JUDICIAL REFORM IMPLEMENTATION PROJECT

Contract No. DFD-I-03-04-00173-00

AUTOMATED CASE MANAGEMENT INFORMATION SYSTEM IN THE MACEDONIA JUDICIARY

TECHNICAL ASSISTANCE IN INTITIAL DEVELOPMENT AND PLANNING

1. INTRODUCTION

1.1 OBJECTIVE AND BACKGROUND

This report is the culmination of a contract to provide technical assistance in the initial development and planning for the Automated Case Management Information System (ACMIS) for the Macedonia Judiciary. The contract included in-depth analysis of the needs of the Judiciary, the development of the technical specifications of a Request for Quote to select a vendor to design, implement and support the ACMIS, and identification of further organizational improvements to support the implementation of ACMIS and automation efforts of the Judiciary in the future. This effort, and the report, is in support of the Judicial Reform Implementation Project (JRIP). The JRIP is being carried out by DPK Consulting, Inc. under Contract No. DFD-I-03-04-00173-00 with the United States Agency for International Development (USAID).

Most of the courts in the Macedonia Judiciary use a manual system to track cases from filing through disposition and archival processes. Three of the trial courts have extensive automated case management systems, and some of the courts are using an automated system in a very limited functionality, i.e., recording the filing of a case and the assignment of a judge. However, most of the case tracking systems used by the courts are labor intensive, involving hand writing event dates and summaries in many documents. Generally, these types of systems are inefficient, and can also be ineffective. It was determined by the USAID, DPK Consulting, Inc., and organizations in the Macedonia Government that the Judiciary requires a fully automated case management and information system (ACMIS). To that end, this contract was let to provide technical assistance in identifying the overall and business requirements of ACMIS, and to prepare the RFQ for the employment of a vendor to design, implement, train and support ACMIS.

This report, together with the RFQ and trip report submitted separately, completes the deliverables required by the contract. The major focus of this consultancy was the development of the RFQ. Consequently, the largest proportion of the work of this consultancy is contained in the RFQ. In addition to the RFQ, this report recommends:

- Immediate establishment of action groups in charge to guide the contract resulting from the ACMIS RFQ,
- Distribution of Process Decomposition Diagram, Data Flow Diagrams and Entity and Attribute Descriptions with business rules to the Focus Group to begin recording case processing rules,
- Emphasis on phased implementation of ACMIS,
- Emphasis on the necessity of leadership support for ACMIS from the national and local courts,
- Establishment of permanent action groups in charge to fully develop, review and approve the automated systems of the Macedonia Judiciary,
- Provision of adequate funding for maintenance and replacement of hardware and software,
- Provision of adequate technical staff support for the judges and court staff in the use of ACMIS, including the importance of adequate compensation for technical staff,
- Provision of a permanent training capacity for the judges and staff, and
- Additional consultancies for assistance in the definition of ACMIS rules, and for review of responses to the RFQ.

1.2 METHODOLOGY

This project was conducted using the following steps: reviewing existing reports, collecting information from on-site visits and workshops, developing recommendations and confirming recommendations with court judges and staff, preparing the RFQ, and preparing the final report.

1.2.1 Collection of Data

Data was collected from a variety of documents, on-site visits to courts, workshops, and meetings, including:

- Previous reports describing case flow processing in Macedonia, prior RFQ's used for the Macedonia Judiciary and other court and executive branch systems, and model RFQ's from national and international study groups.
- Visits to three basic courts: Skopje 1, Skopje 2, and Ochrid. These courts were selected because they represented a range of the status of automation. In each court, the following steps were taken:
    - Opening interviews were conducted with the President Judge or designated staff, when the purpose of the study and of the visit was explained, and information was gathered concerning the status of automation in case processing.
    - On-site analysis was focused on the use of automation in case processing.
- A visit to the Supreme Court Information Technology Center to review the current status of staff support and the infrastructure currently available to the Judiciary.
- Workshops with the Focus Group, consisting of judges and court staff that were expert in case processing, and court technical staff, to present initial proposals concerning functions and processes, gather information about court processing rules, and obtain feedback on further full development of the rules.

1.2.2 Interim Analysis of Each Court, Workshop or Meeting

Immediately after each event, an analysis was prepared, including modifications to the functions and processes necessary to be performed in ACMIS. This analysis was reviewed with the Focus Group, the Steering Committee and DPK in-country staff. In addition, documentation of the detailed business processing rules was begun.

