

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

Example User Roles:

Judges

Court Staff

Guardian/Conservator/Petitioner (including multiple co-guardians, co-conservators, and co-petitioners)

Guardianship Agencies

Attorney

Person Under Guardianship

- 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
- ▼ 2.2 Integrates with Case Management System
 - 2.2a Look Up Case Information

- 2.2b Identify and Access Assigned Cases
 - Example Assigned Case Reporting by:
 - Judge
 - Court Staff
 - Guardian/Conservator/Petitioner
 - Attorney
 - Jurisdiction
- 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
 - Example Types of Guardianships:
 - Person
 - Property
 - Full
 - Limited
 - Temporary
 - 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

Example:

Judicial Notes

- ▼ 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

Email

Text

Mail

- 3.4a Notify Status of Submissions

Example Status:

Due Dates

Overdue

Submitted

Reviewed

Accepted

- 3.4b Report Reminders

- 3.4c History of Notifications

- 3.5 Report Status

Example Report Status:

Report Due

Report Overdue

Report Submitted

Report Reviewed

Report Accepted

- 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

Example Review Status:

Review Pending

Review Date

Review Action Required

- 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
Example Reminders:
Hearings
Reports
 - 5.1c Status Updates
 - 5.1d Set Preference for Reminder and Notifications Method
For example: Mail, Email, Text
 - ▼ 5.2 Two-Way Correspondence with the Court
 - 5.2a Record of Communication
 - 5.3 Critical Incident Notification