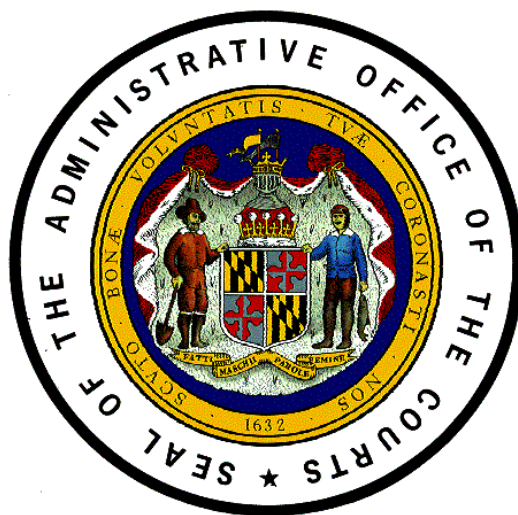


# Case Management Modernization Requirements and Statement of Technical Direction Document



**May, 2006**

*Prepared By:*  
Administrative Office of the Courts  
Judicial Information Systems  
2661 Riva Road, Suite 900  
Annapolis, Maryland 21401

Pursuant to 2006 JCR Page 5  
SB 110/Ch. 216, 2006  
Budget Code C00A00.12

## Table of Contents

I.	Executive Summary .....	3
II.	Goals And Objectives.....	4
III.	Enterprise Architecture.....	5
	A. Standards Selection .....	5
	B. Enterprise Technical Architecture Formulation .....	5
IV.	Systems Analysis and Design Strategy .....	8
V.	Current Development/Implementation Status .....	12
VI.	Technical Direction and Incremental Strategic Development Plan ...	13
VII.	Projected Timeline and Deliverables .....	16
VIII.	Conclusion .....	17
	Appendix A: Enterprise Architecture Framework.....	18
	Appendix B: Case Management Functional Requirements.....	62

## List of Supporting Diagrams and Figures

Figure 1	Enterprise Modernization Blueprint.....	7
Figure 2	Data Migration.....	8
Figure 3	Output Replacement.....	9
Figure 4	Layers of Case Management Integration.....	10
Figure 5	Business Process Flexibility Tradeoff.....	11
Figure 6	Data Conversion Complexity Tradeoff.....	11
Figure 7	Bridging to the Legacy Systems.....	12
Figure 8	Timeline of Activities.....	16

## I. Executive Summary

The Judicial Information System (JIS) department of the Maryland Judiciary's Administrative Office of the Courts is governed by specific mission requirements as well as by "court rule of law". In the first instance, the Administrative Office of the Courts is responsible for providing services for the Judges, courts, clerks, and citizens of Maryland. One of the most important of those is court automation. In the second instance, the Chief Judge, and his administrative staff create the rules under which the courts operate. Some of these rules, Maryland rules of procedure title 16 - courts, judges, and attorney's chapter 1000 - access to court records, address very specific support issues for JIS.

Starting from a basic mainframe and terminal automated court case management system for the District Criminal Court in the late 80s, JIS has moved the Maryland courts forward by adding support and services in a continuous cycle of development and enhancement. Case management support for the Juvenile court was added, followed by Civil court. Today, there are at least 22 different major court applications and 16 other applications that have been written by JIS to support judges, clerks, commissioners, and other justice-related activities.

JIS currently must support three distinct environments: **1) Legacy** systems, **2) Intermediary** systems and individual application projects, and **3) Developmental** (future) systems. Each of these areas has specific challenges associated with them and each require manpower, and resources.

The legacy systems were designed and created to work within a centralized environment, before the extensive use of desktop computers. Today's modern operating systems, distributed PC infrastructures, and web access expectations are beyond the scope of these systems. Interoperability and data sharing between these systems is difficult and requires customized file transfers to external agencies / parties. JIS staff devotes a great deal of resources maintaining these systems and assuring that they continue functioning in support of the Judiciary.

The Intermediary systems were designed to enhance the functionality of the legacy systems. With the advent of Client-Server technology a new statewide network was built to support remote users in an X-Windows environment on standard PCs rather than on mainframe terminals. Functionality was greatly increased, but the network and the client-server architecture have added several layers of complexity. The network must be maintained because it provides access to the bulk of the applications, interfaces, and data. Many of these interfaces and applications are designed to send or retrieve data from the legacy systems.

The developmental systems are the future for JIS and Maryland court automation. As new technologies have been identified, JIS staff have examined and assessed their potential as eventual replacements for the current systems. Following the technological direction set by the National Center for State Courts (NCSC), a series of standards were adopted by JIS that will provide the basis for the development and implementation of the a Centralized Court Case Management System. National standards have been identified,

and adopted<sup>1</sup>. A new Enterprise Architecture (EA) has been established as the primary component to support future JIS development efforts. A new relational data base structure has been adopted as a result of the capabilities identified in the EA and standard messaging protocols are being adopted to satisfy the interoperability requirements developed in the Case Management Modernization Plan.

A major component of the future system is a new, modern, relational database system that will support a data warehouse of all court data. The new database will be the cornerstone of the multi layered (N-tiered)<sup>2</sup> system of applications, data stores, security systems and public access systems.

Successful efforts are being undertaken to extend the life of current systems. In the case of the Circuit Courts and District Court systems, the old database structures are being replicated to relational database software running on an RS6000 server. The mainframe and operating system have been upgraded. Additionally, the wide area network was modernized this year and is now capable of supporting the future systems under development.

## **II. Goals And Objectives**

Beginning with the Case Management Modernization project and the Infrastructure Modernization projects of the last several years, JIS has been moving steadily toward the goal of a new, unified and integrated case management system to support all courts and court information users. A primary objective is the creation of a new database model that will be capable of serving all court requirements from one central data warehouse.

JIS staff, with consultant support, completed the necessary research and customer requirements analysis to establish a working technical architecture model that incorporates the best features of a thin-client multi-tiered application design built upon a secure operational environment. The goal is to create a new, comprehensive case management system that supports the entire Judiciary from a single set of applications and a single centralized database. This new Centralized Case Management System (CCMS) will provide users with links to all court cases across all systems. This will be accomplished by storing existing and future case management data in a new data warehouse model that will provide for the seamless linkage of data into one unified system. While each court's data will still be stored in separate and secure tables within

---

<sup>1</sup> The conference of State Court Administrators (COSCA) and the National Association of Court Management (NACM) joined forces in forming the Joint Technology Committee in the late 1990s. The purpose of this committee was to guide state and local courts in the adoption of new technology to support court activities. This committee was instrumental in the creation of the Functional Standards for Court Case Management project (National Center For State Courts) and played a major role in the development of the Global Justice XML (GJXML) standards project . GJXML eventually led to the adoption of XML as a standard for justice systems data base functionality and a further standard of Services Oriented Architecture (SOA) as an enterprise Architectural standard.

<sup>2</sup> N-tiered is a client-server architecture in which the user interface, functional process logic ("business rules"), data storage and data access are developed and maintained as independent modules, often on separate platforms.

the data warehouse, the structure of the new data base model will facilitate the integration of data across court lines in a manner that has not been possible before.

The new model will allow the development of applications that can be modularized and customized for each court. While the core case management system is virtually the same for each court, customization of interface screens (what the clerks, judges, and other customers see) will enable a unique look and feel for each court as required or desired by those customers.

### **III. Enterprise Architecture**

Architecture is a series of rules, standards, and guidelines that, taken as a whole, establish the blueprint for future information technology development. Major decisions concerning strategic direction, operational environment, client (workstation) configuration, data base format and application development have been made during the last 18 months. To a large extent, these decisions comprise the foundation for the new Enterprise Architecture.

#### ***A. Standards Selection***

JIS' administrative responsibility spans the entire State of Maryland, touching every County and every court within the state. When JIS made the decision to adopt a system of nationally recognized standards it was the initial step in the direction of establishing an Enterprise Architecture (EA) that would guide the decision process for all of the component elements of the future Centralized Case Management System.

The decision to adopt the NCSC Standards for Court Case Management systems provides a master development template for the functionality of the future case management system. The decision to adopt the Global Justice XML data standards provides a guide for structuring the communication and data sharing function of the new system. Finally, the decision to adopt a Services Oriented, TCP/IP based operational environment sets a direction for software development that supports a thin-client environment with the associated cost savings of web services and web browser operation.

#### ***B. Enterprise Technical Architecture Formulation***

The Enterprise Architecture (EA) requires that application development tools and the applications they create function in specified ways. Therefore, if an application is created that follows the guidelines of the larger EA <sup>3</sup>, then the functionality and operation of that application is assured.

A unified application environment allows users to access comprehensive services (web) that intelligently interact with existing resources (data) in a manner specific to an

---

<sup>3</sup> Java as a supporting environment, J2EE as a development environment, Object level programming as a developmental standard (Oracle j-developer, Eclipse), and a Relational Database that supports XML protocols and GJXML standards as the data environment.

individual user. Such an intelligent environment potentially provides personalized services according to user requirements. A personalized service is one that takes appropriate (personalized) action based on an individual's specific situation rather than general conditions applicable to everyone.

The adoption of a standard application environment will significantly increase the ability of JIS staff to create new functionality, change existing functions, and create totally new applications. Along with the adoption of Oracle as the relational database of choice for JIS operations, a similar decision was made to incorporate Oracle Tools<sup>4</sup> as the development environment of choice for applications development. The practical implication is that the new Centralized Case Management System can be implemented in phases, allowing users the opportunity to be involved in the development of the final system.

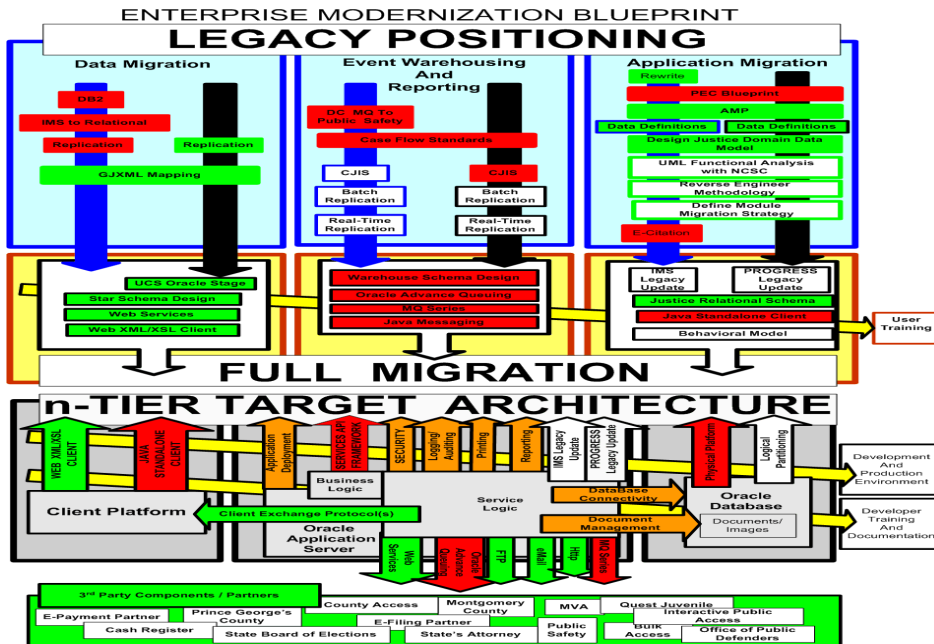
This architectural model also lends itself to the adoption of a software development model called Agile Development (AD). AD basically involves an iterative and collaborative modeling of an interface design between end-user and JIS staff. Once the look and feel of the screens has been established, the larger investment of building the application to support the interface is completed. Using this strategy makes it much easier to respond to customer driven changes and system enhancements and enhances JIS staff ability to develop modular programs and incremental rollouts of new applications.

Figure 1 on the following page depicts the various aspects of the effort to establish the EA and their relationship to the adopted standards. The significance of this model is that it represents a comprehensive accounting of all technical infrastructure components to be developed as part of the migration from the legacy to the target environment.

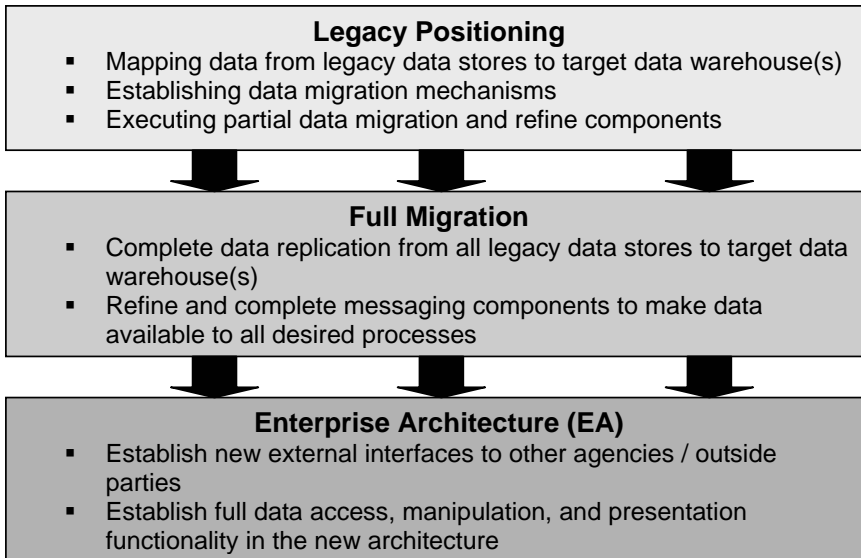
---

<sup>4</sup> Even though Oracle systems and development tools are being utilized by JIS, the relational database model allows for open-source queries to be used if desired. This means that if other tools are discovered that offer advanced application possibilities, they can be integrated into the current suite of tools with no adverse effect on the system, eliminating most of the issues that JIS has faced in the past concerning migrating systems or expensive system-wide upgrades.

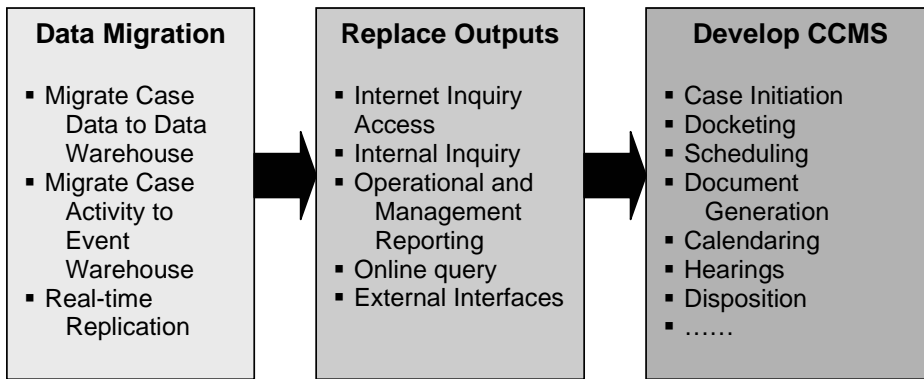
Figure 1



The architecture model is useful to an understanding of the migration strategy. Viewed from one perspective, the diagram highlights the aspects of transforming from the legacy environment to the target architecture.



From an alternative perspective, the diagram highlights the major parts of the migration strategy.

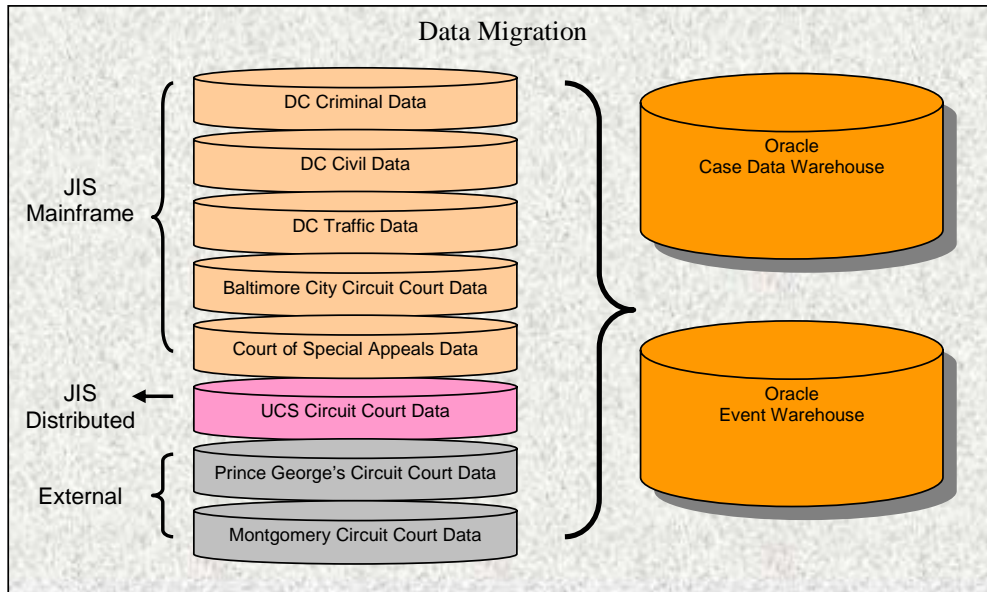


Appendix A presents a more detailed discussion of the enterprise architecture framework that serves as the technical base for JIS systems modernization.

#### IV. Systems Analysis and Design Strategy

The first major part (associated group of activities) in the system replacement plan is the migration of data from the legacy databases to the new Oracle Data Warehouse and Event Warehouse. The completion of this migration will make existing case data available on the new architecture. The Data Warehouse will contain all case related data and will serve as the primary database for the new CCMS. The Event Warehouse will contain case activity data to be used for reporting and inquiry. The existing sources for the data migration are depicted in Figure 2.

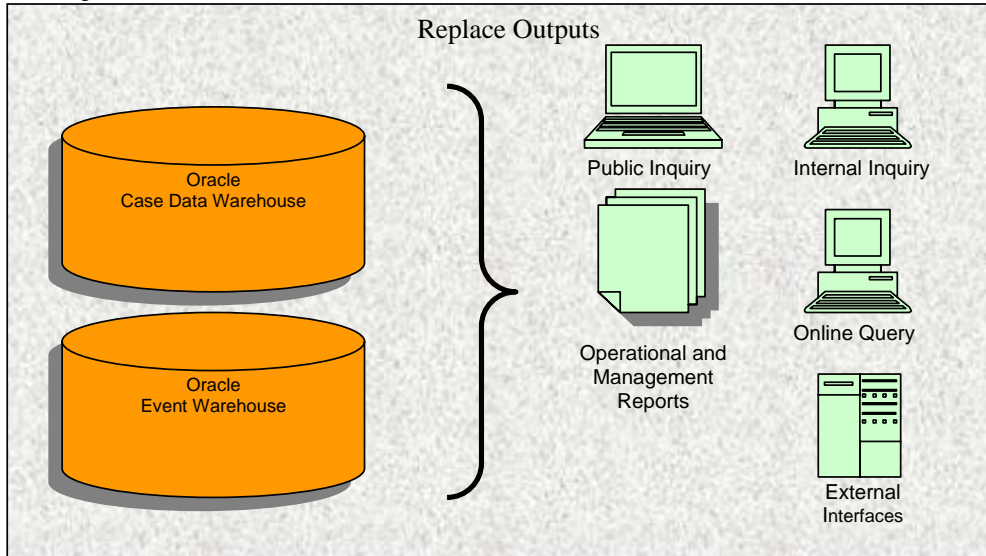
Figure 2





The second major part involves using the new data warehouses to create new inquiry and output vehicles to replace and augment existing inquiry, reporting, and interface capabilities. This is depicted in Figure 3. The new outputs will include a new Public Internet Inquiry capability, new internal inquiry functionality using the client configuration architecture mentioned above, new operational and management reporting facilities that support online queries, and the replacement of external interfaces with capabilities that use emerging formats and protocols. This structure will enable the Judiciary to participate fully with interoperability initiatives on both State and Federal levels.

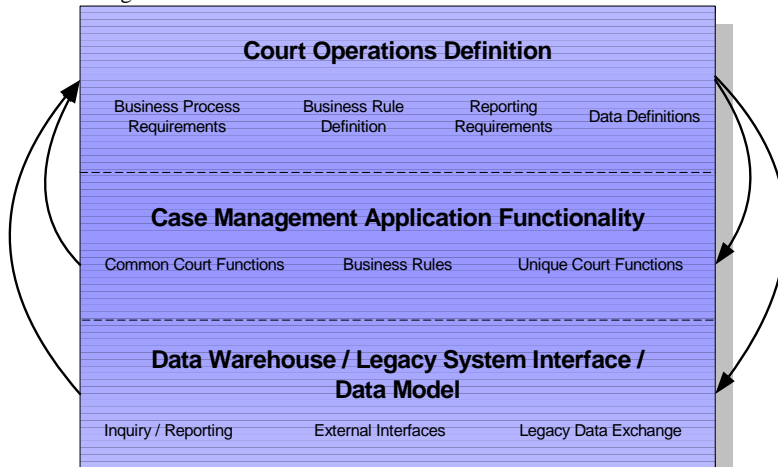
Figure 3



The third major part of the strategy involves the development of new centralized case management system functionality that leverages the commonality of many court functions and also providing an efficient means of satisfying functionality specific to a Court or jurisdiction. This is the heart of the modernization plan and is also the most complex of the undertakings.

As depicted in Figure 4, this effort will involve the integration of elements at the business, application, and data levels. Efforts will be divided into multiple phases and will involve the identification of current business process rules in use throughout the court system, the standardization of common processes and rules, the definition of process or functional requirements specific to the structure of the Maryland Judiciary, and the development of applications under the new architecture to replace the legacy systems.

Figure 4



Judicial Information Systems is addressing means of reducing the overall development time of this effort. The major approaches to accomplish this are the extraction of business rules from the existing legacy systems and the consideration of acquiring functional modules to reduce the development effort.

The extraction of existing business rules will reduce the effort to gather business requirements. The extracted rules will be verified and augmented as needed in conjunction with representatives of the courts. These rules will serve as the basis of determining the common court functions and those that are court-specific.

JIS intends to use a hybrid development model to achieve a balance between expediting the delivery of the new applications and achieving the degree of customization required to support the Maryland courts. The consideration of 'Build vs. Buy' alternatives are largely driven by the two major factors of the degree to which business process customization is needed (Business Process Flexibility) and the degree to which the data structures and definitions match that of the target business and supporting database models (Data Conversion Complexity). As shown in figures 5 and 6, either or both of these factors can significantly reduce the effectiveness gained by purchasing Commercial Off-the-Shelf (COTS) software and favor the development of customized software.

Figure 5

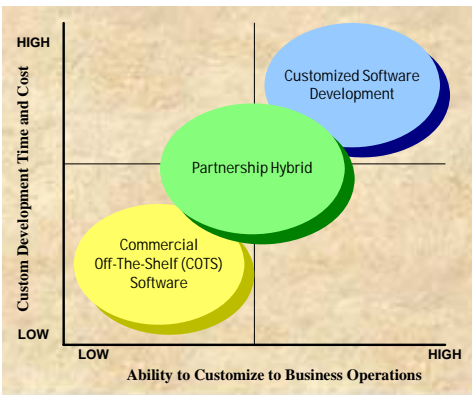
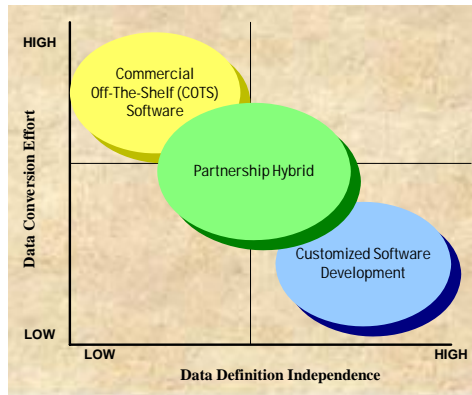


Figure 6



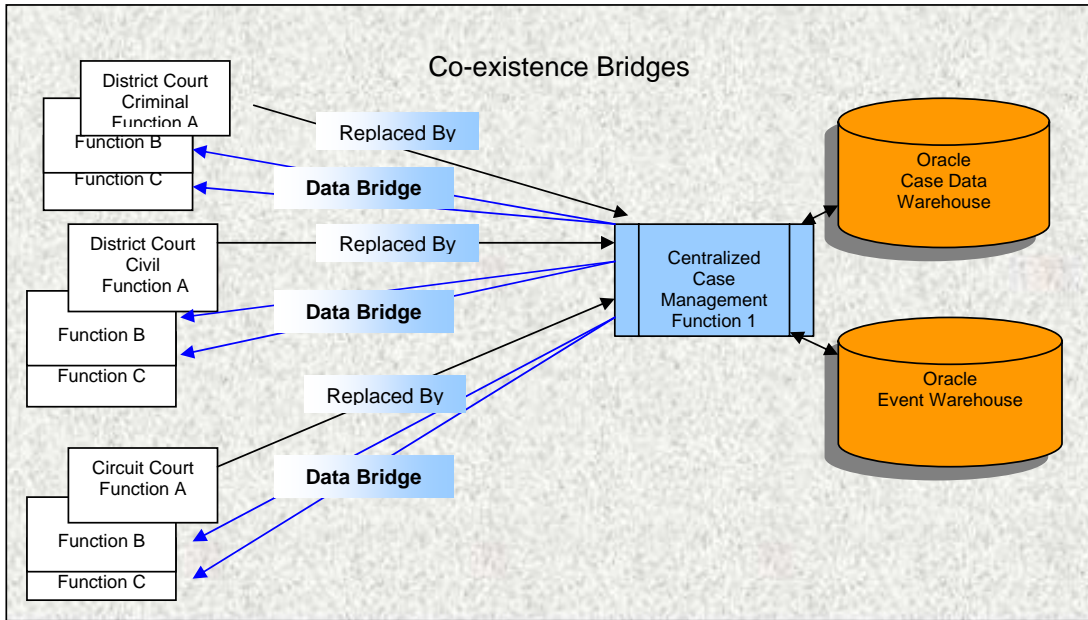
All COTS software is built to a presumed operations model and supporting data model. While these packages seek to maximize the options to which the software can be configured, they necessarily must be built to a base set of specifications. Recognizing that the structure and operations of the Maryland Judiciary is unique by virtue of the charters under which they operate and the evolution of their roles and processes over time, a degree of customization will be needed to the base functions offered by a COTS package. Furthermore, customization of a software package will likely be required to conform the software to the architectural frameworks established by JIS and discussed previously in this document.

COTS software also has inherent relationships between the functionality it offers and data model the package provides. To the degree that this data model differs from the model established in the new data and event warehouses, conversions and/or model revisions are required. This is also a potentially significant barrier to the effective implementation of a COTS package.

A hybrid model, which identifies partners who offer components and services compatible with the EA, balances the factors of software customization and data conversion.

Throughout the phases of the implementation of CCMS functionality, interoperability must be maintained with the existing legacy systems. The incremental development and implementation approach to be used in this effort will require that data be exchanged from the new system to the legacy applications to support business functions that remain there (Figure 7). These ‘Bridges’ will assure continuity of court operations throughout the application migration. These bridge mechanisms must be carefully planned, developed, and tested as part of each implementation phase.

Figure 7



## V. Current Development/Implementation Status

Following an incremental development strategy allows a core set of applications to be developed that will function across all courts. When this is completed the foundation of the CCMS will be in place. Subsequently, the creation of individual applications and enhancements tailored for specific courts and specific users will begin. As each of these enhancements is completed the total functionality of the larger application (CCMS) will be enhanced. The benefit of this approach is that at no time will there be a requirement for a major overhaul of an application in order to make changes to functionality. New applications and enhancements can be rolled out with little or no overall impact on the end user.

With the adoption of a “thin-client” model, the need to update user’s desktop systems becomes unnecessary. Since the applications will be running on a central server complex, the user will never have to wait for updates to be made to his/her system. Roll out new application releases will be possible without modifying existing systems.

One of the first stages of the data warehouse is already nearing completion. The process began with mapping the data elements in the source systems maintained by the Maryland Judiciary (District and Circuit Courts with the exception of Circuit court data for Prince Georges and Montgomery counties) to a new relational database. This database is the first incremental implementation of what will eventually become the court data warehouse. Efforts continue to link this data directly to the existing Circuit and District data on a near real-time basis.

The Public Access Inquiry (PAI) project is using this data as well as several component parts of the eventual new CCMS. The success of PAI will be directly attributable to offering customers this new and easy-to-understand way of doing business and will provide the first ever web browser access directly to court data for users statewide and beyond.

The first phase of PAI was implemented in January of 2006 and provided summary case data for all District Court cases as well as Circuit court cases with the exception of Prince Georges and Montgomery counties. The next phase of the PAI initiative is in process and will provide access to expanded case history data as well as data from Prince Georges County and Montgomery County Circuit court cases. As demand is measured and load on systems is determined, capabilities are also planned to enable the retrieval of bulk and compiled data.

Concurrently, development is ongoing for several related projects that will utilize the data warehouse. **1)** The E-Citation project, in concert with State and Local law enforcement, will provide for direct transmission of citation information from the patrol car to the data warehouse and subsequently interfaced to the existing Traffic system pending its replacement as part of the new court case management system. **2)** A new Criminal Justice Information System (CJIS) interface is being developed in the new Enterprise Architecture to assist the Department of Public Safety with their requirements to provide the FBI with criminal history, arrest, and conviction data. This new interface application will be greatly enhanced by the upcoming data warehouse capability. **3)** The statewide domestic violence project planned for calendar 2006 is designed to meet new Federal reporting and tracking requirements that will make data available across the various traditional and non-traditional court systems as well as to other agencies.

## **VI. Technical Direction and Incremental Strategic Development Plan**

During the second half of FY 2006 and into FY 2007, data migration efforts will continue and several analysis efforts that will be undertaken to prepare for the replacement of existing outputs and begin the development of the new CCMS.

- a) Data Migration – develop mechanisms / capability for real-time update of the new data warehouse from the mainframe legacy systems and populate the new event warehouse with case activity data;
- b) Reporting and Interface Standards – identify reporting and external interface tools and standards to be used to replace existing legacy application processes using the new data warehouse structure and emerging Justice data interchange models;
- c) Functional Component Definition – using emerging court models, consider current court operations to begin to define common and unique functional modules to be developed / acquired.

- d) Component Partnership – continue investigating potential partnerships that offer services and/or case management components that can expedite the CCMS development effort.

Once the existing data is being replicated to the new warehouse environment, the process of replacing existing outputs and building the individual modules for the new case management system will begin. The replacement of existing inquiry capabilities, reports, and external interfaces will be addressed in phases to coincide with emerging business needs and the development and implementation of new case management applications.

Following the model established by the Conference of Chief Justices (CCJ), the Conference of State Court Administrators (COSCA), the National Association for Court Management (NACM), and the National Center for State Courts (NCSC), initial case management design will be broken into functional groups/modules.

The functional modules listed below chronologically track how a case moves through the court system:<sup>5</sup>

- *Case initiation and indexing module* - The activities that initiate a case and maintain its index including acceptance and processing of the initial filing, associated record keeping and reporting, and creation and maintenance of an index for the case.
- *Docketing and related recordkeeping module* - The activities associated with entering in the docket (or register of actions in some jurisdictions) (1) that a document (e.g., complaint, request for jury trial) has been filed, (2) that a filed document (e.g., certificate of readiness, demurrer, motion to strike) is the basis for placing a case on the court's calendar for a hearing or other review, and (3) what occurred at the hearing or other review.
- *Scheduling module* – The activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules.
- *Document generation and processing module* - The activities associated with generating, distributing, and tracking documents that notify individuals of past and upcoming events and other court actions.
- *Calendar module* - The activities associated with the production of court calendars including the generation, maintenance, and, in some instances (e.g., electronic), distribution of court calendars for each type of hearing (e.g., jury trial, non-jury trial, motion hearing).

---

<sup>5</sup> “Introduction to Case Management Standards” – The National Consortium on State Court Automation Standards – February 2001

- *Hearings module* - The activities associated with reaching a decision in calendared events, recording the results of these events, and notifying the appropriate persons of court decisions.
- *Disposition module* - The activities associated with disposing a case or defendant in a case, including any type of 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. This function supports the user in accomplishing the actions called for in court orders.
- *Execution (Compliance) module* - The post-conviction activities relating to compliance with sentence and supervision conditions. These situations normally arise when the court is informed by the unit that administers post-conviction programs (e.g., adult probation) that the defendant has not complied either with the sentence or supervision conditions.
- *Case close module* - The activities associated with final closure of a case (i.e., case status becomes "closed").
- *Accounting module* - The activities necessary to satisfy the court's fiduciary responsibilities includes receipt of funds, posting case-related funds to a case fee record, posting non-case-related funds to other types of records, maintaining account records, disbursing funds, generating checks, billing, producing payment agreements, producing notices required for collection activities, reconciling bank accounts, and producing documents required to satisfy county, state, and federal auditing agencies.
- *Security module* - Security for the purpose of this document refers to the ability of the case management system to insure that all data elements and records remain unchanged due to unauthorized access or other human intervention including any unauthorized addition, modification, or destruction of case management data.
- *Management and statistical reports module* - These reports provide caseload, case flow, and workload statistics and management information on court operations, finances, and staffing. Typically, the state and local court administrative offices identify the data requirements and statistics that they need from the court, and local customs and management styles determine the management reports.

These modules represent a 'horizontal' view of the required functionality of a CCMS. Appendix B presents a 'vertical' view of functional requirements by case type within these functionality groups. The vertical view helps to identify the business rules that must exist to effectively manage different case types. Additional customization of this comprehensive set of system functions with modifications and enhancements reflecting the unique requirements of the Maryland courts (judges, clerks, and others) will be

necessary to produce system specifications from which the new CCMS will be developed.

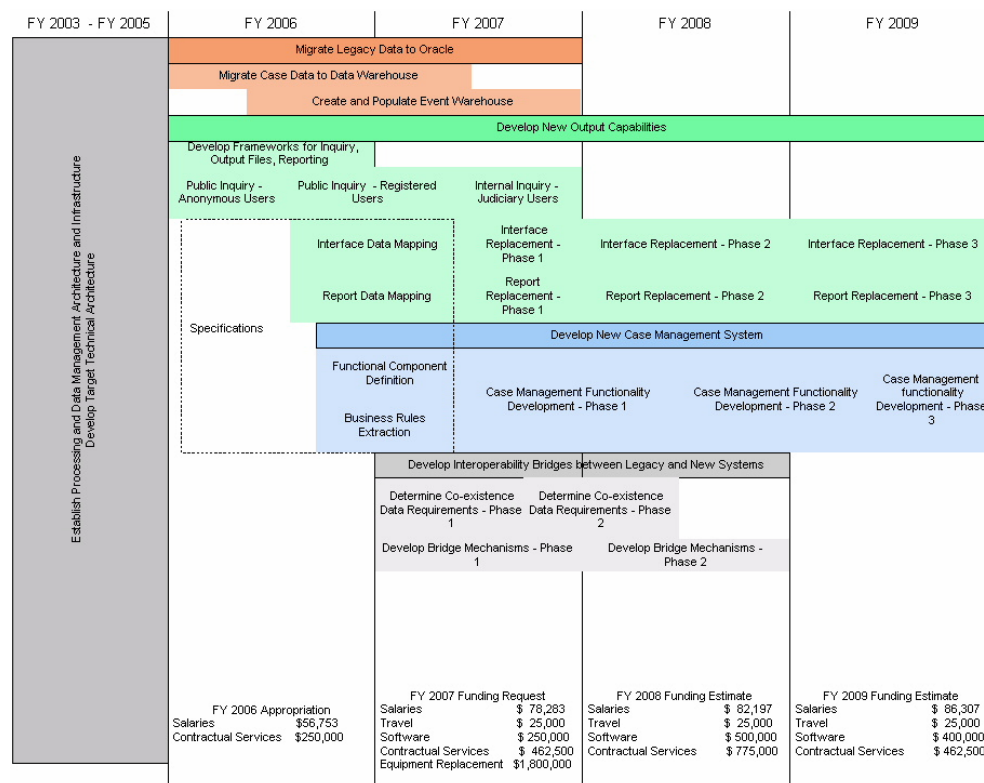
The development specifications will be finalized through the following ‘best practices’ to assure that business functionality subsequently delivered will fully meet the intended purposes.

- A. Iterative Development – starting with capturing specifications ‘generic’ to established court models, successive levels of detail and refinement will be defined to facilitate the identification of common components and assure continuity between court entities.
- B. Joint Application Design (JAD) Principles – structuring specification gathering via interactive sessions with representation across the different entities within the Maryland judiciary will promote standardization of common functions and assure that the unique business needs of all units are addressed.
- C. Use Case Documentation – the ‘Use Case’ method of modeling functionality is a proven method of communicating to assure a common understanding of both business and technical personnel.

## VII. Projected Timeline and Deliverables

Figure 8 depicts the planned concurrent activities over the next three fiscal years along with the estimated cost of the case management modernization effort.

Figure 8





## VIII. Conclusion

The recently announced public access portal has provided a tremendous service to the citizens of Maryland and is an effective tool for our partner agencies. When court staff and customers realized that they could access data via a simple web browser interface the demand for access skyrocketed. The implication for this is that the demand for access to more data and applications via this new interface will consequently increase. Information from other states where data access has been moved to a web portal show that the demand for data never decreases, but rather continually increases.

When the CCMS data warehouse is completed efforts will be initiated to begin building new and better applications for accessing the data for different purposes. The collection of statistical data on cases, courts, and court processes will be greatly enhanced by the new data warehouse. Financial information from restitution cases, fines, court costs, licenses and fees will be available in new formats and in real time.

One-time data entry will be possible. For instance, arresting officer reports are filed with the police or Sheriff's departments, normally in a records management system of some kind. That information, usually in paper form, eventually goes to the prosecutor's office and charges are finalized. Those charges are then sent, again by paper, to the court and a case is created, calendars are modified, motions are heard, etc. At every step along the way, someone is entering data on the individual in question, from the initial arrest to the final disposition. Then, the process starts over again when the individual moves from the court system into the prison system or the probation system. One person, multiple systems, multiple records and many chances for errors and mistakes to enter the system.

The new system will have a direct impact upon JIS' ability to support requests and requirements from external clients such as Public Defenders, Prosecutors, Sheriffs, trial and civil litigators and others. This is **not** to say that JIS needs to try to find new and different customers and systems, but rather to say that because of the plan that was followed and the decisions that were made, JIS is now in a position to address other requirements should they come up due to legislative mandates, Federal directives, or others.

The primary role of JIS has always been to provide the information technology support required by the district and circuit courts. While this is still the core mission and the core competency of the JIS, JIS will be in a position to do much more, and at no, or little additional cost to the organization. When the database modernization has been completed JIS will be in the position to take a central role in the Criminal Justice system state wide.

Having said this, it should be stated that this will not be an easy task. Issues of "turf" and separation of powers will arise. Some agencies will be completely unwilling to even consider changing relationships, but there will be others who will be glad for the chance. All it takes is one agency willing to partner for the greater good of both agencies to make it work. Once a starting point is reached, eventually the rest will be interested.

**Appendix A – JIS Enterprise Architecture**

## 1. Enterprise Framework

### 1.1. Overview

The Judiciary Information Technology Enterprise Framework (EA) adheres to N-tier application architecture for systems development and support that will help developers more easily build and maintain systems with improvements toward performance, scalability, security, and reliability. The framework will provide reusable components for building the application tiers (user interface, business logic, security and data access components).

To realize the goals of current and future application development initiatives, Judicial Information Systems (JIS) has undertaken the following steps:

- JIS is creating a J2EE application development environment. This is required in order to build the type of applications in support of the Judiciary (i.e. case management systems).
- JIS is designing a JIS Framework for specifying and facilitating application development at JIS. The JIS Framework will be in place to ensure that JIS developers are able to create software that conforms to a common design methodology.
- JIS is defining “Best Practices” for the JIS application development team to follow. These guidelines should be based on proven industry standards and attempt to specify the preferred approaches and techniques to implement to achieve the goals of the JIS vision as illustrated in the Information Technology Master Plan (ITMP).

## 2. JIS Application Development Environment

### 2.1. J2EE Application Server

The Oracle9i Application Server (Oracle9iAS) offers an industry standard integrated J2EE-certified application server for JIS software development initiatives.

One of the advantages of the J2EE platform is that the application model encapsulates the layers of functionality in specific types of components.

Business logic is encapsulated in Enterprise Java Beans (EJB) components. Client interaction can be presented through plain HTML web pages, through web pages powered by applets, Java Servlets, or Java Server Pages (JSP) technology, or through stand-alone Java applications. Components communicate transparently using various standards: HTML, XML, HTTP, SSL, RMI, and IIOP.

There are four types of Oracle9iAS installations: J2EE and Web Cache, Portal and Wireless, Business Intelligence and Forms, Unified Messaging. JIS has implemented the J2EE and Web Cache installation with the Oracle Management Server.

## 2.1.1. Infrastructure

### Overview

On the JIS Database Server (IBM RS-6000 named *ORAIAS02*) running AIX 5.1, JIS has built the Oracle 9i Application Server (Oracle9iAS).

- **J2EE and Web Cache**

J2EE and Web Cache provides a basic Web server that enables you to develop and deploy Java 2 Enterprise Edition (J2EE) applications, use J2EE and Simple Object Access Protocol (SOAP) based Web services, accelerate Web site performance, and manage your application server with a Web-based tool. It includes the following components:

- Oracle HTTP Server
- Oracle9iAS Containers for J2EE
- Oracle9iAS Web Cache
- Oracle Enterprise Manager Web site

- **Oracle Management Server**

This is the Oracle Enterprise Manager Console, a Java-based interface for managing the application server instances, databases, and applications in your enterprise.

On the JIS Database Server (IBM RS-6000 named *ORADBS02*) running AIX 5.1, JIS has built the Oracle9i Infrastructure, which is a type of Oracle installation that provides centralized security and management services, configuration information, and data repositories for application server installations.

An infrastructure is installed into its own Oracle home and contains the following pieces:

- **Oracle9iAS Single Sign-On**

This feature enables users to access multiple accounts and applications with a single username and password, and provides single sign-on service across your entire application server enterprise.

- **Oracle Internet Directory**

This is an LDAP-compliant directory service that provides centralized storage of information about users, applications, and resources in your enterprise.

- **Metadata Repository**

This is an Oracle9i Enterprise Edition database that contains schemas and business logic used by application server components and other pieces of the infrastructure.

### 3. What is a Framework?

#### 3.1. Overview

A Framework consists of many components that help software developers more easily build and maintain systems with improvements toward performance, scalability, security, and reliability. A Framework can provide pre-written code for building an application's user interface, business logic, and security and data access components.

The goal of a Framework is to create a standard process for designing and developing software applications.

A Framework offers the following advantages for the JIS software development team:

- Provides developers with a single approach for building applications.
- Enables developers to use the same tools and skills to develop software for a variety of application systems.

- Minimizes conflicts between applications by providing shared software components to developers.
- Improves developer productivity by:
  - Making it easier for them to reuse existing code.
  - Enabling them to more easily integrate components.
  - Helping them to more easily build software for a wide range of purposes using the same skills and tools.