1.2.3 Preparation of the RFQ and Final Report

An extensive analysis was prepared, taking into account information gathered from the:

- General principles of effective and efficient case management,
- Review of existing documents and reports,
- Visits to the courts and agencies, and
- Workshops and meetings.

The RFQ was prepared using generally accepted industry and court system standards for information technology procurement, and diagramming and description of processes, data flows, and entity relationships. The RFQ was reviewed with DPK staff, revisions were made, and the RFQ resubmitted. The RFQ contains the information necessary for prospective vendors to bid on the project. There are two attachments, and one chart, that remain to be inserted into the RFQ. These are under development or were just submitted at the time of preparation of this report.

1.3 ORGANIZATION OF REPORT

The Report is organized in the following sections:

- Description and Assessment of Current Status and Use of Automation in the Courts

- Recommendations for Implementation of ACMIS
- Recommendations for Future Automation in the Judiciary
- Recommendations for Future Consultancies
- Appendices

2. DESCRIPTION AND ASSESSMENT OF CURRENT STATUS AND USE OF AUTOMATION IN THE COURTS

This section is based on the court visits described above, and discussions with court, Ministry of Justice (MoJ), and DPK staff.

2.1 STATUS OF AUTOMATED SYSTEMS

The Macedonia Judiciary can make extensive use of fully automated case management systems, greatly benefiting from the well documented applicability of automation to the courts. From direct observation, the trial court in Ochrid is using an earlier automated case management system to its fullest capacity. Information is captured at the earliest opportunity and available to all authorized users. The full cycle of case initiation, case updating and case closing is available and being used.

It was reported that the trial court in Kriva Palanka is also fully utilizing this earlier system. In addition, based on an earlier study in 2006, the trial court in Veles is using an even earlier case management system, with associated benefits.

While it has been demonstrated that the Macedonia Judiciary can use and benefit from automated case management systems, the systems in use in these three courts need to be replaced. The system in Veles is a character-based system running on a mini-computer. The system in the other two courts does not have all of the required functions and processes identified during the analysis. Furthermore, the system cannot be easily updated or web-enabled, if at all.

The other trial courts also have the system used in Ochrid and Kriva Palank. However, they are either using automation on a very limited basis, or not at all. Some trial courts are using the first module of the system but only to the point where a trial judge is automatically assigned. Other trial courts are not using the system even to this limited extent. The key difference appears to be the training methodology used in Ochrid and Kriva Palanka. Extensive, user oriented training with actual case data over a period of time, together with top level leadership and management commitment resulted in a fully utilized system. The success of this approach is reflected in the RFQ, which requires bidders to present a proposed training plan following the outline used in these two courts.

2.2 STATUS OF EQUIPMENT

There are a large number of servers, work stations, printers and networking devices in the Macedonia Judiciary. The exact inventory is to be inserted in the RFQ submitted through this consultancy. However, preliminary results point to a wide disparity in age and capacity of the current equipment. The RFQ requires bidders to provide an assessment of the usability of current assets, and a recommendation for additional assets.

2.3 STATUS OF DATA COMMUNICATION LINES

While all courts are interconnected with data communication lines, the majority are very low capacity – e.g., 64kbs. Discussions with representative of the MoJ have informed us that while

one of the goals of the Macedonia government is to install broadband capability throughout the Judiciary, that goal will not be realized by the time that ACMIS is ready to be installed. Consequently, the RFQ requires the bidders and the successful vendor to present and design ACMIS in two modes. First, the system must operate in a LAN environment in each court using batch processing, where necessary to upload and download information from external systems. Second, the LAN based system must be modular in design to permit a straightforward and inexpensive migration to a WAN using high bandwidth for fully centralized automated case processing.

3. RECOMMENDATIONS FOR IMPLEMENTATION OF ACMIS

The primary delivery of this consultancy is the RFQ for the selection of a vendor to develop and deliver the ACMIS. All of the actions required of both the bidders and the successful vendor are contained in the RFQ. This section of the Final Report makes recommendations outside of the context of the RFQ which are essential to the success of the RFQ, and to the success of the Macedonia Judiciary in maintaining and enhancing the ACMIS and supportive hardware and software infrastructure after installation. The recommendations are as important to the success of the ACMIS as the requirements of the RFQ.

