



**USAID** | **BOSNIA-HERZEGOVINA**  
FROM THE AMERICAN PEOPLE

Report Defining Case Management Software Functionality,  
System Deliverables and Application Design

Contract Number  
PCE-I-00-98-00015-00 TO 821

Submitted to:  
U.S. Agency for International Development

Submitted by:  
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February 28, 2005

This publication was produced for review by the United States Agency for International Development. It was prepared by Chemonics International Inc.

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development of the United States Government.

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**BiH Integrated Court  
(iSud)  
Case Management System**

**Functional Description**

**Introduction**

This document is based upon many sources including:

First, is the structure of the document, and foundational descriptions are based on the draft National Center for State Courts Composite Case Management Functional Standards being developed for the US Conference of State Court Administrators (COSCA) / National Association for Court Management (NACM) Joint Technology Committee. The Composite document was compiled from the civil, criminal, and juvenile case management functional standards created by national specialist committees in the USA.

Second, information collected from numerous reports, court forms, and court caseflow documentation created and collected by the USAID FILE Project in 2004.

Third, review and comments obtained from Judges and Court Staff the BiH iSud ICMS User Group in 2005.

Fourth, review of the Software Requirements Specification, Commentary and Recommendations for the Republic of Croatia, Integrated Court Case Management System created for USAID by the National Center for State Courts, 2004.

Fifth, experience of the USAID FILE BiH iSud ICMS and BiH HJPC project staff.

We are indebted to all for their help in developing this report.

## **Purpose and Organization of the ICMS Functional Descriptions**

Integrated case management systems (ICMS) track the progress of cases through a court and produce supporting documents and reports. The basic unit of information these systems use covers the persons involved in the case—parties, defendants, judges, other judicial officers, attorneys, and court staff. These persons submit documents to the court, participate in court events precipitated by those documents, and receive documents produced by the court as the case moves to disposition. Most events occur in accordance with schedules established by law, court rules, or as ordered by the judge. As events are completed, information is maintained on them. In addition to persons, therefore, basic units of information address events scheduled in the future and events that have already taken place.

Many cases have a financial element; such as civil cases involving fees, judgments, and charges for court services or criminal cases with fines. While the operation of financial functions between case management systems and financial systems varies, most case processing systems maintain at least some financial information.

Finally, these systems produce management information and statistics about the case processing and financial activities.

## ICMS Introduction

Integrated Court Case Management Systems are composed of several basic functional components, all of which interact to capture, display, and report information. Automation and court professionals find it difficult to design and build an ICMS due largely to the relationships between the data. The model shows the four basic types of data maintained in courts: person-related data (defendants, parties, attorneys); time related data (court calendars and reminders); case data (history and records); and financial data (fees, fines, work, and jail). The difficulty in automating court data is that each of these data types relate to each other in a many-to-many relationship.

The following is one example of simple database application. A bank account is generally a one-to-many relationship. A person has an account number by which all deposits and withdrawals are tracked. It is therefore easy to program the computer to search all the records relating to your account, do the math, and produce your monthly statement.

In contrast, an "account" (i.e., person) in a court system may have many different actions, in many different stages, in many different cases. For example, a criminal defendant may simultaneously be involved in a domestic relations case, civil case, as well as multiple criminal matters. Each of these cases has its time and events on the calendar, many different filings, and a mix of attorneys and judges. The criminal defendant may also be paying on previously levied fines and child support. All of these relationships between persons, cases, time, and money can become very complicated very quickly. This is not good news to a computer system designer and programmer who must define these relationships to build the ICMS.

An object-oriented programming design will allow programmers define relationships between data the way the courts work--dynamically. If we find out today that the defendant is really part of a gang that is being indicted in another racketeering case, we can set the link both independently between the two cases and the two persons involved. Thus, when actions occur in either case or with either person, the records are automatically linked and the reader can easily view the relationship between information.

Therefore, this ICMS description contains the following functions are at the core of all court case management systems:

1. Case Creation and Participant Indexing Function;
2. Case Event Register Function;
3. Scheduling Function;
4. Calendaring Function;
5. Document Generation and Processing Function;
6. Hearings Function;
7. Disposition Function;
8. Execution and Compliance Function;
9. Case Closing Function;
10. General Accounting Function;
11. File, Document, and Property Management Function;
12. Security and Data Integrity Function;
13. Management and Statistical Reports Function.

## ICMS Data Groups

Most court case management systems are either case or person oriented, which means that the basic processing unit is either the case or the litigants in the case. Regardless of the orientation, cross references must exist to connect each case and its litigants.

The basic data groups contain information about each case and the persons involved in the cases. Other data groups contain information about events, financial activities, documents and reports produced by the system, and systems and utility functions.

Each data group consists of one or more data types, and for each data type, enough data elements are given to illustrate its purpose and content. The data elements given here are not intended to be a complete list of the data elements that would constitute the data type. Detailed data standards and a data dictionary should be developed locally for each court application during the system definition and design phases.

### **Case**

This group consists of a single data type—the case data type, which includes various case categories (e.g. criminal, civil, commercial, small claims) within the case type and various case phase designations (Ki, Kv, K, etc. for criminal). Information maintained on each case includes data such as the system case number, case phase number, type, status, and style (case heading used for court documents); court assignment; initial filing information; and cross references to party, judge, attorney, and other data.

Cases will also receive a default weight assignment that will be determined by statistical analysis. Cases may also receive an adjusted case weight if the event work recorded is excessive in number or complexity.

### **Person**

This group consists of data types that contain information on litigants, judges, attorneys, and other individual and organizational participants in a case. Persons and parties involved in the case can be added or “retired” during any phase of the case. One simple example is that a judge might become ill during the time a case is active. The original judge is maintained in the ICMS record while the new judge is added. The status of the new judge is the active official while the original judge is marked as inactive. The same can be said for all other parties, defendants, attorneys, etc.

For **Civil Cases** the primary actors are:

- **Judge** - data on each judge including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as cases (for ease of discussion, the term “judge” includes judges and other judicial officers such as ADR providers [e.g., mediators, arbitrators]).
- **Party** - data on each party (i.e., individual, corporation, or organization with standing to bring an action before a court such as a plaintiff, defendant) in a court proceeding

including identifier (CIPS or Corporate Tax ID Number); name; type of party; address(es); personal information; status; aliases; and cross references to case, attorney, financial, and other information.

- **Participant** - data on each individual, corporation or, organization who is a participant (e.g., court officer, witness, credit agency) in a court proceeding including name; type of participant; address(es); status; and cross references to case, attorney, financial, company, and other information.
- **Attorney** - data on each attorney including identifier (future standardized Bar Number or CIPS), name, firm name, location(s), e-mail address, voice and facsimile telephone numbers, bar association linkages, and status and other information with cross references to other data such as cases.
- **Non-court agencies** - data on agencies external to the courts (e.g., process service, collection) that may participate in a case or a related party which a court might contact in order to obtain case related information, including name and location with cross references to case number, party, and other information.

For Criminal Cases the primary actors are:

- **Judge** -- is defined as the appointed public official, charged with the responsibility of conducting cases, controlling proceedings, and deciding questions based on statutory law or discretion.

Information on each judge including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as on cases (for ease of discussion in this document, the term “judge” includes judges, magistrates, and other judicial officers such as quasi judicial personnel who might conduct conferences aimed at plea agreements).

- **Defense Attorney** -- is defined as the law trained and licensed individual or firm charged with the responsibility of protecting the legal rights of and defending the individual (defendant) in this case at law. If authorized by law or the court, the term defense attorney may include a non-lawyer citizen acting as attorney in fact for the defendant.

Information on each defense attorney including name, type (e.g., private attorney, public defender), firm name, location(s), email address, voice and facsimile (fax) telephone numbers, bar number, bar status, and other information with cross references to other data such as on client cases and the defendant.

- **Prosecutor** -- is defined as an elected or appointed official, representing the government, and charged with the responsibility of pursuing legal remediation regarding the crime(s) with which the defendant is charged, in a court of law.

Information on each prosecuting attorney including name, type, government entity, location(s), email address, voice and facsimile (fax) telephone numbers, bar association

linkages, bar numbers, bar status, and other information with cross references to other data such as on assigned cases.

- **Victim** -- is defined as the individual or individuals who are alleged to have been harmed by the defendant in this case at law.

Information includes; name, address(es), telephone number(s), and other information appropriate to identify and notify the individual.

- **Defendant** -- is defined as the individual alleged to have committed this criminal offense. This definition includes citizens, foreign nationals, and illegal aliens as the case may be.

### **Case Events**

This group consists of data types that contain information on past and future events in a case.