An object-oriented language like Java allows for greater flexibility in developing an application development Framework that facilitates delivering solutions to application users.

## 4. The Purpose of the JIS Framework

The Judicial Information Systems (JIS) Framework functions as an Object-Oriented Programming (OOP) Application Programming Interface (API) for software development teams. The goal is to provide a quick-start for applications developers who are new to the Java language. A software developer can create applications by merely integrating the pre-built components of the JIS Framework.

The application developers of the JIS staff have diversified business knowledge and skillsets; therefore, it is important to utilize their abilities in a structured approach. A Framework provides this necessary structure to a development team.

Using a Framework approach to performing software development is an ideal solution for an enterprise that has a large portfolio of legacy applications to move to Java and needs to ramp-up its staff quickly and in an organized fashion. The JIS Framework enforces the use of component-based development.

The JIS Framework offers several key advantages to the JIS software applications development team:

- **Consistency** - The JIS Framework enforces consistency because every software developer is utilizing the same reusable interfaces in their code integration.
- **Productivity** - Development teams realize a significant gain in productivity through code reuse and abstraction. These are two of the most important concepts in software development. For example, application developers need not worry about how their data entry screens are rendered to the screen, they

only need to supply the appropriate screen parameters to the JIS Framework and the screen is rendered for them.

- **Quality Control** - Improved maintenance and quality control can be realized, because most errors in the JIS Framework can be corrected in a single location in the source code rather than under a traditional development approach where errors can exist throughout multiple locations in an array of applications.

## 5. JIS Framework Architecture

### 5.1. Overview

In order for the goal of a Framework, to create a standard process for designing and developing software applications, to be realized, the Framework must be well defined and integrate easily to new applications.

The Framework has the following characteristics:

- Object-Oriented in its design
- Flexible – components capable of accepting various configurations
- Adaptable – components can be replaced and modified easily in the future

The JIS Framework is independent of the type of client or type of database being supported. For example the client application could have a presentation layer that is Swing-based, HTML-based, and XML-based or an Infrastructure layer that has an Oracle, Sybase or DB2 RDBMS running. JIS application developers can choose what is best for their applications. Currently, Swing is the only option available for client-side development with the JIS Framework.

### 5.2. Design Considerations

Every effort has been made to create a JIS Framework that is helpful the organization in the transition from legacy systems to a J2EE application development environment.

The software architecture of the JIS Framework uses several design patterns in an effort to achieve greater code reuse and utility for the application development team.

Design considerations included the following design views:

## Appendix A - JIS Enterprise Architecture

- Conceptual
- Component
- Execution
- Code

From a conceptual view, the following priorities have been top considerations of the JIS Framework:

- The requirements of the JIS applications development team and of the JIS applications user community
- Reducing the impact of changes in the requirements of the domain on the JIS Framework, thus making for a more manageable, robust and malleable API for JIS the applications development team.
- Minimize network traffic in between layers in order to create more scalability, attempting to keep transaction times low even as the load activity increases.
- Providing for scalability is important for the long-term viability of the JIS applications. Enterprise applications must scale from small working prototypes and test cases to complete enterprise-wide services, accessible by hundreds of clients simultaneously.

From a component view, the following goals are a priority for the JIS Framework:

- Minimize dependency between components and the architecture layers.
- Maximize the reuse of the components
- Design with the purpose of making each component insulated from changes in other components in the Framework or from changes in the JIS applications development environment

From an execution view, the following areas of the system have received attention in the JIS Framework:



- Efficient flow control between hardware systems over the network
- Effective concurrency and replication controls
- Issues regarding system performance, recovery, reconfiguration requirements

From a code view, the following goals are a priority for the JIS Framework:

- Create a build process that will be automated to reduce build errors and to speed up the release of new versions to the JIS application user groups.
- Implement a version and release management process to ensure that a rollback to a previous release can be performed in case of serious problems.
- Integrate testing and detailed documentation into the JIS Framework in order to affect an eventual move towards JIS becoming a certified Capability Maturity Model (CMM) applications development environment.

### 5.3. Architecture

The JIS Framework attempts to offer software developers client-side and server-side coding components. It primarily focuses on the structure and design of Java applications from the Graphical User Interface (GUI), Business Logic Object (BLO), and Data Access Object (DAO) perspectives.

A closed layered approach has been chosen for the software architecture, where each layer satisfies specific system functionality. Each layer is package of software that has a well-defined interface and a minimum of dependencies on other layers. In a closed layered system, each layer only interacts with its adjacent layer. For example, the GUI (Presentation Layer) cannot make a JDBC call directly to the database (Data Layer)

JIS Framework N-tier Architecture

I.

Formatted

<b>Presentation Layer</b>	GUI	
---------------------------	-----	--

Appendix A - JIS Enterprise Architecture

(Front-End)		<b>Swing Client</b>
<b>Business Object Layer</b>  (BOL)	Business Logic Objects	<b>Oracle 9i Application Server</b>
<b>Data Access Layer</b>  (DAL)	Data Access Objects  Web Services	
<b>Data Layer</b>  (Back-End Services)	Oracle Database  PL/SQL Stored Procedures	<b>Oracle 9i Database Server</b>

Software applications are divided into layers in order to make them more manageable.

Developers can separate the user interface (Presentation Layer) from business logic and workflow (Business Object Layer) by building software in separate layers such as the following:

## 1. Presentation Layer

(Front-End)

- HTML within a browser - Servlet/JSP or Servlet/XML/XSLT
- Applets with rich user interface – Applications running in a browser
- Applications with rich user interface – Stand-alone
- Presentation Layer Responsibilities include:
  - Renders the User Interface
  - Send requests for data to the Business and Infrastructure layers.
  - Receive responses of data from the Business and Infrastructure layers.
  - Send events to the Controller Servlet

## 2. Business Object Layer

(BOL)

This layer incorporates the business logic.

- Business Rules and their interpretation
- Validation of individual pieces of information
- Validation of information relationships (combinations of information)

## 3. Data Access Layer

(DAL)

This layer is responsible for encapsulating the classes that facilitate database access. All data access requests to the database pass through this layer.

This functionality is referred to as CRUD (Create, Read, Update, Delete) functions.

## 4. Data Layer

(Back-End Services)

This layer is the infrastructure.

- Data access objects for interacting with the database server

- Persisting business objects and application state
- Providing business services
- Security objects for handling authentication and authorization

A Controller Servlet is the interface that controls the flow of the application between the separate layers. All communication is performed using a standard protocol, such as the Hyper-Text Transfer Protocol (HTTP). The Controller Servlet resides on the server and receives the URI (Uniform Resource Identifiers) strings sent by the client application to the server. URIs, also known as URLs (Uniform Resource Locators), are short strings that describing the location and access method of a resource on the Internet. Upon receiving a request from the client application the Controller Servlet determines the appropriate business logic to invoke or component to call and then returns to the client application the information results of the processing that takes place through the routing of the request. The results returned to the client application can be a list of parties involved in a case or just a simple status value of a specific task.

The JIS Framework provides API calls and templates that assist developers to code for the tedious tasks associated with the following:

- Development of data entry form processing and page flow.
- Writing business rules and input data validators.
- Database access routines with redundant code for closing JDBC connections, statements and result sets.

### **5.4. JIS Framework Presentation Layer**

The JIS Framework has focused on delivering a simple approach to GUI development, because interviews and requirements gathering initiatives with the JIS user community have shown that a quality GUI is the most important desired feature in applications supported by JIS.

The JIS Framework offers presentation layer API calls for JIS application developers using the Swing API of the Java programming language. Since the release of the Java Development Kit (JDK) version 1.3, Swing applications have started working much faster, consuming a lot less memory. Java is cross-platform, meaning the same client application can run under Microsoft Windows and Unix based operating systems. This is an important advantage for a GUI client.

The primary reason for choosing Swing to build a client application is the need for a rich, more interactive user interface. Java's Swing API has an extensive component set that offers the ability to develop a high quality GUI, that is rich with lookups, hot-keys and highly interactive with instant field validation. This type of functionality is important to the JIS user community, because of the fast pace and data entry intensive nature of the work at the on-site locations. A Java Swing client can be feature rich and be deployed in the form of an Applet running in a browser or as a stand-alone application.

### 5.4.1. Design Patterns

The overall design of the JIS Framework is based on the Model-View-Controller (MVC) design pattern, that is an industry standard OOP approach that forces an application to be developed in three logical parts: model, view, and controller, making each part easier to modify or customize.

Java's Swing API has well-defined relationships between its containers, components, and UI elements. Swing's architecture is also based on the Model-View-Controller (MVC) design pattern, thus separating its data from presentation and the manipulation of that data. In Swing, MVC is implemented in the following way:

- **Model** – Holds the state of each component (Menu, Image, Button)
  - For example: the list of choices in a Menu, or position and size of a Button.
- **View** – How a component appears on the screen.
  - For example, the appearance could vary per platform (Windows, Unix) or look and feel (Java, Windows, Motif).
- **Controller** – How a component interacts with events.
  - For example: mouse clicks and keyboard,

The JIS Framework utilizes the MVC approach of dividing the functions of an application in the following manner:

- **Model** - Business Layer and Infrastructure Layer
  - Table Bean and Join Bean objects in the JIS Framework

- **View** - Presentation Layer, User interface (UI) elements
  - Screen objects in the JIS Framework
- **Controller** - Interface connecting View and Model
  - Controller object in the JIS Framework

Design patterns provide a scheme for defining the components of a software application. Software architects and designers utilize the MVC design pattern to develop applications that are flexible and easily maintained.

### **5.4.2. Reflection**

The JIS Framework uses the Java Reflection API to render the GUI for applications.

Reflection is a feature in the Java programming language that is used to process code that is object-oriented in nature and is unknown until run-time, it allows an executing Java application to examine or "introspect" upon itself, and manipulate internal properties of the application.

### **5.4.3. Components**

#### **5.4.3.1. Menu Bar Manager**

##### **Description**

A menu provides a space-saving way to let the user choose one of several options. A menu bar contains one or more menus and has a customary, platform-dependent location — usually along the top of a window.

A Menu bar manager would be an API call in the JIS Framework that would allow developers to specify a menuing system for their applications.

JIS software applications can benefit from the concise style of event control that a menu would offer to the user community.

### 5.4.3.2. Navigation Tree Manager

#### Description

Trees are similar to menu bars except that they display hierarchical data. Each row displayed by the tree contains exactly one item of data, which is called a *node*. Every tree has a *root* node from which all nodes descend. By default, the tree displays the root node, but you can decree otherwise. A node can either have children or not. We refer to nodes that can have children — whether or not they currently *have* children — as *branch* nodes. Nodes that can't have children are *leaf* nodes.

A navigational Tree manager would be an API call in the JIS Framework that would allow developers to specify a navigation tree system on the left side of their GUI in their applications.

### 5.4.3.3. Validation of Data Entry Input

#### Description

The JIS Framework needs to provide a mechanism for application software developers to provide client-side validation on data entry fields on each data entry screen before the application user proceeds to the next screen or submits the record to be saved to the database.

Validation has two forms:

- Syntactic – This involves checking for the format of a field, e.g. the number of characters, alphabetic, alphanumeric, numeric, contained in a short list, etc.
- Semantic - This requires domain (business) logic to perform, e.g. comparing postal code to the city and state.

Validation should happen on the client-side, because it should have an immediate response and use few resources; however, it must be repeated on the server to guarantee data consistency.

#### **5.4.3.4. Business Logic for Validating Business Rules**

##### **Description**

The JIS Framework needs to provide a mechanism for application software developers to provide validation on data entry fields and for business logic to interpret and validate the business rules of the organization.

To achieve the goal of reusability, the business logic should not contain database schema information. Business objects should not be identifiable as relating to any specific database, except by the data they contain. That is, business objects should not have any knowledge of database primary and foreign keys, JDBC code, or database connection dictionary information. This allows you to use identical business logic classes on the client and on the server.

#### **5.4.3.5. Exception Handling**

##### **Description**

The Java language uses exceptions to provide error-handling capabilities for its programs. An exception is an event that occurs during the execution of a program that disrupts the normal flow of instructions.

An exception-handling scheme is necessary for software to gracefully handling application errors.

Application errors can occur in software programs due to changes in the environment that the application runs under, such as changes in operating systems or file directory structure.

#### **5.4.3.6. Search Capability**

##### **Description**



The JIS Framework needs to offer a pre-built component for search functionality, so software developers so they can provide the following search related screens in their applications.

- Search definition screen
- Search results browser screen

The search screen will enable application users to define search criteria and other specifications and then review the search results in a results browser.

### **5.4.3.7. Information Logging**

#### **Description**

The ability to write application information to a log file is a feature that is directly related to Exception handling, because the most important information that needs to be saved to a log file is information that describes application errors. The most dangerous software errors are classified as severe and fatal. The severe errors are those that cause the application to not perform its duties, while fatal errors will cause an application to terminate and exit directly to the operating system causing all unsaved work to be unrecoverable. The causes and occurrences of these errors in the application must be known in order for appropriate debugging to be performed.

Writing information to a log file is crucial to this quality control effort.

### **5.4.3.8. System Properties – Dynamic Behavior**

#### **Description**

The ability to specify parameters in a properties file for the application to read when it start-up is important to offer dynamic customizable behavior without releasing new versions of software. For example, a “Contact Email Address” for a report component can be placed in a properties file for the application to read. This email address can be changed to a new email address without having to modify and re-install new software in each field location.

### **5.4.3.9. Client-side “On-Demand” and “Batch” Printing**

#### **Description**

## **5.5. JIS Framework Business Object Layer**

### **5.5.1. Design Considerations**

Currently, the JIS Framework has not been finalized regarding the design for the Business Object Layer (BOL). This document reflects the design efforts up to the date in time.

### **5.5.2. Components**

#### **5.5.2.1. Validation of Data Entry Input**

See section 5.4.3.3.

#### **5.5.2.2. Business Logic for Validating Business Rules**

See section 5.4.3.4.

#### **5.5.2.3. Exception Handling**

See section 5.4.3.5.

### 5.5.2.4. Information Logging

See section 5.4.3.7.

## 5.6. JIS Framework Data Access Object Layer

### 5.6.1. Design Considerations

Currently, the JIS Framework has not been finalized regarding the design for the Data Access Object Layer. This document reflects the design efforts up to the date in time.

The JIS Framework attempts to design all transactions to minimize exclusively tying up resources. This will minimize concurrency conflicts.

Having a separate layer for Data Access reduces code complexity in Business Object Layer, because the Data Access Object Layer manages all the data access complexities, it simplifies the code in the business objects and other data clients that use the Data Access Object Layer. All implementation-related code (such as SQL statements) is contained in the Data Access Object Layer and not in the Business Object Layer. This improves code readability and development productivity.

The Data Access Object Layer will have the following functionality:

- Transaction Management
- Locking Management
- Connection Pooling
- Object-Oriented to Relational Mapping
- Data Access Management
- Manage the objects related to a Domestic Violence Data Model
- Map Circuit and District Court Data to Justice XML
- Maintain a sub-set schema for JIS relevant Justice XML

### 5.6.1.1. Data Access Objects

Data Access Objects (DAO) are straightforward Java classes that offer simplicity and flexibility for J2EE applications. They can be used in a large percentage of applications for satisfying data storage requirements. Using DAOs hide all details of data storage from the rest of the application, allowing any modifications to DAOs to be confined to the Data Access Layer.

The DAO pattern has significant structure, and uses other patterns, such as Abstract Factory and Data Exception Wrapping.

For example, a Data Access Object (DAO) for reading the case name and description information could have the following code:

```
public class CaseDAO implements JISDAO {
    ...
    public static String GET_CASES = "select name, desc "
        + " from (case a join case_details b on a.CaseID=b.CaseID) "
        + " where location = ? and a.CaseID = ?";

    public Category getCase(String caseID, String location)
        throws CaseDAOException {

        Connection c = null;
        PreparedStatement ps = null;
        ResultSet rs = null;
        Case ret = null;

        try {
            c = getDataSource().getConnection();
            ps = c.prepareStatement(GET_CASES,
                ResultSet.TYPE_SCROLL_INSENSITIVE,
                ResultSet.CONCUR_READ_ONLY);
            ps.setString(1, location);
            ps.setString(2, caseID);
            rs = ps.executeQuery();
            if (rs.first()) {
                ret = new Case(caseID, rs.getString(1), rs.getString(2));
            }

            rs.close();
            ps.close();
            c.close();
            return ret;
        } catch (SQLException se) {
            throw new CaseDAOException("SQLException: " + se.getMessage());
        }
    }
}
```

### 5.6.2. Performance Considerations

### 5.6.2.1. JDBC Optimization Techniques

The Java Database Connectivity (JDBC) API is a set of interfaces that allow a Java programmer to access a database. The JIS Framework implements the following JDBC performance optimization techniques:

- Uses the Oracle Thin driver, a 100% pure Java driver that performs database communication.
- Turns off auto-commit for better performance, and issues commit command manually in the Java code.
- Uses the PreparedStatement object to execute all SQL statements, because these statements are parsed and compiled by the database, and then placed in a statement cache. From then on, each time you execute the same PreparedStatement, it is once again parsed, but no recompile occurs. Instead, the precompiled statement is found in the cache and is reused. For an enterprise application with a large number of users executing the same SQL statements repeatedly, the reduction in compiling from the use of PreparedStatements can improve the performance of the database.
- Utilizes SQL's set-oriented approach to for batch database processing rather than row-at-a-time cursor processing. For example, update the repeat-offender-status for each row in the table where “convicted” is marked as true.
- Use Stored Procedures for query statements that have the following characteristics:
  - SQL statements are sharable across multiple applications. This will result in a higher percentage of shared, pre-parsed SQL.
  - Multiple SQL statements can be batched together into a single procedure or function, so that a single network access kicks off a sequence of SQL activity on the server without unnecessary network traffic.

### 5.6.3. Components

#### 5.6.3.1. Caching

## Appendix A - JIS Enterprise Architecture

Caching strategies will be an important part of the JIS Framework as the network traffic for applications increases exponentially with user transactions. As the number of user requests and the response time increases caching will serve as a way to increase the response time of the applications by reducing unnecessary server requests.

Reducing network traffic between all layers of an application is the primary purpose of caching and achieving greater scalability.

Using HTTP Session	<p>Caches on a per-session basis, which is acceptable in most JIS applications since most users are performing the same requests repeatedly.</p> <p>However, since the cache is not being managed by a container, such as with Container Managed Persistence (CMP) Entity Beans, the cache cannot be modified if memory resources become limited.</p> <p>Also, the session time-out may be a problem in JIS applications due to the workflow of the users. Will 60 minutes be practical for time-out and invalidating a session?</p>
Using Singletons and Application Context	<p>Create Singleton classes implemented as HashTables. A Least Recently Used (LRU) mechanism, implemented as a stack, can be added to make the Singleton approach more efficient and smaller in size. LRU would keep resource usage controlled, by limiting the caching to only the most recently used objects.</p>

### 5.6.3.2. Report Generation

The JIS Framework should provide the ability to create operational and statistical reports. This can be accomplished using any or all of the following solutions:

- **Web Focus**, from Information Builders, Inc. is an enterprise-wide business-reporting tool.

- **FOP** (Formatting Objects Processor), from Apache, which is a report formatting approach that reads a formatting object tree and then turns it into a PDF document. The formatting object tree can be in the form of an XML document (output by an XSLT engine like Xalan) or can be passed in memory as a DOM Document or (in the case of Xalan) SAX events.

### 5.6.3.3. Security

The JIS Framework should provide security abstraction to software developers to assist in determining a JIS application user's identity, as well as determining what a user is authorized to access.

The JIS Framework utilizes a straightforward yet secure method of managing user identities and privileges, it involves JAAS, JAZN and the Oracle 9iAS Single Sign-On (SSO) server to enforce the following:

- **Authentication**
  - Ensuring that only appropriate staff can gain access.
  - The most common format checks user name and password.
- **Authorization**
  - Ensuring that the right information gets to the right person.

#### 5.6.3.3.1. JAAS

Java Authentication and Authorization Service (JAAS)

To authenticate a subject (user or service), the following steps are performed:

- An application instantiates a LoginContext.
- The LoginContext consults a Configuration to load all of the LoginModules configured for that application.
- The application invokes the LoginContext's login method.
- The login method invokes all of the loaded LoginModules.

## Appendix A - JIS Enterprise Architecture

- Each LoginModule attempts to authenticate the subject.
- Upon success, LoginModules associate relevant Principals and credentials with a Subject object that represents the subject being authenticated.
- The LoginContext returns the authentication status to the application.
- If authentication succeeded, the application retrieves the Subject from the LoginContext.
- If connection happens over the public networks, it's advisable to protect RMI communication with SSL (or other similar techniques).

An explanation of JAAS:

1.	The JAAS server is implemented as an RMI server, running in the background.
2.	The authentication schema must be defined, it will consist of the following: Username, Password.
3.	There will be two different login paths:  Ordinary users are allowed to login remotely (via serializable callback).  Administrators have to use local login - they are prompted for password at the server console.
4.	Role hierarchies are implemented by adding special classes, derived from Principal, to the authenticated Subject's set of Principals.
5.	There are 2 JAAS login modules - they are queried in turn when trying to authenticate.

### 5.6.3.3.2. JAZN

The Oracle 9iAS JAAS implementation is also known as the JAAS Provider or JAZN.



Currently, the JIS Framework has is incomplete regarding the design of the coding for JAZN.

## 5.7. JIS Framework Data Layer

The Data Layer consists of the Oracle 9i database.

### 5.7.1. PL/SQL Stored Procedures

A stored procedure is a module that is stored in the Oracle 9i database and is written in either PL/SQL (Oracle's proprietary procedural language) or Java.

Stored procedures are ideal when batch processing is required or when there is a complex piece of business logic that needs to be performed and which involves a lot of data. Performing this business logic in a stored procedure will reduce the networking calls and traffic that multiple SQL calls would generate.

The components of the JIS Framework will use stored where possible, in an effort to improve the performance of JIS applications.

## 5.8. JIS Framework Organization

### 5.8.1. Package Structure

**Root Directory: us.md.state.courts**

<b>/Client</b>	/client /application /client module /client session	The client application code written by the JIS application developer using the templates and examples included with the JIS Framework for developing GUI client applications.
<b>/Common</b>	/utils	Common utility classes shared by the applications.
<b>/Model</b>	/browser /data transfer /jisui /join bean /screen manager	JIS Framework - GUI API class grouping.  Classes in the API called by JIS application developers or internal to the JIS Framework.

	/table bean /view bean /widgets	
<b>/Server</b>	/controller	Servlet decides what the routing for the request should be, based on the information submitted with the request from the client.  Note: The data access and transaction handling implementation is currently incomplete.

### 5.8.2. Client Module

Packages for use in the Client Module and their descriptions:

<b>ClientApp</b>	Classes that create and manage screens with Master-browser and Field-detail behavior.
<b>ClientDatabase</b>	Classes that interface with the Server-side data access layer.
<b>ClientModule</b>	Screen Manager classes that manage the sequence of data screens.
<b>ClientSession</b>	Client application main(), GUI and system settings.  Classes that manage the client-side of the application.

### 5.8.3. Common

This package will grow as the Framework becomes more complex, and will contain Constant definitions and other code shared by both the client applications and the Framework.

Currently only Constant definitions are maintained in this package.

### 5.8.4. Model

Packages for the Model and their descriptions:

<b>Browser</b>	Classes that handle managing the JTable and its associated data. Used for displaying the records in a table grid in 1 to Many relationship screen views.
<b>Data Transfer</b>	Classes for managing XML documents with the DOM parser.  Classes for calling the data access servlet for populating screen views. (Temporary for Demonstration purposes)
<b>JISUI</b>	Classes that manage registering (attaching) screen widgets to screens and then linked screens together as a data-entry work flow with “Next” and “Previous” buttons.
<b>Join Bean</b>	Class representations of joined data objects, such as Party objects and Case objects. These joined objects are used in 1 to many screen views.  They are an object-oriented representation of data in the relational data in the database.
<b>Screen Manager</b>	Classes that create layout of the screen with its buttons, data browsers (JTable) and other widgets.
<b>Table Bean</b>	Class representations of individual data objects, such as Party objects and Case objects. These table objects are used in screen views.  They are an object-oriented representation of data in the relational data in the database.
<b>View Bean</b>	Classes that populate the browser's TableModel getting values for each in the cells which are defined by the arrays passed to the JIS Framework from the client application.
<b>Widgets</b>	Classes that create the widgets such as JTextField, JLabel, JCheckBox, JRadioButton, JComboBox as

	defined by the arrays passed to the JIS Framework from the client application.
--	--

### 5.8.5. Server

Packages for the Server and their descriptions: Currently not completely defined.

Thus far the package structure would include, but not be limited to the following packages:

<b>Cache</b>	Classes that manage the application's caching.
<b>DAO</b>	Data Access Objects for database access and communication.
<b>Reporting</b>	Classes associated with reporting functionality.
<b>Security</b>	Classes for managing JAZN for Single Sign-On.

## 5.9. Integration

In order for a JIS applications developer to create their own screens they merely need to follow the supplied examples, to write the following Java classes:

- **Screen Declarations** – Specify a series of one or more screens in the application and the various parameters to achieve the desired functionality for each of these screens. e.g. the labels, fields, widgets (Text Entry, Lookups, Check Boxes, Radio Buttons, Select Boxes).

```
/**
 * Class DVInitiateCase
 *
 * Display a screen with 4 questions and 3 buttons for a DV data entry screen.
 *
 * Fields:
 *     Status Code
 *     Case Title
 *     Suffix
 *     Party Last Name
 */

package us.state.md.courts.dv;
```

```
import jisui.JISScreen;

public class DVInitiateCase extends JISScreen
{
    public String[][] buttons = { { "Ok", "Cancel", "Save" }, };

    public String[][] widgets = {
        { "1", "1", "DV_CaseHeader.StatusCode", "text", "Status", "5" },
        { "1", "2", "DV_CaseHeader.CaseTitle", "text", "Title", "40" },
        { "1", "3", "DV_CaseHeader.Suffix", "text", "Suffix", "5" },
        { "1", "4", "DV_Party.LastName", "text", "LastName", "30" }
    };

    public InitiateCase () {
        init(buttons, widgets);
    }
}
```

## 6. JIS Framework “Best Practices “

The term “Best Practices” refers to guidelines. A guideline is a recommendation, which helps specify practical information on techniques to help you perform certain tasks.

The JIS Framework has a list of practices, which form its template approaches for developing applications. The list of recommended practices will continue to grow as the JIS organization continues to expand its efforts.

The current list is the following:

- Follow Java coding standards to improve maintainability. Coding conventions are important to programmers for a number of reasons:
  - 80% of the lifetime cost of a piece of software goes to maintenance.
  - Hardly any software is maintained for its whole life by the original author so in is critical that developers use comments in the code, create UML and JavaDocs to produce reference documentation.
  - Code conventions improve the readability of the software, allowing software developers to understand new code more quickly and thoroughly.

- Learn to enjoy Testing

Software bugs have enormous costs: time, money, user frustration and in some cases disasters. A common approach to finding, tracking and fixing bugs is important for the JIS applications development projects.

There are several different kinds of software tests that should be considered in the quality control efforts of the project:

<b>Unit Tests</b>	<p>This type of code testing checks the correctness of several modules (i.e., classes). If the object needs access to some external data source, like a database, these are simulated with hard-coded Array Lists into stub methods that return sample data to the calling source code.</p> <p>JUnit is an industry standard tool for Unit Testing and should be utilized where possible by the JIS application development team.</p> <p>JUnit is a regression-testing Framework, which repeatedly performs tests on a software system to find bugs, verify bug fixes and verify that previous bug fixes have not broken other parts of the software system.</p> <p>Also, a technique for developing Unit Tests called Mock Objects can be utilized. This approach replaces domain code with dummy implantations that emulate real code. The Mock Objects are passed to the target domain code to perform comprehensive tests.</p>
<b>Customer's Tests</b>	<p>This type of code testing consists of functional, system, and acceptance tests. All of them check the behavior of the system as a whole. A subject matter expert writes this type of test.</p>
<b>Integration Tests</b>	<p>This type of code testing is a hybrid of Unit and Customer testing. Integration tests help to check the interaction of several levels of the application. Also, integration tests often demand the presence of a special test environment, such as a database seeded with test data. Integration tests may also use special external libraries. An example of such a library for the integration of J2EE applications is Cactus.</p>
<b>Developer's Tests</b>	<p>The developer writes test classes to verify the functionality and accuracy of the source module's classes and methods. It is important to generate new tests to check code whenever possible.</p>

--	--

- Develop Unit test classes by coding customized test classes or a testing tool such as, JUnit (<http://www.junit.org>). When you create your unit tests in the beginning as a first step or right after initial coding on a class or component, developers will find it much easier and faster to create their code. The combined time it takes to create a unit test and create some code to make it pass is about the same as just coding it up straight away. Creating a unit test helps a developer to really consider what needs to be done. Requirements are nailed down firmly by tests. There can be no misunderstanding a specification written in the form of executable code.
  
- Deploy test scripts, such as available in software packages like IBM Rational Robot (<http://www-306.ibm.com/software/awdtools/tester/robot/index.html>), formerly known as, SQA Team Test, from Rational Corporation. Robot automatically plays back scripts that emulate user actions interacting with the GUI of Applications Under Test (AUT). The validity of the AUT is determined by comparators at verification points, when objects of the AUT are compared against a baseline of what is expected. Rational Robot provides test cases for common objects such as menus, lists and trees, and specialized test cases for objects specific to the development environment.

RobotJ scripts (using Java syntax) that are compiled into Java class files. As scripts run, Log records are generated into Log Files used to trace script execution conditions.

- Performance and Load Testing - Use tools such as, Mercury Diagnostics for J2EE (<http://www.mercury.com/us/solutions/j2ee/mercury-j2ee/diagnostics/>), formerly known as LoadRunner, for isolating performance problems and analyzing response times for Web and Application server activity and the back-end activity of database requests.
  
- Configuration Management

Solutions for simplifying and managing change in software applications including version control, and defect and change tracking.

## Appendix A - JIS Enterprise Architecture

- Follow a detailed Build process, using tools such as “Another Neat Tool” (ANT).

The application build process is a critical and repetitive process that should be automated to eliminate deployment mistakes and to increase efficiency of the process.

Apache’s Ant is a cross platform Java-based build tool that is an industry standard for application deployment. Ant is similar in function to Make and a shell language, but Ant is extended with Java classes and uses configuration files that are XML-based.

- Maintain a reliable source control repository, such as the open-source release of Concurrent Versions System (CVS).

For complex software development projects it is essential for an organization to have a tool for safely storing and managing their application source code efficiently and intelligently.

A source code repository is a designated storage location with associated software that acts as a repository manager, controlling the access and changes to the source code files that a software development team is collaboratively working. Developers can then check out files to edit, make whatever changes are necessary, and check the files back in again. Where possible, the repository management software automatically merges changes when two or more developers edit the same file.

A source code repository performs the following duties:

- Acts a version manager
- Organizes and safeguards software source code
- Enables safe, efficient code reuse because all revisions and changes are controlled and documented
- Prevents unintentional code overwrites and lost changes
- Nested security model provides flexible access control
- Provides structure for software projects

A source code version manager traces, documents, and organizes software changes, and enables multiple teams to safely engage in parallel development without jeopardizing each other’s work. This will



## Appendix A - JIS Enterprise Architecture

be very important for the JIS application development projects, as their work becomes more complex and team oriented.

Possible choices for JIS source code management are CVS, PVCS and SourceSafe.

- Maintain a bug (defect) tracking database, such as Buzilla (<http://www.bugzilla.org>).

Bug Tracking systems track software defects. Tracking these defects is helpful to fixing them in the current application, as well as, recording the remedy in a database for future fixing applications that have the similar defect.

A Bug Tracking system captures, manages, and communicates changes, issues and tasks, providing basic process control to ensure coordination and communication within and across development and content teams at every step. Bug fixes can be prioritized and assigned to team members and they can update the status and document the cause and resolution of the problem. Examples of Bug Tracking systems include: Bugzilla (Open-Source) and Merant's Bug Tracker.

Implementing a procedure for tracking software defects can increase productivity and decrease software bugs, thus raising customer satisfaction with their software systems.

- Integrate testing into daily software development tasks, write code and test code daily.
- Use JavaDocs to assist in application documentation.
- Application Development Team Goals
  - Strive to become certified as a Capability Maturity Model (CMM) applications development environment.
  - Develop software iteratively – An iterative approach supports an iterative approach to development that addresses the highest risk items at every stage in the lifecycle, significantly reducing a project's risk profile. This iterative approach helps you attack risk through demonstrable progress, frequent, builds that enable continuous end user involvement and feedback, as well as, continuous evaluation and verification by the software development team members that technical requirements are being satisfied.

- Strive to improve communications and teamwork.

## Appendix I – Definitions

Note: HTML, XML XSD, XSL, XSL-FO (FOP) are all W3C recommended standards.

API	Application Programmer Interface
Application Server	A server computer in a computer network dedicated for running certain software applications. For example, Oracle 9iAS and IBM WebSphere.
Authentication	Process of establishing the validity of a claimed identity with an acceptable level of certainty.
Authorization	The process of determining whether a subject is allowed to have the specified types of access to a particular resource.
Bugzilla	<p>Bugzilla is the industry-standard bug tracking system.</p> <p>Originally developed to track and document bugs in Netscape's Mozilla project.</p> <p>A Bug has stages through which it must pass before becoming a "closed bug", including acceptance, resolution, and verification. The "Bug Life Cycle" is moderately flexible according to the needs of the organization using it, though. Bugzilla emails developers as each bug passes from stage to stage, keeping the team updated on all progress.</p> <p>Bugzilla features a 'whining cron', which sends email to developers every day until a bug is fixed.</p>
Class	A description of a set of objects that share the same attributes, operations, methods, relationships, and semantics. A class may use a set of interfaces to specify collections of operations it provides to its environment.
CM	<p>Configuration Management</p> <p>The process of identifying and defining the deliverable product set in a system, controlling the release and change of these items throughout the system life cycle, recording and reporting the status of product items and change requests, and verifying the completeness and correctness of the product items.</p> <p>The tracking and control of multiple versions of applications that begin to coexist once multiple stages appear in a software life cycle. Because application</p>

Appendix A - JIS Enterprise Architecture

	development projects contain several phases including assessment, conversion, and testing, Configuration Management is critical to ensuring quality.
CMM	<p>Capability Maturity Model - defined by the Software Engineering Institute (SEI) at Carnegie Mellon University.</p> <p>CMM describes the level of capability and maturity a software team could aim for and could be assessed against.</p>
Component	<p>A component is a software object, meant to interact with other components, encapsulating certain functionality or a set of functionalities. A component has a clearly defined interface and conforms to a prescribed behavior common to all components within an application's architecture.</p> <p>An abstract part of something; A Component is a subsection of a Product. It should be a narrow category, tailored to your organization. All Products must contain at least one Component.</p>
CVS	<p>CVS is the Concurrent Versions System, the dominant open-source network-transparent version control system.</p> <p>CVS is useful for everyone from individual developers to large, distributed teams:</p> <ul style="list-style-type: none"> <li>○ CVS offers a client-server access method that lets developers access the latest code from anywhere there's an Internet connection.</li> <li>○ CVS acts as a source code version manager, historical archive, and backup.</li> <li>○ The CVS server is available on all JIS platforms.</li> </ul>
Data Modeling	<p>Data modeling is the analysis of data objects that are used in a business or other context and the identification of the relationships among these data objects.</p> <p>Data modeling is a first step in doing object-oriented programming. As a result of data modeling, you can then define the classes that provide the templates for program objects.</p>
DBMS	<p>Database Management Systems</p> <p>A collection of programs that enables you to store, modify, and extract information from a database.</p>
Design Patterns	Design patterns are recurring solutions to software design problems you find again and again in real-world application development. Design patterns are

Appendix A - JIS Enterprise Architecture

	<p>about design and interaction of objects, as well as providing a communication platform concerning elegant, reusable solutions to commonly encountered programming challenges.</p> <p>The Gang of Four (GOF) -- Erich Gamma, Richard Helm, Ralph Johnson, John Vlissides, are the authors of the book "Design Patterns", a modern classic in the literature of object-oriented development. GOF patterns are generally considered the foundation for all other patterns; the 23 design patterns are categorized in three groups: Creational, Structural, and Behavioral.</p>
DOM	<p>Document Object Model</p> <p>Widely accepted XML API for working with XML, the other is SAX.</p> <p>The DOM models the XML Infoset through a hierarchy of generic nodes that support well-defined interfaces; it is a Tree-based model, most implementations demand that the entire XML document be contained in memory while processing.</p>
Framework	<p>A Framework can be defined as the following:</p> <ol style="list-style-type: none"> <li>1. A structure for supporting or enclosing something else, especially a skeletal support used as the basis for something being constructed.</li> <li>2. A fundamental structure.</li> <li>3. A set of assumptions, concepts, values, and practices that constitutes a way of viewing reality.</li> </ol>
FTP	<p>File Transfer Protocol.</p> <p>The protocol used on the Internet for exchanging files.</p>
Java	<p>A platform-independent object-oriented programming language invented by Sun Microsystems, Inc. around 1992. Java was designed to have the "look and feel" of the C++ language, but it is simpler to use than C++ and enforces a completely object-oriented view of programming.</p> <p>The Java programming language is designed to be platform-independent. This is achieved by the use of "virtual machines" that allow Java programs to run on a particular operating system.</p> <p>Java is a simple, object-oriented, distributed, interpreted, robust, secure, architecture neutral, portable, high-performance, multithreaded, and dynamic language and software platform.</p>

	<p>Java is very network-oriented, that is expressly designed for use in the distributed environment of the Internet; this is a major reason for its popularity in Web applications development projects.</p>
<p><b>J2SE</b>  <b>Java Standard Edition</b></p>	<p>Java Standard Edition (J2SE)</p> <p>The J2SE API consists of technologies we have organized into two groups: Core Java and Desktop Java.</p> <ul style="list-style-type: none"> <li>○ Core Java provides essential functionality for writing powerful enterprise-worthy programs in key areas such as database access, security, remote method invocation (RMI), and communications, to name a few.</li> <li>○ Desktop Java provides a full range of features to help build desktop applications that provide a rich user experience. Desktop Java consists of deployment products such as Java Plug-in, component modeling APIs such as Java Beans, graphical user interface (GUI) APIs such as the Java Foundation Classes (JFC) and Swing, and multimedia APIs such as Java3D.</li> </ul> <div style="text-align: center;"> <p><b>Java™ 2 Platform, Standard Edition v 1.4</b></p> </div>
<p><b>J2EE</b>  <b>Java Enterprise Edition</b></p>	<p>Java 2 Platform Enterprise Edition from Sun Microsystems, Inc.</p> <p>The J2EE platform consists of a set of services, APIs, and protocols that provide the functionality for developing multi-tiered, Web-based applications.</p>

	<p><b>Enterprise Application Model</b></p> <p>The diagram illustrates the Enterprise Application Model, divided into four vertical columns representing different layers of the architecture:</p> <ul style="list-style-type: none"> <li><b>Client-Side Presentation:</b> Includes Browser (Pure HTML, Java Applet), Desktop (Java Application), and Other Device (J2EE Client).</li> <li><b>Server-Side Presentation:</b> Includes Web Server (JSP, Java Servlet), XML, Web Service, and J2EE Platform.</li> <li><b>Server-Side Business Logic:</b> Includes EJB Container (EJB, EJB), Web Service, Web Service, and J2EE Platform.</li> <li><b>Enterprise Information System:</b> Represented by three database icons.</li> </ul> <p>Arrows indicate bidirectional communication between adjacent layers.</p>
<p><b>JAAS</b></p>	<p>Java Authentication and Authorization Service</p> <p>A framework (API) for different authentication and authorization services built on top of the Java platform. JAAS enables services to authenticate and enforce access controls upon users.</p>
<p><b>JAZN</b></p>	<p>Oracle 9iAS JAAS implementation known as the JAAS Provider or JAZN.</p>
<p><b>JDBC</b></p>	<p>Java Database Connectivity</p> <p>A Java API that enables Java programs to execute SQL statements against SQL-compliant Databases.</p>

	JDBC makes it possible to write a single database application that can run on different platforms and interact with different RDBMSs. JDBC is the standard interface for database access from Java applications.
<b>HTTP</b>	<p>Hypertext Transfer Protocol</p> <p>A protocol, on the Internet, that facilitates the transfer of hypertext-based files (Web pages) between local and remote systems in a request/response format.</p>
<b>IOP</b>	<p>Internet Inter-ORB Protocol</p> <p>The standard protocol that specifies how web-objects communicate across TCP/IP networks. IOP makes efficient use of network connections by allowing the client to make a request to the server and then allowing the server to call back to the client on the same connection. IOP enables browsers and servers to exchange integers, arrays, and more complex objects instead of HTTP, which only supports transmission of text.</p>
<b>Interface</b>	An interface is a declaration of a set of methods with no information given about their implementation. In object systems that support interfaces and inheritance, interfaces can usually inherit from one another.
<b>Multi-Tiered</b>	See N-Tiered
<b>N-Tiered</b>	<p>Tiers also known as layers, are used by architect and designers to separate applications into smaller pieces of logical functionality.</p> <p>For example, the following are examples of a N-Tier application:</p> <p>Presentation tier is the user interface (UI).</p> <ul style="list-style-type: none"> <li>○ Business tier is where business logic and data processing resides.</li> <li>○ Data Access Tier</li> <li>○ Data Tier is the Database Management System (DBMS) – Oracle.</li> </ul> <p>A multi-tiered client/server architecture in which the user interface, business and processing logic, and data storage and data access are developed and maintained as independent modules, most often on separate platforms.</p>
<b>OOP</b>	<p>Object-Oriented Programming</p> <p>OOP is a programming language model organized around "objects" rather than "actions" and data rather than logic.</p>
<b>OOA&amp;D</b>	<p>Object-Oriented Analysis and Design</p> <p>A technique that uses a modeling process for analyzing a problem abstractly,</p>

	using “real-world” concepts instead of computer concepts.
<b>Parsers</b>	<p>A parser is a program that analyzes and organizes formal language statements into a usable form for a given purpose.</p> <p>For example, parsing XML documents.</p>
<b>PL/SQL</b>	<p>Procedural Language/Structured Query Language</p> <p>Oracle’s language extensions to SQL, making SQL more like a programming language with functions, procedures, condition statements (If, For, Loop) object-oriented characteristics and error handling.</p> <p>Integrated with Oracle database server, PL/SQL does not exist as a standalone language.</p>
<b>RDBMS</b>	<p>Relational Database Management System</p> <p>A relational database management system (RDBMS) organizes data into related rows and columns as specified by the relational model.</p> <p>For example, Oracle, DB2, Sybase, SQL Server, and MySQL.</p>
<b>Relational Data Modeling</b>	See Data Modeling
<b>RPC</b>	Remote Procedure Call
<b>SAX</b>	<p>Simple API for XML</p> <p>An event-based API that, as an alternative to DOM, allows someone to access the contents of an XML document. SAX models the XML Infoset through a linear sequence of well-known method calls. Because SAX doesn't demand resources for an in-memory representation of the document, it's a lightweight alternative to the DOM.</p> <p>Widely accepted XML API for working with XML, the other is DOM.</p> <p>SAX was originally a Java-only API.</p>
<b>Servlets</b>	<p>A Java API.</p> <p>A Java class that runs on a server within a Web server environment. Usually handling request from client-side applications for data from a database or routing client-side request to the appropriate business logic.</p> <p>The advantage of running a Java Servlet on servers with lots of traffic is that they can execute more quickly than CGI applications, such as those written in</p>