3.1. EMPHASIZE THE NECESSITY OF LEADERSHIP SUPPORT FOR ACMIS FROM THE NATIONAL LEVEL AND LOCAL COURTS

Implementing a major change in operations in any organization requires strong support from all leaders and managers. This is certainly true in the development and implementation of ACMIS in the Macedonia Judiciary. ACMIS will change virtually every aspect of case management, from the roles that court staff have to perform to the elimination of manual registries and supporting books. ACMIS will improve the transparency, effectiveness and efficiency of the Judiciary, but there will be inevitable disruption to well-established daily routines, and concern and anxiety among the judges and staff.

JRIP should consider holding meetings with the presiding judges and court secretaries to discuss the effect of a major change, such as ACMIS, on the Judiciary, and to develop plans for national and local meetings or seminars to prepare judges and court staff. Presentations by the judges and staff from the trial courts in Ochrid and Kriva Palanka would be useful. They could describe the approach they took at the beginning of the ICIS reimplementation process, and the steps they took to support the staff during training and implementation.

Once the successful vendor has been selected, JRIP should also consider holding periodic meetings regarding the progress of the project. In addition, JRIP staff should be present at the start of each training session in each court, and plan to make periodic visits thereafter to monitor progress and identify any emerging problems.

3.2. IMMEDIATE ESTABLISHMENT OF ACTION GROUPS IN CHARGE TO GUIDE THE CONTRACT RESULTING FROM THE ACMIS RFQ

The RFQ assumes the presence of three action groups in charge: Business Users Action Group in Charge, Technical Users Action Group in Charge, and Executive Action Group in Charge. These three groups must be established and authorized by the appropriate organizations in the Macedonia government. The Business and Technical Users Groups must have the responsibility and authority to advise and work with the successful vendor to define the business and technical rules, screens and reports, technical components and

infrastructure, and recommend approval to the Executive Group. The Executive Group must have the authority and responsibility to review, request modifications, and approve the recommendations of the Business and Technical Groups.

As stated in the RFQ, the Business Group should consist of representatives from JRIP, designated judges and court staff that represent the geographical and size diversity of the Macedonian Judiciary. The Technical Group should consist of representatives from JRIP, designated information technology staff from the Macedonian Judiciary and the MoJ. The Executive Group should consist of representatives from JRIP, the USAID, the Macedonia Judiciary, and the Ministry of Justice. After obtaining approval from the appropriate Users' Group in Charge, the successful vendor must then present the deliverables of each phase of the project to the Executive Action Group in Charge for its review and final approval and acceptance of each deliverable.

It is essential that these three groups be created before the awarding of the contract under the RFQ. They must be standing groups for the life of the RFQ. The members of the Business and Technical Groups must be available to meet two to three days per week during the analysis and design phase of the RFQ (approximately seven weeks), and as needed for the testing phase thereafter. The Executive Group must be prepared to meet at least once per week. Finally, it is critical that the members have the authority to review and recommend (in the case of the Business and Technical Groups), and review and approve (in the case of the Executive Group), **without further consultation outside of the meetings of the respective Group.** If the members of these three groups do not have this authority, it is very likely that the RFQ will not be completed on schedule.

3.3. IMMEDIATELY CONTINUE ANALYSIS AND DOCUMENTATION OF BUSINESS RULES

As pointed out earlier in this report, the schedule for the development and implementation of ACMIS is very tight. A key early component is the analysis and documentation of business rules. Well documented business rules are essential for the successful vendor to incorporate into ACMIS to meet the requirements of the Judiciary.

The RFQ requires the successful vendor to work with the Business Group to analyse and document the business rules. This is a critical, intense and time-consuming process. However, the process need not wait for a vendor to be selected. As an example, prior to this consultancy, the Focus Group had done considerable work on identifying "Desirable Functions" to be included in ACMIS. This work is summarized in the RFQ, and each function is cross referenced to the Process Decomposition Diagram. Most of the desirable functions are statements of business rules. Although these business rules need editing and further development, they are a very useful starting point.

The Focus Group, assisted by JRIP staff, should be asked to continue to analyze and document business rules. The Focus Group was asked to perform this task at the last meeting with the consultants. This report contains a more formal methodology to document business rules, which will assist in the formulation of the rules in a manner which will be more easily understood by the staff of the successful vendor, and aid in the timely completion of the ACMIS.