- **Weight** – is the numerical assignment relating to the amount of time required by a judge or court staff member to complete an event. For example, each event may have a statistical weight on a 0 to 99 scale that will correspond to time with 99 equal to one day of time. For example a one day trial would receive a weight of 99; a two day trial would receive a weight of 2 x 99 or 198 and so on.
- **Filings** - data on each pleading and other documents (e.g., complaint, petition) filed with the court including document type; filing date; filing party; method of filing; and follow-up actions with cross references to case, other case phases, financial, document generation, and other information.
- **Scheduled Events** - data on each scheduled event (e.g., hearing dates, deadlines for submission of documents such as answers or responses and affidavits) including identification of the event; date, time, and location of the event; participants in the event (e.g., parties, defendants, witnesses, interpreters); security requirements; activities initiated by the event (e.g., forms and subsequent events); periods associated with the event (e.g., deadlines for form issuance or initiation of next event); and cross references to case, hearing, and other information.
- **Hearing Events** - data on each calendared event (i.e., proceedings in which arguments, witnesses, or evidence are heard by a judge or administrative body including court events, such as trials and motion hearings; calendar calls; conferences aimed at pre-trial settlement; and quasi-judicial events involving alternate dispute resolution (ADR), such as mediation and arbitration) including type; scheduled and actual dates and times; judge; location (e.g., courtroom type and its location); attorneys; results; and cross references to case, party, and other information.
- **Disposition Events** – a judicial decision that finalizes action in this case. Data on each disposed case including party or defendant; nature of disposition; date of disposition; judgment or sentence/dismissal and payment/fine details if applicable; other information

in minutes; and cross references to case, party, hearing, financial, judge, minute, and other information.

- **Compliance Events** - dealing with issues related to compliance with court order, sentence, and/or supervision conditions.
- **Post Trial Events** - data on any type of post-disposition activity (e.g., execution of judgment) including date of activity; judge; and cross references to case, disposition, financial, and other information.
- **Case Close** - closing a case because all provisions of the court order have been satisfied or all activities of a case have been terminated due to action by the parties or the time limits have elapsed.
- **Tasks** – are events that are assigned to a specific judge or court staff, or team of judges or court staff to do on a specific date or specific date and time.
- **Other Events and Entities** - appropriate information on each event and entity (e.g., parcels in real property rights cases) not covered by other data types. Other events may simply be a note to the case.

### ***Financial Tracking***

This group consists of a single, all-inclusive data type—the financial data type. It contains information on financial activities in a case such as payments, financial obligations, and accounting activities including single (e.g., fees, judgments) and installment payments (e.g., reclaimed fee waivers); payment schedules and plans, payment collection methods (e.g., garnishments); payment satisfaction (e.g., certificates of satisfaction of judgment); general ledger accounting; trust fund accounting; and fund distribution with cross references to case, party, disposition, and other activities.

### ***Document and Report Generation***

This group consists of data types that contain information on official court documents such as summons, notices, and reports that summarize case activities.

- **Summons and other served processes** - data on each served process (i.e., documents served by a law enforcement officer or other authorized process server with return of service such as civil warrants and summons) including type of process; recipient; method of service; date of service; return of service; other status data; and cross references to case, party, and other information.
- **Forms and other documents issued by court** - data on each such document (i.e., documents given to a person or sent by mail with proof or certificate of service such as notices) including type of document; recipient; proof or certificate of service; information on scheduled event; status and status date; and cross references to case, party, and other information.

- **Management and statistical information** - detail (e.g., case-by-case) and summary (e.g., overall for all cases in a given category) information with cross references to all of the above data types.

### ***System Operation and Utility***

This group consists of data types that contain information on a variety of functions ancillary to case processing such as file and property management and security.

- **System User Management** – data regarding the ICMS system users including their name, court assignment, court unit, data access rights, start and end date, telephone, e-mail address.
- **Information Security Management** – data regarding ICMS database access and restriction including individual, court, and court unit. For example, juvenile cases should only be accessed by judges and staff that are assigned to those cases.
- **Exhibits** - data on exhibits and other property submitted to the court for use in court proceedings including case cross reference, source, and status (e.g., date received, returned, or destroyed).
- **File Management** - data to assist in managing and tracking the location of active, inactive, and archived physical case files.
- **Document Management** - data to assist in storing, retrieving, and manipulating electronic word processing and other electronically stored format documents.

## Functions Common to All Case Types

This section contains the descriptions for each function listed in the previous section. The descriptions are characterized by the subfunctions into which each function is divided. Those functions with numerous subfunctions are grouped into several categories of subfunctions.

For each function, the section begins with an overall description of the function. Then the subfunctions are described -- either within their respective groups or for the entire function if there are insufficient subfunctions to divide them into groups.

Please note the following regarding this document and, in particular, its subfunction tables:

- The tables contain extensive cross references between functions. These cross references usually are parenthesized and begin with the word “see” (e.g., “see Scheduling Function”).
- The tables contain numerous examples to help clarify the intent of the subfunction or other topic being discussed. These examples are just that -- examples -- and do not represent functional descriptions. When an example is presented with the description of a particular subfunction, the text of the subfunction describes the standard associated with the subfunction and the example clarifies -- but is not otherwise part of -- the description.

Appendix A contains a list and general definitions of possible data validation code translation tables, which would contain user-supplied codes and their translations (e.g., case type, case category within type, case status, court identifier). The descriptions explicitly state only a few major cross-references to the tables to avoid excessive repetition. Since most functions and subfunctions could use some of the code translation tables, however, potential reference to those tables is implied for each function and subfunction.

### ***Information Sharing and Integration***

Some descriptions represent capabilities that apply to multiple functions or call for integration between several functions. For example, some capabilities -- such as electronic information exchange and document management -- occur throughout the life of a case and should be integrated into several functions of the case processing system.

Over the long term lifecycle of a Court Case Management System, one of the major goals should be to al Information should be exchanged electronically within court systems and between courts and (1) other governmental units at the federal, state, and local levels (e.g., booking, arrest, and custody information from law enforcement; docket information, calendars, and court orders to law enforcement; statistics to court administrative office), (2) private organizations (e.g., restitution information to collection agency); and (3) other users (e.g., , appropriate “person data types”, and researchers). In order to implement electronic information exchange, courts must establish exchange procedures (e.g., for communications and networks; user computer equipment and software, interchange computer or “mailbox;” user directories; file or document transfer, email, or both; and message content and

naming), and the case processing system must be compatible with these procedures. The system must allow for the creation, maintenance, and deletion of multiple “electronic distribution lists” that are indexed to each defendant or other appropriate persons. Other than general information exchange and the interfaces with criminal support units (i.e., investigation), criminal justice organizations (i.e., law enforcement, prosecutor, public defender (defense attorney), and probation), and non-justice agencies such as social services, described in Criminal Support Functions, the standards in this document contain several specific types of electronic information exchange: electronic filing, document distribution, fee payment, and funds transfer. The standards for each function throughout this document contain specific applications of electronic information exchange and indicate whether each application is a mandatory or optional standard. Electronic information exchange should conform to applicable industry and governmental standards. The rudimentary standards envisioned here could be enhanced as described in the External Interfaces part of Related Technical Considerations in Appendix B.

Some interfaces envisioned for future implementation that should be considered in the basic ICMS design are:

- CIPS – national identity card system name query and verification.
- BiH National Tax Number System for legal entities as listed by the Register of Companies
- Land Registry System – national database for property ownership registration.
- Moveable Property Index – national database for liens.
- 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., prosecutors and defense attorneys’ offices). One potential early electronic filer would be the electrical utility system for enforcement actions.
- Electronic document distribution -- Distribution of electronic court documents (e.g., orders, electronic acceptance notices following electronic pleadings, other types of notices), docket summaries, calendars, court minutes, and detailed and summary reports.
- Electronic fee and fine payment and funds transfer -- Various methods of electronic fee and fine payment and funds transfer between courts and other entities.
- General electronic information exchange – Court case processing systems must exchange other types of information with the systems of various entities. The interfaces associated with statistical reporting and dispositions exemplify this information exchange and are described in the Hearings, Disposition, Criminal Support, and Management and Statistical Reports functions later in this section.

## Document Management

The ICMS should embrace the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Documents should be able to be related to cases, case events, and persons. Document management in ICMS should also be able to use the ICMS event workflow for document routing to specific persons, groups, and workstations.

## Process Rules

The System Capabilities part of Related Technical Considerations in Appendix B describes fully-functional event driven systems that schedule events based on completion of prior events (e.g. deadline for response due 30 days after service to defendant, hearing scheduled) and produce documents (e.g., notices, calendars) associated with the scheduled events. The standards in the remainder of this document prescribe a few functions of these event driven systems that, unless overridden by the user, automatically perform specific tasks within individual functions based on the completion or scheduling of certain events. Examples of this partial functionality are (1) updates to case indexes, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees, fines, and restitution. The primary functions that provide this functionality are Case Initiation and Indexing, Docketing and Related Record Keeping, Scheduling, Document Generation and Processing, Hearings, Accounting -- Front Counter and Cashiering, and Accounting -- Back Office.

