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Joint Project of
The Conference of State Court Administrators and National Association for Court Management Joint Technology Committee and the National Center for State Courts

Funding Support Provided in part by
The Bureau of Justice Assistance

Consolidated Case Management System Functional Standards V0.20 (Exposure Draft)

June 20, 2006

NOTICE

This is an exposure draft and has not been approved. The entire document is subject to further modification of content and organization before release of an official draft version.

Version 0.20 was prepared for review by the COSCA/NACM Joint Technology Committee. It reflects revisions made primarily to accommodate appellate court requirements.

Support for development of appellate court case management system functional standards was provided by participating state judiciaries.

The National Center for State Courts was supported by grant number 2001-LD-BX-003, awarded by the Bureau of Justice Assistance. Opinions or points of view in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Consolidated Case Management System Functional Standards

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Consolidated Case Management System Functional Standards

Part One - Introduction

State and local courts collectively have invested billions of dollars in essential information technology to improve the administration of justice and the effectiveness of their operations. A large share of these funds is directed toward the planning, development, implementation, and maintenance of case management systems and the infrastructure required to support them. Historically, much of the analysis and design for these systems—and, consequently, their development and ongoing maintenance as well—has been conducted on a court-by-court or, at best, a state-by-state basis. Most of these efforts, eventually and to varying degrees, have achieved their objectives. Nonetheless, this reinvention of the wheel has resulted in less efficient use of funding and human resources at best, and too often led to costly blunders, compromised system capabilities, or increased complexity of software maintenance and upgrades.

A major underlying cause for this unfortunate situation was the combination of an absence of standards for case management systems and the related attitude among courts that their operations, procedures, processes, and data preferences—and thus their functional requirements—were unique. These factors affected both the in-house development of systems and the acquisition of commercially developed solutions.

Without a standard set of functional requirements to draw upon as a basis for preparing design specifications for in-house system development, court managers faced two alternatives. They could start the design and development process from scratch or they could try to locate a successful implementation by another court or state judiciary, study its design and operation, and attempt to model their own system after it. All too often the perception of uniqueness either precluded pursuit of the latter approach altogether or had so influenced the design for the potential model system that adaptation by another court would be impractical.

Similarly, to acquire a solution from a commercial software developers, court managers were forced to assess and describe their requirements in an experiential vacuum to prepare an RFP, endeavor to adapt specifications from another court's RFP to fit their needs, or identify a vendor who had developed a system for another court and attempt to have the vendor adapt that system for their court. The perception of uniqueness often undermined these efforts as well.

Without national standards, case management system vendors found it difficult to achieve any significant economy of scale. They were forced to respond to each court's RFP in a highly individualized manner, initially expending substantial resources attempting to map their software to the stated specifications to prove that they could meet the requirements. Then, having won a

competitive bid, they frequently encountered an adaptation nightmare in the complexity of successfully modifying a system originally developed to satisfy the demands of a different court—demands usually based in part at least on the vagaries of existing manual procedures. Because of these difficulties, some developers either foundered or abandoned the court market for more profitable opportunities.

Project Background and Standards Development History

Origins of the Standards Development Initiative

The National Center for State Courts, along with many court leaders, recognized the need for case management system standards at the national level and sought funding to pursue their development. In 1988 NCSC obtained a grant from the State Justice Institute for a project to undertake this work. The challenges proved daunting. When the resulting monograph, *Planning, Acquiring, and Implementing Court Automation*, finally was published in 1993, it included the following introductory remarks:

> *[This project]. . .began as an attempt to define standards for the content, structure and functioning of automated court case management information systems. Given the tremendous diversity of the nation's state and local courts, the project's early goals were too ambitious for available resources. Later refinements to the objectives focused the project on the automation process, rather than the product. Nonetheless, to build on the work of this volume, the broader areas of defining standards for the content of these systems should be addressed.*

This widely read publication provided essential foundational guidelines for standardizing the approach to court automation and helped raise awareness among the court community of the need for developing case management system standards. Despite efforts by NCSC and the Joint Technology Committee (JTC) of the Conference of State Court Administrators (COSCA) and the National Association for Court Management (NACM), unfortunately, no additional funding sources were available for several years.

Finally, in 1998 this cooperative desire to move forward with standards development led to the formation of the National Consortium for State Court Automation Standards. The Consortium was modeled along the lines of the existing Consortium for State Court Interpreter Certification and included representatives from interested state and local courts able to contribute funds or expertise to the effort. In early 1999 with funding from an initial contribution by the State of Texas and subsequent smaller monetary or in-kind contributions by several other states, staffing by NCSC, and oversight by JTC, the Consortium tackled the work of developing functional standards for civil case management systems. Aided by the visibility and momentum stemming from this initiative, JTC and NCSC subsequently obtained federal grants from the Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention, and National Highway Transportation Safety Administration. As the work begun by the Consortium continued through the Standards Working Group under JTC, these grants enabled progressive development of functional standards during the next few years for criminal, domestic relations, juvenile, and

traffic case management systems. The final project team in this series completed the draft traffic standards in 2004.

Functional Standards Development Projects

Initial development of case management system functional standards proceeded as a series of individual projects. Each project focused on functional requirements for a single trial court system, based on case type: civil, criminal, domestic relations, juvenile, or traffic. Each project was separately budgeted and usually funded by a different granting agency or other funding source. Finally, each drew upon the expertise of a different group of court practitioners carefully selected for their knowledge and experience relative to the targeted case type for the particular project. All projects were conducted by NCSC court technology staff and consultants with the assistance of joint system development (JSD) teams of court practitioners, and all were conducted under the general oversight of the COSCA/NACM JTC. The projects also used a common approach and development process, and the draft standards they produced all underwent the same established approval process.

Standards Development Methodology

The methodology adopted for developing functional standards was designed to capitalize on successful court automation experiences, identify and extract the functional commonalities across courts to circumvent the minefield of perceived uniqueness, draw upon the expertise of court practitioners, and ensure an appropriate vetting of each set of standards produced.

Collection of Court Requirements

For each project NCSC staff collected sets of requirements or system specifications from state and local courts with successful system development projects. Samples included in-house development specifications, RFP specifications, and documentation of features and functions for existing systems. Together, this collection of source documents represented a good cross-section of courts and automation projects.

Formation of JSD Teams

NCSC identified and recruited volunteer court managers and staff from state and local courts to serve on a joint standards development team for the project. The selection process sought individuals with expertise in the case type for which standards would be developed. In addition to a cross-section of courts, the volunteers represented different departments or functional areas and, collectively, provided a comprehensive knowledge across the spectrum of case and financial management functions. For some projects, such as juvenile and traffic standards, subject matter experts from other relevant agencies or organizations were added to the JSD team. Moreover, all teams comprised both operational and technical experts.

Analysis of Requirements and Drafting of Standards

As court requirements documents were collected, the NCSC consultant compiled them and performed a thorough analysis to identify the core set of requirements common to most courts. Requirements were organized into logical groups by major business function (e.g., case initiation and indexing, docketing, scheduling, and account management). Finally, the consultant prepared a draft standard requirement specification for each function and detailed subfunction.

JSD Team Review

NCSC generally scheduled three face-to-face meetings for the JSD team to review and discuss the draft document, which was distributed to each participant in advance of the meeting. Each meeting usually lasted two and a half days and involved intensive—often grueling—discussion of individual subfunctions in addition to more general sections and the overall organization and content of the document. The NCSC staff and consultant compiled extensive notes to serve as the basis for later revisions. After each meeting, the consultant would make the necessary revisions and continue work on any uncompleted sections. For the final review session, NCSC invited selected vendor representatives to participate and provide feedback from their perspective. Upon completion of all revisions following the final review session, the final draft version of the document was distributed to the JSD team for verification.

Standards Approval Process

COSCA and NACM established a formal review and approval process to be followed for each set of technology standards produced. This process was intended to ensure the quality of work underlying the development of all standards and to provide adequate opportunity for public review and input by interested and knowledgeable practitioners and court technology professionals. The approval process for the functional standards involved several steps, outlined below, culminating in the endorsement of a standard by the Conference of Chief Justices.

Submission to JTC

The final draft standards document produced by a project team is submitted to the COSCA/NACM Joint Technology Committee for consideration as a “proposed standard.”

JTC Review

JTC reviews the standards document and decides either to (1) refer the “proposed standard” back to the submitting entity for further revision or (2) disseminate the "proposed standard" for review and comment.

Notification and Public Review

If JTC accepts the “proposed standard” for review and comment, NCSC disseminates it for review and comment for a period of 60 days or longer. Dissemination includes posting the final draft standards document on NCSC’s website and distributing a notice to a wide group of court-related organizations and groups (a complete list of recipients may be found on the NCSC website).

Review of Comments

JTC forwards all received comments to the proposing entity for its consideration. The proposing entity then makes any revisions it believes are appropriate and submits a "recommended standard" to JTC, along with a compilation of all comments and their corresponding responses.

Action by JTC

JTC will decide whether to approve the proposing entity's recommendation as a "recommended standard," with or without modifications to the proposing entity's recommendation. It will then refer the product to COSCA and NACM.

Action by COSCA and NACM

The COSCA and NACM Boards of Directors will take action, as they deem appropriate, on the "recommended standard." Any outstanding issues will be resolved by the officers of COSCA and NACM and, if the decision is favorable, the "recommended standard" is approved.

CCJ Resolution 13

The Conference of Chief Justices adopted Resolution 13 on August 2, 2001. This resolution expresses support for the standards and encourages each state judiciary to disseminate the standards, encourage their inclusion in state strategic plans and their use in executive branch systems that exchange data with courts, and direct that courts comply with the standards when acquiring or building new systems unless there is compelling justification not to do so. The complete wording of Resolution 13 may be found on the NCSC website.

Note: **during the second half of 2005, the standards approval process was revised and somewhat more formalized by a modified JTC Standards Process that includes establishment of a prescribed Request for Comment (RFC) document structure and standards submission procedure; see http://www.ncsconline.org/D_Tech/jtc/ for more information.**

Standards Consolidation Project

Drawbacks of Separate Sets of Functional Standards

The initial development of functional standards was accomplished through a series of related, but independent, projects directed at case management systems for a single major case type. There were several reasons why this approach was necessary and appropriate. Perhaps the most compelling driving factor was the need to contain both scope and cost. With the establishment of the National Consortium for State Court Automation Standards, the series began with very limited funding contributed voluntarily by only a handful of states. The Consortium identified civil case management system functional standards as being needed immediately and likely to be an achievable goal under the constraints of available funds. NCSC and the JTC Standards Working Group continued pushing the series forward under federal grant funding. Yet subsequent grant-funded projects not only were saddled with the need to define a scope that

would permit a reasonable budget but also had to be targeted to the program goals and time frame of the potential funding agency.

As the standards documents emerged project by project, however, it became readily apparent that there was substantial duplication among the standards. To be sure, each set contained specific requirements applicable to only a single case type (e.g., criminal). Other requirements might apply to two or more case types (e.g., civil and domestic relations) but not to the rest. Moreover, closer examination revealed many instances in which a function that appeared to be unique was, in fact, the same function described in different words and perhaps appearing in a different section in the standards for another case type. Sometimes the main difference between a function in different documents was simply the examples used for each case type. Finally, despite all the duplication, there were instances in which a single project team identified a universal (i.e., not specific to a case type) requirement that other teams had not specified.

Given this assessment, it was obvious that inconsistencies in wording and organization would increase confusion and make it more difficult for a court or case management system vendor to apply the standards to a comprehensive system development effort. Efforts to identify exchange points for external interfaces with other justice agencies would be hindered also. Furthermore, these inconsistencies would significantly complicate the standards maintenance and updating process as well as any efforts to transition the standards documents into a different vehicle or format. JTC and NCSC concluded that it was essential to consolidate these separate standards documents into a unified set of case management system functional standards.

Consolidation Process

With funding from the Office of Justice Programs, NCSC began work in 2004 on consolidating the sets of functional standards developed for individual case types. The goal was to arrive at a single set of standards containing the requirements universal to all case types while preserving and identifying those requirements unique to a specific case type. The common requirements would reflect functional descriptions distilled from the corresponding individual descriptions in each document and reworded to cover all applicable case types.

In the first phase of this project, an NCSC technology staff or consultant conducted a detailed analysis and comparison of the individual documents, compiling extensive tables of functions identified as describing the same function. This tedious process required repeated cross-functional searching to locate and verify parallel functions in different documents. The analyst then developed wording for the consolidated function that captured the intent of the individual JSD teams while bridging the inconsistencies between versions, applying to case management systems generically, and including case type-specific examples where needed to clarify context. Once the consolidated description for a function had been prepared, it was given a brief, descriptive heading. Functions that appeared in only a single standards document and clearly applied to only a single case type were identified and captured separately.

Once all function tables with consolidated descriptions were completed, the project analyst prepared a document organized into sections by major function area in a manner similar to that

of the original standards documents. Individual functions were then transferred from the set of consolidated tables to the new, consolidated functional standards document. Functions unique to a single case type were listed at the end of each section and also compiled into a collective set for each case type at the end of the document. The draft document was circulated to a team of court reviewers for comment.

Transition to Business Process Model

With development of the draft consolidated functional standards document completed, NCSC staff and consultants began the next phase of improving the utility of the standards through development of a business process model for case management systems. This approach was selected because of the proven value of modeling to help both organizations and system developers visualize the processes and their relationships with each other. Models represent not only the flow of processes and the interactions between processes, but also the interaction of users with the system. For this project the NCSC project team used RequirementsModeler©, a modeling tool developed by URL Integration, Inc. and based on the industry standard Unified Modeling Language (UML).

The advantage of this approach is that it preserves all the textual descriptions developed by the original standards project teams and subsequently consolidated into a unified document. At the same time it adds the value of diagrams to convey additional information to developers and practitioners. Finally, it provides a more powerful and flexible vehicle with the potential to simplify maintaining, updating, and extending the standards in the future.

Using the new medium of the business process model, NCSC assembled a JSD team of court practitioners and court technology experts to review the consolidated functional standards. The majority of participants were selected because they had served on a previous JSD team for development of case management system standards for a particular case type. In addition to securing proven expertise, this composition ensured that the consolidated standards accurately reflected and sufficiently covered the range of requirements originally identified and described. In addition to a face-to-face meeting, the JSD team participated in several Web conferences to review, discuss, and modify the consolidated standards model.

As the consolidated functional standards model was developed and reviewed, the standards were further refined. Two important benefits were better organization of the standards and numerous improvements in the wording of descriptions for functional standards. In addition, the JSD team repeatedly discovered that functions originally considered unique to a case type, in fact, either were already covered by an existing universal function or should be made universal and applicable to systems for all case types. As a result of such refinements, the standards state the functional requirements more clearly and reflect advances in technology and justice system information since the original standards work began. Moreover, the major functional areas, which had varied in number from 16 to 21 in the original separate standards documents, were collapsed into 13 major sections. Finally, while all of the required functionality determined by the original teams has been preserved, by eliminating unnecessary duplication, recognizing

universal requirements, and improving organization, the consolidated standards team produced a functional standards product that is simultaneously more streamlined and more complete.

Incorporation of Appellate Court Functional Requirements

In early 2005, following completion of a consolidated functional standards document during the first phase of the standards consolidation project, NCSC launched a project to develop appellate court functional standards. With funding contributed by several state judiciaries and voluntary participation by appellate court practitioners around the country, this project was designed with a hybrid approach to capitalize on (1) the methodology and work products from the original five trial court standards development projects, (2) the work product and findings from the standards consolidation project, and (3) the availability of cost-saving Web forum and webinar technology for collaborative development.

NCSC formed a JSD team of appellate court experts to work with staff and consultants. Based on a detailed analysis of appellate court case management system specifications provided by several states, the NCSC consultant revised the consolidated functional standards as needed to accommodate the requirements of the appellate courts as well as trial courts. The revisions included expanding descriptions to include appellate examples, modifying wording to describe functions in more universal terms rather than using specific trial court terminology, and adding new requirements unique to appellate courts. When drafting was completed for each section of the revised consolidated document, that section was posted for JSD team review and feedback through a Web forum environment.

As the new consolidated business process model emerged from the second phase of the standards consolidation project, the appellate project team transitioned its work from the consolidated document to the new model, and all subsequent modifications needed to incorporate the remaining appellate court requirements were made directly to the model. The JSD team review of the new consolidated trial and appellate court model was accomplished through two face-to-face meetings of two-and-a-half days each, plus an interim webinar conducted between the two meetings.

Status and Future Development

Despite the accomplishments to date, significant additional work will be needed to deliver to the justice community all of the potential benefits of case management system standards. The process of developing standards is intended to be fluid and ongoing, not only to refine and extend existing standards but to reflect the evolution of technology and improvements in available tools and information among the justice agencies and related entities. The primary goal for this project was to capture, consolidate, model, and package the results of all functional standards development work to date.

In looking ahead to the next steps, the project team identified several “holes” or limitations in the functional standards that should be addressed as soon as time and resources permit. These gaps and issues include the following:

- Use of traditional court terminology to describe functions (e.g., indexing, docketing, calendaring) should be examined in light of the reality of technology-oriented processes
- Information exchanges are not completely identified or defined; touchpoints should be better specified for both internal (e.g., among functional modules and between a module and its supporting off-the-shelf software components) and external (e.g., with other justice agencies' systems)
- Potential additional functions need to be identified
- Functional requirements for other special trial court case types must be incorporated into the consolidated standards
- A functional standards implementation guide should be developed and should include examples for specific case types
- The functional standards should include links to *The State Court Guide to Statistical Reporting*, *CourtTools*, data exchange models, E-filing standards, and other evolving standards and tools
- The standards should be expanded to include outside (other) actors
- The coverage of management and statistical reports requirements should be expanded
- Requirements for code translation tables should be examined, and possibly updated and expanded
- Data needed to support all functions should be more completely identified and documented
- Court functional standards should be tied to the Global Justice XML Data Model (GJXDM) Information Exchange Package Document (IEPD) development efforts and other work in progress to advance the goal of establishing standards for functions, data, and services required by courts and justice agencies.

Future projects must address these gaps and continue moving the standards initiative forward. Some of this work (e.g., incorporation of appellate court requirements) is already in progress or planned for the immediate future. As the consolidated functional standards are updated, they will be released using a version control process.

How to Use the Functional Requirements Document

Purpose and Intended Usage

The purpose of the functional standards is to provide general guidance to state and local courts and court case management system vendors engaged in or planning for development, overhaul, or assessment of a case management system. The standards describe the general, minimal capabilities required in terms of the business functions they must support. Functional standards describe ***what*** a system should do, but they leave the question of ***how*** the system should accomplish the desired functionality to the system designer, as the "mechanics" of the system are highly dependent upon system architecture and technology capabilities at design time.

Furthermore, functional standards present only one component—albeit a central one—of the specifications needed for system development. Courts also must define requirements for technology infrastructure and performance, data, training, maintenance, and other aspects of the overall system.

The functional requirements presented here are global in scope. They have been distilled from a collection of requirements for systems developed for a particular local court or state court system. As such they are broad, but shallow. Intended to represent a relatively high-level view of requirements, they are stated in sufficiently general terms to be applicable to the common core needs of nearly all courts at both the trial and appellate levels. In addition, because the consolidated standards are (unless indicated otherwise) intended to apply to systems designed for any major case type, most descriptions employ case-neutral terms, such as *party*, *filing*, *hearing*, *document*, etc. Examples that may be included are intended to help illustrate or further clarify the meaning of a functional description—they are not intended to be an exhaustive list. At the same time, however, the standards are sufficiently comprehensive in scope that they may include functions deemed by some courts to be neither necessary nor desirable.

For effective use of the standards, state and local courts are expected to select, modify, and add requirements as needed when developing RFPs and internal requirements definitions. **No state or local court should consider simply presenting an intact version of these standards in its requirements definition document.** In addition, many functional requirements are intended to be driven by statute, court rule, or local or state business operational rules and conventions. This point is emphasized in several functions by the use of expressions such as "in accordance with local business rules." While this flexibility is essential for global standards, it anticipates that the state or local court will specify the corresponding operational rules for each applicable requirement. In summary, the consolidated standards are intended to provide courts with the ability to customize the requirements and add details and specificity as needed for a particular system. The extent to which the courts discharge this responsibility will largely determine the success of their projects.

Key Concepts and Conventions

The consolidated functional requirements standards are presented as a set of major business functions common to all courts. The original standards development project teams identified major functional categories into which could be grouped the activities associated with processing and managing cases throughout their court lifecycle. Although court activities do not always proceed in a simple, sequential pattern, the teams ordered the major categories to reflect the general flow of cases through the court plus the ancillary, supporting activities and utilities needed to accomplish case processing and management. The consolidated standards model retains this same general order of functional categories common to all case types, while resolving the differences among the individual sets of standards to arrive at 13 major business functions:

1. Case Initiation and Indexing
2. Docketing
3. Scheduling

4. Document Creation and Tracking
5. Calendaring
6. Hearings
7. Disposition
8. Post Disposition Compliance and Execution
9. Receipt Accounting
10. Bookkeeping Accounting
11. Records Management
12. Configuration Maintenance, Security, and Integrity
13. Management Reporting.

The major business functions are identified using terms that, while in common usage among courts, may carry different connotations in different courts. For example, *docketing* refers to a range of activities associated with maintaining information in court records and capturing and recording events to reflect a complete case history. Although the docketing business function and the activities it encompasses may reflect a broader meaning than some court practitioners assign to the term, at the same time it does **not** refer to placing cases on a court calendar or "docket" as the term is used in a few courts. Other terms that may cause confusion include *scheduling* and *calendaring*—especially with regard for the distinction between them as they are applied in the standards. To avoid confusion over the meaning and context of seemingly commonplace terms, readers must ensure that they understand the use of each term as it is explained in the descriptions for each business function and the activities it includes.

Guide to the Court Business Function Model Report

Part Two of the standards document consists of a report generated by RequirementsModeler© from the consolidated standards business function model. The report depicts the model through a combination of diagrams and text. This section briefly explains the format and organization of the generated report. Please note that the graphical and textual examples presented in this section may differ somewhat from the current version of the actual model.

Table of Contents

Because of its size and nature of generation, the general Case Management System (CMS) report begins with a separate Table of Contents. In it, readers will see that information is sorted by Business Functions and Use Cases. Business functions describe a grouping of common or related processes. Use Cases describe how actors use the system to accomplish business goals.

Business Functions

Business Functions are a description for a grouping of common business practices. Think of Business Functions as the chapters of the report – they describe a grouping of processes that fit a section of a Court's business model. Together, they tell the entire story of the functionality a CMS should contain.

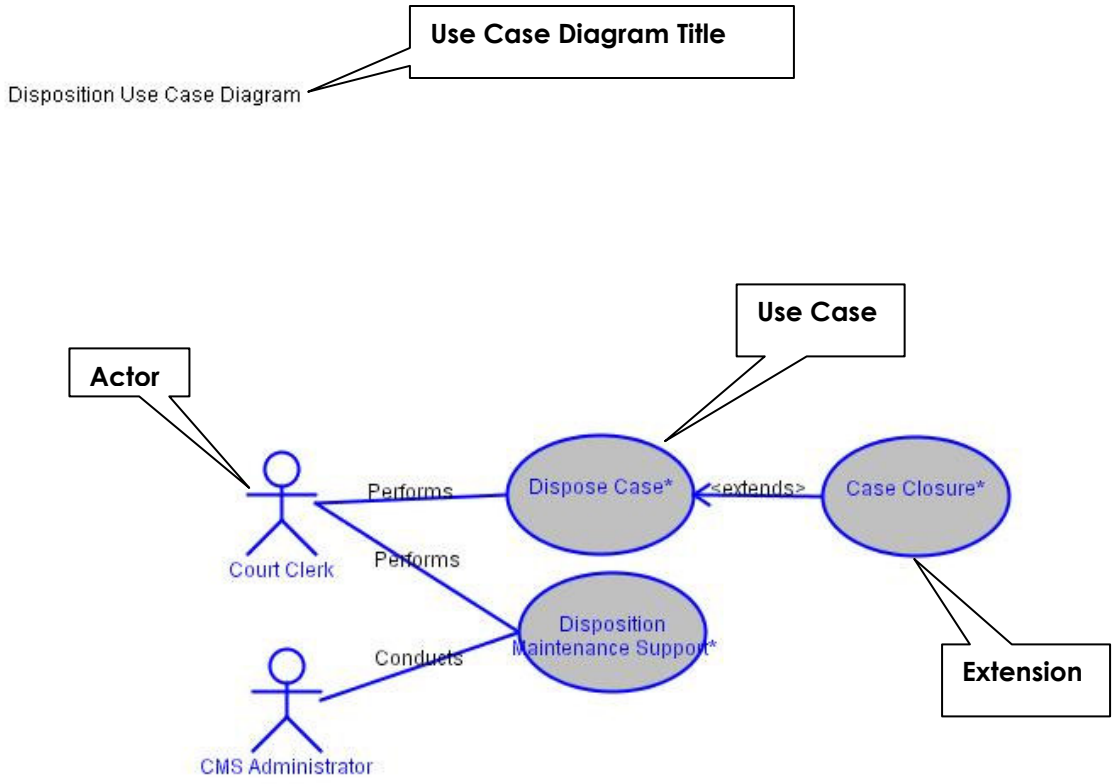
The Business Function descriptions constitute the greater part of the general CMS report. When reviewing an individual Business Function, readers will first find a Business Function definition, which describes the specific functional area in CMS.

Use Case Diagrams

Immediately following the Business Function definition, readers will see the first of two graphical depictions of information: the Use Case Diagram. Use Case Diagrams depict how actors interact, or relates with the system to accomplish a business goal. The Use Case Diagram also summarizes the relationship of one Use Case to another.

The “stick figures” are system actors, which are either a provider or user of a system service. The ovals are the Use Cases themselves, which describe how a system can be used, from an actor’s point of view. Use cases show the functionality of a system, and are described in terms of how an actor interacts with the system to accomplish a business goal.

Below is an example of a Use Case Diagram, from the Disposition section of the CMS specification report.



In addition to depicting the relationships between actors and Use Cases, the Use Case Diagram also portrays relationships between Use Cases. You will note that this Use Case Diagram depicts an extension between the Dispose Case Use Case and the Case Closure Use Case. An <<extend>> relationship between Use Cases means that the base Use Case (Dispose Case in the example above) may also include the additional behavior depicted in the extending Use Case (Case Closure).

In addition to the <<extend>> relationship, there may also be <<include>> relationships – an <<include>> relationship – depicts that the behavior in the extended Use Case always occurs when the process described in the base Use Case occurs.

The CMS specifications contain <<extend>> and <<include>> relationships.

What is in a Use Case?

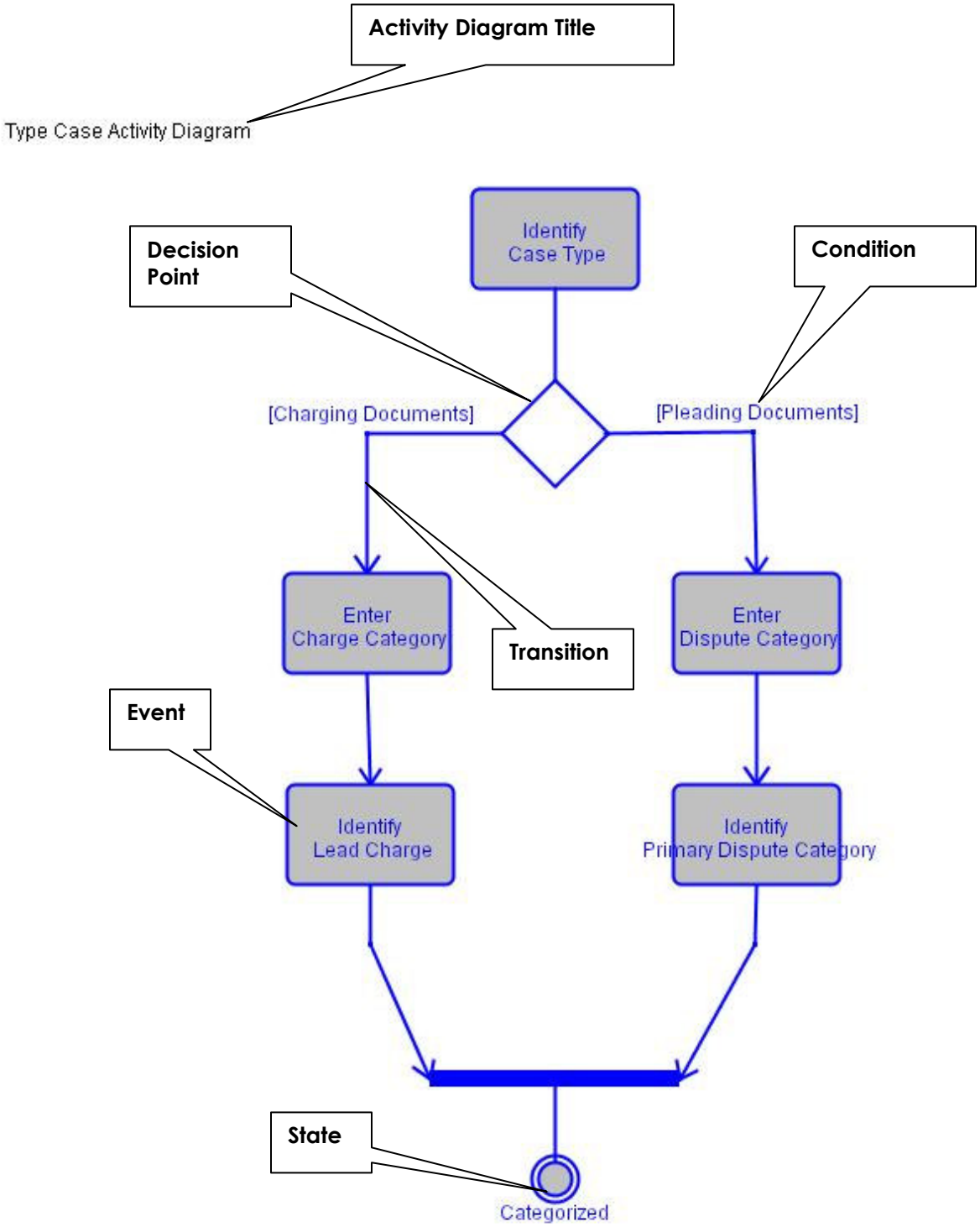
Use Cases begin with the definition of the functional area it is representing. These definitions discuss how the actors use the system to accomplish a specific business goal. They describe specific interactions between the actor and the systems, and the specific activities the actor must accomplish to complete the process.

Here is an example of a good Use Case definition, for the Case Acceptance Use Case:

Case Acceptance includes the activities that occur as new cases are entered into the court computer system. Then the information and filings (e.g., complaints, petitions) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries conform to locally used conventions regarding a structured case number, title or description, and other basic information.

Activity Diagrams

The next thing the reader will see is the Activity Diagram. The Activity Diagram is used to describe the activities and actions occurring in a process flow. Below is an example from the Type Case Use Case in CMS. The Activity Diagram flows from top to bottom.



The specific elements of the Activity Diagram, as depicted in the call boxes above, include:

- **Activity**, the specific steps that comprise the overall process;

- **Transition**, the relationship between two elements; when the first is satisfied, the following event can occur. In RequirementsModeler©, notes and alternative flows that describe the process flow are reported in the transitions between activities;
- **Decision Point**, or the point at which different process flow paths are possible
- **Condition**, a qualifying factor that affects the flow of activities (report complete/report not complete, additional resources required/no additional resources necessary); and
- **State**, or the overall condition of an object going into or coming out of a specific process. States either begin or end an Activity Diagram. They are also known in the report as Pre-Conditions and Post-Conditions.

Following the activity diagram is a chart summarizing the actors and their relationship to the Use Case. The following is an example of a chart from the Case Indexing Business function in the CMS report:

Actor	Relationship	Description
Court Clerk	Performs	The clerk of the court.
Judge	Approves	An adjudicator; a senior official in a court of law.

Flow of Events

After the Activity Diagram and the Relationship chart, the reader will see a section with the heading: *Flow of Events*. In this section each activity depicted in the Activity Diagram is described.

In many cases there are notes captured in the sequence of events that help define the process flow or provide additional information about a particular activity. These notes are depicted in a chart between activity definitions. Sometimes there are also notes that capture alternative process flows, such as a difference in process between a large and small agency. Below is an example of a Flow of Events taken from the Use Case: Produce and Track Schedules, which includes notes that highlight technical requirements.

Flow of Events

3.7.1 Track Schedule Modifications

Track and output schedule modifications (e.g., judge or mediator's schedules, or courtroom reassignments) over specific period.

3.7.2 Include Case Age in Displays

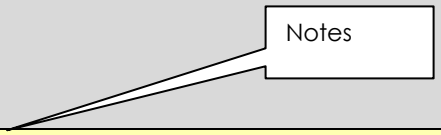
Include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).

3.7.3 Produce Schedules

Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities (e.g. mediator's, arbitrator's schedule by day).

3.7.4 Output Schedules for Case Participants

Print or display schedules for various persons (e.g. other judicial officers; attorneys; other participants such as law officers, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies if their schedules in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.



3.7.4.1 Notes

Detail
[Technical Requirement] Provide for real-time selective electronic notifications (e.g. email) as determined by the user.

States: Pre- and Post-Conditions

The last detail of information included in a description of a Use Case is the Pre- and Post-Conditions, or the state both before and after the process. Like notes and alternative flows, states are depicted with short tables that include a definition of the state.

In many cases, processes begin with activities rather than states. As such, the Pre-Condition field is often blank in the report. Here is an example from the CMS specifications:

Pre-Conditions

None

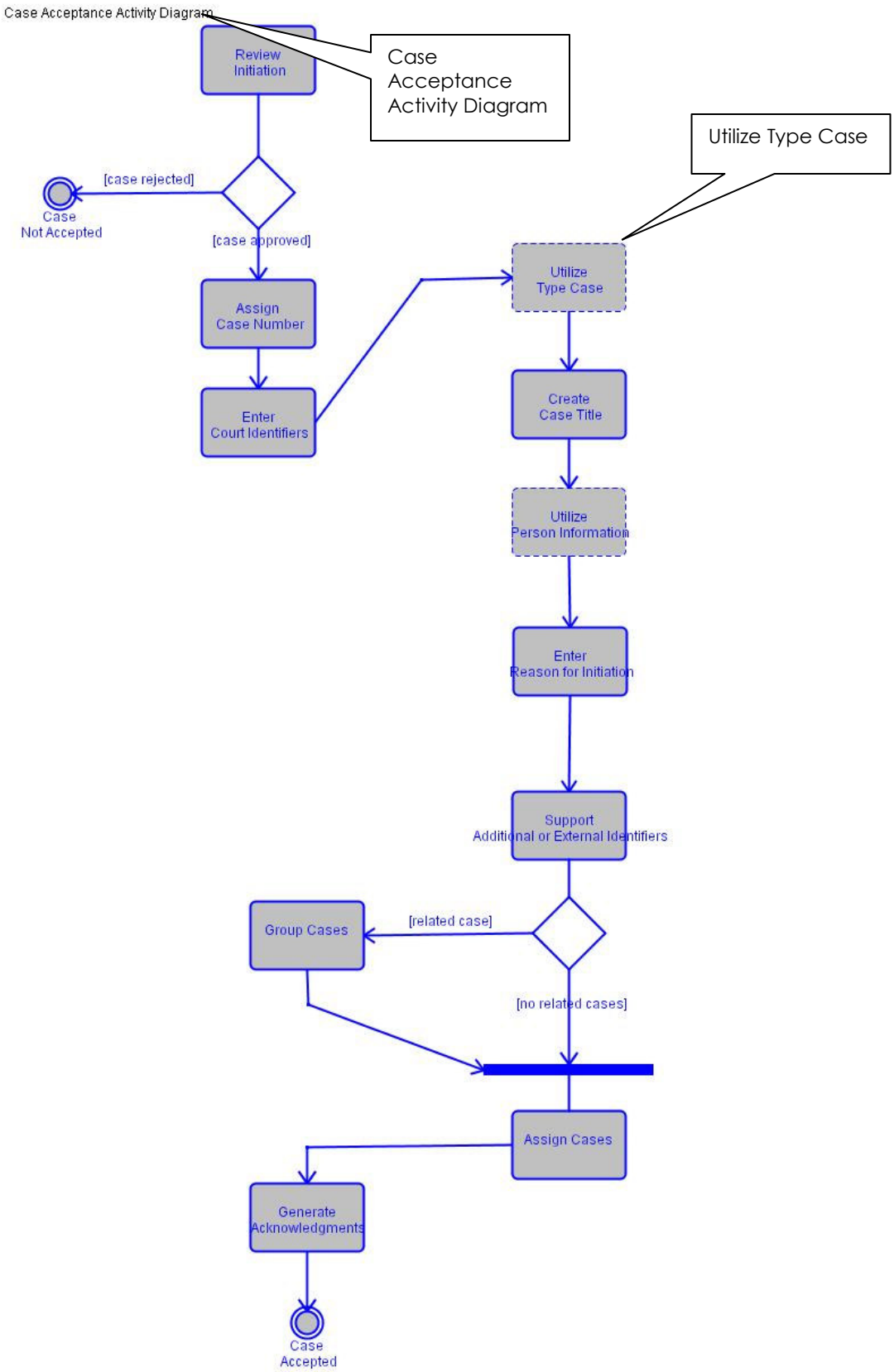
Post-Conditions

Post-Condition	Description
Schedules Changed	Schedules have been changed.

" Utilize" Activities

Utilize is a key word in RequirementsModeler© that carries with it special meaning. You will see many activities that begin with the word *Utilize* (e.g., Utilize Type Case, Utilize Person Identifiers). These activities simply refer to a process—or Use Case—that is used elsewhere in the model. When you see *Utilize* begin an activity, you should refer entirely to that original Use Case where the process in question is described in full detail.

An example will make this clearer. In the Case Initiation and Indexing Business Function, the Case Acceptance Use Case includes an Activity called “Utilize Type Case.” Below is the overall flow of that Activity Diagram:


Case Acceptance Activity Diagram
Review Initiation
Case Acceptance Activity Diagram
Utilize Type Case
[case rejected]
Case Not Accepted
[case approved]
Assign Case Number
Enter Court Identifiers
Utilize Type Case
Create Case Title
Utilize Person Information
Enter Reason for Initiation
Support Additional or External Identifiers
Group Cases
[related case]
[no related cases]
Assign Cases
Generate Acknowledgments
Case Accepted

In this flow, the "Utilize Type Case" activity refers to the circumstances under and the point in the Case Acceptance process where the clerk determines the type of case that is before him/her. The clerk will use the process described fully in the "Type Case" Use Case.

Glossary

Once all of the Business Functions, Use Cases, and Activity Diagrams have been presented, the report concludes with a glossary of all relevant terms, grouped by the reports key terms: Business Functions, Use Cases, Activities, Actors, and States. This glossary provides a quick reference to the terms that have been used throughout the document.

Additional Resources

As an aid to courts ready to apply the functional standards to an evaluation of their own system specifications or development of specification for an RFP, the consolidated functional standards package includes a set of requirements tables generated from the business model. The tables list each business function, use case, and activity. They may be used as a template for courts to prepare their own detailed specifications tables. For example, courts can delete rows containing requirements not applicable to their operations, add rows to contain additional requirements not included in the standards, and edit existing descriptions to provide the details and specificity appropriate for their system requirements.

The spreadsheet includes five column headings: ***Business Functions***, ***Mandatory***, ***Desirable***, ***Meets Requirement***, and ***Comments***. Courts may wish to change these headings or add other columns with headings to produce a custom checklist. The tables are supplied as an Excel worksheet so that courts can easily import and customize the tables for their own purposes.

Note: The Excel worksheet provides a format and basic listing of requirements in the order in which they appear in the document. Rows contain only the names for functions, use cases, and activities, plus headings for special requirements and notes, without descriptive text.

Part Two - Court Business Function Model Report

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Executive Summary: CMS

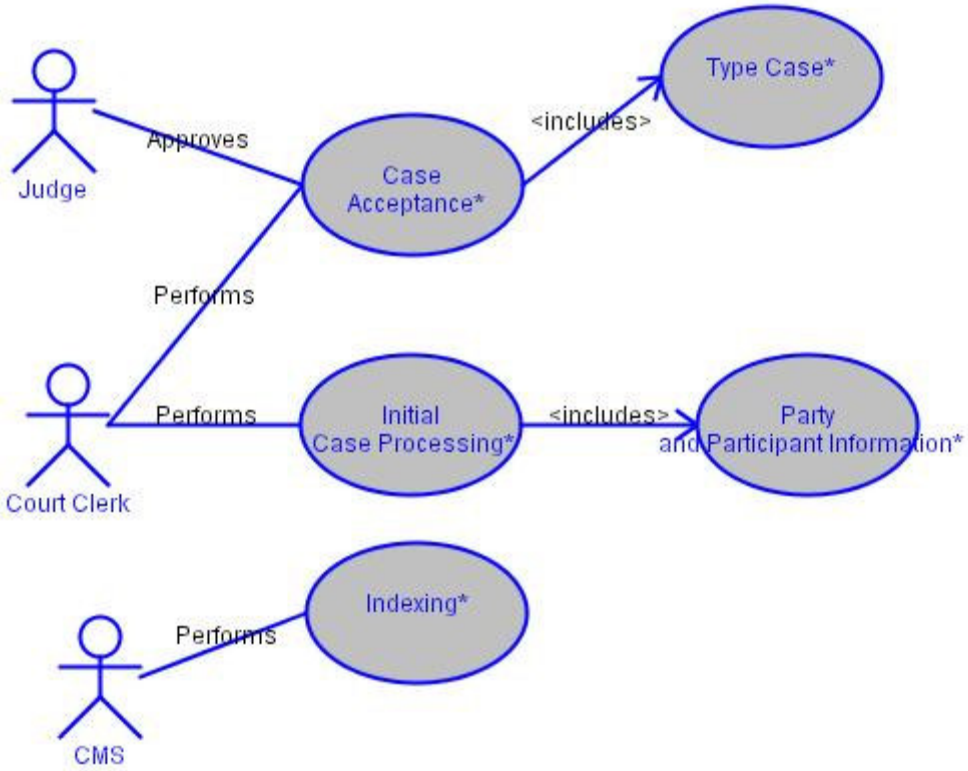
(See introductory document: "Consolidated Case Management System Functional Standards.")

1. Business Function: Case Initiation and Indexing

1.1 Description:

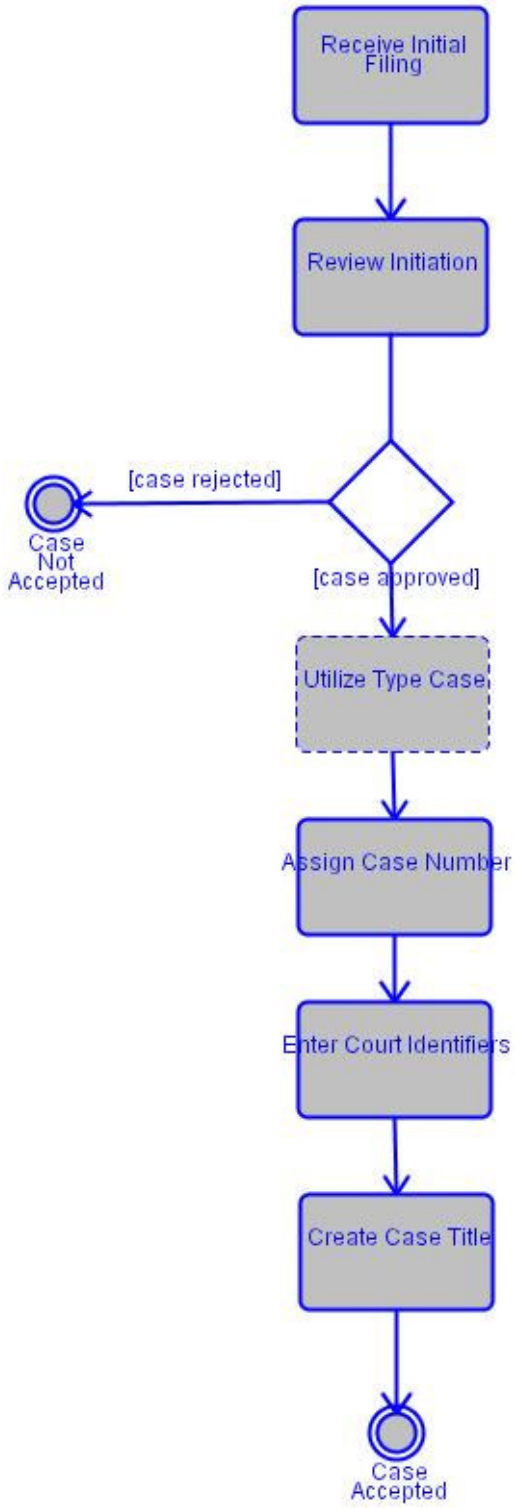
The Case Initiation and Indexing Function encompasses the range of activities that initiate a case record and create and maintain its index. These activities include acceptance and processing of the initial filing or notice of appeal, determining the case category, capturing case and party information, creating an index for the case, and maintaining the index over the life of the case. Examples of other activities that occur within this initial function include: identifying cases for differential management or time-sensitive processing, grouping related parties, and capturing secondary identifiers, etc. Because a CMS case index is a logical rather than physical entity, the indexing activities involve extracting and organizing key information to provide a wide range of search and inquiry capabilities, updating those key elements as parties or additional information about them are added, and reporting summary case information as needed.

1.2 Use Case Diagram



1.3 Use Case Specification: Case Acceptance

Case Acceptance includes the activities that occur as new and/or proposed cases are entered into the court computer system. Then the information and filings (e.g., complaints, petitions, notices of appeal) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries conform to locally used conventions regarding a structured case number, title or description, and other basic information.


Receive Initial Filing
Review Initiation
[case rejected]
Case Not Accepted
[case approved]
Utilize Type Case
Assign Case Number
Enter Court Identifiers
Create Case Title
Case Accepted

Associated Actor	Relationship	Description
Judge	Approves	Judge approval may most likely be by court rule as well as direct approval. Case rejection may be based on prior decision.
Court Clerk	Performs	

1.3.1 Notes

Detail
[Technical Requirement] Provide the capability to reclassify cases (e.g. change case type).

1.3.2 Special Requirements

Special Requirement	Description
Indexing:Index Updating	Permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).
Ticklers/User Alerts/Prompts:Appellate Record Preparation	The system should allow for the establishment of a tickler to monitor the timely preparation of the appellate record, based on locally defined triggering events.

Flow of Events

1.3.3 Receive Initial Filing

The clerk receives the initial filing information either electronically or by hard copy.

1.3.4 Review Initiation

Validate new filing against court-defined criteria to ensure that the case should be accepted by the court. The system should also conduct locally used checks to verify that the case being initiated is in the correct jurisdiction.

1.3.4.1 Alternative Flows

Detail
Provide Streamlined Data Entry: the CMS should provide the option to use streamlined data entry screens for new cases that contain only the minimum number of required fields.
Support Skeletal Case Creation: the application allows a case to be initiated (created, but not yet officially accepted as a case) with minimal information and updated later. For example, the application allows cases initiated with cash bail, forfeiture information, bonds, and emergency applications. The application flags incomplete cases and tracks such cases online.

1.3.4.2 Notes

Detail
[Notes] The CMS should allow for the entry or electronic capture of lower court case information as needed for the appellate case record.

1.3.5 Assign Case Number

Generate and assign case number that is unique across its intended scope of use, based on locally defined format and case classification method.

1.3.5.1 Alternative Flows

Detail
Criminal and traffic cases may require separate case numbers to be assigned for each charge or offense.

1.3.5.2 Notes

Detail
[Notes] The system must have the flexibility to assign a unique identifier to causes of action pending review.

1.3.6 Enter Court Identifiers

Enter or automatically capture locally defined court identifiers (e.g., district court, supreme court) and court geographic location identifiers (e.g., county number, city number) for the court in which the case is being filed. The system should have the ability to use the federal FIPS mandatory standards for geographic location.

1.3.7 Utilize Type Case

[If case approved] The Type Case refers to the ability of the system to identify the lead charge or civil plea, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type or dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.

Case type categories should be linked to the NCSC State Court Guide to Statistical Reporting.

1.3.8 Create Case Title

Generate locally defined case title or style (i.e., short phrase that identifies case and includes plaintiff and defendant, petitioner and respondent, or appellant and appellee names) from party names and other information; permit user to enter long title in addition to standard short title.