It is recommended that a copy of the Process Decomposition Diagram and each of the Data Flow Diagrams be distributed to the members of the Focus Group, and that the members be asked to record each business rule that they can identify for the processes they perform during their normal duties in their court. An example of preparing a business

rule is contained in Attachment 1. The documented rules should be returned to JRIP on a regular basis.

Attachment 1 is divided into two parts. The first part presents the rules as they might be described in everyday language. The members of the Focus Group should be asked to describe the rules in this format.

The second part presents the rules in a format needed by a computer analyst or programmer to make ACMIS fully functional. The successful vendor will develop the level of detail displayed in the second part of Attachment 1 for use by its programmers.

3.4. EMPHASIZE THE NECESSITY OF A PHASED IMPLEMENTATION OF ACMIS

The RFQ requires that implementation of ACMIS begin on or immediately after 1 January 2009. It is neither possible nor desirable to simultaneously train and implement ACMIS in all courts. A phased implementation will allow for continuity among the training staff which will lead to a consistency in the delivery of training. A phased implementation will also allow sufficient time for corrections or modifications to ACMIS that may be discovered during implementation. Although thorough testing, as required in the RFQ, should hold such corrections or modifications to a minimum, the possibility of these events must be factored into the implementation.

JRIP and the successful vendor should develop a plan to provide for the orderly training and implementation of ACMIS in all courts. The plan should be based on the training scheduled submitted by the successful vendor, and JRIP's knowledge of the size and any unique circumstances of each court.

4. RECOMMENDATIONS FOR FUTURE AUTOMATION IN THE JUDICIARY

This section of the Final Report makes recommendations that are essential to the long term success of the Macedonia Judiciary in maintaining and enhancing the ACMIS and supportive hardware and software infrastructure after installation.

4.1. ESTABLISHMENT OF PERMANENT ACTION GROUPS TO REVIEW AND APPROVE THE AUTOMATED SYSTEMS CAPACITY OF THE MACEDONIA JUDICIARY

A large organization that utilizes automation must be continually monitored to insure that its automation programs, equipment and infrastructure are responding to the ever-changing needs of the organization. This is especially true of the Macedonia Judiciary. Substantive and procedural laws are constantly changing, as are programs that are useful to judges, and principles of caseflow management.

The Macedonia Court Modernization Project recommended a broad-based organization in a report made in June 2007. The outline of its structure is contained in Attachment 2. As can be seen, the membership of the organization is broad-based, including all members of the Justice System in Macedonia. This report highly recommends and supports the creation of the MoJ Information and Communication Technology Committee (ICTC). Its role would be an extension and expansion of the Executive Group that is recommended to be formed for the ACMIS development and implementation, but on a broader, and permanent, basis.

In addition to the ICTC, it is recommended that the Business Users and Technology Users groups in charge be continued. Experience has shown that these committees are

invaluable in identifying emerging needs, and making recommendations to existing systems to meet those needs.

In a sense, it is a truism that any automated system needs modifications almost immediately after implementation. These recommendations would help insure the long term utility of ACMIS, and all othe Justice System requirements.

4.2. PROVISION OF ADEQUATE TECHNICAL STAFF SUPPORT FOR THE JUDGES AND STAFF, INCLUDING THE IMPORTANCE OF ADEQUATE COMPENSATION

Any automated system requires specialized, highly technical service staff. The staff must be able to develop, implement and maintain servers, desktop computers, printers and scanners, local area networks, wide area networks, operating systems, application software, and help desk and service request functions. Without this service capacity, even the best designed and implemented system will fail rapidly.

Each organization will need a different mix of staff abilities, depending upon several factors. These factors include the complexity of the application systems, the number of servers and user computers, the continuity of the capability and brand name of the equipment, the geographic size of the networks, and the sophistication of the users. In addition, automation service staff will have to be trained constantly to keep informed of the latest technology, its capacities and costs, and possible application to the organization's changing needs.

Another key question is the number of staff required to adequately support an organization's automation system and users. The Mitre Corporation published a technical paper titled "Predicting Staffing Sizes for Maintaining Computer-Networking Infrastructure". The Corporation analyzed available ratios, and found that typical infrastructures had one full time equivalent support staff for every 42 users. The Gartner Company, in a similar study, found that governmental, educational and nonprofit organizations had a ratio of one support staff for every 36 users. A planning figure of one full time equivalent support staff for every 40 users in the Macedonia Judiciary will probably be adequate.