Appendix A - JIS Enterprise Architecture

	<p>Perl. Rather than causing a separate program process to be created, each user request is invoked as a thread in a single daemon process, meaning that the amount of system overhead for each request is small.</p>
<b>SSL</b>	<p>Secure Sockets Layer</p> <p>A protocol that transmits your communications over the Internet in an encrypted form. SSL ensures that the information is sent, unchanged, only to the server you intended to send it to. Web-based applications frequently use SSL technology to safeguard sensitive information, such as credit cards or other personal data, being transferred over the wire. SSL security protocol provides data encryption, server authentication, message integrity and optional client authentication for a TCP/IP connection. SSL comes in two strengths, 40-bit encryption and 128-bit. The longer the key, more difficult is to break the encryption code.</p> <p>SSL used mostly in communications between web browsers and web servers. URL's that begin with 'https' indicate that an SSL connection will be used. SSL provides 3 important things: Privacy, Authentication and Message Integrity.</p> <p>SSL secures communications between client-side layer and the server-side layer during transactions by means of public key cryptography. A digitally secure communications channel is established between the server and the client after, which all data is encrypted. Message integrity is provided by the use of digital signatures, and trust in an individual or a website is ascertained by using digital certificates which are signed by a Certificate Authority acting as a "trusted third party".</p>
<b>SMTP</b>	<p>Simple Mail Transfer Protocol</p> <p>A protocol used to send e-mail on the Internet. SMTP is a set of rules regarding the interaction between a program sending e-mail and a program receiving e-mail.</p>
<b>SOAP</b>	<p>Simple Object Access Protocol</p> <p>Provides a mechanism from request/response definition and allows conversions in a Remote Procedure Call (RPC) format.</p> <p>Allows exchange of XML documents in a distributed environment over the following protocols: HTTP, FTP, IIOP, and SMTP.</p>
<b>SQL</b>	<p>Structure Query Language</p> <p>The international standard language for defining and accessing relational databases.</p>

<b>Swing</b>	Refers to the Java library of GUI controls (buttons, menus, checkboxes, etc.) that are used in Java user interfaces.
<b>UDDI</b>	<p>Universal Description, Discovery and Integration</p> <p>UDDI fits into an overall Web services specification and is a key component enabling the creation, specification, discovery, and invocation of Web services.</p> <p>A Web-based distributed directory that provides a means of locating services via a common registry of providers and services.</p> <p>Web services are listed in the UDDI registry.</p> <p>UDDI is based on existing standards, such as Extensible Markup Language (XML) and Simple Object Access Protocol (SOAP).</p>
<b>UML</b>	<p>Unified Modeling Language</p> <p>Industry standard modeling language used to specify, diagram, construct and document software designs.</p> <p>Its notation is derived from and unifies the notations of three object-oriented design and analysis methodologies:</p> <ul style="list-style-type: none"> <li>○ Grady Booch's methodology for describing a set of objects and their relationships</li> <li>○ James Rumbaugh's Object-Modeling Technique (OMT)</li> <li>○ Ivar Jacobson's approach which includes a use case methodology</li> </ul>
<b>Xalan</b>	An XSLT processor for transforming XML documents into HTML, text, or other XML document types.
<b>Xerces</b>	XML parser, included within software to allow applications to parse, generate, manipulate, validate, read and write XML documents.
<b>XML</b>	<p>Extensible Markup Language</p> <p>The de facto standard for information interchange the de facto standard for information interchange.</p>
<b>XSD</b>	Format for defining the structure, content and semantics of XML documents.
<b>XSLT</b>	<p>Extensible Style-sheet Language Transformations</p> <p>XSLT is a XML transformation language, which transforms documents in XML format. To transform in this context means to take all data or part of it and</p>

Appendix A - JIS Enterprise Architecture

	create another XML document or a document in a format, which can directly be used for displaying or printing (e.g. an HTML, RTF or TeX document).
<b>XSL-FO (FOP)</b>	<p>Formatting Object Processor (FOP) is a Java based print formatter based on the XSL-FO (XSL-Formatting Object) standard.</p> <p>FOP gives us the flexibility to operate on XML structured data, apply an XSL Stylesheet, do the XSLT transformation and publish the data in various formats such as PDF.</p> <p>FOP uses SAX to parse the input XML and XSL-FO file and prepares the information for the core FOP engine.</p>
<b>W3C</b>	<p>World Wide Web Consortium</p> <p>An international consortium of companies involved with the Internet and the Web. Tim Berners-Lee, the original architect of the World Wide Web, founded the W3C in 1994. The organization's purpose is to develop open standards so that the Web evolves in a single direction rather than being splintered among competing factions.</p>
<b>Web Focus</b>	<p>Web Focus is a comprehensive data analysis and reporting tool.</p> <p>Web Focus enables developers to create comprehensive reporting portals and dashboards.</p>
<b>Web Services</b>	<p>An API for cross-application communication for distributed applications.</p> <p>A Web service is a collection of functions that are packaged as a single entity and published to the network for use by other programs.</p> <p>Allows machine-to-machine communication regardless of the systems involved and is independent of language, development tool and platform.</p> <p>Examples of potential JIS Web Services:</p> <ul style="list-style-type: none"> <li>○ A Web Service returning case information when given a party's name.</li> <li>○ A Web Service returning all party's associated with a certain case number.</li> </ul> <p>A successful model for efficiently connecting applications, guaranteed to be at the heart of the next generation of distributed systems, because of their interoperability, inexpensive APIs (free toolkits), ubiquity (rely on HTTP and XML), and industry support.</p>

	<p>Overview of Web Services <span style="float: right;">Formatted</span></p> <p>The diagram illustrates the layers of Web Services. On the left, five layers are listed vertically: WSFL (Service flow), UDDI (Service discovery and Service publication), WSDL (Service description), SOAP (XML-based messaging), and http, ftp, MQ, IIOP, and more (Network). On the right, three vertical pillars represent cross-cutting concerns: Security, Management, and Quality of service.</p>
<p><b>WSDL</b></p>	<p>Web Services Definition Language</p> <p>WSDL is an XML-based language for describing Web services and how to access them.</p>

## Appendix A - JIS Enterprise Architecture

	WSDL is the interface description language for Web Services.
<b>WSFL</b>	Web Services Flow Language  The Web Services Flow Language is an XML language for the description of Web Services compositions.

**Appendix B – Case Management Functional Requirements**

## Appendix B: Case Management Functional Requirements

### Introduction:

The following narratives and tables represent the base set of functional requirements for a comprehensive case management system. The requirements were prepared and presented by case type in order to capture the unique needs of each. There is a great degree of overlap between these requirements; this overlap represents the functional requirements common to all case types. The identification of common and unique requirements will be addressed as part of the system specification process as will the further definition of requirements (business rules) unique to Maryland law or specific jurisdiction. The case types and associated pages are:

□ Civil	Pages 64 through 101
□ Criminal	Pages 102 through 142
□ Juvenile	Pages 143 through 188
□ Domestic Relations	Pages 189 through 222
□ Traffic	Pages 223 through 257
□ Cross Functional	Pages 258 through 259

For each case type (excluding the cross functional requirements), the requirements are presented largely in tables that follow the chronological case activity flow. This standard approach will facilitate the system specification process. The columns presented in these tables are:

- Subfunction - each subfunction is characterized by a short phrase that describes the task(s) it performs and is numbered for ease of referencing during development of in-house systems and requests for proposals (RFPs) for vendor-supplied systems.
- Auto - in this column, “yes” indicates functions that should be automated as described above; otherwise, the column is blank.
- Mandatory - some subfunctions represent mandatory capabilities that would be performed in any civil case processing system (denoted by “all” in this column); some represent capabilities that would be mandatory only in large courts (denoted by “large” in this column); some represent capabilities that would be mandatory only in small courts (denoted by “small” in this column); and some represent capabilities that would seldom or never be mandatory but would be optional (denoted by a blank in this column and an entry in the optional column described below).
- Optional - notations in this column are analogous to those in the mandatory column described above.

Appendix B: Case Management Functional Requirements  
CIVIL

## Civil Case Management Requirements

**Table 1.1 – Case Initiation Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.1.1 generate and assign case number using locally defined format	yes	all	
1.1.2 generate locally defined case title or style (i.e., short phrase that identifies case and includes plaintiff and defendant names) from party names and other information	yes	all	
1.1.3 generate and assign separate party identifier (e.g., party number) for each plaintiff and defendant	yes	all	
1.1.4 conduct locally used review processes to ensure case should be accepted by court and display results (e.g., attorney not suspended for failure to pay)	yes	all	
1.1.5 enter 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)		all	
1.1.6 enter locally used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.1.7 enter other identifiers (e.g., parcels in real property rights cases) and establish relationships with parties		all	
1.1.8 enter in docket or register of actions case initiation information including information on initial filing noted above and basic case information (e.g., case type, case category, case status, case title or style, parties, attorneys, and docket-related events) (see also Docketing and Related Recordkeeping Function)		all	
1.1.9 enter in docket or register of actions information for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person if organization (see also Docketing and Related Recordkeeping Function)		all	



Appendix B: Case Management Functional Requirements  
CIVIL

1.1.10	support electronic filing (e.g., directly from attorneys' offices) and move designated data (e.g., tagged basic case information) from electronic document to civil case processing system (see also Multifunction Capabilities and Integration and Security Function regarding verification of electronically entered data)	yes	large	small
1.1.11	generate receipt for or notify appropriate parties 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) (see also Document Generation and Processing Function)	yes	all	
1.1.12	record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing, bankruptcy filings) (see also Scheduling Function)			all
1.1.13	support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables). PLEASE NOTE: differential case management may entail highly complex computer programming 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)		large	small
1.1.14	create groups of related cases (e.g., several tort cases filed against same defendant by different plaintiffs, multiple-plaintiff asbestos cases, other class action cases) from single or multiple filings such that initial and subsequent entries can be applied to each case in group (see also Docketing and Related Recordkeeping Function)		large	small

Appendix B: Case Management Functional Requirements  
CIVIL

1.1.15 establish relationships between cases and case categories and court types (e.g., small claims), locations, and departments (e.g., for large courts with multiple locations) (see also List of Code Translation Tables)			all
1.1.16 prompt user when parties already exist that relate to new case, followed by user-initiated search for duplicate parties and attorneys 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)	yes		all

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 1.2 – Indexing Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.2.1 create and maintain locally defined index that (1) contains basic index information (e.g., each party name, role in case, and whether party has an attorney; case type; case number; date filed; and cross reference to other parties in case [e.g., other party named in case title or style]), (2) permits database look-up by a choice of key fields (e.g., party name, party role, case filed date range) and, if record found, (3) permits retrieval and display of index information, and (4) permits easy interfaces with other parts of civil case processing system as noted below		all	
1.2.2 handle look-up and retrieval subfunctions by identifying a specific party name, party role, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up—and then obtaining index information by selecting from list of matching cases or parties or by using key fields noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper key fields, system returns index information on cases involving that Smith)		all	
1.2.3 allow users easy interface with other parts of the system such as docketing, scheduling, calendaring, and accounting for potentially all related case and financial information (i.e., on specific case, its parties, its participants, its attorneys and on cases related to specific case and to its parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see also Inquiry and Report Generation sections)		all	
1.2.4 permit name search on various combinations of a person’s or party’s name (e.g., full name, last name only, part of first or last name, other options noted in Inquiry Section)		all	
1.2.5 if attorneys included in index, allow multiple names and bar identifiers			all

Appendix B: Case Management Functional Requirements  
CIVIL

1.2.6	include index information in index record as noted above or make this information easily accessible (e.g., in a manner that requires no additional user actions)		all	
1.2.7	permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided)	yes	all	
1.2.8	extract, print, or otherwise produce (e.g., microfiche) with appropriate security restrictions index information arranged according to various components of index (e.g., party, case number, case status) (see also Security Function)		all	
1.2.9	retrieve basic index information on all cases associated with specific participant		large	small
1.2.10	accommodate aliases in conjunction with indexing and processing of party names as appropriate			all

**Table 2.1 – Case Header Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.1.1	maintain case information originally entered during case initiation in docket or register of actions including information on initial filing and basic case information (see also Case Initiation and Indexing Function)		all	
2.1.2	maintain information originally entered during case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person if organization (see also Case Initiation and Indexing Function)		all	

**Table 2.2 – Event Information Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.2.1	enter and maintain information (e.g., document title, filing party, fees received, real property parcels) and dates on filings and other completed events not previously in system (e.g., party added or deleted, motion filed, answer or response filed, or hearing date set)		all	

Appendix B: Case Management Functional Requirements  
CIVIL

2.2.2	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 (e.g., motion granted or denied; see also Calendaring Function), hearing results (e.g., summary judgment; see also Hearings Function), dispositions (e.g., disposition date, type of disposition, information on judgment; see also Disposition Function and Accounting - Back Office Function), and requests for enforcement of judgment (see also Execution Function)	yes	all	
2.2.3	create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see also Document Generation and Processing Function, Hearings Function, and Disposition Function)	yes	large	small
2.2.4	permit user to identify and retrieve electronic documents 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)	yes	large	small
2.2.5	allow single event to create multiple docket entries (e.g., event is hearing; docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.6	enter, maintain, and display or print information on special case processing requirements or orders (e.g., sealed case or document) (see also Case Initiation and Indexing Function and Security Function)		large	small
2.2.7	maintain case information as official court record in accordance with state and local statutes or rules			all

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 2.3 – Information Relationships Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.3.1 maintain information on multiple parties, participants, and attorneys in a case such as personal information, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses (see also List of Code Translation Tables)		all	
2.3.2 maintain multiple current and historical addresses, with beginning and ending dates, for each party, participant, and attorney		all	
2.3.3 enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.4 maintain information on law firms 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)		all	
2.3.5 maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges, attorneys, and parties (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction) (see also Case Initiation and Indexing Function)	yes	all	
2.3.6 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	

Appendix B: Case Management Functional Requirements  
CIVIL

2.3.7 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)	yes	all	
2.3.8 link and display information on docket entries for events related to current docket entry (e.g., when defendant files motion that opposes previously filed motion of plaintiff, defendant's motion would be linked to original plaintiff'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)			all

**Table 2.4 – Input/Output Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.4.1 maintain and properly use code translation tables defined by user (see also List of Code Translation Tables)		all	
2.4.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	
2.4.3 create, maintain, and produce (according to user-specified criteria such as selected workstation[s] or selected case[s]) audit trail identifying persons who made docket and other entries and when they made entries (highlighting when filing occurred if filing and entry dates are different) (see also Security Function and Accounting - Back Office Function)		all	

Appendix B: Case Management Functional Requirements  
CIVIL

2.4.4	print or display all, part, or summaries of docket(s) (e.g., events in register of actions, all parties, summaries of judgment information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reports Function)		all	
2.4.5	support electronic filing (e.g., directly from attorneys' offices) of pleadings and other documents (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	large	small
2.4.6	maintain file of input templates available to users to create input documents 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 and to allow details of specific electronically filed complaint to be inserted into "boilerplate" text of complaint form for hard copy printout) (see also Multifunction Capabilities and Integration and Document Generation and Processing Function)	yes	large	small
2.4.7	maintain and print or display history of changes in judge assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change		large	small
2.4.8	maintain and print or display history of attorney changes for specific case or party		all	

**Table 3.1 – Schedule Creation Subfunctions**

<b>Subfunction</b>		<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.1.1	schedule events and groups of events (e.g., after case filed, set deadlines for service of summons, return of service, filing of answer or response)		all	
3.1.2	initiate schedule of future events based on user input or occurrence of prior events (e.g., after small claims case filed, schedule hearing and deadline for sending notices to parties and	yes	all	



Appendix B: Case Management Functional Requirements  
CIVIL

	participants)			
3.1.3	allow multiple cases and events to have same scheduled date and time (e.g., multiple complaints regarding same problem to be heard together)		all	
3.1.4	schedule maximum number of cases for specific time interval by event (e.g., hearing) type	yes	large	small
3.1.5	schedule group of related cases as if group was a single case	yes	all	
3.1.6	provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations		all	
3.1.7	apply specific change (e.g., reschedule all cases to be heard by judge who is unavailable due to illness) to multiple schedules for group of cases as if group was a single case	yes	all	
3.1.8	identify and display scheduling conflicts as noted in next group of subfunctions (see also List of Code Translation Tables)	yes	all	
3.1.9	when multiple schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions including displaying scheduling conflicts, suggesting resolutions, allowing user overrides, and rescheduling only with user approval (see also List of Code Translation Tables)		large	small

**Table 3.2 – Person and Resource Assignment Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.2.1	maintain waiting list of cases to be scheduled for specific date, date range, judge, courtroom, and other entities	yes	large	small

Appendix B: Case Management Functional Requirements  
CIVIL

<p>3.2.2 when creating schedules, consider (1) availability of judges, attorneys, parties, participants, and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days when specific individuals are unavailable; (3) scheduling conflicts to extent information is in system (e.g., all law officer and witness schedules will not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules) (see also List of Code Translation Tables)</p>	<p>yes</p>	<p>all</p>	
<p>3.2.3 maintain availability information on judges, attorneys, parties, participants (e.g., interpreters, out-of-state witnesses), court facilities, and other scheduling factors noted in this section</p>		<p>all</p>	
<p>3.2.4 relate individual judges and groups of judges to courtrooms, locations, departments, department staff (e.g., reporter, bailiff; judge also may be considered staff), and case management tracts over permissible assignment time frames (e.g., in court with rotating judge assignments, a specific judge hears small claims cases in a particular courtroom during a given month) (see also List of Code Translation Tables)</p>	<p>yes</p>	<p>large</p>	<p>small</p>
<p>3.2.5 assign specific case categories (e.g., tort, contracts, real property rights, small claims within civil case type) to specific departments according to user-defined case/department relationships (e.g., business cases assigned to business courts)</p>	<p>yes</p>	<p>large</p>	<p>small</p>

Appendix B: Case Management Functional Requirements  
CIVIL

3.2.6	assign and reassign individual and groups of judges 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), according to existence of specific conditions (e.g., conflict of interest), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon)	yes	all	
3.2.7	assign related cases, as designated by user, to same judge and group together on schedule (e.g., multiple complaints regarding same problem or person) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function)		large	small
3.2.8	reassign individual or group of cases from one judge or calendar to another as if group was a single case (e.g., judge retires or moves to appellate court)	yes	all	

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 3.3 – Ticklers and Other User Alerts and Prompts Subfunctions**

Subfunction	Auto	Mand.	Opt.
3.3.1 provide tickler capability: identify events coming due or overdue, periods about to expire or expired (e.g., answer or response due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances); prompt or notify users; and initiate proper functions (e.g., generate notice regarding potential default) (see also Accounting - Back Office Function)	yes	all	
3.3.2 provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	yes		all
3.3.3 identify completed events and prompt users (e.g., summons served, awaiting answer or response)	yes	all	
3.3.4 generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria	yes	all	
3.3.5 prompt user to schedule predefined related cases (e.g., other complaints regarding same problem) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function where relationships are defined to system—some automatically and some manually)	yes	large	small
3.3.6 generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category) (see also List of Code Translation Tables)	yes	large	small
3.3.7 generate alert when displaying cases that are not public record (e.g., confidential cases) (see also Security Function)	yes	all	
3.3.8 generate alert when judges, attorneys, parties, participants, court facilities, and other scheduling factors unavailable	yes	all	

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 3.4 – Schedule and Case Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.4.1 maintain and display information on scheduled events (e.g., next scheduled event, all scheduled events, interface with docket to view past events)		all	
3.4.2 print each schedule upon user request (e.g., judge’s calendar by day)		all	
3.4.3 create, maintain, and display or print administrative or clerk’s calendar that shows all cases with action pending within specific date range (e.g., show upcoming events to help clerk with intraoffice work prioritization and management), and update calendar when pending actions completed		all	
3.4.4 enter completed events noted on administrative or clerk’s calendar into docket as noted in Docketing and Related Recordkeeping Function	yes	all	
3.4.5 print or display attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, attorney)	yes	all	
3.4.6 print or display schedules for various persons (e.g., judges, attorneys); and facilities (e.g., courtrooms) within specific period	yes	all	
3.4.7 generate docket entry based on scheduled and completed events (see also Docketing and Related Recordkeeping Function)	yes	all	
3.4.8 track conformance to time standards (e.g., answer or response due 30 days after service to defendant) including modifications (e.g., move from one case management track to another), overrides (e.g., override requirement that answer or response due in 30 days and manually enter 60 days), and suspension (e.g., suspend mental health classification) of time counting under certain conditions (see also List of Code Translation Tables)	yes	large	small
3.4.9 support differential case management, ADR (e.g., mediation, arbitration), and other case management methods (e.g., schedule events within various sets of differential case management rules, schedule ADR events) (see also List of Code Translation Tables)		large	small

Appendix B: Case Management Functional Requirements  
CIVIL

3.4.10 include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards)	yes		all
--	-----	--	-----

**Table 4.1 – Document Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.1.1 generate notices or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	large	small
4.1.2 generate documents (e.g., summons, civil warrants, notices) triggered by a specific event (e.g., hearing scheduled)	yes	all	
4.1.3 generate miscellaneous documents (e.g., for re-scheduled and canceled events, plaintiff claims forms, other types of forms)		all	
4.1.4 generate special notices (e.g., judge assignment, courtroom change, attorney change, schedule change, other courtesy notices) when requested		all	
4.1.5 in cases with multiple active parties, generate single notice for attorney who represents multiple parties		all	
4.1.6 in cases with multiple active parties, show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party and show names and primary addresses of all active parties on file copy of notice		all	
4.1.7 print documents individually or in batches in local courts or central location		all	
4.1.8 distribute documents electronically (e.g., documents to be served to process server; notices and other documents to litigants and attorneys; notices, warrants, and other documents to be entered in docket) (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function)	yes	large	small

Appendix B: Case Management Functional Requirements  
CIVIL

4.1.9	track document service, return of service, proof or certificate of service, reservice if necessary, and any other events		all	
4.1.10	perform document generation, printout, and distribution subfunctions for group of cases as if group was a single case	yes	all	

**Table 4.2 – Document Utilities Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.2.1	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., 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) (see also External Interfaces [Appendix A])			all
4.2.2	relate each output template and text noted above to document(s) and court event(s) for which they are used			all
4.2.3	maintain only 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) for which they are used		all	
4.2.4	provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database (e.g., attorney, party, participant records or tables) (see also List of Code Translation Tables)		all	
4.2.5	produce electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see also Multifunction Capabilities and Integration)		large	small

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 5.1 – Calendar Creation Subfunctions**

Subfunction	Auto	Mand.	Opt.
5.1.1 create, generate, and maintain calendars based on scheduling information (see also Scheduling Function) for each type of hearing (e.g., jury trial, nonjury trial, motion, conference, dismissal) or mixed hearings (e.g., motions and settlements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, other elements of calendar profiles)	yes	all	
5.1.2 transfer easily and quickly between scheduling, calendaring, and other parts of the system when creating calendars (e.g., to view information on other cases, parties, participants)		all	
5.1.3 create and maintain judges' notes (i.e., judges' notes and comments for use with calendar) for judges' viewing only in accordance with local rules and statutes (see also Security Function)			all

**Table 5.2 – Calendar Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
5.2.1 create and print calendars individually (e.g., for a judge or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom		all	
5.2.2 distribute calendars electronically (e.g., jury manager, court reporters, sheriff) (see also Multifunction Capabilities and Integration)	yes	large	small
5.2.3 generate and display or print summary of upcoming hearings for a judge or in a courtroom over a specific period (e.g., a week)		all	
5.2.4 display or print summary calendar information (e.g., for use in courtroom and could contain case number, hearing type, case title or style, hearing date and time, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on parties) (see also Management and Statistical Reports)		all	



Appendix B: Case Management Functional Requirements  
CIVIL

Subfunction	Auto	Mand.	Opt.
Function)			

**Table 6 – Hearings Subfunctions**

Subfunction	Auto	Mand.	Opt.
6.1 provide for minute entry using one of the methods noted below		all	
6.2 generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry (see also Calendaring Function)	yes	large	small
6.3 generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes (see also Document Generation and Processing Function and Calendaring Function)	yes		all
6.4 enter, store, and display or print minutes recorded on calendar or worksheet		all	
6.5 provide edits and prompts with on-line minute entry capability (see also Security Function)	yes	large	small
6.6 enter, store, and document minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules (see also List of Code Translation Tables)		all	
6.7 use events captured in minutes to update records throughout system (e.g., information on judgments working with Disposition Function and accounting functions; attorney withdrawals working with Docketing and Related Recordkeeping Function; adjournments, continuances, and cancellations working with Docketing and Related Recordkeeping Function (for docket updates), Scheduling Function (for rescheduling of hearing), Document Generation and Processing Function (for notice generation), Calendaring Function (to place on future calendar when scheduled), and other functions; and rulings taken under advisement on submitted matters) (see also Integration Between Functions)	yes	all	
6.8 create and print court orders resulting from hearings and other judicial and ADR events		all	

Appendix B: Case Management Functional Requirements  
CIVIL

6.9	distribute court orders resulting from hearings and other judicial and ADR events electronically to outside parties and internally to be entered in docket (see also Multifunction Capabilities and Integration, Docketing and Related Recordkeeping Function, and Disposition Function)	yes	large	small
6.10	enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in docket (if not entered automatically through previous subfunction) (see also Docketing and Related Recordkeeping Function and Disposition Function)		all	
6.11	distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available			all

**Table 7 – Disposition Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
7.1	record disposition type (i.e., type of judgment) including those involving entire cases, individual parties, parcels in real property rights cases, and cross complaints		all	
7.2	identify inactive cases 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)	yes	all	
7.3	process information (e.g., update docket and other records, if not updated automatically as noted below, through Docketing and Related Recordkeeping Function) and produce documents (e.g., judgment form; see also Hearings Function) for dispositions (i.e., judgments) by trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation		all	

Appendix B: Case Management Functional Requirements  
CIVIL

7.4	process information and produce documents (e.g., writ of execution, abstract of judgment) on post-judgment activities (e.g., in response to requests for execution with information on monetary and nonmonetary judgments including parties, damages, nonmonetary awards, pertinent dates, assignees, payments, and credits, enter and update records when judgments vacated or amended) (see also Execution Function and Accounting - Back Office Function)		all	
7.5	distribute disposition and post-judgment documents noted above electronically external to court and internally to be entered in docket (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function)	yes	large	small
7.6	create, print, and maintain separate judgment indices (i.e., judgment book) that show original and subsequent judgments (e.g., containing dates, amounts, modifications, satisfactions, judge) by case and party (see also Case Initiation and Indexing Function and Execution Function)	yes	all	
7.7	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 (see also Case Initiation and Indexing Function and Execution Function)	yes	all	
7.8	allow for multiple judgments in cases involving multiple parties		all	
7.9	update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Docketing and Related Recordkeeping Function)	yes	all	

**Table 8 – Execution Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
8.1	process requests for execution of judgments and establish cross references for each execution subfunction given below to judgment index and judgment screen (see also		all	

Appendix B: Case Management Functional Requirements  
CIVIL

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
	Disposition Function)			
8.2	process objections to execution		all	
8.3	record fully, partially, and nonsatisfied executions (e.g., all obligations satisfied; see also Case Close Function)		all	
8.4	update each case in group of cases for which execution requested as if group was a single case (e.g., same judgment terms and execution requirements for each case in group)	yes	all	

**Table 9 – Case Close Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
9.1	receive information from Disposition Function and record reason for closure (e.g., case disposed after trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation) (see also Multifunction Capabilities and Integration)		all	
9.2	establish cross references between consolidated cases for docketing, scheduling, notice generation, and other functions	yes	large	small
9.3	close case (e.g., update docket; generate required forms, notices, reports for that case) (see also Docketing and Related Recordkeeping Function, Document Generation and Processing Function, Management and Statistical Reports Function)	yes	large	small
9.4	generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectable obligation balance; see also Management and Statistical Reports Function)		all	

**Table 10 – General Accounting Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
10.1	comply with generally accepted accounting principles (GAAPs) for governmental entities		All	

Appendix B: Case Management Functional Requirements  
CIVIL

	(which implies courts or state must define applicable GAAPs)			
10.2	provide appropriate security and authorization for all accounting functions (see also Security Function)		All	
10.3	allow user to override any data supplied automatically by system (e.g., funds distributed according to predetermined formula)		All	
10.4	generate accounting notices (e.g., for payment) at front counter or in back office (see also Document Generation and Processing Function)	yes	all	
10.5	transfer funds from one case to another case or between accounts in a given case (e.g., to rectify error if jury fees posted in court reporter fund) (see also Accounting - Back Office Function)		all	
10.6	support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see also Accounting - Front Counter and Cashiering Function and Accounting - Back Office Function)		all	

**Table 11.1 – Funds Collections Subfunctions**

Subfunction		Auto	Mand.	Opt.
11.1.1	permit payment to be accepted for cases filed but not docketed completely (e.g., all data, such as party names, 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 party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
11.1.2	accept payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.3	accept payments by electronic funds transfer (see also Multifunction Capabilities and Integration)	yes	large	small

Appendix B: Case Management Functional Requirements  
CIVIL

Subfunction	Auto	Mand.	Opt.
11.1.4 accept payments from attorneys by electronic funds transfer from attorney bank accounts, debiting accounts established by attorneys to cover court expenses, debiting attorney credit card accounts, and on-line check writing (see also Multifunction Capabilities and Integration)	yes	large	small
11.1.5 compute fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
11.1.6 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)	yes	all	
11.1.7 allocate fees associated with nonparties (e.g., from couriers, media) 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)		all	
11.1.8 record fees, other moneys collected, and related information (case related and noncase related)	yes	all	
11.1.9 accept multiple types of payments in single transaction (e.g., cash, check)		all	
11.1.10 accept multiple payments for single case with capability to process as either single payment or separate payments (e.g., voiding, receipting)		all	
11.1.11 accept single payment for multiple cases with capability to process separately for each case (e.g., voiding, receipting)		all	
11.1.12 permit payments to be voided and re-entered before daily balancing with proper security provisions (see also Security Function)		all	

**Table 11.2 – Receipt Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.2.1 generate and print receipts with proper identifiers (e.g., fee code, court location and address) based on collections with user option to receive single or multiple copies		all	

Appendix B: Case Management Functional Requirements  
CIVIL

Subfunction	Auto	Mand.	Opt.
11.2.2 generate and distribute electronic receipts for electronic payments (see also Multifunction Capabilities and Integration)	yes	large	small
11.2.3 generate and print receipts with unique, locally defined, sequential receipt numbers	yes	all	
11.2.4 generate and print multiple receipts from one financial transaction covering multiple payments for multiple cases or purposes (e.g., attorney files and pays fees for several cases in one trip to courthouse)		all	
11.2.5 generate and print 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)		all	
11.2.6 permit receipts to be reprinted (e.g., if printer malfunctions during printout) with same receipt numbers		all	

**Table 11.3 – Bookkeeping Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.3.1 establish individual (e.g., for case or party) and combined (e.g., funds held short term by clerk) bank accounts when initial fees received for new case for subsequent use in back office (see also Accounting - Back Office Function)		all	
11.3.2 record and maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement)		all	
11.3.3 provide secure passwords for each cashier (see also Security Function)		all	
11.3.4 identify cashier with all transactions (e.g., receipts, reports)		all	
11.3.5 compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type		all	
11.3.6 list contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	

Appendix B: Case Management Functional Requirements  
CIVIL

11.3.7	print summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, fee waivers, money orders) (see also Accounting - Back Office Function)		all	
11.3.8	list any discrepancies among payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Accounting - Back Office Function)		all	
11.3.9	permit individual cashiers to open and close at least daily (e.g., when several cashiers work different shifts at same register during same day)		all	
11.3.10	allow supervisor to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions (see also Security Function)		all	
11.3.11	suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
11.3.12	permit transactions that arrive after cashier closeout to be entered as transaction for next day		all	
11.3.13	print systemwide daily cash receipts journal (see also Accounting - Back Office Function)		all	

**Table 12.1 – Account Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing</b>			
12.1.1	yes	all	
12.1.2	yes	large	small



Appendix B: Case Management Functional Requirements  
CIVIL

12.1.3	maintain standard tables for court costs and fees (see List of Code Translation Tables)		all	
<b>Case processing or financial</b>				
12.1.4	maintain and track various types of individual (e.g., case or party) and combined (e.g., funds held short term by clerk) bank accounts (e.g., interest bearing, noninterest bearing, installment, pay-through) and balances by case, due date, and party (a few accounts, such as attorney accounts and funds held short term by clerk, are case processing; most accounts, such as trusts and most escrow accounts, are financial)	yes	all	
12.1.5	identify and record arrearages, generate alerts when scheduled payments not made (e.g., for fee waivers or deferrals now due), and take or prompt user to take appropriate action (see also Scheduling Function)	yes	all	
<b>Financial</b>				
12.1.6	track status of accounts referred to other agencies or organizations (e.g., state tax intercept to recover previously waived fees) for collection		all	
12.1.7	produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Generation and Processing Function)		all	

**Table 12.2 – Funds Transfer, Distribution, and Disbursement Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing</b>			
12.2.1		large	small
<b>Case processing or financial</b>			
12.2.2		large	small
12.2.3		all	
12.2.4		all	

Appendix B: Case Management Functional Requirements  
CIVIL

fees posted for settled cases, unreturned checks for moneys paid by court), update ledgers, and produce reports			
<b>Financial</b>			
12.2.5 electronically authorize and transfer collected fees to other units (e.g., appellate court for appealed cases) (see also Multifunction Capabilities and Integration)	yes	large	small
12.2.6 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, other purposes) and permit distribution formula override by appropriate authority	yes	all	
12.2.7 compute parts of fees to be distributed to other local and state units according to predefined formula and distribute these moneys electronically (e.g., portion of fees for county parks, county library, other purposes) (see also Multifunction Capabilities and Integration)	yes	large	small
12.2.8 produce report showing distribution formula, moneys distributed to other local and state units over specific period, and how formula was used to compute distributions (see also Management and Statistical Reports Function)		all	
12.2.9 initiate, print, and disburse sequentially numbered checks, stop issuance on checks, void checks, identify and process outstanding checks, report on checks that have cleared, and record checks on check register		all	
12.2.10 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	

**Table 12.3 – Updates to Accounts and Other Records Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing</b>			
12.3.1 post case-related receipts to accounting records and docket or register of actions; associate receipts with proper case, account, or case activity (see also Docketing and Related Recordkeeping Function)	yes	all	

Appendix B: Case Management Functional Requirements  
CIVIL

12.3.2	post case-related disbursements to accounting records and docket or register of actions; associate disbursements with proper case, account, or case activity (see also <u>Docketing and Related Recordkeeping Function</u> )	yes	all	
12.3.3	display or print lists of transactions (e.g., receipts, disbursements, interest accruals listed by fee type or chronologically) for specific cases and accounts over specific periods (e.g., monthly for life of case) (see also <u>General Accounting Function and Management and Statistical Reports Function</u> )		all	
12.3.4	record changes to accounting records that result from court orders (e.g., order for refund of jury fees) and modify appropriate records		all	
12.3.5	post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, interest, costs, attorney fees) garnishments and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also <u>General Accounting Function, Disposition Function, and Execution Function</u> )		all	
<b>Case processing or financial</b>				
12.3.6	post interest accruals to accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts, and post to individual trust accounts at end of month); associate accruals with proper account	yes	all	
12.3.7	generate and print invoices for and document collection of all moneys (e.g., fees for reservice of process)			all
12.3.8	apply corrections without changing or deleting transactions, record and store adjusted financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		all	
<b>Financial</b>				
12.3.9	post noncase-related receipts to accounting records and associate receipts with proper account	yes	all	
12.3.10	post noncase-related disbursements to accounting records and associate disbursements with proper account	yes	all	

Appendix B: Case Management Functional Requirements  
CIVIL

12.3.11	accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and produce account statements	yes		all
12.3.12	create payment schedule, apply payments received to scheduled amount due, and produce reports on overdue amounts (e.g., for previously waived fees)		all	
12.3.13	calculate and record bank deposits		all	

**Table 12.4 – Summaries Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing or financial</b>			
12.4.1		all	
<b>Financial</b>			
12.4.2		all	
12.4.3		all	
12.4.4		all	
12.4.5		all	
12.4.6		all	
12.4.7		all	
12.4.8		all	

Appendix B: Case Management Functional Requirements  
CIVIL

12.4.9	produce summary reports for each cash drawer, cash register, and cashier (see also Accounting - Front Counter and Cashiering Function)		all	
12.4.10	produce report containing information on fees waived and associated payments		all	
12.4.11	produce report showing financial status and history (e.g., information on transactions, account balances, discrepancies) for each account (see also Management and Statistical Reports Function)		all	
12.4.12	generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see also General Accounting Function and Management and Statistical Reports Function)		all	
12.4.13	produce lists arranged according to user-selected criteria for any type of financial transaction (e.g., fees received by date, fee type, or party; receipts by reason for payment or by party) (see also Accounting - Front Counter and Cashiering Function)		all	

**Table 13 – Accounting – General Ledger Subfunctions**

Subfunction		Auto	Mand.	Opt.
<b>All financial</b>				
13.1	create and maintain system-defined and user-customized chart of accounts		all	
13.2	maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
13.3	populate subsidiary ledger automatically using data from other parts of system (e.g., Disposition Function, Execution Function, other accounting functions)	yes	large	small
13.4	reconcile and balance all accounts		all	
13.5	create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	

**Table 14.1 – File Tracking Subfunctions**

Subfunction		Auto	Mand.	Opt.
-------------	--	------	-------	------

Appendix B: Case Management Functional Requirements  
CIVIL

14.1.1	generate labels for manual case files (see also Case Initiation and Indexing Function)	yes	all	
14.1.2	generate indicators (e.g., color coded labels) with information on checked-out manual files to replace those files in cabinet			all
14.1.3	track manual case files from time checked out of clerk's office through each borrower until returned to clerk's office relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data		all	
14.1.4	maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files		all	
14.1.5	maintain last location of manual and electronic destroyed files		all	
14.1.6	maintain audit trail of each case file location with information similar to that noted above for file tracking (see also Docketing and Related Recordkeeping Function)	yes	all	

**Table 14.2 – File Archival and Destruction Subfunctions**

Subfunction		Auto	Mand.	Opt.
14.2.1	identify cases to be archived and later destroyed (see also Case Close Function)		all	
14.2.2	identify cases to be retained permanently		all	
14.2.3	process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility (see also List of Code Translation Tables)	yes	all	
14.2.4	identify summary information (e.g., indices) to be retained in active or semiactive files		all	
14.2.5	generate and print reports showing archived and destroyed or transferred cases		all	

**Table 14.3 – Reporting and Utility Subfunctions**

Subfunction		Auto	Mand.	Opt.
14.3.1	generate reports on file management activities (e.g., inactive files and purged reports)		all	
14.3.2	perform utility functions (e.g., copy information such as docket entries and parties) from one case to another		all	

Appendix B: Case Management Functional Requirements  
CIVIL

**Table 14.4 – Document Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.4.1 support input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents		large	small
14.4.2 provide capability to toggle between views of several different documents		all	
14.4.3 provide capability to interface with document management system that is separate from case processing if civil case processing system excludes document management capabilities		all	
14.4.4 provide capability to use same document management system for imaging if imaging is included in overall case processing		all	
14.4.5 support manipulation and maintenance of electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see Document Generation and Processing Function)			all

**Table 14.5 – Exhibit Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
14.5.2 generate exhibit and property numbers or other identifiers	yes	all	
14.5.3 track location and status of exhibits and other property		all	
14.5.4 record return or destruction of exhibits and other property		all	
14.5.5 generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see also Document Generation and Processing Function)		all	

Appendix B: Case Management Functional Requirements  
CIVIL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.5.6 print or display lists of exhibits and other property according to case, party, and other parameters		all	

**Table 15 – Security Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.1 perform user-defined edit and data validation checks such as content of each individual data field (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)	yes	all	
15.2 ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically to ensure that court is referencing and retrieving correct information	yes	large	small
15.3 ensure electronic records cannot be modified without supervisor notification	yes	large	small
15.4 allow access and similar privileges based on authorizations defined, maintained, and controlled by users (e.g., access authorization tables; see also List of Code Translation Tables)		all	
15.5 restrict local and remote access and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, parts of files, and system functions from other system functions, device (e.g., terminals, personal computers [PCs]) locations, users, and groups of users	yes	all	
15.6 restrict local and remote access to certain cases and classifications of cases (e.g., sealed cases, mental health cases) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders		all	



Appendix B: Case Management Functional Requirements  
CIVIL

15.7	provide adequate security if public access allowed (e.g., view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access [which raises issue of how often to refresh or update subset]; security at lower levels than file or record level such as at field level; “firewalls” that restrict access to only some of system and database and secure other parts)		all	
15.8	provide audit trails that show which users and workstation locations logged on to system during specified period		all	
15.9	provide secure passwords for user		all	
15.10	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)		all	
15.11	maintain and display audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function)	yes	all	
15.12	provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)		all	

**Table 16.1 – Statistics Subfunctions**

	<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
16.1.1	satisfy reporting requirements of judicial branch and state agencies as noted in remainder of this table		all	
16.1.2	verify data sent to judicial branch and state agencies using techniques such as aggregate totals		all	

Appendix B: Case Management Functional Requirements  
CIVIL

16.1.3	transfer statistical and case data to judicial branch and state agencies electronically (see also Multifunction Capabilities and Integration)	yes	all	
16.1.4	produce caseload, caseflow, and workload reports, either by overall count or by list of cases (e.g., pending cases arranged according to various criteria such as by case type, case category, nature of action, event status, or judge; active cases not scheduled for hearing arranged according to various criteria such as by case type, or reason not scheduled; disposed cases arranged according to various criteria such as by case type, case category, disposition type, nature of action, or judge; cases pending specific action such as pending annual review or recommendation for transfer; cases with specific status such as by reason adjourned; judicial workloads; and weighted caseload summaries)		all	
16.1.5	produce statistical reports associated with financial activities (see also accounting functions)		all	
16.1.6	incorporate data from diverse courts throughout state (e.g., large and small courts) into uniform statewide statistics (examples of situations that must be reconciled in statewide statistics—some events may occur in all courts statewide but have subevents that occur only in large courts; statistics in large and small courts may be recorded based on different case management methods)	yes	all	

**Table 16.2 – Management Information Subfunctions**

Subfunction	Auto	Mand.	Opt.
16.2.1 produce reports listed below as printed reports, displays, or extracted files suitable for transfer to other systems or Internet posting		all	