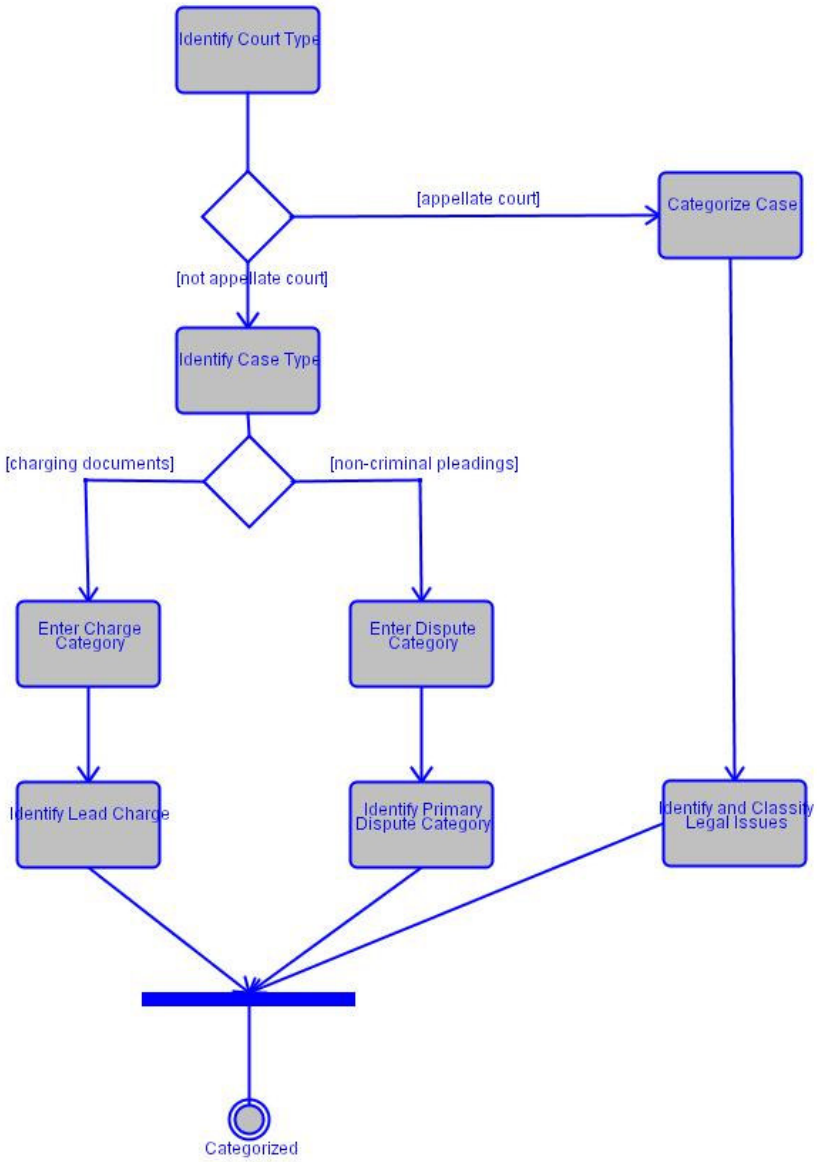
Post-Conditions

Post-Condition	Description
Case Accepted	Case has been accepted.

1.4 Use Case Specification: Type Case

The Type Case refers to the ability of the system to identify the lead charge or civil plea, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type or dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.

Case type categories should be linked to the NCSC State Court Guide to Statistical Reporting.



Flow of Events

1.4.1 Identify Court Type

The CMS should prompt the user to identify whether the court is an appellate court or other court type.

1.4.2 Categorize Case

[If appellate court] Determine general case type category.

1.4.2.1 Notes

Detail
[Appellate Note] In some state's appellate courts, the cases are not categorized until later in the process.

1.4.3 Identify and Classify Legal Issues

The CMS must allow the user to identify and assign legal issues for the purpose of classifying cases with similar legal content. For example, the system would provide for a free text key words or user-defined selection list of issue types.

The CMS should be able to link cases with legal issues and report on cases with similar legal issues.

1.4.3.1 Notes

Detail
[Appellate Note] In some states, legal issues are identified later in the process.

1.4.4 Identify Case Type

[If not appellate court] Identify case type based upon charging document or petition.

1.4.5 Enter Charge Category

[If charging documents] Enter each charge and count based on charging documents.

Data Provided: Charge (Section), Petition (Section).

1.4.6 Identify Lead Charge

Identify and designate the primary case category for purposes of case management and statistical categorization (for criminal courts this is usually the lead charge among of a group charges for a given defendant); provide user reference sources needed for case classification based on court business rules.

1.4.7 Enter Dispute Category

[If non-criminal pleadings] Enter each dispute category based on pleading.

1.4.8 Identify Primary Dispute Category

Identify the dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.

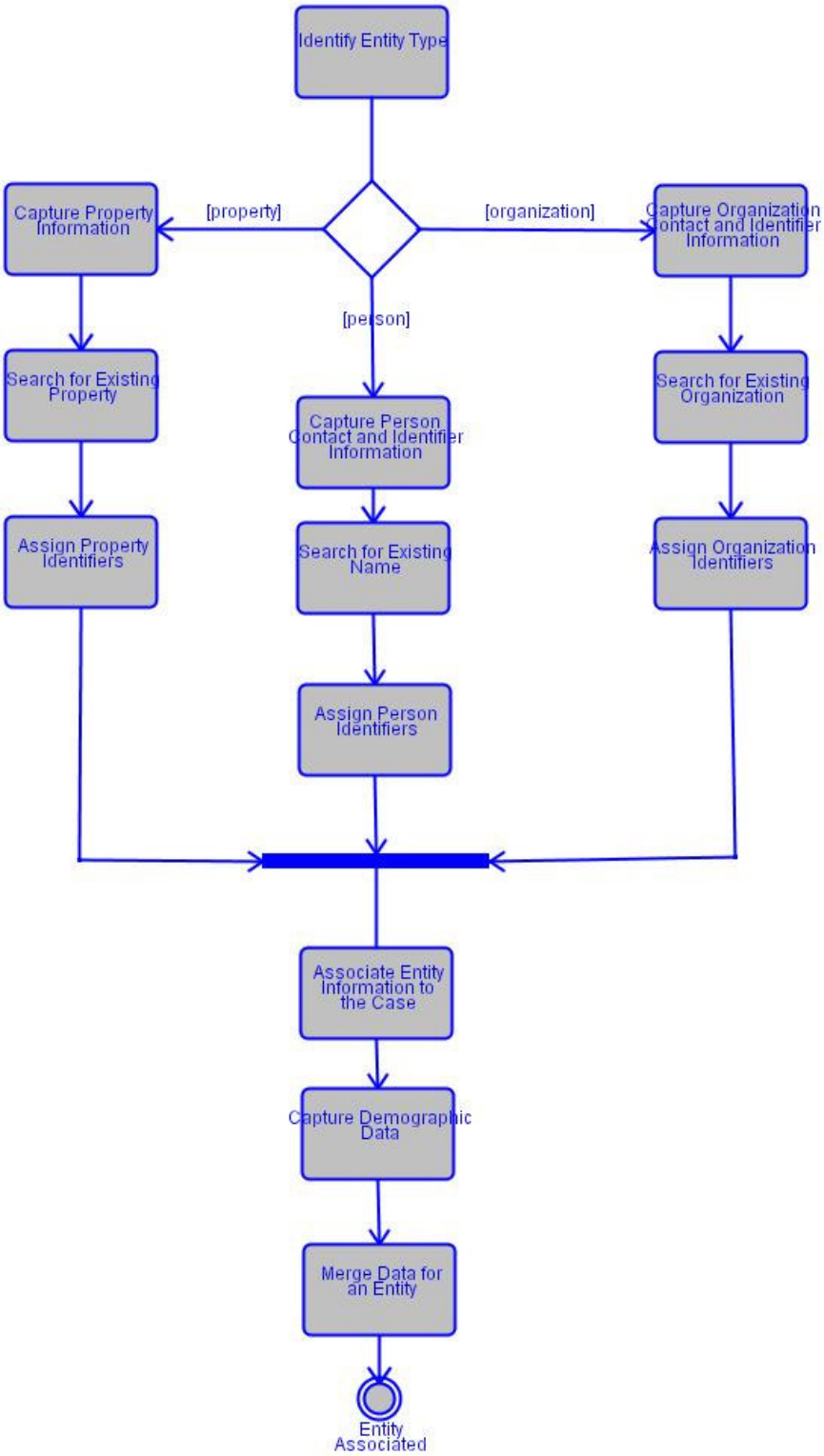
Post-Conditions

Post-Condition	Description
Categorized	Case has been categorized by case and lead charges or disputes.

1.5 Use Case Specification: Party and Participant Information

An entity's information (parties and participants) information is entered and associated with the case. Information includes identifers from external sources and assigned by the court, contact information, and demographic information.

An entity may be a person, an organization, or property.


Identify Entity Type
[property]
[organization]
[person]
Capture Property Information
Capture Organization Contact and Identifier Information
Capture Person Contact and Identifier Information
Search for Existing Property
Search for Existing Organization
Search for Existing Name
Assign Property Identifiers
Assign Organization Identifiers
Assign Person Identifiers
Associate Entity Information to the Case
Capture Demographic Data
Merge Data for an Entity
Entity Associated

1.5.1 Special Requirements

Special Requirement	Description
Performance Standards:Person Information	Provide the ability to capture multiple sets of demographic, descriptive, or informational data (where appropriate) on the same person or business (e.g. one person may use two or more social security numbers, dates of birth, names, or sets of address data; or a business may have both a legal name and a trade name).

Flow of Events

1.5.2 Identify Entity Type

The CMS must allow the user to identify the entity type: person, organization, or property.

1.5.3 Capture Person Contact and Identifier Information

[If person] Enter or associate name, contact information (and demographic information where applicable), and role for all persons involved in the case; once captured, this information should be available for all subsequent system functions (see also Indexing Function and Document Generation and Processing Function).

1.5.3.1 Alternative Flows

Detail
Enter origin of oversight, placement, detention status.

1.5.3.2 Special Requirements

Standard	Description
Performance Standards:Person Information Name Conventions	For defendant records provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; accommodate hyphenated names, aliases (AKAs), doing business as (DBAs), pro pers, and corporate names.

1.5.4 Search for Existing Name

Prompt user when persons already exist that relate to new case, followed by user-initiated search for duplicate persons that user can transfer into current case if appropriate to avoid unnecessary data entry (e.g., using party names, addresses, and other identifiers noted above).

1.5.4.1 Alternative Flows

Detail
If a positive match is found, the user should have ability to pull in that found information, or choose to utilize different information.

1.5.4.2 Special Requirements

Standard	Description
Document Management:Maintenence User Notification	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions).

1.5.5 Assign Person Identifiers

Generate (or retrieve and assign existing) separate person identifier for each plaintiff, defendant, appellant, and/or other party and enter the corresponding contact information.

1.5.6 Capture Property Information

[If property] Enter or associate type and contact information (and demographic information where applicable) for all property involved in the case; once captured, this information should be available for all subsequent system functions (see also Indexing Function and Document Generation and Processing Function).

1.5.7 Search for Existing Property

Prompt user when property already exists that relates to new case, followed by user-initiated search for duplicate property that users can transfer into current case if appropriate to avoid unnecessary data entry.

1.5.8 Assign Property Identifiers

Generate (or retrieve and assign existing) separate property identifiers for each property involved with the case, and enter the corresponding contact information.

1.5.9 Capture Organization Contact and Identifier Information

[If organization] Enter or associate name and contact information (and demographic information where applicable) for all organizations involved in the case; once captured,

this information should be available for all subsequent system functions (see also Indexing Function and Document Generation and Processing Function).

1.5.10 Search for Existing Organization

Prompt user when organizations already exist that relate to new case, followed by user-initiated search for duplicate organizations that users can transfer into current case if appropriate to avoid unnecessary data entry.

1.5.11 Assign Organization Identifiers

Generate (or retrieve and assign existing) separate organization identifiers for each organization involved with the case, and enter the corresponding contact information.

1.5.12 Associate Entity Information to the Case

Prompt or allow entry for associated entities (e.g. person, organization, or real or personal property) to the case; provide ability to generate, capture, or retrieve and apply unique identifiers for the associated entities such as attorneys; capture the role or reason the entity is associated with the case; support ability to indicate pro se representation.

Will have the ability to establish roles and relationships to each other (i.e. associating attorneys with specific participants or parties).

1.5.12.1 Notes

Detail
[Notes] Provide ability to designate lead counsel.

1.5.13 Capture Demographic Data

Capture demographic, descriptive, or informational data (where appropriate).

1.5.14 Merge Data for an Entity

Provide for the ability to ensure that only a single set of data exists for each person, organization, or property (i.e., various identifiers for given entity must be correlated), and allow for merge and unmerge of files containing information on the same entity.

Post-Conditions

Post-Condition	Description
Entity Associated	Persons are associated to their identifiers, contact information, and demographic data.

1.6 Use Case Specification: Initial Case Processing

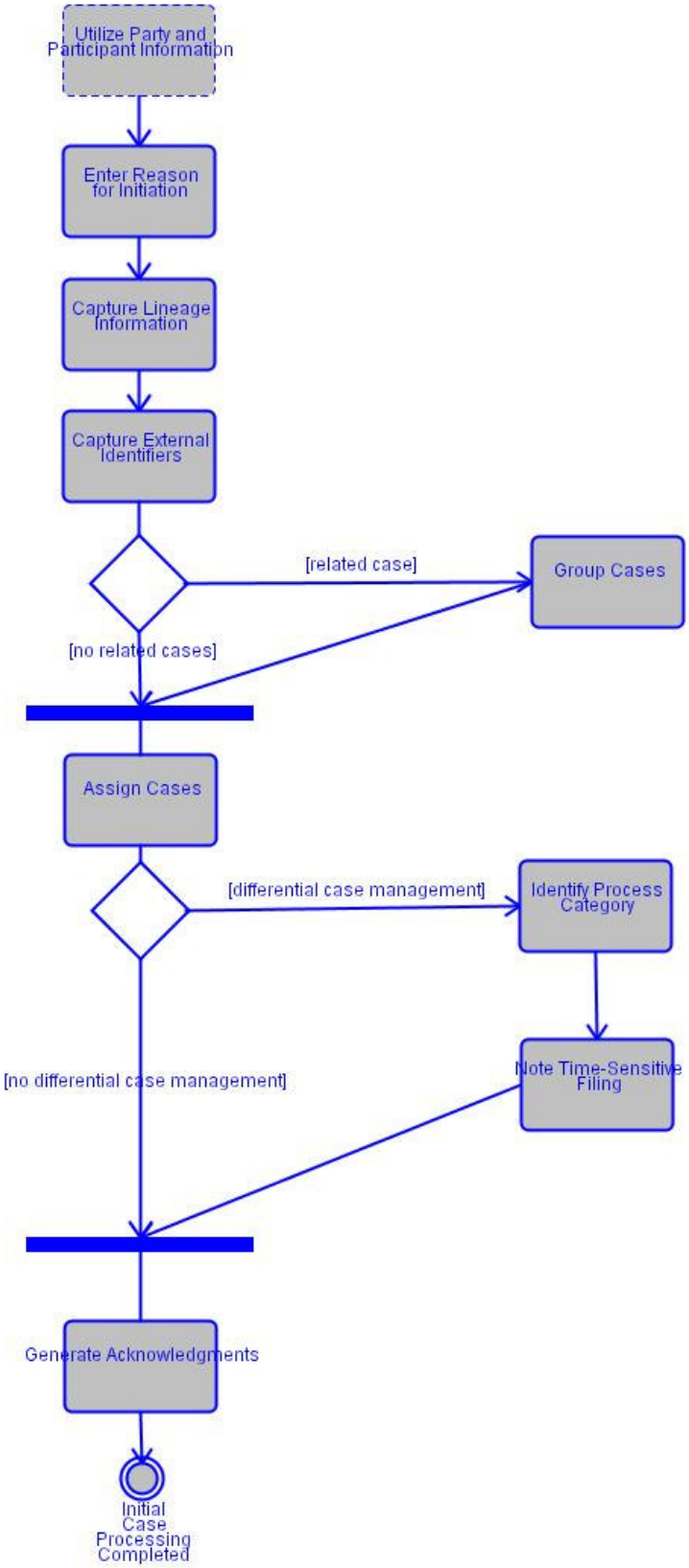
Initial Case Processing describes the activities around initial case processing. It includes identifying the reason for a case as well as assigning identifiers and grouping similar and related cases.

Initial Case Processing also supports differential case management and the ability of the system to process different categories of cases such as: time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases, and other case management methods.

This module should also clearly display case management track or category, especially in expedited cases.

This module also needs to allow for the creation of ticklers and other prompts. This should interface with the overall system tickler functionality.

Differential case management may entail highly complex staff expertise or CMS design because it may permit the user to define complete case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category.


Utilize Party and Participant Information
Enter Reason for Initiation
Capture Lineage Information
Capture External Identifiers
[related case]
Group Cases
[no related cases]
Assign Cases
[differential case management]
Identify Process Category
Note Time-Sensitive Filing
[no differential case management]
Generate Acknowledgments
Initial Case Processing Completed

Associated Actor	Relationship	Description
Court Clerk	Performs	

1.6.1 Special Requirements

Special Requirement	Description
Performance Standards:Person Information	Provide the ability to capture multiple sets of demographic, descriptive, or informational data (where appropriate) on the same person or business (e.g. one person may use two or more social security numbers, dates of birth, names, or sets of address data; or a business may have both a legal name and a trade name).

Flow of Events

1.6.2 Utilize Party and Participant Information

An entity's information (parties and participants) information is entered and associated with the case. Information includes identifers from external sources and assigned by the court, contact information, and demographic information.

An entity may be a person, an organization, or property.

1.6.3 Enter Reason for Initiation

Enter the reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures).

1.6.4 Capture Lineage Information

The CMS should allow for the entry or electronic capture of lineage case information (e.g. lower court case number, judges, roles, lower courts or criminal justice agencies, court reporters and the sessions they record).

1.6.5 Capture External Identifiers

Capture, assign, or allow entry of multiple other identifiers (e.g., of other courts such as juvenile or domestic relations; originating court for appealed cases; prosecutor; corrections; law enforcement; and domestic relations service providers; other agencies; real estate parcels) and establish relationship with case participants.

1.6.6 Group Cases

[If related case] Provide ability to establish relationships among cases, parties, and participants (e.g. several incidents filed against same defendant or multiple defendants, multiple parties filing related claims) from single or multiple filings such that groups can be formed to permit information and actions to be applied to each case, party, or participant in the group.

1.6.7 Assign Cases

[If no related cases] Assign cases to court type, judge, location, department, and courtroom and/or other appropriate entities based on established relationships, to include conflict checking, in conjunction with the Scheduling Function.

This assignment can take place automatically or manually. The system should allow for a manual override of an electronic assignment.

1.6.8 Identify Process Category

[If differential case management] Cases categories may require differential processing that should be identified at this point.

1.6.9 Note Time-Sensitive Filing

Record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing, emergency filing).

1.6.10 Generate Acknowledgments

Generate receipt or notification for appropriate attorney, parties, and participants (or lower court for appellate cases) that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically).

The system should be able to share information with entities outside of the court.

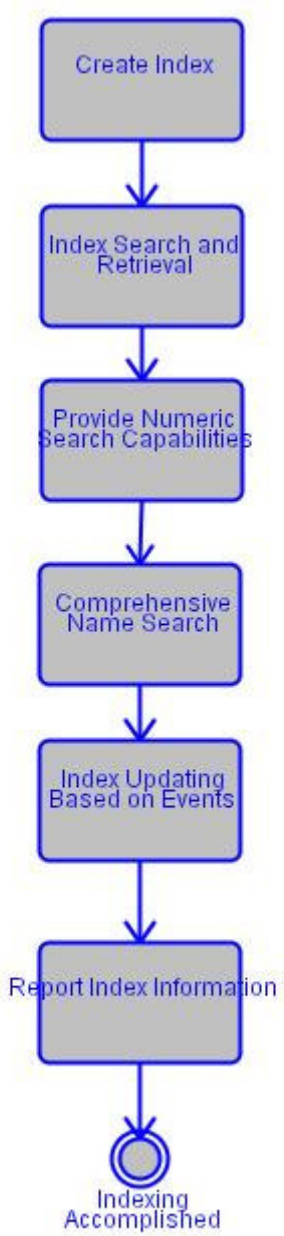
Post-Conditions

Post-Condition	Description
Initial Case Processing Completed	The initial processing of the case has been completed.

1.7 Use Case Specification: Indexing

The indexing activities encompass both the automatic creation of case index entries during case initiation and the use of the index throughout the life of a case. The index is created at case initiation and updated throughout the life of a case. The overall purpose of an index is to allow users to look up cases or parties and view summary information (i.e.

a subset of case information) such as each party's name, role in the case, and whether the party has an attorney; case type; case number; date filed; and a cross reference to other parties in the case (e.g., the parties named in the case title or style).



Associated Actor	Relationship	Description
CMS	Performs	

Flow of Events

1.7.1 Create Index

Create and maintain locally defined index that (1) contains at least basic index information on parties and associated persons or entities (e.g., name and as appropriate and conforming to federal, state, and local guidelines -- the date of birth, race, ethnic group, sex, role in case, external identifiers, social security number, drivers license number, referral source, referral reason and petition allegation, and whether party has an attorney); (2) contains cross-reference index information on related cases or parties, (3) permits database look up by a choice of keys (e.g., party name, party role, case filed date range, lower court case number) and, if record found, (4) permits retrieval and display of index information, (5) permits easy interfaces with other parts of case processing system as noted below.

Data Provided: Date of Birth (Data Element), Ethnicity (Data Element), Case Tracking Number (Data Element), Court Type (Data Element), Race Code (Data Element), Government Issued Identification Number (Data Element), Sex Code (Data Element), Social Security Number (Data Element).

1.7.2 Index Search and Retrieval

Permit search and retrieval of index information by identifying a specific party or associated person name, date of birth, party role, court type or location, case or party identifier, case filed date range, and where necessary by race, ethnic group, and sex. The subfunction also should permit a user, after eliminating other cases or parties that satisfy original look-up, to obtain index information by selecting from list of matching cases or parties or by using search keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, and allows user to select the desired Smith from list by clicking on proper line or entering proper keys).

Data Provided: Court Type (Data Element), Date of Birth (Data Element), Race Code (Data Element), Sex Code (Data Element), Ethnicity (Data Element).

1.7.2.1 Notes

Detail
[Appellate Note] Provide search and retrieval of appellate cases by legal issue, supported by comprehensive and flexible text searching capabilities.

1.7.3 Provide Numeric Search Capabilities

Provide ability to use numeric ranges and wildcards (i.e., partial number + "**") when searching by case number, social security number, etc.

1.7.4 Comprehensive Name Search

Permit name search on various combinations of a person's or entity's name (e.g., full name, last name only, part of first or last name, other options); provide phonetic name search capability and the option to specify case sensitivity.

Data Provided: Person Full Name (Data Element), Name Suffix (Data Element).

1.7.5 Index Updating Based on Events

Provide capability of automatically updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).

Data Provided: Disposition (Document).

1.7.6 Report Index Information

Extract, print, or otherwise produce (with appropriate security restrictions) index information arranged according to various components of index (e.g., party, case number, case status).

Data Provided: Case Tracking Number (Data Element).

Post-Conditions

Post-Condition	Description
Indexing Accomplished	The index has been created and maintained.

2. Business Function: Docketing

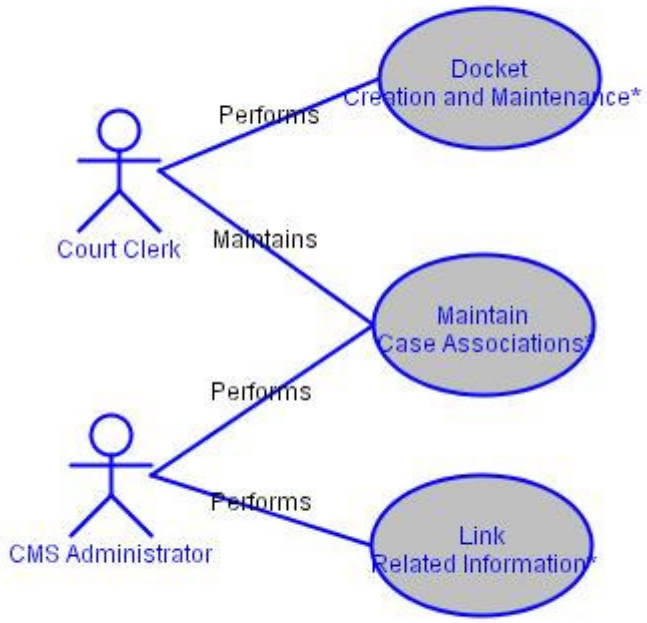
2.1 Description:

Docketing (register of actions) describes the activities associated with entering case history information into the court record. Docket/register of actions entries are made during case initiation and subsequently throughout the duration of a case. The docket contains basic case header information about the parties, associated persons, or entities. The docket also includes a record of the receipt of documents, issuance of documents, and recording of future and past events such as hearings and court proceedings. Information is added as the case progresses and events are completed. Some events may automatically trigger an update to other case information in the docket, or the dockets in other cases.

The docket or register of actions, which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case. Within the context of these standards, docketing is a recording of concluded actions and is never anticipatory. The content of the docket entry of a completed event, however, may be anticipatory (e.g., docket entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future).

From a CMS perspective, the docket is a logical entity and not a physical repository of information as in manual case processing. Recordkeeping related to the docket, therefore, refers to the computer's ability to access, correlate, and manipulate records (e.g., code translation tables, case records, party records) in a manner that produces the required information on a given case and on cases that have a particular relationship to the given case.

2.2 Use Case Diagram



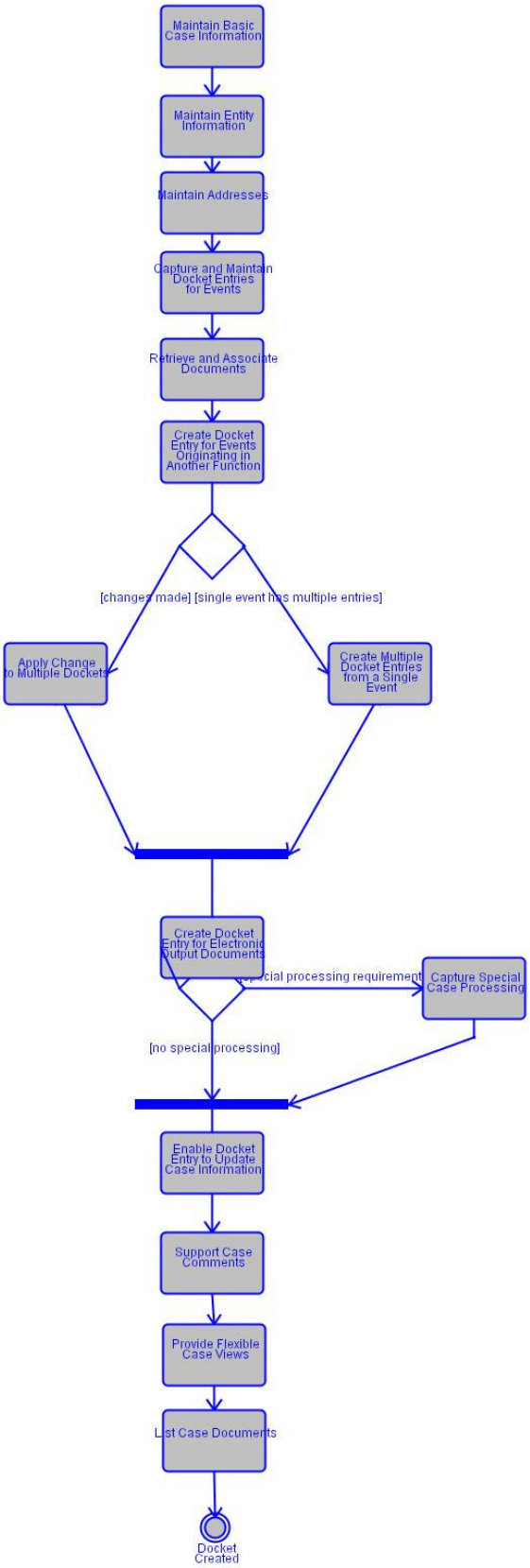
2.3 Use Case Specification: Docket Creation and Maintenance

The system creates the docket or register of actions using basic case information entered during case initiation and supplemented by subsequent user entries. Such information includes case type, case category, case status, case title or style, parties, and attorneys. This header information is updated throughout the active life of the case.

The primary data entry that occurs as part of the docketing functions is to record case events (e.g., filings, hearing results, dispositions). While some events may trigger an update to the case information in the docket (e.g., party or participant name change, defense attorney change), event entries generally are not updated unless they have been entered incorrectly; subsequent events are entered separately. Recording of bail and bond events should also be allowed in docketing.

Docket Creation and Maintenance also includes the ability to make changes to multiple cases or charges as if they were a single case. For example, in civil cases a single deposition filing could be entered once and applied to all linked cases.

The system should allow for role-based security to docketing information (See Configuration Maintenance, Security Access Requirements).


Maintain Basic Case Information
Maintain Entity Information
Maintain Addresses
Capture and Maintain Docket Entries for Events
Retrieve and Associate Documents
Create Docket Entry for Events Originating in Another Function
[changes made]
[single event has multiple entries]
Apply Change to Multiple Dockets
Create Multiple Docket Entries from a Single Event
Create Docket Entry for Electronic Output Documents
Capture Special Case Processing
[no special processing]
Enable Docket Entry to Update Case Information
Support Case Comments
Provide Flexible Case Views
List Case Documents
Docket Created

Associated Actor	Relationship	Description
Court Clerk	Performs	The system should provide the capability to docket events or documents for which a case does not yet exist; create temporary case number and permit all entries to be transferred to permanent case record and case number upon establishment of the official case.

2.3.1 Special Requirements

Special Requirement	Description
Docket Management:Milestone Events	The system should support the designation of certain events as a milestone for case management purposes.
Docket Management:Templates	The CMS should support the ability to maintain file of input templates available to users to create input documents (e.g., pleadings, input forms) and, as necessary, associated cover sheets (for use when pleadings are filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events or to allow details of specific electronically filed complaint or petition to be inserted into boilerplate text of complaint or petition form for hard copy printout).
Docket Management:Case Establishment	Provide capability to docket events or documents for which a case does not yet exist; create temporary case number and permit all entries to be transferred to permanent case record and case number upon establishment of official case.
Docket Management:Docket Deletions	Permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and automatically correct all related data (e.g., deletion of entry for filed pleading causes related docket information, where applicable, to be deleted and related accounting entries to be voided or offset); maintain audit trail of all manual and automatic correcting transactions.

Flow of Events

2.3.2 Maintain Basic Case Information

Provide access to, maintain, and supplement information originally entered during case initiation in docket or register of actions including information on initial filing and basic case information.

2.3.3 Maintain Entity Information

Maintain information on all (multiple) persons (parties, attorneys, and other participants), organizations, and/or property in a case. Information can include personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.

The system should allow the user to select one or more key elements, such as address, phone number, fax, or email.

2.3.3.1 Alternative Flows

Detail
Enter origin of oversight, placement, detention status where appropriate and necessary.
At this point, many courts wish to interface with other systems to gather and select case, participant, and party information.

2.3.3.2 Notes

Detail
[Notes] Maintain case information as official court record in accordance with state statutes and state and local rules.

2.3.3.3 Special Requirements

Standard	Description
Docket Management:User Notification User Notification	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information is in system.

2.3.4 Maintain Addresses

Maintain multiple current and historical addresses, with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases. Provide ability to select desired address.

2.3.5 Capture and Maintain Docket Entries for Events

Capture, maintain, and output information (e.g. document title and identifier, filing party, fees received, and dates) on filings (paper and electronic) and other completed events not previously in system (e.g. party added or deleted, participant added or deleted, motion

filed, program referral, or hearing date set); capture disposition of events where appropriate (e.g. ruling in motion).

2.3.5.1 Notes

Detail
[Appellate Note] Provide ability to enter an inventory of all documents submitted as the appellate record and compare against a checklist of required documents for type of appeal filed; include option to automatically flag missing items and generate electronic and/or hard copy notice of defects back to trial court; when checklist complete, notify appropriate staff attorney, judicial secretary, and/or judge/justice.

2.3.6 Retrieve and Associate Documents

Permit user to associate and retrieve electronic documents (e.g document, audio or video file) by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed). Also permit user to maintain and output index of manual paper documents.

2.3.7 Create Docket Entry for Events Originating in Another Function

Create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function, such as hearing scheduled (Calendaring Function), hearing results recorded (Hearings Function), or case disposed (Disposition Function).

2.3.7.1 Notes

Detail
[Technical Requirement] Allow easy data entry of multiple filings that apply to single case or related cases.

2.3.8 Apply Change to Multiple Dockets

[If changes made] Apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith's courtroom causes all records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division).

2.3.9 Create Multiple Docket Entries from a Single Event

[If single event has multiple entries] Allow single event to create multiple docket entries for one or more cases (e.g., event is hearing; docket entries are attorney withdrawal and hearing results).

2.3.10 Create Docket Entry for Electronic Output Documents

Create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders).

The system should provide the ability to queue generated documents awaiting approval, so that the documents can be automatically docketed upon approval.

2.3.11 Capture Special Case Processing

[If special processing requirements] Enter, maintain, and display or print information on special case processing requirements or orders (e.g. sealed case or document, suppressed indictment, child abuse or domestic violence case affecting law enforcement registries).

2.3.12 Enable Docket Entry to Update Case Information

[If no special processing] When a new event is entered, the system should provide the ability to automatically update other case information (e.g. case status and response due date), activate new ticklers and/or create scheduled events based upon court business rules and user preferences.

2.3.13 Support Case Comments

Provide secure and flexible capability to enter, retrieve, view, and restrict access to case comments and notes that are not part of the public record; permit both general, case-level comments and comments associated with particular parts of the case record (e.g., parties and participants, recorded events and documents); indicate to authorized user when comments are available for the particular record or section being viewed; track date, time, and user for each comment.

2.3.14 Provide Flexible Case Views

Display or print all, part, or summaries of docket(s) (e.g. basic case information, events in register of actions, selected participants, families or groups, charges for specific defendant, summaries of judgment information, legal issues (case age) for specific case or group of cases and for the life of a case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reporting Function).

The system should provide the ability to display information in a threaded view (e.g. grouping related events).

2.3.15 List Case Documents

Produce list of: (1) documents filed for given case with amplifying information (e.g., document name and identifier, who filed, when filed), or (2) output documents generated and docketed by system (e.g., orders, notices, including documents queued for approval),

along with identifying and descriptive information; allow user to specify selection criteria such as date range, category of document, etc.

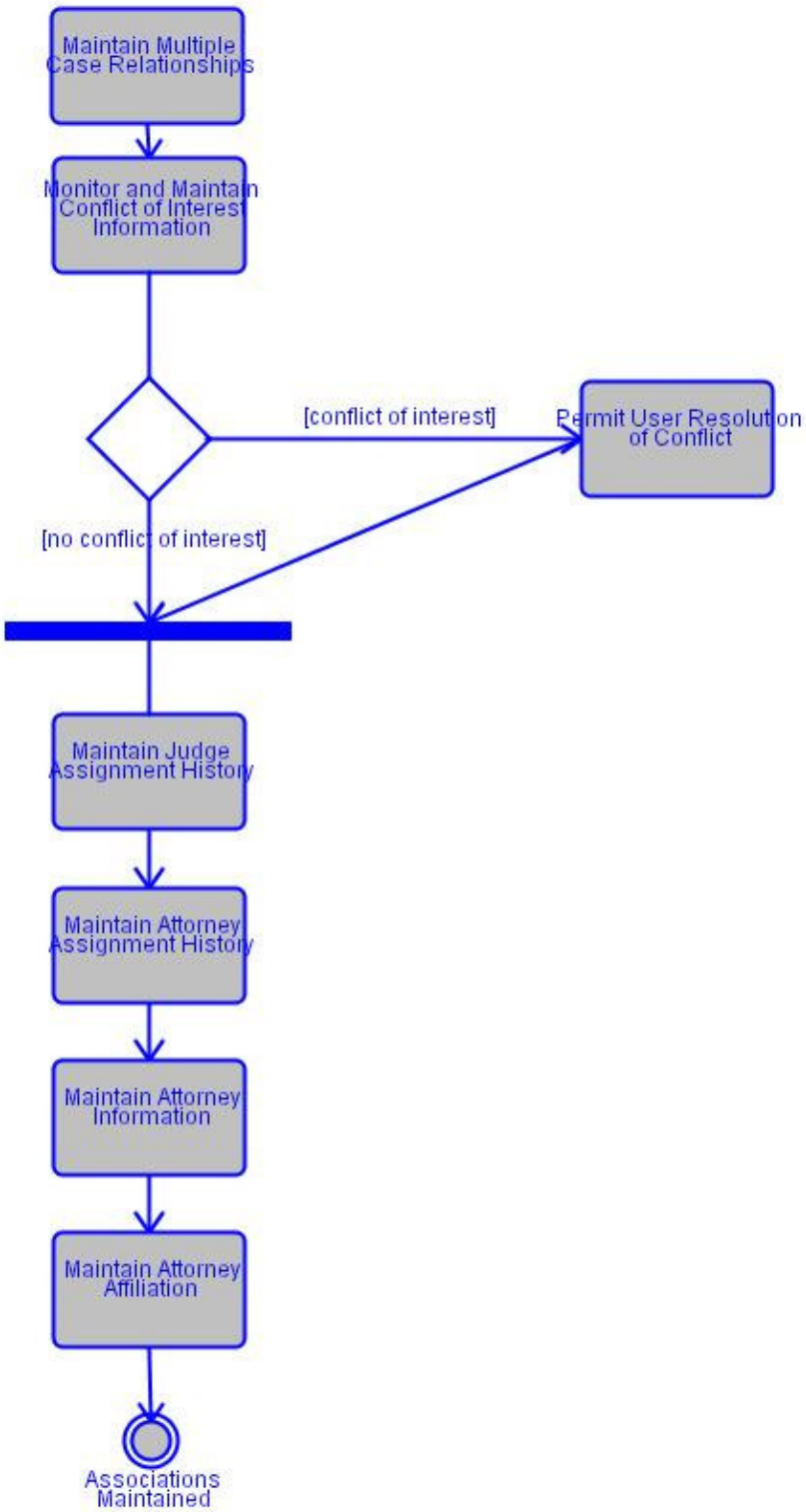
Post-Conditions

Post-Condition	Description
Docket Created	Docket has been created.

2.4 Use Case Specification: Maintain Case Associations

For single and multiple cases and persons, the system should maintain relationships between different kinds of information contained in the docket and inform users of cases, activities, parties, attorneys, and other entities that would affect or be affected by the information at hand. The capability to establish and apply such relationships greatly assists users in entering and synchronizing data throughout the system.

Conflict of interest monitoring should operate dynamically when records pertaining to entities are updated, based upon local business rules.


Maintain Multiple Case Relationships
Monitor and Maintain Conflict of Interest Information
[conflict of interest]
Permit User Resolution of Conflict
[no conflict of interest]
Maintain Judge Assignment History
Maintain Attorney Assignment History
Maintain Attorney Information
Maintain Attorney Affiliation
Associations Maintained

Associated Actor	Relationship	Description
CMS Administrator	Performs	
Court Clerk	Maintains	

2.4.1 Special Requirements

Special Requirement	Description
Indexing:Appellate Relationship Management	Capture and track complex relationships of parties and associated entities to case sides resulting from appeals arising from cases involving third parties and cross claims.
Data Integrity:Minimize Redundant Data Entry	Allow for information to be entered once and automatically apply to multiple cases or participants; provide additional means to minimize redundant or duplicate data entry (transfer data for an existing party or participant to a new case record).

Flow of Events

2.4.2 Maintain Multiple Case Relationships

Maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges, attorneys, parties, and participants (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction); allow the user to define, redefine, and modify relationships and reassign linkages as needed; provide ability to restore any relationship erroneously modified or deleted.

2.4.3 Monitor and Maintain Conflict of Interest Information

Maintain and track potential conflicts of interest between justices and attorneys, law firms, or trial court judges. Alert user to potential conflict when affected sets are associated with a case or related case.

The system should keep a historical record of conflict of interest changes.

The complexity of conflict of interest tracking will vary based on local business rules.

2.4.4 Permit User Resolution of Conflict

[If conflict of interest] The system should allow the user to manually resolve or override the conflict of interest.

2.4.5 Maintain Judge Assignment History

[If no conflict of interest] Maintain and print or display history of changes in judge assignment including those by challenges (e.g., peremptory challenge) and showing present and former judges and reasons for change.

2.4.6 Maintain Attorney Assignment History

Maintain and print or display history of attorney changes for specific case or party with reasons for the change.

Historical affiliations and attorney records should be maintained for conflict of interest purposes.

2.4.7 Maintain Attorney Information

Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.

2.4.8 Maintain Attorney Affiliation

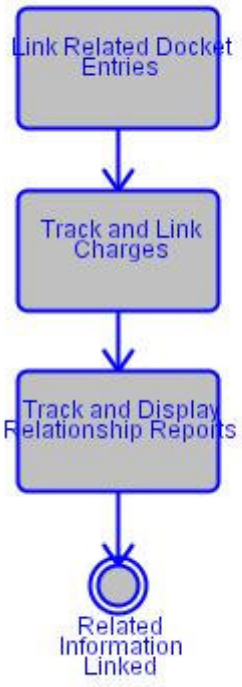
Maintain information on law firms, prosecutors, and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney).

Post-Conditions

Post-Condition	Description
Associations Maintained	Associations have been maintained.

2.5 Use Case Specification: Link Related Information

The ability to track and link charges, data relationships, party and attorney relationships, and docket entries for related cases.



Associated Actor	Relationship	Description
CMS Administrator	Performs	

2.5.1 Special Requirements

Special Requirement	Description
Docket Management:Internal Interfaces	Upon entry of a docket event for a filed motion, interface with Scheduling Function to track motion status and record when motion sent to judge for review and other information (e.g. law clerk or staff attorney assigned and date assigned) according to court business rules.
Docket Management:Electronic Filing	The CMS should also support electronic filing (e.g. directly from attorneys' offices, prosecutors' offices, lower courts) of pleadings and other documents. It should be able to link electronic filings with register of actions and update other aspects of the case record as appropriate.

Flow of Events

2.5.2 Link Related Docket Entries

Link and display information on docket entries for events related to current docket entry (e.g., when respondent files motion that opposes previously filed motion of petitioner, respondent's motion would be linked to original petitioner's motion filed and new motion filed would be linked to all pending motions in case with information displayed on who filed motions, factors involved, and pending decisions).

2.5.3 Track and Link Charges

As applicable to case type, integrate and coordinate with Case Initiation and Indexing Function to track all charges (initial and modified) and to link charges to proper defendant or juvenile, case, and incident.

2.5.3.1 Alternative Flows

Detail
This function is unique to criminal, juvenile, and traffic courts; it does not apply to civil and appellate.

2.5.4 Track and Display Relationship Reports

Track and display or produce reports on relationships of specific cases, judge, attorneys, parties, defendants, participants, and organizations to allow the system to define, redefine, and modify relationships and reassign linkages as needed.

Post-Conditions

Post-Condition	Description
Related Information Linked	Related information has been linked.

3. Business Function: Scheduling

3.1 Description:

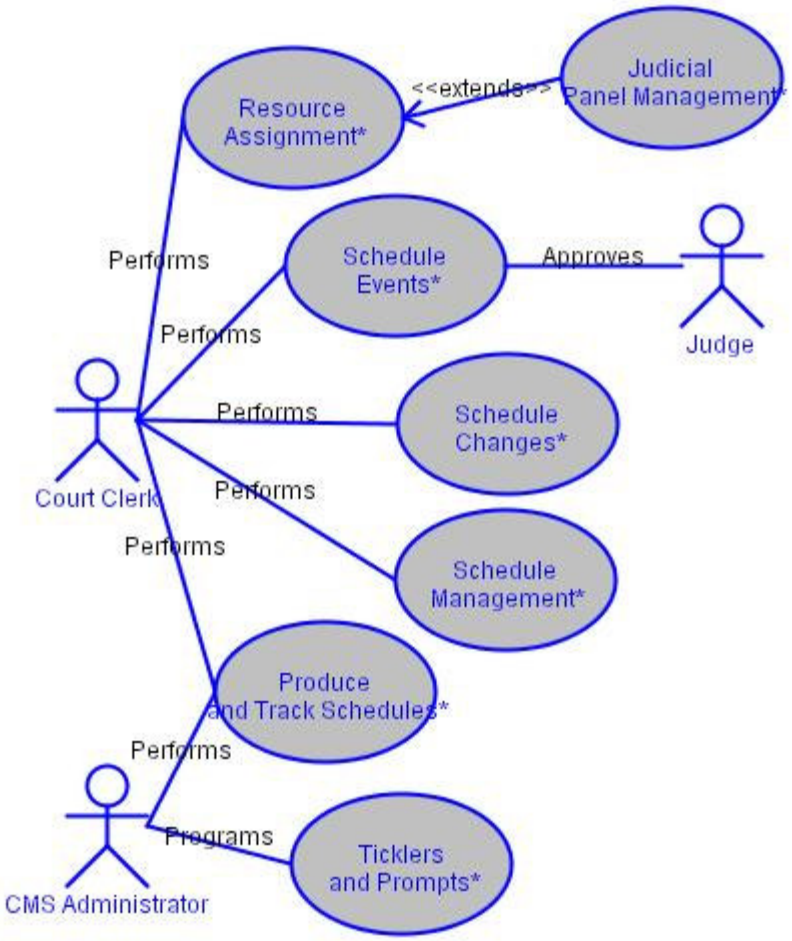
This function includes the activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, monitoring adherence to schedules, and establishing parameters for scheduling (e.g. number of events per time period, etc.). Scheduling contrasts with docketing in that scheduling addresses events that have not yet happened but need to be set up to occur at a particular time, while docketing addresses the recording of completed activities.
For the purposes of these standards, scheduling refers to that set of actions associated with the following two categories:

· Establishing deadlines for events that require minimal court resources (e.g., scheduling submission of a pleading).
· Scheduling events that require more extensive court resources (e.g., scheduling trials and other types of hearings such as motion hearings, calendar calls, conferences, and oral arguments that require resources such as judges, courtrooms, and courtroom staff).

While most courts regard scheduled events as administrative activities and not part of the official court record, these events may initiate an action that is part of the official court record. For example, an event that violates time standards because it does not occur by its scheduled date may initiate a hearing to determine why the case is out of compliance; the hearing would be scheduled, officially placed on a court calendar, and therefore docketed (i.e., recorded in the register of actions) and made part of the official court record.

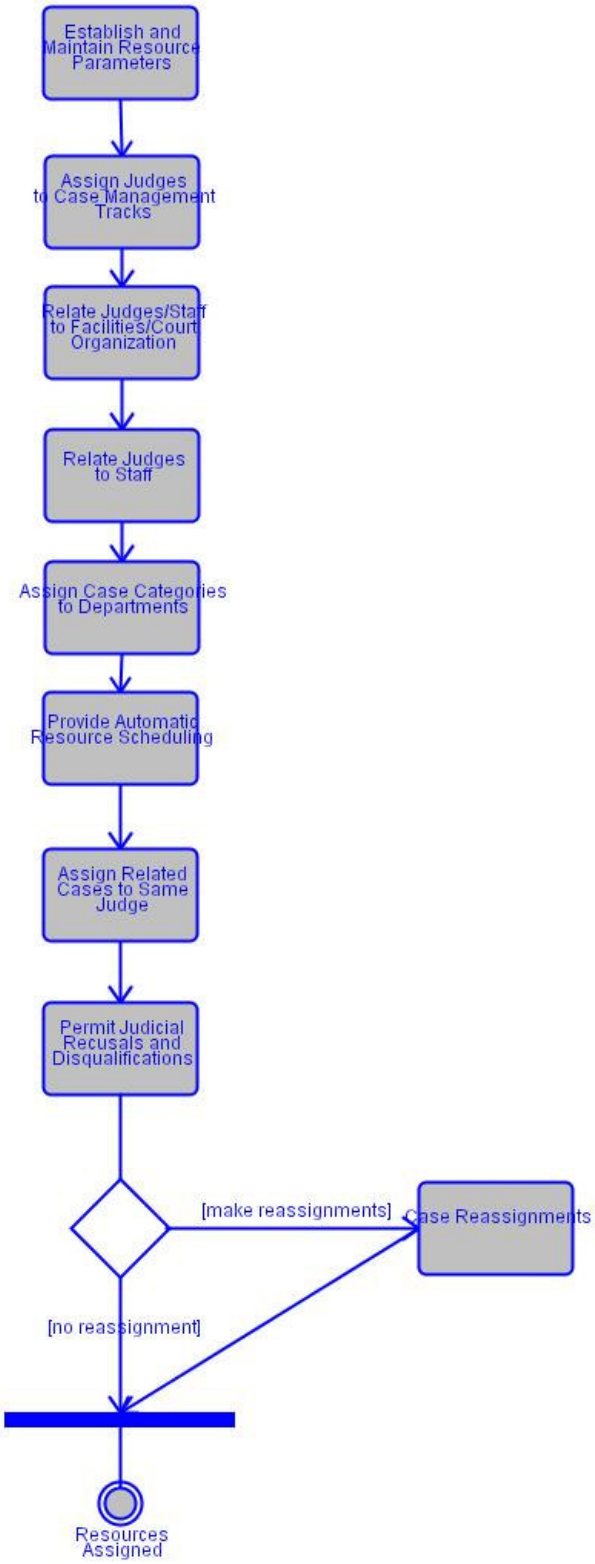
The term calendaring (see the Calendaring Business Function) in the context of these standards, refers to the preparation, formatting, and distribution of court calendars based on information provided through the Scheduling Function.

3.2 Use Case Diagram



3.3 Use Case Specification: Resource Assignment

This subfunction group covers standards for assignment of the proper people (e.g., judges, attorneys, parties, participants, staff) and resources (e.g., courtroom, meeting room, teleconferencing systems) to create reliable schedules. Most of these standards reflect fully automated functions, particularly in large courts with many people and resources to schedule. Short of full automation, the computer could assist the user in manual assignment by displaying the requisite information.


Establish and Maintain Resource Parameters
Assign Judges to Case Management Tracks
Relate Judges/Staff to Facilities/Court Organization
Relate Judges to Staff
Assign Case Categories to Departments
Provide Automatic Resource Scheduling
Assign Related Cases to Same Judge
Permit Judicial Recusals and Disqualifications
[make reassignments]
Case Reassignments
[no reassignment]
Resources Assigned

Associated Actor	Relationship	Description
Court Clerk	Performs	Maintain availability information on person data types, court facilities, and other scheduling factors.