We understand that the number of support staff is being increased. We recommend that the ultimate goal is to reach the ratio of one support staff for every 40 users. The staff should be hired as soon as possible. Every newly hired automation support staff person will have to go through a "learning curve" to understand the mission, operations and functions of the Judiciary, how automation supports the Judiciary, and the specific training and support needs of the users in the Judiciary. The qualifications of the staff will depend upon the range of knowledge, skills and abilities of the pool of applicants, and how potential candidates may compliment each other's abilities.

The assignment of the positions to an organization is very important. It is important to have a central core of application and infrastructure specialists to set standards and coordinate development and changes. It is equally important to have a sufficient number of support staff in the courts. Judges and staff will be extremely frustrated if their questions and problems are not responded to in a timely fashion. There is no substitute for professional problem solving at the production site. Finding the balance between the central and field based support staff will probably require time and adjustments.

As a practical matter, it may not be possible to obtain approval for the number of positions suggested in this recommendation in the short term. This is one of the reasons for the five

year support provision by the successful vendor in the RFQ. As additional staff is hired for supporting the Macedonia Judiciary, it is recommended that they train with the staff from the successful vendor. Regardless of this possibility, it is essential that at least one, and probably two, automation staff from the successful vendor or the Judiciary be made available in each court as it is trained and ACMIS is implemented.

A final caution is warranted with regard to the salaries of the automation support staff. The demand for talented, knowledgeable automation staff is growing world wide. The public sector will always have difficulty in providing the same level of compensation as the private sector. It is probably true that people may be attracted to the public sector for reasons of stability and working conditions. However, it is imperative that public sector salaries for information technology staff remain closely competitive with salaries in the private sector. If they do not, then the Macedonia Judiciary will not be able to hire and retain qualified technical support staff, and ACMIS and all other automated systems will inevitably suffer.

4.3. PROVISION OF ADEQUATE FUNDING FOR MAINTENANCE OF HARDWARE AND SOFTWARE

It is essential that an organization have an adequate, predictable amount of money for maintaining and upgrading hardware and software. Once an organization implements and relies upon an automated system, breakdowns in computer hardware must be repaired as expeditiously as possible. Contracts with private companies for repairing or replacing hardware should be considered, with a maximum of a 24 hour response time. Contracts should also be established that take into account distances from the companies' main sites to the court, traffic congestion, and the number of staff.

Hardware and software must be maintained. With regard to software, although the RFQ calls for the use of open source operating systems and applications wherever possible, there are always upgrades, some of which will require fees. A highly desirable goal is to upgrade, as needed, to maintain the most current version of operating system and application software.

With regard to hardware, the important goal is to maintain parity among all courts concerning the capacity of servers, work stations, LAN, and WAN hardware. As with software, parity will aid both the technical support staff and the users of the system. Also, it is inevitable that operating systems and software will eventually be unsupportaed on older machines.

It is recognized that providing adequate funding in this area can be problematic in any government or organization. It is important that the funding needs in this area be included and carefully presented in the annual budget request. Experience in other countries has shown that formula-driven requests, based on actual experience, are most readily accepted by Executive and Legislative branch financial and appropriation agencies.

4.4. PROVISION OF A PERMANENT TRAINING CAPACITY FOR THE JUDGES AND STAFF

The need for effective and timely information technology training will not stop with the installation of ACMIS. The need for continuous training comes from at least four sources:

- New judges and court staff,
- Change of assignments for court staff,
- Changes in the law and effective case management practices that will cause changes in ACMIS, and

- New hardware an infrastructure.

The Macedonia Judiciary needs to establish responsibility for identifying and tracking automation training needs resulting from personnel changes. The Automated Budget Management System should be analyzed to determine if personnel changes requiring new ACMIS training can be reported from the collected data in that system. The automation support staff will be aware of training necessitated by modifications to ACMIS resulting from changes in case law, and new or modified hardware.

The technical support staff should be charged with the tasks of:

- Defining the curriculum for the training,
- Identifying the judges and staff who should receive the training,
- Developing a timetable for the training, and
- Recommending a venue and method of training, such as:
  - At each courthouse,
  - At a central location, such as the Academy for Training Judges and Prosecutors, and
  - Through web training, once the broadband connections are installed.

The need for additional training of any type should always be reviewed with the Business and Technical Users Groups in Charge, and the ICTC. Once approval for the training has been given, the responsibility for scheduling and conducting the training should be with the technical support staff, who also have the responsibility for coordinating training with the appropriate presiding judges.

