

Guardianship / Conservatorship Capability Model

1.0 User Roles/Access

1.1 User Role Management

- 1.1a Create Account
- 1.1b Assign Users, Roles, and Permissions
- 1.1c Apply Appropriate Security Controls for Access and Data Protection
- 1.1c Manage Users, Roles, and Access Levels
- 1.1d User Activity Audit
- 1.1e Incident Response and Reporting
- 1.1f Accessible and User Friendly

1.2 Authenticate

- 1.2a Login Credentials
- 1.2b Verify/Permit Access
- 1.2c Add/Verify Proxy

2.0 Record/Document Management

2.1 Pre-Adjudication Information Available

- 2.2a Look Up Case Information

2.2 Integrates with Case Management System

- 2.2b Identify and Access Assigned Cases
- 2.2c Review and Update Contact Information for Reminders and Notifications
- 2.2d Access to Complete Case History and Documents by User Permission Role and Assignment

2.3 Guardianship History & Summary

- 2.3a Type of Guardianship
- 2.3b Case Status
- 2.3c Guardianship History
- 2.3d Related Cases Information
- 2.3e Summary Information Easily Accessible to Judge on the Bench
 - 2.3e1 Past Findings
 - 2.3e2 Bond
 - 2.3e3 Assets
 - 2.3e4 Personal Information

2.4 Generate Common Court Orders

- 2.4a Order of Appointment
- 2.4b Order Approving Accounting
- 2.4c Order Amending Guardianship
- 2.4d Order Terminating Guardianship
- 2.4e Notice of Non-Compliance
- 2.4f Order to File Documents
- 2.4g Order to Show Cause
- 2.4h Order Scheduling Review Hearing

2.5 Confidential Records

-

2.6 Guardian Information

- 2.6a Contact Information
- 2.6b Training and Certification

3.0 Report Filings

3.1 Access and Review Assigned Cases, Reports, and Orders

-

3.2 Enter Report Information Online

- 3.2a Information Prepopulated on Annual Report Form Based on Prior Report
- 3.2b Review Previously Submitted Reports
- 3.2c Attach Supporting Documents
- 3.2d Person Under Guardianship Enter Information about what they want the Court to Know
- 3.2e Manage Forms
- 3.2f Import Information from Financial Institution
- 3.2g Extract Key Data from Uploaded Documents

3.3 Generate Automatic Due Date Schedule

- 3.3a Reset Due Dates if Successor Guardian

3.4 Notifications

- 3.4a Notify Status of Submissions
- 3.4b Report Reminders
- 3.4c History of Notifications

3.5 Report Status

-

3.6 Track Actual Report Filing Dates

-

3.7 Flag Report Issues

- 3.7a Flag Duplication of Reports
- 3.7b Flag Significant Changes in Reports
- 3.7c Flag Missing Information
- 3.7d Flag Waivers of Reporting Deadlines
- 3.7e Identical Report to Previous Submission
- 3.7f Alert Court Staff of Flag

3.8 Queue Filings for Review

- 3.8a Review Reports and Information
- 3.8b Report Review Status
- 3.8c Review Flags
- 3.8d Assign and Re-Assign Court Staff Reviewers
- 3.8e Review Reminders
- 3.8f Workflow to Return for Amendment or to Escalate for Review

4.0 Aggregate Information/Queries

4.1 Track Information

- 4.1a Track Demographic Information
- 4.1b Track Guardianship History
- 4.1c Track Financials
- 4.1d Red Flags

4.2 Alert

- 4.2a Alert All Courts when Guardian Removed for Cause
- 4.2b Alert all Courts when Guardian Removed for Criminal Case
- 4.2c Notify State Police/State Registry of Adjudicated Incapacitated Person who Cannot Possess Firearm
- 4.2d Notify Other Agencies of Adjudication of Incapacity

4.3 Reports/Dashboards

- 4.3a Report on All Persons Under Guardianship
- 4.3b Report on All Guardianships Out of Compliance
- 4.3c Report on All Assets Under Court Supervision
- 4.4d Report on All Guardianship by Case Status

5.0 Correspondence

5.1 Generate and Send Notices

- 5.1a Court Hearing Notice
- 5.1b Reminders
- 5.1c Status Updates
- 5.1d Set Preference for Reminder and Notifications Method

5.2 Two-Way Correspondence with the Court

- 5.2a Record of Communication

5.3 Critical Incident Notification

-