3.3.1 Special Requirements

Special Requirement	Description
Scheduling:Overrides	The CMS should allow manual person and resource assignment or override for any automatic assignment and record the reason for a manual override.
Scheduling:Assignment Histories	The CMS should provide the ability to maintain and print or display the history of changes in judge or other judicial officer assignment including those by challenge (preemptory challenge), disqualification, or recusal. It should provide the ability to show present and former judges and the reason for the change. In addition, the system should track attorney assignment history, allowing printing and displaying of attorney changes for a specific case or party with reasons for the change.

Flow of Events

3.3.2 Establish and Maintain Resource Parameters

Permit authorized user to establish and maintain standard available days, times, courtrooms and other facilities, equipment, and personnel, and to establish and maintain relationships among these scheduling components (e.g., courtroom X is available for purpose Y on Tuesdays and Thursdays between 9:00 AM and 3:30 PM) in accordance with court business rules (see also Configuration Maintenance, Security and Integrity Function) and special circumstances (e.g., courtroom renovation, judicial vacancy).

3.3.3 Assign Judges to Case Management Tracks

Assign individual judges, other judicial officers, and groups of these officials to case management tracks over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments).

3.3.3.1 Notes

Detail
[Notes] Permit authorized user to review potential conflicts and either clear them or flag justice as disqualified.

Detail
[Appellate Note] Maintain and track potential conflicts of interest between justices and attorneys, law firms, or trial court judges. Alert user to potential conflict when affected sets are associated with a case.

3.3.4 Relate Judges/Staff to Facilities/Court Organization

Relate individual judges or groups of judges and court staff to available courtrooms, locations, and departments, and equipment.

3.3.5 Relate Judges to Staff

Relate individual judges, other judicial officers, and groups of these officials to department staff (e.g., reporter, bailiff, law clerk or staff attorney, judge, other judicial officer also may be considered staff).

3.3.6 Assign Case Categories to Departments

Assign specific case categories to specific departments according to user-defined case-department rules. Allow user to override automatic assignment.

3.3.7 Provide Automatic Resource Scheduling

Assign and reassign individual and groups of judges and other judicial officers using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies including setting a maximum number of events), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon).

3.3.8 Assign Related Cases to Same Judge

Assign related cases, as designated by user, to same judge or appellate panel (e.g., multiple complaints regarding same problem or person, multiple cases involving common issues).

3.3.9 Permit Judicial Recusals and Disqualifications

Allow assigned judge to be recused on a specific case; record basis for recusal; indicate disqualifications during scheduling activities to prevent selection of disqualified judge or justice.

Provide the user the ability to specially assign a replacement judicial officer and notify relevant users (e.g. scheduling clerk) that special arrangements may be necesary in light of the assignment.

3.3.10 Case Reassignments

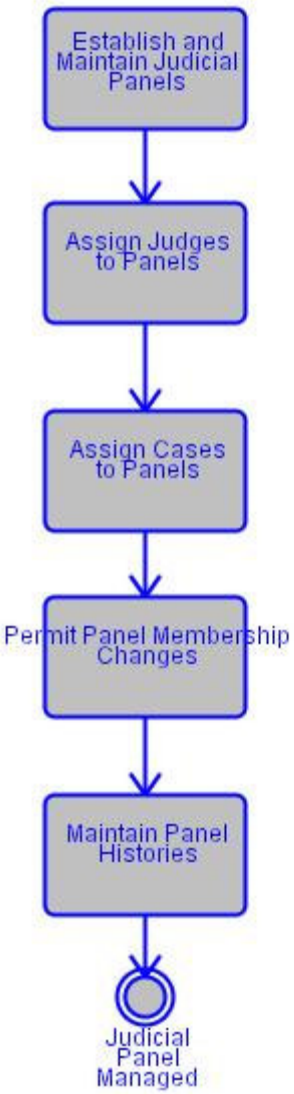
[If make reassignments] Reassign an individual or group of cases from one judge, other judicial officer, or department to another as a single user action (e.g., judge retires, becomes disabled, or moves to a different court).

Post-Conditions

Post-Condition	Description
Resources Assigned	Resources have been related and assigned.

3.4 Use Case Specification: Judicial Panel Management

This Use Case addresses additional activities associated with establishing, maintaining, and working with appellate judicial panels.



Flow of Events

3.4.1 Establish and Maintain Judicial Panels

Provide the ability to create, maintain, track, display, and report on judicial panels established for various purposes (e.g., case submissions, case classifications, oral arguments, opinions, orders); capture and record all relevant information including panel information (e.g., panel name or identifier, purpose, date established and terminated),

judges (e.g., names and other identifiers, position within panel, length of service), judicial staff, and cases or matters assigned.

Conflict of interest monitoring should operate dynamically when records pertaining to panels are updated.

3.4.2 Assign Judges to Panels

Support rule-based automatic and manual assignment of judges to panels, including assigned position (e.g., presiding judge) and term of service; provide capability to consider seniority and other court-specified factors in assigning and arranging judges.

3.4.3 Assign Cases to Panels

Provide the ability to assign a case to a panel for one or more specific scheduled events or for the life of the case.

3.4.4 Permit Panel Membership Changes

The system should allow the user to modify the composition of a judicial panel.

It should also allow the user to override panel membership on a temporary basis (e.g., per case or specific event) to handle judicial absences or conflicts.

The system should store panel membership changes and should interface with the tickler function based on locally defined rules.

3.4.5 Maintain Panel Histories

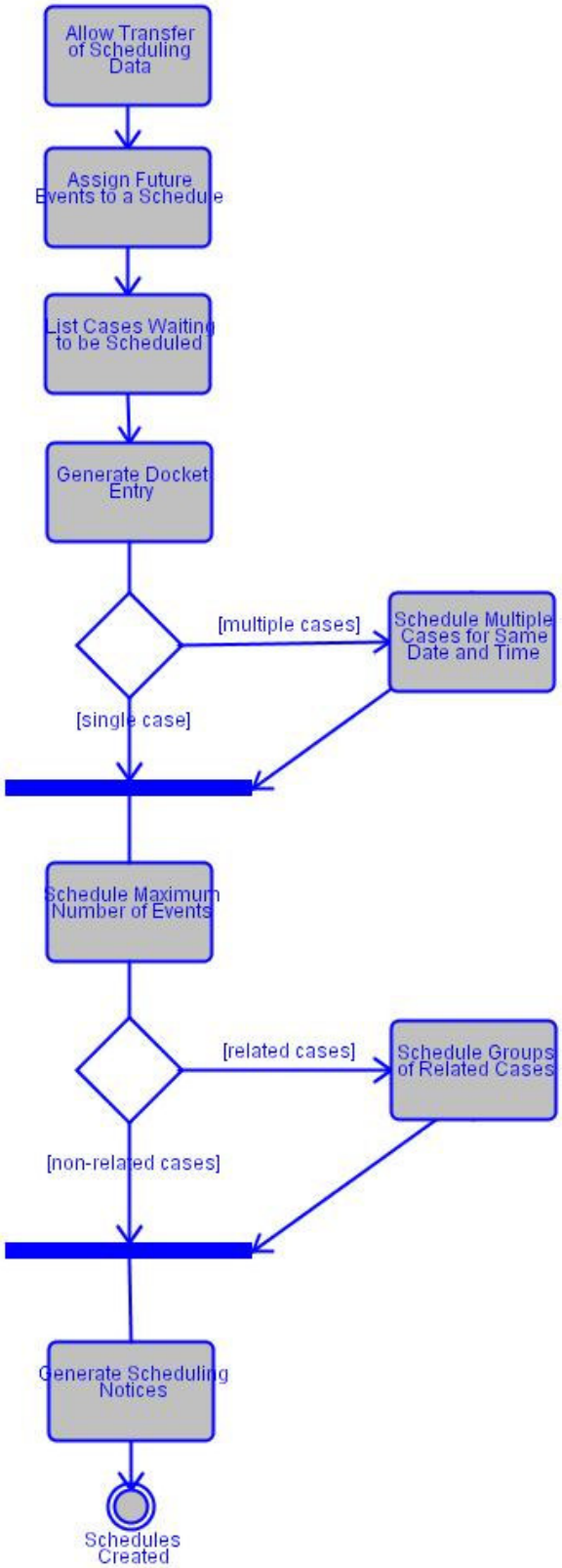
Maintain permanent history of all panels, including identities of judges who participated on given panel on specific date for specific event; display or print panel histories according to flexible user selection criteria.

Post-Conditions

Post-Condition	Description
Judicial Panel Managed	The activities associated with managing a judicial panel are completed.

3.5 Use Case Specification: Schedule Events

Schedule events and groups of events according to business rules and statutory and locally mandated time standards for cases (if applicable), record scheduled events, and produce notices.


Allow Transfer of Scheduling Data
Assign Future Events to a Schedule
List Cases Waiting to be Scheduled
Generate Docket Entry
[multiple cases]
Schedule Multiple Cases for Same Date and Time
[single case]
Schedule Maximum Number of Events
[related cases]
Schedule Groups of Related Cases
[non-related cases]
Generate Scheduling Notices
Schedules Created

Associated Actor	Relationship	Description
Judge	Approves	May take away
Court Clerk	Performs	

3.5.1 Special Requirements

Special Requirement	Description
Ticklers/User Alerts/Prompts:Close Tickler	Automatically close the tickler if conditions are met.

Flow of Events

3.5.2 Allow Transfer of Scheduling Data

Allow automated transfer of selected participants scheduling data in order to schedule court events. (e.g. police officers' schedules).

3.5.3 Assign Future Events to a Schedule

Assign date, time, place, and other resources needed for events based on business rules and user input.

3.5.3.1 Alternative Flows

Detail
Allow automatic scheduling of the next logical event based upon the outcome of the currently scheduled event (e.g. the entry of a continuance as the disposition of a hearing should automatically schedule the next hearing).

3.5.3.2 Notes

Detail
[Appellate Note] When scheduling oral arguments, maintain time slots based upon court-defined defaults for length of oral argument; permit user override of default value; prevent overlapping of scheduled oral arguments. The user should be able to designate arguing attorney(s) and specify oral argument time.
[Appellate Note] Project to user-specified date appellate cases expected to be ready for calendaring, based on current case status and time compliance rules.

3.5.4 List Cases Waiting to be Scheduled

Schedule an event from list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities.

3.5.5 Generate Docket Entry

Generate docket entry based on modified, scheduled, and completed events as appropriate (see Docketing Function), subject to court business rules.

3.5.6 Schedule Multiple Cases for Same Date and Time

[If multiple cases] Allow multiple cases and events to be scheduled for same date and time slot, regardless of any official, administrative, or informal relationship between those cases or events (e.g., preliminary trial court hearing for multiple, unrelated defendants in custody at the same time, multiple matters scheduled for appellate court session).

3.5.7 Schedule Maximum Number of Events

[If single case] Provide ability to schedule a maximum number of events for specific, user-specified time interval by event type (e.g., hearing), judge, and other criteria. As events drop off, the system should provide for automated backfilling.

3.5.8 Schedule Groups of Related Cases

[If related cases] Schedule groups of related cases (e.g., multiple trial court defendants involved in same incident, appellate cases consolidated or administratively related because of common issues) as if group were a single case; apply any subsequent changes in schedule, courtroom, assigned judge, etc. automatically to all cases in the group. (See also Case Initiation and Indexing Function and Docketing and Related Record Keeping Function for discussion of case groups and relationships)

3.5.9 Generate Scheduling Notices

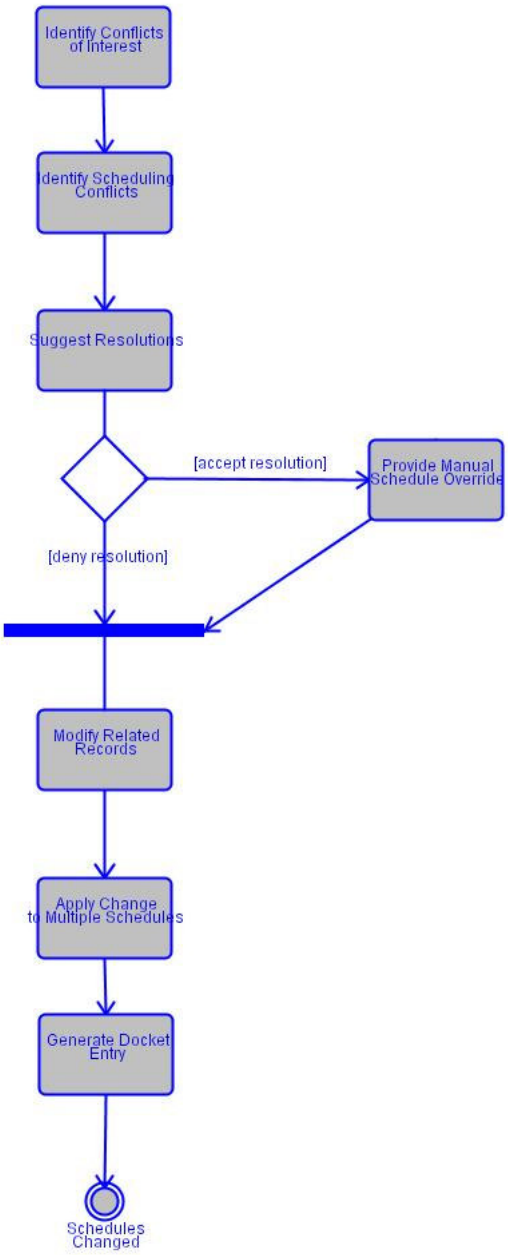
[If non-related cases] Interface with Document Creation and Tracking Function to generate and distribute (either electronically or in hard copy) notices to parties and participants upon scheduling or modifying an event; interface with Docketing Function to record notification, as appropriate for official court notices.

Post-Conditions

Post-Condition	Description
Schedules Created	Schedules have been created.

3.6 Use Case Specification: Schedule Changes

This activity manages scheduling conflicts, presents availability information, and applies changes.



Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

3.6.1 Identify Conflicts of Interest

Identify conflicts of interest and provide the user the ability to specially assign a replacement judicial officer and notify relevant users (e.g. scheduling clerk) that special arrangements may be necesary in light of the assignment.

3.6.2 Identify Scheduling Conflicts

Identify, display, and suggest resolutions to scheduling conflicts (e.g. when a hearing room is already being used, a party not being available on a specific date) and allowing user overrides and rescheduling with appropriate security and data integrity.

3.6.3 Suggest Resolutions

Suggest availability/resolutions to scheduling conflicts.

3.6.3.1 Notes

Detail
[Technical Requirement] Record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason).

3.6.4 Provide Manual Schedule Override

[If accept resolution] Provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically.

3.6.4.1 Notes

Detail
[Technical Requirement] During manual scheduling and rescheduling display other future events for that case.

3.6.5 Modify Related Records

When schedules change, modify records of all related parties, participants, calendars, docket entries, case status, and other data and functions.

3.6.6 Apply Change to Multiple Schedules

Apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed) to multiple schedules for group of cases as a single user action.

3.6.7 Generate Docket Entry

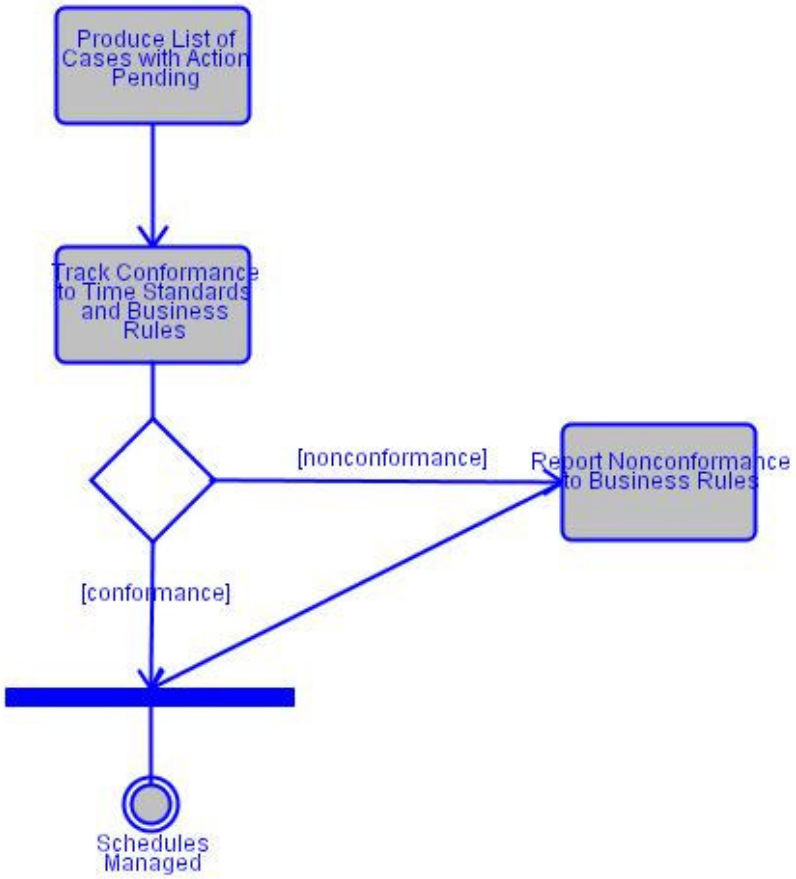
Generate docket entry based on modified, scheduled, and completed events as appropriate (see Docketing Function), subject to court business rules.

Post-Conditions

Post-Condition	Description
Schedules Changed	Schedules have been changed.

3.7 Use Case Specification: Schedule Management

The system should support user in schedule management by providing information on cases meeting user-specified scheduling selection criteria and cases that fail to conform to scheduling rules and time standards.



Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

3.7.1 Produce List of Cases with Action Pending

Create, maintain, and output administrative or clerk's list that shows all cases with action pending within specific date range or other user-specified criteria (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update this list when pending actions completed.

3.7.2 Track Conformance to Time Standards and Business Rules

Track conformance to time standards (e.g., answer/response due 30 days after service to respondent) including modifications (e.g., moving from one case management track to another), overrides (e.g., overriding requirement that answer/response due in 30 days and manually entering 60 days), and suspension of time counting under certain conditions. Time standards and other business rules will vary by locality.

3.7.3 Report Nonconformance to Business Rules

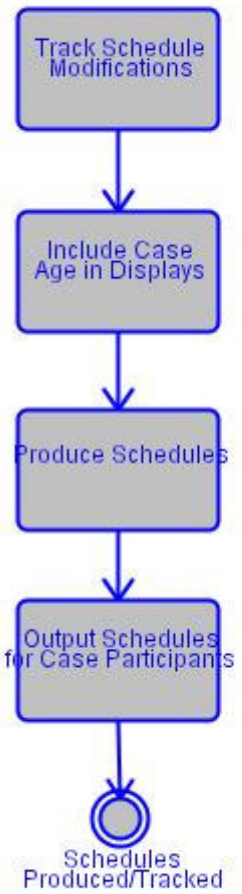
[If nonconformance] Provide exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established business rules.

Post-Conditions

Post-Condition	Description
Schedules Managed	Schedules have been managed.

3.8 Use Case Specification: Produce and Track Schedules

This subfunction produces schedules, other than the official court calendar, upon user request and tracks schedule modifications.



Associated Actor	Relationship	Description
CMS Administrator	Performs	
Court Clerk	Performs	

Flow of Events

3.8.1 Track Schedule Modifications

Track and output schedule modifications (e.g., judge or mediator's schedule's, or courtroom reassignments) over specific period.

3.8.2 Include Case Age in Displays

Provide the option to include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).

3.8.3 Produce Schedules

Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities (e.g. mediator's, arbitrator's schedule by day).

3.8.4 Output Schedules for Case Participants

Print or display schedules for various persons (e.g. other judicial officers; appellate panels; attorneys; other participants such as law officers, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies if their schedules in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.

3.8.4.1 Alternative Flows

Detail
For appellate cases, maintain list of cases ready for conference (e.g., cases for which all records have been received and accepted for filing) and those ready to be scheduled for oral argument.

3.8.4.2 Notes

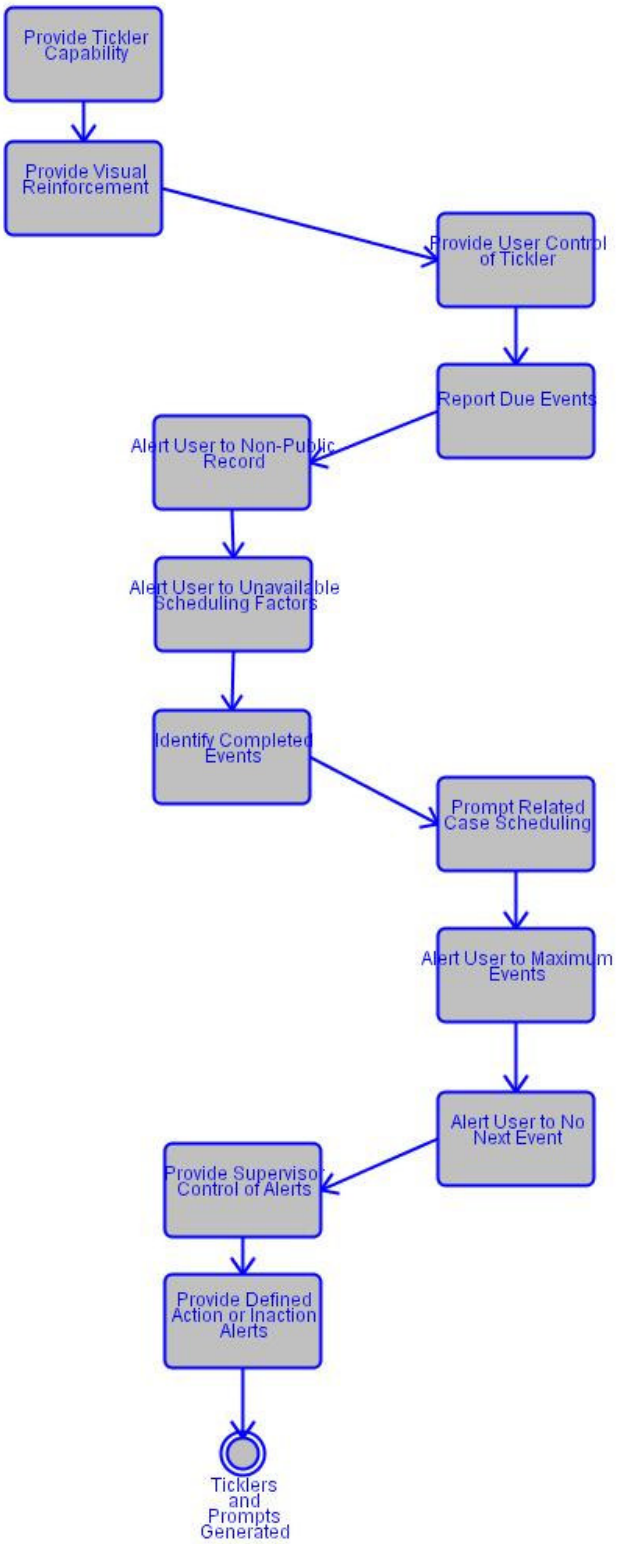
Detail
[Technical Requirement] Provide for real-time selective electronic notifications (e.g. email) as determined by the user.

Post-Conditions

Post-Condition	Description
Schedules Produced/Tracked	Schedules have been produced and tracked.

3.9 Use Case Specification: Ticklers and Prompts

The system should generate and allow manual creation of ticklers, which result in alerts and prompts to inform users (including individual users and workgroups) of pending or expired schedule deadlines, of completed schedule events, of cases with no scheduled "next event", and of required scheduling actions that relate to the current activity. The tickler function should interface with the document generation and processing function to produce related notices (e.g. letters to attorneys, electronic notification to clerk of lower court) according to local business rules.


Provide Tickler Capability
Provide Visual Reinforcement
Provide User Control of Tickler
Report Due Events
Alert User to Non-Public Record
Alert User to Unavailable Scheduling Factors
Identify Completed Events
Prompt Related Case Scheduling
Alert User to Maximum Events
Alert User to No Next Event
Provide Supervisor Control of Alerts
Provide Defined Action or Inaction Alerts
Ticklers and Prompts Generated

Associated Actor	Relationship	Description
CMS Administrator	Programs	

Flow of Events

3.9.1 Provide Tickler Capability

Provide both case-related and non case-related tickler capability based on schedules and statutory requirements: identify events coming due or overdue, periods about to expire or expired (e.g., guardianship accounting due, answer or response due, bail forfeiture due, appellate record due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre-sentence investigation); prompt or notify users; and initiate proper functions (e.g., generate statutorily required notice regarding termination of support on approaching birthday when child becomes an adult, unless special conditions exist that nullify termination, such as physically handicapped person; generate notice regarding approaching speedy trial deadline; generate notice to attorney and lower court clerk regarding failure to file official appellate record; schedule hearing). The system should provide the ability to satisfy or modify existing ticklers based on user-defined actions.

3.9.1.1 Special Requirements

Standard	Description
Ticklers/User Alerts/Prompts:Search and Inquiry Search and Inquiry	Enable user to search tickler on flexible criteria including full-text search of all entries, date range, event type, and other user-selectable characteristics.

3.9.2 Provide Visual Reinforcement

Provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message.

3.9.3 Provide User Control of Tickler

Allow authorized users to manually or by rule define structure, content, frequency, and intrusiveness of ticklers, alerts, and prompts; allow users to suspend, reactivate and modify ticklers. The system should also allow for delayed notification of past-due ticklers based on user-defined time period (i.e. "snooze" feature).

3.9.4 Report Due Events

Generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria (e.g., termination of support on approaching birthday when

child becomes an adult, and special conditions that nullify termination, such as person physically handicapped).

3.9.5 Alert User to Non-Public Record

Generate alert when displaying cases or portions of cases that are not public record (e.g., adoption cases, which are considered confidential) or otherwise require user notification.

3.9.6 Alert User to Unavailable Scheduling Factors

Generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable.

3.9.7 Identify Completed Events

Identify completed events (i.e., all tasks associated with multi-task event must be complete for event to be complete) and prompt users when further action required.

3.9.8 Prompt Related Case Scheduling

Prompt user to schedule pre-defined related cases (e.g., other petitions regarding same problem, appellate cases with issues in common) and prerequisite events (see Case Initiation and Indexing Function and Docketing Function in which relationships are defined to system-some automatically and some manually).

3.9.9 Alert User to Maximum Events

Generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category).

3.9.10 Alert User to No Next Event

Alert clerk when case filed with no scheduled next event or when displaying pending cases with no scheduled next event.

3.9.11 Provide Supervisor Control of Alerts

Allow supervisor at appropriate level to turn on and off all, category-based, or individual alerts.

3.9.12 Provide Defined Action or Inaction Alerts

Generate alerts for defined actions or inactions (e.g., when a scheduled payment is not made; when an error is made such as when a pleading is submitted for a closed case, a case event is scheduled without a prerequisite event completed, or when the event fails in any other way to comply with system processes).

Post-Conditions

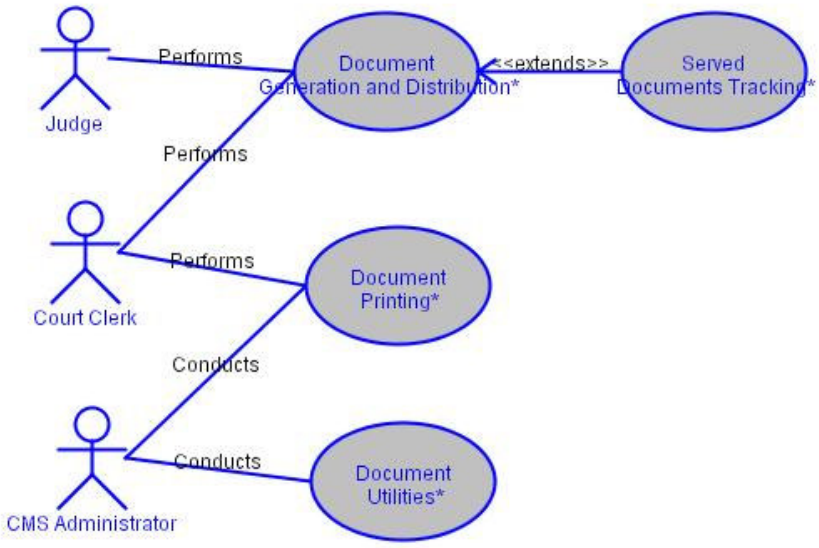
Post-Condition	Description
Ticklers and Prompts Generated	Ticklers and prompts have been generated.

4. Business Function: Document Creation and Tracking

4.1 Description:

The activities associated with creating, distributing, and tracking court documents such as notices, orders, judgments. The methods of distribution of documents in this section include but are not limited to (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as criminal and civil warrants, petitions, summons, and complaints; (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those that are sent with no proof of service or used internally such as forms, letters, and brief reports (as opposed to more lengthy and complex documents described in Section 13, Management Reporting).

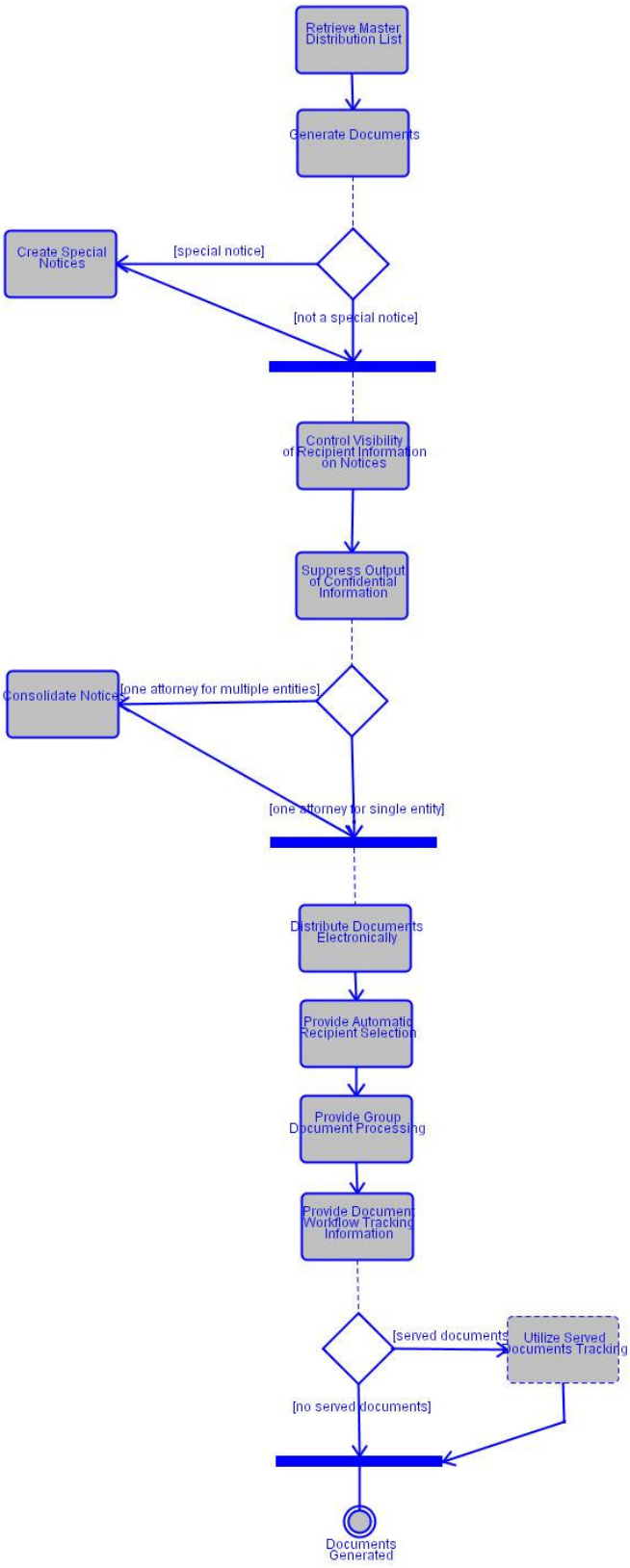
4.2 Use Case Diagram



4.3 Use Case Specification: Document Generation and Distribution

Document Generation and Distribution addresses the standard documents generated by the system including those that typically are served by a process server, such as a law

enforcement officer, and those that are simply mailed or given to a party, attorney, or participant.


Retrieve Master Distribution List
Generate Documents
Create Special Notices
[special notice]
[not a special notice]
Control Visibility of Recipient Information on Notices
Suppress Output of Confidential Information
Consolidate Notices
[one attorney for multiple entities]
[one attorney for single entity]
Distribute Documents Electronically
Provide Automatic Recipient Selection
Provide Group Document Processing
Provide Document Workflow Tracking Information
[served documents]
Utilize Served Documents Tracking
[no served documents]
Documents Generated

Associated Actor	Relationship	Description
Judge	Performs	
Court Clerk	Performs	

Flow of Events

4.3.1 Retrieve Master Distribution List

The CMS should allow the user to retrieve the master distribution list based on case parties, participants, and other user-defined entities. However, the system should allow the user to override, add, or remove recipients to/from the distribution list for specific documents or cases.

The system should capture historical data about document distribution.

4.3.2 Generate Documents

The CMS should generate a number of different pre-formatted documents. It should generate miscellaneous documents (e.g., administrative orders or other orders signed by judge outside of courtroom such as for bail reinstatement or protection; plaintiff claims forms; follow-up letters such as requests for completed Title IV-D forms or requests for evidence; deficiency letters, jury instructions linked to specific charges in criminal jury trials, and other types of forms or documents).

The system should create documents (e.g., notices, summons, pick up orders, acknowledgement of filing letter, or warrants, subpoenas) triggered by specific event (e.g., hearing scheduled, conference rescheduled, case dismissed, remittitur issued, financial obligation completed, bail forfeited, and docket entry). The Document Generation function also should interface with other parts of the system, such as the Scheduling function, for relevant document information.

The CMS should generate pre-formatted documents or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted (or not accepted; e.g., notice of defective appellate pleading), particularly when a document is filed electronically (see also Case Initiation and Indexing Function).

4.3.2.1 Special Requirements

Standard	Description
Scheduling:Scheduling Notices /Notices	The system should interface with the Scheduling Function to generate notices for scheduled events, such as court hearings.
Ticklers/User Alerts/Prompts:Notices/Tickler Notices	The CMS should provide the ability to produce specified notices upon occurrence of a tickler

Standard	Description
Ticklers/User Alerts/Prompts:Notices/Flexible Event-Driven Notices	event (e.g. expired filing deadline); allow authorized user to control, which, if any, type of notice is linked to an event. The user should be able to control the distribution of these notices. The system should permit user to designate generation of a special notice upon occurrence of any specified event (e.g., docketing of a particular event, withdrawal of attorney) and to control distribution of that notice.

4.3.3 Create Special Notices

[If special notice] Create special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to non-participants, other courtesy notices) when requested.

4.3.3.1 Alternative Flows

Detail
Upon failure of notice of appeal or other filing to meet acceptability criteria (including timeliness), automatically provide electronic and/or hard copy notice of defects back to attorney and trial court clerk; create docket entry for issuance of notice and tickler for response deadline.

4.3.4 Control Visibility of Recipient Information on Notices

In cases with multiple notice recipients, provide option to control which names and addresses are visible on copies to each specific recipient and on file copy. Historical distribution list information should also be retained.

4.3.5 Suppress Output of Confidential Information

Suppress inclusion of user-designated confidential data elements in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Creation and Tracking Function, Calendaring Function, Hearings Function, and Disposition Function).

4.3.6 Consolidate Notices

[If one attorney for multiple entities] In cases with multiple entities, provide option to generate single notice for attorney who represents multiple entities.

4.3.7 Distribute Documents Electronically

Provide the option to distribute documents electronically (e.g., documents to be served to process server; notices and other documents to parties, attorneys, and lower courts; notices, pick up orders, and other documents to be entered in docket) in accordance with

state and local statutes, rules, and procedures (see Docketing Function and Configuration Maintenance, Security and Integrity Function).

Historical distribution list information should be retained.

4.3.8 Provide Automatic Recipient Selection

The system should provide automatic selection of appropriate recipients of generated documents, based upon relationship to cases and events or pre-defined distribution lists according to court-defined business rules.

The system should also allow the user to designate or override automated selection of recipients of the above documents.

4.3.9 Provide Group Document Processing

Perform document generation, print, and distribution functions for group of related cases as if group were single case.

4.3.10 Provide Document Workflow Tracking Information

Record and report the status of pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface).

4.3.11 Utilize Served Documents Tracking

[If served documents] Activities associated with issuing and tracking the service of court orders, notices, and other documents, including warrants.

Post-Conditions

Post-Condition	Description
Documents Generated	Documents have been generated.

4.4 Use Case Specification: Served Documents Tracking

Activities associated with issuing and tracking the service of court orders, notices, and other documents, including warrants.

Flow of Events

4.4.1 Transmit Served Documents

Send served documents (e.g., subpoenas, warrants, etc.), to appropriate agency with request for acknowledgement of receipt.

4.4.2 Receive Served Documents

Receive and acknowledge receipt of served documents (e.g., subpoenas, warrants, etc.) from appropriate agencies.

4.4.3 Receive Return of Service

Receive return of service on served documents (e.g., subpoenas, warrants, etc.).

4.4.3.1 Alternative Flows

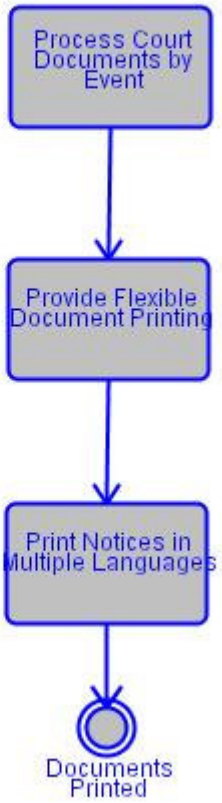
Detail
In criminal courts, facilitate warrant reconciliation with appropriate agency maintaining state criminal history repository.

Post-Conditions

Post-Condition	Description
Served Documents Tracked	The activities associated with tracking warrants and other served documents is complete.

4.5 Use Case Specification: Document Printing

Document printing addresses the functions needed to support flexible selection of printers,printer location, batch or individual document printing, language options, and event-driven printing.



Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

Flow of Events

4.5.1 Process Court Documents by Event

Automatically print, store and docket court documents based on court events.

4.5.2 Provide Flexible Document Printing

Select printer and be able to print documents individually (including ability to reprint) or in batches in distributed or central locations as scheduled or when requested.

4.5.3 Print Notices in Multiple Languages

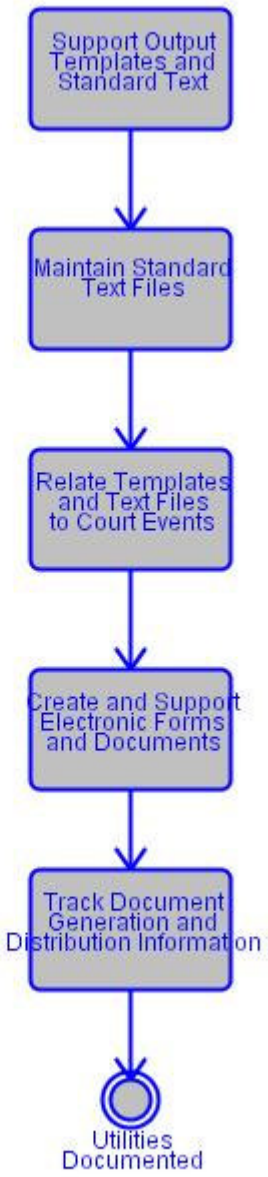
Print notices in multiple languages (e.g. English, Spanish) where appropriate or required by state statute.

Post-Conditions

Post-Condition	Description
Documents Printed	Documents have been printed.

4.6 Use Case Specification: Document Utilities

This group of subfunctions includes various system utilities that support document generation, processing, and delivery such as output templates (i.e. forms that may be electronically generated to permit court seals and signatures into which text can be inserted), standard text (e.g. "boilerplate" text used in many documents), and recipients for specific documents. These utilities may be used to generate documents in conjunction with or as an alternative to building a completely new document each time using program logic and user- or system-supplied parameters.



Associated Actor	Relationship	Description
CMS Administrator	Conducts	

Flow of Events

4.6.1 Support Output Templates and Standard Text

In conjunction with Docketing and Related Recordkeeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., court orders and civil warrants with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices).

4.6.2 Maintain Standard Text Files

Maintain files of standard text and use to create entire documents or to insert text into boilerplate court forms; relate each group of text to document(s) and court event(s) in which they are used (same as the above sub-function, except there are no output templates involved).

4.6.2.1 Special Requirements

Standard	Description
Performance Standards:Integration Provide Templates/Word Processing Integration	Provide ability to create customized templates and integrate with user defined word processing packages.
Overrides:Document Utilities Override Document Entries	Provide ability to override document entries made using the templates and standard text noted above.

4.6.3 Relate Templates and Text Files to Court Events

Relate each output template and text noted above to document(s) and court event(s) for which they are used. Provide template version control and maintain template version history.

4.6.3.1 Notes

Detail
[Technical Requirement] Provide capability to enter, store, and retrieve postal and electronic mail address (and other related information such as preferred distribution method) for all persons or participants who should receive specific documents from various locations in system and database as if, from user perspective, they were in the same record.

4.6.4 Create and Support Electronic Forms and Documents

Create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service).

4.6.5 Track Document Generation and Distribution Information

Capture, retrieve, and report pertinent information regarding all documents generated by the court, including characterizing information (e.g., type of document, date and time

generated, associated case numbers) and distribution information (e.g., addressees or internal distribution list).

4.6.5.1 Notes

Detail
[Technical Requirement] The CMS should provide an automatic interface with a document management system (when it exists) upon generation of the output document.
[Technical Requirement] The CMS should provide version control capability for all output documents.

Post-Conditions

Post-Condition	Description
Utilities Documented	Utilities have been documented.

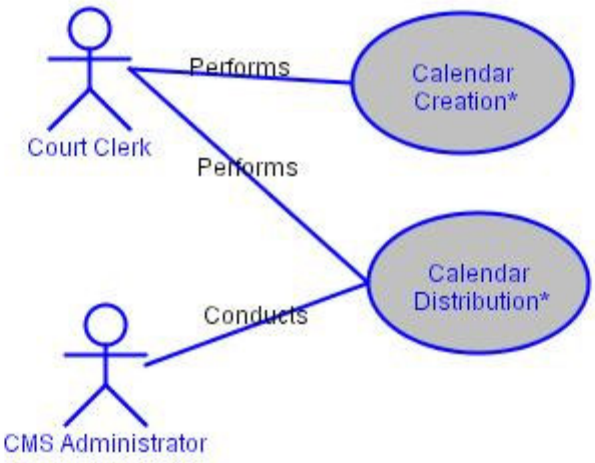
5. Business Function: Calendaring

5.1 Description:

The calendaring function includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as considered within this context, may also include ADR events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a judge, justice, magistrate, referee, commissioner, or other judicial officer or panel in court events such as trials and hearings, appellate conferences, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.

The scheduling of hearings and conferences (see Scheduling Function) provides the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function, judges' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by re-generating all or part of the calendar to reflect scheduling changes, entering or updating calendar notes, making changes to the format or organization of calendars. They then generate the updated calendars for electronic or printed distribution.

5.2 Use Case Diagram



5.3 Use Case Specification: Calendar Creation

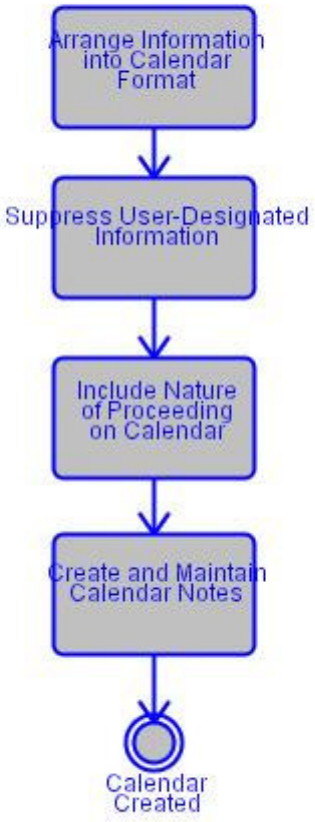
Create, generate for display or printing, and maintain calendars based on scheduling information and incorporating and identifying addenda for each type of hearing (see Section 3, Scheduling Function).

Scheduling information may be referenced by:

· type of hearing (e.g. jury trial, non-jury trial, motion, preliminary, dismissal, oral argument) or

· mixed hearings (e.g. motions and plea agreements) and conferences by specific periods (e.g. daily, weekly, monthly).

· other various criteria (e.g., judge, judicial panel, date, time, case type, case category, hearing reason, other elements of calendar profiles)



Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

5.3.1 Arrange Information into Calendar Format

Provide flexibility with respect to calendar content and format (e.g. case or detention status shown with calendar).

Produce user-defined summary calendar information view for a given person, location, or event (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar) and provide interface to other parts of system to access other

types of information (e.g., on related cases or participants) (see Management Reporting Function).

Create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons.

Data Provided: Case Caption (Data Element), Hearing Start Time (Data Element), Person (Section), Case Tracking Number (Data Element), Hearing Date (Data Element), Judge (Section).

5.3.2 Suppress User-Designated Information

Suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings, appellate justice assignments, and other non-public information). (see also Configuration Maintenance, Security Integrity Function).

5.3.3 Include Nature of Proceeding on Calendar

Provide the option to output the nature of the proceeding for each case on calendar (e.g., motion to dismiss, evidentiary hearing or review hearing to consider change of placement for neglected child, and petition for review).

Data Provided: Activity Event Identifiers (Component), Court Case Identifiers (Component).

5.3.4 Create and Maintain Calendar Notes

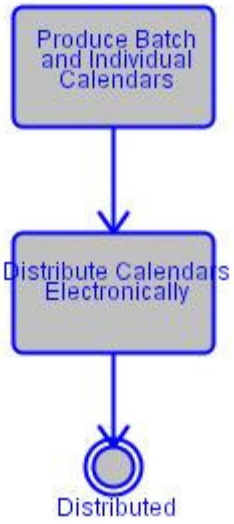
Create and maintain judge and other user notes (i.e., notes and comments for use with the specific judge's or other user's calendar) for user's viewing only in accordance with local rules and statutes (see also Configuration Maintenance, Security and Integrity Function).

Post-Conditions

Post-Condition	Description
Calendar Created	Calendar has been created.

5.4 Use Case Specification: Calendar Distribution

Calendar Distribution refers to the functionality necessary to print calendars, direct calendar to others, produce summary calendars, and involves defining calendar content and format based on designated recipients.



Associated Actor	Relationship	Description
CMS Administrator	Conducts	
Court Clerk	Performs	

5.4.1 Special Requirements

Special Requirement	Description
Appellate Calendar Distribution:Appellate Calendar Distribution	The system should provide the ability to approve a calendar for public distribution. As the calendar will change, supervisors will be able to update the calendar and issue subsequent versions.

Flow of Events

5.4.2 Produce Batch and Individual Calendars

Produce calendars individually (e.g., for a judge, appellate panel, or courtroom) or by batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom.

Data Provided: Hearing Date (Data Element), Courtroom (Data Element), Judge (Section).

5.4.2.1 Notes

Detail
[Technical Requirement] Allow users to reprint selected portions of a calendar and insert add-ons without reprinting the entire calendar.

5.4.2.2 Special Requirements

Standard	Description
Performance Standards:Printing Printing Flexibility	Print individually or in groups; in multiple locations or central location.
Calendering:Calendar Support Calendar Support	Provide the option to create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or information on related cases and parties.

5.4.3 Distribute Calendars Electronically

Distribute calendars electronically (e.g., to jury manager, attorneys, court reporters, criminal support units, and CJ agencies) and to the public on the Internet where allowed by rule.

Post-Conditions

Post-Condition	Description
Distributed	Document has been distributed.

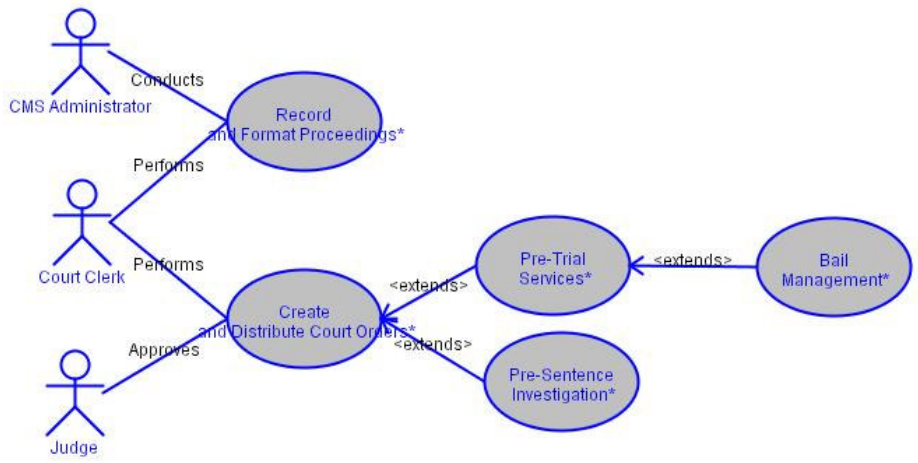
6. Business Function: Hearings

6.1 Description:

The Hearings module describes the activities associated with reaching a decision in calendared events (e.g. hearings, oral arguments, conferences, etc.), recording the results of these events, and notifying the appropriate persons of court decisions. In the context of this document, calendared events include all proceedings in which arguments, and possibly witnesses, are heard, and evidence and exhibits may be examined by a judge, judicial officer, or appellate panel.