Automated case management systems that are considered “event driven” commonly use tables to allow the user to enter their court’s specific “process rules”. These “process rules” are then interpreted by the automated system during the normal operation of the system and generate additional information that is automatically entered into the case file such as time standards and statutory and locally mandated time standards.

Some possible process rule applications to consider (and prioritize) in developing the BiH ICMS are as follows:

1. Separate identifier for each “person data type”
2. Locally used court and court location identifiers
3. Locally-defined format for case number assignment
4. Locally-defined procedures for defendant assignment to case
5. Locally-defined case title or style
6. Locally-defined rules to ensure case acceptance
7. Differential case management rules (judge assignment based on case factors)
8. Locally-defined rules for the grouping of related cases
9. Locally-defined rules for resource assignment of court type, judge, location, department, and courtroom
10. Locally-defined indexes for person data type information such as name, date of birth, case, defendant charges, case number, etc.
11. Locally-defined rules defining occurrence of updating index(es) upon the occurrence of specific actions
12. Locally-defined rules of automatic data field transfers during case initiation and maintenance

13. Locally-defined rules on multiple case relationships related to “person data types”
14. Statutory and locally mandated time standards
15. Schedule of future events
16. Suggested resolutions to scheduling conflicts
17. Maximum number of cases for a specific time interval
18. Resource availability for “person data types”, courtrooms, locations, and departments
19. Case assignment by category
20. Judicial assignment rules
21. Maximum number of events normally permitted on a judge’s calendar based on calendar type
22. Time conformance standards for case aging
23. Maximum number of continuances
24. Identify events coming due or overdue, periods about to expire or expired
25. Define frequency with which system displays ticklers, alerts, and prompts
26. Define structure, content, and intrusiveness of ticklers, alerts, and prompts
27. Cases with additional access restrictions to sensitive information
28. Allow users to define additional ticklers, alerts, and prompts
29. Notice generation rules
30. Rules for access to judicial notes
31. Automated docket entry rules
32. Disposition distribution rules
33. Post conviction distribution rules
34. Case closure rules
35. Generally accepted accounting practices
36. Escrow and draw-down account minimums
37. Case fee amount by case type
38. Court fee disbursement rules
39. Rules for pre-trial intervention or supervision requirements
40. Probation information distribution rules
41. Active case actions distribution rules (attorneys, other judges, bar association, news media)
42. Case information distribution rules for updated and changes
43. Statutory case record retention rules
44. Witness and victim information protection rules of distribution
45. Data element editing rules, by element

## 1. Case Initiation and Participants Indexing Function

**Description.** The first major function addresses the activities that initiate a case and maintain its index, which include acceptance and processing of the initial filing, associated record keeping and reporting, and creation and maintenance of an index for the case.

**Subfunctions.** Within the Case Initiation and Indexing Function, the subfunctions are grouped into case initiation and indexing.

### 1.1 Case Initiation

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

Subfunction
<b>1.1.1 Assign Case and Case Phase Numbers</b> Automatically generate and assign a unique system case reference number and the requisite locally defined case phase number using the standardized format. If there is a previous case phase then associate the new case phase to the previous and copy or associate any repetitive data to the new case phase. Some case type may need to support Skeletal Case Creation: the application allows a case to be initiated with minimal information and updated later. (See Also Random Judge Case Assignment in Section 3.2.6)
<b>1.1.2 Identify and Associate Persons (Defendants and Parties) with the Case</b> Generate or assign a separate person identifier for each plaintiff, defendant, and party and enter the corresponding contact information.
<b>1.1.3 Enter Additional Court Identifiers if Needed</b> Enter locally-used court identifiers and court geographic location identifiers (e.g., canton number, city number).
<b>1.1.4 Capture and Associate Person Information to the Case</b> Prompt or allow entry for associated persons and entities to the case. The system shall be able to generate or capture unique identifiers for the associated persons such as attorneys. The system shall also be able to capture the role or reason the person is associated with the case.
<b>1.1.5 Enter Charge or Dispute Category</b> Enter each criminal charge, petition, and count based on charging documents or civil dispute category.
<b>1.1.6 Identify lead charge, petition, and case category</b> Identify the lead charge, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type or dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.
<b>1.1.7 Create Case Title or Style</b> Generate (and allow for editing) case title or style (i.e., short phrase that identifies case and

<b>Subfunction</b>
includes plaintiff and defendant names) from party names and other information to be used for notice and document generation.
<b>1.1.8 Enter Reason for Case Initiation</b> Enter the reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures).
<b>1.1.9 Verify Jurisdiction</b> The system shall conduct locally used checks to verify that the case being initiated is in the correct jurisdiction. This may possibly be associated with a Jurisdiction Postal Code table.
<b>1.1.10 Group Related and Associated Cases</b> Create groups of related cases, defendant, parties and participants (e.g., several incidents filed against same defendant, party, multiple defendants, or multiple parties involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, party, or participant in group.
<b>1.1.11 Support Differential Case Management (future)</b> 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).
<b>1.1.12 Support Additional or External Identifiers</b> Capture, assign, or allow entry of other identifiers (e.g., of other courts such as juvenile or domestic relations; prosecutor; corrections, law enforcement, and domestic relations service providers; other agencies; real estate parcels) and establish relationship with case participants.
<b>1.1.13 Assign Cases</b> Assign cases to court type, judge, location, department, and courtroom AND/OR other appropriate entities based on established relationships in conjunction with the Scheduling Function.
<b>1.1.14 Generate Acknowledgments</b> Generate receipt or notification for appropriate attorney, parties, and participants that case filing received and accepted, and give them assigned case number and assigned judge (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically).
<b>1.1.15 Note Time-Sensitive Filing</b> Record if time-sensitive filing that requires rapid action (e.g., custody related appeals, request for temporary measures).
<b>1.1.16 Establish Relationships</b> Establish relationships and roles between persons, groups, service providers, courts, and the current and previous cases.
<b>1.1.17 Assign Access Security</b> Assign appropriate security information to the court records, particularly those with data on juveniles, other minor children, or medical or sensitive family relationships. Default security assignments should be standard for juvenile and cases involving specific laws.

<b>Subfunction</b>
<p><b>1.1.18 Allow Court Maintenance of Law Related Tables</b> Allow the court user management team to define statute/ ordinance tables (e.g. offense code, descriptive text, bail amount, effective and expiration date, severities, etc.)</p>
<p><b>1.1.22 Support Case Label Printing</b> The ICMS application should support printing text and bar code labels or future technology for attachment to case folders, for documents to be served, and for subsequent filings.</p>
<p><b>1.1.23 Detention Status</b> For Criminal and Juvenile matters, enter detention status and, if detained the date of detention and location.</p>

## 1.2 Case Participants Indexing

The indexing subfunctions encompass both the creation of case index entries during case initiation and the use of the index throughout the life of a case. The index is created at case initiation and maintained throughout the life of a case. The overall purpose of an index is to allow users to look up cases by participants and view index information such as each party's name, role in the case, and whether the party has an attorney; case type; case number; date filed; and a cross reference to other parties in the case (e.g., the parties named in the case title or style).

<b>Subfunction</b>
<p><b>1.2.1 Create Participants Index</b> Create and maintain locally-defined index that (1) contains at least index information on parties (persons, organizations, or corporations), criminal defendants or juveniles, their families, or other parties (e.g., each defendant, juvenile, or other associated party name, and where needed, the date of birth, sex, role in case, external identifiers, CIPS number, drivers license number, referral or complaint source (law enforcement agency), referral reason and petition allegation, and whether party has an attorney); (2) contains index information on cases or case phases 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) during data entry the system performs a 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 so that participant information is updated and maintained for all cases that the participant is related to and, (5) permits easy interfaces with other parts of case processing system as noted below.</p>
<p><b>1.2.2 Capture Demographic Data</b> Capture demographic, descriptive, or informational data (where appropriate) on the defendants or parties.</p>
<p><b>1.2.3 Provide Index Search and Retrieval</b> Permit search and retrieval of index information by identifying the name of a specific defendant, juvenile, or other party name, CIPS number, date of birth, party role, court type or location, case or party identifier, case filed date range, and where necessary by race, ethnic group, and sex. The subfunction also should permit a user, after eliminating other</p>

<b>Subfunction</b>
cases or parties that satisfy original look-up, to obtain index information by selecting from list of matching cases or parties or by using search keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, and allows user to select the desired Smith from list by clicking on proper line or entering proper keys).
<b>1.2.4 Provide Comprehensive Name Search</b> 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). Soundex capability is often used as an option to enhance this search function.
<b>1.2.5 Provide Interface with Other Functions</b> Allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and case support functions for, potentially, all related case and financial information (i.e., on specific case, "person data types" and on other cases related to specific "person data types") and with the inquiry and report generation capabilities for more varied displays and reports.
<b>1.2.6 Permit Multiple Attorney Linkage to Parties</b> If attorneys included in the name index, allow multiple names and bar identifiers to be linked to multiple parties in the same case.
<b>1.2.7 Provide Index Updating Based on Events</b> Permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).
<b>1.2.8 Report Index Information</b> Extract, print, or otherwise produce (with appropriate security restrictions) index information arranged according to various components of index (e.g., party, defendant, juvenile, case number, case status) (see also Security).
<b>1.2.9 Retrieve Index Information by Participant</b> Retrieve basic index information on all cases associated with specific participant.
<b>1.2.10 Support Aliases and Associated Persons or Groups Linkage</b> Accommodate the capture and linkage of alias names or other associated persons or associated groups (companies for example) in conjunction with indexing and processing of party names as appropriate.