It is very important that adequate funding be provided for this ongoing need. Without effective training, any system, regardless of the excellence of its design and implementation, can become outdated and ineffective.

5. ADDITIONAL CONSULTANCIES

In reviewing the status of the ACMIS, there are two areas that could benefit from additional consultancies. This is discussed below.

5.1. ASSISTANCE IN THE DEFINITION OF ACMIS RULES

As pointed out earlier, the timetable for the full implementation of ACMIS is extraordinarily tight. In examining the RFQ, a key element is the full analysis and documentation of all the business rules in the Macedonia Judiciary. Well-documented business rules are essential to insure that the ACMIS operates efficiently and effectively. In addition, well-documented business rules will allow the successful vendor to code the ACMIS quickly and effectively.

The RFQ requires the successful vendor to analyze and document the business rules during the first month of the contract, while at the same time analyzing the process model, the logical database design, the data dictionary plan, the training plan, the user guide plan, the technical documentation plan, the external agent interface plan, and the data transfer plan.

It is recommended that a separate consultancy perform the analysis of the business rules with the Focus Group and document the business rules prior to the awarding of the ACMIS contract.

This approach has two benefits. The first benefit is that the critical path of the project will be shortened, thus increasing the probability of completing the project on time. The longest task during the analysis phase is documenting the business rules. It cannot be divided among separate groups to shorten the required time. It must be done with one Focus Group and one set of analysts. Other tasks in the analysis phase require less time, and can be done concurrently by the staff of the successful vendor.

The second benefit would occur if the consultants performing the analysis have thorough knowledge of the courts, as well as the knowledge and experience in preparing business rules for subsequent coding. This would help insure a high degree of quality for this vital component of the development of ACMIS.

5.2. REVIEW OF RESPONSES TO THE RFQ

The RFQ for ACMIS is complex and comprehensive. The responses must be carefully reviewed and scored based on a set of objective standards that have to cover both the business requirements and the technical requirements of the Madedonia Judiciary. It is recommended that consultants be hired for the review process who have full knowledge of both the Judiciary's processes and procedures, and of the components of a successful contract with an outside vendor.

APPENDIX 1 – BUSINESS RULE EXAMPLE

1.5 – Process Fee/Fine (part of 1.0 – Initiate Case)

GENERAL DESCRIPTION IN EVERYDAY LANGUAGE:

A plaintiff in a civil case is required to pay a filing fee. When a plaintiff brings the initial papers to a trial court to begin a civil case, the registry clerk checks to see if the plaintiff has paid a fee and the amount paid. If any payment has been made, the plaintiff must show a receipt to the registry clerk. The registry clerk will record in the system the Universal Number if the payer is a person, or the Organization Name if the payer is an organization, the date that the payment was made, and the amount of the payment. If no payment has been made, then no entry is made into the system. The remaining balance of the payment is calculated. The registry clerk stamps the plaintiff's copy of the initial papers, acknowledging filing of the papers and returns the initial papers to the plaintiff.

When a civil case is updated, it may include the full or partial payment of a fee. The registry clerk will enter the same information as described above, and produce an acknowledgement of the payment. A judge may also issue an order exempting a plaintiff from paying the fee.

A criminal fine may be imposed by a judge by an order or decision. The fine due becomes part of the record. Partial and full payments are recorded and a receipt issued in the same fashion as described above.

