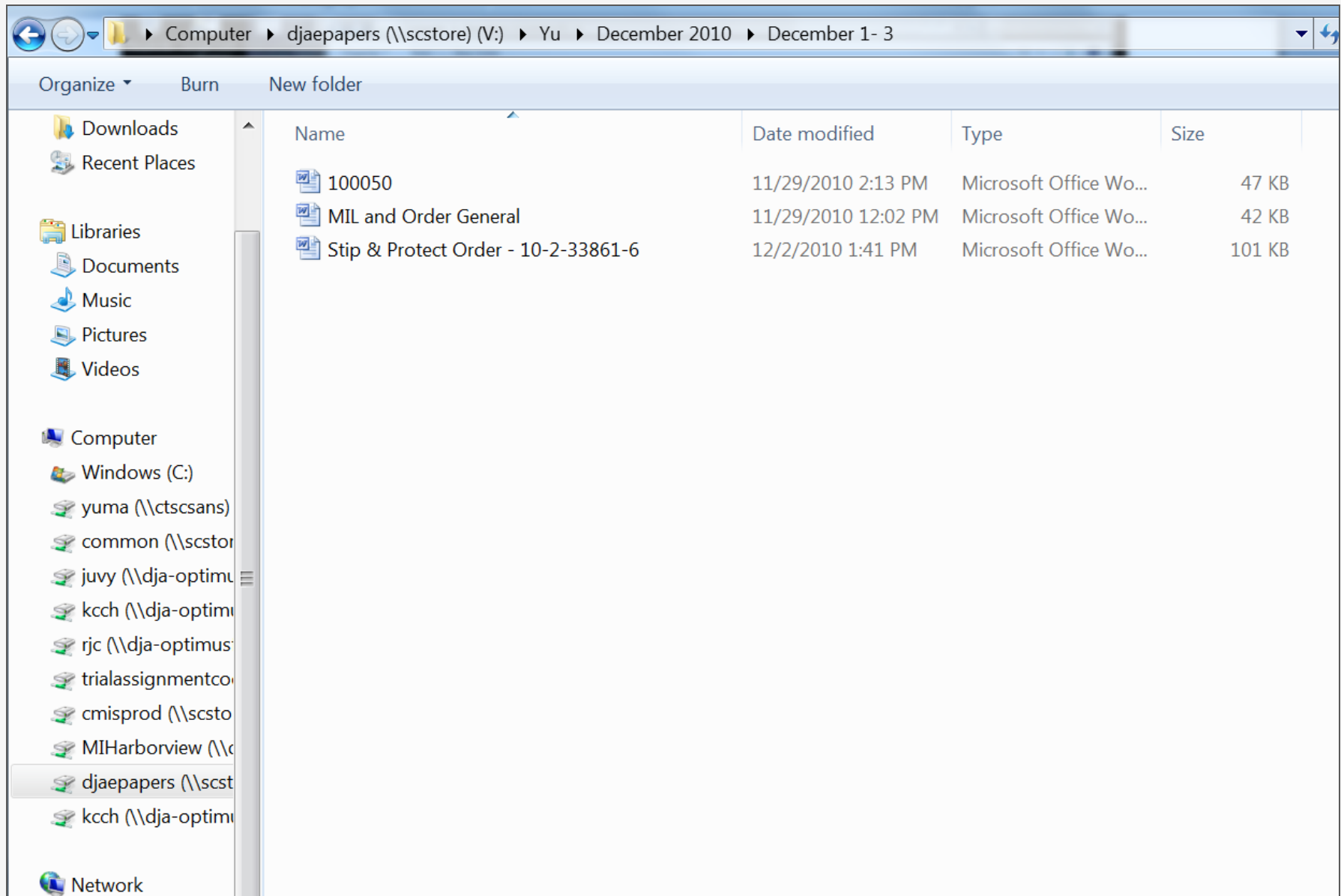
Proposed Orders in Electronic Format Received and Sorted



The screenshot shows a Windows Explorer window with the address bar set to 'Computer > djaepapers (\\scstore) (V:)'. The left sidebar shows the 'djaepapers (\\scstore)' folder selected. The main pane displays a list of 11 folders, each with a yellow folder icon. The columns are 'Name', 'Date modified', 'Type', and 'Size'. The status bar at the bottom indicates '11 items' and 'Offline status: Online'.