Appendix B: Case Management Functional Requirements  
CIVIL

16.2.2	produce report that permits monitoring conformance with time and other performance standards relative to various guidelines (e.g., ABA Time to Disposition Standards) and tracking criteria (e.g., case age, case status, judge, exceptional cases such as complex litigation)		all	
16.2.3	track ADR provider (e.g., arbitrator, mediator) assignments, decisions, and performance criteria (e.g., settlement rates)		all	
16.2.4	produce various detail and summary reports giving docket contents for specific cases and groups of cases by case and party (e.g., chronological list of all or some events such as filings, summaries of related cases for specific party, case summary sheets; see also Docketing and Related Recordkeeping Function)		all	
16.2.5	produce various detail and summary reports giving docket contents for specific persons (i.e., party, participant, attorney) and groups of persons by case and party (e.g., person who is both plaintiff's attorney and defendant in malpractice suit; see also Docketing and Related Recordkeeping Function)		all	
16.2.6	produce report that summarizes calendars sorted according to various criteria (e.g., by case type, case category, judge or other judicial officer, attorney, defendant, date) (see also Calendaring Function)		all	
16.2.7	produce report similar to calendar summary described above that shows whether specific cases have been disposed with cross references to calendars in which they were disposed (see also Calendaring Function)		all	
16.2.8	produce report identifying amounts owed and waived for each person or organization (e.g., fee waivers for specific parties, balance due on attorney accounts, amounts due as result of attorney sanctions)		all	
16.2.9	list cases (all, active, inactive) for specific attorney and provide related information (e.g., case status)		all	

Appendix B: Case Management Functional Requirements  
CIVIL

16.2.10	provide audit trail reports that show (1) which users and workstation locations logged onto system during specified period and (2) file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function and Security Function)		all	
16.2.11	list and give supporting information (e.g., party such as debtor or creditor, date of judgment, amount of judgment) on all cases with open judgments		all	
16.2.12	list and give supporting information (e.g., case number, party name, dates warrant issued and served) on all cases with open warrants		all	
16.2.13	list all cases that have been continued over specific period according to various criteria (e.g., judge, party) and give supporting overall information (e.g., number per case, per judge, per attorney, per requester, and where granted)		all	
16.2.14	capture and track duration of trials by user-specified criteria such as courtroom, judge or other judicial officer, whether jury or nonjury, and how estimated duration of trial compares with actual duration		all	
16.2.15	produce report showing status of motions and related petitions and requests including motions waiting for hearing or under advisement		all	
16.2.16	capture and track locally defined milestone events (e.g., initial filing, answer or response, settlement conference) for specific cases or groups of cases (e.g., case classification such as medical malpractice, judge, court division), giving more flexible caseflow information (e.g., elapsed time between user-specified events) than is available in standard statistical reports described in previous section		large	small

Appendix B: Case Management Functional Requirements  
CIVIL

16.2.17	maintain and report on current and past judge assignment (including specific cases, case types, case categories), recusal, challenges, hearing results, reassignment, disqualification with reasons where appropriate (see also Scheduling Function)			all
16.2.18	produce index of executions and garnishments sorted according to various criteria (e.g., by execution number, requester name, date issued, date returned)			all

Appendix B: Case Management Functional Requirements  
**CRIMINAL**

## Criminal Case Management Requirements

**Table 1.1 Case Initiation Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.1 generate and assign separate identifier for each defendant or receive identifier from CJ agency (see ICJIS Interfaces part of Criminal Support Functions)	yes	all	
1.1.2 enter locally-used court identifiers (e.g., district court) (See Appendix A, Other technologies Internal to Court, case processing among multiple court locations) and court geographic location identifiers (e.g., county number, city number) with the ability to use the federal FIPS mandatory standards for geographic location.		all	
1.1.3 capture or allow entry of other identifiers as needed (e.g., of prosecutor, defense attorney, corrections, law enforcement) and establish relationships with participants, (see Criminal Support Functions)	yes	all	
1.1.4 generate and assign case number for a defendant using locally-defined format and procedures (e.g., separate case number for each incident or offense, or for each incident or offense and each defendant)	yes	all	
1.1.5 associate each defendant with a case using locally-defined procedures		all	
1.1.6 enter each charge and count based on charging documents		all	
1.1.7 coordinate with Docketing and Related Record Keeping Function to enter all charges (initial and modified) filed by prosecutor at case initiation and subsequently (see Criminal Support Functions, List of Code Translation Tables)		all	
1.1.8 identify lead charge, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges)		all	
1.1.9 enter arrest, citation, custody, and bail information for each defendant or acquire this information from CJ agency (see Criminal Support Functions)		all	
1.1.10 generate locally-defined case title or style (i.e., short phrase that identifies case and includes prosecution and defendant name ) from individual names and other information	yes	all	
1.1.11 conduct locally-used checks to ensure case should be accepted by court and produce results (e.g., lack of jurisdiction)	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.12 enter reason for initiation (e.g., new filing, case transferred from another jurisdiction, case bifurcated, previously-closed case that has been reopened, de novo appeal according to local procedures)		all	
1.1.13 support electronic filing (e.g., complaint, indictment, information directly from prosecutors' offices) and move designated data (e.g., tagged basic case information) from electronic document to case processing system (see Multi-Function Capabilities and Integration, and Criminal Support and Security and Data Integrity functions regarding filings and verification of electronically-entered data)	yes	all	
1.1.14 generate acknowledgement for appropriate attorneys and participants 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) (see Document Generation and Processing Function)	yes	all	
1.1.15 support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables later in this document; PLEASE NOTE: differential case management may entail highly-complex computer programming 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)	yes	large	small
1.1.16 create groups of related cases, defendant, and participants (e.g., several incidents filed against same defendant, multiple defendants involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, or participant in group (see Docketing and Related Record Keeping Function)		all	
1.1.17 assign cases to court type, judge, location, department, and courtroom AND/OR other appropriate entities based on established relationships (see Scheduling Function) (Statewide systems should have the ability to assign cases based on Circuit or Judicial districts boundaries, when a district is composed of several counties, cities, and courthouses.)	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.18 prompt user when cases, defendants, or participants already exist that relate to new case (e.g., defendants involved in other cases, aliases identified by pre-trial services unit), followed by user-initiated search for duplicate defendants, participants, prosecutors and defense attorneys that user can transfer into current case if appropriate to avoid data entry (e.g., using participant names, addresses, and other identifiers noted above) (see Criminal Support Functions)	yes	all	
1.1.19 create docket or register of actions with case initiation information including information on initial filing noted above and basic case information (e.g., case type, case category, case status, case title or style, "person data types", and docket-related events) (see Docketing and Related Record Keeping Function)	yes	all	
1.1.20 create docket or register of actions, information for defendant, and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Investigative Service) with primary contact individual if organization (see Docketing and Related Record Keeping Function)	yes	all	
1.1.21 allow user to designate the nature of the relationship between cases (e.g. codefendants, multiple cases against same defendant)		all	

**Table 1.2 Indexing Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.1 create and maintain locally-defined index that (1) contains index information (e.g., each defendant and participant name, date of birth, defendant charges role in case, and whether defendant has a defense attorney; case type; case number, and other identifiers; alias(es); date filed; and cross reference to another defendant and participants in case (e.g., other defendant and participants named in case title or style) (2) permits database look up by a choice of keys (e.g., participant name, participant role, case filed date range) and, if record found, (3) permits retrieval and display of index information, (4) permits easy interfaces with other parts of case processing system as noted below	yes	all	



Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
1.2.2 permit look up and retrieval subfunctions by identifying a specific defendant and participant name, defendant and participant role, case filed date range -- if necessary, after eliminating other cases, defendant or participants that satisfy original look up -- and then obtaining index information by selecting from list of matching cases, defendant or participants or by using keys noted above (e.g., user requests list of defendant or participants named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	
1.2.3 allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and criminal 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 (see Inquiry and Report Generation in Appendix A and sections on other functions that follow this section)		all	
1.2.4 permit name search on various combinations of a specific individual's (i.e., defendant and participants) name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry section in Appendix A)		all	
1.2.5 if prosecutor or defense attorneys are included in index, allow multiple prosecutor and defense attorney names, government and firm names, and other identifiers for each case			all
1.2.6 permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided)	yes	all	
1.2.7 extract, print, reprint, retrieve, or otherwise produce (with appropriate security restrictions), index information sorted by the content of the various components of index (e.g., defendant, case number, case status, citation number) (see Security and Data Integrity Function)		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

**Table 2.1 Static Case and Other Case Event Information Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.1.1 provide access to information originally entered during case initiation (e.g., case, person) and to information that supplements these initial entries (see Case Initiation and Indexing Function)	yes	all	
2.1.2 enter and maintain information (e.g., document title and identifier, defendant and participant, fees collected) and dates on filings and other completed events not previously in system (e.g., participant added or deleted, plea entered, motion filed, or hearing date set)		all	
2.1.3 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 warrants and other served documents (e.g., subpoenas), issued in accordance with state and local statutes, rules, or procedures (e.g., case status changed to inactive), warrant service returned, warrant recalled, (e.g., case status changed to active), hearing scheduled ( see Calendaring Function), hearing results (e.g., charges dismissed or disposed; see Hearings Function), dispositions (e.g., disposition date, type of disposition, information on judgment; see Disposition Function, and Accounting -- Bookkeeping Functions), compliance issues (see Compliance Function)	yes	all	
2.1.4 create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see Document Generation and Processing, Hearings, and Disposition functions)	yes	all	
2.1.5 permit user to identify and retrieve electronic documents 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)	yes	all	
2.1.6 allow single event to create multiple docket entries (e.g., event is hearing; docket entries are defense attorney withdrawal, hearing results)	yes	all	
2.1.7 enter, maintain, and produce information on special case processing requirements or orders (e.g., sealed case or document, suppressed indictment, custody status is or becomes fugitive) (see Case Initiation and Indexing and Security and Data Integrity functions)		large	small
2.1.8 maintain case information as official court record in accordance with state and local statutes, rules, or procedures			all

Appendix B: Case Management Functional Requirements  
CRIMINAL

**Table 2.2 Related Record Keeping Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.2.1 maintain information on multiple cases defendant (e.g., status including dismissals, consolidations, bifurcations, previously-closed cases that have been reopened)		all	
2.2.2 maintain information on multiple individuals associated with those cases (e.g., person data type) in a case, incident, or offense such as personal information, status including dismissals.		all	
2.2.3 maintain multiple current and historical addresses, with beginning and ending dates, for each judge, defense attorney, prosecutor, victim, defendant, witness, and participant.		all	
2.2.4 coordinate with Case Initiation and Indexing Function to enter and track all charges (initial and modified) filed by prosecutor at case initiation and subsequently and to link charges to proper defendant and incident (see Criminal Support Functions, List of Code Translation Tables)		all	
2.2.5 coordinate with Criminal Support Functions to record bail and bond events in docket	yes	all	
2.2.6 enter information once and automatically apply to multiple cases or individuals.		all	
2.2.7 enter or change defense attorney, prosecutor, or participant (or groups of participants) for specific cases (or groups of cases) with dates, when active or inactive (e.g., to allow multiple cases to be modified when a prosecutor or defense attorney changes)		all	
2.2.8 maintain address and other information on prosecutors and law firms, and associate with individual prosecutors and defense attorneys (e.g., to provide for multiple mailing addresses for attorneys and firms to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney)		all	
2.2.9 maintain (or be able to construct in a manner that requires minimal user action) and produce information and relationships on multiple cases, judge, defense attorney, prosecutor, victim, defendant, witness, and other participants (e.g., to designate lead defense attorney, to transfer group of cases or defendant from one judge or hearing date to another in single transaction, to view related cases when preparing to hear case, to view all cases involving particular defendant, to associate warrants and other served documents (e.g., subpoenas), with all cases involving particular defendant) (see Case Initiation and Indexing Function)	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.2.10 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading information causes related docket information to be deleted) (see Security and Data Integrity Functions, ICJIS Interfaces, Criminal Support Functions)	yes	all	
2.2.11 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 active records that contain room number of old courtroom to be changed to room number of new courtroom, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	
2.2.12 track and then produce reports on relationship of specific cases and the defendant to criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation) (e.g., pre-trial services, pre-sentence investigation, adult probation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services.		all	

**Table 2.3 Input/Output Management and Views Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.3.1 maintain and properly use code translation tables defined by user (see List of Code Translation Tables later in this document)		all	
2.3.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	
2.3.3 produce information on all, part, or summaries (i.e., "Views") of docket(s) (e.g., events in register of actions, some defendant or participants, charges for specific defendant, summaries of judgment information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order (see Management and Statistical Reporting Function)		all	
2.3.4 support electronic filing (e.g., directly from prosecutor's and defense attorneys' offices) of pleadings and other documents (see Multi-Function Capabilities and Integration, and Case Initiation and Indexing Function)	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
2.3.5 create and maintain file of input templates (e.g., forms) to be made available to users to create input documents and relate each template to court event(s) (e.g., case initiation, case participation changes, disposition entry) (see Multi-Function Capabilities and Integration and Document Generation and Processing and Criminal Support functions)		all	
2.3.6 create, maintain, and deploy file of input templates that can be displayed and made available to users to create input documents and, as necessary, associated cover sheets (for use when pleadings are filed electronically) and relate each template to court event(s) (e.g., case initiation, case participation changes, disposition entry) (see Multi-Function Capabilities and Integration, Document Generation and Processing, and Criminal Support functions)		all	
2.3.7 maintain and produce history of changes in judge assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change		large	small
2.3.8 maintain and produce history of prosecutor and defense attorney changes for specific case or defendant with reasons for change		all	
2.3.9 provide instructions (e.g., tutorials) and automatic edits for using input templates	yes		all
2.3.10 perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data (e.g., attempt to schedule hearing for cases with open warrants and other served documents)	yes	all	
2.3.11 coordinate with Criminal Support Functions to permit user to obtain audit trail of all charges (i.e., from arrest through life of case) for a given defendant and case			all

**Table 3.1 Schedule Creation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Event deadlines</u></b>			
3.1.1 schedule events and groups of events according to statutory and locally mandated time standards) for cases		all	
3.1.2 initiate schedule of future events based on occurrence of prior events (e.g., schedule arraignment after indictment or information filed, schedule hearing after violation of probation received from adult probation)	yes	all	
<b><u>Judicial proceedings</u></b>			
3.1.3 schedule multiple cases, defendant, and types of events		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
for the same scheduled date and time (e.g., arraignments regarding an incarcerated defendant for single or groups of related cases)			
3.1.4 schedule groups of related cases as if group were a single case) (e.g., multiple defendants involved in same incident)		all	
3.1.5 suggest resolution to scheduling conflicts, allowing user overrides and rescheduling only with user approval	yes	all	
3.1.6 schedule maximum number of cases for specific time interval by event type (e.g., hearing in custody, out on bail)	yes	large	small
<b>Either event deadlines or judicial proceedings</b>			
3.1.7 when schedules change, modify records of all related “person data types”, calendars, docket entries, and other data and functions	yes	all	
3.1.8 apply specific change to multiple schedules for groups of cases (e.g., courtroom change for multiple defendants involved in same incident)		all	
3.1.9 provide manual override to reschedule group of cases as if the group were a single case (e.g., rolling power outage)		all	
3.1.10 provide utilities to assist user with manual schedule and rescheduling overrides or changes (e.g., by allowing user to enter event type, start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case processing stages; and by adjusting open time slots to reflect manual schedule entries)		all	
3.1.11 during manual scheduling and rescheduling display other future events for that case	yes	all	
3.1.12 permit users to designate cases with special scheduling needs (e.g., interpreter, disabilities)		all	

**Table 3.2 Person and Resource Assignment Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All judicial proceedings</b>			
3.2.1 maintain availability information on “person data types”, court facilities, and other scheduling factors noted in this section		all	
3.2.2 when creating schedules, consider (1) availability of “person data types” and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days specific individuals are unavailable; (3) scheduling conflicts to extent information in system (e.g., all law officer	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
and witness schedules will not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, prosecutor and defense attorney vacations, law officer schedules) (see List of Code Translation Tables)			
3.2.3 relate individual judges or groups of judges to courtrooms, locations, and departments		all	
3.2.4 relate individual judges or groups of judges to case management tracks over permissible time frames (e.g., in court with rotating judge assignments, a specific judge hears motions during a given period)		all	
3.2.5 relate individual judges or groups of judges to departmental staff resources (e.g., bailiff's)		all	
3.2.6 assign and reassign cases to individual or groups of judges 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), 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)	yes	large	small
3.2.7 assign related cases, as designated by user, to same judge and group together on schedule (e.g., multiple complaints regarding same problem or individual) (see Case Initiation and Indexing Function, and Docketing and Related Record Keeping Function)		large	small
3.2.8 reassign individual or group of cases from one judge or calendar to another as if group were single case (e.g., judge retires or moves to appellate court)		all	

**Table 3.3 Schedule and Case Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Judicial proceedings</b>			
3.3.1 produce (including ability to reproduce, redisplay, or reprint) schedules for various individuals events, hearing types, dates, and facilities upon user request (e.g., judges calendar by day)		all	
3.3.2 display or print (including ability to redisplay, or reprint) attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, defense attorney, prosecutor)	yes	all	
3.3.3 identify and display scheduling conflicts	yes	all	
<b>Either event deadlines or judicial proceedings</b>			

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.3.4 maintain and produce information on scheduled events for case (e.g., next scheduled event, all scheduled events)		all	
3.3.5 generate docket entry based on scheduled and completed events as appropriate (see Docketing and Related Record Keeping Function)	yes	all	
3.3.6 include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards)	yes		all
3.3.7 track and then produce schedule modifications (e.g., judge or courtroom reassignments) over specific period		all	
3.3.8 support differentiated case management methods (e.g., schedule events within various sets of differential case management rules, schedule plea agreement conferences, master calendar, individual calendar) (see List of Code Translation Tables later in this document)	yes	large	small
3.3.9 track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions (e.g., by automatic assignment, on-line edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days) (see List of Code Translation Tables)	yes	all	
3.3.10 provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines	yes	all	

**Table 3.4 Ticklers, User Alerts, and Prompts Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Either event deadlines or judicial proceedings</u></b>			
3.4.1 provide tickler capability: identify events coming due or overdue, periods about to expire or expired (e.g., bail forfeiture 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); notify users; and initiate proper functions (e.g., generate notice regarding approaching speedy trial deadline, schedule hearing) (see Document Generation and Processing, and Accounting -- Bookkeeping Functions)	yes	all	
3.4.2 allow users to define frequency with which system displays ticklers, alerts, and prompts		all	



Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.4.3 allow users to define structure, content, and intrusiveness of ticklers, alerts, and prompts		all	
3.4.4 provide system-defined visual or audio reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees message	yes		all
3.4.5 display lists of all events due on specific date or date range (sorted by date, event, or other user defined criteria) that allows users to navigate through the application to complete required activities (e.g., court minutes due)	yes	all	
3.4.6 display alert when displaying cases or portions of cases that are not public record or have restricted access (e.g., confidential cases) (see Security and Data Integrity Function)	yes	all	
3.4.7 generate alert when displaying pending cases for which there is no scheduled next event	yes	all	
3.4.8 allow users to define ticklers, alerts, and prompts for purposes other than those noted above		all	
<b>Judicial proceedings</b>			
3.4.9 generate display of available slots on prospective calendar and prompt when approaching maximum number of events normally permitted (e.g., based on differential case management category, case type, case category, event type (see List of Code Translation Tables)	yes	all	
3.4.10 generate prompt when resources (e.g., "person data types", court facilities, and other scheduling resources) unavailable	yes	all	
3.4.11 track appearance of parties, status, courtroom, and staff at a hearing		all	
<b>Event deadlines</b>			
3.4.12 alert clerk when a case has been filed with "no scheduled next event"	yes	all	
3.4.13 allow supervisor at appropriate level to turn alerts on and off		all	

**Table 4.1 Document Generation Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.1.1 provide electronic acknowledgment and notify appropriate individuals that filings, pleadings, and other documents received and accepted when document filed electronically (see Multi-Function Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
4.1.2 generate documents (e.g., warrants and other served documents) triggered by specific event (e.g., hearing scheduled, plea agreement conference rescheduled, case	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
dismissed, bail forfeited)			
4.1.3 generate miscellaneous documents (e.g., for re-scheduled and canceled events; orders signed by judge in chambers such as for bail or bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment; follow-up letters such as requests for evidence; other types of documents)		all	
4.1.4 generate special notices (e.g., judge assignment, courtroom change, defense attorney change, schedule change, other courtesy notices) when requested		all	
4.1.5 generate one notice for a case with multiple future court events to all participants		all	
4.1.6 print documents individually (including ability to reprint) or in batches in local courts or central location as scheduled (see event driven systems) or when requested		all	
4.1.7 distribute documents electronically (e.g., documents to be sent to process server; notices and other documents to defense attorneys and other persons; notices, warrants and other served documents (e.g., subpoenas), and other documents to be entered in docket) in accordance with state and local statutes, rules, or procedures (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping Function)	yes	all	
4.1.8 perform above generation, print, and distribution functions for group of related cases as if group were single case		all	
4.1.9 suppress inclusion of user-designated confidential information such as victim and witness information in notices and other documents (e.g., mask out information, such as victim/witness information) (see Security and Data Integrity Function)		all	

**Table 4.2 Document Utilities and Processing Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.2.1 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., warrants and other served documents (e.g., subpoenas), with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., brief progress reports on plea agreements, some types of notices) (see External Interfaces in Appendix A, Docketing and Related Record Keeping and General		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
Accounting and Criminal Support functions)			
4.2.2 relate each output template and text noted above to document(s) and court event(s) in which they are used		all	
4.2.3 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 above sub-function except no output templates, which would necessitate imaging)		all	
4.2.4 provide capability to enter, store, and retrieve postal and electronic mail address (and other information pertaining to), all "person data types" who should receive specific documents from various locations in system and database as if, from user perspective, they were in same record (see List of Code Translation Tables)		all	
4.2.5 record pertinent information regarding all documents sent or served, and track document issuance 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, any judicial proceedings, and status information (e.g., warrant tracking and warrant recall working with ICJIS interface) (see Docketing and Related Record Keeping and Criminal Support functions)		all	
4.2.6 produce status of documents sent or served		all	

**Table 5 Calendaring Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
5.1 provide flexibility with respect to calendar content and format (e.g., judges notes integrated into calendar)	yes	all	
5.2 produce calendars and incorporate calendar addenda specifically identifying calendar addendums -- based on scheduling information (see Scheduling Function) -- for each type of hearing (e.g., jury trial, non-jury trial, motion, preliminary, dismissal) or mixed hearings (e.g., motions and plea agreements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, post-conviction activity such as violation of probation, other elements of calendar profiles)	yes	all	
5.3 produce calendars individually (e.g., for a judge or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
5.4 produce calendars and related outputs individually or in batches in local courts or central location		all	
5.5 produce summary calendar information (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 and Statistical Reporting Function)		all	
5.6 record and output reason each case on calendar (e.g., motion to dismiss)	yes	all	
5.7 generate and output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons		all	
5.8 produce summary of upcoming hearings for given judge or in given courtroom over specific period (e.g., one week)		all	
5.9 track and output calendar modifications (e.g., judge, or other persons, or courtroom reassignments, cases taken off calendar) over specific period		all	
5.10 distribute calendars electronically (e.g., jury manager, court reporters, criminal support units, and CJ agencies) (see Multi-Function Capabilities and Integration and Criminal Support Functions)	yes	all	
5.11 create and maintain judges notes (i.e., judge's notes and comments for use with calendar) for judge's viewing only in accordance with local rules and statutes (see Security and Data Integrity Function)			all
5.12 provide ability to move blocks of cases or user-selected cases between calendars		all	
5.13 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings) (see Security and Data Integrity Function)		all	

**Table 6 Hearings Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All types of hearings</b>			
6.1 provide for minute entry suitable for multiple-case and multiple-defendant situations using one of methods noted below		all	
6.2 provide user-defined format for real-time, in-court entry of minutes or entry of minutes after judicial proceedings		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
6.3 produce worksheet, calendar, or some other document suitable for manually recording minutes (see Document Generation and Processing and Calendaring functions)			all
6.4 produce minutes recorded on calendar or worksheet		all	
6.5 use events captured in minutes to interface with other functions and update records throughout system in accordance with state and local statutes, rules, or procedures (e.g., sentencing, accounting, adjournments, continuances, rescheduling, notice generation with accompanying docket entries)	yes	all	
6.6 create and print (including ability to reprint) jury instructions linked to specific charges in jury trials			all
6.7 create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time		all	
6.8 enter information in court orders as events in docket in accordance with state and local statutes, rules, or procedures (see Docketing and Related Record Keeping and Disposition functions)		all	
6.9 distribute court orders electronically to external (to the court) recipients and internally to be entered in docket (see Multi-Function Capabilities and Integration; Docketing and Related Record Keeping, Disposition, and Criminal Support functions)	yes	all	
6.10 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			all
6.11 schedule subsequent events (e.g., motion hearing or sentencing hearing) on-line (see Scheduling Function)		all	
6.12 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function.		all	
<b>Sentencing hearings</b>			
6.13 send and receive materials to and from other units to assist in judicial functions (e.g., send pre-sentence information to pre-sentence investigation unit and receive results of investigation for use in sentencing, conviction information to adult probation unit and probation information from unit, contents of order for psychological evaluation to non-justice agencies and results of evaluation from non-justice agencies) (see Criminal Support Functions)		all	
6.14 compute, or receive from Criminal Support Functions, and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant in		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
accordance with state and local statutes, rules, or procedures (see Criminal Support Functions)			
6.15 compute, or receive from Criminal Support Functions, and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures (see Criminal Support Functions)		all	
6.16 compute, or receive from see Criminal Support Functions, 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 (see Criminal Support Functions)		all	
6.17 link charges and fine or restitution amounts	yes	all	
6.18 enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant		all	
6.19 compute, or receive from Criminal Support Functions, and enter probation term and compute, or receive expiration date of probation (see Criminal Support Function)		all	

**Table 7 Disposition Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
7.1 record disposition, sentence for entire case and each count of each charge(see Hearings Function)		all	
7.2 process information (e.g., update docket and other records, if not updated automatically as noted below, through Docketing and Related Record Keeping Function) and produce documents (e.g., judgment form, sentencing documents, custody forms; see Hearings and Criminal Support functions) for dispositions (i.e., judgments) 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		all	
7.3 distribute disposition documents noted above electronically external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections) and internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Criminal Support functions)	yes	all	
7.4 maintain and produce disposition and sentence information that show, for each case and defendant, original and subsequent charges and dispositions and sentences for	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
each charge (see Case Initiation and Indexing, Compliance, and Criminal Support functions)			
7.5 update each case in group of disposed cases as if group were single case (see Docketing and Related Record Keeping Function)	yes	all	
7.6 prompt to dispose of all charges on a single case		all	

**Table 8 Compliance Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
8.1 process information and produce documents (e.g., court orders such as revocation of probation, reduction of sentence) on post-conviction activities (e.g., in response to motions for execution of judgment, reduction of sentence, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine) (see Compliance, Accounting -- Back Office, and Criminal Support functions)		all	
8.2 distribute post-conviction documents noted above electronically external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement, drivers services, and corrections) and internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Criminal Support functions)	yes	all	

**Table 9 Case Close Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
9.1 receive information from Disposition Function and record reason for closure (e.g., case disposed 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) (see Multi-Function Capabilities and Integration)		all	
9.2 receive 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 (see Accounting – Bookkeeping and Criminal Support functions)	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
9.3 establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions	yes	all	
9.4 identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, unsentenced guilty charge, unpaid fines)	yes	all	
9.5 close case (e.g., change status to closed; update docket; generate required forms, notices, reports for that case) (see Docketing and Related Record Keeping, Document Generation and Processing, Management and Statistical Reports functions)		all	
9.6 generate overall case closure reports (e.g., cases closed over specific period with reason closed, see Management and Statistical Reports Function)		all	
9.7 provide a facility for re-opening previously closed cases		all	

**Table 10 General Accounting Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Either financial, case processing, or both</b>			
10.1 comply with generally accepted accounting principles (GAAP) for governmental entities (which implies courts or state must define applicable GAAP(s))		all	
10.2 provide appropriate security and authorization for all accounting functions (see Security and Data Integrity Function)		all	
10.3 allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., default entries, funds distribution according to pre-determined formula) and provide audit trail of these transactions		all	
10.4 support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered including general, attorney fees, and safekeeping trusts) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see Accounting -- Receipting and -- Bookkeeping functions)		all	
10.5 prevent financial transactions to be dated and posted to a closed accounting period	yes	all	



Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
10.6 establish interface between Accounting (particularly Receipting and Bookkeeping) and Criminal Support (particularly Conditions for Release from Custody) functions to collect and generate receipts for bail monies, disburse funds (e.g., to defendant who posted bail, to court for court costs, to other participants, victim(s), or both for restitution), suspend disbursements, record bail forfeiture monies as revenue, disseminate bail register		all	
10.7 Interfaces that allow for the collection and receipting of fines, fees, and bonds by non-court persons or companies, should prohibit the deletion or modification of financial or other case data within the security matrix.			

**Table 11.1 Funds Collection Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All case processing</u></b>			
11.1.1 associate payment with proper case and person when moneys collected (see Accounting -- Bookkeeping Function)	yes	all	
11.1.2 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		all	
11.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.4 accept payments by electronic funds transfer (see Multi-Function Capabilities and Integration)	yes	all	
11.1.5 apply payments by 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)	yes	all	
11.1.6 associate fees that may or may not be case related (e.g., for forms, document copies, certified copies) with persons who may not be directly involved in a case (e.g., from general draw-down accounts, couriers, media) and process appropriately (e.g., not docketed if not related to specific case)		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
11.1.7 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)	yes	all	
11.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	
11.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
11.1.10 accept single payment for multiple cases with capability to process separately for each case		all	
11.1.11 permit cashier, with proper authority, to override pre-established funds distribution priorities		all	
11.1.12 transfer funds from one case to another case or between accounts in a given case (see Accounting -- Bookkeeping Function)		all	

**Table 11.2 Receipt Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.2.1 generate and produce receipts with proper identifiers (e.g., fee, fine, 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) based on collections with user option to receive single or multiple copies		all	
11.2.2 generate and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration)	yes	all	
11.2.3 generate and print (including ability to reprint) receipts with unique, locally-defined, sequential receipt numbers	yes	all	
11.2.4 generate and print (including ability to reprint) multiple receipts from one financial transaction covering payment for multiple cases or purposes (e.g., defense attorney files and pays fees for several cases in one trip to courthouse)		all	
11.2.5 generate and print (including ability to reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., defense attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse)		all	
11.2.6 permit receipts to be re-printed (e.g., if printer malfunctions during printout) with same receipt numbers		all	
11.2.1 generate and produce receipts with proper identifiers		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
(e.g., fee, fine, 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) based on collections with user option to receive single or multiple copies			

**Table 11.3 Cashier Closeout Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.3.1 maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement)		all	
11.3.2 compute totals, list transactions, and balance for each cash drawer, register, cashier, and payment (e.g., fee, fine) type		all	
11.3.3 list contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	
11.3.4 produce summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see Accounting -- Bookkeeping Function)		all	
11.3.5 list any discrepancies between payments, receipts, defendants, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see Accounting -- Bookkeeping Function)		all	
11.3.6 permit individual cashiers to open and close as needed (e.g., when several cashiers work different shifts at same register during same day)		all	
11.3.7 suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
11.3.8 permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		all	

**Table 11.4 Cashier Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.4.1 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)		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
11.4.2 allow supervisor to make adjusting entry to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions (see Security and Data Integrity Function)		all	
11.4.3 provide secure passwords for each cashier (see Security and Data Integrity Function)		all	
11.4.4 prohibit modification of receipt number sequence and provide audit trail of receipt number usage (see Security and Data Integrity Function)	yes	all	
11.4.5 produce summary reports for each cash drawer, cash register, and cashier (see Accounting -- Receipting Function)		all	

**Table 12.1 Bank Account Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Case processing or financial</u></b>			
12.1.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk)		all	
12.1.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		all	
12.1.3 print (including ability to reprint) system-wide daily cash receipts journal		all	
12.1.4 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution 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 General Accounting Function)		all	
<b><u>Financial</u></b>			
12.1.5 calculate and record bank deposits		all	
12.1.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
12.1.7 print (including ability to reprint) bank deposit slips for specific banks and periods		all	
12.1.8 for specific periods: compare court record of checks with bank record of checks; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report giving discrepancies for all reconciliation's		all	
12.1.9 produce list of items that remain open for accounts that		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
carry balance forward from one period to next period			
12.1.10 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
12.1.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Accounting -- Receipting Function)		all	
12.1.12 receive bank statements and reconcile bank accounts electronically (see Multi-Function Capabilities and Integration)	yes	all	

**Table 12.2 Draw-Down Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
12.2.1 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 (see Multi-Function Capabilities and Integration)	yes	large	small
12.2.2 identify instances when balances in draw-down accounts are low and accounts require additional funds	yes	all	
12.2.3 provide reports showing transactions on draw-down accounts over user-specified period		all	
12.2.4 allow users to specify that refunds will be credited to draw-down accounts		all	

**Table 12.3 Case Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing</b>			
12.3.1 maintain financial parts of case files and docket (e.g., payments collected, liabilities with linkage to accounts receivable in finance) (see Docketing and Related Record Keeping Function)	yes	all	
12.3.2 compute and produce costs and fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
12.3.3 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)	yes	all	
12.3.4 record funds collected from other local, state, and		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
private units for payment of specific case and defendant costs, fees, and judgments (e.g., for service of summons by law officer for another jurisdiction)			
12.3.5 record changes to accounting records that result from court orders (e.g., change in monthly restitution amount) and modify appropriate records		all	
12.3.6 maintain standard tables for court costs, fees, and fines (see List of Code Translation Tables)		all	
<b><u>Case processing or financial</u></b>			
12.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single defendant in case ) case and defendant accounts when initial fees collected for new case (see Accounting -- Receipting Function)		all	
12.3.8 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, pay through)		all	
12.3.9 post case- or defendant-related receipts to accounting records and docket or register of actions (installment payment receipts usually would not be entered in docket); associate receipts with proper case, defendant, account, or case activity; interact with receipting to accomplish these tasks (see Docketing and Related Record Keeping Function)	yes	all	
12.3.10 post case- and defendant-related disbursements to accounting records and docket or register of actions (installment payment disbursements usually would not be entered in docket); associate disbursements with proper case, defendant, other person (e.g., victim(s)), account, or case activity (see Docketing and Related Record Keeping Function)	yes	all	
12.3.11 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		all	
12.3.12 maintain and track various types of individual case or defendant accounts and balances by case, due date, and defendant (a few accounts, such as defense 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)	yes	all	
12.3.13 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, court cost assessments, fee assessments, monetary judgments,		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and defendants over specific periods (e.g., daily, monthly, for life of case)			
<b>Financial</b>			
12.3.14 accrue fees to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., defense attorney and media accounts), and produce account statements	yes		all
12.3.15 generate and print (including ability to reprint) invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
12.3.16 produce correspondence such as payment notices and dunning letters (see Scheduling Function and Document Generation and Processing Function)		all	
12.3.17 mark case or defendant account closed or some other designator		all	
12.3.18 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
12.3.19 produce periodic (e.g., daily, monthly) report or display showing financial status and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or defendant account		all	
12.3.20 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see General Accounting Function)		all	
<b>Financial (primarily court support)</b>			
12.3.21 create payment schedule, collect payments, apply payments collected to scheduled amount due (e.g., amount in judgment), and produce reports on overdue amounts (e.g., for previously-waived fees)		all	
12.3.22 identify (i.e., input or compute) and record payment delinquencies, 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 or law enforcement) (see Scheduling, Compliance, Criminal Support functions)	yes	all	
12.3.23 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, defense attorney fees) installment payments and partial payments from defendant subsequent to disposition (see General Accounting, Disposition, and Compliance functions)		all	
12.3.24 generate accounting notices (e.g., for payment,	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
overdue payment) in receipting or bookkeeping (see Document Generation and Processing Function)			
12.3.25 share information with state agencies to coordinate collection of court-ordered payments (e.g., to recover previously-waived fees, to initiate tax intercept) (see Criminal Support Functions)		large	small

**Table 12.4 Distribution Account Management and Funds Disbursement Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Case processing or financial</u></b>			
12.4.1 allow flexible, user-defined and -maintained account structure that permits funds to be allocated to appropriate case cost types and other accounts (e.g., for city, county, state, court)		all	
12.4.2 place hold on disbursements of funds deposited for a case		all	
<b><u>Financial</u></b>			
12.4.3 disburse funds electronically to recipient bank accounts	yes	all	
12.4.4 provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and produce reports (e.g., for each check not cleared over specific period)		all	
12.4.5 electronically authorize and disburse collected moneys to other units (e.g., appellate court for appealed cases) (see Multi-Function Capabilities and Integration)	yes	all	
12.4.6 post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account	yes	all	
12.4.7 compute parts of fees and fines to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula	yes	all	
12.4.8 disburse collected fees and fines electronically according to predefined formula either periodically (e.g., monthly) or when fees or fines collected in conjunction with Receipting Function (see Multi-Function Capabilities and Integration, Accounting -- Receipting Function)	yes	all	
12.4.9 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		all	



Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.4.10 initiate, print, and disburse sequentially-numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
12.4.11 initiate, print, and disburse refund checks individually or cumulatively over specific periods record checks on check register		all	
12.4.12 produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period		all	
<b>Financial (primarily court support)</b>			
12.4.13 allow multiple pay through cost assessments to be specified for each case		all	
12.4.14 provide capability to issue checks for pay through activities individually (e.g., when collected) or periodically (e.g., monthly) based on accumulated payments		all	
12.4.15 apply installment payments to proper account or activity (e.g., to fees, restitution owed)		all	

**Table 12.5 Administrative Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing or financial</b>			
12.5.1 for specific periods: produce separate reports showing (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; (3) accounts receivable or payable for each case or defendant		all	
12.5.2 produce report containing information on fees waived and associated payments		all	
12.5.3 provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see Security and Data Integrity Function)		all	
12.5.4 produce lists arranged according to user-selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, person)		all	
12.5.5 create positive pay file of check numbers and amounts and send to bank	yes		all

**Table 13.1 General Ledger Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
--------------------	-------------	--------------	-------------

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
<b>All financial</b>			
13.1 create and maintain system-defined and user-customized chart of accounts		all	
13.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
13.3 reconcile and balance all accounts		all	
13.4 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	

**Table 14.1 Pre-Trial Services Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.1.1 send request for pre-trial services with associated case and defendant information and internal investigation (see Docketing and Related Record Keeping Function)		all	
14.1.2 receive results of research on defendant (prior arrests and convictions, aliases, duplicate identifiers) to docket and related individual records (see Docketing and Related Record Keeping Function)		all	
14.1.3 receive information regarding non-compliance of pre-trial intervention or supervision requirements		all	
14.1.4 receive conditions of release		all	

**Table 14.2 Pre-Sentence Investigation Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.2.1 send information on adult referrals for pre-sentence report (see Hearings Function)		all	
14.2.2 receive pre-sentence information electronically or contents of report (e.g., date ordered, date returned, results, extension requests) (see Hearings Function)	yes	all	

**Table 14.3 Audit Trail Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.3.1 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	yes	all	
14.3.2 track changes in modified or amended charges from	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
point of arrest or initial filing through completion of sentence while remaining linked to incident for disposition tracking purposes			
14.3.3 track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes	yes	all	
14.3.4 track pleas entered and their verdicts	yes	all	
14.3.5 track sentence compliance and modifications (see Disposition and Compliance functions)	yes	all	
14.3.6 maintain sufficient information for sentencing documents (e.g., for jail commitment, probation, work referral) (see Disposition Function)	yes	all	
14.3.7 track location, reasons for issuance and resolution, and status of all warrants and other served documents (e.g., subpoenas, bench warrants, search warrants, warrant recalls, capiases) (see Document Generation and Processing Function)	yes	all	

**Table 14.4 ICJIS Interfaces Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>General</b>			
14.4.1 send, receive, and correlate case and individual identification information from each CJ agency, correlate information for court use, and transfer to court functions such as case initiation, indexing, and docketing (e.g., charges for a defendant from perspective of law enforcement, prosecutor, grand jury, courts; arrest by law enforcement and citation numbers; use of defendant information to set bail, assign public defender (defense attorney), monitor an individuals release )		all	
14.4.2 allow access to docket, financial, and case status information	yes	all	
14.4.3 provide information to appropriate criminal support units, CJ agencies, and non-justice agencies and state criminal history repositories regarding the specifics of court orders (e.g., expungements, sealed cases)		all	
14.4.4 provide defendant information by defendant or charge		all	
14.4.5 allow for multiple numbering and index systems required by different courts, criminal support units, CJ agencies, and non-justice agencies (e.g., state identification number (SID), personal identification number (PID), state and local criminal history numbers, family identification number)		all	
14.4.6 provide court and case index as part of individual	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
identification information index for courts, criminal support units, CJ agencies, and non-justice agencies			
14.4.7 provide criminal support units and CJ agencies (1) access to input and output templates and (2) use of templates to complete documents (e.g., pleadings, warrants, orders) (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Document Generation and Processing functions)		all	
14.4.8 send all final disposition information to state criminal history repository		all	
14.4.9 send warrants and other served documents (e.g., subpoenas), to appropriate agency with request for acknowledgement of receipt		all	
14.4.10 receive, acknowledging receipt of, warrants and other served documents (e.g., subpoenas), from appropriate agencies		all	
14.4.11 receive return of service on warrants and other served documents (e.g., subpoenas)		all	
14.4.12 facilitate warrant reconciliation with appropriate agency maintaining state criminal history repository		all	
14.4.13 send notice of expungements, sealed case, and special access information to all appropriate agencies		all	
14.4.14 send and receive all pertinent risk and need assessments between court, criminal support units, CJ agencies, and non-justice agencies	yes	all	
14.4.15 send case, docket, court scheduling or calendaring information, disposition, sentence information (see Docketing and Related Record Keeping, Scheduling, Calendaring, Disposition functions)	yes	all	
14.4.16 allow access to case, calendar, court minute, court order, sentence, and disposition information (see Docketing and Related Record Keeping, Calendaring, Hearings, Disposition functions and Inquiry in Related Technical Considerations in Appendix A)	yes	all	
14.4.17 allow access to exhibit information (e.g., for disposal of exhibit) (see File, Document, and Property Management Function and Inquiry with Related Technical Considerations in Appendix A)	yes	all	
14.4.18 send information on court schedules, convictions, sentences (e.g., DMV notification of license suspension, tax information to IRS and department of revenue) (see Scheduling, Calendaring, Hearings functions)	yes	all	
14.4.19 receive special alert information from prosecution or confinement facility regarding defendant in-custody behavior	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
<b><u>Law enforcement</u></b>			
14.4.20 receive booking, arrest, custody, bail information with individual identification information (see Case Initiation and Indexing Function)	yes	all	
14.4.21 allow access to case, docket, calendar, court minute, sentencing, and disposition information (see Docketing and Related Record Keeping, Calendaring, Hearings functions and Inquiry in Related Technical Considerations in Appendix A)	yes	all	
14.4.22 allow view of exhibit information (e.g., for disposal of exhibit) (see File, Document, and Property Management Function and Inquiry with Related Technical Considerations in Appendix A)	yes	all	
14.4.23 send orders (e.g., minute, disposition, commitment, license suspension) electronically (see Document Generation and Processing and Hearings functions)	yes	all	
14.4.24 receive basic defendant identification information including that on foreign nationals and illegal aliens and enhanced identification information	yes	all	
<b><u>Prosecutor</u></b>			
14.4.25 allow access to exhibit information (e.g., for disposal of exhibit) (see File, Document, and Property Management Function and Inquiry with Related Technical Considerations in Appendix A)	yes	all	
14.4.26 receive data on initial complaint, indictment, or information (see Case Initiation and Indexing Function)	yes	all	
14.4.27 receive witness and victim information	yes	all	
<b><u>Public Defender (Defense Attorney)</u></b>			
14.4.28 maintain list of eligible attorneys that could be selected for criminal defense assignment by judge (see Case Initiation and Indexing and Docketing and Related Record Keeping functions)			all
14.4.29 maintain accounting for attorneys fees paid for criminal defense assignments by			all
14.4.30 send and receive all notices for out-of-jurisdiction requests for appearance	yes	all	
<b><u>Adult Probation</u></b>			
14.4.31 receive summary probation information (e.g., content of probation order including terms and conditions; type of probation program such as work program, home arrest, jail and work release, alcohol and drug program; level of supervision; status of probation such as suspended, reinstated, extended, revoked; progress of probation; history of probation) sufficient for court review of each defendant			all