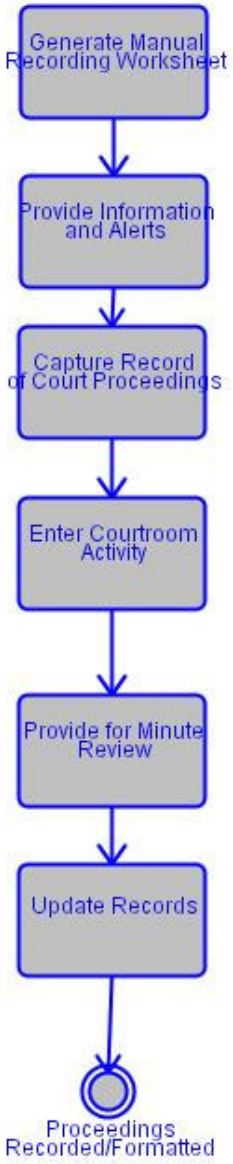
This function also includes court activities related to court-ordered pre-trial services and pre-sentence investigations as well as (non-financial) bail management. The Hearings Function encompasses a number of in-court and post-court activities related to capturing and producing minutes, interfacing with other functions to update court records, and generating and distributing court orders. The CMS must support the ability for the court clerk to format hearing proceedings as well as create and distribute court orders as a result of the hearings.

6.2 Use Case Diagram



6.3 Use Case Specification: Record and Format Proceedings

This function provides for the capture of data recorded during a hearing, the formatting and output of minutes, and updating of case records.



Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

6.3.1 Special Requirements

Special Requirement	Description
Interfacing:Minutes Interface to Update Docket	Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments,

Special Requirement	Description
	continuances, cancellations, oral arguments completed) to update records on cases, parties, and other persons, allegations, and pleadings throughout system (e.g., working with Docketing and Related Record Keeping Function for docket updates, Scheduling Function for rescheduling of hearing or scheduling subsequent hearing, Document Generation and Processing Function for notice creation, Disposition Function for recording disposition information, Accounting functions for monetary judgment data, and other functions).

Flow of Events

6.3.2 Generate Manual Recording Worksheet

Provide option to create a document suitable for manually recording minutes (e.g., worksheet, check-off list, working calendar).

6.3.3 Provide Information and Alerts

Provide ability to display real time case participant check-in information on the judge's bench calendar.

Provide judge and courtroom staff information on the status of parties (e.g. repeat offender in pre-trial release hearing, status of fee and fine payments resulting from a previous case).

6.3.4 Capture Record of Court Proceedings

Enter, store, document, and display or print (batch or individually) preliminary and final proceeding records, including informal proceedings when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules.

6.3.4.1 Special Requirements

Standard	Description
Formatting:Minutes Multi-Case Minute Entries	Provide for minute entry suitable for multiple-case and multiple-defendant situations using one of methods noted below.
Formatting:Minutes User-Defined Minutes Format	Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings.
Ticklers/User Alerts/Prompts:Hearings Real-Time Minute Entry	Provide edits and prompts with real-time minute entry capability (see Scheduling and Security and Data Integrity functions).

6.3.5 Enter Courtroom Activity

Enter, store, and display or print courtroom activity recorded on calendar or worksheet.

6.3.5.1 Notes

Detail
[Appellate Note] Upon recording of completed oral arguments, update the case status according to court business rules (e.g. "submitted").
[Appellate Note] Record official participation of each judge on panel for each event.

6.3.6 Provide for Minute Review

The CMS should provide the ability for authorized users to review and correct minutes after initial entry and provide an audit trail of any changes that are made.

6.3.7 Update Records

Capture information for each party associated with a hearing including check-in date and time, when hearing began and ended, when party called into hearing, whether party actually appeared in hearing (e.g., may have been outside courthouse when called)

Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments, continuances, cancellations, oral arguments completed) to update records on cases, parties, defendants, juveniles and other persons, allegations, and pleadings throughout system (e.g., working with Docketing Function for docket updates, Scheduling Function for rescheduling of hearing or scheduling subsequent hearing, Document Creation and Tracking Function for notice creation, Disposition Function for recording disposition information, Accounting functions for monetary judgment data, and other functions). Record updating includes updating of case status (e.g., case pending decision) for case management and tracking purposes.

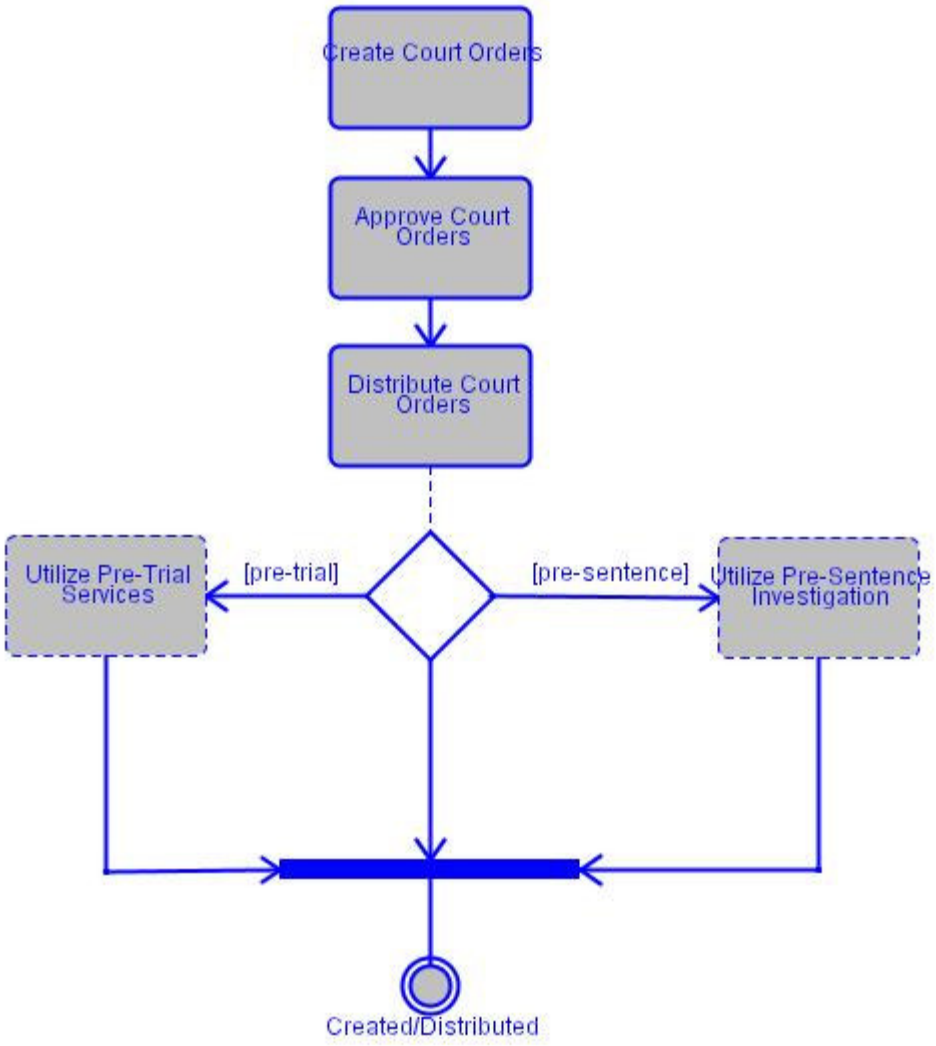
Data Provided: Hearing Date (Data Element), Hearing Start Time (Data Element).

Post-Conditions

Post-Condition	Description
Proceedings Recorded/Formatted	Proceedings have been recorded and formatted.

6.4 Use Case Specification: Create and Distribute Court Orders

This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings. The court orders can be generated in real time or at any time during the life of a case.



Associated Actor	Relationship	Description
Court Clerk	Performs	
Judge	Approves	

Flow of Events

6.4.1 Create Court Orders

Create and display or print (including ability to reprint) court orders (including informal, preliminary, and final orders) resulting from hearings and other judicial proceedings in

real-time. Allow user to create orders resulting from out-of-courtroom events to be signed by judge in informal setting.

Data Provided: Court Orders (Document).

6.4.1.1 Alternative Flows

Detail
Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).

6.4.2 Approve Court Orders

Provide the ability for the judge to approve orders electronically as well as manually.

Data Provided: Judge (Section).

6.4.3 Distribute Court Orders

Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket.

Distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available, subject to court business rules.

Data Provided: Address (Component), Email Address (Data Element), Fax Number (Data Element).

6.4.4 Utilize Pre-Trial Services

[If pre-trial] The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).

6.4.5 Utilize Pre-Sentence Investigation

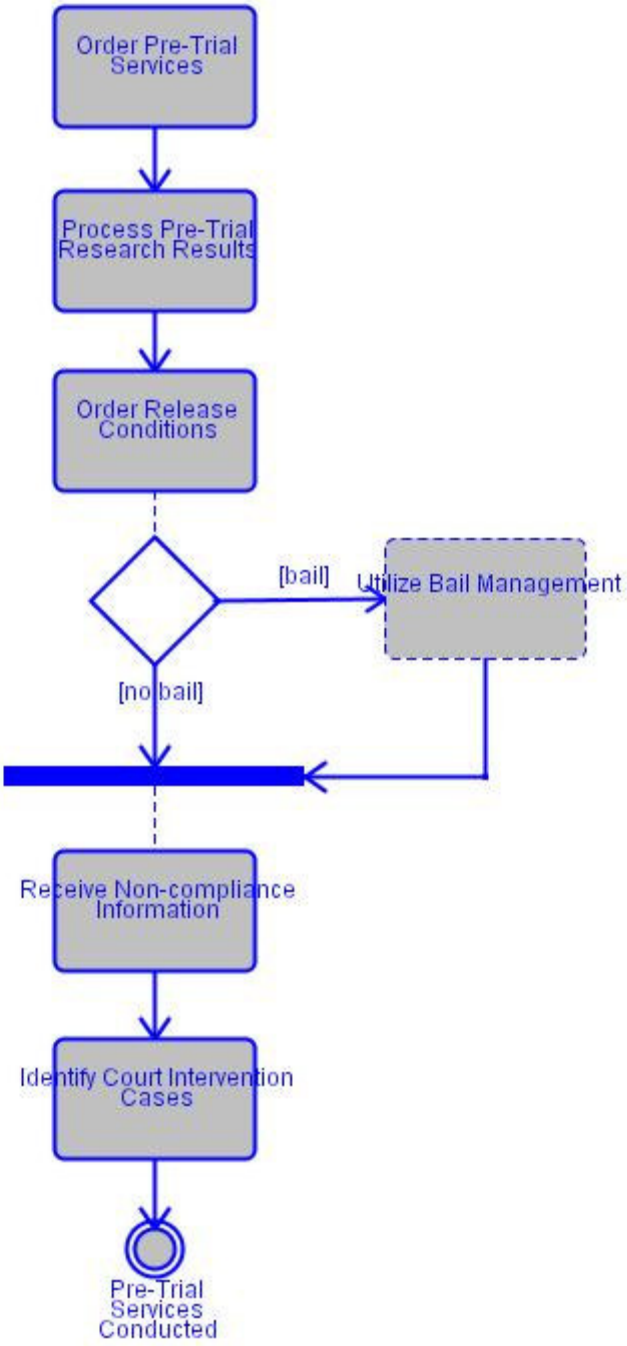
[If pre-sentence] The pre-sentence investigation unit conducts and reports on investigations used by the court to determine sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.

Post-Conditions

Post-Condition	Description
Created/Distributed	Court orders have been created, distributed, and delivery verified.

6.5 Use Case Specification: Pre-Trial Services

The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).



Flow of Events

6.5.1 Order Pre-Trial Services

Send request for pre-trial services with associated case and defendant information and internal investigation (see Docketing Function).

Data Provided: Pre-Sentence Investigation Report (Document).

6.5.2 Process Pre-Trial Research Results

Receive results of research on defendant (prior arrests and convictions, aliases, duplicate identifiers) to docket and related individual records (see Docketing Function).

6.5.3 Order Release Conditions

Produce order for conditions of release.

6.5.4 Utilize Bail Management

[If bail] This subfunction includes the activities associated with bail management (e.g. collecting bail money, and producing receipts and reports).

6.5.5 Receive Non-compliance Information

[If no bail] Receive information regarding non-compliance of pre-trial intervention or supervision requirements.

6.5.6 Identify Court Intervention Cases

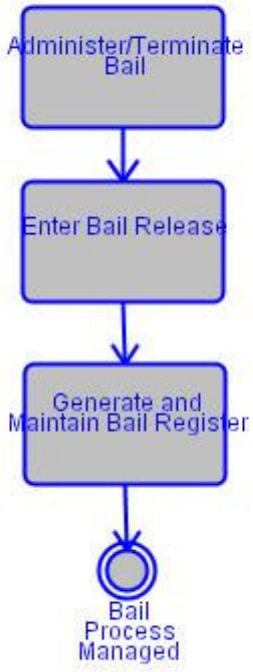
Provide the ability to designate which cases need to be seen by court intervention agency.

Post-Conditions

Post-Condition	Description
Pre-Trial Services Conducted	Pre-trial services have been conducted.

6.6 Use Case Specification: Bail Management

This subfunction includes the activities associated with bail management (e.g. collecting bail money, and producing receipts and reports).



Flow of Events

6.6.1 Administer/Terminate Bail

Bail termination information is added to the bail record in appropriate cases.

Data Provided: Bail (Component).

6.6.2 Enter Bail Release

Information required by the court regarding bail release is entered into the record.

6.6.3 Generate and Maintain Bail Register

A register documenting bail-related payments and activities is generated, for a period of time designated by the user.

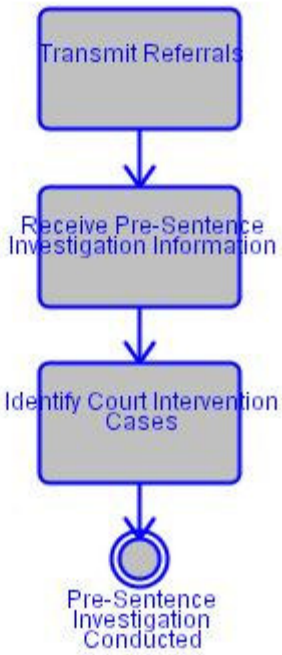
Data Provided: Bail (Component).

Post-Conditions

Post-Condition	Description
Bail Process Managed	Bail process has been managed.

6.7 Use Case Specification: Pre-Sentence Investigation

The pre-sentence investigation unit conducts and reports on investigations used by the court to determine sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.



Flow of Events

6.7.1 Transmit Referrals

Send information on adult referrals for pre-sentence report (see Hearings Function).

6.7.2 Receive Pre-Sentence Investigation Information

Receive pre-sentence information electronically or contents of report (e.g., date ordered, date returned, results, extension requests) (see Hearings Function).

Data Provided: Sentence Description (Component).

6.7.3 Identify Court Intervention Cases

Provide the ability to designate which cases need to be seen by court intervention agency.

Post-Conditions

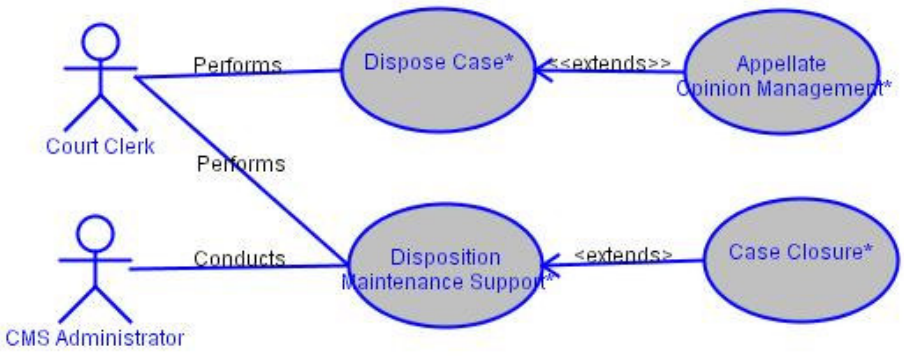
Post-Condition	Description
Pre-Sentence Investigation Conducted	The pre-sentence investigation has been conducted.

7. Business Function: Disposition

7.1 Description:

The Disposition Function addresses activities associated with disposing a case, issues, parties, or charges/allegations in a case. In trial courts this includes any type of criminal disposition resulting from a court decision after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture; or any type of civil disposition resulting from jury or non-jury trial, mediation or arbitration, default dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. In appellate courts, disposition may be by decision (by published opinion, memorandum decision, order, per curiam affirmation, mandate, or other opinion), dismissal, denied appeal, transfer, or other resolution. This function also supports the user in accomplishing the disposition-related actions called for in court orders.

7.2 Use Case Diagram

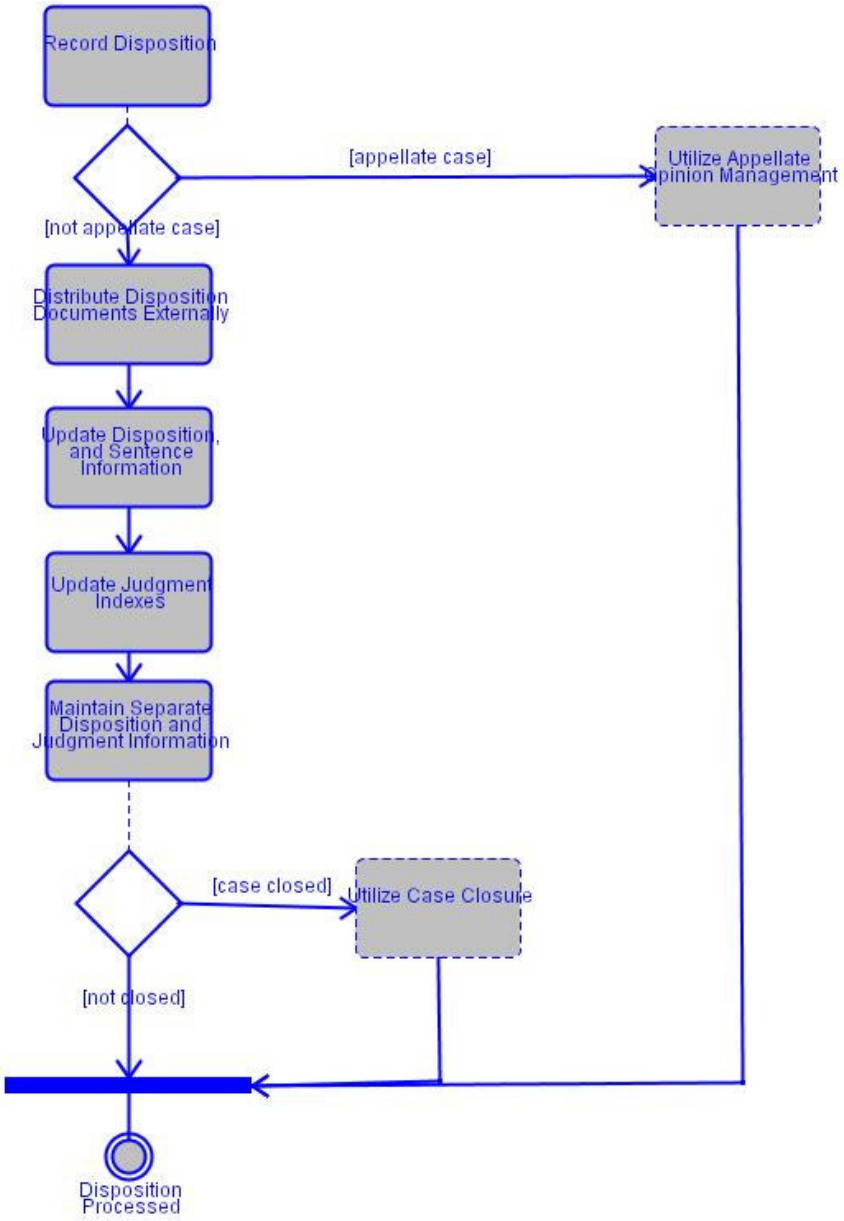


7.3 Use Case Specification: Dispose Case

This group of activities describes the update of information resulting from the disposition process and the production of documents (e.g., judgment form, sentencing documents, custody forms; see also Hearings Function) for dispositions (i.e., judgments) by trial, after jury or non-jury trial, guilty plea (e.g., by plea agreement)or settlement. This

module also produces documents such as those for ADR, mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation.

For case management and statistical purposes (e.g. workload, clearance rates, time standards, etc.), the CMS must have the flexibility to report multiple dispositions based on different milestones. The CMS must provide the ability to report dispositions consistent with both local court requirements and national reporting requirements. In particular, the local court should be able to designate the effective date of overall case disposition based upon rule-driven behavior.



Associated Actor	Relationship	Description

Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

7.3.1 Record Disposition

Record disposition for entire case for any manner of disposition, including dismissal, transfer, withdrawal, decision, judgment, verdict, settlement, plea, and any other disposition type. If applicable, record disposition and sentence (if also applicable) for each allegation or count of each charge including those involving entire cases, individual, families, multiple issues, individual parties, multiple and/or cross referenced cases, and cross petitions. Where applicable, prompt to dispose of all charges as a single user action (e.g. compute and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant; compute and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant; compute and enter non-monetary provisions (e.g., work program, restitution by services) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures; link charges and fine or restitution amounts; enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant; compute and enter fine or monetary restitution based on sanctions imposed on each person; enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person; associate monetary and non-monetary restitution with specific victim(s)).

The system should have the ability to utilize court room activity information that was acquired during hearings.

Data Provided: Charge (Section), Community Service (Component), Probation (Component), Fine (Component), Charge (Section), Community Service (Component), Probation (Component), Fine (Component).

7.3.1.1 Special Requirements

Standard	Description
Overrides:Disposition Fine Overrides	Populate appropriate fines based on violation and local business rules and allow for clerk override.
Performance Standards:Funds Collection Establish Priority Ranking	Provide capability of establishing a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories paid to state and county criminal justice agencies.
Overrides:Disposition Fees/Cost Override	Automatically populate appropriate fees/costs (not fines) based on violation and allow for

Standard	Description
	clerk override.

7.3.2 Utilize Appellate Opinion Management

[If appellate case] This Use Case addresses additional activities associated with assigning, managing, and tracking appellate court opinions. The CMS must provide the ability for authorized users to manage and track the opinion process from initial assignment through drafting, circulation among justices, release, and publication while adhering to the court's privacy and security requirements regarding opinions.

7.3.3 Distribute Disposition Documents Externally

[If not appellate case] Distribute all disposition documents electronically or manually to recipients external to court in accordance with state and local statutes, rules, or procedures (e.g.,sentencing order to law enforcement and corrections, appellate court remittitur to originating court or agency) and internally to be entered in docket.

Data Provided: Disposition (Document).

7.3.4 Update Disposition, and Sentence Information

Maintain and produce disposition, and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences, and reason for closure for each charge (e.g., ultimate resolution for case due to trial, ADR such as mediation, dismissal, withdrawal, conference, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation).

7.3.5 Update Judgment Indexes

Create, display or print, and maintain separate judgment indexes (i.e., judgment book) that show original and subsequent judgments (e.g., containing judgment entry and expiration dates, amounts, modifications, satisfactions, judge or other judicial officer) by case and party.

Data Provided: Sentencing Order (Document).

7.3.6 Maintain Separate Disposition and Judgment Information

Create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party.

Allow for multiple judgments in cases involving multiple parties.

7.3.7 Utilize Case Closure

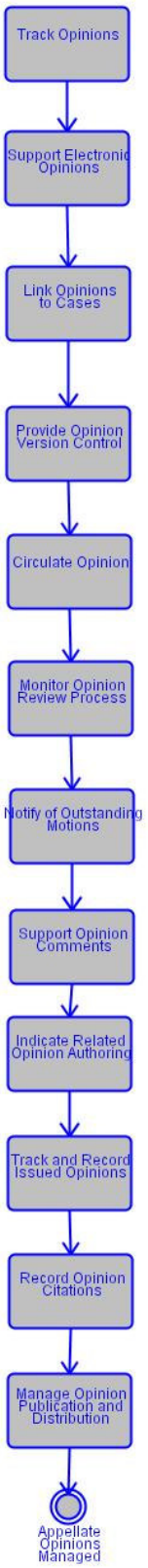
[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).

Post-Conditions

Post-Condition	Description
Disposition Processed	Disposition has been processed.

7.4 Use Case Specification: Appellate Opinion Management

This Use Case addresses additional activities associated with assigning, managing, and tracking appellate court opinions. The CMS must provide the ability for authorized users to manage and track the opinion process from initial assignment through drafting, circulation among justices, release, and publication while adhering to the court's privacy and security requirements regarding opinions.


Track Opinions
Support Electronic Opinions
Link Opinions to Cases
Provide Opinion Version Control
Circulate Opinion
Monitor Opinion Review Process
Notify of Outstanding Motions
Support Opinion Comments
Indicate Related Opinion Authoring
Track and Record Issued Opinions
Record Opinion Citations
Manage Opinion Publication and Distribution
Appellate Opinions Managed

Flow of Events

7.4.1 Track Opinions

The system must keep track of all opinions (including dissents, concurrences, etc.) on the case from the time they are assigned to a judge, including opinion status, status dates, staff assigned, and opinion type. Tracking information also should include the opinion drafting status, voting, schedule for drafting and review of opinions, and length of time required to produce and review each opinion.

7.4.2 Support Electronic Opinions

The system must provide the ability to store and circulate draft opinions electronically within the Court.

7.4.3 Provide Opinion Version Control

The system must have full version control of opinions so that only one person may edit the opinion at one time, changes are recorded, and the latest version is always designated.

The CMS must have the flexibility to interface with other systems (e.g. standard word processing programs) or to include a function to facilitate tracking changes in the opinion document.

7.4.4 Circulate Opinion

The system must allow the user to indicate that the opinion is being released for circulation, to whom it is to be circulated, the manner of circulation, the date released for circulation, and the date each review completed. The circulation of the opinion should be dictated by court rules or procedures.

7.4.5 Monitor Opinion Review Process

The CMS should track the opinion review process, capturing the review completion date, comments posted, and votes. The system should monitor compliance with the review process as established by the court's rules and procedures. The system should also maintain voting histories and track the completion of the quality assurance review.

7.4.6 Notify of Outstanding Motions

Automatically notify user of outstanding motions when opinion circulation date is entered.

7.4.7 Support Opinion Comments

Allow authorized user to enter comments about circulating opinions and distribute comments to panel members only.

7.4.8 Indicate Related Opinion Authoring

Permit user to indicate if justice will be authoring dissent, special concurrence, or other special opinion related to circulating opinion.

7.4.9 Track and Record Issued Opinions

When court issues opinion, the CMS must record the date issued, the opinion type (e.g., published opinion, memorandum decision), the court's decision, opinion author, and all dissent and concurrence authors

7.4.10 Link Opinions to Cases

The system must allow an opinion to apply to one or more cases, and a case to have zero to many opinions.

7.4.11 Record Opinion Citations

The system should provide the ability to record one or more citations for each published opinion, and subsequently permit user to retrieve case information by citation number.

7.4.12 Manage Opinion Publication and Distribution

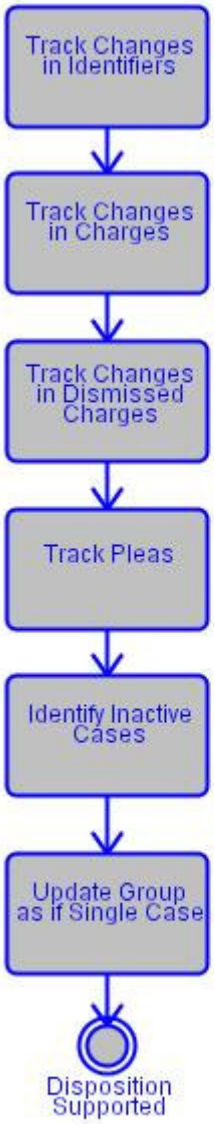
The CMS should provide the ability to implement distribution agreements that the court has with a specific publisher, and manage the process for providing corrections prior to final publication.

Post-Conditions

Post-Condition	Description
Appellate Opinions Managed	The activities associated with managing and tracking appellate opinions are completed.

7.5 Use Case Specification: Disposition Maintenance Support

The disposition maintenance function supports the user in accomplishing the actions required by court orders.



Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

Flow of Events

7.5.1 Track Changes in Identifiers

Coordinate and track changes in case numbers (e.g., for cases transferred to general jurisdiction court), individual identifiers (e.g., across courts, criminal support units, CJ agencies, and non-justice agencies), and other identifiers.

Data Provided: Case Tracking Number (Data Element), Person Identifiers (Component).

7.5.2 Track Changes in Charges

Track changes in modified or amended charges from point of arrest or initial filing through completion of sentence while remaining linked to incident for disposition tracking purposes.

7.5.3 Track Changes in Dismissed Charges

Track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes.

7.5.4 Track Pleas

Track pleas entered and their verdicts.

7.5.5 Identify Inactive Cases

Identify inactive cases to process for disposition according to business rules and groups of cases (e.g., no activity for 6 months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).

7.5.6 Update Group as if Single Case

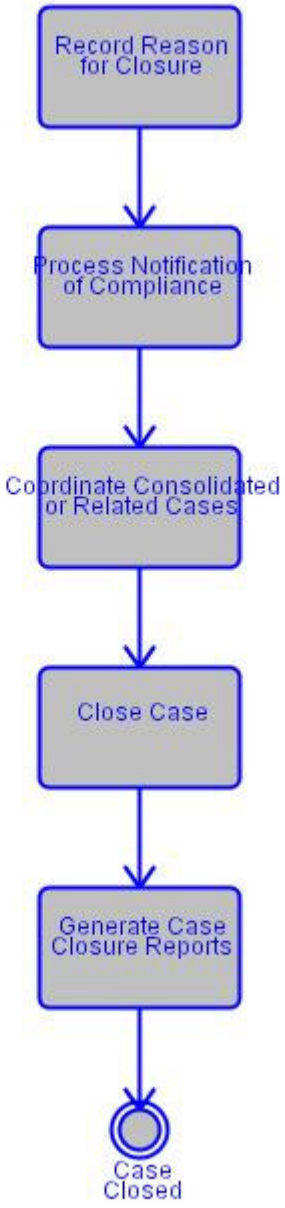
Update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Docketing Function).

Post-Conditions

Post-Condition	Description
Disposition Supported	Disposition has been supported.

7.6 Use Case Specification: Case Closure

This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).



Flow of Events

7.6.1 Record Reason for Closure

Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, mandate issued, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or bail forfeiture) when all locally defined business rule conditions are met.

7.6.1.1 Notes

Detail
[Appellate Note] If a petition or motion for reconsideration or rehearing is filed, the system must record and track the petition/motion and the court's response (e.g., order denying or granting), and interface with other functions if rehearing granted.
[Appellate Note] If a court of last resort (COLR) reviews an intermediate court of appeals (IAC) decision, the IAC system must track and record outcome of the review, interfacing with other functions to reopen or reactivate the case if necessary.

7.6.2 Process Notification of Compliance

Receive and process information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules. Upon docket entry of satisfaction of judgment, determine whether case should be closed according to court business rules.

7.6.2.1 Alternative Flows

Detail
Coordinating consolidated cases would only occur at disposition, not post disposition.

7.6.3 Coordinate Consolidated or Related Cases

Establish or update cross references and adjust identifiers between consolidated or related cases for docketing, scheduling, notice generation, and other functions.

7.6.4 Close Case

Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).

7.6.5 Generate Case Closure Reports

Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance or community work service hours completed).

This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a

single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).

Data Provided: Fine Amount Due (Data Element), Case Closure Reports (Document).

7.6.5.1 Special Requirements

Standard	Description
Performance Standards:Case Closure Reopen Closed Cases	Provide the ability to reopen a previously closed case.

Post-Conditions

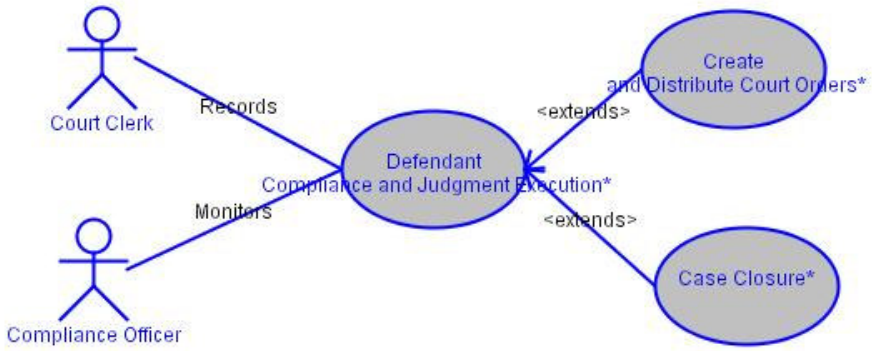
Post-Condition	Description
Case Closed	Case has been closed.

8. Business Function: Post Disposition Compliance and Execution

8.1 Description:

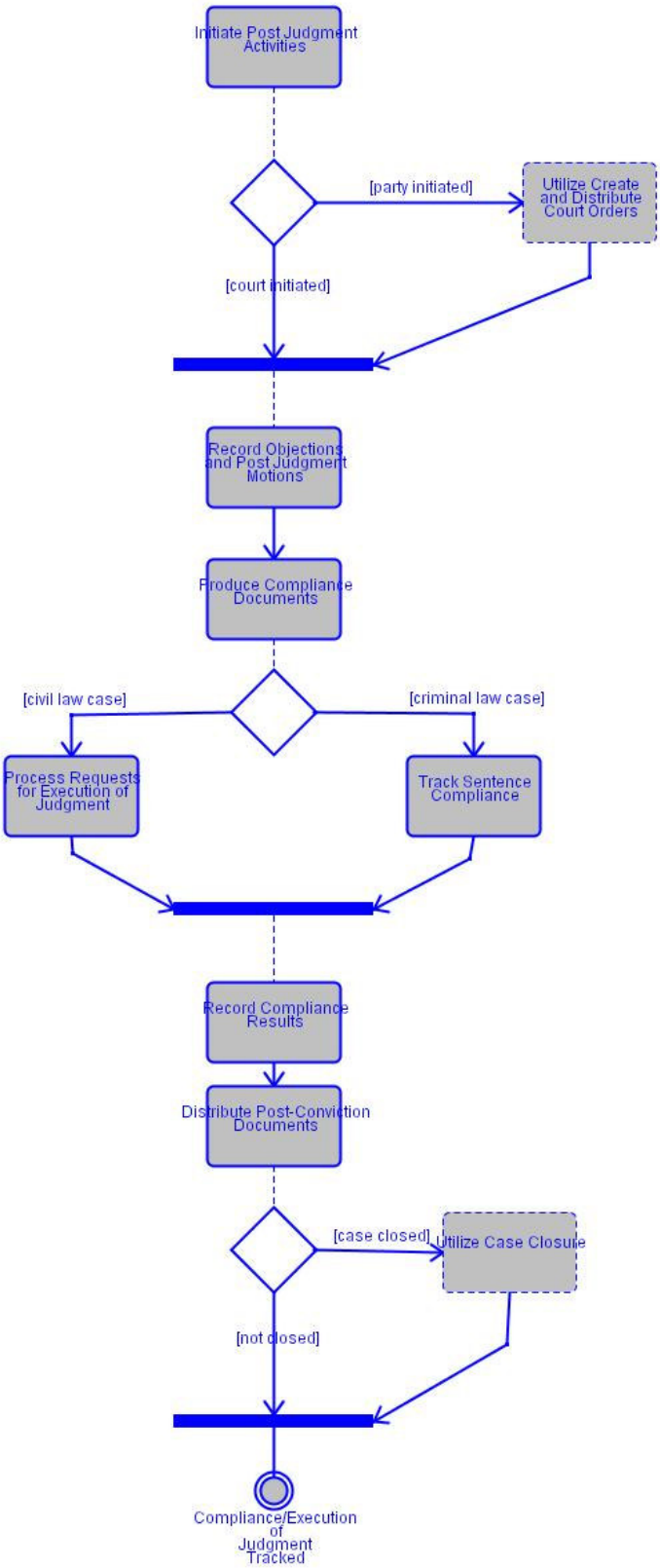
This function supports post-disposition (i.e., post-conviction or post-judgment) activities associated with monitoring compliance with sentence and supervision conditions, terms of a court order for alimony, child support, restitution payments, or other judgments. Criminal courts may track post-conviction activities reactively (e.g., when notified by the adult probation department of non-compliance with supervision terms) or proactively (e.g., when follow-up action has been established for a sentence involving fine payments and/or restitution).

8.2 Use Case Diagram



8.3 Use Case Specification: Defendant Compliance and Judgment Execution

This function supports the post-disposition activities related to compliance with judgment, court orders, sentence, and supervision conditions. These situations normally arise when the court either tracks adherence or is otherwise informed by the unit that administers post-disposition programs (e.g., adult and juvenile probation, child support, or other programs) with which the person has not complied.
This function interacts with the Hearing and Disposition Functions.


Initiate Post Judgment Activities
[party initiated]
Utilize Create and Distribute Court Orders
[court initiated]
Record Objections and Post Judgment Motions
Produce Compliance Documents
[civil law case]
[criminal law case]
Process Requests for Execution of Judgment
Track Sentence Compliance
Record Compliance Results
Distribute Post-Conviction Documents
[case closed]
Utilize Case Closure
[not closed]
Compliance/Execution of Judgment Tracked

Associated Actor	Relationship	Description
Compliance Officer	Monitors	
Court Clerk	Records	

Flow of Events

8.3.1 Initiate Post Judgment Activities

Receive objections to execution by any party or case participant, per rule of court (e.g. 10 days after initial judgement is issued).

8.3.2 Utilize Create and Distribute Court Orders

[If party initiated] This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings. The court orders can be generated in real time or at any time during the life of a case.

8.3.3 Record Objections and Post Judgment Motions

[If court initiated] Objections as well as any additional post judgment motions are recorded.

8.3.4 Produce Compliance Documents

Process information and create documents (e.g., court orders such as revocation of probation, reduction of sentence, writ of execution and abstract of judgment for unpaid assessments) on post-judgment or post-conviction activities (e.g., in response to requests for execution with information on monetary and non-monetary judgments including parties, monetary and non-monetary awards, pertinent dates, assignees, payments, credits, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine); enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Bookkeeping Function).

Data Provided: Post Conviction Document (Document).

8.3.5 Process Requests for Execution of Judgment

[If civil law case] Process requests for execution of judgments and establish cross references for each execution subfunction below to judgment index and judgment screen.

8.3.6 Track Sentence Compliance

[If criminal law case] Track sentence compliance and modifications (see Disposition Function).

8.3.7 Record Compliance Results

Record fully, partially, and non-satisfied executions (e.g. All obligations satisfied).

8.3.7.1 Special Requirements

Standard	Description
Multiple Case Related Data:Execution Update Case Groups	Update each case in group of cases for which execution requested as if group was a single user action (e.g., same judgment terms and execution requirements for each case in group).

8.3.8 Distribute Post-Conviction Documents

Distribute post-conviction documents noted above electronically or manually to external recipients (e.g., law enforcement, driver programs, and corrections) in accordance with state and local statutes, rules, or procedures, and internally to be entered in docket.

8.3.9 Utilize Case Closure

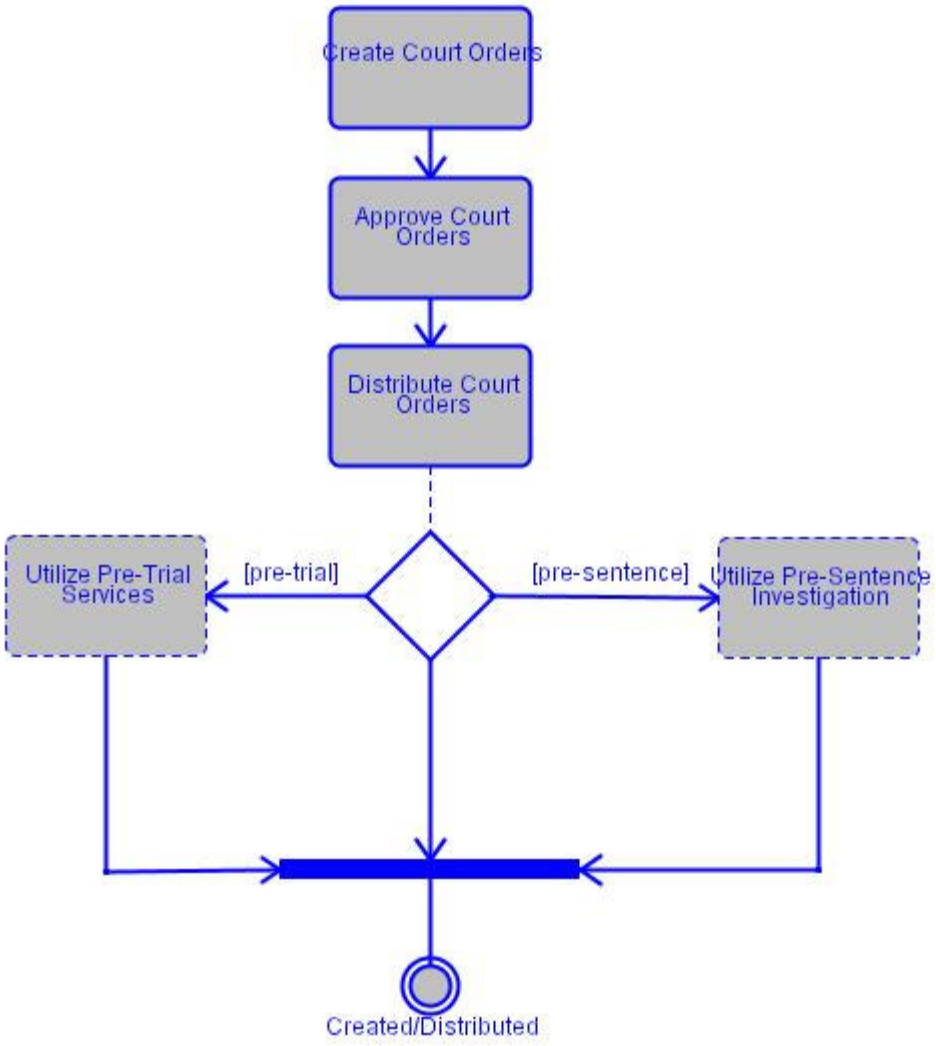
[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).

Post-Conditions

Post-Condition	Description
Compliance/Execution of Judgment Tracked	Compliance and execution of judgment has been tracked.

8.4 Use Case Specification: Create and Distribute Court Orders

This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings. The court orders can be generated in real time or at any time during the life of a case.



Flow of Events

8.4.1 Create Court Orders

Create and display or print (including ability to reprint) court orders (including informal, preliminary, and final orders) resulting from hearings and other judicial proceedings in real-time. Allow user to create orders resulting from out-of-courtroom events to be signed by judge in informal setting.

Data Provided: Court Orders (Document).

8.4.1.1 Alternative Flows

Detail
Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).

8.4.2 Approve Court Orders

Provide the ability for the judge to approve orders electronically as well as manually.

Data Provided: Judge (Section).

8.4.3 Distribute Court Orders

Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket.

Distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available, subject to court business rules.

Data Provided: Address (Component), Email Address (Data Element), Fax Number (Data Element).

8.4.4 Utilize Pre-Trial Services

[If pre-trial] The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).

8.4.5 Utilize Pre-Sentence Investigation

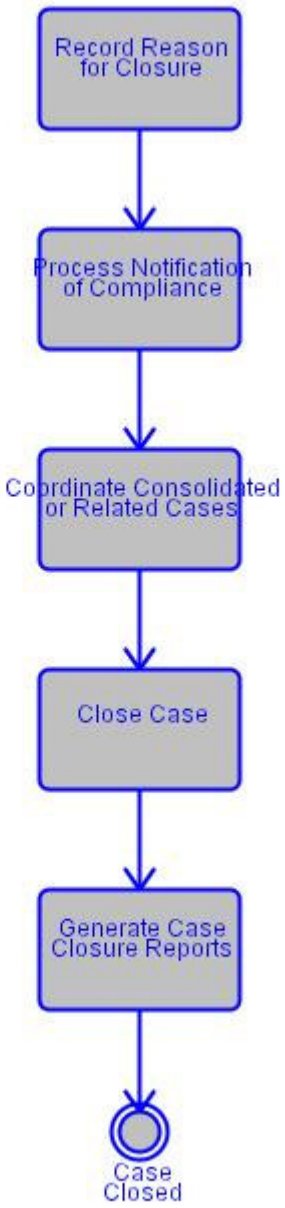
[If pre-sentence] The pre-sentence investigation unit conducts and reports on investigations used by the court to determine sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.

Post-Conditions

Post-Condition	Description
Created/Distributed	Court orders have been created, distributed, and delivery verified.

8.5 Use Case Specification: Case Closure

This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).



Flow of Events

8.5.1 Record Reason for Closure

Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, mandate issued, guilty plea, ADR

such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or bail forfeiture) when all locally defined business rule conditions are met.

8.5.1.1 Notes

Detail
[Appellate Note] If a petition or motion for reconsideration or rehearing is filed, the system must record and track the petition/motion and the court's response (e.g., order denying or granting), and interface with other functions if rehearing granted.
[Appellate Note] If a court of last resort (COLR) reviews an intermediate court of appeals (IAC) decision, the IAC system must track and record outcome of the review, interfacing with other functions to reopen or reactivate the case if necessary.

8.5.2 Process Notification of Compliance

Receive and process information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules. Upon docket entry of satisfaction of judgment, determine whether case should be closed according to court business rules.

8.5.2.1 Alternative Flows

Detail
Coordinating consolidated cases would only occur at disposition, not post disposition.

8.5.3 Coordinate Consolidated or Related Cases

Establish or update cross references and adjust identifiers between consolidated or related cases for docketing, scheduling, notice generation, and other functions.

8.5.4 Close Case

Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).

8.5.5 Generate Case Closure Reports

Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance or community work service hours completed).

This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent

case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).

Data Provided: Fine Amount Due (Data Element), Case Closure Reports (Document).

8.5.5.1 Special Requirements

Standard	Description
Performance Standards:Case Closure Reopen Closed Cases	Provide the ability to reopen a previously closed case.

Post-Conditions

Post-Condition	Description
Case Closed	Case has been closed.

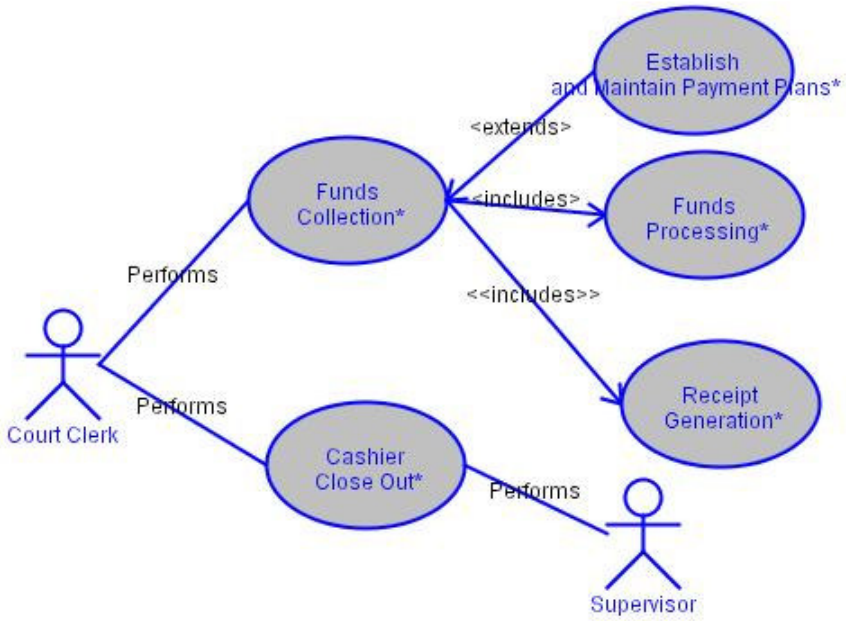
9. Business Function: Receipt Accounting

9.1 Description:

The Accounting/Receipting Function addresses the collection of funds, issuing of receipts, cashier closeout and cashier management. Funds are collected from parties and their representatives who submit payments required by the court. Receipting functions can be performed at the cashiering station of the front counter in the clerk's office if payments are made in person rather than electronically or by mail. These functions relate closely to the Accounting/Bookkeeping Function, which often processes funds collected automatically to accomplish such tasks as funds distribution and account updates.