Name	Date modified	Type	Size
Barnett	11/26/2009 10:41 A...	File folder	
Darvas	12/3/2010 11:41 AM	File folder	
Doerty	11/26/2009 10:43 A...	File folder	
Inveen	11/26/2009 10:43 A...	File folder	
Middaugh	11/26/2009 10:43 A...	File folder	
North	11/26/2009 10:43 A...	File folder	
Robinson	11/26/2009 10:44 A...	File folder	
Saint Clair	12/1/2010 8:14 AM	File folder	
Shaffer	11/26/2009 10:46 A...	File folder	
Trickey	11/26/2009 10:48 A...	File folder	
Yu	11/29/2010 12:04 PM	File folder	

Proposed Orders Ready for Review



King County eFiling Application Sign In Screen

King County, W... KC - E Filing

King County
Always at your service

Dept of Judicial Administration – E-Filing
Superior Court Clerk's Office

INSTRUCTIONS

▶ Please enter your User ID and Password to sign into the E-Filing Application

Please do not use your browser's 'Back' button

King County Superior Court Welcomes you to

eFiling

A new version of the eFiling application will be released on September 1, 2010 in support of the changes to [LGR 30](#). For more information, please go to the [eFiling webpage](#) and read the build 3.0.4 Release Notes.

If you are interested in receiving periodic E-Filing related announcements, to subscribe to our E-Filing e-mail list [click here](#) and in the body of the e-mail type subscribe efiling.

NOTICE: Matters to be submitted to the KingCounty Ex Parte and Probate Department, via the Clerk, may be submitted for presentation either electronically or in hard copy. Please refer to our [Ex Parte web site](#) for further information.

Please Complete to sign in

User ID

Password

Sign In


[Create User ID](#)
[Update Profile / Password](#)
[Forgot Password / User ID](#)

Trusted sites | Protected Mode: Off 150%

eFiling Home Page – Judicial Officer View: Process Selection Screen

King County, W...KC - E Filing

Page Safety Tools



King County
Always at your service

HOME | NEWS | SERVICES | DIRECTORY | CONTACT |


Dept of Judicial Administration – E-Filing
Superior Court Clerk's Office

Welcome Mary Yu

HomeE-FilingOrders for ReviewMy CasesSign Out

INSTRUCTIONS

Please select an action

 [help](#)

Please do not use your browser's 'Back' button

E-Filing

- E-File Documents into an Existing Case
- Orders for Review

Build: E-Filing 3.1.0 - 10/6/2010 6:31:13 PM
Environment: PROD

Trusted sites | Protected Mode: Off150%

Step 1: Enter Case Number

King County, W... KC - EFileing x

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Superior Court Clerk's Office

Welcome Mary Yu

Home E-Filing Orders for Review My Cases Sign Out

INSTRUCTIONS

- ▶ Case numbers should not contain any alpha characters. If the case number contains a [C] please convert the [C] to the number [1]
- ▶ Please do not include the case designation (i.e., SEA or KNT)
- ▶ [? help](#)

Please do not use your browser's 'Back' button

[start over](#)

E-File Documents into an Existing Case

Enter Case Number

Case Number:

XX-X-XXXXX-X or XXXXXXXXX

☐ Check this box if your case number is NOT 9 digits

Cancel **Next**

Progress: 1 2 3 4

Trusted sites | Protected Mode: Off 150%

Step 2: Select Document Type and Browse to Upload File

King County, W... KC - E Filing

Home E-Filing Orders for Review My Cases Sign Out

INSTRUCTIONS

Browse for a Document file

Click 'OK' to upload the document

help

Please do not use your browser's 'Back' button

start over

STATUS

Case Number

09-2-04563-1

Case Title

JLR ASSOC VS REESE

Adobe

Get Adobe Reader

E-File Documents into an Existing Case

Progress: 1 2 3 4

Select Document(s) for E-Filing

Case Information

Case #: 09-2-04563-1

Case Title: JLR ASSOC VS REESE

Document Type

Order

Description:

Other

Description:

Document File

Document File Name:

Browse...