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
ordered to probation			
14.4.32 allow access to case, calendar, court minute, court order, disposition information (see Docketing and Related Record Keeping, Calendaring, Hearings, Disposition, Compliance functions and Inquiry in Related Technical Considerations in Appendix A)	yes	all	
14.4.33 Accounting – Receipting and Bookkeeping Functions interface with probation unit to collect, generate receipts for, track, and disburse fines and monetary restitution for each defendant within each case		all	
14.4.34 allow access to account information involving an individual on probation (see Accounting – Bookkeeping Function)	yes	all	
14.4.35 Accounting -- Bookkeeping Function interface with probation unit to generate payment history and other status reports or displays for fines and monetary restitution		all	
14.4.36 receive violation of probation information (see Docketing and Related Record Keeping and Scheduling functions)	yes	all	
14.4.37 receive information on defendant who has completed probation (e.g., fine paid, restitution paid or completed) (see Case Close Function)	yes	all	
<b>Detention and Corrections</b>			
14.4.38 receive information on custody status (see Case Initiation and Indexing Function)	yes	all	
14.4.39 send case disposition, sentencing, and commitment information (see Disposition Function)	yes	all	
14.4.40 receive information on sentence compliance and completion (see Disposition and Compliance functions)	yes	all	
14.4.41 receive information on defendant who has completed detention or any programs administered by corrections (see Case Close and Accounting – Bookkeeping Functions)	yes	all	
14.4.42 receive information on incarceration (e.g., beginning and ending dates)	yes	all	
14.4.43 send notification of release from physical custody in advance of release (when planned) or upon instance of involuntary release (escape, death) to victim services agency		all	
14.4.44 send schedule for court appearances to detention facility for inmate transportation scheduling	yes	all	
14.4.45 send and receive all conditions of, and changes to custody of defendant	yes	all	
14.4.46 send and receive all special court orders regarding conditions of confinement (e.g., medical, psychological	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
counseling)			
14.4.47 send and receive all notices for out-of-jurisdiction requests for appearance	yes	all	

**Table 15.1 File Tracking Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.1.1 generate labels with barcodes for manual case files (see Case Initiation and Indexing Function)	yes	all	
15.1.2 generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., psychological evaluations) on hard-copy files			all
15.1.3 generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations) on electronic files.			all
15.1.4 track manual case files from time checked out of clerk's office through each borrower (including those external to courts such as prosecutor) until returned to clerk's office relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data		large	small
15.1.5 maintain location (e.g. storage facility, location in facility) for hard copy files	yes	large	small
15.1.6 maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for electronic files	yes	large	small
15.1.7 maintain status and last location of files, both manual and electronic	yes	large	small
15.1.8 maintain audit trail of each case file location with information similar to that noted above for file tracking (see Docketing and Related Record Keeping Function)	yes	large	small
15.1.9 provide ability to track multi-volume files		large	small
15.1.10 provide ability to flag electronic files when hard-copy file has been reported lost		large	small
15.1.11 provide alert capability for hard-copy files reported lost (e.g. alert to screen of terminal accessing associated electronic file)		large	small

**Table 15.2 File Archival and Destruction Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.2.1 identify cases to be archived and later destroyed (see Case Close Function)		all	
15.2.2 identify cases to be retained permanently		all	
15.2.3 process files according to local and state rules for	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
becoming archived, destroyed, or transferred to storage facility (see List of Code Translation Tables later in this document)			
15.2.4 retain information from inactive, archived, destroyed, or purged cases or a defendant as needed for related cases and a defendant that remain active and to retain summary information based on local rules (e.g., indexes) on active or inactive files (see Docketing and Related Record Keeping Function)		all	
15.2.5 produce reports (including ability to reproduce or reprint) showing cases that will be or have been archived and destroyed or transferred		all	
15.2.6 interface with Docketing and Related Record Keeping Function to update records of cases and a defendant related to cases transferred to inactive, archived, destroyed, or purged status (see Docketing and Related Record Keeping Function)	yes	all	
15.2.7 expunge files when ordered by the court		all	

**Table 15.3 Reporting and Utility Subfunctions**

Subfunction	Auto	Mand.	Opt.
15.3.1 generate reports on file management activities (e.g., file transfer, inactive, and purge reports)		all	
15.3.2 perform utility functions (e.g., copy information such as docket entries and participants from one case to another, sort outputs such as by defendant identifier, copy historical case or defendant data to secondary file)		all	
15.3.3 allow for merge and unmerge of files containing information on same defendant	yes	all	
15.3.4 provide the ability to display an alert when merge and unmerge of files will affect multiple records	yes	all	

**Table 15.4 Document Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
15.4.1 support input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents	yes	all	
15.4.2 provide capability to toggle between views of several different documents		all	
15.4.3 provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities		all	



Appendix B: Case Management Functional Requirements  
CRIMINAL

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.4.4 provide capability to use same document management system for imaging if imaging included in overall case processing		all	
15.4.5 create and maintain electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see Document Generation and Processing Function)	yes	all	
15.4.6 provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Security and Data Integrity Function)	yes	all	
15.4.7 provide ability to save, store, and output any document produced by the system without requiring the data to be reprocessed	yes	all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

**Table 15.5 Exhibit Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.5.1 record receipt of exhibits and other property (including participant submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
15.5.2 generate exhibit and property numbers or other identifiers	yes	all	
15.5.3 track location and status of exhibits and other property		all	
15.5.4 record return or destruction of exhibits and other property		all	
15.5.5 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 Generation and Processing Function)		all	
15.5.6 produce lists of exhibits and other property according to case, participant, and other parameters		all	
15.5.7 provide ability to re-assign or re-sequence previously marked exhibits	yes	all	
15.5.8 provide ability to reference and track all exhibits when associated with multiple cases	yes	all	

**Table 16.1 Security Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
16.1.1 ensure electronic case records (e.g., electronic filings, docket entries, system-generated documents, calendars) cannot be modified without supervisor or system administrator notification	yes	all	
16.1.2 allow access and similar privileges on authorizations defined, maintained, and controlled by users (e.g., access authorization tables controlled by system administrator; see List of Code Translation Tables later in this document)		all	
16.1.3 create and maintain records on access privileges for specific groups of users and types of data (e.g., case, defendant, victim)		all	
16.1.4 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, and system functions from and to other system functions, device (e.g., terminals, PC's, printers) locations, users, and groups of users	yes	all	
16.1.5 restrict local and remote access to certain cases, classifications of cases, and parts of cases (e.g., access to		all	

Appendix B: Case Management Functional Requirements  
CRIMINAL

Subfunction	Auto	Mand.	Opt.
sealed cases, access to defendant name and address in suppressed indictments) from specific system functions, device (e.g., terminals, PC's) locations, users, and groups of users in accordance with rules, statutes, or court orders (includes active, inactive, and archived cases) For example, in large multi-court systems, a court clerk in one county should not be able to modify or delete case data in another country.			
16.1.6 provide adequate security if public access allowed (e.g., view but not modify or delete data and documents) (e.g. security at lower levels than file or record level, such as at field level; "firewalls" that restrict access to only some of system and database, and secure other parts) Both large and small systems should have the ability to redact certain data fields from public view, such as social security numbers, the address of the arresting officers, or a rape victim's identity.		all	
16.1.7 provide audit trails that show which users and workstation locations logged on to system during specified period		all	
16.1.8 provide secure passwords for user		all	
16.1.9 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)		all	
16.1.10 maintain and produce audit trail of file additions, modifications, deletions, and rejected transactions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see Docketing and Related Record Keeping Function)	yes	all	
16.1.11 allow user to determine access levels to specific groups of information (i.e., victim, witness, juvenile victim, and juvenile witness) in order to comply with locally-defined procedures as they pertain to witness and victim protection	yes	all	

**17.1 Statistics Subfunction**

- Pending cases may be arranged according to various criteria such as case type, case category, charge, event status, length of time pending, or judge;
- Active cases not scheduled for hearing arranged according to various criteria such as case type, case category, or reason not scheduled;
- Disposed cases arranged according to various criteria such as by case type, case category, disposition type, proceeding stage when disposed, charge, or judge;
- Reopened cases arranged according to various criteria such as by case type, case category, reason reopened, or judge;

## Appendix B: Case Management Functional Requirements

### CRIMINAL

- Cases pending specific action such as pending annual review or recommendation for transfer;
- Cases with specific status;
- Judicial workloads; and
- Weighted caseload summaries.

#### **Management Information Subfunction**

##### ***Case Information***

- docket contents (cases) -- gives docket or register of actions contents for specific cases, groups of cases, and related cases;
- docket transactions -- lists docket or register of actions transactions by case and time period;
- events -- provides information on specific types of events including all or major events in upcoming period by case;
- open warrants -- provides information on cases with open warrants;
- motions -- gives status of motions and related petitions and requests;
- specific charges and convictions -- gives information on specific types of crimes and convictions (e.g., sex crimes) including demographics and relationship to mandatory and maximum sentences and fines;
- court orders -- reports on court orders issued by type of order and case;
- dispositions -- reports on dispositions by type of disposition (e.g., community service, restitution, adult probation, incarceration) and case;
- pre-trial intervention and diversion -- gives information on pre-trial intervention and diversion programs by program and case;
- bail -- gives information on various situations involving bail and bonding functions (e.g., outstanding bail , bail forfeited) by case and type of situation.

##### ***Financial Information***

- delinquencies -- gives information on payment delinquencies by case or person;
- account status and history -- gives information about each account;
- account activity -- gives aging, audit trail, journal, and similar information about each account;
- receivables -- gives amounts owed and waived for each person or organization;
- payables -- gives information on disbursements from accounts.

##### ***Person Information***

- docket contents (persons) -- gives docket contents for specific persons (e.g., defendant, defense attorney) and groups of persons;
- upcoming events (person) -- reports all or most significant events in upcoming period by person;

## Appendix B: Case Management Functional Requirements

### CRIMINAL

- charge and sentence -- gives defendant information by defendant, charge, or sentence (e.g., community service, restitution, adult probation, incarceration);
- judge assignment -- tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;
- court officer performance -- tracks court officer (e.g., hears plea agreements) assignments, decisions, and performance criteria;
- attorney case list -- gives cases (all, active, inactive) and related information for specific attorney;
- person schedules -- reports number of cases or events scheduled for specific people (e.g., judges, defense attorneys, prosecutors, other participants) and resources (e.g., court or meeting rooms) by time periods;
- person assignments and appearances -- tracks judicial proceeding assignments and appearances for specific individuals (e.g., judge, prosecutor, defense attorney, defendant, witness, victim, and other participants) by time periods;
- self-represented defendants -- lists and give status and caseflow of cases involving self-represented defendants;
- probation -- reports on defendants ordered to probation including type of program (e.g., work, home arrest, substance abuse treatment), progress of current probation, history of probation;
- victims -- gives information on victims;
- plea agreements -- gives information on plea agreements;
- warrants -- gives information on warrants including location/or number, reason for issuance, and status;
- personal histories -- gives prior information on persons (e.g., arrests, convictions, aliases, economic status, demographics);
- criminal support units -- gives current and historical information by organization or case on criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services.
- problem persons -- information on persons who pose problems (e.g., due to contempt of court, multiple restraining orders, repeat offenders) by criteria such as case category, court-ordered program, and program provider.

#### ***Calendar Monitoring Information***

- calendar summary -- summarizes calendar information by case type, case category, judge, defense attorney, defendant, prosecutor, date;
- event schedule overload -- compares number of events scheduled to maximum number allowable and indicate when limits exceeded;
- schedule modifications -- reports schedule modifications over specific period by defense attorneys and other participants;
- judge availability -- reports time available within specific period (e.g., week, month) for each judge.

#### ***Performance Monitoring Information***

## Appendix B: Case Management Functional Requirements

### CRIMINAL

- case processing performance -- monitors conformance to time and other performance standards (e.g., ABA Time to Disposition Standards);
- cases disposed -- reports whether specific cases have been disposed with cross references to calendars in which they were disposed;
- inactive cases -- gives information on inactive cases by last and next event;
- continuances -- lists and gives supporting information on cases that have been continued over specific period by judge, defendant, defense attorney, and other criteria;
- trial duration -- tracks duration of trials and compares estimated and actual duration by courtroom, judge, whether jury or non-jury trial, and other criteria;
- milestone events -- tracks milestone events for specific cases or groups of cases giving more flexible case flow information than is available in standard statistical reports described in previous section;
- timeliness of hearings -- reports timeliness of hearings after entry of plea;
- timeliness of orders -- provides timeliness of entry of court orders in time-sensitive situations such as sex crimes;
- order type and compliance ratios -- gives percentages of court orders with specific characteristics such as restitution, substance abuse treatment, or community service ordered and completed;
- status of court-ordered services and remedies -- gives status of program referrals by type of program;
- results of court-ordered services and remedies -- gives results of program referrals by type of program;
- service or remedy evaluation -- gives information on program referrals to permit evaluation of program providers and compliance by defendants;
- service or remedy ratios -- gives percentages of defendants entering and completing court-ordered programs by type of program;
- disposition ratios -- gives percentages of cases disposed by disposition type;

#### ***System Usage and Quality Assurance Information***

- system usage audit trail -- provides audit trail reports that show (1) which users and workstation locations logged on to system during specified period and (2) file additions, modifications, and deletions including who made entry, when entry made, whether dates entered and filed differ;
- case inventory -- provides periodic inventory of cases in system;
- case file location -- reports, by file or person who checked out file, physical location of each manual case file and how long file has been checked out;
- case property location -- reports, by exhibit or property or person who checked out exhibit or property, physical location of each exhibit or property, how long exhibit or property has been checked out, and whether exhibit or property has been disposed or destroyed.

Appendix B: Case Management Functional Requirements  
**JUVENILE**

## Juvenile Case Management Requirements

**Table 1.1 Intake Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.1 assign referral numbers and person (e.g., juvenile and family) and other identifiers	yes	all	
1.1.2 prompt user when related information already exists for juvenile and family named in referral, and allow user to output existing information	yes	all	
1.1.3 allow user to capture (i.e., enter, receive electronically, or transfer existing information into current referral entry to avoid data entry) referral information		all	
1.1.4 establish relationships, including links to others in referral and others in family, within newly-entered information and between new and existing information		all	
1.1.5 merge multiple related referrals for single child into one course of action	yes		all
1.1.6 store all (i.e., new combined with existing, historical resulting from research) referral information in updated or new intake file; maintain intake file as case progresses (e.g., enter information pertaining to temporary actions noted below); and output all or part of file		all	
1.1.7 enter, maintain, process, and store information pertaining to temporary actions (e.g., informal supervision, shelter care, or temporary protective custody) including recording events; creating letters, forms, and pleadings (see Document Generation and Processing Function); creating tickler messages when actions due (see Scheduling Function); holding conferences and hearings (see Hearings, Adjudication, and Disposition Function)		all	
1.1.8 enter results of research on referral (e.g., verification of person and family information such as name; addresses; juvenile date of birth, race, ethnic group, sex; prior contact with court and service and justice agencies; alias(es); school; other assessment and classification items) in intake file (see Juvenile Court Support Functions)		all	
1.1.9 provide user with assessment tools, risks, and probable results to assist with decision on referral	yes		all
1.1.10 enter decision on referral (e.g., file a petition in juvenile court, conduct informal adjustment or diversion program (in conjunction with Juvenile Court Support Functions), refer to medical or social evaluation, reject) in intake file		all	
1.1.11 retain all information on referral if decision not final		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
1.1.12 create pleadings within delinquency and status case categories by combining standard text (e.g., statutes for each allegation), variable data (e.g., juvenile information), other (e.g., imaged if capability exists in system) information) (see Multi-Function Capabilities and Integration; Docketing and Related Record keeping and File, Document, and Property Management functions)			all
1.1.13 convert one referral for family or multiple persons into separate petitions and track separately through resolution for each juvenile	yes	all	
1.1.14 transfer intake information and petition to initiate case if petition filed with court	yes	all	
1.1.15 transfer intake and referral information to outside agencies (see Juvenile Court Support Functions)	yes	all	
1.1.16 output information for transfer to another jurisdiction		all	
1.1.17 enter, maintain, process, and store intermediate and final information pertaining to outside agency program (e.g., diversion administered by probation) or internal program (e.g., informal adjustment administered by intake) including recording events; creating letters, forms, and orders (see Document Generation and Processing Function); creating tickler messages when actions due (see Scheduling Function); holding conferences and hearings (see Hearings, Adjudication, and Disposition Function); processing payments (e.g., costs, fees, restitution; see accounting functions)		all	
1.1.18 as case progresses, interact with juvenile services and justice and social services agencies to perform ongoing functions (e.g., administer court-ordered supervision) and maintain intake file (e.g., track allegations) as established by local conventions (see Juvenile Court Support Functions)		all	
1.1.19 create notices and other documents (e.g., letters to victims and schools requesting more information) (see Document Generation and Processing Function)		all	
1.1.20 receive and send documents and information electronically including notices verifying receipt of electronic information	yes	all	
1.1.21 output all, part, or summaries of intake files for individual or groups of juveniles, family, or other parties as requested by user		all	



Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
1.1.22 exchange information with external participants (e.g., public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies) (see Multi-Function Capabilities and Integration, Juvenile Court Support Functions)	yes	all	
1.1.23 ensure appropriate security and data integrity on intake information (see Security and Data Integrity Function)	yes	all	

**Table 1.2 Case Initiation Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.2.1 receive intake information and petition to initiate case from intake	yes	all	
1.2.2 accommodate different types of case initiation filings for juvenile case categories (e.g., types of filings for child abuse and neglect cases differ from those for delinquency and status cases, various informal processes can initiate cases)		all	
1.2.3 generate and assign separate identifiers (e.g., juvenile(s), family, other parties and participants, and other identifiers) or receive identifiers from intake, justice, or social service agency (see Juvenile Court Support Functions)	yes	all	
1.2.4 generate and assign case number and associate juvenile and family with case using locally-defined format and procedures (e.g., separate case number for each juvenile)	yes	all	
1.2.5 establish link between each juvenile and his or her family		all	
1.2.6 supplement information entered during intake with additional information on juveniles, families, and other parties		all	
1.2.7 enter each allegation and its identifier when petition filed		all	
1.2.8 identify most serious allegation among group of allegations for given juvenile in delinquency case categories and designate other allegations as of lesser seriousness	yes	all	
1.2.9 enter each count and its identifier and correlate with allegation(s) within group of allegations in delinquency case categories		all	
1.2.10 enter arrest, citation, custody, and bail information for each juvenile or receive identifier from justice agency (see Juvenile Court Support Functions)		all	
1.2.11 generate locally-defined case title or style (i.e., short phrase that identifies case and includes petitioner and juvenile or other respondent names) from party names and other information	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.12 conduct locally defined and used checks to ensure case should be accepted by court and display results	yes	all	
1.2.13 relate declined cases to other information in system and take appropriate action (e.g., drop pending charges in juvenile court)	yes	all	
1.2.14 enter reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case)		all	
1.2.15 enter locally-used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.2.16 capture or allow entry of other identifiers (e.g., of other courts, such as domestic relations or criminal; of detention, probation, and juvenile service providers; and of other parties and participants)		all	
1.2.17 enter in docket or register of actions person information including basic information on juveniles and their families (e.g., name; identifiers such as incident, social security, drivers license numbers; juvenile date of birth, race, ethnic group, sex; parent names and addresses; referral source; referral reason(s) or petition allegation(s); alias(es); school; oversight, placement, detention status) and correlate with other case initiation information (see Docketing and Related Record keeping Function)		all	
1.2.18 enter in docket or register of actions case initiation information including date and time of initial filing, information on initial filing noted above, basic case information (e.g., case number, petition number, other identifiers, case type, case category, court type and location, case status, case title or style, parties, attorneys, date filed, judge or other judicial officer, last and next events) and correlate with other case initiation information (see Docketing and Related Record keeping Function)		all	
1.2.19 enter origin of oversight, placement, detention status		all	
1.2.20 enter in docket or register of actions information for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see Docketing and Related Record keeping Function)		all	
1.2.21 support electronic filing and move designated data (e.g., tagged basic juvenile, family, and case information) from electronic document to case processing system (see Multi-Function Capabilities and Integration and Security and Data Integrity Function regarding verification of electronically-entered data)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
1.2.22 create acknowledgment to appropriate parties 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) (see Document Generation and Processing Function)	yes	all	
1.2.23 record if filing requires special consideration such as time-sensitive filing that requires rapid action (e.g., schedule emergency child abuse hearing even though only minimal data available, issue restraining order, process stay request or ex-parte filing) or case in special category (e.g., Indian child welfare case) (see Scheduling Function)		all	
1.2.24 support differential case management (i.e., different categories of cases are processed differently, such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables ; PLEASE NOTE: differential case management may entail highly-complex computer programming 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)		all	
1.2.25 create groups of related cases, petitions, juveniles, other parties, and participants (e.g., by referral reason, petition allegation, agency submitting referral or petition, parties, participants) from single or multiple filings such that future actions (e.g., initial and subsequent entries) can be applied to each case in group (see Docketing and Related Record keeping Function)		all	
1.2.26 establish relationships between cases and case categories (e.g., delinquency) and court types, locations, and departments (e.g., for large courts with multiple locations) (see List of Code Translation Tables)		all	
1.2.27 establish relationships between specific referrals and petitions and their sources (e.g., agencies submitting those referrals and petitions)		all	
1.2.28 establish relationships of courts and agencies noted above (e.g., other courts, detention, law enforcement, juvenile service providers) with juveniles and other parties		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
1.2.29 inform user when cases or parties already exist that relate to new case or person (e.g., other referrals or petitions for same juvenile), followed by user-initiated search for duplicate parties and attorneys (including instances in which parties or attorneys have different roles in different cases, such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case) that user can transfer into current case if appropriate to avoid redundant data entry (e.g., using party names, addresses, and other identifiers noted above) (see Scheduling Function)	yes	all	
1.2.30 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)	yes	all	
1.2.31 assign appropriate security to information, such as increased security and data integrity for records with social data on juveniles and their families (e.g., medical, family relationships) (see Security and Data Integrity Function)		all	
1.2.32 capture demographic information		all	
1.2.33 assign judge in conjunction with Scheduling Function		all	

**Table 1.3 Indexing Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.3.1 create and maintain locally-defined index that (1)contains at least index information on juveniles, their families, or other parties (e.g., each juvenile or other party name, 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 index information on cases either subordinate to or linked to persons (e.g., case type; court type and location; case number, petition number, and other identifiers; date filed; and cross reference to other parties in case (e.g., other party named in case title or style)), (3)permits database look up by a choice of keys (e.g., party name, party role, case filed date range) 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	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
1.3.2 handle look up and retrieval subfunctions by identifying a specific juvenile or other party name, date of birth, race, ethnic group, sex, party role, court type or location, case or party identifier, case filed date range -- if necessary, after eliminating other cases or parties that satisfy original look up -- and then obtaining index information by selecting from list of matching cases or parties or by using keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	
1.3.3 allow users easy interfaces with other parts of the system, such as docketing, scheduling, calendaring, accounting, and juvenile court support functions for, potentially, all related person, case, and financial information (i.e., on specific person; each related case, its parties, its participants, its attorneys; on other cases, parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see Inquiry part of Multi-Function Capabilities and Integration and Report Generation section in Appendix A, and sections on other functions that follow this section)		all	
1.3.4 permit name search on various combinations of a specific person's (i.e., juvenile, party) name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry part of Multi-Function Capabilities and Integration)		all	
1.3.5 if attorneys included in index, allow multiple names and bar identifiers		all	
1.3.6 permit updating of index based on occurrence of specific events (e.g., motions filed, allegations adjudicated or disposed)	yes	all	
1.3.7 extract and output with appropriate security and data integrity restrictions index information arranged according to various components of index (e.g., juvenile, party, case number) (see Security and Data Integrity Function)		all	
1.3.8 retrieve basic index information on all cases associated with specific participant		all	
1.3.9 accommodate aliases in conjunction with indexing and processing of party names as appropriate	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

**Table 2.1 Case Header Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.1.1 provide access to case and juvenile header information originally entered during intake and case initiation (with proper security and data integrity) (see Case Initiation and Indexing and Security and Data Integrity functions)		all	
2.1.2 correct and supplement header information originally entered during intake and case initiation as appropriate and with proper authorization, security, and data integrity (see Security and Data Integrity Function)		all	

**Table 2.2 Case Event Information Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.2.1 provide access to, maintain, and add to case and person information originally entered in database during intake and case initiation (see Case Initiation and Indexing, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.2 provide access to, maintain, and add to case and person information captured from database for docket or register of actions during intake and case initiation (see Case Initiation and Indexing, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.3 provide access to, maintain, and add to information originally entered during intake and case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service ) with primary contact person if organization (see Case Initiation and Indexing Function)		all	
2.2.4 add information called for in subsequent Docketing and Related Record keeping subfunctions to database files; capture, maintain, and provide access to subset of database files for docket or register of actions to summarize events for each case and juvenile	yes	all	
2.2.5 accommodate different types of filings for juvenile case categories (i.e., types of filings for child abuse and neglect cases differ from those for delinquency and status cases)		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
2.2.6 capture, maintain, and output information (e.g., document title and identifier, filing party, fees received), party to which filing applies, and dates on filings 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)		all	
2.2.7 create docket entry and update case, juvenile, other party, and participant database information based on occurrence of specific events that can be completely or partially transferred from another function, such as victim added, pick up order issued (e.g., case status changed to inactive), pick up order returned (e.g., case status changed to active), hearing scheduled (e.g., motion granted or denied; see Calendaring Function), allegation adjudicated or disposed (e.g., finding of fact of neglect, assigned to foster care; see Hearings, Adjudication, and Disposition Function), request for enforcement of judgment (see Compliance Function)	yes	all	
2.2.8 create docket entry and update database based on electronic documents distributed by other functions (e.g., notices, pick up orders, orders) (see Document Generation and Processing and Hearings, Adjudication, and Disposition functions)	yes	all	
2.2.9 permit user to identify and retrieve electronic documents by identifying them on each list of docket events (e.g., with icon adjacent to event, such as motion for dismissal filed indicating that motion filed electronically) and easy output of electronic document (e.g., motion that was filed)	yes	all	
2.2.10 allow single event to create multiple docket entries in one or more cases (e.g., event is hearing, docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.11 allow easy entry of multiple filings or pleadings that apply to single case or related cases (e.g., consecutive entry of multiple pleadings for single case)		all	
2.2.12 enter, maintain, and output information on special case processing requirements or orders (e.g., sealed case or document, child abuse cases that could affect law enforcement registries) (see Case Initiation and Indexing, Hearings, Adjudication, and Disposition, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.13 allow newly-entered events to be inserted as appropriate in docket (e.g., before later entries in chronological event list)		all	
2.2.14 maintain case information as official court record in accordance with state statutes and rules	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

**Table 2.3 Related Record keeping Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.3.1 maintain information on multiple juveniles, other parties, participants, and attorneys and law firms in a case or allegation such as personal information, status including dismissals, type (e.g., prosecutor, witness, public defender), current addresses, address histories, address sources, voice and fax telephone numbers, electronic mail addresses (see List of Code Translation Tables)		all	
2.3.2 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		all	
2.3.3 coordinate with Case Initiation and Indexing Function to enter and track all allegations (initial and modified) and link changes to proper case, juvenile, and family (see Juvenile Court Support Functions)		all	
2.3.4 enter information once and apply to multiple cases or persons (e.g., single entry for several parties with same attorney or address; copy docket entry to related cases; single entry when parties or attorneys have different roles in different cases, such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case)		all	
2.3.5 enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.6 maintain (or be able to construct in a manner that requires minimal user action) and output information and relationships on multiple cases, judges, other judicial officers, attorneys, juveniles, families, and other parties (e.g., to help users modify information on related cases or parties, to transfer group of cases or parties from one judge or hearing date to another in single transaction, to view related referrals and cases when preparing to hear case, to view all cases involving particular juvenile, to view related cases) (see Case Initiation and Indexing Function)	yes	all	
2.3.7 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	



Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
2.3.8 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 allocation amounts to be modified, change of Judge Smith's courtroom causes all records that contain room number of old courtroom to be changed to room number of new courtroom, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	
2.3.9 link and display information on docket entries for events related to current docket entry (e.g., on pending dependency cases for same juvenile)			all
2.3.10 track and output reports on relationship of specific cases and parties to one or more public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies		all	
2.3.11 allow user to define, modify, and maintain all relationships noted in Case Initiation and Indexing and Docketing and Related Record keeping functions		all	
2.3.12 restore any relationship noted above if erroneously modified or deleted (see Security Function)		all	

**Table 2.4 Input/Output Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.4.1 maintain and properly use code translation tables defined by user (see List of Code Translation Tables)		all	
2.4.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated) (see Scheduling Function)	yes	all	
2.4.3 continue user prompts begun in case initiation when situations exist for persons in case that user should be aware of (e.g., outstanding pick-up order) and identify situation to extent information in system (see Case Initiation and Indexing, Scheduling, and Juvenile Court Support functions)	yes	all	
2.4.4 continue case and person information security and data integrity begun in case initiation, such as increased security to social data on juveniles and their families (e.g., medical, family relationships) (see Case Initiation and Indexing and Security and Data Integrity functions)	yes	all	
2.4.5 create, maintain, and output (according to user specified criteria, such as selected workstation(s) or selected		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
case(s)) audit trail identifying persons who requested or made docket and other entries and when they requested or made entries (highlighting when filing occurred if filing and entry dates different) (see Security and Data Integrity and Accounting -- Bookkeeping functions)			
2.4.6 output all, part, or summaries of docket (s) for specific case or group of cases for life of case or specific date range in chronological or reverse chronological order (see Management and Statistical Reporting Function)		all	
2.4.7 output other views of database information such as on specific juvenile and his or her family and on participants and other persons (e.g., public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies) related to case involving juvenile		all	
2.4.8 support electronic filing (e.g., directly from attorneys' offices) of petitions and other pleadings (see Multi-Function Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
2.4.9 maintain file of input templates available to users to create input documents (e.g., petitions, other pleadings, other input forms filed manually or electronically) and, as necessary, associated cover sheets (e.g., for use when pleadings filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events and so that details of specific electronically-filed petition could be inserted into "boilerplate" text of petition form to create hard copy printout) (see Multi-Function Capabilities and Integration, Document Generation and Processing Function, and Related Technical Considerations in Appendix A)	yes	all	
2.4.10 provide capability to output template forms without and with entered data		all	
2.4.11 maintain and output history of changes in judge or other judicial officer assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges or other judicial officers and reasons for change		all	
2.4.12 maintain and output history of attorney changes for specific case or party with reasons for change		all	
2.4.13 maintain and output history of all relationships established for each juvenile and his or her family with dated audit trail of changes		all	
2.4.14 output list of documents filed for given case with amplifying information (e.g., document name and identifier,		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
who filed, when filed)			
2.4.15 provide instructions (e.g., tutorials) and automatic edits for using input templates (e.g., to complete petitions, other pleadings, other input forms)	yes	all	

**Table 3.1 Schedule Creation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Event deadlines</b>			
3.1.1 schedule events and groups of events		all	
3.1.2 initiate schedule of future events based on event entry or occurrence of prior events	yes	all	
<b>Hearings</b>			
3.1.3 schedule multiple cases, juveniles, and events for same scheduled date and time (e.g., schedule detention hearings on all detained juveniles for the same time block) with priorities assigned to each case		all	
3.1.4 schedule groups of related cases (e.g., schedule abuse and neglect cases of siblings in the same time block)		all	
3.1.5 identify, display, and suggest resolutions to scheduling conflicts, allowing user overrides and rescheduling with appropriate security and data integrity (see Security and Data Integrity Function, List of Code Translation Tables)	yes	all	
3.1.6 schedule maximum number of cases for specific, user-specified time interval by event (e.g., hearing) type, judge, and other criteria	yes	all	
<b>Either event deadlines or hearings</b>			
3.1.7 provide ability to relate scheduled event to actuating filing or prior event (e.g., adjudication hearing within 60 days of filing of abuse/neglect petition)	yes		all
3.1.8 when schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions	yes	all	
3.1.9 apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed, reschedule cases for a prosecutor who is reassigned) to multiple schedules for selected cases and group of cases	yes	all	
3.1.10 provide manual override to automatic scheduling to allow user to substitute deadlines or time interval begin and end times for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.1.11 provide utilities to assist user in manual schedule overrides or changes for specific cases and event(s)		all	
3.1.12 record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason)	yes	all	
3.1.13 permit user to designate cases with special scheduling needs (e.g., interpreter, disabilities)		all	

**Table 3.2 Person and Resource Assignment Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All hearings</b>			
3.2.1 maintain availability information on judges and other key persons as determined by court		all	
3.2.2 when creating schedules, consider (1)availability of judges, other judicial officers, attorneys, parties, participants, and court facilities; (2)weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days specific individuals unavailable; (3)scheduling conflicts to extent information in system (e.g., all public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies, victim, and witness schedules may not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules) (see List of Code Translation Tables)	yes	all	
3.2.3 assign individual judges, other judicial officers, and groups of these officials to courtrooms, locations, departments (see Case Initiation and Indexing Function, List of Code Translation Tables)	yes	all	
3.2.4 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 ) (see List of Code Translation Tables)	yes	all	
3.2.5 relate individual judges, other judicial officers, and groups of these officials to department staff (e.g., reporter, bailiff; judge, other judicial officer also may be considered staff) (see List of Code Translation Tables)	yes	all	
3.2.6 assign specific case categories to specific departments according to user-defined case-department rules	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.2.7 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), 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)	yes	all	
3.2.8 assign related cases, as designated by user, to same judge or other judicial officer and group together on schedule (e.g., multiple petitions regarding same problem or person) (see Case Initiation and Indexing Function and Docketing and Related Record keeping Function)		all	
3.2.9 reassign individual or group of cases from one judge, other judicial officer, calendar, or department to another as if group were single case (e.g., judge retires or moves to appellate court)	yes	all	
3.2.10 allow manual person and resource assignment or override for any automatic assignment		all	

**Table 3.3 Schedule and Case Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Hearings</b>			
3.3.1 output schedules upon user request or on user-specified predetermined basis (e.g., judges or other judicial officers calendar by day or time interval)		all	
3.3.2 output schedules for attorneys who have cases with future court dates sorted by various criteria (e.g., hearings scheduled by prosecutor or public defender's office, and by specific attorney from these office by day and time interval)	yes	all	
3.3.3 output schedules for various persons (e.g., judges; other judicial officers; such as juvenile probation officers, child protection case workers, CASA volunteers, intake officers, interpreters, etc) event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval and day within specific period	yes	all	
<b>Either event deadlines or hearings</b>			
3.3.4 maintain and output information on scheduled events (e.g., next scheduled event, all scheduled events, interface with docket to view past events)		all	
3.3.5 create docket entry based on completed scheduling events (see Docketing and Related Record keeping Function)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.3.6 include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards)	yes		all
3.3.7 track and output schedule modifications (e.g., judge or courtroom reassignments) over specific period		all	
3.3.8 support differential case management, ADR (e.g., mediation), master calendar, and other case management methods (e.g., schedule events within various sets of differential case management rules, schedule ADR events, schedule for each department's master calendar and for individual calendars within each department, move from one case management track to another) (see List of Code Translation Tables)		large	small
3.3.9 track conformance to federal, state, and local time standards (e.g., adjudication, disposition, and permanency planning hearings held within deadlines) including modifications, overrides, and suspension of time counting under certain conditions (see List of Code Translation Tables)	yes	all	
3.3.10 provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines	yes	all	
3.3.11 create, maintain, and output administrative or clerk's schedule that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update this schedule when pending actions completed		all	

**Table 3.4 Ticklers and Other User Alerts and Prompts Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Either event deadlines or hearings</b>			
3.4.1 provide tickler capability based on schedules and statutory requirements: identify events coming due or overdue, periods about to expire or expired, and events of which user should be aware based on locally-defined needs(e.g., shelter care hearing must occur within 48 hours from filing, adjudication hearing must occur within 30 days from shelter care hearing, reviews at 60 day intervals in protective custody cases, shelter care program review due, approaching maximum number of continuances, date approaching when files and documents should be archived);	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.4.2 prompt or notify users and initiate proper functions in response to tickler capability noted above (e.g., create statutorily-required notice regarding termination of foster care on approaching birthday, when child ages out noting special conditions such as person physically or mentally handicapped) (see Document Generation and Processing and Accounting -- Bookkeeping functions)	yes	all	
3.4.3 allow users to define frequency with which system displays ticklers, alerts, and prompts		all	
3.4.4 allow users to define structure, content, and intrusiveness of ticklers, alerts, and prompts		all	
3.4.5 provide system-defined visual or audio reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees message	yes		all
3.4.6 track inactive cases and groups of cases, identify those inactive for excessive periods (e.g., no activity for six months pending completion of psychological evaluation), prompt user regarding appropriate action (e.g., schedule hearing, extend dates)	yes	all	
3.4.7 output lists of all events due on specific date or date range sorted by date, event, or other criteria (e.g., termination of foster care on approaching birthday, when child will become adult, and special conditions that nullify termination, such as person physically or mentally handicapped)	yes	all	
3.4.8 prompt user to schedule pre-defined related cases (e.g., other petitions regarding same problem) and prerequisite events (see Case Initiation and Indexing Function and Docketing and Related Record keeping Function in which relationships are defined to system -- some automatically and some manually)	yes	large	small
3.4.9 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 (e.g., victims) (see Security and Data Integrity Function)	yes	all	
3.4.10 prompt user when persons and resources that should be considered in creating schedule have not been considered (e.g., juvenile probation officer, child protection case worker, GAL/CASA volunteer)	yes	all	
3.4.11 generate alert when attempting operation with outstanding prerequisite events (e.g., case closed but adjudication date and result left blank, termination of parental rights (TPR) hearing scheduled but TPR motion or petition filed, etc.)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
3.4. generate alert when pleading submitted for closed case	yes	all	
3.4. generate alert when compliance issues arise	yes	all	
3.4.12 allow users to define ticklers, alerts, and prompts for purposes other than those noted herein		all	
<b>Hearings</b>			
3.4.13 maintain waiting list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities	yes	all	
3.4.14 generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other resources unavailable	yes	all	
3.4.15 create display of available slots on prospective calendar and prompt user when approaching maximum number of events normally permitted (e.g., based on differential case management category, case type, case category, person and resource type) (see List of Code Translation Tables)	yes	large	small
<b>Event deadlines</b>			
3.4.16 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	yes	all	
3.4.17 alert clerk when case filed with no scheduled next event	yes	all	
3.4.18 generate alert when displaying pending cases for which there is no scheduled next event	yes	all	

**Table 4.1 Document Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.1.1 create notices or electronic acknowledgment and notify appropriate parties that petitions and other documents received and accepted, particularly when document filed electronically (see Multi-Function Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
4.1.2 create documents (e.g., summons, pick up orders or warrants, subpoenas, notices) triggered by specific event (e.g., hearing scheduled, conference rescheduled, case dismissed, financial obligation completed)	yes	all	
4.1.3 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)		all	



Appendix B: Case Management Functional Requirements  
JUVENILE

4.1.4 create miscellaneous documents (e.g., for re-scheduled and canceled events; follow-up letters, such as requests for completed foster care forms; requests for child rehabilitation and other juvenile and family services; functions external to case processing such as intake and juvenile court services; other types of documents) (see Case Initiation and Indexing and Juvenile Court Support functions)		all	
4.1.5 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		all	
4.1.6 in cases with multiple parties, create single notice for attorney who represents multiple parties		all	
4.1.7 in cases with multiple parties, show names and primary (e.g., as designated by party or attorney) addresses of all other parties and attorneys on notice to specific party		all	
4.1.8 print documents individually or in groups in multiple locations or central location		all	
4.1.9 distribute documents electronically (e.g., documents to be served to process server; notices and other documents to parties and attorneys; notices, pick up orders, and other documents to be entered in docket) in accordance with state and local statutes, rules, and procedures (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping and Security and Data Integrity functions)	yes	all	
4.1.10 perform document creation, print, and distribution functions for group of cases as if group were single case (e.g., summons in neglect case for each child)	yes	all	
4.1.11 allow user to designate or override computer selection of who receives above documents		all	
4.1.12 exclude user-designated information from documents (e.g., mask out confidential addresses for notices sent to specific persons) (see Security and Data Integrity Function)		all	
4.1.13 insert proper address in documents based on document date compared with address histories (see Docketing and Related Record keeping Function)	yes	all	
4.1.14 create notices when attorney, party, or participant changed for case with future scheduled event	yes	all	
4.1.15 create notices when attorney, party, or participant address changed for case with future scheduled event	yes	all	

**Table 4.2 Document Utilities Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.2.1 in conjunction with Docketing and Related Record		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
keeping 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 and (2) create other documents consisting of only text (e.g., brief progress reports on mediation, some types of notices) (see External Interfaces in Appendix A and General Accounting Function)			
4.2.2 relate each output template and text noted above to document(s) and court event(s) in which they are used		all	
4.2.3 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 above subfunction except no output templates, which would necessitate imaging)		all	
4.2.4 create file containing customized templates for specific person (e.g., judge) consistent with court rules		all	
4.2.5 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database (e.g., attorney, party, participant records or tables) as if, from user perspective, they were in same record (see List of Code Translation Tables)		all	
4.2.6 create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see Multi-Function Capabilities and Integration)	yes	all	
4.2.7 provide ability to override document entries made using templates and standard text noted above		all	
4.2.8 record 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) (see Docketing and Related Record keeping and Juvenile Court Support functions)		all	
4.2.9 output status of documents sent or served		all	