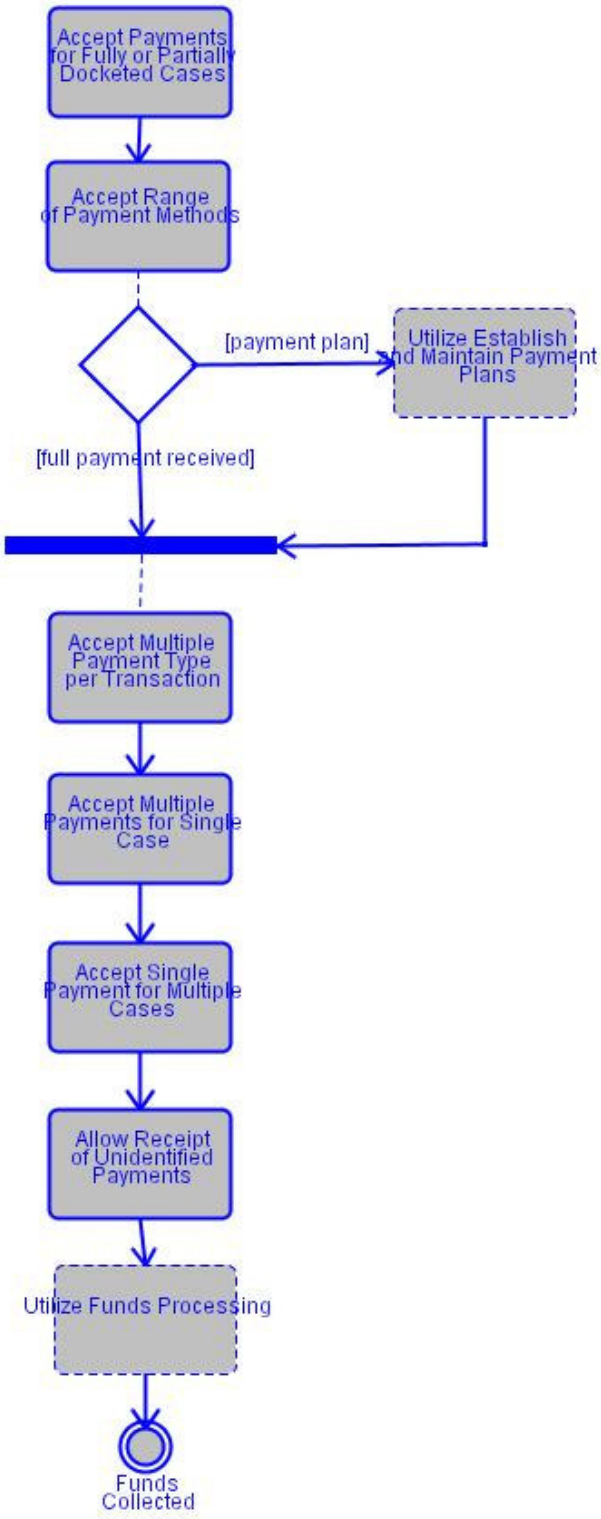
The system should comply with generally accepted accounting principles for state and local governments.

9.2 Use Case Diagram



9.3 Use Case Specification: Funds Collection

Funds Collection addresses the activities associated with accepting payments from parties and their representatives.


Accept Payments for Fully or Partially Docketed Cases
Accept Range of Payment Methods
[payment plan]
Utilize Establish and Maintain Payment Plans
[full payment received]
Accept Multiple Payment Type per Transaction
Accept Multiple Payments for Single Case
Accept Single Payment for Multiple Cases
Allow Receipt of Unidentified Payments
Utilize Funds Processing
Funds Collected

Associated Actor	Relationship	Description
Court Clerk	Performs	

9.3.1 Special Requirements

Special Requirement	Description
Tracking:Status Change	Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).
Tracking:Payment Plans	Provide the capability to track cases and accounts which have been placed on a payment plan.

Flow of Events

9.3.2 Accept Payments for Fully or Partially Docketed Cases

Permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of person submitting payment, date of payment, nature of payment) as precursor to full docket entry. Also includes payment preceeding filing of citation.

Data Provided: Case Tracking Number (Data Element), Case Caption (Data Element).

9.3.3 Accept Range of Payment Methods

Accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, debit card, fine and fee waiver, draw down or escrow amounts, electronic funds transfer).

9.3.3.1 Special Requirements

Standard	Description
Performance Standards:Funds Collection Flexible Attorney Payment Methods	Support a variety of payment methods from attorneys and law firms, such as electronic funds transfer from draw-down or escrow accounts pre-established by attorneys and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses) (see Multi-Function Capabilities and Integration, Accounting -- Bookkeeping Function).
General Accounting:Accounting Principles Overpayment	The system must be able to accept overpayments and calculate change or handle

Standard	Description
	refund checks for mail-in payments.

9.3.4 Utilize Establish and Maintain Payment Plans

[If payment plan] Activities associated with establishing, maintaining, and updating court payment plans.

9.3.5 Accept Multiple Payment Type per Transaction

[If full payment received] Accept multiple types of payments in single transaction (e.g., cash, check).

9.3.6 Accept Multiple Payments for Single Case

Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments.

9.3.7 Accept Single Payment for Multiple Cases

Accept single payment for multiple cases with capability to process separately for each case.

9.3.8 Allow Receipt of Unidentified Payments

Allow the receipting of unidentified payments, and allow the assignment of previously receipted unidentified payments to a specific obligation.

9.3.9 Utilize Funds Processing

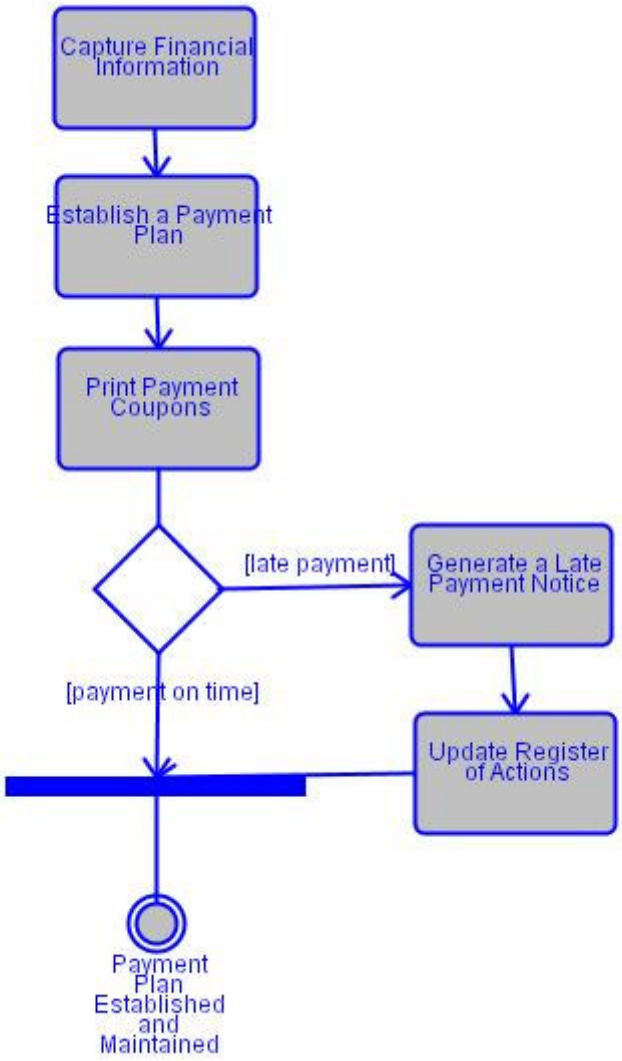
Once funds have been accepted, this subfunction allows for processing and allocation of funds in accordance with subfunctions of Bookkeeping Accounting (Section 10).

Post-Conditions

Post-Condition	Description
Funds Collected	Funds have been collected.

9.4 Use Case Specification: Establish and Maintain Payment Plans

Activities associated with establishing, maintaining, and updating court payment plans.



9.4.1 Special Requirements

Special Requirement	Description
Tracking:Status Change	Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).
Tracking:Payment Plans	Provide the capability to track cases and accounts which have been placed on a payment plan.

Flow of Events

9.4.2 Capture Financial Information

Capture, update, and display financial information (e.g. income, assets, monthly expenses, etc) for the affected party to assist the court in determining a payment plan.

9.4.3 Establish a Payment Plan

Establish a payment plan for one or more cases.

9.4.3.1 Notes

Detail
[Technical Requirement] Provide the ability to establish payment plans with variable terms and amounts.

9.4.4 Print Payment Coupons

Print payment plan remittance identifiers (e.g. coupons).

9.4.5 Generate a Late Payment Notice

[If late payment] Automatically generate a late payment notice according to local business rules.

Data Provided: Payment Notice (Document).

9.4.6 Update Register of Actions

Automatically update the register of actions for each late payment notice generated.

9.4.6.1 Notes

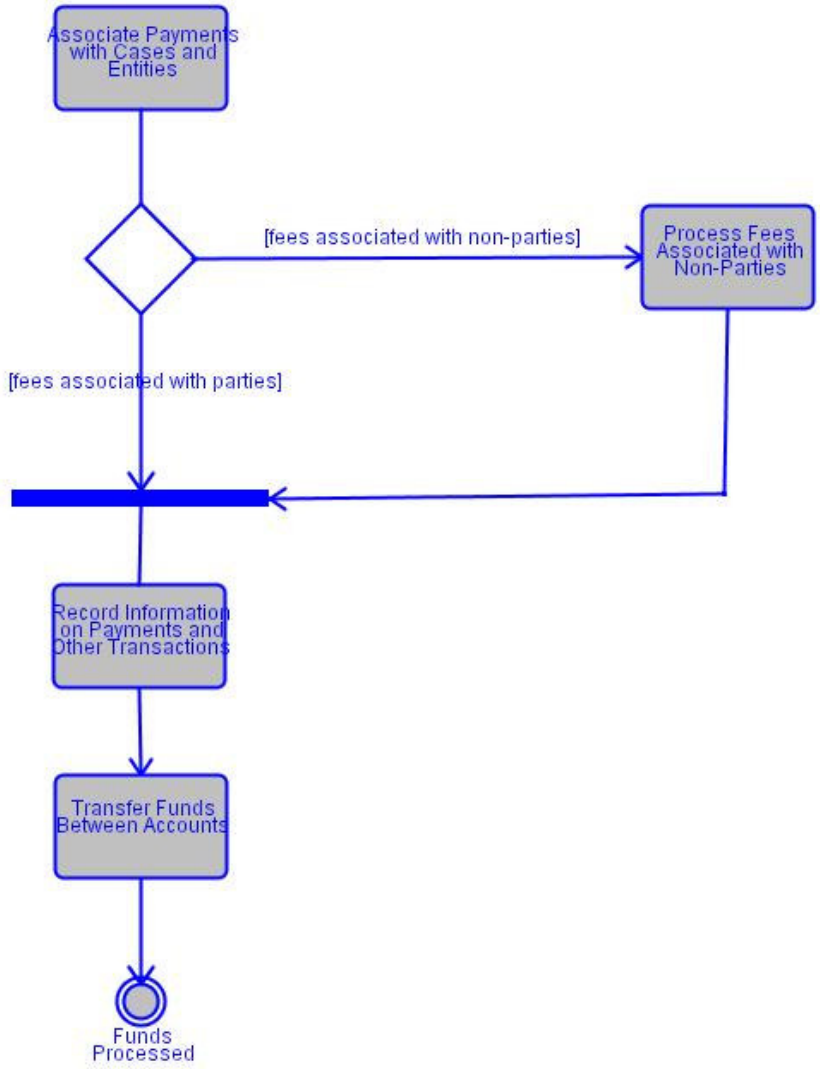
Detail
[Technical Requirement] Provide the ability to remove a case from a payment plan without deleting the payment plan for other cases.
[Technical Requirement] Provide the ability to add a case to an existing payment plan.

Post-Conditions

Post-Condition	Description
Payment Plan Established and Maintained	The payment plan has been established and maintained.

9.5 Use Case Specification: Funds Processing

Once funds have been accepted, this subfunction allows for processing and allocation of funds in accordance with subfunctions of Bookkeeping Accounting (Section 10).



Flow of Events

9.5.1 Associate Payments with Cases and Entities

Associate payment with proper cases and entities when moneys are collected (see Bookkeeping Function).

9.5.1.1 Special Requirements

Standard	Description

Standard	Description
Overrides:Funds Distribution Permit Cashier Override of Funds Distribution	Permit user, with proper authority, to override pre-established funds distribution priorities.

9.5.2 Process Fees Associated with Non-Parties

[If fees associated with non-parties] Properly allocate fees associated with non-parties (e.g., from couriers, media, general draw-down accounts) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case).

9.5.3 Record Information on Payments and Other Transactions

Record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non-case related).

Data Provided: Cash Receipts Journal (Document).

9.5.4 Transfer Funds Between Accounts

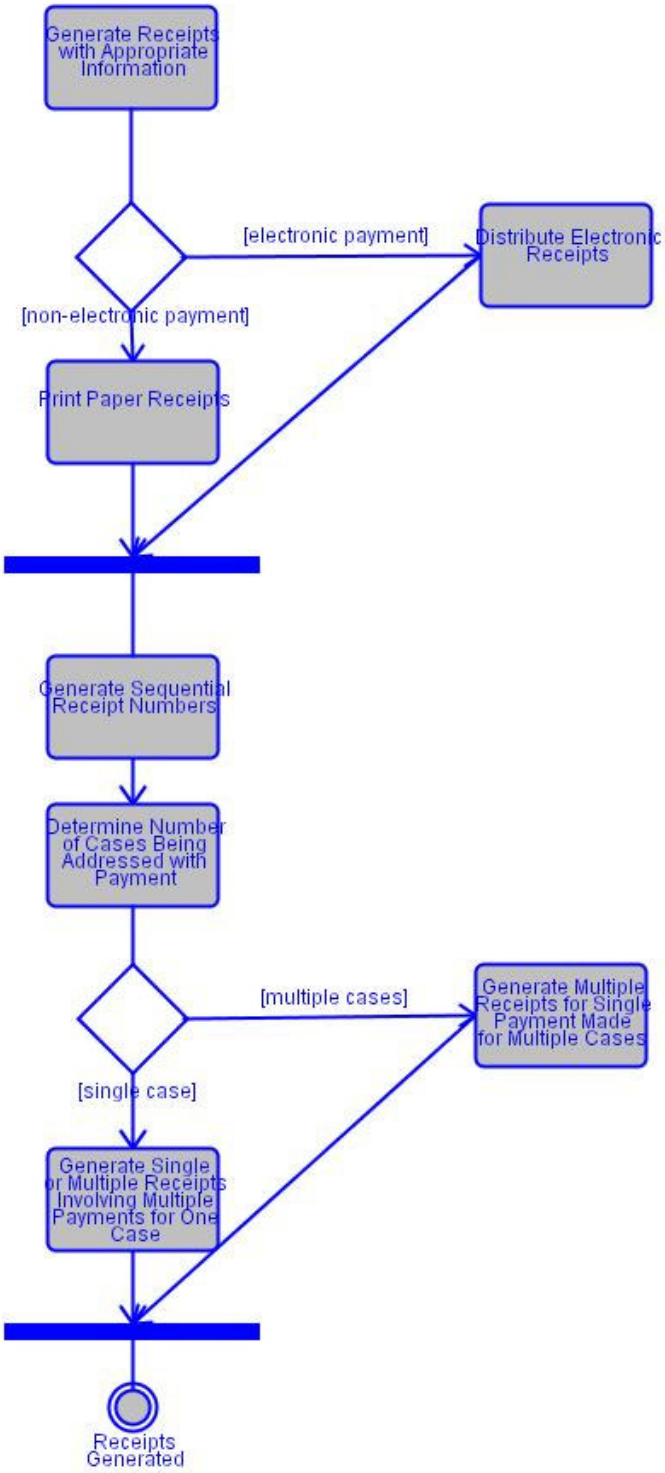
Transfer funds from one case to another case or between accounts in a given case with proper audit trail (see Bookkeeping Accounting Function).

Post-Conditions

Post-Condition	Description
Funds Processed	Funds have been processed.

9.6 Use Case Specification: Receipt Generation

This subfunction includes the activities associated with generating and printing receipts for payments.


Generate Receipts with Appropriate Information
[electronic payment]
Distribute Electronic Receipts
[non-electronic payment]
Print Paper Receipts
Generate Sequential Receipt Numbers
Determine Number of Cases Being Addressed with Payment
[multiple cases]
Generate Multiple Receipts for Single Payment Made for Multiple Cases
[single case]
Generate Single or Multiple Receipts Involving Multiple Payments for One Case
Receipts Generated

Flow of Events

9.6.1 Generate Receipts with Appropriate Information

Generate receipts with proper identifiers (e.g., payee, fee, fine, or restitution code, court location and address) and supporting information (e.g., amount assessed, reason for assessment, amount collected, installment or partial payment plan and status, balance due) based on collections with user option to receive single or multiple copies.

9.6.2 Distribute Electronic Receipts

[If electronic payment] Generate and distribute electronic receipts for electronic payments.

9.6.3 Print Paper Receipts

[If non-electronic payment] Display and print (or reprint) receipts for manual (non-electronic) payments with user option to produce single or multiple copies.

9.6.4 Generate Sequential Receipt Numbers

Generate receipts with unique, locally defined, sequential receipt numbers. Coordinate sequential numbering of electronic receipts and printed receipts according to local business rules.

9.6.5 Determine Number of Cases Being Addressed with Payment

The clerk will make a determination of the number of cases being addressed with the payment; in other words, there may be one payment for one case, but there may be many payments for multiple cases.

9.6.6 Generate Multiple Receipts for Single Payment Made for Multiple Cases

[If multiple cases] Generate and print (or reprint) multiple receipts from one financial transaction covering payment for one or more purposes for multiple cases (e.g., an attorney files and pays various fees for several cases in one trip to courthouse).

9.6.7 Generate Single or Multiple Receipts Involving Multiple Payments for One Case

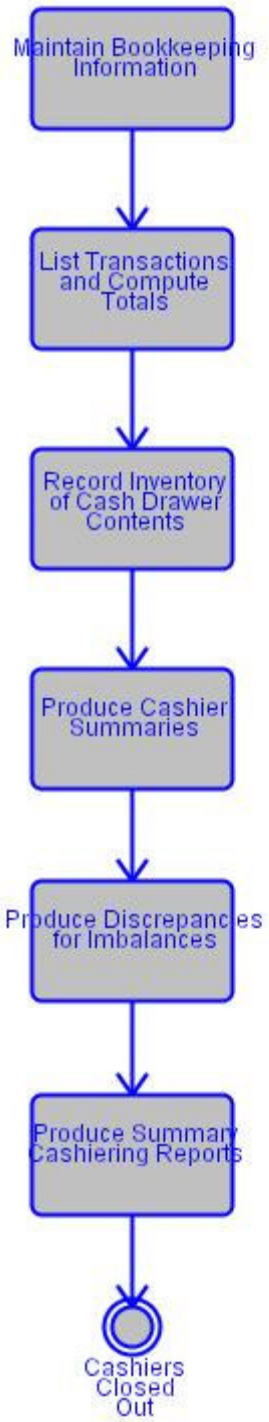
[If single case] Generate and print (or reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse).

Post-Conditions

Post-Condition	Description
Receipts Generated	Receipts have been generated.

9.7 Use Case Specification: Cashier Close Out

This subfunction includes the activities associated with front counter cash drawer balancing, cash management, credit and debit card transactions, and record keeping, primarily involving payments and receipts generated in return for these payments.



Associated Actor	Relationship	Description
Court Clerk	Performs	
Supervisor	Performs	

Flow of Events

9.7.1 Maintain Bookkeeping Information

Maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement).

Data Provided: Receipt Number (Data Element), Case Tracking Number (Data Element).

9.7.2 List Transactions and Compute Totals

List transactions and compute totals and balance for each cash drawer, register, cashier, and fee type.

9.7.2.1 Special Requirements

Standard	Description
Performance Standards:Cashier Management Payment Voiding Before Balancing	Permit payments to be voided and corresponding adjusting entries to be made before daily balancing with proper security provisions (see Security and Data Integrity Function).

9.7.3 Record Inventory of Cash Drawer Contents

List contents of each drawer (e.g., cash, checks, credit and debit card receipts, fee waivers, money orders).

9.7.4 Produce Cashier Summaries

Produce summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see Bookkeeping Function).

9.7.5 Produce Discrepancies for Imbalances

Produce any discrepancies between payments, receipts, and cases (or defendants) over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Bookkeeping Function).

9.7.6 Produce Summary Cashiering Reports

Produce summary reports for each cash drawer, cash register, and cashier (see also Receipt Accounting Function).

Post-Conditions

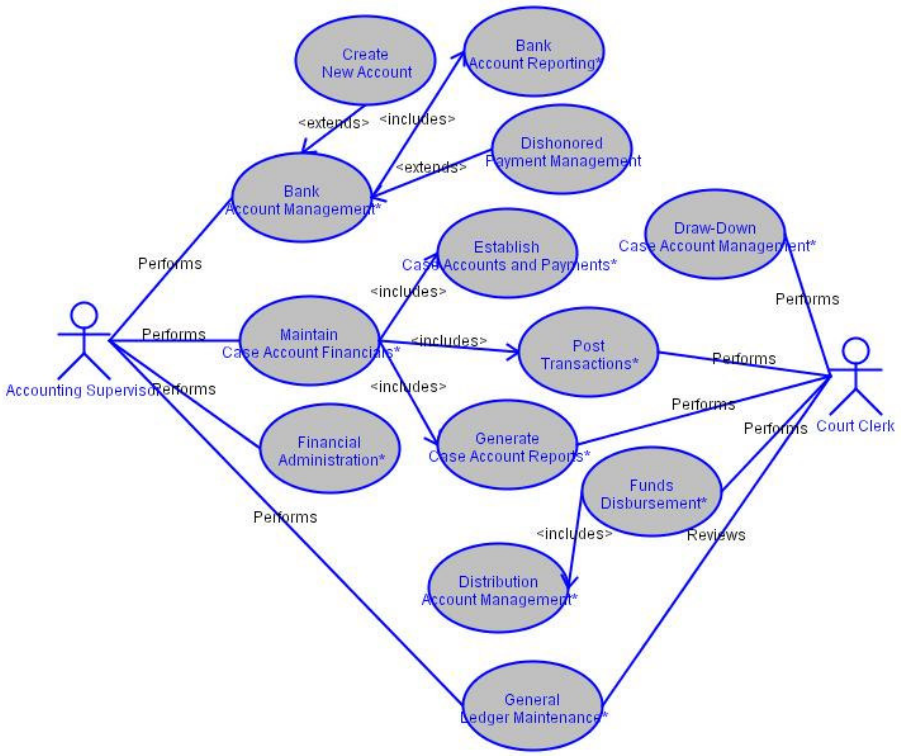
Post-Condition	Description
Cashiers Closed Out	Front counter records have been closed.

10. Business Function: Bookkeeping Accounting

10.1 Description:

Bookkeeping Accounting involves the activities associated with (1) financial management, recordkeeping and reporting functions commonly performed at the end of an accounting period (e.g. daily, weekly, monthly) and (2) ongoing functions. These tasks include maintaining account, case, and person financial records; conducting internal and external funds transfers and other financial transactions; interfacing with receipting activities to exchange account and other financial information; and producing reconciliations, statements, reports, and other documents.

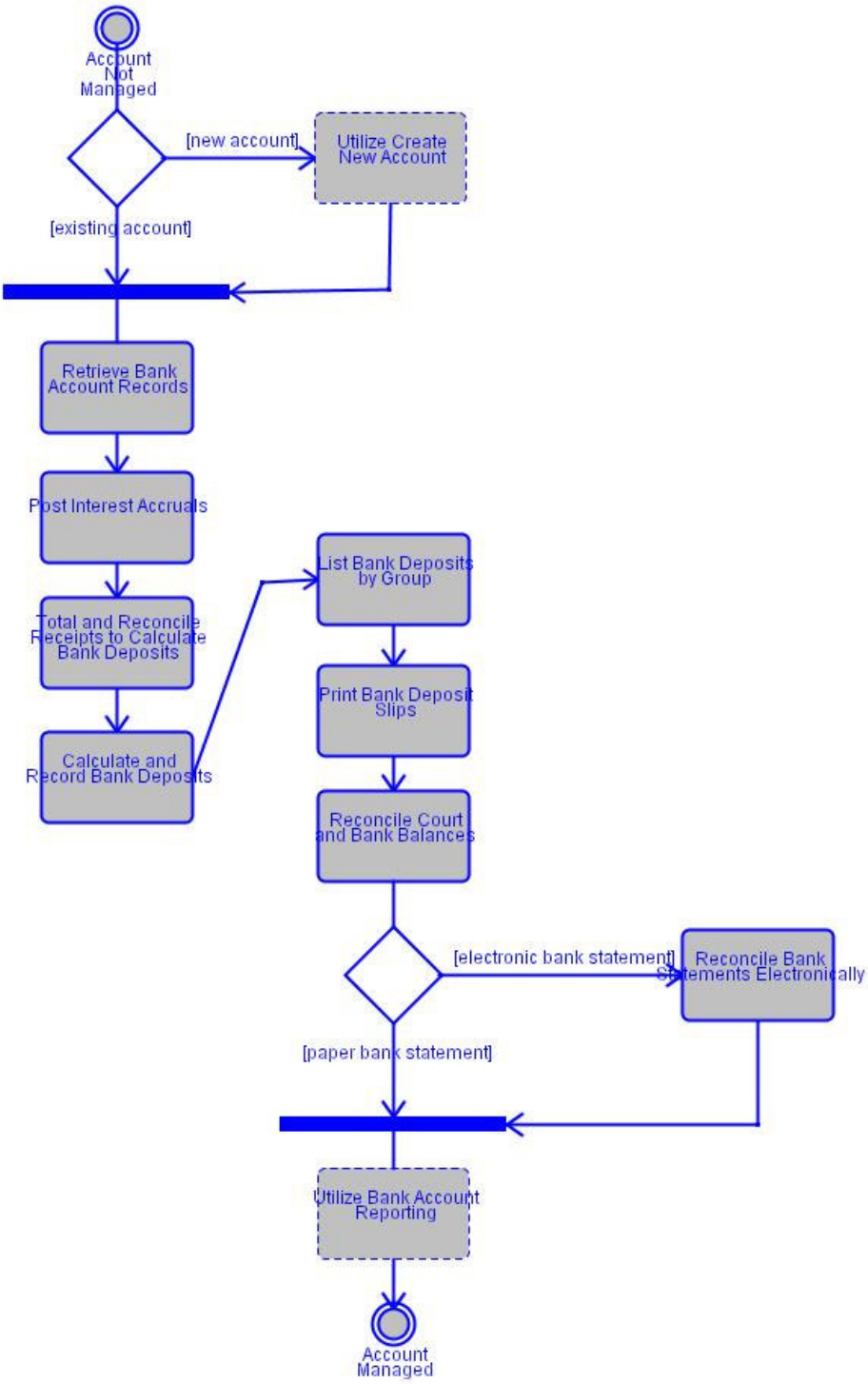
10.2 Use Case Diagram



10.3 Use Case Specification: Bank Account Management

Bank Account Management addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts covered later in this section) and performing ancillary tasks such as accruing interest, reconciling

accounts, and producing journals and reports. These tasks address accruing interest on bank accounts but not within the court accounting system on the case, party, or other funds subsumed in bank accounts. Similarly, these tasks do not address interest on delinquent payments.



Associated Actor	Relationship	Description
Accounting Supervisor	Performs	

10.3.1 Special Requirements

Special Requirement	Description
Performance Standards:Account Structure	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).

Flow of Events

10.3.2 Utilize Create New Account

[If new account] Create a new bank account.

10.3.3 Retrieve Bank Account Records

[If existing account] Retrieve, maintain, and track various types of bank accounts (e.g. interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk).

10.3.4 Post Interest Accruals

Post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts), and associate accruals with proper bank account.

10.3.5 Total and Reconcile Receipts to Calculate Bank Deposits

Total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Receipt Accounting Function).

Data Provided: Cash Receipts Journal (Document).

10.3.5.1 Alternative Flows

Detail
Could be deposited into separate accounts prior to deposit.

10.3.6 Calculate and Record Bank Deposits

Calculate and Record Bank Deposits.

10.3.7 List Bank Deposits by Group

List bank deposits in various groupings (e.g., totals for cash, check, credit and debit card).

10.3.8 Print Bank Deposit Slips

Print (or reprint) bank deposit slips for specific banks and time periods.

Data Provided: Deposit Slips (Document).

10.3.9 Reconcile Court and Bank Balances

For specific periods: compare court record of checks with bank record of checks; create list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; create report giving discrepancies for all reconciliations.

10.3.10 Reconcile Bank Statements Electronically

[If electronic bank statement] Receive bank statements and reconcile bank accounts electronically.

10.3.11 Utilize Bank Account Reporting

[If paper bank statement] Bank Account Reporting refers to the generation of statements and other reports produced from bank account management (e.g. financial transaction lists, deposit list, and open item list).

Pre-Conditions

Pre-Condition	Description
Account Not Managed	Account has not been managed.

Post-Conditions

Post-Condition	Description
Account Managed	Account has been managed.

10.4 Use Case Specification: Create New Account

Create a new bank account.

10.5 Use Case Specification: Bank Account Reporting

Bank Account Reporting refers to the generation of statements and other reports produced from bank account management (e.g. financial transaction lists, deposit list, and open item list).

Flow of Events

10.5.1 Produce Financial Transaction Lists

Produce, for display or print, detailed and summary lists of financial transactions (e.g., receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see also Management Reporting Function).

10.5.2 Print Cash Receipts Journal

Print (or reprint) system-wide daily cash receipts journal.

Data Provided: Cash Receipts Journal (Document).

10.5.3 Produce Open Item List

Produce list of items that remain open for accounts that carry balance forward from one period to next period.

Post-Conditions

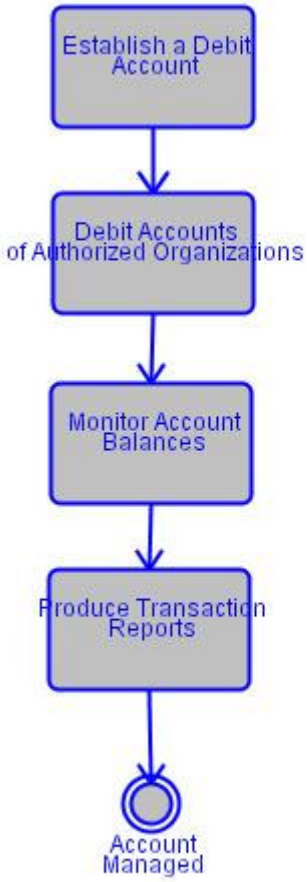
Post-Condition	Description
Reports Produced	Reports have been produced.

10.6 Use Case Specification: Dishonored Payment Management

A process that should include but not be limited to identifying and processing dishonored payments (e.g. NSF checks, credit card payments, counterfeit currency).

10.7 Use Case Specification: Draw-Down Case Account Management

Draw-Down Case Account Management includes the accounting-related activities associated with organizations that have frequent business with the courts. Such organizations include attorneys, law firms, credit reporting agencies, and the media to cover their costs and fees.



Associated Actor	Relationship	Description
Court Clerk	Performs	

10.7.1 Special Requirements

Special Requirement	Description
Performance Standards:Account Structure	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).

Flow of Events

10.7.2 Establish a Debit Account

Establish account against which entities can prepay for future case and non-case services.

10.7.3 Debit Accounts of Authorized Organizations

Debit accounts established by authorized organizations to cover court expenses, and credit organizations' accounts based on electronic funds transfers from their bank accounts, debits from their credit card accounts, and on-line check writing.

10.7.4 Monitor Account Balances

Identify instances when balances in draw-down accounts are low and accounts require additional funds, and send notices.

Data Provided: Transaction Summary (Document).

10.7.4.1 Special Requirements

Standard	Description
Performance Standards:Draw-Down Account Permit Refunds	Allow users to specify that refunds will be credited to draw-down accounts (e.g. pre-paid fees for services not ultimately used).

10.7.5 Produce Transaction Reports

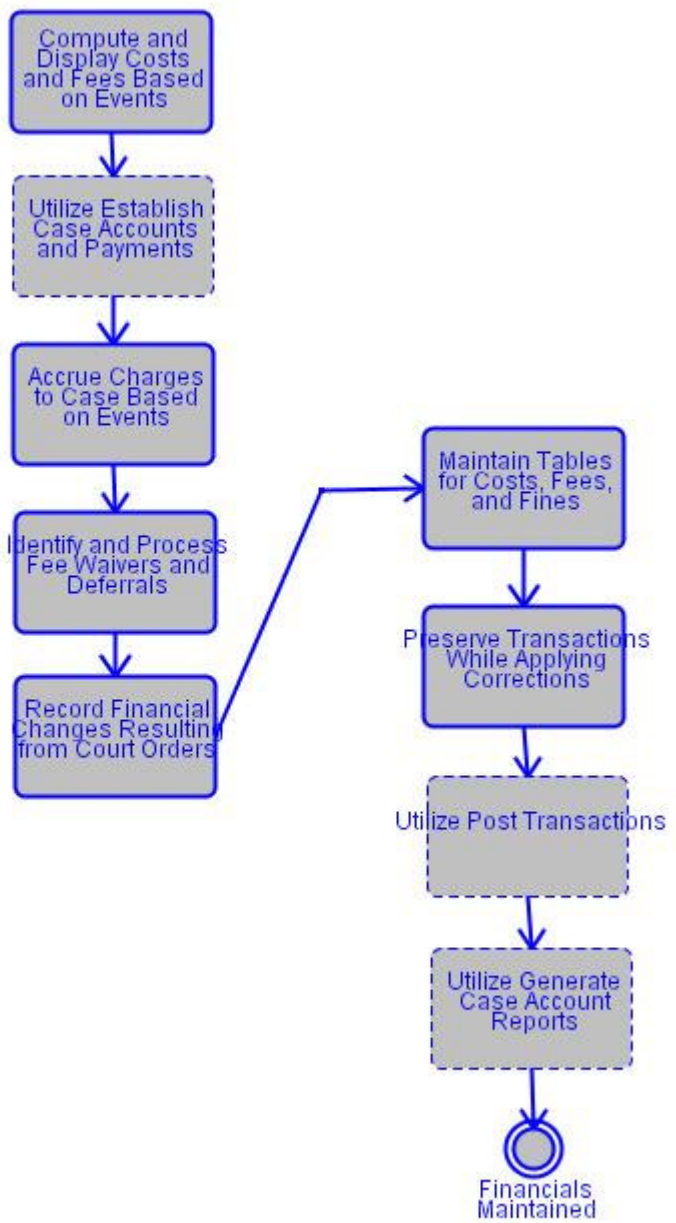
Provide reports showing transactions on draw-down accounts over user-specified period.

Post-Conditions

Post-Condition	Description
Account Managed	Account has been managed.

10.8 Use Case Specification: Maintain Case Account Financials

This function involves maintaining financial transactions and records for case files and dockets (e.g. payments, liabilities with linkage to accounts receivable) (see Section 2, Docketing).



Associated Actor	Relationship	Description
Accounting Supervisor	Performs	

10.8.1 Special Requirements

Special Requirement	Description
Performance Standards:Account Structure	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).

Flow of Events

10.8.2 Compute and Display Costs and Fees Based on Events

Compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing, warrant issuance).

Data Provided: Fine (Component).

10.8.3 Utilize Establish Case Accounts and Payments

This function establishes individual case and party accounts when fees are initially received for cases (e.g. single party account in case with single or multiple parties or multiple party accounts for each case) (see Section 9, Receipt Accounting).

This function may create payment schedules, collect payments, apply payments to scheduled amounts due (e.g. amount in judgment), and produce reports on overdue amounts.

10.8.4 Accrue Charges to Case Based on Events

Accrue charges to case based on occurrence of specific events (e.g., motion filed), apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements.

Data Provided: Fine (Component).

10.8.5 Identify and Process Fee Waivers and Deferrals

Identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review).

Data Provided: Court Orders (Document).

10.8.6 Record Financial Changes Resulting from Court Orders

Record changes to accounting records that result from court orders (e.g., change in monthly restitution or support payment amount) and modify appropriate records.

10.8.6.1 Special Requirements

Standard	Description
Performance Standards:Case Account Management Adjust Receivables per Court Order	Provide capability to adjust receivables when directed by court order (e.g. abatement by death).

10.8.7 Maintain Tables for Costs, Fees, and Fines

Maintain standard tables for court costs, fees, and fines.

10.8.8 Preserve Transactions While Applying Corrections

Apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization.

10.8.9 Utilize Post Transactions

This function provides for posting financial transactions to case accounts.

10.8.10 Utilize Generate Case Account Reports

This subfunction includes generating case account reports including periodic (e.g. daily, weekly, monthly) reports or displaying a showing of financial status, and history (e.g. information on transactions, account balances, discrepancies, adjustments) for each specified case, party, or fund account (see also Section 13, Management Reporting). Other periodic financial reports generated include reports based on various criteria including at minimum account aging, audit trail, and journal reports (Section 13, Management Reporting).

This subfunction also generates and prints invoices, produces correspondence, and generates accounting notices.

Post-Conditions

Post-Condition	Description
Financials Maintained	Financials have been maintained.

10.9 Use Case Specification: Establish Case Accounts and Payments

This function establishes individual case and party accounts when fees are initially received for cases (e.g. single party account in case with single or multiple parties or multiple party accounts for each case) (see Section 9, Receipt Accounting).

This function may create payment schedules, collect payments, apply payments to scheduled amounts due (e.g. amount in judgment), and produce reports on overdue amounts.

Flow of Events

10.9.1 Establish a Case Account

Establish a case account upon first payment of fees or fines.

10.9.2 Maintain and Track Individual Case Accounts and Balances

Maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are court support; most other accounts, such as trusts and most escrow accounts, are financial).

10.9.3 Allow Flexible Payment Methods

Allow payment of costs, fees, and other charges assessed to specific person in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, and pay through).

10.9.4 Identify and Process Arrearages

Identify (i.e., input or compute) and record arrearages, generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency) (see also Scheduling Function).

10.9.5 Share Information with State Agencies to Collect Payments

Share information with state agencies to coordinate collection of court-ordered payments.

10.9.6 Mark Case or Party Account Closed

Mark case or party account closed, or some other designator.

Post-Conditions

Post-Condition	Description
Case Accounts/Payments Established	Case accounts and payments have been established.

10.10 Use Case Specification: Post Transactions

This function provides for posting financial transactions to case accounts.

Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

10.10.1 Post Case Receipts

Post case- or party-related receipts (cash or other tender) to accounting records and docket or register of actions (installment or child support payment receipts usually would not be entered in docket); associate receipts with proper case, party, account, or case activity; interact with receipting to accomplish these tasks (see Docketing Function).

Data Provided: Receipts (Document).

10.10.2 Post Adjustment

Post case related adjustments (e.g. write offs, modifying a fine up or down, and over/short adjustments).

10.10.3 Post and Associate Case-Related Disbursements

Post case- and party-related disbursements to accounting records and docket or register of actions (installment or child support payment disbursements usually would not be entered in docket); associate disbursements with proper case, party, other person (e.g., victim(s)), account, or case activity (see Docketing Function).

10.10.4 Post and Process Installment and Partial Payments

Post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, attorney fees) garnishments, installment payments, and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also Post Disposition Compliance and Execution Function).

10.10.5 Record Funds Received from Other Agencies for Specific Case

Record and track funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g. tax intercept, wage garnishment, and fees from another jurisdiction for service by a law enforcement officer).

Post-Conditions

Post-Condition	Description
Transactions Posted	Transactions have been posted.

10.11 Use Case Specification: Generate Case Account Reports

This subfunction includes generating case account reports including periodic (e.g. daily, weekly, monthly) reports or displaying a showing of financial status, and history (e.g. information on transactions, account balances, discrepancies, adjustments) for each specified case, party, or fund account (see also Section 13, Management Reporting). Other periodic financial reports generated include reports based on various criteria including at minimum account aging, audit trail, and journal reports (Section 13, Management Reporting).

This subfunction also generates and prints invoices,
produces correspondence, and generates accounting notices.

Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

10.11.1 Produce Transaction Lists

Produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and parties over specific periods (e.g., daily, monthly, for life of case).

10.11.2 Generate Invoices

Generate and print (or reprint) invoices for and document collection of all moneys (e.g., fees for re-service of process, final cost bill following judgment).

Data Provided: Invoice (Document).

10.11.3 Produce Payment Notices and Other Correspondence

Produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Creation and Tracking Function).

10.11.4 Generate Accounting Notices

Generate accounting notices (e.g., for payment, overdue payment) in receipting or bookkeeping (see Document Creation and Tracking Function).

10.11.5 Generate Trial Balance Report

Generate trial balance reports over a specific period.

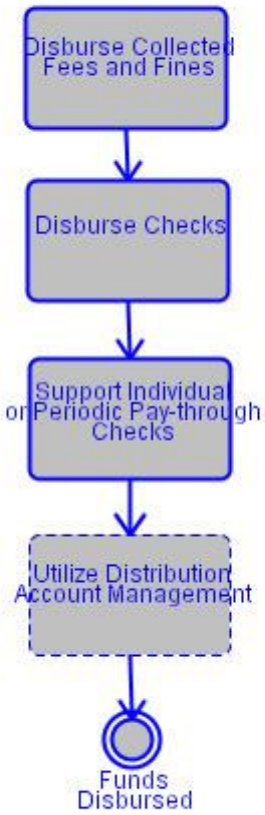
Data Provided: Financial Reports (Document).

Post-Conditions

Post-Condition	Description
Reports Generated	Reports have been generated.

10.12 Use Case Specification: Funds Disbursement

This subfunction provides the activities associated with distributing funds among accounts, sharing financial information with other governmental and private entities (e.g. banks, collection agencies), and processing disbursements (e.g. to law enforcement, state and local treasurers, and other recipients).



Associated Actor	Relationship	Description
Court Clerk	Performs	

10.12.1 Notes

Detail
[Technical Requirement] Have the ability to disburse funds electronically or by check to recipient bank accounts.

10.12.2 Special Requirements

Special Requirement	Description
Performance Standards:Place Hold On Disbursements	Provide ability to place a hold on disbursements of funds deposited for a case.

Flow of Events

10.12.3 Disburse Collected Fees and Fines

Disburse collected fees and fines electronically or manually according to a predefined formula (statute, rule, or court order) either periodically (e.g., monthly) or when fees or fines are collected in conjunction with Receipting Function (see Receipt Accounting Section 9); also to include other units (e.g., appellate court for appealed cases).

10.12.4 Disburse Checks

Initiate, print, and disburse checks periodically or on demand, individually or cumulatively over specific periods (e.g. for filing fees collected in error).

10.12.4.1 Alternative Flows

Detail
Initiate, print, and disburse sequentially numbered checks.

10.12.5 Support Individual or Periodic Pay-through Checks

Provide capability to issue checks for pay-through activities individually (e.g., when collected) or periodically (e.g., monthly) based on accumulated payments.

10.12.6 Utilize Distribution Account Management

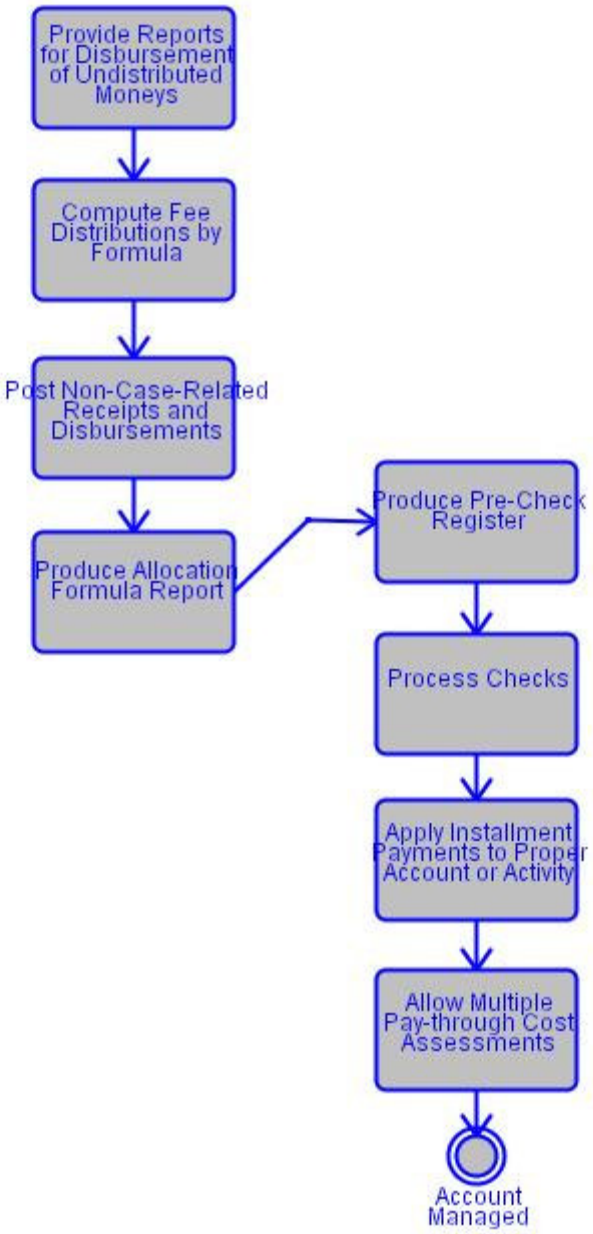
Distribution Account Management includes managing the distribution account by posting receipts, computing fees, initiate, print, and disburse checks or electronic funds transfers, produce a pre-check register, and apply payments to proper account or activity.

Post-Conditions

Post-Condition	Description
Funds Disbursed	Funds have been disbursed.

10.13 Use Case Specification: Distribution Account Management

Distribution Account Management includes managing the distribution account by posting receipts, computing fees, initiate, print, and disburse checks or electronic funds transfers, produce a pre-check register, and apply payments to proper account or activity.



Flow of Events

10.13.1 Provide Reports for Disbursement of Undistributed Moneys

Provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court, jury fees posted for settled cases), update ledgers, and produce reports (e.g., for each check not cleared over specific period).

10.13.2 Compute Fee Distributions by Formula

Compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, and other purposes).

10.13.2.1 Special Requirements

Standard	Description
Overrides:Distribution Formula Permit Distribution Formula Override	Permit distribution formula override by appropriate authority.

10.13.3 Post Non-Case-Related Receipts and Disbursements

Post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account.

Data Provided: Receipts (Document).

10.13.4 Produce Allocation Formula Report

Produce report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation.

10.13.5 Produce Pre-Check Register

Produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period.

Data Provided: Checks (Document).

10.13.6 Process Checks

Initiate, print, and disburse checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions.

10.13.7 Apply Installment Payments to Proper Account or Activity

Apply installment payments to proper account or activity and display balance (e.g., to fees or to owed restitution, support, or alimony).

10.13.8 Allow Multiple Pay-through Cost Assessments

Allow multiple pay-through cost assessments to be specified for each case.

Post-Conditions

Post-Condition	Description
Account Managed	Account has been managed.

10.14 Use Case Specification: Financial Administration

This subfunction includes the activities associated with generating the various listings and reports that document and coordinate financial activities (e.g., transactions, reconciliations, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually) in accordance with generally accepted accounting principles.

In addition, the CMS must provide comprehensive report generation capabilities to permit users to produce additional reports easily on an ad hoc basis.

Associated Actor	Relationship	Description
Accounting Supervisor	Performs	

Flow of Events

10.14.1 Produce Case-Based Financial Reports

For specific periods, produce separate reports showing for all or selected cases: (1) cases and defendants for which payments (e.g., fees, fines, restitution) collected, no payments collected, fees waived, no payments due; (2) all adjustments to accounts; and (3) accounts receivable or payable for each case or defendant.

10.14.2 Produce Report of Fines and Fees Waived

Produce report containing information on fines and fees waived, and associated payments.

10.14.2.1 Special Requirements

Standard	Description
Performance Standards:Financial Administrative User-Selected Financial Transactions Lists	Produce lists arranged according to user-selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, party).
Performance Standards:Financial Administrative User Privileges Schema	Provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see Security and Data Integrity Function).

10.14.3 Generate Pay File

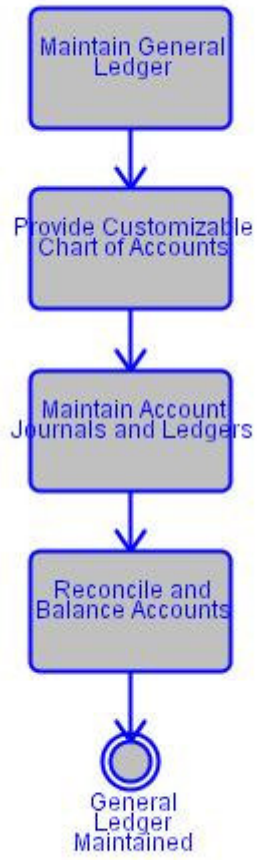
Generate pay file of check numbers and amounts and send to bank.

Post-Conditions

Post-Condition	Description
Reports Generated	Reports have been generated.

10.15 Use Case Specification: General Ledger Maintenance

General Ledger Maintenance includes the activities associated with creating and maintaining the general ledger, subsidiary ledgers, and journals; maintaining a chart of accounts; and reconciling and balancing accounts.



Associated Actor	Relationship	Description
Accounting Supervisor	Performs	
Court Clerk	Reviews	

Flow of Events

10.15.1 Maintain General Ledger

Maintain general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.

10.15.2 Provide Customizable Chart of Accounts

Create and maintain system-defined and user-customized chart of accounts.

Data Provided: Chart of Accounts (Document).

10.15.3 Maintain Account Journals and Ledgers

Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries.

Data Provided: General Ledger (Document).

10.15.4 Reconcile and Balance Accounts

Reconcile and balance all accounts.

Post-Conditions

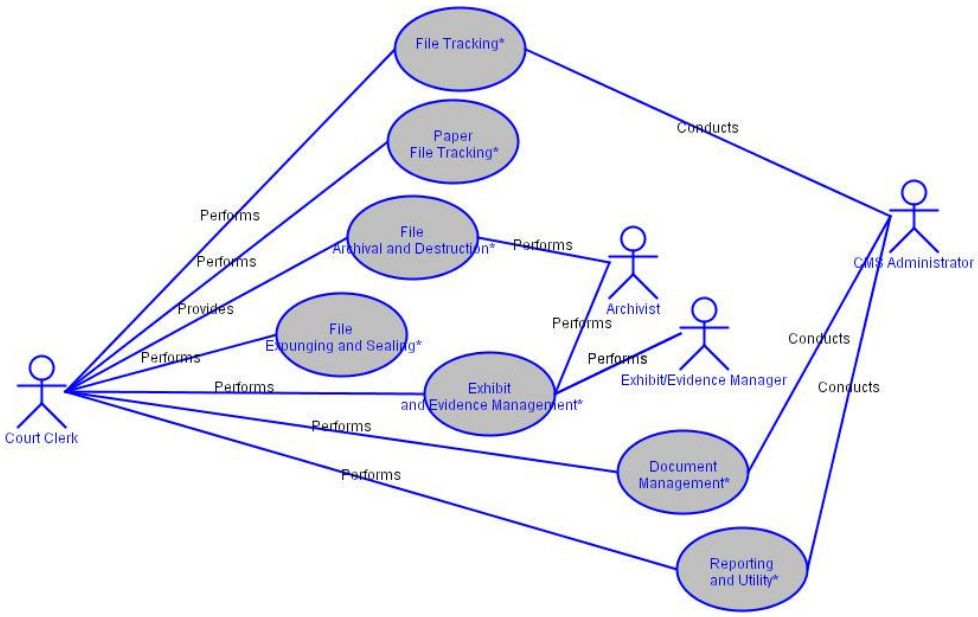
Post-Condition	Description
General Ledger Maintained	General ledger has been maintained.