OK

Only DOC, DOCX, PDF, or TIFF Files. Files cannot exceed 5 MB

Document Type	File Name	Size (KB)	Action
Total Upload : 0.00 MB of 50.00 MB			

Trusted sites | Protected Mode: Off

150%

Judicial Officer E-Filing Process

24

Choose the Document File on Your Computer or Network

The screenshot shows a web browser window titled "KC - EFileing - Windows Internet Explorer". A "Choose File to Upload" dialog box is open, displaying a list of files in the "Orders on Trial Readiness" folder. The file "Order on Trial Readiness - JRL Associates v. R..." is selected. Below the dialog, the "Document File Name" field is populated with "Order on Trial Readiness - JRL Associates v. Reese". The "Document Type" is set to "All Files (*.*)". The "Document Upload" section shows a table with columns "Document Type", "File Name", "Size (KB)", and "Action". The table is currently empty, and the "Total Upload" is 0.00 MB of 50.00 MB.

File name: Order on Trial Readiness - JRL Associates v. Reese

File type: All Files (*.*)

Open Cancel

Document File Name: Browse... OK

Only DOC, DOCX, PDF, or TIFF Files. Files cannot exceed 5 MB

Document Type	File Name	Size (KB)	Action
Total Upload : 0.00 MB of 50.00 MB			

Successfully Uploaded File

King County, W... KC - E Filing

Home E-Filing Orders for Review My Cases Sign Out

Welcome Mary Yu

INSTRUCTIONS

Browse to add an attachment or exhibit to your document

If you have another document to E-File click Add Additional Document

help

Please do not use your browser's 'Back' button

start over

STATUS

Case Number

09-2-04563-1

Case Title

JLR ASSOC VS REESE

Document Description

ORDER

File Name

Order on Trial Readiness - JRL Associates v. Reese.pdf

E-File Documents into an Existing Case

Progress:

1

2

3

4

Please review before proceeding

Case #: 09-2-04563-1

Case Title: JLR ASSOC VS REESE

Document Type	File Name	Size (KB)	Action
Order	Order on Trial Readiness - JRL Associates v. Reese.pdf	406	<div>Delete</div>

Enter Attachments

Browse...

OK

Only DOC, DOCX, PDF, or TIFF Files. Files cannot exceed 5 MB

Document Type	File Name	Size (KB)	Action
Total Upload : 0.40 MB of 50.00 MB			
<div>Add Additional Document</div>			

Previous

Cancel

Next

Trusted sites | Protected Mode: Off

150%

Judicial Officer E-Filing Process

26

Step 3: Review Submission Summary Prior to E-Filing

King County, W... KC - E-filing x

Home E-Filing Orders for Review My Cases Sign Out

Welcome Mary Yu

INSTRUCTIONS

▶ To add additional or remove document click 'Previous'

▶ ? help

Please do not use your browser's 'Back' button

[start over](#)

STATUS

Case Number
09-2-04563-1

Case Title
JLR ASSOC VS REESE

Document Description
ORDER

File Name
Order on Trial Readiness - JRL Associates v. Reese.pdf

E-File Documents into an Existing Case

Progress: 1 2 3 4

Summary

Case Number: 09-2-04563-1 **Case Designation:** SEA

Case Title: JLR ASSOC VS REESE

User Name: Mary Yu

Document Type	File Name	Attachment(s)	Sign Document
ORDER	Order on Trial Readiness - JRL Associates v. Reese.pdf		<input checked="" type="checkbox"/>

Previous **Cancel** **E-File Now**

Trusted sites | Protected Mode: Off 150%

Step 4: E-Filing Document(s) Confirmation Receipt & E-Mail Distribution Option

King County, W... KC - EFile

Save or print this confirmation receipt for your file

To send an e-mail with submitted documents attached, enter e-mail address in space provided

[help](#)

Please do not use your browser's 'Back' button

[start over](#)

STATUS

Case Number
09-2-04563-1

Case Title
JLR ASSOC VS REESE

Document Description
ORDER

File Name
ORDER ON TRIAL READINESS - JRL ASSOCIATES V. REESE.PDF

Adobe Get Reader

Email Sent Successfully

✓ Thank you. Your document(s) has been received by the Clerk.