## **2. Case Event Register and Related Record Keeping Function**

**Description.** The activities associated with entering information into the event register. Event register entries are made during case initiation and subsequently throughout the duration of an active case. The event register record contains the previously described basic case header information and information about the defendants, parties, and associated persons. The event register also includes a record of the receipt of documents, issuance of documents, and recording of future and past events such as hearings and court proceedings. Some courts divide this process into two phases. The first phase is the reception where a quick entry is made to assign a case number and enter other very basic information such as an acknowledgement of fee payment. The second phase involves more data entry regarding the details of the case.

Subsequently, all information in the case event register is recorded as the case progresses and events are completed. Some events may automatically trigger workflow actions that cause an update to other case information in the event register; prompt the system to call a court form to be completed; schedule a subsequent event or work task.

The event register or register of actions, which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case. Within the context of this description, the event register is a recording of concluded actions and is never anticipatory. The content of the event register entry of a completed event, however, may be anticipatory (e.g., event register entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future). Presentation of the chronological order is often reversed in an automated ICMS because the latest events are the ones that are of most interest for court operations.

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

**Subfunctions.** The Event registering and Related Recordkeeping subfunctions are grouped into case header maintenance and event recording, data relationship maintenance, and input/output maintenance.

## 2.1 Case Header Maintenance and Event Recording

The system creates the event register using basic case information entered during case initiation and supplemented by subsequent user entries. Such information includes case type, case category, case status, case title or style, defendants and other parties, and attorneys. This case header information is maintained and augmented throughout the active life of the case. However, the primary data entry that occurs as part of the event register functions is to record case events (e.g., document filings, hearing results, dispositions). While some events may trigger an update to the case information in the event register (e.g., defendant and participant name change, defense attorney change), event entries generally do not need to be updated unless there is an exception such as the data has been incorrectly entered. All subsequent events are entered separately. Usually system supervisory security access is required to edit entries and an even higher security level to delete entries.

<b>Subfunction</b>
<b>2.1.1 Maintain Basic Event Register Information</b> Provide access to, maintain, and supplement information originally entered during case initiation in event register including information on initial filing and basic case information.
<b>2.1.2 Create Event Register Entry for Events</b> Create event register entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function (e.g. such as warrants, motions granted and other served or completed documents). Event register entries

<b>Subfunction</b>
are usually based upon predefined stored codes for normal processing events.
<b>2.1.3 Event Register Insertion</b> Allow newly entered events to be inserted as appropriate in event register (e.g., before later entries in chronological event list).
<b>2.1.4 Create Event Register Entry for Electronic Documents</b> Create event register entry and link based on electronic documents created automatically and stored in the system (e.g., court produced notices, warrants, orders).
<b>2.1.5 Identify and Retrieve Electronic Documents</b> Permit user to identify and retrieve electronic documents by identifying them on each detailed list of event register 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).
<b>2.1.6 Create Multiple Event Register Entries from Single Event (Triggering)</b> Allow single event to create multiple event register entries (e.g., event is hearing; event register entries are attorney withdrawal and hearing results) based upon system process rules or workflow.
<b>2.1.7 Call Appropriate Task from the Event (Triggering)</b> Allow single event to automatically call system work capabilities such as word processing for completion of court forms or, the scheduling system for setting future reminders or work tasks based upon system process rules or workflow.
<b>2.1.8 Special (Other) Case Processing</b> Allow the system user flexibility to enter, maintain, and display or print information on special or unusual case processing requirements or orders.
<b>2.1.9 Official Court Record</b> Maintain case information as official court record in accordance with statutes and court rules.
<b>2.1.10 Simplify Entry of Multiple Filings</b> Allow easy data entry of multiple filings that apply to single case or related cases (e.g., consecutive entry of multiple pleadings for single case).

## 2.2 Data Relationship Maintenance (Relationship Engine)

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

<b>Subfunction</b>
<b>2.2.1 Maintain Multiple Case Related Persons</b> Maintain information on all (multiple) persons (parties, defendants, juveniles, participants, and attorneys) in a case such as personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.
<b>2.2.2 Maintain Multiple Case Relationships</b> Maintain, or be able to construct in a manner that requires minimal user action, information

<b>Subfunction</b>
and relationships on multiple cases, judges, attorneys, defendants, and parties (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction).
<b>2.2.3 Maintain Document to Person Relationships</b> Some documents are related to a person in addition to a case and should be maintained in the system so that when a person appears in another court location in the country, this information will be available to that court for example, during the investigation phase. Security access control should also be applied to this function.
<b>2.2.4 Maintain Historical Addresses, Telephone, Fax, and E-mail</b> Maintain multiple current and historical addresses, telephone, fax, and e-mail with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases.
<b>2.2.5 Track Criminal Charges</b> Integrate and coordinate with Case Initiation and Indexing Function to enter and track all charges (initial and modified) and to link charges to proper defendant, juvenile, and case. Criminal charge data entry should be based on a controlled data validation table to assure data consistency and accuracy.
<b>2.2.6 Minimize Redundant Data Entry</b> Allow for 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.
<b>2.2.7 Maintain Attorney Information in Relation to the Case</b> Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.
<b>2.2.8 Maintain Attorney Affiliation Information</b> Maintain information on law firms, prosecutors, and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney).
<b>2.2.9 Display and Maintain Data Relationships</b> Link and display or produce reports on relationships of specific cases, judge, attorneys, parties, defendants, participants, and organizations to allow the system to define, redefine, and modify relationships and reassign linkages as needed.
<b>2.2.10 Permit Authorized Event Register Deletions</b> Permit, with proper authorization (e.g., supervisor approval), deletion of specific event register entries and all related data (e.g., deletion of pleading and fee information causes related event register and accounting information, where applicable, to be deleted). The computer system does not actually delete the data; but rather the data is marked so that the information is not displayed as part of the case or counted in the statistical reports.
<b>2.2.11 Apply Change to Multiple Event Registers</b> Apply a specific change to multiple event registers, parts of event registers, or groups of cases as if they were a single event register or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge X'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).
<b>2.2.12 Link Related Event Register Entries</b> Link and display information on event register entries for events related to current event

<b>Subfunction</b>
register 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).
<b>2.2.13 Criminal Defendant Relationship to Non-Court Agencies</b> Track and then produce reports on relationship of specific cases and the defendant to criminal justice agencies (i.e., detention, bail, public defender, pre-trial services, and pre-sentence investigation, probation), and non-justice agencies such as social services.

### 2.3 Input/Output Management

This group of utility-type subfunctions supports input to and output from event registering and other functions. These subfunctions provide or enable many capabilities, including code translation tables, user prompts, workstation usage records, event register displays, and input templates for standard court documents.

<b>Subfunction</b>
<b>2.3.1 Maintain Code Translation Tables</b> Maintain and properly use code translation tables defined by user (see also List of Code Translation Tables).
<b>2.3.2 Provide Code Prompts</b> 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).
<b>2.3.3 Provide Case Views</b> Produce information on all, part, or summaries (i.e., "Views") of event register(s) (e.g., events in register of actions, some participants, families or groups, 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)
<b>2.3.4 Provide Data Entry Audit Trail</b> Create, maintain, and output (according to user specified criteria, such as selected workstation(s) or selected case(s)), audit trail identifying persons who requested or made event register and other entries and when they requested or made entries (highlighting when filing occurred if filing and entry dates different).
<b>2.3.5 Provide and Maintain Input Templates</b> 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 task event(s) (e.g., to correlate templates with events and to allow details of specific electronically filed complaint or charges to be inserted into "boilerplate" text of complaint form for hard copy printout).
<b>2.3.6 Maintain Judge Assignment History</b> 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.

<b>Subfunction</b>
<b>2.3.7 Maintain Attorney Assignment History</b> Maintain and print or display history of attorney changes for specific case, defendant, or party with reasons for the change.
<b>2.3.8 Provide Data Validation Edit Checks</b> Provide instructions (e.g., tutorials) and automatic data validation edits for using input templates, such as proper format for a date and valid relationship of data field to other data (e.g., attempt to schedule hearing for cases with open warrants and other served documents).
<b>2.3.9 Provide Charge Audit Trail</b> Integrate with Criminal Support Functions to permit user to obtain audit trail of all charges (i.e., through life of case and case phases) for a given defendant and case.
<b>2.3.10 Display Template Forms</b> Provide capability to print or display template forms with and without entered data.
<b>2.3.11 Future Support for Electronic Filing</b> The system should be designed to support future electronic filing (e.g., directly from attorneys' offices or possibly from the electrical utility for enforcement cases) of pleadings and other documents.