11. Business Function: Records Management

11.1 Description:

Records Management describes the activities associated with (1) receiving, creating, storing, managing, tracking, archiving, and disposing of manual, electronic, and imaged case files and other documents; and (2) receiving, tracking, and returning or destroying exhibits and other property gathered by the court (but not fixed assets and similar property of the court). Some courts may only have electronic files and manual files may not apply.

11.2 Use Case Diagram



11.3 Use Case Specification: File Tracking

Files must be managed and tracked. Activities associated with file tracking include: using general indicators to indicate restricted-access files, maintaining location and archival status of files, flagging the electronic file when the hard-copy file cannot be found (e.g. file is lost, recreated, destroyed).

Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

Flow of Events

11.3.1 Generate Indicators for Files

Generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations).

11.3.2 Maintain Tracking Information About Destroyed Files

Maintain status, last location, and history of destroyed files.

11.3.3 Flag Electronic Version When Manual File Lost

Flag electronic file when corresponding hard-copy file is reported lost, and display alert to electronic record user.

Post-Conditions

Post-Condition	Description
Files Tracked	Files have been tracked.

11.4 Use Case Specification: Paper File Tracking

Court staff must know the case file location at all times during the case life cycle, from the time they are checked out of clerk's office, through each borrower (including those external to courts such as prosecutor and domestic relations service providers) until returned to the clerk's office relative to location, borrower identifier and other information, file volume number and total number of volumes, date removed, reason file needed, date returned or transferred, and other data. The case records must be categorized, stored as active, inactive, and archived as they progress through their life cycle and tracked until they are destroyed in accordance with local and state rules governing records management.

Associated Actor	Relationship	Description
Court Clerk	Performs	Some courts may only have electronic filing.

Flow of Events

11.4.1 Generate Case File Labels

Generate labels for paper case files, with the capability of including barcodes (see also Case Initiation and Indexing Function).

11.4.2 Generate Indicators for Paper Files

Generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., police reports, juvenile or domestic relations interview notes, psychological profiles) and to provide information on placeholders for checked-out paper files.

11.4.3 Maintain Audit Trail

Maintain and print or display audit trail of each case file location with information similar to that noted above for file tracking, in addition to length of time file checked out (see also Docketing Function).

11.4.4 Maintain Location for Archived Files

Maintain location (e.g. storage facility, location in facility, disc or reel number, and location on reel) for archived files.

Data Provided: Location Description (Data Element).

11.4.5 Maintain Tracking Information About Destroyed Files

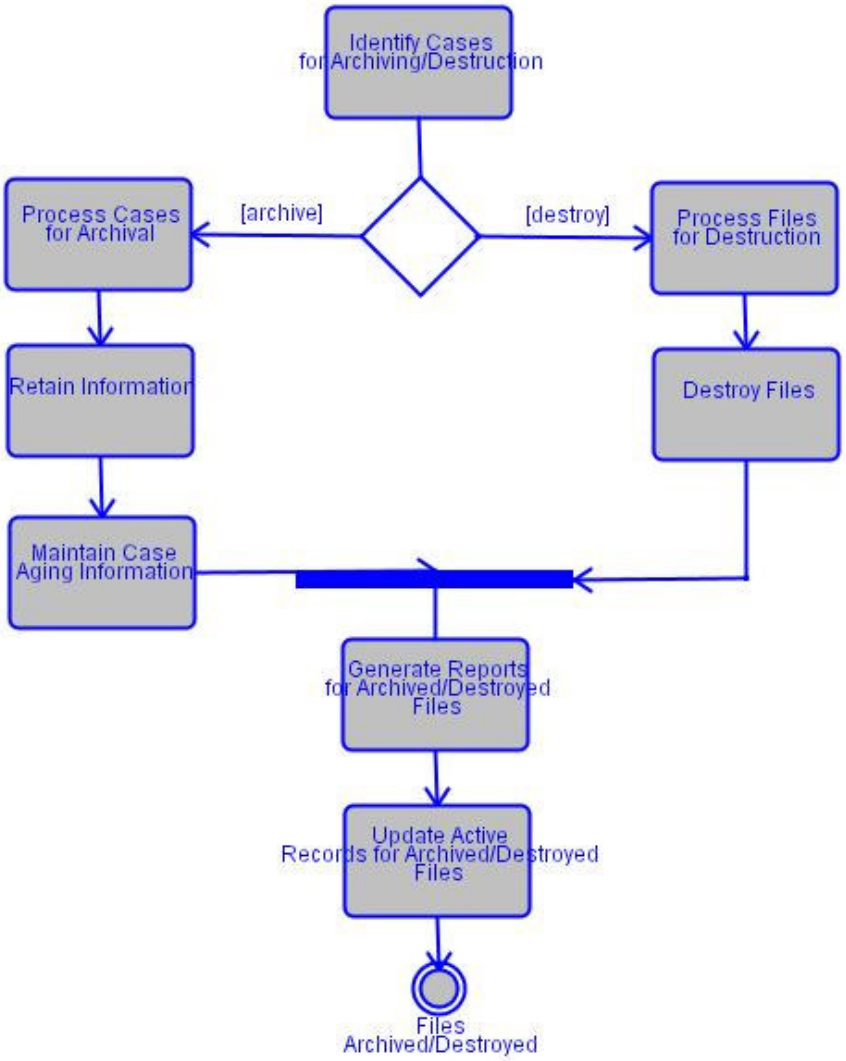
Maintain status, last location, and history of destroyed files.

Post-Conditions

Post-Condition	Description
Paper Files Tracked	Manual files have been tracked.

11.5 Use Case Specification: File Archival and Destruction

Manual and electronic case files pass from active to inactive status and eventually they may be archived and ultimately destroyed in accordance with local and state rules for record retention. While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary.



Associated Actor	Relationship	Description
Archivist	Performs	
Court Clerk	Provides	

11.5.1 Special Requirements

Special Requirement	Description
Overrides:Archival and Destruction	Permit override of system-supplied data (e.g., archival, destruction, and transfer dates) with supervisor approval.

Flow of Events

11.5.2 Identify Cases for Archiving/Destruction

Identify cases to be archived or destroyed.

11.5.3 Process Cases for Archival

[If archive] Process files according to local and state rules for becoming archived, or transferred to storage facility to be retained permanently.

11.5.3.1 Special Requirements

Standard	Description
Security:Archived Files Restoring Files	Permit access to inactive and archived files and documents for information and to restore to active status (see reopened cases in Case Initiation and Indexing Function).

11.5.4 Retain Information

Identify and retain summary information (e.g., indexes, key elements of case history from inactive, archived, destroyed, or purged case or party files), in accordance with local rules, as needed for references to the archived, destroyed, or purged case or for related cases or parties that remain active (see Docketing Function).

11.5.5 Maintain Case Aging Information

Automatically suspend and resume aging of cases for storage and retention.

11.5.6 Process Files for Destruction

[If destroy] Process files according to local and state rules for file destruction.

11.5.7 Destroy Files

Physically destroy manual files or delete electronic files.

11.5.8 Generate Reports for Archived/Destroyed Files

Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been archived and destroyed or transferred.

11.5.9 Update Active Records for Archived/Destroyed Files

Interface with the Docketing Function to update records of cases or parties related to cases transferred to inactive, archived, destroyed, or purged status. Conversely, when a

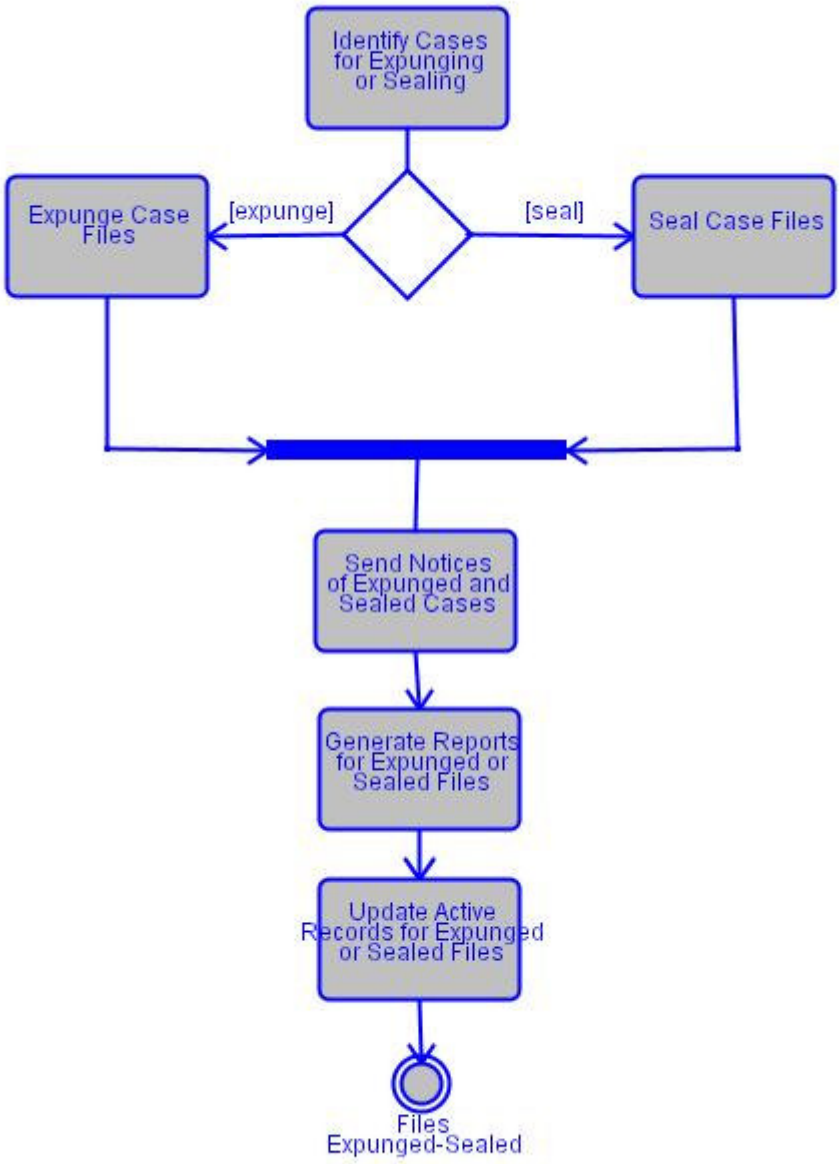
file is being archived/destroyed, the system must retain all associated information if the information is being used in another case file. In other words, the CMS index is not affected and retains limited docket information, as dictated by court rules and procedures.

Post-Conditions

Post-Condition	Description
Files Archived/Destroyed	Files have been archived or destroyed.

11.6 Use Case Specification: File Expunging and Sealing

Some files may need to be expunged or sealed. Depending on state statutes or rules, when a file, manual or electronic, is ordered expunged, that file may need to be rendered unrecoverable and completely unreadable, including all back-up or archived copies.



Associated Actor	Relationship	Description
Court Clerk	Performs	

Flow of Events

11.6.1 Identify Cases for Expunging or Sealing

Identify cases to be expunged or sealed.

11.6.1.1 Notes

Detail
[Technical Requirement] The system must allow a user with proper authorization to update a sealed case whle maintaining its sealed status.

11.6.2 Expunge Case Files

[If expunge] Expunge files, when ordered by the court, in accordance with state and local statutes and rules regarding destruction and unrecoverability.

11.6.3 Seal Case Files

[If seal] Seal files when ordered by the court, as defined by state and local rules.

11.6.4 Send Notices of Expunged and Sealed Cases

Send notice of expungements, sealed cases, and special access information to all appropriate agencies.

11.6.5 Generate Reports for Expunged or Sealed Files

Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been expunged or sealed.

11.6.6 Update Active Records for Expunged or Sealed Files

Interface with the Docketing Function to update records of cases or parties related to cases transferred to expunged or sealed status.

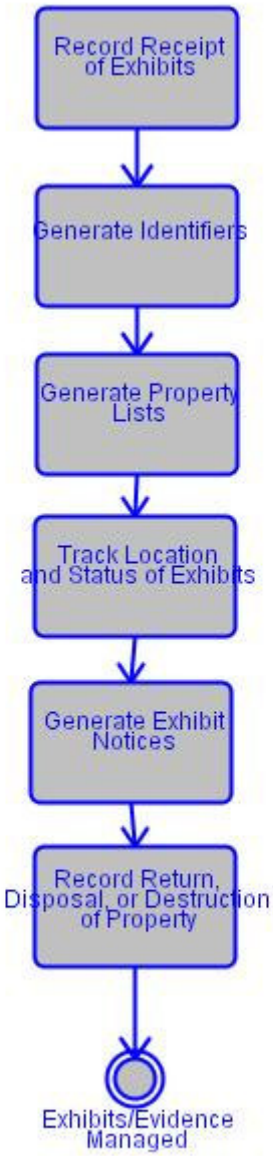
Data Provided: Expunged or Sealed Files Report (Document).

Post-Conditions

Post-Condition	Description
Files Expunged-Sealed	Files have been expunged or sealed.

11.7 Use Case Specification: Exhibit and Evidence Management

This subfunction provides for the identification of exhibits, and evidence received and tracked by the court. Exhibit and Evidence Management must provide the ability to associate this information with specific cases.



Associated Actor	Relationship	Description
Exhibit/Evidence Manager	Performs	
Exhibit/Evidence Manager	Performs	
Court Clerk	Performs	
Archivist	Performs	

Flow of Events

11.7.1 Record Receipt of Exhibits

Record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence, and location), generate tag for exhibits and other property, relate to specific case, generate receipts.

11.7.2 Generate Identifiers

Generate exhibit and property numbers or other locally defined identifiers.

Data Provided: Property Type (Data Element).

11.7.2.1 Notes

Detail
[Notes] The system must provide the ability to flag or identify exhibits as sealed or confidential.

11.7.3 Generate Property Lists

Print or display lists of exhibits and other property according to case, party, and other parameters.

11.7.4 Track Location and Status of Exhibits

Track location and status of exhibits and other property.

11.7.5 Generate Exhibit Notices

Generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see Document Creation and Tracking Function).

Data Provided: Exhibit Notices (Document).

11.7.6 Record Return, Disposal, or Destruction of Property

Record return, disposal, or destruction of exhibits and other property.

Post-Conditions

Post-Condition	Description
Exhibits/Evidence Managed	Exhibits and evidence have been managed.

11.8 Use Case Specification: Document Management

This subfunction addresses document management capabilities for electronic and imaged documents (these standards do not assume that the court has an imaging capability). The electronic documents may include anything that would exist in a manual file.

Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

11.8.1 Special Requirements

Special Requirement	Description
Document Management:Direct Document Retrieval	Provide retrieval of specific document directly from other parts of system (e.g., docket) without intermediate steps (e.g., without scrolling through document list to select given

Special Requirement	Description
	document).
Document Management:Input, Output, Storage, and Select Retrieval	Support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range).
Document Management:Manipulation and Maintenance	Support manipulation and maintenance of electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see also Document Generation and Processing Function).

Flow of Events

11.8.2 Provide Electronic Document Viewing

Provide capability to control electronic document viewing such as toggling between views of several different documents and document resizing.

11.8.3 Interface with Separate Document Management System

Provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities.

11.8.4 Use Same Document Management System for Imaging

Provide capability to use same document management system for imaging if imaging is included in overall case processing.

11.8.5 Provide Document Management Security

Provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Configuration Maintenance, Security and Integrity Function). Access to case images should be controlled through the case management system.

11.8.6 Store and Output Documents Maintained in the System

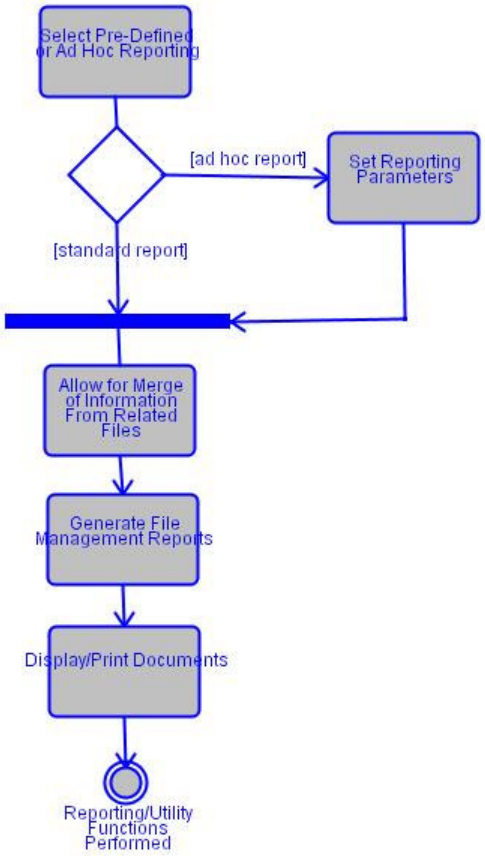
Once a document has been produced, the system should provide the ability to save, store, retrieve, and output, in its original form, any document maintained in the system without requiring the data to be regenerated. Documents should be stored in a secure format consistent with court rules and procedures.

Post-Conditions

Post-Condition	Description
Documents Managed	Documents have been managed.

11.9 Use Case Specification: Reporting and Utility

Case processing systems must perform various reporting and utility functions as part of file management. Examples include: generating file management and tracking reports, generating file labels, sort outputs, and copy historical case or party data to secondary file.



Associated Actor	Relationship	Description
Court Clerk	Performs	
CMS Administrator	Conducts	

Flow of Events

11.9.1 Select Pre-Defined or Ad Hoc Reporting

Permit user to choose either the pre-defined system reports or ad hoc report generation.

11.9.2 Allow for Merge of Information From Related Files

[If standard report] Allow for reports to merge information from related files (e.g., files containing information on same party).

11.9.3 Set Reporting Parameters

[If ad hoc report] Set user-defined reporting parameters.

11.9.4 Generate File Management Reports

Generate reports on file management activities including lists of active, inactive, archived, merged, and purged files (e.g., to assist in annual file inventory).

11.9.4.1 Notes

Detail
[Technical Requirement] Display information on system and equipment (e.g., printer) malfunctions if information available.

11.9.5 Display/Print Documents

Display any printed output, print any screen display, and print any document individually or in a group, when scheduled or on request.

Post-Conditions

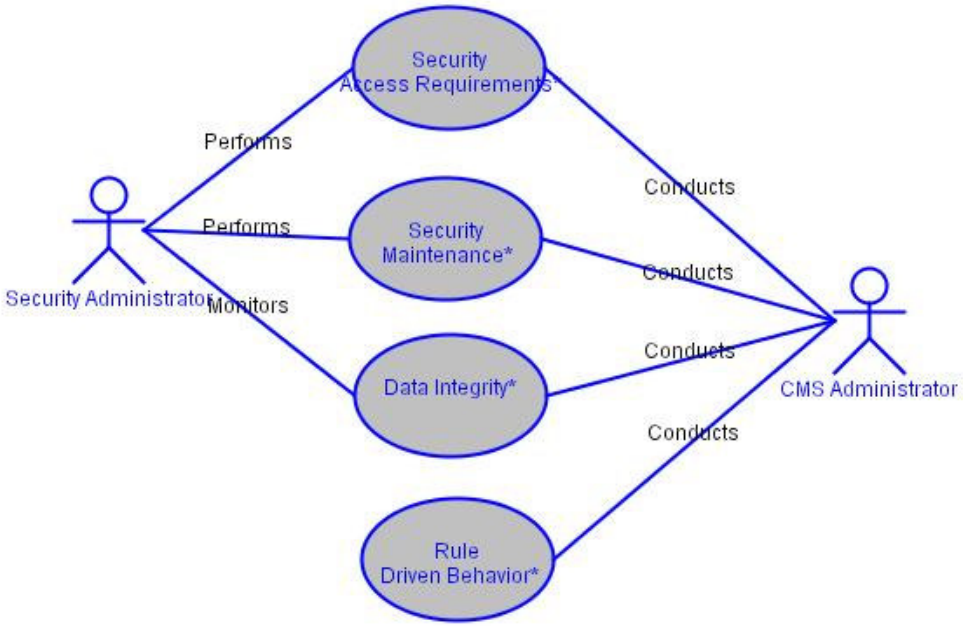
Post-Condition	Description
Reporting/Utility Functions Performed	Reports have been made and utility functions performed.

12. Business Function: Configuration Maintenance, Security, and Integrity

12.1 Description:

This function provides for the activities associated with ensuring the security and integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. This is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software. This function also deals with the rule-driven behavior capabilities associated with the code translation tables.

12.2 Use Case Diagram

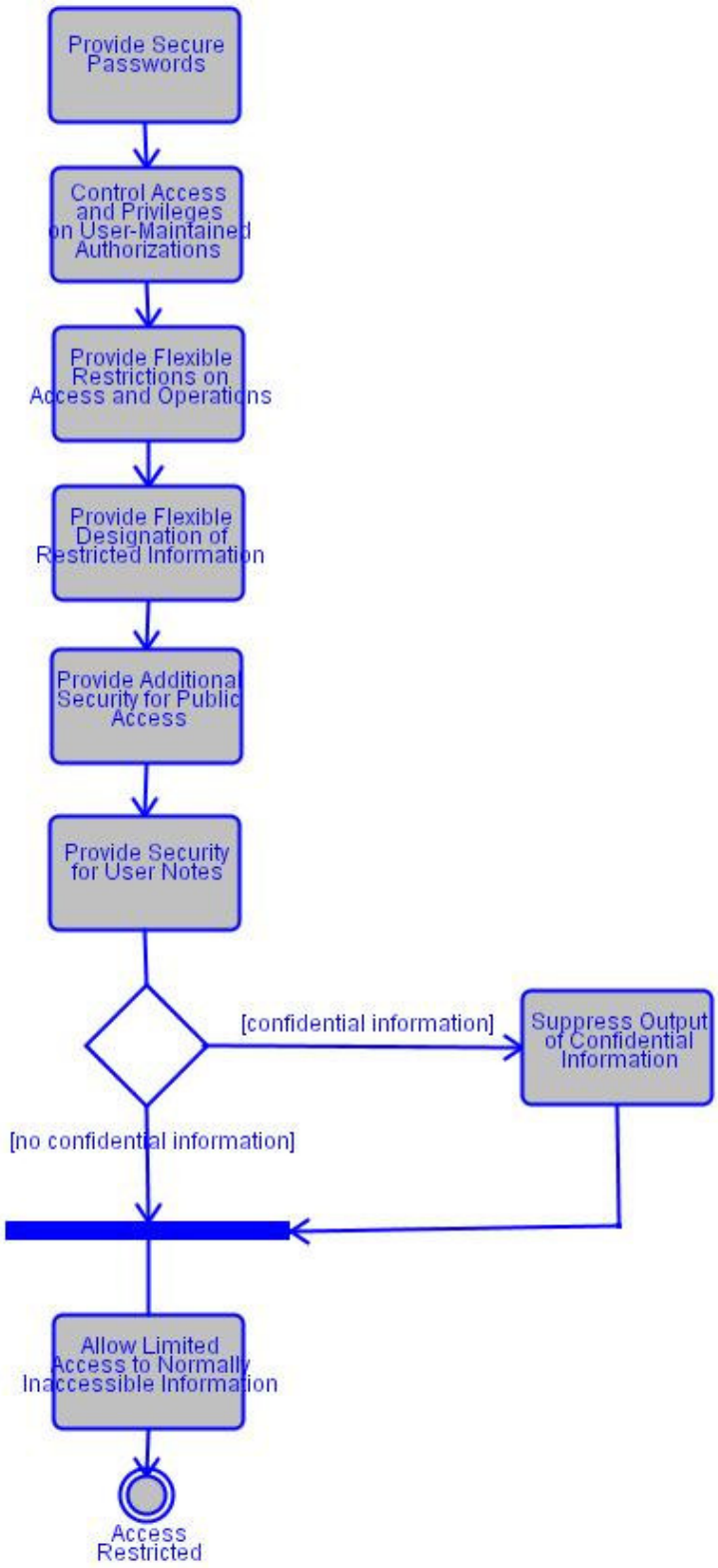


12.3 Use Case Specification: Security Access Requirements

Security levels should be maintained by the system administrator according to generally accepted security standards.

Normal features provided by vendors with the computer and system software protect the system and database from unauthorized access. Local and remote log-on and password protection restricts access to the case processing system, and database security at the file and record levels prevents all but selected groups of users from, respectively, viewing specific files, modifying specific files, or deleting specific files. (As used in this section, files connote all types of files including those used to store data, documents, and programs.) Security functions must include controlling access to specific case types (e.g., juvenile cases), parts of cases (e.g., child name), and cases with special restrictions (e.g., sealed cases). Security must extend to temporal access control capabilities to enable, prevent, or restrict access to specific records during designated periods (e.g, to prevent general access to the identity of a justice assigned to write an appellate opinion until after the opinion has been issued).

Access to the system and database by the public and other outside unofficial individuals would lead to additional security requirements. For example, the public could be given access over the Internet or allowed to access the system directly from specified locations (e.g., kiosks or public workstations in the clerk's office). Either of these alternatives presents potential problems because unknown users who do not have individually-assigned passwords and other identifiers would have access.


Provide Secure Passwords
Control Access and Privileges on User-Maintained Authorizations
Provide Flexible Restrictions on Access and Operations
Provide Flexible Designation of Restricted Information
Provide Additional Security for Public Access
Provide Security for User Notes
[confidential information]
Suppress Output of Confidential Information
[no confidential information]
Allow Limited Access to Normally Inaccessible Information
Access Restricted

Associated Actor	Relationship	Description
Security Administrator	Performs	
CMS Administrator	Conducts	

12.3.1 Special Requirements

Special Requirement	Description
Interfacing:Security and Integrity	Allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and case support functions for, potentially, all related case and financial information (i.e., on specific case, person data types and on other cases related to specific person data types) and with the inquiry and report generation capabilities for more varied displays and reports. If there are multiple components, the components must be able to exchange data efficiently adhering to integrity requirements (e.g. off the shelf software, and modularized components). For example, evidence management software should be able to interface with docketing.

Flow of Events

12.3.2 Provide Secure Passwords

The system should provide both operating system and application and data base level passwords to control access.

12.3.3 Control Access and Privileges on User-Maintained Authorizations

According to user identification and password authentication control access and similar privileges; including privileges for specific groups of users based upon user role and task requirements, and access to specific types of data (e.g., access authorization tables).

12.3.4 Provide Flexible Restrictions on Access and Operations

Restrict local and remote access to and permissible operations (i.e., view; add; change; delete; seal; and expunge) on case types, case categories, files, parts of files, electronically received files and data, system functions from and to other system functions, device (e.g., terminals, PCs, printers) locations, users, and groups of users.

12.3.5 Provide Flexible Designation of Restricted Information

Permit authorized administrator to designate restrictions on access to certain cases (e.g., with information on children), classifications of cases (e.g., sealed cases), and parts of cases (e.g. juvenile information, addresses, social security numbers, medical and treatment information, child abuse, and psychological profiles) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders.

12.3.5.1 Special Requirements

Standard	Description
Overrides:Security/Security	The CMS should provide the ability to modify restricted access automatically upon user-designated triggering event. For example, prepared news releases about appellate court decisions should be restricted from access by public and certain other users until official release of decision.

12.3.6 Provide Additional Security for Public Access

Provide specialized control over user access privileges and authorization for public access.

12.3.7 Provide Security for User Notes

Provide and maintain security access control for user notes based upon user identification and authorization.

12.3.8 Suppress Output of Confidential Information

[If confidential information] Suppress inclusion of user-designated confidential data elements in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Creation and Tracking Function, Calendaring Function, Hearings Function, and Disposition Function).

12.3.9 Allow Limited Access to Normally Inaccessible Information

[If no confidential information] Allow special, limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis or other specific research purposes.

Post-Conditions

Post-Condition	Description
Access Restricted	Security access is restricted.

12.4 Use Case Specification: Security Maintenance

Security Maintenance describes the ability of the case management system to ensure that all data elements and records remain unchanged due to unauthorized access or other human intervention including any unauthorized addition, modification, or destruction of data.

Associated Actor	Relationship	Description
Security Administrator	Performs	
CMS Administrator	Conducts	

Flow of Events

12.4.1 Provide Audit Trail of User Activities

Provide audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what parts of system and database they accessed (e.g., to prevent browsing) during specified period; permit audit trails to be stored, archived, and purged.

12.4.1.1 Notes

Detail

Detail
[Notes] The system should allow a system administrator the ability to view all individuals who are currently logged into the application and to view the audit trail/log file in real time. The system should also allow the administrator to force a log off of an individual user from the CMS.

12.4.2 Permit Authorized User Correction of Data Entry Errors

Allow authorized user correction of individual or groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently entered cases to be changed).

12.4.3 Provide Audit Trail of File Additions, Modifications, and Deletions

Maintain and display or print audit trail of file additions, modifications, corrections, and deletions (e.g. filings entered into docket, and electronically received documents) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing Function).

12.4.3.1 Special Requirements

Standard	Description
Security:Information Exchange Outside Systems and Networks	Provide security for electronic interfaces and information exchanges with outside systems and networks.

Post-Conditions

Post-Condition	Description
Security Maintained	Security has been maintained

12.5 Use Case Specification: Data Integrity

Data integrity refers to the ability of the CMS to ensure that all data elements and records remain unchanged due to any outside influence other than deliberate human intervention (e.g. power outage, operating system inconsistencies or problems, data back-up and recovery operations), and also that data be originally entered as correctly and accurately as possible. This ensures the integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. It is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software.

Consideration must be given to systems that allow customization based on the hardware platform and operating system. As new technologies are developed to increase the level of data integrity, just as "mirroring" has done in the recent past, case management

systems must be designed to take advantage or at least allow the use of these improvements.

The application software should contain carefully designed input edits and checks to improve data quality and integrity by validating data entered into the system.

The data integrity issue becomes more acute with electronic data exchange. The possibility exists that the data and documents originally sent differ from those ultimately received because, for example, they became corrupted during transmission. The court should devise a method to ensure the integrity of these data and documents -- normally through case processing system edits or, more reliably, through special-purpose security hardware or software with features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and non-repudiation (sender cannot later deny sending information).

The authorized user should be provided the capability to perform specific case audits of data to validate the content of a report.

Associated Actor	Relationship	Description
Security Administrator	Monitors	
CMS Administrator	Conducts	Allow and undue functionality is appropriate as part of business functions.

12.5.1 Special Requirements

Special Requirement	Description
Data Integrity:Loss Prevention	In order to prevent loss of data at any time the system should permit file backups as well as disaster recovery. The system should allow point in time recovery.
Data Integrity:Clarity of Check Messages	Ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight errors).
Data Integrity:Multiple File Access	The system should address the situation in which multiple users attempt to access the same case or entity to ensure that all modifications to the case or entity are captured and conform to court-specified policies (e.g. permit viewing of a record that another user is updating).

Flow of Events

12.5.2 Ensure Integrity of Electronically Transmitted Data

Ensure each document and/or data sent by user (e.g. attorney) is either electronically authenticated or matches with that same document and/or data and its contents received by court for electronically filed cases and other information received electronically so that court is referencing and retrieving the correct information.

12.5.3 Merge Data for an Entity

Provide for the ability to ensure that only a single set of data exists for each person, organization, or property (i.e., various identifiers for given entity must be correlated), and allow for merge and unmerge of files containing information on the same entity.

12.5.4 Perform Locally Defined Edits

Perform locally defined edit and data validation checks such as content of individual data fields (e.g. proper format for a date) and relationship of data field to other data (e.g. date of answer or response after date filed) and other reasonableness checks.

12.5.5 Produce Transaction Statistics

Produce statistics on transactions received, transactions accepted, and transactions rejected over specific time period. The statistics collected are defined by each individual court. The court would also define when statistics are collected (e.g. have the ability to "turn on" or "turn off" the statistical collection).

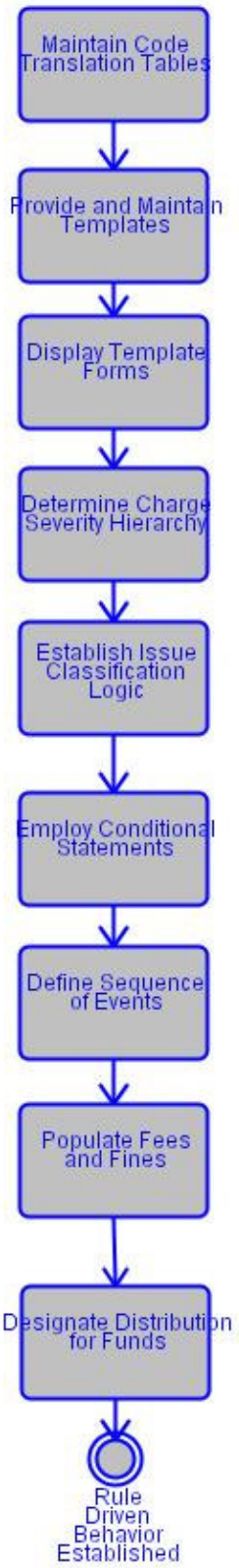
Post-Conditions

Post-Condition	Description
Data Integrity Maintained	Data integrity has been maintained.

12.6 Use Case Specification: Rule Driven Behavior

Rule Driven Behavior refers to the capabilities of the CMS to provide automatic functioning for certain operations based upon tables of values maintained by authorized users, together with the associated processing logic and utilities needed for each operation. These capabilities may encompass a wide range of activities including, for example, the automatic insertion of default values for fines and fees upon user entry of a violation code; automatic selection and display of the appropriate input template for a case event; automatic selection of date, time, courtroom, etc. for a scheduled event based upon availability tables and case readiness rules; and automatic distribution of funds across multiple accounts based upon court business rules.

Local courts and their vendors will need to discuss exactly how to implement specific rule-based requirements.


Maintain Code Translation Tables
Provide and Maintain Templates
Display Template Forms
Determine Charge Severity Hierarchy
Establish Issue Classification Logic
Employ Conditional Statements
Define Sequence of Events
Populate Fees and Fines
Designate Distribution for Funds
Rule Driven Behavior Established

Associated Actor	Relationship	Description
CMS Administrator	Conducts	

Flow of Events

12.6.1 Maintain Code Translation Tables

Populate and maintain code translation tables defined by an authorized administrator. The system should have the ability to create tables with different effective date ranges (e.g. applying changes in filing fees based on effective dates, allowing a case that was filed prior to an effective date to utilize the earlier fee structure. For cases filed after the effective date, the updated fee structure would apply). Local court rules will deteremine which set of values are applied.

The system should also maintain code translation table history, to match the timeframe of the case with the codes that were in effect at the time, to maintain referential integrity.

12.6.2 Provide and Maintain Templates

Maintain file of templates available to users to create input documents and, as necessary, associated cover sheets and relate each template to court event(s) (e.g., to correlate templates with events, email notification templates).

12.6.3 Display Template Forms

Provide capability to print or display template forms with and without entered data.

12.6.4 Determine Charge Severity Hierarchy

Allow the user management team to determine and establish the charge severity hierarchy for applicable case types.

12.6.5 Establish Issue Classification Logic

The system should provide the ability to define issue classification codes and relationships for retrieval purposes and reporting.

12.6.6 Employ Conditional Statements

Permit the user management team to employ (if, then) and (if, then, unless) conditional statements in event generation (i.e., in defining automatic events) and event tracking (e.g, in establishing ticklers and alerts).

12.6.7 Define Sequence of Events

Allow the user management team to define the sequence of events in any case track for differentiated case management.

12.6.8 Populate Fees and Fines

Populate appropriate fees and fines based on violation and local business rules and allow for clerk override.

12.6.9 Designate Distribution for Funds

Provide capability of establishing a designated distribution (e.g. priority, percentage distribution) ranking for funds collected, funds paid out, and for reconciliation of all fund categories distributed as provided by ordinance, order, or law. The system should allow for updates to the funds distribution schedule.

In accordance with court rules, allow for user override of fund distribution.

Post-Conditions

Post-Condition	Description
Rule Driven Behavior Established	Rule driven behavior has been established.

13. Business Function: Management Reporting

13.1 Description:

Management Reporting describes the activities associated with court operations information and court management information. Typically, the clerk of court or state and local court administrative offices identify the information that they need from the court, and local customs and management styles determine the management reports.

There are five general reporting areas:

· The case processing system must satisfy state and local statistical reporting requirements;

· The case processing system must produce management reports;

· The management reports must be defined according to local needs;

· Most management reports must be available in detail (information on individual cases or persons) and summary (information on groups of cases or persons) form; and

· The management reports must allow system users to obtain information on all or specific groups of cases or persons when they request a given report.

The reports are by-products of case processing data already in the system, with nothing entered specifically for reporting purposes. Users create reports by identifying (1) the information they need, (2) what data from the system is available to convey this information, (3) how these data must be grouped to convey the information, (4) how often specific information is needed, and (5) what report argument values are specified by the user. Most reports should be available both periodically and when requested. Users or administrators must be able to direct reports to a variety of output devices, such as screens, printers, files, etc.

Court personnel should specify only the pre-programmed reports that satisfy a clearly defined management objective and are intended for regular use, because excessive pre-programmed reports may prolong system development.

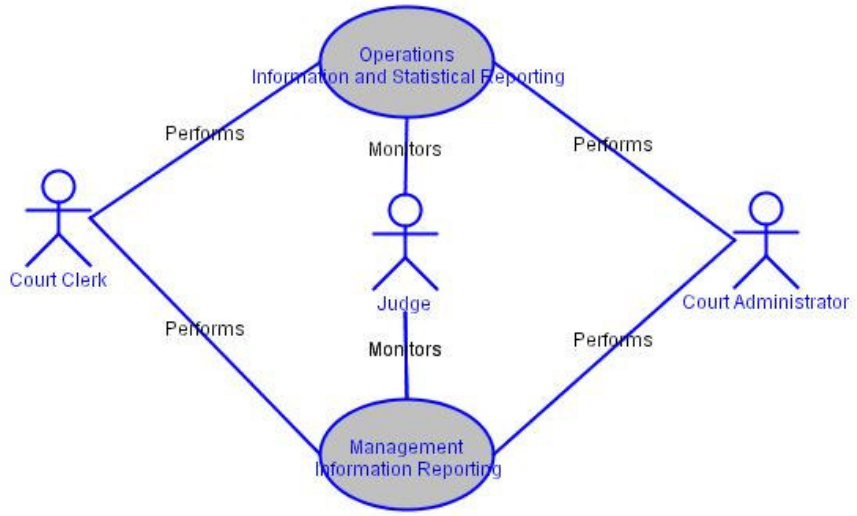
In addition, the CMS must provide comprehensive report generation capabilities to permit users to produce additional reports easily on an ad hoc basis.

This function also includes information exchanges between the courts and organizations outside the courts regarding their justice, informational, and social services. These organizations include justice (e.g., state and local government attorneys, law enforcement, detention), social service (e.g., youth and family services, child welfare,

mental health, juvenile rehabilitation, victims services), and other local and state (e.g., criminal justice units, information clearinghouses) agencies.

Whenever possible, management reports should conform to statistical reporting requirements described in NCSC's State Court Guide to Statistical Reporting.

13.2 Use Case Diagram



13.3 Use Case Specification: Operations Information and Statistical Reporting

As a by-product of producing information for operations for day-to-day case processing, the system should produce statistics that satisfy the reporting requirements of the local court, judicial branch, state agencies, and the federal government. These statistics appear in reports that are generated either locally by the case processing system or at the state level. NCSC's State Court Guide to Statistical Reporting describes a core set of recommended statistical reports for each case type.

Associated Actor	Relationship	Description
Court Clerk Court Administrator Judge	Performs Performs Monitors	

13.4 Use Case Specification: Management Information Reporting

While management information reporting is a mandatory capability for every case processing system, the specific management reports needed by a given court depend on local rules and highly personalized management styles.

Associated Actor	Relationship	Description
Court Clerk	Performs	
Court Administrator	Performs	
Judge	Monitors	
Judge	Monitors	

Properties

Activity

Name	Description
Accept Multiple Payment Type per Transaction	Accept multiple types of payments in single transaction (e.g., cash, check).
Accept Multiple Payments for Single Case	Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments.
Accept Payments for Fully or Partially Docketed Cases	Permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of person submitting payment, date of payment, nature of payment) as precursor to full docket entry. Also includes payment preceeding filing of citation.
Accept Range of Payment Methods	Accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, debit card, fine and fee waiver, draw down or escrow amounts, electronic funds transfer).
Accept Single Payment for Multiple Cases	Accept single payment for multiple cases with capability to process separately for each case.
Accrue Charges to Case Based on Events	Accrue charges to case based on occurrence of specific events (e.g., motion filed), apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements.
Administer/Terminate Bail	Bail termination information is added to the bail record in appropriate cases.
Alert User to Maximum Events	Generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category).
Alert User to No Next Event	Alert clerk when case filed with no scheduled next event or when displaying pending cases with no scheduled next event.
Alert User to Non-Public Record	Generate alert when displaying cases or portions of cases that are not public record (e.g., adoption cases, which are considered confidential) or otherwise require user notification.
Alert User to Unavailable Scheduling Factors	Generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors

Name	Description
	unavailable.
Allow Flexible Payment Methods	Allow payment of costs, fees, and other charges assessed to specific person in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, and pay through).
Allow Limited Access to Normally Inaccessible Information	Allow special, limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis or other specific research purposes.
Allow Multiple Pay-through Cost Assessments	Allow multiple pay-through cost assessments to be specified for each case.
Allow Receipt of Unidentified Payments	Allow the receipting of unidentified payments, and allow the assignment of previously receipted unidentified payments to a specific obligation.
Allow Transfer of Scheduling Data	Allow automated transfer of selected participants scheduling data in order to schedule court events. (e.g. police officers' schedules).
Allow for Merge of Information From Related Files	Allow for reports to merge information from related files (e.g., files containing information on same party).
Apply Change to Multiple Dockets	Apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith's courtroom causes all records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division).
Apply Change to Multiple Schedules	Apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed) to multiple schedules for group of cases as a single user action.
Apply Installment Payments to Proper Account or Activity	Apply installment payments to proper account or activity and display balance (e.g., to fees or to owed restitution, support, or alimony).
Approve Court Orders	Provide the ability for the judge to approve orders electronically as well as manually.
Arrange Information into Calendar Format	Provide flexibility with respect to calendar content and format (e.g. case or detention status shown with calendar). Produce user-defined summary calendar information view for a given person, location, or event (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information

Name	Description
	from calendar) and provide interface to other parts of system to access other types of information (e.g., on related cases or participants) (see Management Reporting Function). Create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons.
Assign Case Categories to Departments	Assign specific case categories to specific departments according to user-defined case-department rules. Allow user to override automatic assignment.
Assign Case Number	Generate and assign case number that is unique across its intended scope of use, based on locally defined format and case classification method.
Assign Cases	Assign cases to court type, judge, location, department, and courtroom and/or other appropriate entities based on established relationships, to include conflict checking, in conjunction with the Scheduling Function. This assignment can take place automatically or manually. The system should allow for a manual override of an electronic assignment.
Assign Cases to Panels	Provide the ability to assign a case to a panel for one or more specific scheduled events or for the life of the case.
Assign Future Events to a Schedule	Assign date, time, place, and other resources needed for events based on business rules and user input.
Assign Judges to Case Management Tracks	Assign individual judges, other judicial officers, and groups of these officials to case management tracks over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments).
Assign Judges to Panels	Support rule-based automatic and manual assignment of judges to panels, including assigned position (e.g., presiding judge) and term of service; provide capability to consider seniority and other court-specified factors in assigning and arranging judges.
Assign Organization Identifiers	Generate (or retrieve and assign existing) separate organization identifiers for each organization involved with the case, and enter the corresponding contact information.
Assign Person Identifiers	Generate (or retrieve and assign existing) separate person identifier for each plaintiff, defendant, appellant, and/or other party and enter the corresponding contact information.
Assign Property Identifiers	Generate (or retrieve and assign existing)

Name	Description
	separate property identifiers for each property involved with the case, and enter the corresponding contact information.
Assign Related Cases to Same Judge	Assign related cases, as designated by user, to same judge or appellate panel (e.g., multiple complaints regarding same problem or person, multiple cases involving common issues).
Associate Entity Information to the Case	Prompt or allow entry for associated entities (e.g. person, organization, or real or personal property) to the case; provide ability to generate, capture, or retrieve and apply unique identifiers for the associated entities such as attorneys; capture the role or reason the entity is associated with the case; support ability to indicate pro se representation. Will have the ability to establish roles and relationships to each other (i.e. associating attorneys with specific participants or parties).
Associate Payments with Cases and Entities	Associate payment with proper cases and entities when moneys are collected (see Bookkeeping Function).
Calculate and Record Bank Deposits	Calculate and Record Bank Deposits.
Capture Demographic Data	Capture demographic, descriptive, or informational data (where appropriate).
Capture External Identifiers	Capture, assign, or allow entry of multiple other identifiers (e.g., of other courts such as juvenile or domestic relations; originating court for appealed cases; prosecutor; corrections; law enforcement; and domestic relations service providers; other agencies; real estate parcels) and establish relationship with case participants.
Capture Financial Information	Capture, update, and display financial information (e.g. income, assets, monthly expenses, etc) for the affected party to assist the court in determining a payment plan.
Capture Lineage Information	The CMS should allow for the entry or electronic capture of lineage case information (e.g. lower court case number, judges, roles, lower courts or criminal justice agencies, court reporters and the sessions they record).
Capture Organization Contact and Identifier Information	Enter or associate name and contact information (and demographic information where applicable) for all organizations involved in the case; once captured, this information should be available for all subsequent system functions (see also Indexing Function and Document Generation and Processing Function).
Capture Person Contact and Identifier Information	Enter or associate name, contact information (and demographic information where applicable), and role for all persons involved in the case; once captured, this information should be available for all subsequent system

Name	Description
	functions (see also Indexing Function and Document Generation and Processing Function).
Capture Property Information	Enter or associate type and contact information (and demographic information where applicable) for all property involved in the case; once captured, this information should be available for all subsequent system functions (see also Indexing Function and Document Generation and Processing Function).
Capture Record of Court Proceedings	Enter, store, document, and display or print (batch or individually) preliminary and final proceeding records, including informal proceedings when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules.
Capture Special Case Processing	Enter, maintain, and display or print information on special case processing requirements or orders (e.g. sealed case or document, suppressed indictment, child abuse or domestic violence case affecting law enforcement registries).
Capture and Maintain Docket Entries for Events	Capture, maintain, and output information (e.g. document title and identifier, filing party, fees received, and dates) on filings (paper and electronic) and other completed events not previously in system (e.g. party added or deleted, participant added or deleted, motion filed, program referral, or hearing date set); capture disposition of events where appropriate (e.g. ruling in motion).
Case Reassignments	Reassign an individual or group of cases from one judge, other judicial officer, or department to another as a single user action (e.g., judge retires, becomes disabled, or moves to a different court).
Categorize Case	Determine general case type category.
Circulate Opinion	The system must allow the user to indicate that the opinion is being released for circulation, to whom it is to be circulated, the manner of circulation, the date released for circulation, and the date each review completed. The circulation of the opinion should be dictated by court rules or procedures.
Close Case	Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).
Comprehensive Name Search	Permit name search on various combinations of a person's or entity's name (e.g., full name, last name only, part of first or last name, other options); provide phonetic name search capability and the option to specify case sensitivity.

Name	Description
Compute Fee Distributions by Formula	Compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, and other purposes).
Compute and Display Costs and Fees Based on Events	Compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing, warrant issuance).
Consolidate Notices	In cases with multiple entities, provide option to generate single notice for attorney who represents multiple entities.
Control Access and Privileges on User-Maintained Authorizations	According to user identification and password authentication control access and similar privileges; including privileges for specific groups of users based upon user role and task requirements, and access to specific types of data (e.g., access authorization tables).
Control Visibility of Recipient Information on Notices	In cases with multiple notice recipients, provide option to control which names and addresses are visible on copies to each specific recipient and on file copy. Historical distribution list information should also be retained.
Coordinate Consolidated or Related Cases	Establish or update cross references and adjust identifiers between consolidated or related cases for docketing, scheduling, notice generation, and other functions.
Create Case Title	Generate locally defined case title or style (i.e., short phrase that identifies case and includes plaintiff and defendant, petitioner and respondent, or appellant and appellee names) from party names and other information; permit user to enter long title in addition to standard short title.
Create Court Orders	Create and display or print (including ability to reprint) court orders (including informal, preliminary, and final orders) resulting from hearings and other judicial proceedings in real-time. Allow user to create orders resulting from out-of-courtroom events to be signed by judge in informal setting.
Create Docket Entry for Electronic Output Documents	Create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders). The system should provide the ability to queue generated documents awaiting approval, so that the documents can be automatically docketed upon approval.
Create Docket Entry for Events Originating in Another Function	Create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function, such as hearing scheduled (Calendaring Function), hearing results recorded (Hearings Function), or case disposed (Disposition Function).
Create Index	Create and maintain locally defined index that

Name	Description
	(1) contains at least basic index information on parties and associated persons or entities (e.g., name and as appropriate and conforming to federal, state, and local guidelines -- the date of birth, race, ethnic group, sex, role in case, external identifiers, social security number, drivers license number, referral source, referral reason and petition allegation, and whether party has an attorney); (2) contains cross-reference index information on related cases or parties, (3) permits database look up by a choice of keys (e.g., party name, party role, case filed date range, lower court case number) and, if record found, (4) permits retrieval and display of index information, (5) permits easy interfaces with other parts of case processing system as noted below.
Create Multiple Docket Entries from a Single Event	Allow single event to create multiple docket entries for one or more cases (e.g., event is hearing; docket entries are attorney withdrawal and hearing results).
Create Special Notices	Create special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to non-participants, other courtesy notices) when requested.
Create and Maintain Calendar Notes	Create and maintain judge and other user notes (i.e., notes and comments for use with the specific judge's or other user's calendar) for user's viewing only in accordance with local rules and statutes (see also Configuration Maintenance, Security and Integrity Function).
Create and Support Electronic Forms and Documents	Create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service).
Debit Accounts of Authorized Organizations	Debit accounts established by authorized organizations to cover court expenses, and credit organizations' accounts based on electronic funds transfers from their bank accounts, debits from their credit card accounts, and on-line check writing.
Define Sequence of Events	Allow the user management team to define the sequence of events in any case track for differentiated case management.
Designate Distribution for Funds	Provide capability of establishing a designated distribution (e.g. priority, percentage distribution) ranking for funds collected, funds paid out, and for reconciliation of all fund categories distributed as provided by ordinance, order, or law. The system should allow for updates to the funds distribution schedule.