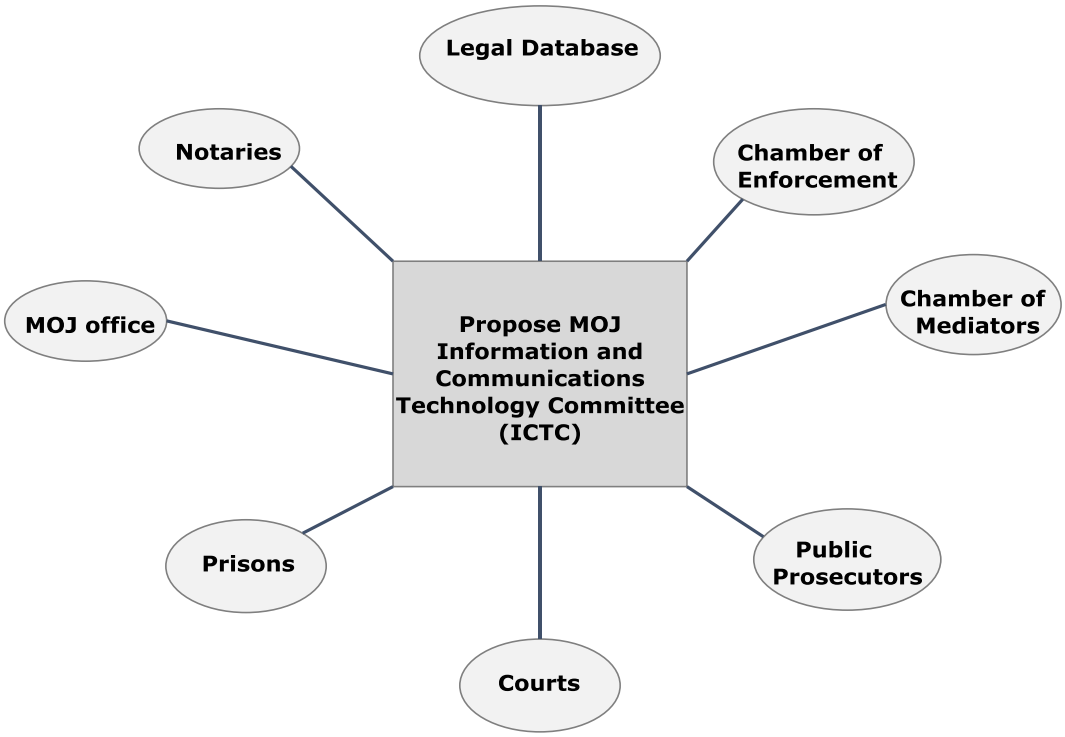
1.5 – Process Fee/Fine (part of 1.0 – Initiate Case)

BUSINESS RULE FOR PROGAMMERS:

1. Initiate Case
   1.1. Enter Case *
   1.2. Generate Case Number *
   1.3. Link or Separate Cases *
   1.4. Assign Judge *
   1.5. Process Fee/Fine
      1.5.1. Civil Case – A fee may be paid before the case is initiated or during updates of the case.
         1.5.1.1. Initial Filing - A fee may be paid by the Person or Organization before the case is initiated.
            1.5.1.1.1. The amount of the fee is set in the Book of Rules (*based on the Issue Code).
            1.5.1.1.2. The Exempt status of the Person or Organization is automatically set to NO when the case is initiated.
            1.5.1.1.3. When a payment is made by a Person or Organization the Payment Date and Payment Amount must be recorded and, the Balance Due must be calculated.
            1.5.1.1.4. A Receipt (stamp) must be printed showing the payer Universal Number or Organization Tax ID (or Organization ID Number), Person or Organization Name, Court ID, Case Number, Role Type, Fee Type, Fee Amount, Date Imposed, Payment Date, Payment Amount, and Balance Due.
         1.5.1.2. Case Update for Payment
            1.5.1.2.1. If a fee is not fully paid when the case in initiated, one or more payments may be made at any time prior to the case closing.
            1.5.1.2.2. When a payment is made by a Person or Organization the Payment Date and Payment Amount must be recorded and, the Balance Due must be calculated.
            1.5.1.2.3. A Receipt (stamp) must be printed showing the payer Universal Number or Organization Tax ID (or Organization ID Number), Person or Organization Name, Court ID, Case Number, Role Type, Fee Type, Fee Amount, Date Imposed, Payment Date, Payment Amount, and Balance Due.
         1.5.1.3. Case Update for Exemption
            1.5.1.3.1. Exempt status is set to YES by order or decision of a Judge.
            1.5.1.3.2. If the Exempt status is YES, no payments are due, and the Balance Due is set to zero.
      1.5.2. Criminal Case - For a criminal case, a fine may be imposed when an order or a decision has been made by the judge, which results in the creation of a Fine.
         1.5.2.1. The amount of the fine is set by the judge.
         1.5.2.2. When a payment is made by a Person or Organization the Payment Date and Payment Amount must be recorded and, the Balance Due must be calculated.
         1.5.2.3. A Receipt (stamp) must be printed showing the payer Universal Number or Organization Tax ID (or Organization ID Number), Person or Organization Name, Court ID, Case Number, Role Type, Fine Type, Fine

Amount, Date Imposed, Payment Date, Payment Amount, and Balance Due.

* Must define/clarify/obtain information

APPENDIX 2

Proposed MOJ Information and Communication Technology Committee (ICTC)