### **3. Scheduling Function**

**Description.** The activities associated with scheduling upcoming events and work tasks, maintaining and displaying information on scheduled events, and monitoring adherence to schedules. Scheduling contrasts with event registering in that scheduling addresses events that are not calendared (i.e., placed on a calendar for judicial hearing or other review) and have not yet happened, while event registering addresses completed activities.

**Subfunctions.** Within the Scheduling Function, the subfunctions are grouped into schedule creation, person and resource assignment, schedule and case management, tasks and other user alerts and prompts.

#### **3.1 Schedule Creation**

Before considering the people and other resources that will serve as the foundation for schedules, guidelines must be established for determining what to schedule, what conditions trigger scheduling, and how to schedule multiple entities (e.g., events, parties, cases) that relate to each other.

<b>Subfunction</b>
<b>3.1.1 Schedule Events</b> Schedule events and groups of events according to statutory and locally mandated time standards) for cases.
<b>3.1.2 Initiate Future Events</b> Initiate schedule of future events based on event entry or occurrence of prior events using system-defined process rules.

<b>Subfunction</b>
<b>3.1.3 Allow Multiple Cases and Events to be Scheduled for Same Date and Time</b> Allow multiple cases and events to have same scheduled date and time (e.g., multiple complaints regarding same problem or multiple incarcerated defendants to be heard together).
<b>3.1.4 Schedule Groups of Related Cases</b> Schedule groups of related cases as if group were a single case (e.g., multiple defendants involved in same incident, case dismissal hearings...).
<b>3.1.5 Schedule Maximum Number of Cases</b> Schedule maximum number of cases for specific, user-specified time interval by event (e.g., hearing) type, judge, and other criteria.
<b>3.1.6 Identify and Manage Scheduling Conflicts</b> Identify, display, and suggest resolutions to scheduling conflicts, allowing user overrides and rescheduling with appropriate security and data integrity.
<b>3.1.7 Provide Manual Schedule Override</b> 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.
<b>3.1.8 Provide Manual Override Utilities</b> Provide utilities to 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).
<b>3.1.9 Modify Related Records upon Schedule Change</b> When schedules change, modify records of all related parties, participants, calendars, event register entries, and other data and functions.
<b>3.1.10 Apply Schedule Change to Multiple Schedules</b> 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 were a single case.
<b>3.1.11 Display Other Future Events</b> During manual scheduling and rescheduling display other future events for that case. (See also Tasks and Reminders Below)
<b>3.1.12 Permit Special Needs Designation</b> Permit users to designate cases with special scheduling needs (e.g., interpreter, disabilities).
<b>3.1.13 Provide Audit Trail of Schedule Overrides</b> Record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason).
<b>3.1.14 Relate Scheduled Events</b> Provide ability to relate scheduled event to actuating filing or prior event.
<b>3.1.15 Remote Access</b> Allow remote access based on local security rules.(e.g. scheduling of case events based on local court rules).

## 3.2 Person and Resource Assignment

This section covers standards for assignment of the proper people (e.g., judges, attorneys, parties, participants) and resources (e.g., court or meeting room) to create reliable schedules. Most of these standards specify fully automated functions—particularly in large courts with many people and resources to schedule. Short of full automation, the computer could assist the user in manual assignment by displaying the requisite information—a process that may be appropriate for small courts.

<b>Subfunction</b>
<p><b>3.2.1 Provide Automatic Judge Case Assignment</b> 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).</p>
<p><b>3.2.2 Consider Case Complexity or Weight During Judge Assignment</b> Consider case weight number as one additional factor in “Random” judge Assignment. If the judge has already exceeded a predetermined maximum weighted assignment, then that judge is removed from the assignment list until the workloads are balanced.</p>
<p><b>3.2.3 Maintain Availability Information</b> Maintain availability information on “person data types”, court facilities, and other scheduling factors.</p>
<p><b>3.2.4 Consider Availability During Scheduling</b> 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).</p>
<p><b>3.2.5 Relate Judges and Staff to Facilities and Court Organization</b> Relate individual judges or groups of judges and court staff to courtrooms, locations, and departments.</p>
<p><b>3.2.6 Assign Judges to Case Management Tracks</b> 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).</p>
<p><b>3.2.7 Relate Judges to Staff</b> 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).</p>
<p><b>3.2.8 List Cases Waiting to be Scheduled</b> Maintain waiting list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities. (See also the task scheduling function below)</p>
<p><b>3.2.9 Assign Related Cases</b> Assign related cases, as designated by user, to same judge and group together on schedule (e.g., multiple complaints regarding same problem or person).</p>
<p><b>3.2.10 Group Case Reassignments</b> Reassign individual or group of cases from one judge, other judicial officer, calendar, or</p>

<b>Subfunction</b>
department to another as if group were single case (e.g., judge retires or moves to appellate court)
<b>3.2.11 Assign Case Categories to Case Departments</b> Assign specific case categories to specific departments according to user-defined case-department rules.
<b>3.2.12 Permit Manual Assignment Override</b> Allow manual person and resource assignment or override for any automatic assignment.
<b>3.2.13 Automated Schedule Availability Delivery</b> Support automated generation and delivery of scheduled court dates to the court's institutional partners (e.g. <i>police and prosecutor</i> ) as well as the cancellation or modification of those court dates.

### 3.3 Scheduling and Case Management

The case processing system must provide highly flexible, user-defined outputs of scheduling information in various groups (e.g., by day, judge, other judicial officer, attorney, or courtroom). The system also must accommodate different methods of managing cases (e.g., fast track for time-sensitive filings, specific judicial assignment for specific types of cases, use of mediators) and provide other support functions.

<b>Subfunction</b>
<b>3.3.1 Produce and Display Schedules</b> Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities upon user request (e.g., judge's calendar by day).
<b>3.3.2 Output Schedules for Case Participants</b> Print or display schedules for various persons (e.g., judges; other judicial officers; attorneys; other participants such as police officers, and other governmental agencies if their schedules are coordinated in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.
<b>3.3.3 Produce Schedule of Cases with a Task Action Pending</b> Create, maintain, and output administrative or clerk's schedule that shows all cases with a task 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.
<b>3.3.4 Generate Event Register Entry from Scheduled and Completed Events</b> Generate event register entry based on scheduled and completed events as appropriate (see Event registering and Related Record Keeping Function).
<b>3.3.5 Event Register Completed Events</b> Enter completed events noted on administrative or clerk's calendar into event register as noted in Event registering and Related Recordkeeping Function.
<b>3.3.6 Future Support for Differentiated Case Management</b> The system should be designed so that in the future it will be able to support differentiated case management methods (e.g., schedule events within various sets of differential case

<b>Subfunction</b>
management rules, schedule settlement conferences, team and individual calendars).
<b>3.3.7 Track Conformance to Time Standards</b> 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).
<b>3.3.8 Include Case Age in Displays</b> Include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).
<b>3.3.9 Report Nonconformance to Time Standards</b> 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.
<b>3.3.10 Track Schedule Modifications</b> Track and output schedule modifications (e.g., judge or courtroom reassignments) over specific period.
<b>3.3.11 Time Trigger Management</b> The system should allow administrators 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.

### 3.4 Tasks and Other User Alerts and Prompts

The system should generate tasks, alerts, and prompts to inform users (including individual users and workgroups) of impending or expired schedule deadlines, of completed schedule events, of cases with no scheduled "next event", and of required scheduling actions that relate to the current activity.

<b>Subfunction</b>
<b>3.4.1 Provide Task Creation Capability</b> Provide task creation and maintenance capability using system rules based on schedules, court rules, and statutory requirements: identify events coming due or overdue, periods about to expire or expired (e.g., guardianship accounting due, answer or response due, bail forfeiture due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre-sentence investigation); prompt or notify users; and initiate proper functions (e.g., generate statutorily required notice regarding termination of support on approaching birthday when child becomes an adult, unless special conditions exist that nullify termination, such as physically handicapped person; generate notice regarding approaching speedy trial deadline; schedule hearing).
<b>3.4.2 Provide Visual Reinforcement</b> Provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message in the task management interface.