**Table 5 Calendaring Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
--------------------	-------------	--------------	-------------

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
5.1 provide flexibility with respect to calendar content and format (e.g., case or detention status shown with calendar)		all	
5.2 create calendars and incorporate calendar addenda -- based on scheduling information (see Scheduling Function) -- for each type of hearing for specific periods	yes	all	
5.3 create calendars individually (e.g., for a judge, other judicial officer, or courtroom) or in a group (e.g., for posting throughout courthouse) according to various criteria including date, judge, other judicial officer, or courtroom		all	
5.4 print calendars and related outputs individually or in groups in multiple locations or central location		all	
5.5 create user-defined summary calendar information and provide interface to other parts of system to access and output other types of information (e.g., calendar summaries for related cases or parties, juvenile detention status) (see Juvenile Court Support and Management and Statistical Reporting functions)		all	
5.6 create user-defined partial calendar		all	
5.7 record and output nature of proceeding for each case on calendar (e.g., review hearing to consider change of placement for neglected child)	yes	all	
5.8 create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons		all	
5.9 create summary of upcoming hearings for given person (e.g., juvenile probation officer, child protection caseworker, public defender, prosecutor, GAL/CASA volunteer, etc.) over specific period (e.g., a week)		all	
5.10 create summary of upcoming hearings for given judge or other judicial officer or in given courtroom over specific period (e.g., a week)		all	
5.11 create and track calendar modifications (e.g., judge or courtroom reassignments, cases added to or taken off calendar) over specific period		all	
5.12 distribute calendars electronically (e.g., to court reporters, probation, law enforcement, attorneys) (see Multi-Function Capabilities and Integration and Criminal Support Functions)	yes	all	
5.13 create and maintain user notes (i.e., user notes and comments for use with calendar) for user's viewing only in accordance with local rules and statutes (see Security and Data Integrity Function)		all	
5.14 provide ability to move blocks of cases or user-selected cases between calendars		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
5.15 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile name in adoption proceedings) (see Security and Data Integrity Function)		all	
5.16 transfer easily and quickly between scheduling, calendaring, and other parts of system when creating calendars (e.g., to view information on related cases, parties, participants)		all	

**Table 6 Hearings, Adjudication, and Disposition Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
6.1 provide for minute entry for each type of hearing using one of methods noted below		all	
6.2 create document suitable for real-time, rapid, in-court minute entry (e.g., worksheet with codes representing likely actions or check-off listing of likely actions with space for notes on either worksheet or check-off list; space for annotations, entry of codes, or check-offs on calendar) (see Calendaring Function)	yes	all	
6.3 create document suitable for manually recording minutes (e.g., worksheet, check-off list, calendar as noted above) (see Document Generation and Processing and Calendaring functions)	yes	all	
6.4 enter, store, and output minutes recorded on calendar or worksheet		all	
6.5 provide edits and prompts with real-time minute entry capability (see Scheduling and Security and Data Integrity functions)	yes	large	small
6.6 give judge and clerk real-time access to system (e.g., for judge to examine legal issues)	yes		all
6.7 enter, store, edit, record, and display or print (in groups or individually) preliminary and final minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules (see List of Code Translation Tables)		all	
6.8 create one or multiple minute orders for multiple persons and hearings on a given day		all	
6.9 schedule subsequent events (e.g., future hearings including hearings on continued matters) in real time in courtroom		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
6.10 create and print court orders and supporting documents (e.g., notices of court orders issued in child abuse cases relating to law enforcement registries, victim impact statements) resulting from hearings and other judicial and ADR events individually or in a group, immediately or at a scheduled time		all	
6.11 distribute court orders resulting from hearings and other judicial and ADR events electronically internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)	yes	all	
6.12 distribute court orders resulting from hearings and other judicial and ADR events externally either electronically (e.g., fax, electronic mail) or by regular mail		all	
6.13 compute and enter fine or monetary restitution based on sanctions imposed on each person	yes	all	
6.14 enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person		all	
6.15 associate monetary and non-monetary restitution with specific victim(s)		all	
6.16 process information (e.g., update docket and other records, if not updated automatically as noted above) and create judgment and post-judgment documents		all	
6.17 create multiple judgments (i.e., both multiple judgments for given person and multiple recipients for given judgment) in cases involving multiple juveniles and allegations		all	
6.18 distribute judgment and post-judgment documents electronically external to court and internally with associated information to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)	yes	all	
6.19 create, display, and maintain separate judgment screens that show original and subsequent judgments and cross-references to related documents for each allegation, case, and party (see Case Initiation and Indexing and Compliance functions)	yes	all	
6.20 update each case in group of cases with judgments as if group were single case (see Docketing and Related Record keeping Function)	yes	all	
6.21 permit electronic referral of case information to public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies, and other organizations	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
6.22 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function to create documents noted above (e.g., standard information in minute orders such as judge, court staff, attorneys, parties, and witnesses present; evidence; motions)		all	
6.23 exclude user-designated confidential information from documents created during hearing (e.g., record in minutes that ADR event occurred on a given date, but mask out confidential statements by parties) (see Security and Data Integrity Function)		all	
6.24 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)		all	
6.25 record hearing outcomes for each allegation pertaining to each juvenile or family including information on parties, cases, allegations, related cases, and cross petitions		all	
6.26 track hearing results, hearing duration and participants, and scheduled and actual occurrence of hearing in conjunction with Management and Statistical Reports Function		all	
6.27 use information captured in court proceedings to update records on cases, juveniles and other persons, allegations, and pleadings throughout system (e.g., information on judgments, attorney withdrawals, adjournments, continuances, and cancellations working with Docketing and Related Record keeping (for docket updates), Scheduling (for rescheduling of hearing), Document Generation and Processing (for notice creation), Calendaring (to place on future calendar when scheduled), accounting (for monetary judgment data), and other functions; bifurcations (i.e., severed cases) working with Case Initiation and Indexing (to initiate new case) and Docketing and Related Record keeping (for docket updates) functions; and rulings taken under advisement on submitted matters) (see Integration Between Functions in Multi-Function Capabilities and Integration)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

**Table 7 Compliance Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
7.1 obtain information from other system functions (e.g., Hearings, Adjudication, and Disposition, accounting, Juvenile Court Support functions) to permit court to track and assess compliance	yes	all	
7.2 track program compliance and status for cases with post-judgment activities and for related cases and persons (see Management and Statistical Reports Function)		all	
7.3 track follow-up activities when compliance problems arise		all	
7.4 process information and create documents (e.g., writ of execution and abstract of judgment for unpaid assessments) on post- judgment 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); enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Compliance and Accounting -- Bookkeeping functions)		all	
7.5 distribute documents noted above electronically external to court and internally with associated information to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)			

**Table 8 Case Close Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
8.1 record ultimate resolution for each closed case including allegations; information on juveniles, families, and related cases and petitions; and cross-reference to judge's order for closure		all	
8.2 use information from Hearings, Adjudication, and Disposition Function to obtain reason for closure (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) (see Multi-Function Capabilities and Integration)		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
8.3 establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice creation, and other functions (including situation in which two parties file as separate cases that court consolidates into single case)	yes	all	
8.4 process information and close case (e.g., close related events; update docket and other records; create required forms, notices, reports for that case) (see Docketing and Related Record keeping, Document Generation and Processing, Management and Statistical Reports functions)	yes	all	
8.5 create overall case closure reports (e.g., cases closed over specific period with reason closed and other information, such as community work service hours completed; see Management and Statistical Reports Function)		all	
8.6 distribute case closure documents noted above electronically external to court and internally with associated information to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)	yes	all	
8.7 update each case in group of cases with ultimate resolutions as if group were single case (see Docketing and Related Record keeping Function)	yes	all	

**Table 8 General Accounting Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Either financial, case processing, or both</b>			
9.1 comply with generally accepted accounting principles (GAAP) for governmental entities (e.g., GASB, FASB, GAAS, AICPA, GAGAS)		all	
9.2 provide appropriate security, data integrity, and authorization for all accounting functions (see Security and Data Integrity Function)		all	
9.3 allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., default entries, funds distribution according to pre-determined formula) and provide audit trail of these transactions		all	
9.4 support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered including general, guardian ad litem, attorney fees, and safekeeping trusts) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see Accounting -- Receipting and -- Bookkeeping functions)		all	



Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
9.5 prevent financial transactions to be dated and posted to closed accounting period	yes	all	

**Table 10.1 Funds Collection Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
10.1.1 associate payment with proper case and party when monies received (see Accounting -- Bookkeeping Function)	yes	all	
10.1.2 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 party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
10.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
10.1.4 accept payments by electronic funds transfer (see Multi-Function Capabilities and Integration)	yes	all	
10.1.5 apply payments by electronic funds transfer from draw-down 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)	yes	all	
10.1.6 associate fees with non-parties (e.g., from general draw-down accounts, couriers, media) 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)		all	
10.1.7 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)	yes	all	
10.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	
10.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
10.1.10 accept single payment for multiple cases with		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
capability to process separately for each case			
10.1.11 permit cashier, with proper authority, to override pre-established funds distribution priorities		all	
10.1.12 transfer funds from one case to another case or between accounts in a given case (see Accounting -- Bookkeeping Function)		all	

**Table 10.2 Receipt Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All case processing</u></b>			
10.2.1 create receipts with proper identifiers (e.g., fee code, court location and address) based on collections with user option to receive single or multiple copies		all	
10.2.2 create and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration)	yes	all	
10.2.3 create receipts with unique, locally-defined, sequential receipt numbers	yes	all	
10.2.4 create multiple receipts from one financial transaction covering payment for multiple cases or purposes (e.g., attorney files and pays fees for several cases in one trip to courthouse)		all	
10.2.5 create 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)		all	
10.2.6 permit receipts to be re-printed (e.g., if printer malfunctions during printout) with same receipt numbers		all	

**Table 10.3 Cashier Close Out Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All case processing</u></b>			
10.3.1 maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement)		all	
10.3.2 compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type		all	
10.3.3 list contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
10.3.4 output summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see Accounting -- Bookkeeping Function)		all	
10.3.5 list any discrepancies between payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see Accounting -- Bookkeeping Function)		all	
10.3.6 permit individual cashiers to open and close as needed (e.g., when several cashiers work different shifts at same register during same day)		all	
10.3.7 suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
10.3.8 permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		all	

**Table 10.4 Cashier Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
10.4.1 permit payments to be voided and corresponding adjusting entries to be made before daily balancing with proper security and data integrity provisions (see Security and Data Integrity Function)		all	
10.4.2 allow supervisor to make adjusting entry to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security and data integrity provisions (see Security and Data Integrity Function)		all	
10.4.3 provide secure passwords for each cashier (see Security and Data Integrity Function)		all	
10.4.4 prohibit modification of receipt number sequence and provide audit trail of receipt number usage (see Security and Data Integrity Function)	yes	all	
10.4.5 create summary reports for each cash drawer, cash register, and cashier (see Accounting -- Receipting Function)		all	

**Table 11.1 Bank Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing or financial</b>			
11.1.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing,		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
installment, pay-through, funds held short-term by clerk)			
11.1.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		all	
11.1.3 print system-wide daily cash receipts journal		all	
11.1.4 output 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 General Accounting Function and Management and Statistical Reports Function		all	
<b>Financial</b>			
11.1.5 calculate and record bank deposits		all	
11.1.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
11.1.7 print bank deposit slips for specific banks and periods		all	
11.1.8 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		all	
11.1.9 create list of items that remain open for accounts that carry balance forward from one period to next period		all	
11.1.10 create trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
11.1.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Accounting -- Receipting Function)		all	
11.1.12 receive bank statements and reconcile bank accounts electronically (see Multi-Function Capabilities and Integration)	yes	all	

**Table 11.2 Draw-Down Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
11.2.1 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 real-time check writing (see Multi-Function Capabilities and Integration)	yes	large	small

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
11.2.2 identify instances when balances in draw-down accounts are low and accounts require additional funds	yes	all	
11.2.3 provide reports showing transactions on draw-down accounts over user-specified period		all	
11.2.4 allow users to specify that refunds will be credited to draw-down accounts		all	

**Table 11.3 Case Account Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Case processing</u></b>			
11.3.1 maintain financial parts of case files and docket (e.g., payments received, liabilities with linkage to accounts receivable in finance) (see Docketing and Related Record keeping Function)	yes	all	
11.3.2 compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
11.3.3 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)	yes	all	
11.3.4 record funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g., for service by law officer for another jurisdiction)		all	
11.3.5 record changes to accounting records that result from court orders (e.g., change in monthly support payment amount) and modify appropriate records		all	
11.3.6 maintain standard tables for court costs and fees (see List of Code Translation Tables)		all	
<b><u>Case processing or financial</u></b>			
11.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single party in case, multiple parties in case) case and party accounts when initial fees received for new case (see Accounting -- Receipting Function)		all	
11.3.8 allow user to specify multiple party accounts for each case account		all	
11.3.9 allow payment of costs, fees, and other charges assessed to specific party in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay through)		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
11.3.10 post case-related receipts to accounting records and docket or register of actions (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 and Related Record keeping Function)	yes	all	
11.3.11 post case-related disbursements to accounting records and docket or register of actions (support payment disbursements usually would not be entered in docket); associate disbursements with proper case, party, account, or case activity (see Docketing and Related Record keeping Function)	yes	all	
11.3.12 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		all	
11.3.13 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 support payment; most other accounts, such as trusts and most escrow accounts, are financial)	yes	all	
11.3.14 output detailed and summary lists of financial transactions (e.g., 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) (see Management and Statistical Reports Function)		all	
<b>Financial</b>			
11.3.15 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements	yes		all
11.3.16 create invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
11.3.17 create correspondence, such as payment notices and dunning letters (see Scheduling Function and Document Generation and Processing Function)		all	
11.3.18 mark case or party account closed or some other designator		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
11.3.19 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
11.3.20 create periodic (e.g., daily, monthly) report or display showing financial status, Title IV-D status, and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or party account (see Management and Statistical Reports Function)		all	
11.3.21 create other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see General Accounting Function and Management and Statistical Reports Function)		all	
<b>Financial (primarily support payments)</b>			
11.3.22 create payment schedule, collect payments, apply payments received to scheduled amount due (e.g., amount in judgment), and create reports on overdue amounts (e.g., for previously-waived fees)		all	
11.3.23 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 Scheduling and Compliance functions)	yes	all	
11.3.24 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 juveniles subsequent to judgments (see General Accounting, Hearings, Adjudication, and Disposition, and Compliance functions)		all	
11.3.25 create accounting notices (e.g., for payment, overdue payment) receipting or bookkeeping (see Document Generation and Processing Function)	yes	all	
11.3.26 share information with state agencies to coordinate collection of court ordered payments (e.g., to recover previously-waived fees)		large	small

**Table 11.4 Distribution Account Management and Funds Disbursement Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing or financial</b>			
11.4.1 allow flexible, user-defined and -maintained account		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
structure that permits funds to be allocated to appropriate case cost types and other accounts (e.g., for city, county, state, court)			
11.4.2 place hold on disbursements of funds deposited for a case		all	
<b>Financial</b>			
11.4.3 disburse funds electronically to recipient bank accounts	yes	all	
11.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and create reports (e.g., for each check not cleared over specific period)		all	
11.4.5 electronically authorize and disburse collected fees to other units (e.g., appellate court for appealed cases) (see Multi-Function Capabilities and Integration)	yes	all	
11.4.6 post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account	yes	all	
11.4.7 compute parts of fees to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula	yes	all	
11.4.8 disburse collected fees electronically according to predefined formula either periodically (e.g., monthly) or when fees received in conjunction with Receipting Function (see Multi-Function Capabilities and Integration, Accounting -- Receipting Function)	yes	all	
11.4.9 create 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 (see Management and Statistical Reports Function)		all	
11.4.10 initiate, print, and disburse sequentially-numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
11.4.11 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	
11.4.12 create pre-check register (e.g., to view checks prior to printing register) and check register over specific period		all	
<b>Financial (primarily support payments)</b>			
11.4.13 allow multiple pay through cost assessments to be specified for each case		all	



Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
11.4.14 provide capability to issue checks for pay through activities individually or periodically (e.g., monthly) based on accumulated payments		all	
11.4.15 apply installment payments to proper account or activity (e.g., to fees, support owed, or alimony owed)		all	

**Table 11.5 Administrative Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Case processing or financial</u></b>			
11.5.1 for specific periods: create separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case		all	
11.5.2 create report containing information on fees waived and associated payments		all	
11.5.3 provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see Security and Data Integrity Function)		all	
11.5.4 create lists arranged according to user-selected criteria for financial transactions (e.g., fees and other receipts by date, type, party)		all	
12.5.5 create positive pay file of check numbers and amounts and send to bank	yes		all

**Table 12 General Ledger Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All financial</u></b>			
12.1 create and maintain system-defined and user-customized chart of accounts		all	
12.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
12.3 reconcile and balance all accounts		all	
12.4 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	

**Table 14.1 File Tracking Subfunctions**

Subfunction	Auto	Mand.	Opt.
-------------	------	-------	------

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.1.1 create labels for manual case files (see Case Initiation and Indexing Function)	yes	all	
14.1.2 create indicators (e.g., color coded labels) to indicate restricted-access manual files (e.g., juvenile interview notes, psychological profiles)			all
14.1.3 track manual case files from time checked out of clerk's office through each borrower (i.e., any person, internal or external to courts who looks at or checks out file ) until returned to 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		all	
14.1.4 maintain location (e.g., storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files		all	
14.1.5 maintain last location of manual and electronic destroyed files		all	
14.1.6 maintain and output 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 Docketing and Related Record keeping and Management and Statistical Reports functions)	yes	all	
14.1.7 output list of filings while manual file checked out so that documents can be added to file when it is returned		all	

**Table 14.2 File Archival and Destruction Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.2.3 identify and process files and documents according to local and state rules for retention, archival, destruction, or transfer to storage facility for specific types of files and documents (see List of Code Translation Tables)	yes	all	
14.2.4 create reports showing information on files and documents ready to be archived or destroyed, already archived or destroyed, or transferred		all	
14.2.5 expunge files and documents when ordered by court		all	
14.2.6 permit override of system-supplied data (e.g., archival, destruction, and transfer dates) with supervisor approval		all	
14.2.7 identify summary information (e.g., indexes, key elements of case history) to be retained in active or semi-active files and documents		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
14.2.8 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)		all	

**Table 14.3 Reporting and Utility Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.3.1 create reports on file management activities (e.g., file transfer, inactive, and purge reports)		all	
14.3.2 perform utility functions (e.g., copy information, such as docket entries and parties) from one case to another		all	
14.3.3 display any printed output, print any screen display, and print any document individually or in a group, immediately or at a scheduled time		all	
14.3.4 display information on system and equipment (e.g., printer) malfunctions if information in case processing system	yes	all	
14.3.5 maintain and output list of active, inactive, archived, and purged files (e.g., to assist in annual file inventory)		all	
14.3.6 maintain and output index of manual paper documents		all	
14.3.6 output contents of code translation tables (see List of Code Translation Tables)		all	
14.3.7 create any output periodically when scheduled or on request		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

**Table 14.4 Document Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.4.1 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)		all	
14.4.2 support 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 document)		all	
14.4.3 provide capability to toggle between views of several different documents		all	
14.4.4 provide capability to interface in user-transparent manner with document management system that is separate from case processing if case processing system excludes document management capabilities		all	
14.4.5 provide capability to use either same document management system for imaging or user-transparent interface between separate document management and imaging systems (and between these system(s) and case processing system) if imaging included in overall case processing		all	
14.4.6 support manipulation and maintenance of electronic or imaged documents (e.g., to create documents that include parts of several electronic or imaged documents such as document that combines standard text, variable data, imaged photograph on pick-up order (or warrant); see Document Generation and Processing Function)			all

**Table 14.5 Exhibit Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description,);; create receipt for submitting party		all	
14.5.2 create exhibit and property numbers or other locally-defined identifiers	yes	all	
14.5.3 tag exhibits and other property (i.e., relate to specific case or person or record as general-purpose exhibit; mark for evidence)		all	
14.5.4 record if and when exhibit or property admitted into evidence		all	
14.5.5 track exhibit or property status		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
14.5.3 track location and status of exhibits and other property through each borrower (including those external to courts) until returned to custodian relative to location, borrower identifier and other information, identifier and total number of similar exhibits or property, date removed, reason needed, date returned or transferred, and other data		all	
14.5.4 record return, release, or destruction of exhibits and other property		all	
14.5.5 create notices (1)to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see Document Generation and Processing Function)		all	
14.5.6 output lists of exhibits and other property according to exhibit type, case, party, and other parameters		all	
14.5.8 track and output court orders pertaining to each exhibit or property		all	

**Table 15 Security and Data Integrity Subfunctions**

Subfunction	Auto	Mand.	Opt.
15.1 perform locally-defined edit and data validation checks, such as content of individual data field (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)	yes	all	
15.2 identify mandatory entries and invalid entries	yes	all	
15.3 ensure electronic pleadings and orders cannot be modified	yes	all	
15.4 ensure modification of other electronic records restricted to administrative information with proper authorization except as described below	yes	all	
15.5 base access and similar privileges on authorizations defined, maintained, and controlled by specific users (e.g., access authorization tables; see List of Code Translation Tables)		all	
15.6 provide secure passwords for user with authorized periodic password changes		all	
15.7 provide list of user identifiers and audit trail of user identifier changes and deletions		all	

Appendix B: Case Management Functional Requirements  
JUVENILE

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.8 restrict access to specific case types, case categories, cases, persons, files, documents and other parts of files, related cases and persons, and system functions (e.g., scheduling) from other system functions, device (e.g., terminals, PC's, printers) locations, users, and groups of users	yes	all	
15.9 restrict permissible operations (i.e., view; print; add; change; delete; combinations of view, print, add, change, delete; seal, expunge; and output) on case types, case categories, persons, files, documents and other parts of files, related cases and persons, and system functions (e.g., scheduling) from other system functions, device (e.g., terminals, PC's, printers) locations, users, and groups of users	yes	all	
15.10 restrict access to certain classifications of cases (e.g., sealed cases) and parts of cases (e.g., social information such as medical data, family relationships, juvenile addresses) from specific system functions, device (e.g., terminals, PC's) locations, users, and groups of users in accordance with rules, statutes, or court orders		all	
15.11 allow limited access to certain types of confidential files and documents (e.g., sealed cases with identifiers removed)		all	
15.12 ensure each document and its contents sent or received by user (e.g., attorney, administrative office) match that same document and its contents received or sent by court for electronically-transmitted cases, statistics, and other information	yes	all	
15.13 prevent deletion of member of group with special status as defined by local rules and statutes (e.g., victim) after person has been ordered to receive monetary or non-monetary restitution	yes	all	
15.14 provide user-defined security for all networks with which case processing system interfaces		all	
15.15 provide adequate security and data integrity for all electronic information exchange	yes	all	
15.16 provide adequate security and data integrity for user notes (see Calendaring Function)			all
15.17 provide additional security and data integrity capabilities as appropriate (e.g., protection at lower levels than file or record level, such as at field level; "firewalls" that restrict access to only some of system and database and secure other parts)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
15.18 suppress inclusion of user-designated confidential information in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see Document Generation and Processing, Calendaring, and Hearings, Adjudication, and Disposition functions)		all	
15.19 provide adequate security and data integrity if public access allowed (e.g., exclude juvenile names from public index, view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access)		all	
15.20 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)		all	
15.21 provide audit trails that show which users and workstation locations logged on to system, when they logged on, what parts of system and database they accessed (e.g., to prevent browsing), and who was denied access during specified period; permit audit trails to be stored, archived, and purged		all	
15.22 maintain and output audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see Docketing and Related Record keeping Function)	yes	all	
15.23 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data, such as permitting access authorization tables and cash register totals to be reconstructed)		all	
15.24 provide for file backups without interrupting normal operations	yes	all	
15.25 restore programs, data, and data relationships erroneously modified or deleted (see Docketing and Related Record keeping Function)		all	
15.26 provide capability to merge person information when duplicate data exists for given person (i.e., various identifiers for given person must be correlated)		all	
15.27 provide ability for user to define automatic log off after prescribed period of inactivity	yes	all	
15.28 ensure clarity of all system-created messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight invalid entry, display most probable valid entries)	yes	all	

Appendix B: Case Management Functional Requirements  
JUVENILE

Subfunction	Auto	Mand.	Opt.
15.29 output information on transactions received, transactions accepted, transactions rejected over specific time period (see Management and Statistical Reports Function)		all	
15.30 output information on data entry errors including description of error and identification of data entry operator (see Management and Statistical Reports Function)		all	

**Table 16.1 Statistics**

Caseload, caseflow, and workload reports may present information for single or multiple time periods by overall count or by lists of cases. Examples of such lists are:

- Pending cases may be arranged according to various criteria, such as case type, case category, nature of action, event status, length of time pending, or judge or other judicial officer;
- Active cases not scheduled for hearing arranged according to various criteria, such as case type, case category, or reason not scheduled;
- Cases with ultimate resolutions arranged according to various criteria, such as by case type, case category, ultimate resolution type, proceeding stage when disposed, nature of action, or judge or other judicial officer;
- Reopened cases arranged according to various criteria, such as by case type, case category, reason reopened, or judge or other judicial officer;
- Cases pending specific action, such as pending annual review, pending post judgment activity, or with recommendation for transfer outstanding;
- Cases with specific status, such as adjourned by reason adjourned;
- Referrals with information such as referral type, referral resolution, and change in volume by specific time periods and characteristics of juvenile referred;
- Justice and social services programs with information such as number of juvenile participants, number of specific activities (e.g., counseling sessions), duration, and costs;
- Judicial workloads;
- Weighted caseload summaries.

**Table 16.2 Management Information**

***Case Information***

- docket contents (cases) -- gives docket contents for specific cases, groups of cases, and related cases;
- docket transactions -- lists docket or register of actions transactions by case and time period;
- events -- provides information on specific types of events including all or major events in upcoming period by case;



## Appendix B: Case Management Functional Requirements

### JUVENILE

- allegations -- tracks allegations and their adjudications and dispositions within specific cases;
- open judgments -- provides information on cases with open judgments;
- pick up orders -- provides information on cases with open, served, and recalled pick up orders;
- motions -- gives status of motions and related requests;
- executions -- provides index of outstanding and prior executions;
- court orders -- reports on court orders issued by type of order and case;
- child abuse or neglect cases -- reports child abuse or neglect cases with related information including demographics;
- parental rights -- provides information on cases involving termination of parental rights;
- source of filing -- reports on referrals and petitions submitted by specific agencies for specific cases;
- declined cases -- provides information on cases and juveniles over which court declined to accept jurisdiction with reason declined;
- related cases -- provides information on cases and persons related to case specified;
- demographics -- provides demographic information by case category.

#### ***Financial Information***

- arrearages -- gives information on arrearages by case or party;
- account status and history -- gives information about each account;
- account activity -- gives aging, audit trail, journal, and similar information about each account;
- receivables -- gives amounts owed and waived for each person or organization;
- payables -- gives information on disbursements from accounts.

#### ***Person Information***

- docket contents (persons) -- gives docket contents for specific persons (i.e., juvenile, party, attorney), groups of persons, or all persons in single or multiple cases;
- upcoming events (person) -- reports all or most significant events in upcoming period by person;
- past events (person) -- reports hearing attendance and participation in other significant past events by person;
- judge assignment -- tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;
- judicial officer performance -- tracks judicial officer (e.g., ADR provider such as mediator) assignments, decisions, and performance criteria;
- attorney case list -- gives cases (all, active, inactive) and related information for specific attorney;
- attorney appointments -- provides information on court-appointed attorneys;
- person schedules -- reports number of cases or events scheduled for specific people (e.g., judges, other judicial officers, attorneys) and resources (e.g., court or meeting rooms) by time periods;

## Appendix B: Case Management Functional Requirements

### JUVENILE

- person assignments -- reports current and past cases or events assigned to non-judicial people (e.g., parties, public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies) and resources (e.g., court or meeting rooms) by time periods;
- personal -- gives current and prior information on juveniles and their families (e.g., delinquency and dependency petitions, hearing outcomes, marriages and divorces, domestic problems, child abuse, restraining orders, economic status, schools and academic performance, medical history, demographics);
- juvenile providers -- gives current and historical information by organization or case on juvenile providers such as public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies;
- problem persons -- gives information on persons who pose problems (e.g., due to contempt of court, multiple restraining orders, repeat offenders, high recidivism rates) by criteria, such as case category, court-ordered service or intervention, and program provider;
- victims -- gives information on victims including restitution ordered and payment history;
- detention -- provides information on juveniles in detention;
- diversion -- provides information on juveniles in diversion programs;
- probation -- provides information on juveniles on probation;
- other justice and social services programs -- provides information on juveniles assigned to other justice and social services programs (e.g., foster care, detention);
- placement changes -- provides information on juvenile placement changes;
- closed cases -- provides information on juveniles who are no longer wards of court.

#### ***Calendar Monitoring Information***

- calendar summary -- summarizes calendar information by case type; case category; judge, magistrate, referee, commissioner, or other judicial officer; attorney; respondent; date or date range;
- event schedule overload -- compares number of events scheduled to maximum number allowable and indicate when limits exceeded;
- judge and judicial officer availability -- reports time available within specific period (e.g., week, month) for each judge and other judicial officer;
- calendar modifications -- tracks and reports calendar modifications (e.g., judge or courtroom reassignments) over specific period.

#### ***Performance Monitoring Information***

- case processing performance -- monitors conformance to federal, state, and local time and other performance standards (e.g., ABA Time to Disposition Standards) for individual and groups of cases;
- cases and allegations disposed (i.e., with ultimate resolutions) -- reports whether specific cases and allegations have been disposed with cross references to calendars in which they were disposed;

## Appendix B: Case Management Functional Requirements

### JUVENILE

- continuances -- lists and gives supporting information on cases that have been continued over specific period by judge, other judicial officer, reason continued, and other criteria;
- referrals -- tracks referrals and reasons including referral description, dates submitted and resolved, type of resolution, and related petitions;
- petitions -- tracks petitions and allegations including description, dates submitted, hearing outcomes, and related referrals;
- trial duration -- tracks duration of trials, ADR events, and conferences and compares estimated and actual duration by courtroom; judge, magistrate, referee, or commissioner; other judicial officer; whether jury or non-jury trial; and other criteria;
- program costs -- provides fees and other court costs of each court-ordered program (e.g., mediation);
- milestone events -- tracks milestone events for specific cases or groups of cases giving more flexible caseload information than is available in standard statistical reports described in previous section;
- timeliness of hearings -- reports timeliness of hearings after prerequisite events completed;
- hearing results -- tracks hearing outcome, hearing duration, hearing participants, and scheduled and actual occurrence of hearing;
- timeliness of orders -- provides timeliness of entry of court orders in time-sensitive situations, such as child abuse;
- order type and compliance ratios -- gives percentages of court orders with specific characteristics, such as to informal supervision, shelter care, temporary protective custody;
- status of court-ordered services and intervention -- gives status of court-ordered services and intervention by type of service or intervention;
- results of court-ordered services and intervention -- gives results of court-ordered services and intervention by type of service or intervention;
- service or intervention evaluation -- gives information on court-ordered services and intervention to permit evaluation of program providers and compliance by juveniles and parents;
- service or intervention ratios -- gives percentages of respondents entering and completing court-ordered services and intervention (e.g., child abuse programs) by type of service or intervention;
- ultimate resolution and disposition ratios -- gives percentages of allegations or cases with ultimate resolutions or dispositions by ultimate resolution or disposition type;

#### ***System Usage and Quality Assurance Information***

- system usage audit trail -- provides audit trail reports that show (1) which users and workstation locations logged on to system during specified period; (2) file additions, modifications, and deletions including who made entry, when entry made, whether dates entered and filed differ; and (3) transaction and data entry errors including error description and operator;
- system users -- provides information on active and inactive users;
- case inventory -- provides periodic inventory of cases in system;

## Appendix B: Case Management Functional Requirements JUVENILE

- duplicate information -- provides periodic inventory of duplicates (e.g., cases, persons) in system;
- case file location -- reports, by file or person who checked out file, physical location of each manual case file and how long file has been checked out;
- case property location -- reports, by exhibit or property or person who checked out exhibit or property, physical location of each exhibit or property, how long exhibit or property has been checked out, and whether exhibit or property has been disposed or destroyed.

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

## Domestic Relations Case Management Requirements

**Table 1.1 – Case Initiation Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.1.1 generate and assign case number using locally defined format	yes	all	
1.1.2 generate locally defined case title or style (i.e., short phrase that identifies case and includes petitioner and respondent names) from party names and other information	yes	all	
1.1.3 generate and assign separate party identifier (e.g., party number) for each petitioner and respondent	yes	all	
1.1.4 conduct locally used review processes to ensure case accepted by court and display results	yes	all	
1.1.5 enter 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)		all	
1.1.6 enter locally used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.1.7 assign or allow entry of other identifiers (e.g., of other courts such as juvenile and of corrections, law enforcement, and domestic relations service providers)		all	
1.1.8 establish relationships of courts and agencies noted above (e.g., other courts, corrections, law enforcement, domestic relations service providers) with parties		all	
1.1.9 enter in docket or register of actions case initiation information including date and time of initial filing, information on initial filing noted above, and basic case information (e.g., case number and other identifiers, case type, case category, court type and location, case status, case title or style, whether case is Title IV-D with IV-D identifier, parties, attorneys, date filed, judge or other judicial officer, last and next events, and other docket-related events) (see also Docketing and Related Recordkeeping Function)		all	
1.1.10 supplement docket or register of actions entries with additional information on children and parents (e.g., identifier, date of birth, social security number (in accordance with Section 466(a)(13)(B) of the Social Security Act)		all	
1.1.11 assign appropriate security to records, particularly those with data on children and other minors (e.g., for each party with increased security for child and family records) (see also Security Function)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
1.1.12 enter information in docket or register of actions for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see also Docketing and Related Recordkeeping Function)		all	
1.1.13 support electronic filing and move designated data (e.g., tagged basic case information) from electronic document to case processing system (see also Multifunction Capabilities and Integration and Security Function regarding verification of electronically entered data)	yes	all	
1.1.14 generate receipt for or notify appropriate parties 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) (see also Document Generation and Processing Function)	yes	all	
1.1.15 record if time-sensitive filing that requires rapid action (e.g., schedule emergency domestic violence hearing even though only minimal data available, issue restraining order, process stay request or ex-parte filing) (see also Scheduling Function)		all	
1.1.16 support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables). PLEASE NOTE: differential case management may entail highly complex computer programming 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)		all	
1.1.17 create groups of related cases and parties (e.g., several paternity cases filed against same respondent by different petitioners) from single or multiple filings such that initial and subsequent entries can be applied to each case in group (see also Docketing and Related Recordkeeping Function)		all	
1.1.18 establish relationships between cases and case categories and court types (e.g., matrimonial), locations, and departments (e.g., for large courts with multiple locations) (see also List of Code Translation Tables)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.19 prompt user when cases or parties already exist that relate to new case (e.g. parties filed other cases), followed by user-initiated search for duplicate parties and attorneys (including instances in which parties or attorneys have different roles in different cases such as party who is petitioner in one case and respondent in another case, or attorney who is counsel in one case or guardian ad litem in another case) that user can transfer into current case if appropriate to avoid redundant data entry (e.g., using party names, addresses, and other identifiers noted above)	yes	all	
1.1.20 capture demographic information		all	

**Table 1.2 – Indexing Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.1 create and maintain locally defined index that (1) contains basic index information (e.g., each party name, date of birth, role in case, and whether party has an attorney; case type; court type and location; case number and other identifiers; date filed; and cross reference to other parties in case [e.g., other party named in case title or style]); (2) permits database look-up by a choice of key fields (e.g., party name, party role, case filed date range) and, if record found; (3) permits retrieval and display of index information; and (4) permits easy interfaces with other parts of case processing system as noted below	yes	all	
1.2.2 handle look-up and retrieval subfunctions by identifying a specific party name, date of birth, party role, court type or location, case or party identifier, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up—and then obtaining index information by selecting from list of matching cases or parties or by using key fields noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.3 allow users easy interface with other parts of the system such as docketing, scheduling, calendaring, and accounting for potentially all related case and financial information (i.e., on specific case, its parties, its participants, its attorneys and on cases related to specific case and to its parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see also Inquiry and Report Generation sections [Appendix A])		all	
1.2.4 permit name search on various combinations of a specific person's or party's name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry section [Appendix A])		all	
1.2.5 if attorneys included in index, allow multiple names and bar identifiers		all	
1.2.6 permit updating of index based on occurrence of specific case events (e.g., motions filed, resolutions or dispositions decided)	yes	all	
1.2.7 extract, display or print, or otherwise produce index information arranged according to various components of index (e.g., party, case number, case status) with appropriate security restrictions (see also Security Function)		all	
1.2.8 retrieve basic index information on all cases associated with specific participant		all	
1.2.9 accommodate aliases in conjunction with indexing and processing of party names as appropriate	yes	all	

**Table 2.1 – Case Header Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.1.1 maintain case information originally entered during case initiation in docket or register of actions including information on initial filing, basic case information, and party date of birth and social security number (with proper security) when appropriate (see also Case Initiation and Indexing Function and Security Function)		all	
2.1.2 maintain information originally entered during case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see also Case Initiation and Indexing Function)		all	



Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

**Table 2.2 – Event Information Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.2.1 enter and maintain information (e.g., document title and identifier, filing party, fees received), party to whom filing applies, and dates on filings and other completed events not previously in system (e.g., party added or deleted, motion filed, program referred, or hearing date set)		all	
2.2.2 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 (e.g., motion granted or denied; see also Calendaring Function), hearing results (e.g., judgment of divorce; see also Hearings Function), resolution or dispositions (e.g., disposition date, issue[s] involved, type of disposition, information on judgment; see also Disposition Function and Accounting - Bookkeeping Function), requests for enforcement of judgment (see also Execution Function)	yes	all	
2.2.3 create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see also Document Generation and Processing Function, Hearings Function, and Disposition Function)	yes	all	
2.2.4 permit user to identify and retrieve electronic documents 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)	yes	all	
2.2.5 allow single event to create multiple docket entries in one or more cases (e.g., event is hearing, docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.6 allow easy entry of multiple filings that apply to single case or related cases (e.g., consecutive entry of multiple pleadings for single case)		all	
2.2.7 enter, maintain, and display or print information on special case processing requirements or orders (e.g., sealed case or document, domestic violence cases that could affect law enforcement registries of persons who cannot purchase weapons or have active protective orders) (see also Case Initiation and Indexing Function, Hearings Function, and Security Function)		all	
2.2.8 maintain case information as official court record in accordance with state and local statutes or rules	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

**Table 2.3 – Information Relationships Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.3.1 maintain information on multiple parties, participants, and attorneys in a case such as personal information, status including dismissals, current addresses, address histories, address sources, voice and facsimile telephone numbers, e-mail addresses (see also List of Code Translation Tables)		all	
2.3.2 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		all	
2.3.3 enter information once and apply to multiple cases or persons (e.g., single entry for several parties with same attorney or address; copy docket entry to related cases; single entry when parties or attorneys have different roles in different cases such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case)		all	
2.3.4 enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.5 maintain information on law firms 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)		all	
2.3.6 maintain (or be able to construct in a manner that requires minimal user action) and print or display information and relationships on multiple cases, judges, other judicial officers, attorneys, and parties (e.g., to designate lead attorney, to transfer group of cases or parties from one judge or hearing date to another in single transaction, to view related cases when preparing to hear case) (see also Case Initiation and Indexing Function)	yes	all	
2.3.7 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	
2.3.8 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 allocation amounts to be modified, change of Judge Smith's courtroom causes all records that contain room number of old courtroom to be changed to room number of new courtroom, transfer	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)			
2.3.9 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)			all
2.3.10 track and display or produce reports on relationship of specific cases and parties to one or more domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies (including referral information such as requester, type of referral [e.g., court ordered or petition], reason for referral, date of referral and subsequent report, noncompliance information, funds involved) and other participants		all	

**Table 2.4 – Input/Output Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.4.1 maintain and properly use code translation tables defined by user (see also List of Code Translation Tables)		all	
2.4.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	
2.4.3 create, maintain, and produce (according to user specified criteria such as selected workstation[s] or selected case[s]) audit trail identifying persons who requested or made docket and other entries and when they requested or made entries (highlighting when filing occurred if filing and entry dates different) (see also Security Function and Accounting - Bookkeeping Function)		all	
2.4.4 print or display all, part, or summaries of docket(s) for specific case (e.g., basic case information, events in register of actions, all parties, summaries of judgment information, results and status of court-monitored remedies ordered in judgments) or group of cases (e.g., all cases with given person in given role) and for life of case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reporting Function)		all	
2.4.5 support electronic filing (e.g., directly from attorneys'	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
offices) of pleadings and other documents (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)			
2.4.6 maintain file of input templates available to users to create input documents (e.g., divorce and other questionnaires, pleadings, other input forms filed manually or electronically) and, as necessary, associated cover sheets (e.g., for use when pleadings filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events so that details of specific electronically filed petition can be inserted into “boilerplate” text of petition form to produce hard copy printout) (see also Multifunction Capabilities and Integration, Document Generation and Processing Function, and Related Technical Considerations [Appendix A])	yes	all	
2.4.7 provide capability to print or display template forms with and without entered data		all	
2.4.8 maintain and print or display history of changes in judge or other judicial officer assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges or other judicial officers and reasons for change		all	
2.4.9 maintain and print or display history of attorney changes for specific case or party with reasons for change		all	
2.4.10 provide instructions (e.g., tutorials) and automatic edits for using input templates (e.g., to complete divorce and other questionnaires, pleadings, other input forms)	yes	all	

**Table 3.1 – Schedule Creation Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.1.1 schedule events and groups of events (e.g., after case filed, set deadlines for service of summons and return of service, filing of answer or response)		all	
3.1.2 initiate schedule of future events based on event entry or occurrence of prior events (e.g., after child support case filed, set deadline for completion of consent conference and date when child becomes adult) (see also Hearings Function)	yes	all	
3.1.3 allow multiple cases and events to have same scheduled date and time (e.g., related cases involving same parties to be heard together) with priorities assigned to each case		all	
3.1.4 schedule maximum number of cases for specific time interval by event (e.g., hearing) type	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.1.5 schedule groups of related cases as if group were a single case (e.g., Title IV-D cases, dismissal hearings for multiple cases)	yes	all	
3.1.6 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		all	
3.1.7 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 if group was a single case	yes	all	
3.1.8 identify and display scheduling conflicts as noted in the Person and Resource Assignment section below (see also List of Code Translation Tables)	yes	all	
3.1.9 resolve scheduling conflicts as noted below in the Person and Resource Assignment section below	yes		all
3.1.10 when schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions (including displaying scheduling conflicts, suggesting resolutions, allowing user overrides, and rescheduling only with user approval) (see also List of Code Translation Tables)	yes	large	small
3.1.11 relate each scheduled event to actuating filing or prior event	yes		all
3.1.12 assist user in manual schedule overrides or changes for specific cases and event(s) (e.g., by allowing user to enter event type, start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case processing stages; and by adjusting open time slots to reflect manual schedule entries)		all	
3.1.13 record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason)		all	