Name	Description
	In accordance with court rules, allow for user override of fund distribution.
Destroy Files	Physically destroy manual files or delete electronic files.
Determine Charge Severity Hierarchy	Allow the user management team to determine and establish the charge severity hierarchy for applicable case types.
Determine Number of Cases Being Addressed with Payment	The clerk will make a determination of the number of cases being addressed with the payment; in other words, there may be one payment for one case, but there may be many payments for multiple cases.
Disburse Checks	Initiate, print, and disburse checks periodically or on demand, individually or cumulatively over specific periods (e.g. for filing fees collected in error).
Disburse Collected Fees and Fines	Disburse collected fees and fines electronically or manually according to a predefined formula (statute, rule, or court order) either periodically (e.g., monthly) or when fees or fines are collected in conjunction with Receipting Function (see Receipt Accounting Section 9); also to include other units (e.g., appellate court for appealed cases).
Display Template Forms	Provide capability to print or display template forms with and without entered data.
Display/Print Documents	Display any printed output, print any screen display, and print any document individually or in a group, when scheduled or on request.
Distribute Calendars Electronically	Distribute calendars electronically (e.g., to jury manager, attorneys, court reporters, criminal support units, and CJ agencies) and to the public on the Internet where allowed by rule.
Distribute Court Orders	Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket.
	Distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available, subject to court business rules.
Distribute Disposition Documents Externally	Distribute all disposition documents electronically or manually to recipients external to court in accordance with state and local statutes, rules, or procedures (e.g.,sentencing order to law enforcement and corrections, appellate court remittitur to originating court or

Name	Description
	agency) and internally to be entered in docket.
Distribute Documents Electronically	Provide the option to distribute documents electronically (e.g., documents to be served to process server; notices and other documents to parties, attorneys, and lower courts; notices, pick up orders, and other documents to be entered in docket) in accordance with state and local statutes, rules, and procedures (see Docketing Function and Configuration Maintenance, Security and Integrity Function). Historical distribution list information should be retained.
Distribute Electronic Receipts	Generate and distribute electronic receipts for electronic payments.
Distribute Post-Conviction Documents	Distribute post-conviction documents noted above electronically or manually to external recipients (e.g., law enforcement, driver programs, and corrections) in accordance with state and local statutes, rules, or procedures, and internally to be entered in docket.
Employ Conditional Statements	Permit the user management team to employ (if, then) and (if, then, unless) conditional statements in event generation (i.e., in defining automatic events) and event tracking (e.g, in establishing ticklers and alerts).
Enable Docket Entry to Update Case Information	When a new event is entered, the system should provide the ability to automatically update other case information (e.g. case status and response due date), activate new ticklers and/or create scheduled events based upon court business rules and user preferences.
Ensure Integrity of Electronically Transmitted Data	Ensure each document and/or data sent by user (e.g. attorney) is either electronically authenticated or matches with that same document and/or data and its contents received by court for electronically filed cases and other information received electronically so that court is referencing and retrieving the correct information.
Enter Bail Release	Information required by the court regarding bail release is entered into the record.
Enter Charge Category	Enter each charge and count based on charging documents.
Enter Court Identifiers	Enter or automatically capture locally defined court identifiers (e.g., district court, supreme court) and court geographic location identifiers (e.g., county number, city number) for the court in which the case is being filed. The system should have the ability to use the federal FIPS mandatory standards for geographic location.
Enter Courtroom Activity	Enter, store, and display or print courtroom

Name	Description
	activity recorded on calendar or worksheet.
Enter Dispute Category	Enter each dispute category based on pleading.
Enter Reason for Initiation	Enter the reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures).
Establish Issue Classification Logic	The system should provide the ability to define issue classification codes and relationships for retrieval purposes and reporting.
Establish a Case Account	Establish a case account upon first payment of fees or fines.
Establish a Debit Account	Establish account against which entities can prepay for future case and non-case services.
Establish a Payment Plan	Establish a payment plan for one or more cases.
Establish and Maintain Judicial Panels	Provide the ability to create, maintain, track, display, and report on judicial panels established for various purposes (e.g., case submissions, case classifications, oral arguments, opinions, orders); capture and record all relevant information including panel information (e.g., panel name or identifier, purpose, date established and terminated), judges (e.g., names and other identifiers, position within panel, length of service), judicial staff, and cases or matters assigned. Conflict of interest monitoring should operate dynamically when records pertaining to panels are updated.
Establish and Maintain Resource Parameters	Permit authorized user to establish and maintain standard available days, times, courtrooms and other facilities, equipment, and personnel, and to establish and maintain relationships among these scheduling components (e.g., courtroom X is available for purpose Y on Tuesdays and Thursdays between 9:00 AM and 3:30 PM) in accordance with court business rules (see also Configuration Maintenance, Security and Integrity Function) and special circumstances (e.g., courtroom renovation, judicial vacancy).
Expunge Case Files	Expunge files, when ordered by the court, in accordance with state and local statutes and rules regarding destruction and unrecoverability.
Flag Electronic Version When Manual File Lost	Flag electronic file when corresponding hard-copy file is reported lost, and display alert to electronic record user.
Generate Accounting Notices	Generate accounting notices (e.g., for payment, overdue payment) in receipting or bookkeeping (see Document Creation and Tracking Function).
Generate Acknowledgments	Generate receipt or notification for appropriate

Name	Description
	attorney, parties, and participants (or lower court for appellate cases) that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically). The system should be able to share information with entities outside of the court.
Generate Case Closure Reports	Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance or community work service hours completed). This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).
Generate Case File Labels	Generate labels for paper case files, with the capability of including barcodes (see also Case Initiation and Indexing Function).
Generate Docket Entry	Generate docket entry based on modified, scheduled, and completed events as appropriate (see Docketing Function), subject to court business rules.
Generate Documents	The CMS should generate a number of different pre-formatted documents. It should generate miscellaneous documents (e.g., administrative orders or other orders signed by judge outside of courtroom such as for bail reinstatement or protection; plaintiff claims forms; follow-up letters such as requests for completed Title IV-D forms or requests for evidence; deficiency letters, jury instructions linked to specific charges in criminal jury trials, and other types of forms or documents). The system should create documents (e.g., notices, summons, pick up orders, acknowledgement of filing letter, or warrants, subpoenas) triggered by specific event (e.g., hearing scheduled, conference rescheduled, case dismissed, remittitur issued, financial obligation completed, bail forfeited, and docket entry). The Document Generation function also should interface with other parts of the system, such as the Scheduling function, for relevant document information.

Name	Description
	The CMS should generate pre-formatted documents or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted (or not accepted; e.g., notice of defective appellate pleading), particularly when a document is filed electronically (see also Case Initiation and Indexing Function).
Generate Exhibit Notices	Generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see Document Creation and Tracking Function).
Generate File Management Reports	Generate reports on file management activities including lists of active, inactive, archived, merged, and purged files (e.g., to assist in annual file inventory).
Generate Identifiers	Generate exhibit and property numbers or other locally defined identifiers.
Generate Indicators for Files	Generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations).
Generate Indicators for Paper Files	Generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., police reports, juvenile or domestic relations interview notes, psychological profiles) and to provide information on placeholders for checked-out paper files.
Generate Invoices	Generate and print (or reprint) invoices for and document collection of all moneys (e.g., fees for re-service of process, final cost bill following judgment).
Generate Manual Recording Worksheet	Provide option to create a document suitable for manually recording minutes (e.g., worksheet, check-off list, working calendar).
Generate Multiple Receipts for Single Payment Made for Multiple Cases	Generate and print (or reprint) multiple receipts from one financial transaction covering payment for one or more purposes for multiple cases (e.g., an attorney files and pays various fees for several cases in one trip to courthouse).
Generate Pay File	Generate pay file of check numbers and amounts and send to bank.
Generate Property Lists	Print or display lists of exhibits and other property according to case, party, and other parameters.
Generate Receipts with Appropriate Information	Generate receipts with proper identifiers (e.g., payee, fee, fine, or restitution code, court location and address) and supporting information (e.g., amount assessed, reason for

Name	Description
	assessment, amount collected, installment or partial payment plan and status, balance due) based on collections with user option to receive single or multiple copies.
Generate Reports for Archived/Destroyed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been archived and destroyed or transferred.
Generate Reports for Expunged or Sealed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been expunged or sealed.
Generate Scheduling Notices	Interface with Document Creation and Tracking Function to generate and distribute (either electronically or in hard copy) notices to parties and participants upon scheduling or modifying an event; interface with Docketing Function to record notification, as appropriate for official court notices.
Generate Sequential Receipt Numbers	Generate receipts with unique, locally defined, sequential receipt numbers. Coordinate sequential numbering of electronic receipts and printed receipts according to local business rules.
Generate Single or Multiple Receipts Involving Multiple Payments for One Case	Generate and print (or reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse).
Generate Trial Balance Report	Generate trial balance reports over a specific period.
Generate a Late Payment Notice	Automatically generate a late payment notice according to local business rules.
Generate and Maintain Bail Register	A register documenting bail-related payments and activities is generated, for a period of time designated by the user.
Group Cases	Provide ability to establish relationships among cases, parties, and participants (e.g. several incidents filed against same defendant or multiple defendants, multiple parties filing related claims) from single or multiple filings such that groups can be formed to permit information and actions to be applied to each case, party, or participant in the group.
Identify Case Type	Identify case type based upon charging document or petition.
Identify Cases for Archiving/Destruction	Identify cases to be archived or destroyed.
Identify Cases for Expunging or Sealing	Identify cases to be expunged or sealed.
Identify Completed Events	Identify completed events (i.e., all tasks associated with multi-task event must be complete for event to be complete) and prompt users when further action required.
Identify Conflicts of Interest	Identify conflicts of interest and provide the user the ability to specially assign a replacement judicial officer and notify relevant

Name	Description
	users (e.g. scheduling clerk) that special arrangements may be necesary in light of the assignment.
Identify Court Intervention Cases	Provide the ability to designate which cases need to be seen by court intervention agency.
Identify Court Type	The CMS should prompt the user to identify whether the court is an appellate court or other court type.
Identify Entity Type	The CMS must allow the user to identify the entity type: person, organization, or property.
Identify Inactive Cases	Identify inactive cases to process for disposition according to business rules and groups of cases (e.g., no activity for 6 months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).
Identify Lead Charge	Identify and designate the primary case category for purposes of case management and statistical categorization (for criminal courts this is usually the lead charge among of a group charges for a given defendant); provide user reference sources needed for case classification based on court business rules.
Identify Primary Dispute Category	Identify the dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.
Identify Process Category	Cases categories may require differential processing that should be identified at this point.
Identify Scheduling Conflicts	Identify, display, and suggest resolutions to scheduling conflicts (e.g. when a hearing room is already being used, a party not being available on a specific date) and allowing user overrides and rescheduling with appropriate security and data integrity.
Identify and Classify Legal Issues	The CMS must allow the user to identify and assign legal issues for the purpose of classifying cases with similar legal content. For example, the system would provide for a free text key words or user-defined selection list of issue types. The CMS should be able to link cases with legal issues and report on cases with similar legal issues.
Identify and Process Arrearages	Identify (i.e., input or compute) and record arrearages, generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency) (see also Scheduling Function).

Name	Description
Identify and Process Fee Waivers and Deferrals	Identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review).
Include Case Age in Displays	Provide the option to include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).
Include Nature of Proceeding on Calendar	Provide the option to output the nature of the proceeding for each case on calendar (e.g., motion to dismiss, evidentiary hearing or review hearing to consider change of placement for neglected child, and petition for review).
Index Search and Retrieval	Permit search and retrieval of index information by identifying a specific party or associated person name, date of birth, party role, court type or location, case or party identifier, case filed date range, and where necessary by race, ethnic group, and sex. The subfunction also should permit a user, after eliminating other cases or parties that satisfy original look-up, to obtain index information by selecting from list of matching cases or parties or by using search keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, and allows user to select the desired Smith from list by clicking on proper line or entering proper keys).
Index Updating Based on Events	Provide capability of automatically updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).
Indicate Related Opinion Authoring	Permit user to indicate if justice will be authoring dissent, special concurrence, or other special opinion related to circulating opinion.
Initiate Post Judgment Activities	Receive objections to execution by any party or case participant, per rule of court (e.g. 10 days after initial judgement is issued).
Interface with Separate Document Management System	Provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities.
Link Opinions to Cases	The system must allow an opinion to apply to one or more cases, and a case to have zero to many opinions.
Link Related Docket Entries	Link and display information on docket entries for events related to current docket entry (e.g., when respondent files motion that opposes previously filed motion of petitioner, respondent's motion would be linked to original petitioner's motion filed and new motion filed would be linked to all pending motions in case with information displayed on who filed

Name	Description
	motions, factors involved, and pending decisions).
List Bank Deposits by Group	List bank deposits in various groupings (e.g., totals for cash, check, credit and debit card).
List Case Documents	Produce list of: (1) documents filed for given case with amplifying information (e.g., document name and identifier, who filed, when filed), or (2) output documents generated and docketed by system (e.g., orders, notices, including documents queued for approval), along with identifying and descriptive information; allow user to specify selection criteria such as date range, category of document, etc.
List Cases Waiting to be Scheduled	Schedule an event from list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities.
List Transactions and Compute Totals	List transactions and compute totals and balance for each cash drawer, register, cashier, and fee type.
Maintain Account Journals and Ledgers	Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries.
Maintain Addresses	Maintain multiple current and historical addresses, with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases. Provide ability to select desired address.
Maintain Attorney Affiliation	Maintain information on law firms, prosecutors, and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney).
Maintain Attorney Assignment History	Maintain and print or display history of attorney changes for specific case or party with reasons for the change. Historical affiliations and attorney records should be maintained for conflict of interest purposes.
Maintain Attorney Information	Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.
Maintain Audit Trail	Maintain and print or display audit trail of each case file location with information similar to that noted above for file tracking, in addition to length of time file checked out (see also Docketing Function).
Maintain Basic Case Information	Provide access to, maintain, and supplement information originally entered during case initiation in docket or register of actions including information on initial filing and basic

Name	Description
	case information.
Maintain Bookkeeping Information	Maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement).
Maintain Case Aging Information	Automatically suspend and resume aging of cases for storage and retention.
Maintain Code Translation Tables	Populate and maintain code translation tables defined by an authorized administrator. The system should have the ability to create tables with different effective date ranges (e.g. applying changes in filing fees based on effective dates, allowing a case that was filed prior to an effective date to utilize the earlier fee structure. For cases filed after the effective date, the updated fee structure would apply). Local court rules will deteremine which set of values are applied. The system should also maintain code translation table history, to match the timeframe of the case with the codes that were in effect at the time, to maintain referential integrity.
Maintain Entity Information	Maintain information on all (multiple) persons (parties, attorneys, and other participants), organizations, and/or property in a case. Information can include personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses. The system should allow the user to select one or more key elements, such as address, phone number, fax, or email.
Maintain General Ledger	Maintain general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.
Maintain Judge Assignment History	Maintain and print or display history of changes in judge assignment including those by challenges (e.g., peremptory challenge) and showing present and former judges and reasons for change.
Maintain Location for Archived Files	Maintain location (e.g. storage facility, location in facility, disc or reel number, and location on reel) for archived files.
Maintain Multiple Case Relationships	Maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges,

Name	Description
	attorneys, parties, and participants (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction); allow the user to define, redefine, and modify relationships and reassign linkages as needed; provide ability to restore any relationship erroneously modified or deleted.
Maintain Panel Histories	Maintain permanent history of all panels, including identities of judges who participated on given panel on specific date for specific event; display or print panel histories according to flexible user selection criteria.
Maintain Separate Disposition and Judgment Information	Create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party. Allow for multiple judgments in cases involving multiple parties.
Maintain Standard Text Files	Maintain files of standard text and use to create entire documents or to insert text into boilerplate court forms; relate each group of text to document(s) and court event(s) in which they are used (same as the above sub-function, except there are no output templates involved).
Maintain Tables for Costs, Fees, and Fines	Maintain standard tables for court costs, fees, and fines.
Maintain Tracking Information About Destroyed Files	Maintain status, last location, and history of destroyed files.
Maintain and Track Individual Case Accounts and Balances	Maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are court support; most other accounts, such as trusts and most escrow accounts, are financial).
Manage Opinion Publication and Distribution	The CMS should provide the ability to implement distribution agreements that the court has with a specific publisher, and manage the process for providing corrections prior to final publication.
Mark Case or Party Account Closed	Mark case or party account closed, or some other designator.
Merge Data for an Entity	Provide for the ability to ensure that only a single set of data exists for each person, organization, or property (i.e., various identifiers for given entity must be correlated),

Name	Description
	and allow for merge and unmerge of files containing information on the same entity.
Modify Related Records	When schedules change, modify records of all related parties, participants, calendars, docket entries, case status, and other data and functions.
Monitor Account Balances	Identify instances when balances in draw-down accounts are low and accounts require additional funds, and send notices.
Monitor Opinion Review Process	The CMS should track the opinion review process, capturing the review completion date, comments posted, and votes. The system should monitor compliance with the review process as established by the court's rules and procedures. The system should also maintain voting histories and track the completion of the quality assurance review.
Monitor and Maintain Conflict of Interest Information	Maintain and track potential conflicts of interest between justices and attorneys, law firms, or trial court judges. Alert user to potential conflict when affected sets are associated with a case or related case. The system should keep a historical record of conflict of interest changes. The complexity of conflict of interest tracking will vary based on local business rules.
Note Time-Sensitive Filing	Record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing, emergency filing).
Notify of Outstanding Motions	Automatically notify user of outstanding motions when opinion circulation date is entered.
Order Pre-Trial Services	Send request for pre-trial services with associated case and defendant information and internal investigation (see Docketing Function).
Order Release Conditions	Produce order for conditions of release.
Output Schedules for Case Participants	Print or display schedules for various persons (e.g. other judicial officers; appellate panels; attorneys; other participants such as law officers, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies if their schedules in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.
Perform Locally Defined Edits	Perform locally defined edit and data validation checks such as content of individual data fields (e.g. proper format for a date) and relationship of data field to other data (e.g. date of answer or response after date filed) and other reasonableness checks.
Permit Authorized User Correction of Data	Allow authorized user correction of individual or

Name	Description
Entry Errors	groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently entered cases to be changed).
Permit Judicial Recusals and Disqualifications	Allow assigned judge to be recused on a specific case; record basis for recusal; indicate disqualifications during scheduling activities to prevent selection of disqualified judge or justice. Provide the user the ability to specially assign a replacement judicial officer and notify relevant users (e.g. scheduling clerk) that special arrangements may be necesary in light of the assignment.
Permit Panel Membership Changes	The system should allow the user to modify the composition of a judicial panel. It should also allow the user to override panel membership on a temporary basis (e.g., per case or specific event) to handle judicial absences or conflicts. The system should store panel membership changes and should interface with the tickler function based on locally defined rules.
Permit User Resolution of Conflict	The system should allow the user to manually resolve or override the conflict of interest.
Populate Fees and Fines	Populate appropriate fees and fines based on violation and local business rules and allow for clerk override.
Post Adjustment	Post case related adjustments (e.g. write offs, modifying a fine up or down, and over/short adjustments).
Post Case Receipts	Post case- or party-related receipts (cash or other tender) to accounting records and docket or register of actions (installment or child support payment receipts usually would not be entered in docket); associate receipts with proper case, party, account, or case activity; interact with receipting to accomplish these tasks (see Docketing Function).
Post Interest Accruals	Post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts), and associate accruals with proper bank account.
Post Non-Case-Related Receipts and Disbursements	Post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account.
Post and Associate Case-Related Disbursements	Post case- and party-related disbursements to accounting records and docket or register of actions (installment or child support payment disbursements usually would not be entered in

Name	Description
	docket); associate disbursements with proper case, party, other person (e.g., victim(s)), account, or case activity (see Docketing Function).
Post and Process Installment and Partial Payments	Post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, attorney fees) garnishments, installment payments, and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also Post Disposition Compliance and Execution Function).
Preserve Transactions While Applying Corrections	Apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization.
Print Bank Deposit Slips	Print (or reprint) bank deposit slips for specific banks and time periods.
Print Cash Receipts Journal	Print (or reprint) system-wide daily cash receipts journal.
Print Notices in Multiple Languages	Print notices in multiple languages (e.g. English, Spanish) where appropriate or required by state statute.
Print Paper Receipts	Display and print (or reprint) receipts for manual (non-electronic) payments with user option to produce single or multiple copies.
Print Payment Coupons	Print payment plan remittance identifiers (e.g. coupons).
Process Cases for Archival	Process files according to local and state rules for becoming archived, or transferred to storage facility to be retained permanently.
Process Checks	Initiate, print, and disburse checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions.
Process Court Documents by Event	Automatically print, store and docket court documents based on court events.
Process Fees Associated with Non-Parties	Properly allocate fees associated with non-parties (e.g., from couriers, media, general draw-down accounts) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case).
Process Files for Destruction	Process files according to local and state rules for file destruction.
Process Notification of Compliance	Receive and process information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules. Upon docket entry

Name	Description
	of satisfaction of judgment, determine whether case should be closed according to court business rules.
Process Pre-Trial Research Results	Receive results of research on defendant (prior arrests and convictions, aliases, duplicate identifiers) to docket and related individual records (see Docketing Function).
Process Requests for Execution of Judgment	Process requests for execution of judgments and establish cross references for each execution subfunction below to judgment index and judgment screen.
Produce Allocation Formula Report	Produce report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation.
Produce Batch and Individual Calendars	Produce calendars individually (e.g., for a judge, appellate panel, or courtroom) or by batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom.
Produce Case-Based Financial Reports	For specific periods, produce separate reports showing for all or selected cases: (1) cases and defendants for which payments (e.g., fees, fines, restitution) collected, no payments collected, fees waived, no payments due; (2) all adjustments to accounts; and (3) accounts receivable or payable for each case or defendant.
Produce Cashier Summaries	Produce summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see Bookkeeping Function).
Produce Compliance Documents	Process information and create documents (e.g., court orders such as revocation of probation, reduction of sentence, writ of execution and abstract of judgment for unpaid assessments) on post-judgment or post-conviction activities (e.g., in response to requests for execution with information on monetary and non-monetary judgments including parties, monetary and non-monetary awards, pertinent dates, assignees, payments, credits, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine); enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Bookkeeping Function).
Produce Discrepancies for Imbalances	Produce any discrepancies between payments, receipts, and cases (or defendants) over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Bookkeeping Function).
Produce Financial Transaction Lists	Produce, for display or print, detailed and

Name	Description
	summary lists of financial transactions (e.g., receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see also Management Reporting Function).
Produce List of Cases with Action Pending	Create, maintain, and output administrative or clerk's list that shows all cases with action pending within specific date range or other user-specified criteria (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update this list when pending actions completed.
Produce Open Item List	Produce list of items that remain open for accounts that carry balance forward from one period to next period.
Produce Payment Notices and Other Correspondence	Produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Creation and Tracking Function).
Produce Pre-Check Register	Produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period.
Produce Report of Fines and Fees Waived	Produce report containing information on fines and fees waived, and associated payments.
Produce Schedules	Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities (e.g. mediator's, arbitrator's schedule by day).
Produce Summary Cashiering Reports	Produce summary reports for each cash drawer, cash register, and cashier (see also Receipt Accounting Function).
Produce Transaction Lists	Produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and parties over specific periods (e.g., daily, monthly, for life of case).
Produce Transaction Reports	Provide reports showing transactions on draw-down accounts over user-specified period.
Produce Transaction Statistics	Produce statistics on transactions received, transactions accepted, and transactions rejected over specific time period. The statistics collected are defined by each individual court. The court would also define when statistics are collected (e.g. have the ability to "turn on" or "turn off" the statistical collection).
Prompt Related Case Scheduling	Prompt user to schedule pre-defined related cases (e.g., other petitions regarding same problem, appellate cases with issues in

Name	Description
	common) and prerequisite events (see Case Initiation and Indexing Function and Docketing Function in which relationships are defined to system-some automatically and some manually).
Provide Additional Security for Public Access	Provide specialized control over user access privileges and authorization for public access.
Provide Audit Trail of File Additions, Modifications, and Deletions	Maintain and display or print audit trail of file additions, modifications, corrections, and deletions (e.g. filings entered into docket, and electronically received documents) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing Function).
Provide Audit Trail of User Activities	Provide audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what parts of system and database they accessed (e.g., to prevent browsing) during specified period; permit audit trails to be stored, archived, and purged.
Provide Automatic Recipient Selection	The system should provide automatic selection of appropriate recipients of generated documents, based upon relationship to cases and events or pre-defined distribution lists according to court-defined business rules. The system should also allow the user to designate or override automated selection of recipients of the above documents.
Provide Automatic Resource Scheduling	Assign and reassign individual and groups of judges and other judicial officers using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies including setting a maximum number of events), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon).
Provide Customizable Chart of Accounts	Create and maintain system-defined and user-customized chart of accounts.
Provide Defined Action or Inaction Alerts	Generate alerts for defined actions or inactions (e.g., when a scheduled payment is not made; when an error is made such as when a pleading is submitted for a closed case, a case event is scheduled without a prerequisite event completed, or when the event fails in any other way to comply with system processes).
Provide Document Management Security	Provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Configuration Maintenance, Security and

Name	Description
	Integrity Function). Access to case images should be controlled through the case management system.
Provide Document Workflow Tracking Information	Record and report the status of pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface).
Provide Electronic Document Viewing	Provide capability to control electronic document viewing such as toggling between views of several different documents and document resizing.
Provide Flexible Case Views	Display or print all, part, or summaries of docket(s) (e.g. basic case information, events in register of actions, selected participants, families or groups, charges for specific defendant, summaries of judgment information, legal issues (case age) for specific case or group of cases and for the life of a case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reporting Function). The system should provide the ability to display information in a threaded view (e.g. grouping related events).
Provide Flexible Designation of Restricted Information	Permit authorized administrator to designate restrictions on access to certain cases (e.g., with information on children), classifications of cases (e.g., sealed cases), and parts of cases (e.g. juvenile information, addresses, social security numbers, medical and treatment information, child abuse, and psychological profiles) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders.
Provide Flexible Document Printing	Select printer and be able to print documents individually (including ability to reprint) or in batches in distributed or central locations as scheduled or when requested.
Provide Flexible Restrictions on Access and Operations	Restrict local and remote access to and permissible operations (i.e., view; add; change; delete; seal; and expunge) on case types, case categories, files, parts of files, electronically received files and data, system functions from and to other system functions, device (e.g., terminals, PCs, printers) locations, users, and groups of users.
Provide Group Document Processing	Perform document generation, print, and

Name	Description
	distribution functions for group of related cases as if group were single case.
Provide Information and Alerts	Provide ability to display real time case participant check-in information on the judge's bench calendar. Provide judge and courtroom staff information on the status of parties (e.g. repeat offender in pre-trial release hearing, status of fee and fine payments resulting from a previous case).
Provide Manual Schedule Override	Provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically.
Provide Numeric Search Capabilities	Provide ability to use numeric ranges and wildcards (i.e., partial number + "**") when searching by case number, social security number, etc.
Provide Opinion Version Control	The system must have full version control of opinions so that only one person may edit the opinion at one time, changes are recorded, and the latest version is always designated. The CMS must have the flexibility to interface with other systems (e.g. standard word processing programs) or to include a function to facilitate tracking changes in the opinion document.
Provide Reports for Disbursement of Undistributed Moneys	Provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court, jury fees posted for settled cases), update ledgers, and produce reports (e.g., for each check not cleared over specific period).
Provide Secure Passwords	The system should provide both operating system and application and data base level passwords to control access.
Provide Security for User Notes	Provide and maintain security access control for user notes based upon user identification and authorization.
Provide Supervisor Control of Alerts	Allow supervisor at appropriate level to turn on and off all, category-based, or individual alerts.
Provide Tickler Capability	Provide both case-related and non case-related tickler capability based on schedules and statutory requirements: identify events coming due or overdue, periods about to expire or expired (e.g., guardianship accounting due, answer or response due, bail forfeiture due, appellate record due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological

Name	Description
	evaluation or pre-sentence investigation); prompt or notify users; and initiate proper functions (e.g., generate statutorily required notice regarding termination of support on approaching birthday when child becomes an adult, unless special conditions exist that nullify termination, such as physically handicapped person; generate notice regarding approaching speedy trial deadline; generate notice to attorney and lower court clerk regarding failure to file official appellate record; schedule hearing). The system should provide the ability to satisfy or modify existing ticklers based on user-defined actions.
Provide User Control of Tickler	Allow authorized users to manually or by rule define structure, content, frequency, and intrusiveness of ticklers, alerts, and prompts; allow users to suspend, reactivate and modify ticklers. The system should also allow for delayed notification of past-due ticklers based on user-defined time period (i.e. "snooze" feature).
Provide Visual Reinforcement	Provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message.
Provide and Maintain Templates	Maintain file of templates available to users to create input documents and, as necessary, associated cover sheets and relate each template to court event(s) (e.g., to correlate templates with events, email notification templates).
Provide for Minute Review	The CMS should provide the ability for authorized users to review and correct minutes after initial entry and provide an audit trail of any changes that are made.
Receive Initial Filing	The clerk receives the initial filing information either electronically or by hard copy.
Receive Non-compliance Information	Receive information regarding non-compliance of pre-trial intervention or supervision requirements.
Receive Pre-Sentence Investigation Information	Receive pre-sentence information electronically or contents of report (e.g., date ordered, date returned, results, extension requests) (see Hearings Function).
Receive Return of Service	Receive return of service on served documents (e.g., subpoenas, warrants, etc.).
Receive Served Documents	Receive and acknowledge receipt of served documents (e.g., subpoenas, warrants, etc.) from appropriate agencies.
Reconcile Bank Statements Electronically	Receive bank statements and reconcile bank accounts electronically.
Reconcile Court and Bank Balances	For specific periods: compare court record of

Name	Description
	checks with bank record of checks; create list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; create report giving discrepancies for all reconciliations.
Reconcile and Balance Accounts	Reconcile and balance all accounts.
Record Compliance Results	Record fully, partially, and non-satisfied executions (e.g. All obligations satisfied).
Record Disposition	Record disposition for entire case for any manner of disposition, including dismissal, transfer, withdrawal, decision, judgment, verdict, settlement, plea, and any other disposition type. If applicable, record disposition and sentence (if also applicable) for each allegation or count of each charge including those involving entire cases, individual, families, multiple issues, individual parties, multiple and/or cross referenced cases, and cross petitions. Where applicable, prompt to dispose of all charges as a single user action (e.g. compute and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant; compute and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant; compute and enter non-monetary provisions (e.g., work program, restitution by services) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures; link charges and fine or restitution amounts; enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant; compute and enter fine or monetary restitution based on sanctions imposed on each person; enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person; associate monetary and non-monetary restitution with specific victim(s)). The system should have the ability to utilize court room activity information that was acquired during hearings.
Record Financial Changes Resulting from Court Orders	Record changes to accounting records that result from court orders (e.g., change in monthly restitution or support payment amount) and modify appropriate records.
Record Funds Received from Other Agencies for Specific Case	Record and track funds received from other local, state, and private units for payment of

Name	Description
	specific case and party costs, fees, and judgments (e.g. tax intercept, wage garnishment, and fees from another jurisdiction for service by a law enforcement officer).
Record Information on Payments and Other Transactions	Record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non-case related).
Record Inventory of Cash Drawer Contents	List contents of each drawer (e.g., cash, checks, credit and debit card receipts, fee waivers, money orders).
Record Objections and Post Judgment Motions	Objections as well as any additional post judgment motions are recorded.
Record Opinion Citations	The system should provide the ability to record one or more citations for each published opinion, and subsequently permit user to retrieve case information by citation number.
Record Reason for Closure	Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, mandate issued, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or bail forfeiture) when all locally defined business rule conditions are met.
Record Receipt of Exhibits	Record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence, and location), generate tag for exhibits and other property, relate to specific case, generate receipts.
Record Return, Disposal, or Destruction of Property	Record return, disposal, or destruction of exhibits and other property.
Relate Judges to Staff	Relate individual judges, other judicial officers, and groups of these officials to department staff (e.g., reporter, bailiff, law clerk or staff attorney, judge, other judicial officer also may be considered staff).
Relate Judges/Staff to Facilities/Court Organization	Relate individual judges or groups of judges and court staff to available courtrooms, locations, and departments, and equipment.
Relate Templates and Text Files to Court Events	Relate each output template and text noted above to document(s) and court event(s) for which they are used. Provide template version control and maintain template version history.
Report Due Events	Generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria (e.g., termination of support on approaching birthday when child becomes an adult, and special conditions that nullify termination, such as person physically handicapped).
Report Index Information	Extract, print, or otherwise produce (with appropriate security restrictions) index

Name	Description
	information arranged according to various components of index (e.g., party, case number, case status).
Report Nonconformance to Business Rules	Provide exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established business rules.
Retain Information	Identify and retain summary information (e.g., indexes, key elements of case history from inactive, archived, destroyed, or purged case or party files), in accordance with local rules, as needed for references to the archived, destroyed, or purged case or for related cases or parties that remain active (see Docketing Function).
Retrieve Bank Account Records	Retrieve, maintain, and track various types of bank accounts (e.g. interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk).
Retrieve Master Distribution List	The CMS should allow the user to retrieve the master distribution list based on case parties, participants, and other user-defined entities. However, the system should allow the user to override, add, or remove recipients to/from the distribution list for specific documents or cases. The system should capture historical data about document distribution.
Retrieve and Associate Documents	Permit user to associate and retrieve electronic documents (e.g document, audio or video file) by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed). Also permit user to maintain and output index of manual paper documents.
Review Initiation	Validate new filing against court-defined criteria to ensure that the case should be accepted by the court. The system should also conduct locally used checks to verify that the case being initiated is in the correct jurisdiction.
Schedule Groups of Related Cases	Schedule groups of related cases (e.g., multiple trial court defendants involved in same incident, appellate cases consolidated or administratively related because of common issues) as if group were a single case; apply any subsequent changes in schedule, courtroom, assigned judge, etc. automatically to all cases in the group. (See also Case Initiation and Indexing Function and Docketing and Related Record Keeping Function for discussion of case groups and relationships)
Schedule Maximum Number of Events	Provide ability to schedule a maximum number

Name	Description
	of events for specific, user-specified time interval by event type (e.g., hearing), judge, and other criteria. As events drop off, the system should provide for automated backfilling.
Schedule Multiple Cases for Same Date and Time	Allow multiple cases and events to be scheduled for same date and time slot, regardless of any official, administrative, or informal relationship between those cases or events (e.g., preliminary trial court hearing for multiple, unrelated defendants in custody at the same time, multiple matters scheduled for appellate court session).
Seal Case Files	Seal files when ordered by the court, as defined by state and local rules.
Search for Existing Name	Prompt user when persons already exist that relate to new case, followed by user-initiated search for duplicate persons that user can transfer into current case if appropriate to avoid unnecessary data entry (e.g., using party names, addresses, and other identifiers noted above).
Search for Existing Organization	Prompt user when organizations already exist that relate to new case, followed by user-initiated search for duplicate organizations that users can transfer into current case if appropriate to avoid unnecessary data entry.
Search for Existing Property	Prompt user when property already exists that relates to new case, followed by user-initiated search for duplicate property that users can transfer into current case if appropriate to avoid unnecessary data entry.
Select Pre-Defined or Ad Hoc Reporting	Permit user to choose either the pre-defined system reports or ad hoc report generation.
Send Notices of Expunged and Sealed Cases	Send notice of expungements, sealed cases, and special access information to all appropriate agencies.
Set Reporting Parameters	Set user-defined reporting parameters.
Share Information with State Agencies to Collect Payments	Share information with state agencies to coordinate collection of court-ordered payments.
Store and Output Documents Maintained in the System	Once a document has been produced, the system should provide the ability to save, store, retrieve, and output, in its original form, any document maintained in the system without requiring the data to be regenerated. Documents should be stored in a secure format consistent with court rules and procedures.
Suggest Resolutions	Suggest availability/resolutions to scheduling conflicts.
Support Case Comments	Provide secure and flexible capability to enter, retrieve, view, and restrict access to case comments and notes that are not part of the public record; permit both general, case-level

Name	Description
	comments and comments associated with particular parts of the case record (e.g., parties and participants, recorded events and documents); indicate to authorized user when comments are available for the particular record or section being viewed; track date, time, and user for each comment.
Support Electronic Opinions	The system must provide the ability to store and circulate draft opinions electronically within the Court.
Support Individual or Periodic Pay-through Checks	Provide capability to issue checks for pay-through activities individually (e.g., when collected) or periodically (e.g., monthly) based on accumulated payments.
Support Opinion Comments	Allow authorized user to enter comments about circulating opinions and distribute comments to panel members only.
Support Output Templates and Standard Text	In conjunction with Docketing and Related Recordkeeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., court orders and civil warrants with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices).
Suppress Output of Confidential Information	Suppress inclusion of user-designated confidential data elements in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Creation and Tracking Function, Calendaring Function, Hearings Function, and Disposition Function).
Suppress User-Designated Information	Suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings, appellate justice assignments, and other non-public information). (see also Configuration Maintenance, Security Integrity Function).
Total and Reconcile Receipts to Calculate Bank Deposits	Total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Receipt Accounting Function).
Track Changes in Charges	Track changes in modified or amended charges from point of arrest or initial filing through completion of sentence while remaining linked to incident for disposition tracking purposes.
Track Changes in Dismissed Charges	Track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes.
Track Changes in Identifiers	Coordinate and track changes in case numbers

Name	Description
	(e.g., for cases transferred to general jurisdiction court), individual identifiers (e.g., across courts, criminal support units, CJ agencies, and non-justice agencies), and other identifiers.
Track Conformance to Time Standards and Business Rules	Track conformance to time standards (e.g., answer/response due 30 days after service to respondent) including modifications (e.g., moving from one case management track to another), overrides (e.g., overriding requirement that answer/response due in 30 days and manually entering 60 days), and suspension of time counting under certain conditions. Time standards and other business rules will vary by locality.
Track Document Generation and Distribution Information	Capture, retrieve, and report pertinent information regarding all documents generated by the court, including characterizing information (e.g., type of document, date and time generated, associated case numbers) and distribution information (e.g., addressees or internal distribution list).
Track Location and Status of Exhibits	Track location and status of exhibits and other property.
Track Opinions	The system must keep track of all opinions (including dissents, concurrences, etc.) on the case from the time they are assigned to a judge, including opinion status, status dates, staff assigned, and opinion type. Tracking information also should include the opinion drafting status, voting, schedule for drafting and review of opinions, and length of time required to produce and review each opinion.
Track Pleas	Track pleas entered and their verdicts.
Track Schedule Modifications	Track and output schedule modifications (e.g., judge or mediator's schedule's, or courtroom reassignments) over specific period.
Track Sentence Compliance	Track sentence compliance and modifications (see Disposition Function).
Track and Display Relationship Reports	Track and display or produce reports on relationships of specific cases, judge, attorneys, parties, defendants, participants, and organizations to allow the system to define, redefine, and modify relationships and reassign linkages as needed.
Track and Link Charges	As applicable to case type, integrate and coordinate with Case Initiation and Indexing Function to track all charges (initial and modified) and to link charges to proper defendant or juvenile, case, and incident.
Track and Record Issued Opinions	When court issues opinion, the CMS must record the date issued, the opinion type (e.g., published opinion, memorandum decision), the court's decision, opinion author, and all dissent and concurrence authors

Name	Description
Transfer Funds Between Accounts	Transfer funds from one case to another case or between accounts in a given case with proper audit trail (see Bookkeeping Accounting Function).
Transmit Referrals	Send information on adult referrals for pre-sentence report (see Hearings Function).
Transmit Served Documents	Send served documents (e.g., subpoenas, warrants, etc.), to appropriate agency with request for acknowledgement of receipt.
Update Active Records for Archived/Destroyed Files	Interface with the Docketing Function to update records of cases or parties related to cases transferred to inactive, archived, destroyed, or purged status. Conversely, when a file is being archived/destroyed, the system must retain all associated information if the information is being used in another case file. In other words, the CMS index is not affected and retains limited docket information, as dictated by court rules and procedures.
Update Active Records for Expunged or Sealed Files	Interface with the Docketing Function to update records of cases or parties related to cases transferred to expunged or sealed status.
Update Disposition, and Sentence Information	Maintain and produce disposition, and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences, and reason for closure for each charge (e.g., ultimate resolution for case due to trial, ADR such as mediation, dismissal, withdrawal, conference, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation).
Update Group as if Single Case	Update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Docketing Function).
Update Judgment Indexes	Create, display or print, and maintain separate judgment indexes (i.e., judgment book) that show original and subsequent judgments (e.g., containing judgment entry and expiration dates, amounts, modifications, satisfactions, judge or other judicial officer) by case and party.
Update Records	Capture information for each party associated with a hearing including check-in date and time, when hearing began and ended, when party called into hearing, whether party actually appeared in hearing (e.g., may have been outside courthouse when called) Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments, continuances, cancellations, oral arguments completed) to update records on cases, parties, defendants, juveniles and other persons, allegations, and pleadings throughout

Name	Description
	system (e.g., working with Docketing Function for docket updates, Scheduling Function for rescheduling of hearing or scheduling subsequent hearing, Document Creation and Tracking Function for notice creation, Disposition Function for recording disposition information, Accounting functions for monetary judgment data, and other functions). Record updating includes updating of case status (e.g., case pending decision) for case management and tracking purposes.
Update Register of Actions	Automatically update the register of actions for each late payment notice generated.
Use Same Document Management System for Imaging	Provide capability to use same document management system for imaging if imaging is included in overall case processing.

Actor

Name	Description
Accounting Supervisor	Manger who oversees accounting, bookkeeping and financial processes, and manages clerks who perform these functions.
Archivist	Individual in charge of maintaining historical records.
CMS	
CMS Administrator	Individual in charge of managing the CMS systems, its settings, management and access control and other functions to ensure the system's performance consistent with local business practice.
Compliance Officer	Court officer who manages compliance with court orders and other directives.
Court Administrator	Supervisor in charge of managing the business of the court, including schedules, information systems, and personnel.
Court Clerk	Individual in charge of maintaining court records.
Exhibit/Evidence Manager	
Judge	An elected or appointed public official, charged with the responsibility of conducting cases, controlling proceedings, and deciding questions based on statutory law or discretion.
Security Administrator	Administrator in charge of maintaining system security and user access.
Supervisor	Any individual empowered to oversee the work of one or more other individuals.

Name	Description

Business Function

Name	Description
Bookkeeping Accounting	Bookkeeping Accounting involves the activities associated with (1) financial management, recordkeeping and reporting functions commonly performed at the end of an accounting period (e.g. daily, weekly, monthly) and (2) ongoing functions. These tasks include maintaining account, case, and person financial records; conducting internal and external funds transfers and other financial transactions; interfacing with receipting activities to exchange account and other financial information; and producing reconciliations, statements, reports, and other documents.
Calendaring	The calendaring function includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as considered within this context, may also include ADR events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a judge, justice, magistrate, referee, commissioner, or other judicial officer or panel in court events such as trials and hearings, appellate conferences, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events. The scheduling of hearings and conferences (see Scheduling Function) provides the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function, judges' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by re-generating all or part of the calendar to reflect scheduling changes, entering or updating calendar notes, making changes to the format or organization of calendars. They then generate the updated calendars for electronic or printed distribution.
Case Initiation and Indexing	The Case Initiation and Indexing Function

Name	Description
	encompasses the range of activities that initiate a case record and create and maintain its index. These activities include acceptance and processing of the initial filing or notice of appeal, determining the case category, capturing case and party information, creating an index for the case, and maintaining the index over the life of the case. Examples of other activities that occur within this initial function include: identifying cases for differential management or time-sensitive processing, grouping related parties, and capturing secondary identifiers, etc. Because a CMS case index is a logical rather than physical entity, the indexing activities involve extracting and organizing key information to provide a wide range of search and inquiry capabilities, updating those key elements as parties or additional information about them are added, and reporting summary case information as needed.
Configuration Maintenance, Security, and Integrity	This function provides for the activities associated with ensuring the security and integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. This is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software. This function also deals with the rule-driven behavior capabilities associated with the code translation tables.
Disposition	The Disposition Function addresses activities associated with disposing a case, issues, parties, or charges/allegations in a case. In trial courts this includes any type of criminal disposition resulting from a court decision after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture; or any type of civil disposition resulting from jury or non-jury trial, mediation or arbitration, default dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. In appellate courts, disposition may be by decision (by published opinion, memorandum decision, order, per curiam affirmation, mandate, or other opinion), dismissal, denied appeal, transfer, or other resolution. This function also supports the user in accomplishing the disposition-related actions called for in court orders.
Docketing	Docketing (register of actions) describes the activities associated with entering case history

Name	Description
	information into the court record. Docket/register of actions entries are made during case initiation and subsequently throughout the duration of a case. The docket contains basic case header information about the parties, associated persons, or entities. The docket also includes a record of the receipt of documents, issuance of documents, and recording of future and past events such as hearings and court proceedings. Information is added as the case progresses and events are completed. Some events may automatically trigger an update to other case information in the docket, or the dockets in other cases. The docket or register of actions, which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case. Within the context of these standards, docketing is a recording of concluded actions and is never anticipatory. The content of the docket entry of a completed event, however, may be anticipatory (e.g., docket entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future). From a CMS perspective, the docket is a logical entity and not a physical repository of information as in manual case processing. Recordkeeping related to the docket, therefore, refers to the computer's ability to access, correlate, and manipulate records (e.g., code translation tables, case records, party records) in a manner that produces the required information on a given case and on cases that have a particular relationship to the given case.
Document Creation and Tracking	The activities associated with creating, distributing, and tracking court documents such as notices, orders, judgments. The methods of distribution of documents in this section include but are not limited to (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as criminal and civil warrants, petitions, summons, and complaints; (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those that are sent with no proof of service or used internally such as forms, letters, and brief reports (as opposed to more lengthy and complex documents

Name	Description
	described in Section 13, Management Reporting).
Hearings	The Hearings module describes the activities associated with reaching a decision in calendared events (e.g. hearings, oral arguments, conferences, etc.), recording the results of these events, and notifying the appropriate persons of court decisions. In the context of this document, calendared events include all proceedings in which arguments, and possibly witnesses, are heard, and evidence and exhibits may be examined by a judge, judicial officer, or appellate panel. This function also includes court activities related to court-ordered pre-trial services and pre-sentence investigations as well as (non-financial) bail management. The Hearings Function encompasses a number of in-court and post-court activities related to capturing and producing minutes, interfacing with other functions to update court records, and generating and distributing court orders. The CMS must support the ability for the court clerk to format hearing proceedings as well as create and distribute court orders as a result of the hearings.
Management Reporting	Management Reporting describes the activities associated with court operations information and court management information. Typically, the clerk of court or state and local court administrative offices identify the information that they need from the court, and local customs and management styles determine the management reports. There are five general reporting areas: · The case processing system must satisfy state and local statistical reporting requirements; · The case processing system must produce management reports; · The management reports must be defined according to local needs; · Most management reports must be available in detail (information on individual cases or persons) and summary (information on groups of cases or persons) form; and · The management reports must allow system users to obtain information on all or

Name	Description
	specific groups of cases or persons when they request a given report. The reports are by-products of case processing data already in the system, with nothing entered specifically for reporting purposes. Users create reports by identifying (1) the information they need, (2) what data from the system is available to convey this information, (3) how these data must be grouped to convey the information, (4) how often specific information is needed, and (5) what report argument values are specified by the user. Most reports should be available both periodically and when requested. Users or administrators must be able to direct reports to a variety of output devices, such as screens, printers, files, etc. Court personnel should specify only the pre-programmed reports that satisfy a clearly defined management objective and are intended for regular use, because excessive pre-programmed reports may prolong system development. In addition, the CMS must provide comprehensive report generation capabilities to permit users to produce additional reports easily on an ad hoc basis. This function also includes information exchanges between the courts and organizations outside the courts regarding their justice, informational, and social services. These organizations include justice (e.g., state and local government attorneys, law enforcement, detention), social service (e.g., youth and family services, child welfare, mental health, juvenile rehabilitation, victims services), and other local and state (e.g., criminal justice units, information clearinghouses) agencies. Whenever possible, management reports should conform to statistical reporting requirements described in NCSC's State Court Guide to Statistical Reporting.
Post Disposition Compliance and Execution	This function supports post-disposition (i.e., post-conviction or post-judgment) activities associated with monitoring compliance with sentence and supervision conditions, terms of a court order for alimony, child support, restitution payments, or other judgments.