<b>Subfunction</b>
<b>3.4.3 Provide User Control of the Task</b> Allow users to define structure, content, frequency, and intrusiveness of tasks, alerts, and prompts.
<b>3.4.4 Report Due Events</b> 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).
<b>3.4.5 Alert User to Non-Public Record</b> Generate alert when displaying cases or portions of cases that are not public record (e.g., adoption or juvenile cases, which are considered confidential) or otherwise require user notification.
<b>3.4.6 Alert User to Unavailable Scheduling Factors</b> Generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable.
<b>3.4.7 Identify Completed Events or Tasks</b> 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.
<b>3.4.8 Prompt Related Case Scheduling</b> 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 Event registering and Related Record keeping Function in which relationships are defined to system—some automatically and some manually).
<b>3.4.9 Alert User to Maximum Events</b> 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).
<b>3.4.10 Alert User to No Next Event</b> Alert clerk when case filed or displaying pending cases with no scheduled next event.
<b>3.4.11 Provide Supervisor Control of Alerts</b> Allow supervisor at appropriate level to turn alerts on and off.
<b>3.4.12 Provide Defined Action or Inaction Alerts</b> Generate alerts for defined actions or inactions (e.g., when a scheduled payment is not made, when an error is made such as when a pleading is submitted for a closed case or when the event does not comply with system processes).
<b>3.4.13 Inactive Case Task</b> Based upon system rules, track inactive cases and groups of cases, identify those inactive for excessive periods (e.g., six months of no activity) and prompt the assigned user regarding appropriate action (e.g., schedule hearing, extend dates).
<b>3.4.14 Other Tasks and Alerts</b> Allow users to define tasks, alerts, and prompts for purposes other than those noted herein.

#### **4. Calendaring Function**

**Description.** The calendaring function includes the creation, maintenance, and, in some instances (e.g., electronic), distribution of court calendars for each type of hearings and conferences. Within this document calendaring may also include other events such as mediation that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, and evidence are considered by a judge, or other judicial officer in court events such as trials and motion hearings, or conferences.

Hearing schedules (see Scheduling Function) provide the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Event registering and Related Recordkeeping Function, judges' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by entering changes (e.g., add witnesses, change attorneys, return to scheduling because case continued) and generate calendars (usually by printout) for distribution.

**Subfunctions.** The limited number of calendaring subfunctions are not grouped but are all contained in the table below.

<b>Subfunction</b>
<p><b>5.1 Create, Generate, and Maintain Calendars</b> Create, generate, and maintain calendars and incorporate calendar addenda specifically identifying calendar addenda -- based on scheduling information (see Scheduling Function) -- for each type of hearing (e.g., <i>jury trial, non-jury trial, motion, preliminary, dismissal</i>) or mixed hearings (e.g., <i>motions and plea agreements</i>) for specific periods (e.g., <i>daily, weekly, monthly</i>) and according to various criteria (e.g., <i>judge, date, time, case type, case category, hearing reason, other elements of calendar profiles</i>).</p>
<p><b>5.2 Provide Calendar Presentation Flexibility</b> Provide flexibility with respect to calendar content and format (e.g., case or detention status shown with calendar).</p>
<p><b>5.3 Produce Batch and Individual Calendars</b> Produce calendars individually (e.g., for a judge or courtroom) or by batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom.</p>
<p><b>5.4 Provide Calendar Printing Flexibility</b> Print calendars and related outputs individually or in groups in multiple locations or central location.</p>
<p><b>5.5 Produce Summary Calendars</b> Produce summary calendar information view for a given person, location, or event (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on related cases or participants) (see Management and Statistical Reporting Function).</p>
<p><b>5.6 Include Nature of Proceeding on Calendar</b> Record and output nature of proceeding for each case on calendar (e.g., motion to dismiss, evidentiary hearing or review hearing to consider change of placement for neglected child).</p>
<p><b>5.7 Facilitate Viewing Calendar Supporting Information</b> 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).</p>
<p><b>5.8 Provide Calendar Notes Capabilities</b> Create and maintain judge and other user notes (i.e., notes and comments for use with the</p>

<b>Subfunction</b>
specific judge's or other user's calendar) for user's viewing only in accordance with local rules and statutes (see Security and Data Integrity Function).
<b>5.9 Distribute Calendars Electronically</b> Provide the ability to distribute calendars electronically via e-mail and to the public on the Internet where allowed by rule.
<b>5.10 Suppress User-Designated Sensitive Information</b> 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).
<b>5.11 Produce Related Calendar Support Information</b> Create for output, with calendar, summary of user-designated past and future scheduled events, event register events, or related cases and persons.
<b>5.12 Block Move Cases</b> Provide ability to move blocks of cases or user-selected cases between calendars.
<b>5.13 Track Calendar Modifications</b> Track and output calendar modifications (e.g., judge, or other persons, or courtroom reassignments, cases taken off calendar) over specific period.

## **5. Document Generation and Processing Function**

**Description.** The activities associated with generating, distributing, and tracking documents that notify persons of past and upcoming events and other court actions. The categories of documents in this section are (1) those that typically require service of process with a return of service (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those documents that are sent with no proof of service or used internally such as forms, letters, and brief reports (as opposed to more lengthy and complex documents described in the Management and Statistical Reports Function or produced by word processing).

**Subfunctions.** The subfunctions within the Document Generation and Processing Function are grouped into document generation and document utilities.

### **4.1 Document Generation**

The subfunctions in this group address the standard documents generated by the system including those that typically are served by a process server, and those that are simply mailed or given to a party, attorney, or participant.

<b>Subfunction</b>
<b>4.1.1 Generate Notices or Electronic Acknowledgments</b> 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).
<b>4.1.2 Provide Event Task Document Creation</b>

<b>Subfunction</b>
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, bail forfeited).
<b>4.1.3 Generate Miscellaneous Documents as Defined by the Court</b> Generate miscellaneous word processing (merged) documents and forms as linked to Events, Tasks, or called by the system user.
<b>4.1.4 Create Special Notices</b> 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.
<b>4.1.5 Consolidate Notices</b> In cases with multiple active parties, generate a single notice for attorney who represents multiple parties.
<b>4.1.6 Provide Flexible Document Printing</b> 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.
<b>4.1.7 Include All Parties on Notices</b> 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.
<b>4.1.8 Distribute Documents Electronically</b> 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 event register) in accordance with state and local statutes, rules, and procedures (see Multi-Function Capabilities and Integration and Event registering and Related Record keeping and Security and Data Integrity functions).
<b>4.1.9 Provide Group Document Processing</b> Perform document generation, print, and distribution functions for group of related cases as if group were single case.
<b>4.1.10 Suppress Printing of Confidential Information</b> Suppress or exclude user-designated confidential information in documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Security Function).
<b>4.1.11 Override Recipient Selection</b> Allow user to designate or override computer selection of recipients of the above documents.
<b>4.1.12 Track Document Service</b> 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 Event registering and Related Recordkeeping Function).
<b>4.1.13 Format Letters to Take Advantage of “Window Envelopes”</b> The court should consider and the system should provide for standard letter templates to be formatted to take advantage of “Window Envelopes” to avoid the need to separately print labels or envelopes addresses.

## 4.2 Document Utilities

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

<b>Subfunction</b>
<p><b>4.2.1 Support Local Court Standardized Output Templates, Forms, and Text through Word Processing Integration</b></p> <p>In conjunction with Event Registering and Related Recordkeeping Function, allow users to create and maintain word processing based 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 with text and images of court letterhead graphics and signatures) and (2) create other documents consisting of only text (e.g., some types of notices).</p>
<p><b>4.2.2 Relate Templates to Court Events</b></p> <p>Relate each output template and text noted above to document(s) and court event(s) for which they are used.</p>
<p><b>4.2.3 Maintain Standard Text (Word Processing Document) Files and Relate to Events</b></p> <p>Maintain files of standard text and use to create entire documents or to insert text into "boilerplate" court forms; relate each group of text to document(s) and court event(s) in which they are used (same as the above sub-function, except there are no output templates, which would necessitate imaging).</p>
<p><b>4.2.4 Provide Address Information Interface</b></p> <p>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.</p>
<p><b>4.2.5 Provide Document Tracking Information</b></p> <p>Record and report the status of pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface).</p>
<p><b>4.2.7 Override Document Entries</b></p> <p>Provide ability to override document entries made using the templates and standard text noted above.</p>

## Additional Document Generation and Processing Subfunction Groups for Specific Case Types

Note: This subfunction group is listed again later in the section “Standards for Individual Functions Unique to Specific Case Types,” where it appears together with all other subfunctions unique to traffic case processing.

### 6. Hearings Function

**Description.** The activities associated with reaching a decision in calendared events, recording the results of these events, and notifying the appropriate persons of court decisions. In the context of this document, calendared events include all proceedings in which arguments, witnesses, evidence and exhibits are heard and examined by a judge or other judicial officer. The following functions refer to a “minute entry”. A minute entry in the US is the recording of the results of a hearing, trial, or some other formal court event. For purposes of a ICMS, this specific event may have an entire specialized data entry form to capture the judge’s decision, a civil judgment or criminal sentence.