**Table 3.2 – Person and Resource Assignment Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.2.1 maintain waiting list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities	yes	all	
3.2.2 when creating schedules, consider (1) availability of judges, other judicial officers, attorneys, parties, participants, and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days specific individuals	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
unavailable; (3) scheduling conflicts to the extent information is in the system (e.g., all law officer, domestic relations service provider, child support agency, child welfare agency, other governmental agency, and witness schedules may not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules) (see also List of Code Translation Tables)			
3.2.3 maintain availability information on judges, other judicial officers, attorneys, parties, participants (e.g., domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies, interpreters, out-of-state witnesses), court facilities, and other scheduling factors noted in this section		all	
3.2.4 assign individual judges, other judicial officers, and groups of these officials to courtrooms, locations, departments, department staff (e.g., reporter, bailiff; judge, other judicial officer also may be considered staff), and case management tracts over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments, a specific judge hears marriage dissolution cases in a particular courtroom during a given month) (see also List of Code Translation Tables)	yes	large	small
3.2.5 assign specific case categories (e.g., dissolution, support, custody, adoption, paternity within domestic relations case type) to specific departments according to user-defined case/department relationships	yes	large	small
3.2.6 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), 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)	yes	all	
3.2.7 assign related cases, as designated by user, to same judge or other judicial officer and group together on schedule (e.g., multiple petitions regarding same problem or person) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function)		large	small
3.2.8 reassign individual or group of cases from one judge, other judicial officer, or calendar to another as if group was a single case (e.g., judge retires or moves to appellate court)	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.2.9 allow manual person and resource assignment or override for any automatic assignment		all	

**Table 3.3 – Ticklers and Other User Alerts and Prompts Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
3.3.1 provide 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), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances); 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) (see also Accounting - Bookkeeping Function)	yes	all	
3.3.2 provide user-activated or –deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	yes		all
3.3.3 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	yes	all	
3.3.4 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)	yes	all	
3.3.5 prompt user to schedule predefined related cases (e.g., other petitions regarding same problem) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function where relationships are defined to system—some automatically and some manually)	yes	large	small
3.3.6 generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category, person and resource type) (see also List of Code Translation Tables)	yes	large	small
3.3.7 generate alert when displaying cases or their contents that are not public record (e.g., confidential cases) (see also Security Function)	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
3.3.8 generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable	yes	all	

**Table 3.4 – Schedule and Case Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
3.4.1 maintain, print, and display information on scheduled events (e.g., next scheduled event, all scheduled events, interface with docket to view past events)		all	
3.4.2 display or print each schedule upon user request (e.g., judges' or other judicial officers' calendar by day)		all	
3.4.3 create, maintain, and display or print administrative or clerk's calendar that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with intraoffice work prioritization and management), and update calendar when pending actions completed		all	
3.4.4 enter completed events noted on administrative or clerk's calendar into docket as noted in Docketing and Related Recordkeeping Function	yes	all	
3.4.5 print or display attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, attorney)	yes	all	
3.4.6 print or display schedules for various persons (e.g., judges; 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	yes	all	
3.4.7 generate docket entry based on scheduled and completed events (see also Docketing and Related Recordkeeping Function)	yes	all	
3.4.8 track conformance to time standards (e.g., answer or response due 30 days after service to respondent) including modifications, overrides (e.g., override requirement that answer or response due in 30 days and manually enter 60 days), and suspension (e.g., suspend mental health classification) of time counting under certain conditions (see also List of Code Translation Tables)	yes	all	
3.4.9 support differential case management, ADR (e.g.,		large	small



Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
mediation, arbitration), master calendar, and other case management methods (e.g., schedule events within various sets of differential case management rules, schedule ADR events, schedule for each department's master calendar and for individual calendars within each department, move from one case management track to another due to bankruptcy) (see also List of Code Translation Tables)			

**Table 4.1 – Document Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.1.1 generate notices or electronic acknowledgment and notify appropriate parties that filings, pleadings, and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
4.1.2 generate documents (e.g., summons, warrants, subpoenas, notices) triggered by specific event (e.g., hearing scheduled, conference rescheduled, case dismissed)	yes	all	
4.1.3 generate miscellaneous documents (e.g., for rescheduled and canceled events, orders signed by judge out of courtroom such as for protection or custody, follow-up letters such as requests for completed Title IV-D forms, requests for child custody reviews and other domestic relations services, other types of documents)		all	
4.1.4 generate special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to nonparticipants, other courtesy notices) when requested		all	
4.1.5 in cases with multiple active parties, generate single notice for attorney who represents multiple parties		all	
4.1.6 in cases with multiple active parties, show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party, and show names and primary addresses of all active parties on file copy of notice		all	
4.1.7 print documents individually or in batches in local courts or central location		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.1.8 distribute documents electronically (e.g., documents to be served to process server; notices and other documents to litigants and attorneys; notices, warrants, and other documents to be entered in docket) (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function and Security Function)	yes	all	
4.1.9 record 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, re-service if necessary, any other events, and status information (e.g., warrant tracking) (see also Docketing and Related Recordkeeping Function)		all	
4.1.10 perform above document generation, printout, and distribution functions for group of cases as if group was a single case	yes	all	
4.1.11 allow user to designate or override computer selection of recipients of the above documents		all	
4.1.12 suppress inclusion of user-designated confidential information in documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Security Function)		all	

**Table 4.2 – Document Utilities Subfunctions**

4.2.1 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 and (2) create other documents consisting of only text (e.g., brief progress reports on mediation, some types of notices) (see also External Interfaces [Appendix A] and General Accounting Function)		all	
4.2.2 relate each output template and text noted above to document(s) and court event(s) for which they are used		all	
4.2.3 maintain only 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 subfunction, except there are no output templates, which would necessitate imaging)		all	
4.2.4 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

(e.g., attorney, party, participant records or tables) as if, from user perspective, they were in same record (see also List of Code Translation Tables)			
4.2.5 produce electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see also Multifunction Capabilities and Integration)	yes	all	
4.2.6 provide ability to override document entries made using the templates and standard text noted above		all	

**Table 5.1 – Calendar Creation Subfunctions**

Subfunction	Auto	Mand.	Opt.
5.1.1 create, generate, display and ultimately print, and maintain calendars based on scheduling information (see also Scheduling Function) for each type of hearing (e.g., jury trial, nonjury trial, motion, conference, dismissal) or mixed hearings (e.g., motions and settlements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, other judicial officer, date, time, case type, case category, other information)	yes	all	
5.1.2 transfer easily and quickly between scheduling, calendaring, and other parts of system when creating calendars (e.g., to view information on related cases, parties, participants)		all	
5.1.3 provide capability for judges and other judicial officers to create and maintain their notes (i.e., notes and comments for use with calendar); link notes to specific judge or other judicial officer (as opposed to linking to a specific case); permit viewing only by that person in accordance with local rules and statutes (see also Security Function)			all
5.1.4 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information such as juvenile name in adoption proceedings) (see also Security Function)		all	

**Table 5.2 – Calendar Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
5.2.1 create and print calendars individually (e.g., for a judge, other judicial officer, or courtroom) or batch (e.g., for		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
posting throughout courthouse) according to various criteria including date, judge, other judicial officer, or courtroom			
5.2.2 distribute calendars electronically (e.g., court reporters, sheriff) (see also Multifunction Capabilities and Integration)	yes	all	
5.2.3 generate and display or print summary of upcoming hearings for a judge or other judicial officer or in a courtroom over a specific period (e.g., a week)		all	
5.2.4 display or print summary calendar information (e.g., for use in courtroom and could contain case number, hearing type, case title or style, hearing date and time, whether case qualifies for Title IV-D payments, related events or persons, 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 parties) (see also Management and Statistical Reports Function)		all	

**Table 6 – Hearings Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
6.1 provide for minute entry using one of the methods noted below		all	
6.2 generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry (see also Calendaring Function)	yes	all	
6.3 generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes (see also Document Generation and Processing Function and Calendaring Function)	yes	all	
6.4 enter, store, and display or print minutes recorded on calendar or worksheet		all	
6.5 provide edits and prompts with on-line minute entry capability (see also Security Function)	yes	large	small
6.6 enter, store, document, and display or print (batch or individually) preliminary and final minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules (see also List of Code Translation Tables)		all	
6.7 use events captured in minutes to update records throughout system (e.g., information on judgments working with Disposition Function and accounting functions; attorney withdrawals working with Docketing and Related Recordkeeping Function; adjournments, continuances, and cancellations working with Docketing and Related Recordkeeping Function (for docket updates), Scheduling Function (for rescheduling of hearing), Document Generation	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
and Processing Function (for notice generation), Calendaring Function (to place on future calendar when scheduled), and other functions; bifurcations (i.e., severed cases) working with Case Initiation and Indexing Function (to initiate new case) and Docketing and Related Recordkeeping Function (for docket updates); administrative information (e.g., hearing duration and participants for statistics) working with Management and Statistical Reports Function; and rulings taken under advisement on submitted matters) (see also Integration Between Functions)			
6.8 with computational software and word processing interfaces, enable judges to examine implications of hypothetical judicial orders through calculations and “what if” scenarios (e.g., tax consequences of spousal support and property division; child support amounts for sole, shared, and split parenting arrangements; termination of jurisdiction based on minor’s date of birth) and insert selected option into orders (see also External Interfaces [Appendix A] and Document Generation and Processing Function, Hearings Function, Accounting - Bookkeeping Function)			all
6.9 create and print court orders and supporting documents (e.g., notices of court orders issued in domestic violence cases relating to law enforcement registries of persons who cannot purchase weapons or have protective orders) resulting from hearings and other judicial and ADR events		all	
6.10 create and print court orders and supporting documents resulting from hearings and other judicial and ADR events on-line in courtroom		large	small
6.11 electronically distribute court orders resulting from hearings and other judicial and ADR events externally to court and internally for entry into the docket (see also Multifunction Capabilities and Integration, Docketing and Related Recordkeeping Function, and Disposition Function)	yes	all	
6.12 enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in docket (if not entered automatically through previous subfunction) (see also Docketing and Related Recordkeeping Function and Disposition Function)		all	
6.13 distribute court orders resulting from hearings and other judicial and ADR events based upon party’s preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available			all
6.14 schedule subsequent events (e.g., continuances) on-line in courtroom		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
6.15 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function to generate documents noted above (e.g., standard information in minute orders such as judge, court staff, attorneys and parties present evidence, witnesses, motions)		all	
6.16 suppress inclusion of user-designated confidential information in documents produced during hearing (e.g., record in minutes that ADR event occurred on a given date, but mask out confidential statements by parties) (see also Security Function)		all	

**Table 7 – Disposition Subfunctions**

Subfunction	Auto	Mand.	Opt.
7.1 record resolution or disposition type (i.e., type of judgment) including those involving entire cases, individual or multiple issues, individual parties, multiple cases, and cross petitions		all	
7.2 identify inactive cases 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)	yes	all	
7.3 process information (e.g., update docket and other records, if not updated automatically as noted below, through Docketing and Related Recordkeeping Function) and produce documents (e.g., judgment form; see Hearings Function) for resolutions and dispositions (i.e., judgments) by trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement conference, transfer out to another jurisdiction, or consolidation		all	
7.4 process information and produce documents (e.g., writ of execution and abstract of judgment for unpaid assessments) on post-judgment activities (e.g., in response to requests for execution, with information on monetary and nonmonetary judgments including parties, monetary and nonmonetary awards, pertinent dates, assignees, payments, credits); enter and update records when judgments vacated or amended (e.g.,		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
due to bankruptcy, consolidation, waiver, party deceased) (see also Execution Function and Accounting - Bookkeeping Function)			
7.5 electronically distribute disposition and post-judgment documents noted above externally to court and internally for entry into the docket (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function)	yes	all	
7.6 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 (see also Case Initiation and Indexing Function and Execution Function)	yes	all	
7.7 create, display, and maintain separate resolution, disposition, and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each issue, case, and party (see also Case Initiation and Indexing Function and Execution Function)	yes	all	
7.8 allow for multiple judgments in cases involving multiple parties and issues		all	
7.9 update each case in group of disposed (e.g., dismissed) cases as if group a single case (see also Docketing and Related Recordkeeping Function)	yes	all	

**Table 8 – Execution Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
8.1 process requests for execution of judgments and establish cross references for each execution subfunction given below to judgment index and judgment screen (see also Disposition Function)			all
8.2 process objections to execution			all
8.3 record fully, partially, and nonsatisfied executions (e.g., all obligations satisfied; see also Case Close Function)			all
8.4 update each case in group of cases for which execution requested as if group was a single case (e.g., same judgment terms and execution requirements for each case in group)	yes		all

**Table 9 – Case Close Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
9.1 exchange information with Disposition Function and		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
record reason for closure (e.g., issue or case disposed due to a trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement conference, transfer out to another jurisdiction, or consolidation) (see also Multifunction Capabilities and Integration)			
9.2 establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions (including situation in which two parties file against each other as separate cases that court consolidates into single case)	yes	all	
9.3 close case (e.g., close related events; update docket; generate required forms, notices, reports for that case) (see also Docketing and Related Recordkeeping Function, Document Generation and Processing Function, Management and Statistical Reports Function)	yes	all	
9.4 generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectable obligation balance; see also Management and Statistical Reports Function)		all	

**Table 10 – General Accounting Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Either financial, case processing, or both</b>			
10.1 comply with generally accepted accounting principles (GAAP) for governmental entities (which implies courts or state must define applicable GAAPs)		all	
10.2 provide appropriate security and authorization for all accounting functions (see also Security Function)		all	
10.3 allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., default entries, funds distribution according to predetermined formula) and provide audit trail of these transactions		all	
10.4 support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered including general, guardian ad litem, attorney fees, and safekeeping trusts) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see also Accounting - Receipting Function and Accounting - Bookkeeping Function)		all	
10.5 prevent financial transactions to be dated and posted to a closed accounting period	yes	all	



Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

**Table 11.1 – Funds Collection Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.1.1 associate payment with proper case and party when monies received (see also Accounting - Bookkeeping Function)	yes	all	
11.1.2 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 party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
11.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.4 accept payments by electronic funds transfer (see also Multifunction Capabilities and Integration)	yes	all	
11.1.5 apply payments by electronic funds transfer from draw-down accounts preestablished 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 also Multifunction Capabilities and Integration and Accounting - Bookkeeping Function)	yes	all	
11.1.6 associate fees with nonparties (e.g., from general draw-down accounts, couriers, media) 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)		all	
11.1.7 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 noncase related)	yes	all	
11.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	
11.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
11.1.10 accept single payment for multiple cases with capability to process separately for each case		all	
11.1.11 permit cashier, with proper authority, to override preestablished funds distribution priorities		all	
11.1.12 transfer funds from one case to another case or between accounts in a given case (see also Accounting - Bookkeeping Function)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

**Table 11.2 – Receipt Generation Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
11.2.1 generate, display, and print receipts with proper identifiers (e.g., fee code, court location and address) based on collections with user option to receive single or multiple copies		all	
11.2.2 generate and distribute electronic receipts for electronic payments (see also Multifunction Capabilities and Integration)	yes	all	
11.2.3 generate and print receipts with unique, locally defined, sequential receipt numbers	yes	all	
11.2.4 generate and print multiple receipts from one financial transaction covering payment for multiple cases or purposes (e.g., attorney files and pays fees for several cases in one trip to courthouse)		all	
11.2.5 generate and print 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)		all	
11.2.6 permit receipts to be reprinted (e.g., if printer malfunctions during printout) with same receipt numbers		all	

**Table 11.3 – Cashier Close-Out Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
11.3.1 maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement)		all	
11.3.2 compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type		all	
11.3.3 list contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	
11.3.4 print or display summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see also Accounting - Bookkeeping Function)		all	
11.3.5 list any discrepancies between payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Accounting - Bookkeeping Function)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
11.3.6 permit individual cashiers to open and close as needed (e.g., when several cashiers work different shifts at same register during same day)		all	
11.3.7 suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
11.3.8 permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		all	

**Table 11.4 – Cashier Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.4.1 permit payments to be voided and corresponding adjusting entries to be made before daily balancing with proper security provisions (see also Security Function)		all	
11.4.2 allow supervisor to make adjusting entry to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions (see also Security Function)		all	
11.4.3 provide secure passwords for each cashier (see also Security Function)		all	
11.4.4 prohibit modification of receipt number sequence and provide audit trail of receipt number usage (see also Security Function)	yes	all	
11.4.5 produce summary reports for each cash drawer, cash register, and cashier (see also Accounting - Receipting Function)		all	

**Table 12.1 – Bank Account Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing or financial</b>			
12.1.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through, funds held short term by clerk)		all	
12.1.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		all	
12.1.3 print system wide daily cash receipts journal		all	
12.1.4 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		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
(e.g., daily, monthly, for life of case) (see also General Accounting Function and Management and Statistical Reports Function)			
<b>Financial</b>			
12.1.5 calculate and record bank deposits		all	
12.1.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
12.1.7 print bank deposit slips for specific banks and periods		all	
12.1.8 compare court record of checks with bank record of checks for specific periods; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report listing discrepancies for all reconciliations		all	
12.1.9 produce list of items that remain open for accounts that carry balance forward from one period to next period		all	
12.1.10 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
12.1.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see also Accounting - Receipting Function)		all	
12.1.12 receive bank statements and reconcile bank accounts electronically (see also Multifunction Capabilities and Integration)	yes	all	

**Table 12.2 – Draw-Down Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
12.2.1 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 (see also Multifunction Capabilities and Integration)	yes	large	small
12.2.2 identify instances when balances in draw-down accounts are low and accounts require additional funds	yes	all	
12.2.3 provide reports showing transactions on draw-down accounts over user-specified period		all	
12.2.4 allow users to specify that refunds will be credited to draw-down accounts		all	

**Table 12.3 – Case Account Management Subfunctions**

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
<b>Case processing</b>			
12.3.1 maintain financial parts of case files and docket (e.g., payments received, liabilities with linkage to accounts receivable in finance) (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.2 compute and display costs and fees based on occurrence of a specific event (e.g., initial filing, motion filing)	yes	all	
12.3.3 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)	yes	all	
12.3.4 record funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g., for service of summons by law officer for another jurisdiction)		all	
12.3.5 record changes to accounting records that result from court orders (e.g., change in monthly support payment amount) and modify appropriate records		all	
12.3.6 maintain standard tables for court costs and fees (see also List of Code Translation Tables)		all	
<b>Case processing or financial</b>			
12.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single party in case, multiple parties in case) case and party accounts when initial fees received for new case (see also Accounting - Receipting Function)		all	
12.3.8 allow user to specify multiple party accounts for each case account		all	
12.3.9 allow payment of costs, fees, and other charges assessed to specific party in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay-through)		all	
12.3.10 post case-related receipts to accounting records and docket or register of actions (support payment receipts are not usually entered in the docket); associate receipts with proper case, party, account, or case activity; interact with receipting to accomplish these tasks (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.11 post case-related disbursements to accounting records and docket or register of actions (support payment disbursements are not usually entered in the docket); associate disbursements with proper case, party, account, or case activity (see also Docketing and Related Recordkeeping Function)	yes	all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.3.12 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		all	
12.3.13 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 support payment; most other accounts, such as trusts and most escrow accounts, are financial)	yes	all	
12.3.14 display or print detailed and summary lists of financial transactions (e.g., 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) (see also Management and Statistical Reports Function)		all	
<b>Financial</b>			
12.3.15 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts) and produce account statements	yes		all
12.3.16 generate and print invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
12.3.17 produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Generation and Processing Function)		all	
12.3.18 mark case or party account closed or some other designator		all	
12.3.19 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
12.3.20 produce periodic (e.g., daily, monthly) report or display showing financial status, Title IV-D status, and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or party account (see also Management and Statistical Reports Function)		all	
12.3.21 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see also General Accounting Function and Management and Statistical Reports Function)		all	
<b>Financial (primarily support payments)</b>			

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
12.3.22 create payment schedule, collect payments, apply payments received to scheduled amount due (e.g., amount in judgment), and produce reports on overdue amounts (e.g., for previously waived fees)		all	
12.3.23 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 and Execution Function)	yes	all	
12.3.24 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 General Accounting Function, Disposition Function, and Execution Function)		all	
12.3.25 generate accounting notices (e.g., for payment, overdue payment) receipting or bookkeeping (see also Document Generation and Processing Function)	yes	all	
12.3.26 share information with state agencies to coordinate collection of court-ordered payments (e.g., to recover previously waived fees)		large	small

**Table 12.4 – Distribution Account Management and Funds Disbursement Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case processing or financial</b>			
12.4.1 allow flexible, user-defined and -maintained account structure that permits funds to be allocated to appropriate case cost types and other accounts (e.g., for city, county, state, court)		all	
12.4.2 place hold on disbursements of funds deposited for a case		all	
<b>Financial</b>			
12.4.3 disburse funds electronically to recipient bank accounts	yes	all	
12.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and produce reports (e.g., for each check not cleared over specific period)		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.4.5 electronically authorize and disburse collected fees to other units (e.g., appellate court for appealed cases) (see also Multifunction Capabilities and Integration)	yes	all	
12.4.6 post noncase-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account	yes	all	
12.4.7 compute parts of fees to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula	yes	all	
12.4.8 disburse collected fees electronically according to predefined formula either periodically (e.g., monthly) or when fees received in conjunction with Accounting - Receipting Function (see also Multifunction Capabilities and Integration and Accounting - Receipting Function)	yes	all	
12.4.9 produce report showing allocation formula for disbursing monies to other local and state units over specific period, monies disbursed, and how formula was used to compute allocation (see also Management and Statistical Reports Function)		all	
12.4.10 initiate, print, and disburse sequentially numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
12.4.11 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	
12.4.12 produce precheck register (e.g., to view checks prior to printing register) and check register over specific period		all	
<b>Financial (primarily support payments)</b>			
12.4.13 allow multiple pay-through cost assessments to be specified for each case		all	
12.4.14 provide capability to issue checks for pay-through activities individually or periodically (e.g., monthly) based on accumulated payments		all	
12.4.15 apply installment payments to proper account or activity (e.g., to fees, support owed, or alimony owed)		all	

**Table 12.5 – Administrative Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing or financial</b>			



Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.5.1 for specific periods, produce separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case		all	
12.5.2 produce report containing information on fees waived and associated payments		all	
12.5.3 provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see also Security Function)		all	
12.5.4 produce lists arranged according to user-selected criteria for financial transactions (e.g., fees and other receipts by date, type, party)		all	
12.5.5 create positive pay file of check numbers and amounts and send to bank	yes		all

**Table 13 – General Ledger Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All financial</b>			
13.1 create and maintain system-defined and user-customized chart of accounts		all	
13.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
13.3 reconcile and balance all accounts		all	
13.4 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	

**Table 14.1 – File Tracking Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.1.1 generate labels for manual case files (see also Case Initiation and Indexing Function)	yes	all	
14.1.2 generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., domestic relations interview notes, psychological profiles) and to provide information on checked-out manual files that replaces those files in cabinet			all

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
14.1.3 track manual case files from time checked out of clerk's office through each borrower (including those external to courts such as domestic relations service providers) until returned to 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		all	
14.1.4 maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files		all	
14.1.5 maintain last location of manual and electronic destroyed files		all	
14.1.6 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 and Related Recordkeeping Function and Management and Statistical Reports Function)	yes	all	
14.1.7 print or display list of filings while manual file checked out so that documents can be added to file when it is returned		all	

**Table 14.2 – File Archival and Destruction Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.2.1 identify cases to be archived and later destroyed (see also Case Close Function)		all	
14.2.2 identify cases and documents to be retained permanently		all	
14.2.3 process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility (see also List of Code Translation Tables)	yes	all	
14.2.4 identify summary information (e.g., indexes) to be retained in active or semiactive files		all	
14.2.5 generate, display, and print reports showing archived and destroyed or transferred cases		all	

**Table 14.3 – Reporting and Utility Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.3.1 generate reports on file management activities (e.g., file transfer, inactive, and purge reports)		all	
14.3.2 perform utility functions (e.g., copy information such as docket entries and parties) from one case to another		all	
14.3.3 print any screen display and print any document on-		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
line			
14.3.4 display information on system and equipment (e.g., printer) malfunctions if information in case processing system	yes	all	
14.3.5 maintain and print or display list of active, inactive, archived, and purged files (e.g., to assist in annual file inventory)		all	

**Table 14.4 – Document Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.4.1 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)		all	
14.4.2 support 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 document)		all	
14.4.3 provide capability to toggle between views of several different documents		all	
14.4.4 provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities		all	
14.4.5 provide capability to use same document management system for imaging if imaging included in overall case processing		all	
14.4.6 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)			all

**Table 14.5 – Exhibit Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
--------------------	-------------	--------------	-------------

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
14.5.2 generate exhibit and property numbers or other locally defined identifiers	yes	all	
14.5.3 track location and status of exhibits and other property through each borrower (including those external to courts) until returned to clerk's office relative to location, borrower identifier and other information, identifier and total number of similar exhibits or property (e.g., pay stub one of five), date removed, reason needed, date returned or transferred, and other data		all	
14.5.4 record return, release, or destruction of exhibits and other property		all	
14.5.5 generate notices to (1) reclaim exhibit or property when court's usage completed and (2) inform owner that exhibit or property is destroyed (see also Document Generation and Processing Function)		all	
14.5.6 print or display lists of exhibits and other property according to case, party, and other parameters		all	
14.5.7 track and print or display court orders pertaining to each exhibit or property		all	

**Table 15 – Security Subfunctions**

Subfunction	Auto	Mand.	Opt.
15.1 perform locally defined edit and data validation checks such as content of each individual data field (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)	yes	all	
15.2 ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically so that court is referencing and retrieving correct information	yes	all	
15.3 ensure modification of electronic records restricted to administrative information (e.g., cover sheet) with proper authorization and that electronic filings and orders cannot be modified	yes	all	
15.4 base access and similar privileges on authorizations defined, maintained, and controlled by specific users (e.g., access authorization tables; see also List of Code Translation		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
Tables)			
15.5 restrict local and remote access to and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, documents and other parts of files, and system functions (e.g., scheduling) from other system functions, device (e.g., terminals, personal computers [PCs]) locations, users, and groups of users	yes	all	
15.6 restrict local and remote access to certain cases (e.g., with information on children), classifications of cases (e.g., sealed cases), and parts of cases (e.g., child abuse, psychological profiles, social security numbers) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders		all	
15.7 restrict access to all records pertaining to cases noted above (e.g., sealed cases)		all	
15.8 allow limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis		all	
15.9 suppress inclusion of user-designated confidential information in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Generation and Processing Function, Calendaring Function, and Hearings Function)		all	
15.10 provide adequate security if public access allowed (e.g., view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access (which raises issue of how often to refresh or update subset); security at lower levels than file or record level, such as at field level; “firewalls” that restrict access to only some of system and database and secure other parts)		all	
15.11 provide audit trails that show which users and workstation locations logged onto system 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		all	
15.12 provide secure passwords for user		all	
15.13 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		all	

Appendix B: Case Management Functional Requirements  
DOMESTIC RELATIONS

Subfunction	Auto	Mand.	Opt.
causes numbers of subsequently entered cases to be changed)			
15.14 maintain and display or print audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function)	yes	all	
15.15 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)		all	
15.16 provide for file backups at any time	yes	all	
15.17 ensure only single set of data exists for each person (i.e., various identifiers for given person must be correlated)	yes	all	
15.18 provide adequate security for all electronic information exchange	yes	all	
15.19 provide adequate security for judge's and other judicial officer's notes (see also Calendaring Function)			all

Appendix B: Case Management Functional Requirements  
TRAFFIC

## Traffic Case Management Requirements

**Table 1.1 Case Initiation Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.1.1 Verify case is filed in the proper jurisdiction or retains jurisdiction from an external source	Yes	all	
1.1.2 Assign separate identifier or receive identifier for each defendant from Criminal Justice (CJ) agency ( <i>e.g., driver's license number, biometric or SSN</i> )	Yes	all	
1.1.3 Constant data carried forward to subsequent screens ( <i>e.g., defendant, citation and/or case number</i> )	Yes	all	
1.1.4 Permit access to information through multiple search criteria ( <i>e.g., citation number, case number, name, assigned judge or magistrate, attorney, hearing date, filing date, violation date, case type, address, date of birth, drivers license number, and social security number.</i> )		all	
1.1.5 Enter or track all relevant Originating Agency Identifier (ORI) codes			all
1.1.6 Ability to use the mandatory Federal Information Processing Standards (FIPS) for geographic location of offense			all
1.1.7 Enter unique court identifiers ( <i>e.g., district court</i> )		all	
1.1.8 Capture or allow entry of other identifiers as needed ( <i>e.g., of prosecutor, defense attorney, law enforcement</i> ) and establish relationships with participants		all	
1.1.9 Ability to accept and cross-reference required external agency identifiers for incident/case and protect against duplicate unique identifiers			all
1.1.10 Associate each defendant with a case using locally-defined procedures including the ability to perform functions to search for a person already in the system		all	
1.1.11 Ability for user management team to define statute/ordinance tables ( <i>e.g., offense code, descriptive text, bail amount, model driver violation code, effective and expiration date, severities,</i> ) as well as NCIC (National Crime Information Center) offense codes and NIBRS (National Incident Based Reporting System) codes. (NCIC and NIBRS are not consistent, so the local jurisdiction may need to select which code to use)		all	
1.1.12 Capability to interface with external agencies ( <i>e.g., DMV</i> ) to collect prior traffic history		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
1.1.13 Generate and assign case number using locally defined format and procedures ( <i>e.g., separate case number for each incident or offense, or for each incident or offense and each defendant</i> )	Yes	all	
1.1.14 Conduct locally defined validation	Yes	all	
1.1.15 Ability to edit citations and track changes during case initiation when it is entered in error (with appropriate security)		all	
1.1.16 Provide the ability to have user-defined types of cases ( <i>e.g., traffic, parking, criminal traffic, civil and other</i> )		all	
1.1.17 Ability to enter all charges (initial and modified) filed at case initiation and subsequently	yes	all	
1.1.18 Generate acknowledgement for appropriate attorneys and participants that case filing was received and accepted, and provide assigned case number	yes		yes
1.1.19 Support differential case management ( <i>e.g., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases</i> ) and other case management methods tables			yes
1.1.20 Generate locally defined case title or style ( <i>e.g., short phrase that identifies case</i> ) from individual names and other information	yes	all	
1.1.21 Prompt user when cases, defendants or participant/or participants already exist that relate to new case ( <i>e.g., defendants involved in other cases, aliases identified by pre-trial services unit</i> ), followed by user-initiated search for duplicate participants, that user can transfer into current case if appropriate to avoid data entry ( <i>e.g., using participant names, addresses, and other identifiers noted above</i> )	yes	all	
1.1.22 Ability to assign case based on circuit or judicial district boundaries, when a district is composed of several counties, cities, and courthouses		all	
1.1.23 Ability to display all cases for a defendant and to create or link groups of related cases, defendant, and participants ( <i>e.g., several incidents filed against same defendant, multiple defendants involved in same incident</i> ) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, or participant in group		all	
1.1.24 Assign case by court type, judge, location, department, courtroom AND/OR other appropriate entities based on established relationships	yes	all	



Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
1.1.25 Create docket or register of action with case initiation information including basic case information (e.g., case type, case category, case status, case title or style, “person data types”, roles, organizations with primary contact individual)	yes	all	
1.1.26 Enter role of participant as individual (e.g., Ann Smith) or organization (e.g., Acme Investigative Service) with primary contact person if an organization		all	
1.1.27 Ability to designate the nature of the relationship between cases (e.g., codefendants, multiple cases against same defendant.)		all	
1.1.28 Initiate case with minimal information to be updated later (e.g., allows cases initiated with cash bail, forfeiture information and bonds) and then flag these incomplete cases and track them		all	
1.1.29 Provide text and bar code labels or future technology for attachment to case folders, for documents to be served, and for subsequent filings		all	

**Table 1.2 Indexing Subfunctions**

Subfunction	Auto	Mand.	Opt.
1.2.1 Create and maintain locally defined index of information required by local statutes that (1) contain index information (e.g., each defendant and participant name, date of birth, defendant charges role in case, and whether defendant has a defense attorney; case type; case number, and other identifiers; alias(es); date filed; and cross reference to another defendant and participants in case; (2) permits database look up by a choice of selection criteria (e.g., participant name, participant role, case filed date range) and, if record found		all	
1.2.2 Provide search and retrieval by identifying specific criteria (e.g., participant name, role, case filed date range) and then obtaining index information by selecting from list of matching cases		all	
1.2.3 Allow easy navigation to other parts of system ( e.g., docketing, scheduling, calendaring, accounting, and criminal support functions) for all related case and financial information (e.g., 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		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
1.2.4 Automatically update index. (e.g., based on occurrence of specific case events motions filed, dispositions decided)	yes	all	
1.2.5 Provide for print, reprint, and display of index information sorted by the content of the various components of index (e.g., defendant, case number, case status, citation number)		all	

\

**Table 2.1 Static Case and Other Case Event Information Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.1.1 Provide audit trail for all activity contained in each traffic case	yes	all	
2.1.2 Provide access to information entered during case initiation and information that supplements these initial entries		all	
2.1.3 Enter and maintain information and data on filings and other completed events not previously in system (e.g., information on participant change, plea entered, motion filed, or hearing date set)		all	
2.1.4 Create docket entry and update case information based on occurrence of specific events	yes	all	
2.1.5 Ability to relate actions based on a docketed event according to locally defined business rules			all
2.1.6 Create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders)	yes	all	
2.1.7 Ability to identify and retrieve electronic document by selecting them on a detailed list of docket events and ability to display or print electronic document (e.g., motion that was filed)	yes	all	
2.1.8 Create multiple docket entries based on a single event (e.g., event is hearing; docket entries are defense attorney withdrawal, hearing results)	yes	all	
2.1.9 Ability to maintain traffic case information as official court record in accordance with state and local statutes, rules, or procedures		all	

**Table 2.2 Related Record Keeping Subfunctions**

Subfunction	Auto	Mand.	Opt.
2.2.1 Allow the user management team to enter and maintain codes for data tables (e.g., charge codes and descriptions)		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.2.2 Maintain case information on defendant with multiple cases ( <i>e.g., dismissals, consolidations, bifurcations, previously-closed cases that have been reopened, for scheduling, condition monitoring and obligation fulfillment purposes</i> )		all	
2.2.3 Ability to maintain information on all participants associated with a case, incident, or offense		all	
2.2.4 Maintain multiple current and historical addresses, with beginning and ending dates, for each participant		all	
2.2.5 Ability to link participant role to address		all	
2.2.6 Ability to determine the charge severity hierarchy		all	
2.2.7 Ability to track all charges (initial and modified) and link charges to proper defendant and incident		all	
2.2.8 Allow recording of bail and bond events in docket	yes	all	
2.2.9 Allow information to be entered once and automatically apply to multiple cases or participants. The application provides a means to minimize redundant or duplicate data entry		all	
2.2.10 Permit, with proper authorization ( <i>e.g., supervisor approval</i> ), deletion of specific docket entries and all related data ( <i>e.g., deletion of information causes related docket information to be deleted</i> )		all	
2.2.11 Ability to change erroneously assigned case numbers with a safeguard to prevent inadvertent changes to or deletion of cases		all	
2.2.12 Apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case ( <i>e.g., correction of fee entry causes fee distribution amounts to be modified, change of trial date, time, room number and judge</i> )	yes	all	

**Table 2.3 Input/Output Management and Views Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.3.1 Provide valid “drop down boxes” ( <i>e.g., list of charge codes and descriptions that apply to data entry situation that currently confronts user</i> )	Yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
2.3.2 Ability to display and/or print information on all, part, or summaries ( <i>i.e.</i> , “Views”) of docket(s) ( <i>e.g.</i> , <i>events in register of actions, some participants, charges for specific defendant, summaries of judgment information, case age</i> ) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order		all	
2.3.3 Ability to maintain and display and/or print history of prosecutor and defense attorney changes for specific case or defendant with reasons for change			all
2.3.4 Ability to perform locally defined edit and data validation checks ( <i>e.g.</i> , <i>proper format for a date</i> ) and relationship of data field to other data ( <i>e.g.</i> , <i>attempt to schedule hearing for cases with open warrants and other served document.</i> )	Yes	all	
2.3.5 Provide report of all charge history ( <i>i.e.</i> , <i>through life of case</i> ) for a given defendant and case		all	

Table 3.1 Schedule Creation Subfunctions

Subfunction	Auto	Mand.	Opt.
<b>Event deadlines</b>			
3.1.1 Allow the user management team to define initiation of automated scheduling processes based upon locally defined business rules		all	
3.1.2 Schedule events or groups of events according to statutory and locally mandated time standards for cases ( <i>e.g.</i> , <i>the application automatically schedules the first traffic court event or confirms requested date</i> ) and must include ability for manual override		all	
3.1.3 Allow for in-courtroom scheduling of the next case event and generation of the appropriate notices ( <i>i.e.</i> <i>status order, arraignment or judgment information, etc.</i> )		all	
<b>Judicial proceedings</b>			
3.1.4 Automatically schedule the next logical event based upon the outcome of the currently scheduled event ( <i>e.g.</i> , <i>the entry of a continuance as the disposition of a hearing should automatically schedule the next hearing</i> )	Yes	all	
3.1.5 Ability to schedule multiple cases, participants, and types of events for the same scheduled date and time ( <i>e.g.</i> , <i>arraignments regarding an incarcerated defendant for single or groups of related cases</i> ) on a single screen or in a single transaction		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
3.1.6 Ability to schedule groups of related cases as if group were a single case ( <i>e.g., multiple defendants involved in same incident</i> )		all	
3.1.7 Ability to selectively group multiple cases for scheduling, condition monitoring, and obligation fulfillment purposes		all	
3.1.8 Ability to suggest resolution to scheduling conflicts, allowing user overrides		all	
3.1.9 Ability to schedule maximum number of cases for specific time interval by event type ( <i>e.g., hearing in custody, out on bail</i> ) but provide for manual override	Yes	all	
<b><u>Either event deadlines or judicial proceedings</u></b>			
3.1.10 Provide for selective electronic notifications ( <i>e.g., email</i> )		all	
3.1.11 When event schedules change, update records of all related participants, calendars, docket entries, and other data and functions	Yes	all	
3.1.12 Apply specific change to multiple participants for groups of cases ( <i>e.g., courtroom change for multiple defendants involved in same incident</i> )		all	
3.1.13 Provide manual override to reschedule group of cases as if the group were a single case		all	
3.1.14 Provide utilities to assist user with manual schedule and rescheduling overrides or changes ( <i>e.g., by allowing user to enter event type, start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case processing stages; and by adjusting open time slots to reflect manual schedule entries</i> )		all	
3.1.15 During manual scheduling and rescheduling, display other future events for that case	Yes		all
3.1.16 Permit users to designate participants with special scheduling needs ( <i>e.g., interpreter, disabilities</i> )		all	
3.1.17 Allow the scheduling of participants ( <i>e.g., police officers</i> ) according to locally defined business rules		all	

**Table 3.2 Person and Resource Assignment Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All judicial proceedings</u></b>			
3.2.1 Maintain availability information on selected participants, court facilities, and other scheduling factors ( <i>e.g., weekends, holidays, and other days generally unavailable for court activities and days specific individuals are unavailable</i> )		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
3.2.2 When creating schedules, consider (1) availability of selected participants and court facilities; (2) scheduling conflicts to extent information in system ( <i>e.g., all law officer and witness schedules will not be in system</i> ), but allow manual scheduling at user discretion in spite of conflicts ( <i>e.g., conflicts due to judicial absences, prosecutor and defense attorney vacations, law officer schedules</i> )	yes	all	
3.2.3 Allow automated electronic transfer of selected participants scheduling data from other agencies in order to schedule court events. ( <i>e.g., police officers' schedules</i> )	yes		all
3.2.4 Relate one or more judges to courtrooms, locations, and departments		all	
3.2.5 Allow the user management team to define the sequence of events in any case track for differentiated case management			all
3.2.6 Relate one or more judges to calendar blocks over specified time frames ( <i>e.g., in court with rotating judge assignments, a specific judge hears traffic cases during a given period</i> )		all	
3.2.7 Relate one or more judges to departmental staff resources ( <i>e.g., bailiffs</i> )		all	
3.2.8 Reassign individual or group of open cases from one judge or calendar to another as if group were single case ( <i>e.g., judge retires or moves to appellate court</i> )	yes	all	
3.2.9 Assign related cases, as designated by user, to same judge and group together on schedule ( <i>e.g., multiple complaints regarding same problem or individual</i> )		all	
3.2.10 Allow the application of the same update to numerous cases ( <i>e.g., mass reassignment of cases from one judge to another or from one prosecutor to another</i> )		all	
3.2.11 Ability to electronically notify ( <i>e.g., email</i> ) automated scheduled court dates to the court participants ( <i>e.g., police and prosecutor,</i> ) as well as the cancellation or modification of those court dates	yes		all

**Table 3.3 Schedule and Case Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Judicial proceedings</b>			
3.3.1 Produce (including ability to reproduce, redisplay, or reprint) schedules for various individual events, participants, hearing types, dates, and facilities upon user request sorted by various criteria ( <i>e.g., judge's calendar by day</i> )		all	
3.3.2 Allow the user management team to define hearing load and balance formulas based on locally defined business rules		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
3.3.3 Allow override of predefined hearing load and balance formulas		all	
<b><u>Either event deadlines or judicial proceedings</u></b>			
3.3.4 Ability to maintain and produce information on scheduled events for a case ( <i>e.g., next scheduled event, all scheduled events</i> )		all	
3.3.5 Ability to view all cases for a chosen court within a date range		all	
3.3.6 Ability to easily view the calendar of different courtrooms by day, by week or by month			all
3.3.7 Allow the user management team to define the number of days between triggers for differential case management and time standards as needed and automatically generate events, alerts and document production		all	
3.3.8 Generate docket entry based on scheduled and completed events as appropriate	yes	all	
3.3.9 Support differentiated case management methods ( <i>e.g., schedule events within various sets of differential case management rules</i> ); able to track the first case event or pre-case event which can be used to link case events, sub-events and sub-event components	yes		all
3.3.10 Track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions ( <i>e.g., by automatic assignment, on-line edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days</i> )	yes	all	
3.3.11 Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines	yes	all	
3.3.12 Ability to track and display or print calendar modifications ( <i>e.g., judge, or other persons, or courtroom reassignments, cases taken off calendar</i> ) over specific period		all	
3.3.13 Ability to add or delete time slots		all	
3.3.14 Ability to undo re-assignments and/or reset to original with automated notice generation for rescheduled cases		all	

**Table 3.4 Ticklers, User Alerts, and Prompts Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Either event deadlines or judicial proceedings</u></b>			