Confirmation Receipt

Case Number:	09-2-04563-1	Case Designation:	SEA
Case Title:	JLR ASSOC VS REESE		
Filed By:	Mary Yu	Submitted Date/Time:	12/3/2010 1:41:09 PM
		Received Date/Time:	12/3/2010 1:41:09 PM

Document Type	File Name	Attachment(s)	Signed By
ORDER	ORDER ON TRIAL READINESS - JRL ASSOCIATES V. REESE.PDF		Mary Yu

[Save Confirmation Receipt](#) [Printer Friendly Version](#)

Enter E-Mail:

[E-Mail a Copy](#)

Trusted sites | Prote

E-Mail Received with Order Attached

Case #09-2-04563-1 (JLR ASSOC VS

Message

Reply Reply Forward
to All

Delete Move to Create Other
Folder Rule Actions

Block Safe Lists
Sender Not Junk

Categorize Follow Mark as
Unread

Find
Related
Select

Find

From: DoNotReply@kingcounty.gov
To: Olsen, Bryan; Yu, Mary
Cc:
Subject: Case #09-2-04563-1 (JLR ASSOC VS REESE)

Message | ORDER ON TRIAL READINESS - JRL ASSOCIATES V. REESE.PDF (503 KB)

For distribution

Documents:
ORDER - ORDER ON TRIAL READINESS - JRL ASSOCIATES V. REESE.PDF

Judge Mary Yu

An E-Filed Order

IN THE SUPERIOR COURT OF THE STATE OF WASHINGTON

IN AND FOR THE COUNTY OF KING

MADERA WEST CONDOMINIUM
ASSOCIATION, a Washington non-profit
corporation,

Plaintiff,

vs.

MADERA WEST, LLC, a Washington
Corporation; A.F. EVANS COMPANY, INC..
a Washington Company; JOHN AND JANE
DOES 1 through 20, individuals;
CONTRACTOR DOES 21 through 35, entities
conducting business in Washington;

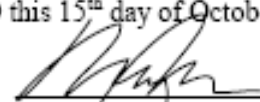
Defendants.

No. 09-2-11022-1 SEA

ORDER REQUIRING PARTIES TO
COMPLY WITH REPORT OF SPECIAL
MASTER

THIS MATTER came before the court upon receipt of a letter, dated October 14, 2010
from court appointed Special Master, Russ Aoki. The court adopts the report of the special
master in its entirety and orders the parties to comply with the discovery schedule contained
therein.

IT IS SO ORDERED this 15th day of October, 2010.



Judge Mary I. Yu
KING COUNTY SUPERIOR COURT

ORDER

Page 1

Judge Mary I. Yu
King County Superior Court
516 Third Avenue
Seattle, WA 98104
(206) 296-9275

Digital Signature Page Attached

King County Superior Court Judicial Electronic Signature Page

Case Number: 09-2-11022-1
Case Title: MADERA WEST CONDOMINIUM ASSN VS
MADERA WEST ET AL
Document Title: ORDER
Signed by Judge: Mary Yu
Date: 10/15/2010 1:14:15 PM

digitally signed

Judge Mary Yu

This document is signed in accordance with the provisions in GR 30.
Certificate Hash: 4764B5F5F0D4A5B6552C9BB0F84A5A936A7E50CF
Certificate effective date: 4/26/2010 7:36:51 AM
Certificate expiry date: 7/19/2012 7:36:51 AM
Certificate Issued by: CN=Washington State CA B1, OU=State of Washington
CA, O=State of Washington PKI, C=US

Successful E-Filing: How to Improve User Acceptance



King County
Department of Judicial Administration

- Hon. Mary I. Yu, Superior Court Judge

Mary.Yu@kingcounty.gov

KCSC website: <http://www.kingcounty.gov/courts/superiorcourt>

- Teresa Bailey, Deputy Director, Superior Court Clerk's Office

Teresa.Bailey@kingcounty.gov

Clerk's Office website: <http://www.kingcounty.gov/courts/Clerk>

KC ECR Program Award Video: "Justice Denied? Not in Seattle!"
<http://www.youtube.com/ashinstitute#p/search/1/SOjhpl3Jb10>