**Subfunctions.** The subfunctions in the table below are common to most types of hearings.

<b>Subfunction</b>
<p><b>6.1 Provide Minutes Interface to Update the Event Register and Other System Records</b> Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments, continuances, and cancellations) to update records on cases, parties, defendants, juveniles and other persons, allegations, and pleadings throughout system (e.g., working with Event registering and Related Record Keeping Function for event register updates, Scheduling Function for rescheduling of hearing, Document Generation and Processing Function for notice creation, Calendaring Function to place on future calendar when scheduled, Accounting functions for monetary judgment data, and other functions). (See also Integration Between Functions in Multi-Function Capabilities and Integration).</p>
<p><b>6.2 Provide Multi-Case Event Minute Entries</b> Provide for minute entry suitable for multiple-case and multiple-defendant situations using one of methods noted below.</p>
<p><b>6.3 Provide User-Defined Minutes Format</b> Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings.</p>
<p><b>6.4 Generate Manual Recording Worksheet</b> Create document suitable for manually recording minutes (e.g., worksheet, check-off list, working calendar). This is sometimes necessary for courtroom proceedings that move too quickly to capture the data using a computer system.</p>
<p><b>6.5 Provide Entry and Production of Minutes from Worksheets</b> Enter, store, and display or print minutes recorded on calendar or worksheet. Similar to above, this is again necessary for fast moving courtroom proceedings.</p>
<p><b>6.6 Capture Minute Orders</b></p>

<b>Subfunction</b>
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).
<b>6.7 Provide Real-Time Minute Entry</b> Provide edits and prompts with real-time minute entry capability (see Scheduling and Security and Data Integrity functions).
<b>6.8 Create Court Orders</b> Create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time.
<b>6.9 Distribute Court Orders Electronically</b> Electronically distribute court orders resulting from hearings and other judicial events externally (i.e., outside the court) and internally for entry into the event register.
<b>6.10 Distribute Court Orders Using Participant's Preference</b> 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.
<b>6.11 Schedule Subsequent Events</b> Schedule subsequent events (e.g., motion hearing or sentencing hearing) on-line (see Scheduling Function) in courtroom.
<b>6.12 Support Templates and Word Processing Interface</b> Employ output templates, standard text, and user-supplied text analogously to methodology described in Document Generation and Processing Function.

## **7. Disposition Function**

**Description.** The activities associated with disposing a case, defendant, parties, or charges/allegations in a case, including any type of disposition resulting from a court decision after trial, guilty plea, dismissal, bound over, transfer out to another jurisdiction, consolidation, or bail forfeiture or in civil matters such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. This function supports the user in accomplishing the actions called for in court orders.

**Subfunctions.** The Disposition subfunctions are described in the table below.

<b>Subfunction</b>
<b>7.1 Record Disposition</b> Record disposition and sentence (if applicable) for entire case and each count or allegation of each charge including those involving entire cases, individual, families, multiple issues, individual parties, multiple and/or cross referenced cases, and cross petitions; where applicable, prompt to dispose of all charges in a single case.
<b>7.2 Process Disposition Information</b> Process information (e.g., update event register and other records, if not updated automatically as noted below, through Event Registering and Related Recordkeeping Function) and produce documents (e.g., judgment form, sentencing documents, custody forms; see also Hearings Function) for dispositions (i.e., judgments) by trial, guilty plea

<b>Subfunction</b>
(e.g., by plea agreement), ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation.
<b>7.3 Distribute Disposition Documents Externally</b> Distribute disposition documents noted above electronically to recipients 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 event register.
<b>7.4 Identify Inactive Cases</b> 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).
<b>7.5 Maintain Disposition, Closure, and Sentence Information</b> Maintain and produce disposition, closure, and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences, and reason for closure for each charge (e.g., ultimate resolution for case due to trial, ADR such as mediation, dismissal, withdrawal, conference, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation).
<b>7.6 Update Group as if Single Case</b> Update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Event registering and Related Recordkeeping Function).
<b>7.7 Process Post-Judgment Activities and Generate Documents</b> 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 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).
<b>7.8 Maintain Judgment Indexes</b> 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.
<b>7.9 Maintain Separate Disposition and Judgment Screens</b> 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.
<b>7.10 Support Multiple Judgements</b> Allow for multiple judgments in cases involving multiple parties.

## **8. Compliance and Execution Function**

**Description.** The usually post-disposition or court administrative activities associated with (1) monitoring compliance with sentence and supervision conditions, terms of a court order for child support or restitution payments, or other judgment; and (2) court-assisted efforts to enforce such compliance. Although the nature of these activities is somewhat similar across case types, the term “compliance” applies to the statutes and rules for criminal, traffic, and

juvenile court systems, whereas the term “execution” is used for civil and domestic relations courts.

**Subfunctions.** The subfunctions described below are grouped into compliance subfunctions and execution subfunctions.

## 8.1 Compliance

This group of subfunctions addresses activities relating to compliance with sentence and supervision conditions. These situations normally arise when the court either tracks adherence or is otherwise informed by the unit that administers post-conviction programs (e.g., adult and juvenile probation or other programs) that the defendant has not complied either with the sentence or supervision conditions.

<b>Subfunction</b>
<b>8.1.1 Produce Compliance Documents</b> Process information and create documents (e.g., court orders such as revocation of probation, reduction of sentence, writ of execution and abstract of judgment for unpaid assessments) on post-judgment or post-conviction activities (e.g., in response to requests for execution with information on monetary and non-monetary judgments including parties, monetary and non-monetary awards, pertinent dates, assignees, payments, credits, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine); enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Compliance and Accounting -- Bookkeeping functions).
<b>8.1.2 Distribute Post-Conviction Documents</b> Distribute post-conviction documents noted above electronically to external recipients (e.g., law enforcement, drivers’ services, and corrections) in accordance with state and local statutes, rules, or procedures, and internally to be entered in event register.
<b>8.1.3 Track Compliance</b> For cases with post-judgment activities, provide ability to track full and partial compliance with programs or sentencing conditions and track follow-up when compliance problems arise.
<b>8.1.4 Interface with Other Functions</b> Obtain information from other system functions (e.g., Hearings, Disposition, Accounting) to help users track and assess compliance; update event register/register of actions with post-conviction events.

## 8.2 Execution

This group of subfunctions addresses the activities associated with execution of a civil judgment. These situations normally arise when the court is requested to assist with collection of the monetary judgment or in other cases as prescribed by the law such as for utility bill collection or mortgage agreement enforcement. The Execution Function interacts with the Hearings Function and Disposition Function in these tasks.

(Please note: In some cases this will involve a separate case type and therefore requires its own functionality. In general, the system defines execution as the final phase of a case that was previously adjudicated.)

<b>Subfunction</b>
<p><b>8.2.1 Process Requests for Execution of Judgment / Utility Bill Claim / Other</b> Process requests for execution of judgments and establish cross references for each execution subfunction below to judgment index and judgment screen.</p>
<p><b>8.2.2 Process Objections to Execution</b> Process objections to execution by any party or case participant.</p>
<p><b>8.2.3 Record Non-satisfied Executions</b> Record fully, partially, and non-satisfied executions (e.g., "All obligations satisfied").</p>
<p><b>8.2.4 Update Case Groups</b> 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).</p>

## **9. Case Closing Function**

**Description.** The activities associated with final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate. However, please recognize (see 9.7) that there is always a possibility that a closed case can be reopened, even many years later. In this case a new event reopening the case would be created that would change the case status to active and add the case to the statistical and management reports.

**Subfunctions.** The subfunctions associated with the Case Closing Function are described in the table below.

<b>Subfunction</b>
<p><b>9.1 Record Reason for Closure</b> Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after trial, guilty plea, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, consolidation, or bail forfeiture) when all locally defined court process rule conditions are met.</p>
<p><b>9.2 Process Notification of Compliance</b> 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.</p>
<p><b>9.3 Coordinate Data for Any Consolidated Cases</b> Establish cross references and adjust identifiers and data between consolidated cases for event registering, scheduling, notice generation, and other functions.</p>
<p><b>9.4 Identify Conditions Preventing Case Closure</b> Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines, non-appearance for incarceration,</p>

<b>Subfunction</b>
etc.). This may result in a reminder task being set for a specific time in the future.
<b>9.5 Close Case</b> Close case either manually or automatically (e.g., change status to closed; update event register; generate required forms, notices, reports for that case).
<b>9.6 Generate and Distribute Case Closure Reports</b> Generate and distribute as needed the overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance and other information, such as community work service hours completed).
<b>9.7 Reopen Closed Cases</b> Provide the ability to reopen a previously closed case.

## **10. Accounting and Financial Function**

**Description.** The activities necessary to satisfy the court's fiduciary responsibilities include recording and verification of the 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 the government auditing agency.

The court does not directly collect money from the participants in a case. The participants are required to pay fees or fines at a bank or post office and then submit proof of payment to the court. Proof of payment may be in the form of a receipt or stamps

**Subfunctions.** The subfunctions below either are common to one or more of the subsequent accounting sections or cannot be categorized into one of those sections.