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
3.4.1 Provide tickler capability based on locally defined business rules; ability to prompt for the next logical activity when an event is entered or a condition is satisfied then notify user and allow overrides; identify events coming due or overdue; periods about to expire or expired ( <i>e.g., time in days or hours for next appearance, or delivery of a pretrial report to the judge, or delivery of a driving record to the judge, etc.</i> ); and events of which user should be aware ( <i>e.g., approaching maximum number of continuances, note reason for longer expected trial; notify users; and initiate proper functions</i> )	yes	all	
3.4.2 Permit system-wide date and time default format; System accepts date and time in any conventional format ( <i>e.g., military time</i> ) and converts to default format			
3.4.3 Prompts date and time default values when entering date and time		all	
3.4.4 Allow user management team to define frequency of prompts at user level; user can set special alerts and remarks which can be printed on calendars and displayed on courtroom display screens			all
3.4.5 Allow user management team to define structure, content, and intrusiveness of ticklers, alerts, and prompts at user level			all
3.4.6 Provide system-defined visual and/or audio reinforcement ( <i>e.g., flashing text, colors on screen, or computer icon</i> ) to ensure user sees message	yes		all
3.4.7 Display alert to a user not authorized to see a portion of or a field within a record ( <i>e.g. clerk views a sealed document</i> )	yes	all	
3.4.8 Display alert when displaying cases or portions of cases that are not public record or have restricted access ( <i>e.g., when clerk views a juvenile traffic case, psychological evaluations</i> )	yes	all	
3.4.9 Allow locally defined ticklers, alerts, and prompts for purposes including a Special Needs Flag ( <i>e.g., the need for interpreter, disabilities or other special needs</i> ), or Jury Requested Flag	yes	all	
3.4.10 If the violation occurred in a commercial motor vehicle, and/or the defendant holds a commercial driver's license, issue an alert that federal guidelines apply to the case. In this situation the system should "look-up" the federal regulations or State statutes regarding commercial driver offenses and provides those to the Judge if requested by the Judge (the federal regulations for the commercial driver's license program web site link can be found in the Introduction)	yes	all	



Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
3.4.11 Ability to block the acceptance of future payments by check and trigger a returned check alert. The duration of the block period against the issuer will be defined by local business rules	yes	all	
3.4.12 Alert the user to any active internal warrant on the defendant should a user access data about that defendant		all	
3.4.13 Alert the user to any extra-jurisdictional active warrant on the defendant should a user access data about that defendant		all	
3.4.14 System should scan the vehicle description for words that identify a Commercial Motor Vehicle (CMV) (e.g., Peterbilt) to make sure the CMV box is marked to identify the citation as a CMV violation. If the vehicle is a CMV and the CMV box is not marked then prompt the user to verify the accuracy of the CMV box	yes	all	
<b>Judicial proceedings</b>			
3.4.15 Generate display of available slots on prospective calendar and prompt when approaching maximum number of events normally permitted (e.g., based on case type, case category, event type)	yes	all	
3.4.16 Generate prompt when resources (e.g., participant, court facilities, and other scheduling resources) unavailable	yes	all	
<b>Event deadlines</b>			
3.4.17 Alert clerk when a case has been filed with “no scheduled next event”	yes	all	
3.4.18 Permit the user management team to employ “if, then” and “if, then, unless” business rule conditional statements in event generation		all	
3.4.19 Allow supervisor at appropriate level to turn alerts on and off		all	
3.4.20 Generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and prompt user to take appropriate action (e.g., refer to collection agency or law enforcement)	yes		all

**Table 3.5 Conducting Courtroom Sessions Subfunctions**

Subfunction	Auto	Mand.	Opt.
3.5.1 Provide the ability to process no-show cases based on pre-defined business rules. (e.g., default judgments, suspension) but allow the user to override		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

3.5.2 Track attendance of participants and staff at a hearing		all	
3.5.3 Allow display or reprint of notices from a list of notices		all	
3.5.4 Ability to schedule one or more cases to a specified scheduled court date by entering a specified court date and then entering the case and attorney		all	
3.5.5 Automatically print, store and docket court documents based on court events	yes	all	

**Table 4.1 Document Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.1.1 Allow for user management team defined automated notifications (e.g., <i>email</i> ) based upon business rules governing case tracks	yes	all	
4.1.2 Provide electronic acknowledgment and notify appropriate individuals that filings, pleadings, and other documents received and accepted when document filed electronically	yes	all	
4.1.3 Generate documents (e.g., <i>complaints, warrants and other served documents</i> ) triggered by specific event (e.g., <i>hearing scheduled, plea agreement conference rescheduled, case dismissed, bail forfeited</i> ). The application integrates calendaring and notice generation so defendants and counsel receive notices upon scheduling or rescheduling an event	yes	all	
4.1.4 Generate miscellaneous documents including user-defined form templates (e.g., <i>for re-scheduled and canceled events; orders signed by judge in chambers such as for bail or bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment; follow-up letters, other types of documents</i> ); automatically generates an entry in system; case history; and log file for each notice generated		all	
4.1.5 Print defendant notices in multiple languages (e.g., <i>English, Spanish</i> )		all	
4.1.6 Distribute documents electronically (e.g., <i>documents to be sent to process server; notices and other documents to defense attorneys and other persons; notices, warrants and other served documents (e.g., subpoenas), and other documents to be entered in docket; update the court record including the register or actions</i> ) in accordance with state and local statutes, rules, or procedures		all	
4.1.7 Print, reprint and display documents individually (e.g., <i>citations and complaints</i> ) in batches and in multiple locations		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.1.8 Support integration with electronic mail for electronic noticing		all	
4.1.9 Perform document generation, print, and distribution functions for group of related cases as if group were single case		all	
4.1.10 Generate mailing labels		all	
4.1.11 Ability to print, display and reprint selected notices from a list of notices		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 4.2 Warrants, Summons and Subpoenas Generation and Processing Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.2.1 Ability to issue warrants, recalls/quash; and returns, warrants and holds		all	
4.2.2 Allows for holding; releasing; or recalling of warrants and holds on future dates		all	
4.2.3 Flags special conditions, (e.g., <i>post and forfeitable; night service; do not release on own recognizance, etc.</i> )		all	
4.2.4 Reports warrants executed but not returned for filing		all	
4.2.5 Create register of action with information regarding all documents sent or served		all	
4.2.6 Track document issuance 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, any judicial proceedings, and status information (e.g., <i>warrant tracking and warrant recall working with CJIS interface</i> )		all	
4.2.7 Produce report and display status of documents sent or served		all	
4.2.8 Allows multiple recorded warrants per defendant per case; produce alert when subsequent warrants are issued for a case		all	

**Table 4.3 Document Utilities and Processing Subfunctions**

Subfunction	Auto	Mand.	Opt.
4.3.1 Ability to integrate with user defined word processing package (e.g., Word and WordPerfect) to generate documents		all	
4.3.2 Ability to create and maintain files of output templates and standard text, including entire “boilerplate” paragraphs, and use files to (1) create official court documents by inserting CMS information (e.g., <i>addresses, names, alias</i> ) and graphics into templates (e.g., <i>warrants and other served documents (e.g., subpoenas), with text and images of court seals and signatures</i> ) and (2) create other documents consisting of text, graphics and/or CMS information (e.g., <i>case brief progress reports on plea agreements, some types of notices</i> )		all	
4.3.3 Maintain files of standard text and use to create entire documents or to insert text into “boilerplate” court forms		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
4.3.4 Ability to print date and time in any conventional format (e.g., the default format could be mm/dd/yyyy but could be printed as January, 1, 2004)		all	

**Table 5 Calendaring Subfunctions**

Subfunction	Auto	Mand.	Opt.
5.1 Ability for courtroom management of an electronic calendar and courtroom document management		all	
5.2 Provide flexibility with respect to calendar content and format (e.g., judges notes integrated into calendar)		all	
5.3 Produce calendars and incorporate calendar addenda specifically identifying calendar addenda based on scheduling information for each type of hearing (e.g., jury trial, non-jury trial, motion, preliminary, dismissal) or mixed hearings (e.g., motions and plea agreements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, hearing reason, other elements of calendar profiles)	yes	all	
5.4 Produce calendars individually (e.g., for a judge or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including court date, branch number, judge, or courtroom; produce by session for branch scheduling (assign schedule session templates for creating a replicated schedule for traffic cases, add worksheet comment information to branch schedule, specify days and times branch will be and not be in session, allow different set of standard 'in-session' days by branch; set parameters for hearing reason, originating dept., max capacity, etc.; ability to have multiple rules for scheduling cases in each branch since rules per branch can be different)		all	
5.5 Produce calendars (e.g., electronic and/or printed) and related outputs individually or in batches in local courts or central location displays calendars including scheduled and available time slots for each day and supports drill down to a greater level of detail		all	
5.6 Ability to publish calendar to web			all
5.7 Ability to display case participant check in information on judge's bench calendar			all
5.8 No limit on when or how often a calendar may be viewed, produced and printed		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
5.9 Allow user to review daily, weekly and monthly schedules for departments and judicial officers		all	
5.10 Produce summary of upcoming hearings for given judge/courtroom clerk or in given courtroom over specific period ( <i>e.g., one week</i> )		all	
5.11 Suppress inclusion of user-designated confidential information in calendars ( <i>e.g., mask out information</i> )		all	

**Table 6 Hearing Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All types of hearings</u></b>			
6.1 Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings		all	
6.2 Provide for minute entry suitable for multiple-case and multiple-defendant situations using one of methods noted above and to officially record court appearances		all	
6.3 Produce worksheet, calendar, or some other document suitable for manually recording minutes (see Document Generation and Processing and Calendaring functions); worksheet templates and checklists- the application allows templates and checklists to be user-defined; retrieved by document and hearing type; and edited online ( <i>e.g., the application automatically updates case records accordingly</i> )			all
6.4 Produce minutes recorded on calendar or worksheet; provide the ability to copy specified features of the case decision for similar cases of same defendants ( <i>e.g., comments, attendees, adjournments, extensions, plea, or motion</i> )		all	
6.5 Ability to complete data entry on specific data elements to account for what has occurred during court proceeding and allow for free form text in a remarks field and update records throughout system in accordance with state and local statutes, rules, or procedures ( <i>e.g., sentencing, accounting, adjournments, continuances, rescheduling, notice generation with accompanying docket entries</i> )	yes	all	
6.6 Provide the ability to process no-show cases based on pre-defined business rules. Cases could be processed individually and in batch	yes	all	
6.7 Provide person status to user ( <i>e.g., when a repeat offender is in before pretrial release or the judge</i> ) telling Judge the status of time payments of fees and fines in previous cases		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
6.8 Accept secured digitized signatures on the completed form for a specific case at a specific hearing		all	

**Table 7 Disposition Subfunctions**

Subfunction	Auto	Mand.	Opt.
7.1 Record plea, disposition, and sentence for entire case and/or each count of each charge		all	
7.2 Maintain and produce disposition and sentence information that show, for each case and defendant, original and subsequent charges and dispositions and sentences for each charge		all	
7.3 Distribute disposition documents electronically external to court in accordance with state and local statutes, rules, or procedures ( <i>e.g., to law enforcement and corrections</i> ) and internally to be entered in docket	yes	all	
7.4 Distribute court orders electronically to external (to the court) recipients and internally to also enter in docket	yes	all	
7.5 Support interfaces to law enforcement warrants system(s) for both batch transmission and interactive updates.	yes	all	
<b>Commercial Driver Violations</b>			
7.6 If the offense is committed by a person with a Commercial Driver's License (CDL) (it makes no difference if the person is in a personal vehicle or a Commercial Motor Vehicle (CMV)) and if the case result is guilty, then the case result must be sent to DMV	yes	all	
7.7 If the offense is committed in a CMV by a non CDL holder and if the case result is guilty, then the case result must be sent to the DMV	yes	all	
7.8 If the offense is CDL or CMV related and the case result is guilty then the case result must be sent to the DMV within the federally mandated time period ( <i>e.g., as of September 30, 2005 the time period is 30 days for out of state convictions and 10 days for in state convictions. As of September 30, 2008 all convictions must be sent to DMV within 10 days</i> )	yes	all	
7.9 System must timestamp date and time for each notice sent to the DMV	yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 8 Compliance Subfunctions**

Subfunction	Auto	Mand.	Opt.
8.1 Ability to track partial compliance of sentencing conditions (e.g., <i>partial community service, traffic school, alcohol school, AA</i> )		all	
8.2 Electronically distribute post-conviction information (e.g., <i>documents and data</i> ) in accordance with state and local statutes, rules, or procedures (e.g., <i>to law enforcement, DMV services, and corrections</i> )	yes	all	
8.3 Automatically update register of action	yes	all	

**Table 9 Case Close Subfunctions**

Subfunction	Auto	Mand.	Opt.
9.1 Coordinate disposition, accounting, and compliance functions to determine if case should be closed according to locally defined business rules, and update register of action (e.g., <i>all charges disposed, all fees and fines paid</i> )	yes	all	
9.2 Prompt user to dispose of open charges on a single case before case can be closed		all	
9.3 Prompt user to close case when all locally defined business rule conditions are met			all
9.4 Allow user to manually close case (e.g., <i>change status to closed; update docket; generate required forms, notices, reports for that case</i> )		all	
9.5 Allow ability to reopen a previously closed traffic case		all	

**Table 10 General Accounting Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Either financial, case processing, or both</u></b>			
10.1 Comply with generally accepted accounting principles (GAAP and GASB) for governmental entities (which imply courts work with local or state agency to define applicable GAAP and GASB processes)		all	
10.2 Allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., <i>default entries, funds distribution according to pre-determined formula</i> ) and provide audit trail of these transactions		all	



Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
10.3 Support trust fund ( <i>e.g., moneys held in trust that may be disbursed upon court order or for services rendered including general, attorney fees, and safekeeping trusts</i> ) accounting ( <i>e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures</i> )		all	
10.4 Prevent financial transactions from being dated and posted to a closed accounting period	yes	all	
10.5 Establish interface between Accounting (particularly Receipting and Bookkeeping) and Traffic Support functions to collect and generate receipts for bail monies, disburse funds ( <i>e.g., to defendant who posted bail, to court for court costs, to other participants, suspend disbursements, record bail forfeiture monies as revenue, disseminate bail register</i> )		all	
10.6 Interfaces that allow for the collection and receipt of fines, fees, and bonds by non-court persons or companies, should prohibit the deletion or modification of financial or other case data within the security matrix	Yes	all	

**Table 11.1 Funds Collection Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>All case processing</u></b>			
11.1.1 Associate payment with proper case and person when money is collected	yes	all	
11.1.2 Provide integration with financial management systems that support such tasks as cash receipting, check disbursement, receivables tracking, and posting of collections to the general ledger			all
11.1.3 Accept and post on-line payments ( <i>e.g., Internet or telephone</i> )			all
11.1.4 Permit payment to be accepted for cases filed but not docketed completely ( <i>e.g., all data not entered into system</i> ) and recorded by entering minimal amount of data ( <i>e. g., case number, case type, case category, case style or title, name of person submitting payment, date of payment, nature of payment</i> ) as precursor to full docket entry		all	
11.1.5 Provide distribution of monies collected by the Court according to locally defined business rules		all	
11.1.6 Allow the receipting of unidentified payments		all	
11.1.7 Allow the assignment of previously receipted unidentified payments to a specific obligation		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
11.1.8 Accept full, partial, and partial payments by various methods ( <i>e.g., cash, check, credit card, fee waiver</i> )		all	
11.1.9 Provide for the accounting of time payments		all	
11.1.10 Accept payments by electronic standards ( <i>e.g., EFT, XML</i> )	yes		all
11.1.11 Apply payments from draw-down or escrow accounts pre-established by attorneys and law firms ( <i>e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk</i> ), and debit draw-down accounts to cover court expenses ( <i>e.g., for specific case, general expenses</i> )	yes		All
11.1.12 Associate fees that may or may not be case related ( <i>e.g., for forms, document copies, certified copies</i> ) with persons who may not be directly involved in a case ( <i>e.g., from general draw-down accounts, couriers, media</i> ) and process appropriately ( <i>e.g., not docketed if not related to specific case</i> )		all	
11.1.13 Record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information ( <i>i.e., case related and non-case related</i> )		all	
11.1.14 Accept multiple types of payments in single transaction ( <i>e.g., cash, check</i> )		all	
11.1.15 Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
11.1.16 Accept single payment for multiple cases with capability to process separately for each case		all	
11.1.17 Permit cashier to override pre-established funds distribution priorities		all	
11.1.18 Transfer funds from one case to another case or between accounts in a given case with proper audit trail		all	
11.1.19 Provide a process for handling NSF payments based on locally defined business rules ( <i>e.g., process for creating a docket entry, charge a processing fee if applicable, post the current accounting entry and generate an appropriate letter to collect the funds</i> )		all	
11.1.20 link charges and fine or restitution amounts	yes	all	
11.1.21 Automatically calculates the interest due on judgments and other receivables.			all
11.1.22 Ability for a defendant to pay remotely via available technology ( <i>e.g., phone or web</i> )			all

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 11.2 Receipt Generation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.2.1 Generate and produce receipts with proper identifiers (e.g., fee, fine, restitution code; court location and address) and supporting information (e.g., amount assessed, reason for assessment, amount collected, payment or partial payment plan and status) based on collections with user option to receive single or multiple copies		all	
11.2.2 Generate and distribute electronic receipts for electronic payments	yes		all
11.2.3 Generate and print (including ability to reprint) receipts with unique, locally defined, sequential receipt numbers	yes	all	
11.2.4 Generate and print (including ability to reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single and multiple case (e.g., defense attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse)		all	

**Table 11.3 Cashier Close Out Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>All case processing</b>			
11.3.1 Maintain bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement); permits decentralized cashiering and supports multiple cash drawers and multiple cashiers		all	
11.3.2 Allow a user with appropriate security level to correct transactions while maintaining an appropriate audit trail		all	
11.3.3 Compute totals, list transactions, and balance for each cash drawer, register, cashier, and payment (e.g., fee, fine) type; cash drawer balancing includes case number, cashier, Defendant last name, user; date; time; receipt number; payment type; user totals; and user voids; the application generates a teller report, which minimally displays the revenue distribution for each payment		all	
11.3.4 List contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
11.3.5 Produce summary for each cashier including totals for each type of payment ( <i>e.g., cash, checks, credit card receipts, traveler's checks, money orders</i> )		all	
11.3.6 List any discrepancies between payments, receipts, defendants, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment		all	
11.3.7 Permit individual cashiers to open and close as needed ( <i>e.g., when several cashiers work different shifts at same register during same day</i> )		all	
11.3.8 Suspend cashier operations multiple times during day ( <i>e.g., close without balancing to permit lunch and other breaks</i> )			all
11.3.9 Permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		all	

**Table 11.4 Cashier Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>All case processing</u></b>			
11.4.1 Permit payments to be voided and corresponding adjusting entries to be made before daily balancing		all	
11.4.2 Allow adjusting entry to correct payment type ( <i>e.g., cash, checks, credit card receipts, fee waivers, money orders</i> )		all	
11.4.3 Allow adjusting entry to correct a distribution allocation from receipts		all	
11.4.4 Receipt number sequence must be system generated and provide audit trail of receipt number usage	yes	all	
11.4.5 Produce summary reports for all cash drawers, cash register, and cashier by location		all	

**Table 12.1 Bank Account Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Case processing or financial</u></b>			
12.1.1 Establish, maintain, and track various types of bank accounts ( <i>e.g., interest bearing, non-interest bearing, payment, pay-through, funds held short-term by clerk</i> )		all	
12.1.2 Post interest accruals to bank accounting records ( <i>e.g., interest accrued daily to overall account, such as for all trust accounts</i> )		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.1.3 Print (including ability to reprint) system-wide daily cash receipts journal		all	
12.1.4 Produce detailed and summary lists of financial transactions ( <i>e.g., fee, fine, restitution receipts, disbursements, interest accruals, voided transactions listed by type or chronologically</i> ) for specific accounts over specific periods ( <i>e.g., daily, monthly, for life of case</i> )		all	
12.1.5 Provide a process that should include but not be limited to identifying NSF checks		all	
<b>Financial</b>			
12.1.6 Calculate and record bank deposits		all	
12.1.7 List bank deposits in various groupings ( <i>e.g., totals for cash, check, credit card</i> ) showing account in which funds to be deposited		all	
12.1.8 Print (including ability to reprint) bank deposit slips for specific banks and periods		all	
12.1.9 Produce reconciliation report for each bank account for specific time period		all	
12.1.10 Produce outstanding check report		all	
12.1.11 Produce trial balance ( <i>e.g., at end of month before posting to general ledger</i> ) and balance reports for each account over specific period		all	
12.1.12 Total and reconcile receipts over specific period for multiple cashiers to calculate bank		all	
12.1.13 Receive bank statements and reconcile bank accounts electronically	yes		all

**Table 12.2 Case Account Management Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Case processing</b>			
12.2.1 Maintain financial parts of case files and register of actions ( <i>e.g., payments collected, liabilities with linkage to accounts receivable in finance</i> )	yes	all	
12.2.2 Automatically populate appropriate fees/costs (not fines) based on violation and allow for clerk override	yes	all	
12.2.3 Populate appropriate fines based on violation and local business rules and allow for clerk override	yes		all
12.2.4 Compute and display costs and fees based on occurrence of specific event ( <i>e.g., traffic school, warrant issuance, subpoena.</i> )	yes	all	
12.2.5 Track fee waivers and deferrals	yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
12.2.6 Track funds collected by external agencies for the court and update the register of actions for specific case			all
12.2.7 Ability to establish a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories paid to state and county criminal justice agencies		all	
12.2.8 Record changes to accounting records that result from court orders ( <i>e.g., change in monthly restitution amount</i> ) and modify appropriate records		all	
12.2.9 Maintain standard tables for court costs, fees, and fines		all	
<b><u>Case processing or financial</u></b>			
12.2.10 Post case or defendant related receipts to accounting records and register of actions	yes	all	
12.2.11 Post case and defendant related disbursements to accounting records	yes	all	
12.2.12 Apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries ( <i>e.g., bank adjustments for errors or bad checks</i> ), and modify amounts due with proper authorization		all	
12.2.13 Supply financial reports as defined by local jurisdiction reporting needs		all	
<b><u>Financial</u></b>			
12.2.14 Generate and print (including ability to reprint) invoices for and document collection of all money ( <i>e.g., fees for re-service of process</i> )			all
12.2.15 Produce correspondence ( <i>e.g., payment notices and dunning letters</i> )			all
12.2.16 Provide capability to adjust receivables on a specific case or account when directed by court order ( <i>e.g., write off uncollected debt when obligor dies</i> )		all	
<b><u>Financial (primarily court support)</u></b>			
12.2.17 Create payment schedule, collect payments, apply payments collected to scheduled amount due ( <i>e.g., amount in judgment</i> ), and produce reports on overdue amounts		all	
12.2.18 Track installment payments and partial payments			all
12.2.19 Share information with state or external agencies to coordinate collection of court-ordered payments			all

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 12.3 Distribution Account Management and Funds Disbursement Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Case processing or financial</u></b>			
12.3.1 Allow flexible, user-defined and -maintained account structure that permits funds to be allocated to appropriate case cost types and other accounts ( <i>e.g., for city, county, state, court</i> ) for specific date range		all	
12.3.2 Ability to place a hold on disbursements of funds deposited for a case		All	
12.3.3 Automatically calculate and disburse the money collected by the court	yes	all	
<b><u>Financial</u></b>			
12.3.4 Notify bank electronically to disburse funds to recipients	yes		all
12.3.5 Track and age undistributed, unclaimed, or forfeited money and produce aging reports		all	
12.3.6 Post non-case-related disbursements ( <i>e.g., for copies</i> ) to accounting records and associate with proper account based on local business rules	yes	all	
12.3.7 Compute parts of fees, costs, and fines to be allocated to other local and state units ( <i>e.g., portion of fees for county parks, county library, other purposes</i> ) according to local business rules	yes	all	
12.3.8 Produce report showing allocation formula for disbursing money to other local and state units over specific period, money disbursed, and how formula was used to compute allocation		all	
12.3.9 Initiate, print, and disburse sequentially-numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
12.3.10 Initiate, prints, and disburse checks individually and/or cumulatively over specific periods and record checks on check register		all	
12.3.11 Produce pre-check register ( <i>e.g., to view checks prior to printing register</i> ) and check register over specific period		all	
12.3.12 Support check writing		all	
<b><u>Financial (primarily court support)</u></b>			
12.3.13 Allow multiple pay through cost assessments to be specified for each case		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Payment plan</b>			
12.3.14 Provide capability to track cases and accounts which have been placed on a payment plan		all	
12.3.15 Provide ability to establish a payment plan for one or more cases		all	
12.3.16 Provide ability to establish payment plans with variable terms and amounts		all	
12.3.17 Ability to automatically generate a late payment notice according to local business rules	yes		all
12.3.18 Automatically updates the register of actions for each late payment notice generated		all	
12.3.19 Ability to capture, update, and display the financial information (e.g., income, assets, monthly expenses, etc) for the defendant which will help determine payment plan			all
12.3.20 Ability to change status within the collection process (e.g., defendant is moved from collection to payment plan)			all
12.3.21 Ability to remove a case from a payment plan without deleting the payment plan for other cases		all	
12.3.22 Ability to add a case to an existing payment plan		all	

**Table 13.1 General Ledger Subfunctions**

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All financial</b>			
13.1.1 Create and maintain system-defined and user-customized chart of accounts		all	
13.1.2 Support the automated upload of case financial data reformatted into appropriate accounting and chart of account formats to the City/County/State Treasurer		all	
13.1.3 Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
13.1.4 Ability to reconcile and balance all accounts		all	
13.1.5 Create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	



Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 13.2 Accounting Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Accounts Receivable</b>			
13.2.1 Provide for the calculation of accounts receivable	All	all	
13.2.2 Provide the ability to view the projected future revenues for a given time period and account type		all	
13.2.3 Provide the ability to view all open cases with installment payment plans for a defendant		all	
13.2.4 Provide the ability to view and print suspended cash amounts under various parameters based on local business rules		all	
13.2.5 Provide the ability to view and print all adjustments made to the defendant account (accounts receivable)		all	
13.2.6 Provide the ability to view the dollars in unapplied cash amounts under various parameters based on local business rules		all	

**Table 13.3 Collection Management Subfunctions**

Subfunction	Auto	Mand.	Opt
13.3.1 Provide the ability to send or resend a defendant account to collections		all	
13.3.2 Ability to view all cases for the defendant that are in collection		all	
13.3.3 Ability to look up defendant collection information ( <i>e.g., collection case number, court case number and defendant name</i> )		all	
13.3.4 View collection activity statistics based on date range		all	
13.3.5 Provide the ability to record ( <i>e.g., update docket and/or financial records</i> ) that an account is being worked on by outside collection agency		all	
13.3.6 Accounts in a collection hold or outside collection status will be indicated on reports and on inquiry functions as being in collections		all	
13.3.7 Support recall of accounts in a collection status		all	
13.3.8 Provide the ability to make payment adjustments made to cases based on collection activity ( <i>e.g., record amount collected and charge balance to collection fee per local rules</i> )		all	
13.3.9 Ability to close a collection account when the file is closed by locally defined business rules		all	
13.3.10 System automatically moves customer accounts into collection based on locally defined parameters	yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt
13.3.11 Provide the ability to accept and enter payments for cases which are in collection			all
13.3.12 Ability to enter a civil lien ( <i>e.g., public defender lien and civil money judgment</i> )			all

**Table 13.4 Miscellaneous Processing Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Processing</b>			
13.4.1 Allow a user to refund and track overpayments; exonerate; reinstate; waive; and forfeit total or partial payments posted to trust funds, bonds or cash bail at any point in the accounting period		all	
13.4.2 Ability to track bail and property bonds		all	
13.4.3 Ability to transmit accounting records to and receive from the city/county/state financial application based on local rules		all	
13.4.4 Ability to generate remittance documents for the state agencies, local agencies, and special districts ( <i>e.g., amount collected for each code section; total remittance; deposit period; and date</i> ) based on locally defined parameters		all	
13.4.5 Ability to automatically identify traffic cases eligible for amnesty and calculate the amount due	all		all
13.4.6 Ability for the system to automatically apply a prepaid deposit to the appropriate case once the judgment has been issued		all	
13.4.7 Ability to enter a request for processing refunds and to print a list of refund requests which can be sent to the controller's office for processing			all

**Table 14.1 File Tracking and Storage Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.1.1 Provide capability to track files ( <i>e.g., barcodes and smart chips</i> ) and generate labels	yes		all
14.1.2 Track paper files from time checked out of clerk's office through each borrower (including those external to courts such as prosecutor) until returned to clerk's office			all
14.1.3 Identify location ( <i>e.g. storage facility, location in facility</i> ) for paper files ( <i>e.g. ,details about case storage box, including box#, data and box code; re-evaluate case information and set a new box date</i> )	yes		all

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
14.1.4 View and print list of cases which are to be moved to off-site storage based on user defined parameters			all
14.1.5 Provide ability to track multi-volume files			all
14.1.6 Provide ability to flag electronic files when paper copy file has been reported lost			all

**Table 14.2 File Archival and Destruction Subfunctions**

Subfunction	Auto	Mand.	Opt.
14.2.1 Process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility	yes	all	
14.2.2 Retain selected information from inactive, archived, destroyed, or purged cases based on local rules		all	
14.2.3 Create a docket entry when a case is archived, destroyed, or purged	yes	all	
14.2.4 Expunge files according to locally defined rules when ordered by the court		all	

**Table 15 Document Management Subfunctions**

Subfunction	Auto	Mand.	Opt.
15.1 Provide for or interface with an electronic document management system ( <i>e.g., the scanning, storage, retrieval, and display of digital images, word-processing documents, and other document types</i> )	yes	all	
15.2 Allow search, retrieval, view, and printing of electronic documents and images ( <i>e.g., the user should not know or care if the document is imaged or created by the court in Word; all documents relating to a case should show as title of the document and be available for viewing on demand</i> )		all	
15.3 Provide capability to toggle between views of several different documents		all	
15.4 Provide ability to apply electronic signature ( <i>e.g., judge's signature</i> ) to a document for all static court documents ( <i>e.g., judicial orders</i> ) if allowed or required by statute or court rule		all	
15.5 Provide ability to create a digital certificate ( <i>i.e. electronic document authentication algorithm</i> ) for all static court documents ( <i>e.g., judicial orders</i> ) if allowed or required by statute or court rule		all	
15.6 Create and maintain electronic documents	yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 16.1 Case Management Navigation Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Answering Inquiries</b>			
16.1.1 Allow a user to interrupt work in mid-transaction to perform an inquiry or another transaction and then resume the interrupted transaction		all	
16.1.2 Allow a user performing an inquiry to navigate directly to any element related to a case, defendant, or attorney without re-entering search criteria or traversing menus		all	
16.1.3 Display case summary information on one screen based on locally defined preferences ( <i>e.g., case type; case status; next scheduled event; amount owed for both fines and bail and next payment date; court department; related cases(s) and cross-reference(s); special alerts; disposition information; and date case last updated</i> )		all	

**Table 16.2 Case Inquiry Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Case Inquiry</b>			
16.2.1 Provide the ability to display all the cases for a defendant		all	
16.2.2 Provide the ability to display all the scheduled appearances for the defendant		all	
16.2.3 Provide ability to list all the citation numbers associated with a case		all	
16.2.4 Provide ability to list all the summons/complaint violations including ordinance number, description and violation date, time and location for a case or defendant		all	
16.2.5 Provide remote access to case information as permitted by local rules or statutes		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 16.3 Managing Cases Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Managing Cases</u></b>			
16.3.1 Provide the ability to designate which cases need to be seen by court intervention program ( <i>e.g., DWI/Drug Court, pretrial diversion</i> )		all	
16.3.2 Provide ability to reclassify cases ( <i>e.g., change case type</i> )		all	
16.3.3 Allow the user to change to which court location the case is assigned		all	
16.3.4 Support the entry of an unlimited number of staff viewable notes regarding a case, which can be viewed by other staff with appropriate security		all	
16.3.5 Provide ability to cross-reference cases ( <i>e.g., accommodate multiple external case numbers or tracking codes assigned to a case</i> )		all	

**Table 16.4 Managing Case Defendants Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b><u>Managing Case Defendants</u></b>			
16.4.1 Capture multiple sets of demographic, descriptive, or informational data on the same person or business ( <i>e.g., one person may use two or more Social Security numbers, Dates of Birth, Names, Drivers License Numbers or Sets of Address Data or a business may have both a legal name and a trade name</i> )		all	
16.4.2 Ability to match potential duplicates ( <i>e.g., last name, first name, middle initial, DOB, SSN, and race</i> ) and merge the records once it is verified		all	
16.4.3 Ability to accommodate hyphenated names; individuals with only one name ( <i>e.g., Sting</i> ); doing business as ( <i>i.e., DBA</i> ); and corporate names		all	
16.4.4 Provide electronic capability to link person information as AKA to known individuals and link cases of AKA to known individuals		all	
16.4.5 Ability to track name change history for a given person		all	
16.4.6 Allow a user to identify and link an existing person record rather than re-entering person information for each case or complaint		all	
16.4.7 Allow the association of one or more vehicles to one or more persons or businesses			all

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
16.4.8 Support address verification against multiple address databases external to the case management system ( <i>e.g., DMV and Credit Reporting Bureau</i> )			all
16.4.9 Address validation ( <i>e.g., US Postal Service and/or GIS</i> )			all
16.4.10 Support incorporation of address data and data source information from outside databases if, after verification, that data is found to be different while retaining data entered from the charging document or booking notice			all
16.4.11 Capture and store violation data information ( <i>e.g., statutes, blood alcohol concentration (BAC), location, date, time, officer badge number, crash indicator, personal injury, property damage, fatality</i> )		all	

**Table 17 Information Sharing Subfunctions**

Subfunction	Auto	Mand.	Opt.
17.1 Provide ability to accept electronic citation data and documents ( <i>e.g., citations, witness list, arrest warrant</i> ) and electronically transfer/update court CMS utilizing the current GJXDM standard	yes	all	
17.2 Provide for the creation of external agency reports and their electronic transfer to another justice or non-justice agency per locally defined rules utilizing the current GJXDM standard	yes	all	
17.3 System automatically moves customer accounts into collection based on locally defined parameters utilizing the current GJXDM standard	yes	all	
17.4 Provide integration with external agencies ( <i>e.g., law enforcement, prosecutor, corrections and Department of Motor Vehicle (DMV)</i> ) access with push/pull data exchange capability and inquiry utilizing the current GJXDM standard	yes	all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

**Table 18 Management and Statistical Reporting Subfunctions**

Subfunction	Auto	Mand.	Opt.
<b>Administration, State and Internal Reports:</b>			
18.1 Generates statistical reports for each case type in accordance to state requirements ( <i>e.g., to address the state's judicial branch reporting requirements</i> )		all	
18.2 Produce caseload management reports per locally defined rules ( <i>e.g., speedy trial, case aging</i> )		all	
18.3 Produce a Case Profile/History report of all case information ( <i>e.g., defendants; actions; and register of actions</i> )		all	
18.4 Allow a user to select multiple sort options including date order ( <i>i.e. ascending or descending</i> ) of case information presented in case histories		all	
18.5 Provide a report of dispositions on each traffic violation		all	
18.6 Provide a report of commitment orders or warrants issued but not returned to the court		all	
18.7 Provide report of defendants on payment plans ( <i>e.g., payments, placements, active accounts, compliance statistics, non-compliance</i> )		all	
18.8 Report of all appeals filed for a specified date range		all	
18.9 Provide reports on collection of payments ( <i>e.g., due date changes, extensions, balance adjustments, financial activity, payments, releases/full stays</i> )		all	
18.10 Provide financial reports based on local business rules and state or local audit requirements		all	
18.11 Provide reports of violations with no action based on local court rules		all	
18.12 Allow for the creation of ad hoc reports by administration or court staff		all	
18.13 Provide case closure reports ( <i>e.g., cases closed over specific period with reason closed</i> )		all	
18.14 Provide locally defined management reports from audit trail data ( <i>e.g., manpower report</i> )			all
18.15 Provide court order compliance report based on local rules ( <i>e.g., alcohol programs, traffic school, community service</i> )			all
18.16 Provide failure to appear report based on locally defined rules			all
18.17 Provide collection report which is parameter driven ( <i>e.g., only records over X days old, over X dollars past due, accounts with X pay method</i> )		all	
18.18 Ability to display and print a detail and summary aging report for a specific date range ( <i>e.g., all accounts, one defendant, pay status or month</i> )		all	

Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
18.19 Ability to generate a report indicating the revenues for a specified date range which apply to the city, county and state		all	
18.20 Produce reports (including ability to reproduce or reprint) showing cases that will be or have been archived or destroyed		all	
18.21 Produce statistics on electronic transactions received, accepted and rejected over specific time period		all	

**Table 19.1 Security Subfunctions**

Subfunction	Auto	Mand.	Opt.
19.1.1 Ensure electronic case records ( <i>e.g., electronic filings, docket entries, system-generated documents, and calendars</i> ) cannot be modified without proper authority	yes	all	
19.1.2 Allow restricted access to security authorization tables defined, maintained, and controlled by system administrators ( <i>e.g., access authorization tables controlled by system administrator</i> )		all	
19.1.3 Create and maintain records on access privileges for specific groups of users and types of data ( <i>e.g., case, defendant, and victim</i> )		all	
19.1.4 Restrict access to and permissible operations ( <i>i.e., view; add; change; delete; seal; and expunge</i> ) on case types, case categories, files, parts of files, and system functions from and to other system functions, device ( <i>e.g., terminals, PC's, printers</i> ) locations, users, and groups of users	yes	all	
19.1.5 Restrict access to certain cases, classifications of cases, and parts of cases ( <i>e.g., access to sealed cases, access to defendant name and address in suppressed indictments</i> ) from specific system functions, device ( <i>e.g., terminals, PC's</i> ) locations, users, and groups of users in accordance with rules, statutes, or court orders ( <i>e.g., active, inactive, archived cases and in large multi-court systems, a court clerk in one county should not be able to modify or delete case data in another county</i> )		all	
19.1.6 Provide security if public access is allowed. System should have the ability to restrict certain data fields from public view, such as social security numbers, the address of the arresting officers		all	
19.1.7 Provide secure passwords for user ( <i>e.g., require password change periodically, automatic password expiration, suppress password display, support user created passwords, etc</i> )		all	



Appendix B: Case Management Functional Requirements  
TRAFFIC

Subfunction	Auto	Mand.	Opt.
19.1.8 Provide automatic logoff of application after predetermined period of inactivity		all	
19.1.9 Support positive authentication of user (e.g., biometrics)			all
19.1.10 Maintain and produce audit trail of additions, modifications, deletions, and rejected transactions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ	yes	all	
19.1.11 Allow user management team (e.g., court management team, system administrator) or designee to determine access levels to specific groups of information (i.e., victim, witness, juvenile victim, and juvenile witness) in order to comply with locally defined procedures as they pertain to witness and victim protection	yes	all	
19.1.12 Support secure access by authorized non-justice agencies for the maintenance of compliance data resulting from court orders	yes	all	
19.1.13 Provide a screen banner notifying authorized users that their activities may be monitored by system and management personnel		all	
19.1.14 Provide field level security		all	
19.1.15 Provide security for standard and ad hoc reporting		all	

**Table 19.2 Integrity Subfunctions**

Subfunction	Auto	Mand.	Opt.
19.2.1 Ensure that the content of each electronic document and data sent by external user matches what is received by the court	yes		all
19.2.2 Provide for disaster recovery		all	
19.2.3 Allow for database backups and restoration on demand	yes	all	
19.2.4 Allow for identification of locally defined mandatory fields		all	
19.2.5 Allow the user to track who entered/changed a transaction by date/time stamp		all	

## Appendix B: Case Management Functional Requirements CROSS FUNCTIONAL

### Cross functional Case Management Requirements

Some required functionality occurs across different case types and court operations. These include:

- **Electronic filing** - Submission of official court documents such as pleadings and other filings in electronic, rather than paper, form to the clerk's office from remote locations (e.g., attorneys' offices). Users in the remote locations prepare electronic input documents according to the court's requirements, and they transmit the documents to the court using the Internet and other communications media. The court confirms receipt of the document; records pertinent information (e.g., sender identifier, time and date of filing); maintains the document in a secure environment, in a verifiable format, and in a manner that allows rapid access; and transfers data from the filing into the case processing system.

Electronic filing also is addressed in the Case Initiation and Indexing Function, Docketing and Related Recordkeeping Function, and Document Generation and Processing Function; and the security aspect of electronic filing is covered in the Security Function. Electronic filing may intersect with document management, described below, to send electronic input documents (as opposed to the electronic court documents described in the next paragraph on electronic document distribution) to judges and court staff.

- **Electronic document distribution** - Distribution of electronic court documents (e.g., orders, judgment forms, electronic acceptance notices following electronic pleadings, other types of notices), docket summaries, calendars, court minutes, drafts of documents sent out for review, and detailed and summary reports using dial-up lines, the Internet or intranet, facsimile transmissions, e-mail, and other technologies (using "push" as well as "pull" technology - note that "push" technology refers to data that is pushed to another location such as a dumb computer terminal; "pull" technology refers to data that is pulled down from another location such as the Internet).

Electronic document distribution also is addressed in the Document Generation and Processing Function, Calendaring Function, and Disposition Function.

- **Electronic fee payment and funds transfer** - While also being addressed as a separate project within the JIS Enterprise Migration strategy, considerations specific to case management revenue collection and funds transfer is discussed here. Various methods of electronic fee payment and funds transfer between courts and other entities. Types of fee payment (e.g., by attorneys) could include funds transfer between the attorney's and the court's bank accounts, debiting accounts established

## Appendix B: Case Management Functional Requirements CROSS FUNCTIONAL

by attorneys to cover court expenses, debiting attorney credit card accounts, and on-line check writing. In addition, electronic funds transfer could occur between courts (e.g., appellate court for appealed cases), between courts and other governmental units (e.g., according to fee allocation formula), and between courts and banks (e.g., for deposits into court accounts). All funds transfer must conform to federal and local standards for security (see Security Function), formatting, and communications. Electronic fee payment and funds transfer (i.e., generic terms covering all types of electronic financial transactions involving debits and credits to accounts or movement of funds) also are described in the Accounting - Receipting Function and Accounting - Bookkeeping Function.

- **General electronic information exchange** - Case processing systems must exchange other types of information with the systems of various entities. The JIS Enterprise Architecture addresses this area through the use of Web Services. The requirements discussed here include the interfaces associated with statistical reporting and judgments (i.e., the general term for any resolution or disposition that results from a court decision) exemplify this information exchange and are described in the Hearings Function, Disposition Function, and Management and Statistical Reports Function.
- **Document management** - Encompasses the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Document management systems may provide advanced capabilities in the above functions, as well as additional features such as document version control and workflow for document routing to specific workstations. Sources of documents include electronic filing, the Internet, local or remote scanners or facsimile machines, and transfer from other systems (e.g., case processing, word processing) by diskette or electronically. The Document Generation and Processing Function; File, Document, and Property Management Function; and Security Function describe these document management requirements.