Name	Description
	Criminal courts may track post-conviction activities reactively (e.g., when notified by the adult probation department of non-compliance with supervision terms) or proactively (e.g., when follow-up action has been established for a sentence involving fine payments and/or restitution).
Receipt Accounting	The Accounting/Receipting Function addresses the collection of funds, issuing of receipts, cashier closeout and cashier management. Funds are collected from parties and their representatives who submit payments required by the court. Receipting functions can be performed at the cashiering station of the front counter in the clerk's office if payments are made in person rather than electronically or by mail. These functions relate closely to the Accounting/Bookkeeping Function, which often processes funds collected automatically to accomplish such tasks as funds distribution and account updates. The system should comply with generally accepted accounting principles for state and local governments.
Records Management	Records Management describes the activities associated with (1) receiving, creating, storing, managing, tracking, archiving, and disposing of manual, electronic, and imaged case files and other documents; and (2) receiving, tracking, and returning or destroying exhibits and other property gathered by the court (but not fixed assets and similar property of the court). Some courts may only have electronic files and manual files may not apply.
Scheduling	This function includes the activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, monitoring adherence to schedules, and establishing parameters for scheduling (e.g. number of events per time period, etc.). Scheduling contrasts with docketing in that scheduling addresses events that have not yet happened but need to be set up to occur at a particular time, while docketing addresses the recording of completed activities. For the purposes of these standards, scheduling refers to that set of actions associated with the following two categories: · Establishing deadlines for events that require minimal court resources (e.g., scheduling submission of a pleading). · Scheduling events that require more extensive court resources (e.g., scheduling

Name	Description
	trials and other types of hearings such as motion hearings, calendar calls, conferences, and oral arguments that require resources such as judges, courtrooms, and courtroom staff). While most courts regard scheduled events as administrative activities and not part of the official court record, these events may initiate an action that is part of the official court record. For example, an event that violates time standards because it does not occur by its scheduled date may initiate a hearing to determine why the case is out of compliance; the hearing would be scheduled, officially placed on a court calendar, and therefore docketed (i.e., recorded in the register of actions) and made part of the official court record. The term calendaring (see the Calendaring Business Function) in the context of these standards, refers to the preparation, formatting, and distribution of court calendars based on information provided through the Scheduling Function.

State

Name	Description
Access Restricted	Security access is restricted.
Account Managed	Account has been managed.
Account Not Managed	Account has not been managed.
Appellate Opinions Managed	The activities associated with managing and tracking appellate opinions are completed.
Associations Maintained	Associations have been maintained.
Bail Process Managed	Bail process has been managed.
Calendar Created	Calendar has been created.
Case Accepted	Case has been accepted.
Case Accounts/Payments Established	Case accounts and payments have been established.
Case Closed	Case has been closed.
Case Not Accepted	
Cashiers Closed Out	Front counter records have been closed.
Categorized	Case has been categorized by case and lead charges or disputes.
Compliance/Execution of Judgment Tracked	Compliance and execution of judgment has been tracked.
Created/Distributed	Court orders have been created, distributed, and delivery verified.
Data Integrity Maintained	Data integrity has been maintained.
Disposition Processed	Disposition has been processed.
Disposition Supported	Disposition has been supported.
Distributed	Document has been distributed.

Name	Description
Docket Created	Docket has been created.
Documents Generated	Documents have been generated.
Documents Managed	Documents have been managed.
Documents Printed	Documents have been printed.
Entity Associated	Persons are associated to their identifiers, contact information, and demographic data.
Exhibits/Evidence Managed	Exhibits and evidence have been managed.
Files Archived/Destroyed	Files have been archived or destroyed.
Files Expunged-Sealed	Files have been expunged or sealed.
Files Tracked	Files have been tracked.
Financials Maintained	Financials have been maintained.
Funds Collected	Funds have been collected.
Funds Disbursed	Funds have been disbursed.
Funds Processed	Funds have been processed.
General Ledger Maintained	General ledger has been maintained.
Indexing Accomplished	The index has been created and maintained.
Initial Case Processing Completed	The initial processing of the case has been completed.
Judicial Panel Managed	The activities associated with managing a judicial panel are completed.
Paper Files Tracked	Manual files have been tracked.
Payment Plan Established and Maintained	The payment plan has been established and maintained.
Pre-Sentence Investigation Conducted	The pre-sentence investigation has been conducted.
Pre-Trial Services Conducted	Pre-trial services have been conducted.
Proceedings Recorded/Formatted	Proceedings have been recorded and formatted.
Receipts Generated	Receipts have been generated.
Related Information Linked	Related information has been linked.
Reporting/Utility Functions Performed	Reports have been made and utility functions performed.
Reports Generated	Reports have been generated.
Reports Produced	Reports have been produced.
Resources Assigned	Resources have been related and assigned.
Rule Driven Behavior Established	Rule driven behavior has been established.
Schedules Changed	Schedules have been changed.
Schedules Created	Schedules have been created.
Schedules Managed	Schedules have been managed.
Schedules Produced/Tracked	Schedules have been produced and tracked.
Security Maintained	Security has been maintained
Served Documents Tracked	The activities associated with tracking warrants and other served documents is complete.
Ticklers and Prompts Generated	Ticklers and prompts have been generated.
Transactions Posted	Transactions have been posted.
Utilities Documented	Utilities have been documented.

Use Case

Name	Description
Appellate Opinion Management	This Use Case addresses additional activities associated with assigning, managing, and tracking appellate court opinions. The CMS must provide the ability for authorized users to

Name	Description
	manage and track the opinion process from initial assignment through drafting, circulation among justices, release, and publication while adhering to the court's privacy and security requirements regarding opinions.
Bail Management	This subfunction includes the activities associated with bail management (e.g. collecting bail money, and producing receipts and reports).
Bank Account Management	Bank Account Management addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts covered later in this section) and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These tasks address accruing interest on bank accounts but not within the court accounting system on the case, party, or other funds subsumed in bank accounts. Similarly, these tasks do not address interest on delinquent payments.
Bank Account Reporting	Bank Account Reporting refers to the generation of statements and other reports produced from bank account management (e.g. financial transaction lists, deposit list, and open item list).
Calendar Creation	Create, generate for display or printing, and maintain calendars based on scheduling information and incorporating and identifying addenda for each type of hearing (see Section 3, Scheduling Function). Scheduling information may be referenced by: · type of hearing (e.g. jury trial, non-jury trial, motion, preliminary, dismissal, oral argument) or · mixed hearings (e.g. motions and plea agreements) and conferences by specific periods (e.g. daily, weekly, monthly). · other various criteria (e.g., judge, judicial panel, date, time, case type, case category, hearing reason, other elements of calendar profiles)
Calendar Distribution	Calendar Distribution refers to the functionality necessary to print calendars, direct calendar to others, produce summary calendars, and involves defining calendar content and format based on designated recipients.
Case Acceptance	Case Acceptance includes the activities that occur as new and/or proposed cases are entered into the court computer system. Then the information and filings (e.g., complaints, petitions, notices of appeal) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and

Name	Description
	combined with information from other cases to develop reports on court activity. These entries conform to locally used conventions regarding a structured case number, title or description, and other basic information.
Case Closure	This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).
Cashier Close Out	This subfunction includes the activities associated with front counter cash drawer balancing, cash management, credit and debit card transactions, and record keeping, primarily involving payments and receipts generated in return for these payments.
Create New Account	Create a new bank account.
Create and Distribute Court Orders	This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings. The court orders can be generated in real time or at any time during the life of a case.
Data Integrity	Data integrity refers to the ability of the CMS to ensure that all data elements and records remain unchanged due to any outside influence other than deliberate human intervention (e.g. power outage, operating system inconsistencies or problems, data back-up and recovery operations), and also that data be originally entered as correctly and accurately as possible. This ensures the integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. It is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software. Consideration must be given to systems that allow customization based on the hardware platform and operating system. As new technologies are developed to increase the level of data integrity, just as "mirroring" has

Name	Description
	done in the recent past, case management systems must be designed to take advantage or at least allow the use of these improvements. The application software should contain carefully designed input edits and checks to improve data quality and integrity by validating data entered into the system. The data integrity issue becomes more acute with electronic data exchange. The possibility exists that the data and documents originally sent differ from those ultimately received because, for example, they became corrupted during transmission. The court should devise a method to ensure the integrity of these data and documents -- normally through case processing system edits or, more reliably, through special-purpose security hardware or software with features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and non-repudiation (sender cannot later deny sending information). The authorized user should be provided the capability to perform specific case audits of data to validate the content of a report.
Defendant Compliance and Judgment Execution	This function supports the post-disposition activities related to compliance with judgment, court orders, sentence, and supervision conditions. These situations normally arise when the court either tracks adherence or is otherwise informed by the unit that administers post-disposition programs (e.g., adult and juvenile probation, child support, or other programs) with which the person has not complied. This function interacts with the Hearing and Disposition Functions.
Dishonored Payment Management	A process that should include but not be limited to identifying and processing dishonored payments (e.g. NSF checks, credit card payments, counterfeit currency).
Dispose Case	This group of activities describes the update of information resulting from the disposition process and the production of documents (e.g., judgment form, sentencing documents, custody forms; see also Hearings Function) for dispositions (i.e., judgments) by trial, after jury or non-jury trial, guilty plea (e.g., by plea

Name	Description
	agreement)or settlement. This module also produces documents such as those for ADR, mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. For case management and statistical purposes (e.g. workload, clearance rates, time standards, etc.), the CMS must have the flexibility to report multiple dispositions based on different milestones. The CMS must provide the ability to report dispositions consistent with both local court requirements and national reporting requirements. In particular, the local court should be able to designate the effective date of overall case disposition based upon rule-driven behavior.
Disposition Maintenance Support	The disposition maintenance function supports the user in accomplishing the actions required by court orders.
Distribution Account Management	Distribution Account Management includes managing the distribution account by posting receipts, computing fees, initiate, print, and disburse checks or electronic funds transfers, produce a pre-check register, and apply payments to proper account or activity.
Docket Creation and Maintenance	The system creates the docket or register of actions using basic case information entered during case initiation and supplemented by subsequent user entries. Such information includes case type, case category, case status, case title or style, parties, and attorneys. This header information is updated throughout the active life of the case. The primary data entry that occurs as part of the docketing functions is to record case events (e.g., filings, hearing results, dispositions). While some events may trigger an update to the case information in the docket (e.g., party or participant name change, defense attorney change), event entries generally are not updated unless they have been entered incorrectly; subsequent events are entered separately. Recording of bail and bond events should also be allowed in docketing. Docket Creation and Maintenance also includes the ability to make changes to multiple cases or charges as if they were a single case. For example, in civil cases a single deposition filing could be entered once and applied to all linked cases.

Name	Description
	The system should allow for role-based security to docketing information (See Configuration Maintenance, Security Access Requirements).
Document Generation and Distribution	Document Generation and Distribution addresses the standard documents generated by the system including those that typically are served by a process server, such as a law enforcement officer, and those that are simply mailed or given to a party, attorney, or participant.
Document Management	This subfunction addresses document management capabilities for electronic and imaged documents (these standards do not assume that the court has an imaging capability). The electronic documents may include anything that would exist in a manual file.
Document Printing	Document printing addresses the functions needed to support flexible selection of printers,printer location, batch or individual document printing, language options, and event-driven printing.
Document Utilities	This group of subfunctions includes various system utilities that support document generation, processing, and delivery such as output templates (i.e. forms that may be electronically generated to permit court seals and signatures into which text can be inserted), standard text (e.g. "boilerplate" text used in many documents), and recipients for specific documents. These utilities may be used to generate documents in conjunction with or as an alternative to building a completely new document each time using program logic and user- or system-supplied parameters.
Draw-Down Case Account Management	Draw-Down Case Account Management includes the accounting-related activities associated with organizations that have frequent business with the courts. Such organizations include attorneys, law firms, credit reporting agencies, and the media to cover their costs and fees.
Establish Case Accounts and Payments	This function establishes individual case and party accounts when fees are initially received for cases (e.g. single party account in case with single or multiple parties or multiple party accounts for each case) (see Section 9, Receipt Accounting). This function may create payment schedules, collect payments, apply payments to scheduled amounts due (e.g. amount in judgment), and produce reports on overdue amounts.
Establish and Maintain Payment Plans	Activities associated with establishing,

Name	Description
	maintaining, and updating court payment plans.
Exhibit and Evidence Management	This subfunction provides for the identification of exhibits, and evidence received and tracked by the court. Exhibit and Evidence Management must provide the ability to associate this information with specific cases.
File Archival and Destruction	Manual and electronic case files pass from active to inactive status and eventually they may be archived and ultimately destroyed in accordance with local and state rules for record retention. While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary.
File Expunging and Sealing	Some files may need to be expunged or sealed. Depending on state statutes or rules, when a file, manual or electronic, is ordered expunged, that file may need to be rendered unrecoverable and completely unreadable, including all back-up or archived copies.
File Tracking	Files must be managed and tracked. Activities associated with file tracking include: using general indicators to indicate restricted-access files, maintaining location and archival status of files, flagging the electronic file when the hard-copy file cannot be found (e.g. file is lost, recreated, destroyed).
Financial Administration	This subfunction includes the activities associated with generating the various listings and reports that document and coordinate financial activities (e.g., transactions, reconciliations, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually) in accordance with generally accepted accounting principles. In addition, the CMS must provide comprehensive report generation capabilities to permit users to produce additional reports easily on an ad hoc basis.
Funds Collection	Funds Collection addresses the activities associated with accepting payments from parties and their representatives.
Funds Disbursement	This subfunction provides the activities associated with distributing funds among accounts, sharing financial information with

Name	Description
	other governmental and private entities (e.g. banks, collection agencies), and processing disbursements (e.g. to law enforcement, state and local treasurers, and other recipients).
Funds Processing	Once funds have been accepted, this subfunction allows for processing and allocation of funds in accordance with subfunctions of Bookkeeping Accounting (Section 10).
General Ledger Maintenance	General Ledger Maintenance includes the activities associated with creating and maintaining the general ledger, subsidiary ledgers, and journals; maintaining a chart of accounts; and reconciling and balancing accounts.
Generate Case Account Reports	This subfunction includes generating case account reports including periodic (e.g. daily, weekly, monthly) reports or displaying a showing of financial status, and history (e.g. information on transactions, account balances, discrepancies, adjustments) for each specified case, party, or fund account (see also Section 13, Management Reporting). Other periodic financial reports generated include reports based on various criteria including at minimum account aging, audit trail, and journal reports (Section 13, Management Reporting). This subfunction also generates and prints invoices, produces correspondence, and generates accounting notices.
Indexing	The indexing activities encompass both the automatic creation of case index entries during case initiation and the use of the index throughout the life of a case. The index is created at case initiation and updated throughout the life of a case. The overall purpose of an index is to allow users to look up cases or parties and view summary information (i.e. a subset of case information) such as each party's name, role in the case, and whether the party has an attorney; case type; case number; date filed; and a cross reference to other parties in the case (e.g., the parties named in the case title or style).
Initial Case Processing	Initial Case Processing describes the activities around initial case processing. It includes identifying the reason for a case as well as assigning identifiers and grouping similar and related cases. Initial Case Processing also supports differential case management and the ability of

Name	Description
	the system to process different categories of cases such as: time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases, and other case management methods. This module should also clearly display case management track or category, especially in expedited cases. This module also needs to allow for the creation of ticklers and other prompts. This should interface with the overall system tickler functionality. Differential case management may entail highly complex staff expertise or CMS design because it may permit the user to define complete case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category.
Judicial Panel Management	This Use Case addresses additional activities associated with establishing, maintaining, and working with appellate judicial panels.
Link Related Information	The ability to track and link charges, data relationships, party and attorney relationships, and docket entries for related cases.
Maintain Case Account Financials	This function involves maintaining financial transactions and records for case files and dockets (e.g. payments, liabilities with linkage to accounts receivable) (see Section 2, Docketing).
Maintain Case Associations	For single and multiple cases and persons, the system should maintain relationships between different kinds of information contained in the docket and inform users of cases, activities, parties, attorneys, and other entities that would affect or be affected by the information at hand. The capability to establish and apply such relationships greatly assists users in entering and synchronizing data throughout the system. Conflict of interest monitoring should operate dynamically when records pertaining to entities are updated, based upon local business rules.
Management Information Reporting	While management information reporting is a mandatory capability for every case processing system, the specific management reports needed by a given court depend on local rules and highly personalized management styles.
Operations Information and Statistical Reporting	As a by-product of producing information for operations for day-to-day case processing, the system should produce statistics that satisfy

Name	Description
	the reporting requirements of the local court, judicial branch, state agencies, and the federal government. These statistics appear in reports that are generated either locally by the case processing system or at the state level. NCSC's State Court Guide to Statistical Reporting describes a core set of recommended statistical reports for each case type.
Paper File Tracking	Court staff must know the case file location at all times during the case life cycle, from the time they are checked out of clerk's office, through each borrower (including those external to courts such as prosecutor and domestic relations service providers) until returned to the clerk's office relative to location, borrower identifier and other information, file volume number and total number of volumes, date removed, reason file needed, date returned or transferred, and other data. The case records must be categorized, stored as active, inactive, and archived as they progress through their life cycle and tracked until they are destroyed in accordance with local and state rules governing records management.
Party and Participant Information	An entity's information (parties and participants) information is entered and associated with the case. Information includes identifers from external sources and assigned by the court, contact information, and demographic information. An entity may be a person, an organization, or property.
Post Transactions	This function provides for posting financial transactions to case accounts.
Pre-Sentence Investigation	The pre-sentence investigation unit conducts and reports on investigations used by the court to determine sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.
Pre-Trial Services	The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-

Name	Description
	trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).
Produce and Track Schedules	This subfunction produces schedules, other than the official court calendar, upon user request and tracks schedule modifications.
Receipt Generation	This subfunction includes the activities associated with generating and printing receipts for payments.
Record and Format Proceedings	This function provides for the capture of data recorded during a hearing, the formatting and output of minutes, and updating of case records.
Reporting and Utility	Case processing systems must perform various reporting and utility functions as part of file management. Examples include: generating file management and tracking reports, generating file labels, sort outputs, and copy historical case or party data to secondary file.
Resource Assignment	This subfunction group covers standards for assignment of the proper people (e.g., judges, attorneys, parties, participants, staff) and resources (e.g., courtroom, meeting room, teleconferencing systems) to create reliable schedules. Most of these standards reflect fully automated functions, particularly in large courts with many people and resources to schedule. Short of full automation, the computer could assist the user in manual assignment by displaying the requisite information.
Rule Driven Behavior	Rule Driven Behavior refers to the capabilities of the CMS to provide automatic functioning for certain operations based upon tables of values maintained by authorized users, together with the associated processing logic and utilities needed for each operation. These capabilities may encompass a wide range of activities including, for example, the automatic insertion of default values for fines and fees upon user entry of a violation code; automatic selection and display of the appropriate input template for a case event; automatic selection of date, time, courtroom, etc. for a scheduled event based upon availability tables and case readiness rules; and automatic distribution of funds across multiple accounts based upon court business rules. Local courts and their vendors will need to discuss exactly how to implement specific rule-

Name	Description
	based requirements.
Schedule Changes	This activity manages scheduling conflicts, presents availability information, and applies changes.
Schedule Events	Schedule events and groups of events according to business rules and statutory and locally mandated time standards for cases (if applicable), record scheduled events, and produce notices.
Schedule Management	The system should support user in schedule management by providing information on cases meeting user-specified scheduling selection criteria and cases that fail to conform to scheduling rules and time standards.
Security Access Requirements	Security levels should be maintained by the system administrator according to generally accepted security standards. Normal features provided by vendors with the computer and system software protect the system and database from unauthorized access. Local and remote log-on and password protection restricts access to the case processing system, and database security at the file and record levels prevents all but selected groups of users from, respectively, viewing specific files, modifying specific files, or deleting specific files. (As used in this section, files connote all types of files including those used to store data, documents, and programs.) Security functions must include controlling access to specific case types (e.g., juvenile cases), parts of cases (e.g., child name), and cases with special restrictions (e.g., sealed cases). Security must extend to temporal access control capabilities to enable, prevent, or restrict access to specific records during designated periods (e.g, to prevent general access to the identity of a justice assigned to write an appellate opinion until after the opinion has been issued). Access to the system and database by the public and other outside unofficial individuals would lead to additional security requirements. For example, the public could be given access over the Internet or allowed to access the system directly from specified locations (e.g., kiosks or public workstations in the clerk's office). Either of these alternatives presents potential problems because unknown users who do not have individually-assigned passwords and other identifiers would have access.

Name	Description
Security Maintenance	Security Maintenance describes the ability of the case management system to ensure that all data elements and records remain unchanged due to unauthorized access or other human intervention including any unauthorized addition, modification, or destruction of data.
Served Documents Tracking	Activities associated with issuing and tracking the service of court orders, notices, and other documents, including warrants.
Ticklers and Prompts	The system should generate and allow manual creation of ticklers, which result in alerts and prompts to inform users (including individual users and workgroups) of pending or expired schedule deadlines, of completed schedule events, of cases with no scheduled "next event", and of required scheduling actions that relate to the current activity. The tickler function should interface with the document generation and processing function to produce related notices (e.g. letters to attorneys, electronic notification to clerk of lower court) according to local business rules.
Type Case	The Type Case refers to the ability of the system to identify the lead charge or civil plea, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type or dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation. Case type categories should be linked to the NCSC State Court Guide to Statistical Reporting.

Document

Name	Description
Case Closure Reports	
Cash Receipts Journal	
Chart of Accounts	
Checks	
Court Orders	
Deposit Slips	
Disposition	
Exhibit Notices	
Expunged or Sealed Files Report	
Financial Reports	
General Ledger	
Invoice	
Payment Notice	
Post Conviction Document	

Name	Description
Pre-Sentence Investigation Report	
Receipts	
Sentencing Order	This sentencing model provides a data and relationship framework for information exchange based on the court's determination and order concerning a specific criminal case defendant charged with a crime. The outcome message includes information related to the participants, charges, findings, and consequences.
Transaction Summary	

Section

Name	Description
Charge	Details about an allegation that a person has committed a specific offense.
Judge	An official who presides over a court.
Person	Person information.
Petition	

Component

Name	Description
Activity Event Identifiers	
Address	The identification of a physical location associated with a person or organization.
Bail	Security, usually a sum of money, exchanged for the release of an arrested person as a guarantee of that person's appearance for trial.
Community Service	Work performed by law offenders to serve a sentence in lieu of or in addition to jail time
Court Case Identifiers	Reference numbers or other identifying information regarding a court case.
Fine	A forfeiture or penalty to be paid to the court or an offended party in a civil action.
Person Identifiers	Identifying numbers for an individual such as social security number, or FBI or state criminal ID number.
Probation	A convicted person who has received a suspended sentence for conviction of a criminal offense that has been granted provisional freedom on the promise of good behavior and following the guidelines set forth by the court.
Sentence Description	Details of the criminal sentence.

Data Element

Name	Description
Case Caption	Official case title for a court record.
Case Tracking Number	Number used to track a case through the

Name	Description
	system. Live Scan may generate this number. If the person has not been printed the court may assign number and provide number to law enforcement.
Court Type	Type or level of court that has jurisdiction (e.g., county court, municipal court, superior court).
Courtroom	
Date of Birth	A person's date of birth.
Email Address	An email address of a person or organization.
Ethnicity	A person's ethnicity.
Fax Number	A facsimile number of a person or organization.
Fine Amount Due	The amount due to a court for an offense.
Government Issued Identification Number	Unique identifier assigned by the issuing organization.
Hearing Date	
Hearing Start Time	
Location Description	Captures all non-formatted information to identify a location. May represent street address and city, direction of travel, mile markers, cross roads, location on body, etc.
Name Suffix	A component that is appended after the family name that distinguishes members of a family with the same given, middle, and last name (e.g., Jr, Sr, III), or otherwise qualifies the name (e.g., MD, LLD, PhD).
Person Full Name	Full name of a person. This may be used to accomodate situations where a person may have more than three names.
Property Type	A code representing a type of property, e.g. vehicle, television, etc.
Race Code	The National Crime Information Center code identifying a person's race.
Receipt Number	
Sex Code	The National Crime Information Center code indicating a person's sex.
Social Security Number	A unique identifer assigned to an individual by the Social Security Administration.

Evaluation Spreadsheet

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
Executive Summary: CMS				
1. Business Function: Case Initiation and Indexing				
1.1 Description:				
1.2 Use Case Diagram				
1.3 Use Case Specification: Case Acceptance				
1.3.1 Notes				
1.3.2 Special Requirements				
Flow of Events				
1.3.3 Review Initiation				
1.3.3.1 Alternative Flows				
1.3.4 Assign Case Number				
1.3.4.1 Alternative Flows				
1.3.5 Enter Court Identifiers				
1.3.6 Utilize Type Case				
1.3.7 Create Case Title				
1.3.8 Utilize Person Information				
1.3.8.1 Notes				
1.3.9 Enter Reason for Initiation				
1.3.10 Support Additional or External Identifiers				
1.3.10.1 Notes				
1.3.11 Group Cases				
1.3.12 Assign Cases				
1.3.13 Generate Acknowledgments				
Post-Conditions				
1.4 Use Case Specification: Type Case				
Flow of Events				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
1.4.1 Identify Case Type				
1.4.2 Enter Charge Category				
1.4.3 Identify Lead Charge				
1.4.4 Enter Dispute Category				
1.4.5 Identify Primary Dispute Category				
Post-Conditions				
1.5 Use Case Specification: Person Information				
1.5.1 Special Requirements				
Flow of Events				
1.5.2 Capture Person Contact and Identifier Information				
1.5.2.1 Alternative Flows				
1.5.2.2 Special Requirements				
1.5.3 Search for Existing Name				
1.5.3.1 Alternative Flows				
1.5.3.2 Special Requirements				
1.5.4 Merge Data for a Person				
1.5.5 Assign Person Identifiers				
1.5.6 Capture Demographic Data				
1.5.7 Associate Person Information to the Case				
Post-Conditions				
1.6 Use Case Specification: Initial Case Processing				
Flow of Events				
1.6.1 Identify Process Category				
1.6.2 Note Time-Sensitive Filing				
Post-Conditions				
1.7 Use Case Specification: Indexing				
Flow of Events				
1.7.1 Create Index				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
1.7.2 Index Search and Retrieval				
1.7.3 Comprehensive Name Search				
1.7.4 Index Updating Based on Events				
1.7.5 Report Index Information				
Post-Conditions				
2. Business Function: Docketing				
2.1 Description:				
2.2 Use Case Diagram				
2.3 Use Case Specification: Docket Creation and Maintenance				
Flow of Events				
2.3.1 Maintain Basic Case Information				
2.3.2 Maintain Person Information				
2.3.2.1 Alternative Flows				
2.3.2.2 Notes				
2.3.3 Capture and Maintain Docket Entries for Events				
2.3.4 Retrieve and Associate Documents				
2.3.5 Create Docket Entry for Events Originating in Another Function				
2.3.5.1 Notes				
2.3.6 Apply Change to Multiple Dockets				
2.3.7 Create Multiple Docket Entries from a Single Event				
2.3.8 Create Docket Entry for Electronic Documents				
2.3.9 Special Case Processing				
Post-Conditions				
2.4 Use Case Specification: Maintain Case Associations				
Flow of Events				
2.4.1 Maintain Person Information				
2.4.1.1 Special Requirements				
2.4.2 Maintain Multiple Case Relationships				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
2.4.3 Maintain Judge Assignment History				
2.4.4 Maintain Attorney Assignment History				
2.4.5 Maintain Attorney Information				
2.4.6 Maintain Attorney Affiliation				
2.4.7 Maintain Addresses				
Post-Conditions				
2.5 Use Case Specification: Link Related Information				
Flow of Events				
2.5.1 Link Related Docket Entries				
2.5.2 Track and Link Charges				
2.5.3 Link and Display Relationship Reports				
Post-Conditions				
3. Business Function: Scheduling				
3.1 Description:				
3.2 Use Case Diagram				
3.3 Use Case Specification: Resource Assignment				
Flow of Events				
3.3.1 Assign Judges to Case Management Tracks				
3.3.2 Relate Judges/Staff to Facilities/Court Organization				
3.3.3 Relate Judges to Staff				
3.3.4 Assign Case Categories to Departments				
3.3.5 Provide Automatic Resource Scheduling				
3.3.6 Assign Related Cases				
3.3.7 Case Reassignments				
Post-Conditions				
3.4 Use Case Specification: Schedule Events				
3.4.1 Special Requirements				
Flow of Events				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
3.4.2 Allow Transfer of Scheduling Data				
3.4.3 Assign Events to a Schedule				
3.4.3.1 Alternative Flows				
3.4.4 Generate Docket Entry				
3.4.5 Schedule Multiple Cases for Same Date and Time				
3.4.6 Schedule Maximum Number of Cases				
3.4.7 Schedule Groups of Related Cases				
3.4.8 List Cases Waiting to be Scheduled				
3.4.9 Deliver Scheduled Court Dates				
Post-Conditions				
3.5 Use Case Specification: Schedule Changes				
Flow of Events				
3.5.1 Identify Scheduling Conflicts				
3.5.2 Suggest Resolutions				
3.5.2.1 Notes				
3.5.3 Provide Manual Schedule Override				
3.5.3.1 Notes				
3.5.4 Modify Related Records				
3.5.5 Apply Change to Multiple Schedules				
3.5.6 Generate Docket Entry				
Post-Conditions				
3.6 Use Case Specification: Schedule Management				
Flow of Events				
3.6.1 Produce Schedule of Cases with Action Pending				
3.6.2 Generate Docket Entry				
3.6.3 Report Nonconformance to Business Rules				
3.6.3.1 Special Requirements				
Post-Conditions				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
3.7 Use Case Specification: Produce and Track Schedules				
Flow of Events				
3.7.1 Track Schedule Modifications				
3.7.2 Include Case Age in Displays				
3.7.3 Produce Schedules				
3.7.4 Output Schedules for Case Participants				
3.7.4.1 Notes				
Post-Conditions				
3.8 Use Case Specification: Ticklers and Prompts				
Flow of Events				
3.8.1 Provide Tickler Capability				
3.8.2 Provide Visual Reinforcement				
3.8.3 Provide User Control of Tickler				
3.8.4 Report Due Events				
3.8.5 Alert User to Non-Public Record				
3.8.6 Alert User to Unavailable Scheduling Factors				
3.8.7 Identify Completed Events				
3.8.8 Prompt Related Case Scheduling				
3.8.9 Alert User to Maximum Events				
3.8.10 Alert User to No Next Event				
3.8.11 Provide Supervisor Control of Alerts				
3.8.12 Provide Defined Action or Inaction Alerts				
Post-Conditions				
4. Business Function: Document Creation and Tracking				
4.1 Description:				
4.2 Use Case Diagram				
4.3 Use Case Specification: Document Generation and Distribution				
Flow of Events				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
4.3.1 Generate Pre-Formatted Documents				
4.3.2 Create Special Notices				
4.3.3 Include All Parties on Notices				
4.3.3.1 Special Requirements				
4.3.4 Consolidate Notices				
4.3.5 Distribute Documents Electronically				
4.3.5.1 Notes				
4.3.6 Provide Document Workflow Tracking Information				
4.3.7 Utilize Served Documents Tracking				
Post-Conditions				
4.4 Use Case Specification: Served Documents Tracking				
Flow of Events				
4.4.1 Transmit Served Documents				
4.4.2 Receive Served Documents				
4.4.3 Receive Return of Service				
4.4.4 Reconcile Documents				
Post-Conditions				
4.5 Use Case Specification: Document Printing				
Flow of Events				
4.5.1 Process Court Documents by Event				
4.5.2 Provide Group Document Processing				
4.5.3 Suppress Printing of Confidential Information				
4.5.4 Provide Flexible Document Printing				
4.5.5 Print Notices in Multiple Languages				
Post-Conditions				
4.6 Use Case Specification: Document Utilities				
Flow of Events				
4.6.1 Support Output Templates and Standard Text				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
4.6.2 Maintain Standard Text Files and Relate to Events				
4.6.2.1 Special Requirements				
4.6.3 Relate Templates to Court Events				
4.6.4 Create and Support Electronic Forms and Documents				
Post-Conditions				
5. Business Function: Calendaring				
5.1 Description:				
5.2 Use Case Diagram				
5.3 Use Case Specification: Calendar Creation				
Flow of Events				
5.3.1 Arrange Information into Calendar Format				
5.3.2 Suppress User-Designated Information				
5.3.3 Include Nature of Proceeding on Calendar				
5.3.4 Create and Maintain Notes				
Post-Conditions				
5.4 Use Case Specification: Calendar Distribution				
Flow of Events				
5.4.1 Produce Batch and Individual Calendars				
5.4.1.1 Notes				
5.4.1.2 Special Requirements				
5.4.2 Distribute Calendars Electronically				
Post-Conditions				
6. Business Function: Hearings				
6.1 Description:				
6.2 Use Case Diagram				
6.3 Use Case Specification: Record and Format Proceedings				
Flow of Events				
6.3.1 Generate Manual Recording Worksheet				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
6.3.2 Capture Record of Court Proceedings				
6.3.2.1 Special Requirements				
6.3.3 Enter Courtroom Activity				
6.3.4 Update Records				
Post-Conditions				
6.4 Use Case Specification: Create and Distribute Court Orders				
Flow of Events				
6.4.1 Create Court Orders				
6.4.1.1 Alternative Flows				
6.4.2 Approve Court Orders				
6.4.3 Distribute Court Orders				
6.4.4 Utilize Pre-Trial Services				
6.4.5 Utilize Pre-Sentence Investigation				
Post-Conditions				
6.5 Use Case Specification: Pre-Trial Services				
Flow of Events				
6.5.1 Order Pre-Trial Services				
6.5.2 Process Pre-Trial Research Results				
6.5.3 Order Release Conditions				
6.5.4 Utilize Bail Management				
6.5.5 Receive Non-compliance Information				
6.5.6 Identify Court Intervention Cases				
Post-Conditions				
6.6 Use Case Specification: Bail Management				
Flow of Events				
6.6.1 Administer/Terminate Bail				
6.6.2 Enter Bail Release				
6.6.3 Generate and Maintain Bail Register				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
Post-Conditions				
6.7 Use Case Specification: Pre-Sentence Investigation				
Flow of Events				
6.7.1 Transmit Referrals				
6.7.2 Receive Pre-Sentence Investigation Information				
6.7.3 Identify Court Intervention Cases				
Post-Conditions				
7. Business Function: Disposition				
7.1 Description:				
7.2 Use Case Diagram				
7.3 Use Case Specification: Dispose Case				
Flow of Events				
7.3.1 Record Disposition				
7.3.1.1 Special Requirements				
7.3.2 Distribute Disposition Documents Externally				
7.3.3 Update Disposition, and Sentence Information				
7.3.4 Update Judgment Indexes				
7.3.5 Maintain Separate Disposition and Judgment Information				
7.3.6 Utilize Case Closure				
Post-Conditions				
7.4 Use Case Specification: Case Closure				
Flow of Events				
7.4.1 Record Reason for Closure				
7.4.2 Process Notification of Compliance				
7.4.2.1 Alternative Flows				
7.4.3 Coordinate Consolidated Cases				
7.4.4 Close Case				
7.4.5 Generate Case Closure Reports				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
7.4.5.1 Special Requirements				
Post-Conditions				
7.5 Use Case Specification: Disposition Maintenance Support				
Flow of Events				
7.5.1 Track Changes in Identifiers				
7.5.2 Track Changes in Charges				
7.5.3 Track Changes in Dismissed Charges				
7.5.4 Track Pleas				
7.5.5 Identify Inactive Cases				
7.5.6 Update Group as if Single Case				
Post-Conditions				
8. Business Function: Post Disposition Compliance and Execution				
8.1 Description:				
8.2 Use Case Diagram				
8.3 Use Case Specification: Defendant Compliance and Judgment Execution				
Flow of Events				
8.3.1 Initiate Post Judgment Activities				
8.3.2 Utilize Create and Distribute Court Orders				
8.3.3 Record Objections and Post Judgment Motions				
8.3.4 Produce Compliance Documents				
8.3.5 Process Requests for Execution of Judgment				
8.3.6 Track Sentence Compliance				
8.3.7 Record Compliance Results				
8.3.7.1 Special Requirements				
8.3.8 Distribute Post-Conviction Documents				
8.3.9 Utilize Case Closure				
Post-Conditions				
8.4 Use Case Specification: Create and Distribute Court Orders				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
Flow of Events				
8.4.1 Create Court Orders				
8.4.1.1 Alternative Flows				
8.4.2 Approve Court Orders				
8.4.3 Distribute Court Orders				
8.4.4 Utilize Pre-Trial Services				
8.4.5 Utilize Pre-Sentence Investigation				
Post-Conditions				
8.5 Use Case Specification: Case Closure				
Flow of Events				
8.5.1 Record Reason for Closure				
8.5.2 Process Notification of Compliance				
8.5.2.1 Alternative Flows				
8.5.3 Coordinate Consolidated Cases				
8.5.4 Close Case				
8.5.5 Generate Case Closure Reports				
8.5.5.1 Special Requirements				
Post-Conditions				
9. Business Function: Receipt Accounting				
9.1 Description:				
9.2 Use Case Diagram				
9.3 Use Case Specification: Funds Collection				
9.3.1 Special Requirements				
Flow of Events				
9.3.2 Accept Payments for Fully or Partially Docketed Cases				
9.3.3 Accept Range of Payment Methods				
9.3.3.1 Special Requirements				
9.3.4 Utilize Establish Payment Plan				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
9.3.5 Accept Multiple Payment Type per Transaction				
9.3.6 Accept Multiple Payments for Single Case				
9.3.7 Accept Single Payment for Multiple Cases				
9.3.8 Allow Receipt of Unidentified Payments				
9.3.9 Utilize Funds Processing				
Post-Conditions				
9.4 Use Case Specification: Establish and Maintain Payment Plans				
9.4.1 Special Requirements				
Flow of Events				
9.4.2 Capture Financial Information				
9.4.3 Establish a Payment Plan				
9.4.3.1 Notes				
9.4.4 Print Payment Coupons				
9.4.5 Generate a Late Payment Notice				
9.4.6 Update Register of Actions				
9.4.6.1 Notes				
Post-Conditions				
9.5 Use Case Specification: Funds Processing				
Flow of Events				
9.5.1 Associate Payments with Cases and Persons				
9.5.1.1 Special Requirements				
9.5.2 Process Fees Associated with Non-Parties				
9.5.3 Record Information on Payments and Other Transactions				
9.5.4 Transfer Funds Between Accounts				
Post-Conditions				
9.6 Use Case Specification: Receipt Generation				
Flow of Events				
9.6.1 Generate and Print Receipts with Appropriate Information				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
9.6.2 Generate Electronic Receipts				
9.6.3 Generate Sequential Receipt Numbers				
9.6.4 Generate Multiple Receipts for Single Payment Made for Multiple Cases				
9.6.5 Generate Single or Multiple Receipts Involving Multiple Payments for One Case				
Post-Conditions				
9.7 Use Case Specification: Cashier Close Out				
Flow of Events				
9.7.1 Maintain Bookkeeping Information				
9.7.2 List Transactions and Compute Totals				
9.7.2.1 Special Requirements				
9.7.3 Record Inventory of Cash Drawer Contents				
9.7.4 Produce Cashier Summaries				
9.7.5 Produce Discrepancies for Imbalances				
9.7.6 Produce Summary Cashiering Reports				
Post-Conditions				
10. Business Function: Bookkeeping Accounting				
10.1 Description:				
10.2 Use Case Diagram				
10.3 Use Case Specification: Bank Account Management				
10.3.1 Special Requirements				
Flow of Events				
10.3.2 Utilize Create New Account				
10.3.3 Retrieve Bank Account Records				
10.3.4 Post Interest Accruals				
10.3.5 Total and Reconcile Receipts to Calculate Bank Deposits				
10.3.5.1 Alternative Flows				
10.3.6 Calculate and Record Bank Deposits				
10.3.7 List Bank Deposits by Group				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
10.3.8 Print Bank Deposit Slips				
10.3.9 Reconcile Court and Bank Balances				
10.3.10 Reconcile Bank Statements Electronically				
10.3.11 Utilize Bank Account Reporting				
Pre-Conditions				
Post-Conditions				
10.4 Use Case Specification: Create New Account				
10.5 Use Case Specification: Bank Account Reporting				
Flow of Events				
10.5.1 Produce Financial Transaction Lists				
10.5.2 Print Cash Receipts Journal				
10.5.3 Produce Open Item List				
Post-Conditions				
10.6 Use Case Specification: Dishonored Payment Management				
10.7 Use Case Specification: Draw-Down Case Account Management				
10.7.1 Special Requirements				
Flow of Events				
10.7.2 Establish a Debit Account				
10.7.3 Debit Accounts of Authorized Organizations				
10.7.4 Monitor Account Balances				
10.7.4.1 Special Requirements				
10.7.5 Produce Transaction Reports				
Post-Conditions				
10.8 Use Case Specification: Maintain Case Account Financials				
10.8.1 Special Requirements				
Flow of Events				
10.8.2 Compute and Display Costs and Fees Based on Events				
10.8.3 Utilize Establish Case Accounts and Payments				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
10.8.4 Accrue Charges to Case Based on Events				
10.8.5 Identify and Process Fee Waivers and Deferrals				
10.8.6 Record Financial Changes Resulting from Court Orders				
10.8.6.1 Special Requirements				
10.8.7 Maintain Tables for Costs, Fees, and Fines				
10.8.8 Preserve Transactions While Applying Corrections				
10.8.9 Utilize Post Transactions				
10.8.10 Utilize Generate Case Account Reports				
Post-Conditions				
10.9 Use Case Specification: Establish Case Accounts and Payments				
Flow of Events				
10.9.1 Establish a Case Account				
10.9.2 Maintain and Track Individual Case Accounts and Balances				
10.9.3 Allow Flexible Payment Methods				
10.9.4 Identify and Process Arrearages				
10.9.5 Share Information with State Agencies to Collect Payments				
10.9.6 Mark Case or Party Account Closed				
Post-Conditions				
10.10 Use Case Specification: Post Transactions				
Flow of Events				
10.10.1 Post Case Receipts				
10.10.2 Post Adjustment				
10.10.3 Post and Associate Case-Related Disbursements				
10.10.4 Post and Process Installment and Partial Payments				
10.10.5 Record Funds Received from Other Agencies for Specific Case				
Post-Conditions				
10.11 Use Case Specification: Generate Case Account Reports				
Flow of Events				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
10.11.1 Produce Transaction Lists				
10.11.2 Generate Invoices				
10.11.3 Produce Payment Notices and Other Correspondence				
10.11.4 Generate Accounting Notices				
10.11.5 Generate Trial Balance Report				
Post-Conditions				
10.12 Use Case Specification: Funds Disbursement				
10.12.1 Notes				
10.12.2 Special Requirements				
Flow of Events				
10.12.3 Disburse Collected Fees and Fines				
10.12.4 Disburse Checks				
10.12.4.1 Alternative Flows				
10.12.5 Support Individual or Periodic Pay-through Checks				
10.12.6 Utilize Distribution Account Management				
Post-Conditions				
10.13 Use Case Specification: Distribution Account Management				
Flow of Events				
10.13.1 Provide Reports for Disbursement of Undistributed Moneys				
10.13.2 Compute Fee Distributions by Formula				
10.13.2.1 Special Requirements				
10.13.3 Post Non-Case-Related Receipts and Disbursements				
10.13.4 Produce Allocation Formula Report				
10.13.5 Produce Pre-Check Register				
10.13.6 Process Checks				
10.13.7 Apply Installment Payments to Proper Account or Activity				
10.13.8 Allow Multiple Pay-through Cost Assessments				
Post-Conditions				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
10.14 Use Case Specification: Financial Administration				
Flow of Events				
10.14.1 Produce Case-Based Financial Reports				
10.14.2 Produce Report of Fines and Fees Waived				
10.14.2.1 Special Requirements				
10.14.3 Generate Pay File				
Post-Conditions				
10.15 Use Case Specification: General Ledger Maintenance				
Flow of Events				
10.15.1 Maintain General Ledger				
10.15.2 Provide Customizable Chart of Accounts				
10.15.3 Maintain Account Journals and Ledgers				
10.15.4 Reconcile and Balance Accounts				
Post-Conditions				
11. Business Function: Records Management				
11.1 Description:				
11.2 Use Case Diagram				
11.3 Use Case Specification: File Tracking				
Flow of Events				
11.3.1 Generate Indicators for Files				
11.3.2 Maintain Tracking Information About Destroyed Files				
11.3.3 Flag Electronic Version When Manual File Lost				
Post-Conditions				
11.4 Use Case Specification: Paper File Tracking				
Flow of Events				
11.4.1 Generate Case File Labels				
11.4.2 Generate Indicators for Paper Files				
11.4.3 Maintain Audit Trail				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
11.4.4 Maintain Location for Archived Files				
11.4.5 Maintain Tracking Information About Destroyed Files				
Post-Conditions				
11.5 Use Case Specification: File Archival and Destruction				
11.5.1 Special Requirements				
Flow of Events				
11.5.2 Identify Cases for Archiving/Destruction				
11.5.3 Process Cases for Archival				
11.5.3.1 Special Requirements				
11.5.4 Retain Information				
11.5.5 Maintain Case Aging Information				
11.5.6 Process Files for Destruction				
11.5.7 Destroy Files				
11.5.8 Generate Reports for Archived/Destroyed Files				
11.5.9 Update Active Records for Archived/Destroyed Files				
Post-Conditions				
11.6 Use Case Specification: File Expunging and Sealing				
Flow of Events				
11.6.1 Identify Cases for Expunging or Sealing				
11.6.2 Expunge Case Files				
11.6.3 Seal Case Files				
11.6.4 Send Notices of Expunged and Sealed Cases				
11.6.5 Generate Reports for Expunged or Sealed Files				
11.6.6 Update Active Records for Expunged or Sealed Files				
Post-Conditions				
11.7 Use Case Specification: Exhibit and Evidence Management				
Flow of Events				
11.7.1 Record Receipt of Exhibits				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
11.7.2 Generate Identifiers				
11.7.3 Generate Property Lists				
11.7.4 Track Location and Status of Exhibits				
11.7.5 Generate Exhibit Notices				
11.7.6 Record Return, Disposal, or Destruction of Property				
Post-Conditions				
11.8 Use Case Specification: Document Management				
11.8.1 Special Requirements				
Flow of Events				
11.8.2 Provide Electronic Document Viewing				
11.8.3 Interface with Separate Document Management System				
11.8.4 Use Same Document Management System for Imaging				
11.8.5 Provide Document Management Security				
11.8.6 Store and Output Documents Maintained in the System				
Post-Conditions				
11.9 Use Case Specification: Reporting and Utility				
Flow of Events				
11.9.1 Enter Report Screen				
11.9.2 Set Reporting Parameters				
11.9.3 Allow for Merge of Files				
11.9.3.1 Notes				
11.9.4 Generate File Management Reports				
11.9.4.1 Notes				
11.9.5 Display/Print Documents				
Post-Conditions				
12. Business Function: Configuration Maintenance, Security and Integrity				
12.1 Description:				
12.2 Use Case Diagram				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
12.3 Use Case Specification: Security Access Requirements				
12.3.1 Special Requirements				
Flow of Events				
12.3.2 Provide Secure Passwords				
12.3.3 Control Access and Privileges on User-Maintained Authorizations				
12.3.4 Provide Flexible Restrictions on Access and Restrictions				
12.3.5 Restrict Local and Remote Access via Flexible Criteria				
12.3.6 Provide Additional Security for Public Access				
12.3.7 Provide Security for User Notes				
12.3.8 Suppress Output of Confidential Information				
12.3.9 Allow Limited Access to Normally Inaccessible Information				
Post-Conditions				
12.4 Use Case Specification: Security Maintenance				
Flow of Events				
12.4.1 Provide Audit Trail of User Activities				
12.4.2 Permit Authorized User Correction of Data Entry Errors				
12.4.3 Provide Audit Trail of File Additions, Modifications, and Deletions				
12.4.3.1 Special Requirements				
Post-Conditions				
12.5 Use Case Specification: Data Integrity				
12.5.1 Special Requirements				
Flow of Events				
12.5.2 Ensure Integrity of Electronically Transmitted Data				
12.5.3 Merge Data for a Person				
12.5.4 Perform Locally Defined Edits				
12.5.5 Produce Transaction Statistics				
Post-Conditions				
12.6 Use Case Specification: Rule Driven Behavior				

Business Functions	Mandatory	Desirable	Meets Requirement	Comments
Flow of Events				
12.6.1 Maintain Code Translation Tables				
12.6.2 Provide and Maintain Input Templates				
12.6.3 Display Template Forms				
12.6.4 Determine Charge Severity Hierarchy				
12.6.5 Employ Conditional Statements				
12.6.6 Define Sequence of Events				
12.6.7 Populate Fines				
12.6.8 Establish Priority Ranking for Funds				
Post-Conditions				
13. Business Function: Management Reporting				
13.1 Description:				
13.2 Use Case Diagram				
13.3 Use Case Specification: Operations Information and Statistical Reporting				
13.4 Use Case Specification: Management Information and Statistical Reporting				