<b>Subfunction</b>
<b>10.1 Enter Fee or Fine Payment</b> The ICMS financial system should record the date, case phase number, case party role, payment amount, and payment method.
<b>10.2 Calculate Fees and Generate Payment Balance</b> The system should calculate the court fees according to case type and the value of the dispute as defined by law and provide a payment receipt statement report (see 10.4) for the person filing the case.
<b>10.3 Calculate Additional Fees Event</b> Subsequent to case initiation additional court fees may be assessed. In all cases the decision fee must be paid and other fees such as expert witness or appeal fees may be applied. In these instances the fee amount will be applied from a fee table. The system should calculate the fees, itemize payments already made and display the balance due if any.
<b>10.4 Payment Receipt Statement Document</b> The system shall be able to generate a payment receipt containing the date, name of the court, case phase number, case style (x versus y), assigned judge, payments and fee account balance,
<b>10.5 Payment Order Event</b> The system shall be able to create a payment order from the recording of the event in the

<b>Subfunction</b>
register including the date, case phase number, party responsible for payment, amount of payment, due date(s) for payment, and date and document number for the related court order.
<p><b>10.6 Generate Payment Receipt Confirmation Document</b> When proof of payment is submitted the system shall be able to generate a receipt confirmation document showing the date, court name, case phase number, payment amount, payment date, payee name and case participant roles, and balance due.</p>
<p><b>10.7 Payment Task Alerts for Delinquent Payments</b> Based upon court process rules, the system shall be able to create a task alert for the judge or court staff notifying them of a delinquent payment including case phase number, original due date, number of days delinquent, amount due, amounts paid,</p>

## **11. File, Document, and Property Management Functions**

**Description.** The activities associated with (1) creating, storing, managing, tracking, archiving, and disposing of manual, electronic, and imaged case files; (2) managing electronic and imaged documents; and (3) receiving, tracking, and returning or destroying exhibits and other property gathered by the court relative to its cases (but not fixed assets and similar property of the court).

**Subfunctions.** The subfunctions are grouped into file tracking, file archival and destruction, reporting and utility, document management, and exhibit management.

### **11.1 File Tracking**

Because many people sometimes need to use physical case files, sometimes simultaneously, the court staff must know their location at all times during the case life cycle. In accordance with court rules governing record retention, the case records must be identified when they are created at case initiation; stored as active, inactive, and archived files as they progress through their life cycle; and tracked until they are destroyed. The file tracking subfunctions differ somewhat, depending on whether the files are manual or electronic. One major difference is the need to track the physical location of manual records.

<b>Subfunction</b>
<p><b>11.1.1 Generate Case File Labels</b> Generate labels for physical case files; with the capability of including barcodes (see also Case Initiation and Indexing Function).</p>
<p><b>11.1.2 Generate Indicators for Physical Files</b> Generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., police reports, juvenile or domestic relations interview notes, psychological profiles) and to provide information on placeholders for checked-out manual files.</p>
<p><b>11.1.3 Generate Indicators for Electronic Files</b> Generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations) on electronic files.</p>
<p><b>11.1.4 Track Manual Case Files</b></p>

<b>Subfunction</b>
Track manual case files (including multi-volume files) from time checked out of register's office through each borrower (including those external to courts such as prosecutor and domestic relations service providers) until returned to register'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.
<b>11.1.5 Maintain Location for Manual and Electronic Archived Files</b> Maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files.
<b>11.1.6 Maintain Tracking Information About Destroyed Files</b> Maintain status, last location, and history of manual and electronic destroyed files.
<b>11.1.7 Maintain Audit Trail of Case File Location</b> 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 Event registering and Related Recordkeeping Function).
<b>11.1.8 List Filings While Manual File Checked Out</b> Print or display list of filings while manual file checked out so that documents can be added to file when it is returned.
<b>11.1.9 Flag Electronic Version When Manual File Lost</b> Flag electronic file when corresponding hard-copy file is reported lost, and display alert to electronic record user.

## 11.2 File Archival and Destruction

Manual and electronic case files pass from active to inactive status in accordance with court rules for record retention, and eventually they may be archived and ultimately destroyed (or totally purged if an electronic file). While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary. In the rare situation when a file, manual or electronic, is ordered expunged, that file must be rendered unrecoverable and completely unreadable, including all back-up or archived copies.

There will likely be special parameters for data and physical file security for sensitive matters including Juvenile and Domestic Relations and Abuse cases in the future. Therefore the system should consider these possibilities as part of the design criteria.

<b>Subfunction</b>
<b>11.2.1 Identify Cases for Archiving</b> Identify cases to be archived and later destroyed (see Case Close Function).
<b>11.2.2 Identify Cases for Permanent Retention</b> Identify cases to be retained permanently.
<b>11.2.3 Process Files for Archival and Destruction</b> Process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility (see also List of Code Translation Tables).
<b>11.2.4 Retain Information from Inactive, Archived, or Destroyed Case Files</b> Identify and retain summary information (e.g., indexes, key elements of case history from inactive, archived, destroyed, or purged case or defendant files), in accordance with local

<b>Subfunction</b>
rules, as needed for related cases or defendants that remain active (see Event registering and Related Record Keeping Function).
<b>11.2.5 Generate Archival and Record Destruction Reports</b> Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been archived and destroyed or transferred.
<b>11.2.6 Update Active Records Related to Inactive, Archived, or Destroyed Records</b> Interface with Event registering and Related Record Keeping Function to update records of cases or defendants related to cases transferred to inactive, archived, destroyed, or purged status (see Event registering and Related Record Keeping Function).
<b>11.2.7 Expunge Case Files</b> Expunge files when ordered by the court.

### 11.3 Reporting and Utility

Case processing systems often must perform various reporting and utility functions as part of file management.

<b>Subfunction</b>
<b>11.3.1 Generate File Management Reports</b> Generate reports on file management activities (e.g., file transfer, inactive, and purge reports), including lists of active, inactive, archived, and purged files (e.g., to assist in annual file inventory).
<b>11.3.2 Perform Copy, Sort, and Other Utility Functions</b> Perform utility functions (e.g., copy information such as docket entries and participants from one case to another, sort outputs, copy historical case or defendant data to secondary file).
<b>11.3.3 Display Printed Output and Print Screens and Documents</b> Display any printed output, print any screen display, and print any document individually or in a group, immediately or at a scheduled time.
<b>11.3.4 Display System Malfunctions</b> Display information on system and equipment (e.g., printer) malfunctions if information available.

### 11.4 Document Management

Document management addresses the rudimentary document management capabilities for electronic and imaged documents (with the proviso that these descriptions do not assume an imaging capability) received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems. The documents include forms, letters, and brief reports described in the Document Generation and Processing Function. Document management capabilities must exist either in the case processing system or in a separate document management system that interfaces with the case processing system. The capabilities shown in the table are in addition to those

noted in the File Tracking and the File Archival and Destruction sections of this function and in the Document Generation and Processing Function and Security Function.

<b>Subfunction</b>
<b>11.4.1 Document System Linkage</b> Stored electronic documents such as those created by the court via word processing should be automatically or, when necessary manually linked to a case event, party, person, or all as required by the needs of the court.
<b>11.4.1 Support Input, Output, Storage, and Selective Retrieval of Documents</b> 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., through event linkage, case attorney or person, case number or date range).
<b>11.4.2 Provide Toggle Between Documents</b> Provide capability to toggle between views of several different documents. This may be provided by the court's word processing system or by Acrobat reader.
<b>11.4.3 Use Same Document Event Management System for Imaging</b> Provide capability to use same document management system for imaging if imaging included in overall case processing.
<b>11.4.4 Support Manipulation and Maintenance of Electronic or Imaged Documents</b> 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).
<b>11.4.7 Provide Document Management Security</b> Provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Security and Data Integrity Function).
<b>11.4.8 Store and Output Documents Produced by System</b> Provide ability to save, store, and output any document produced by the system without requiring the data to be reprocessed. Final documents should be saved and protected via read only system flags in a non-editable format such as PDF.

## 11.5 Exhibit Management

Exhibits and other property must be identified when received and tracked in an analogous manner to files.

<b>Subfunction</b>
<b>11.5.1 Record Receipt of Exhibits as a Case Event</b> 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.
<b>11.5.2 Generate Identifiers</b> Generate exhibit and property numbers or other locally defined identifiers.
<b>11.5.3 Track Location and Status of Exhibits</b> Track location and status of exhibits and other property.
<b>11.5.4 Record Return or Destruction of Property</b> Record return or destruction of exhibits and other property.

<b>Subfunction</b>
<b>11.5.5 Generate Exhibit Notices</b> 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).
<b>11.5.6 Generate Property Lists</b> Print or display lists of exhibits and other property according to case, party, and other parameters.
<b>11.5.7 Track Court Orders for Exhibits</b> Track and print or display court orders pertaining to each exhibit or property.

## **12. Security and Data Integrity Function**

**Description.** The activities associated with ensuring the security and integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. This is accomplished through a combination of features in the case processing application software, the relational database software, the normal computer hardware and operating system software, and special-purpose hardware and software.

**Subfunctions.** The subfunctions described in the tables below are grouped into those pertaining to security and those associated with ensuring data integrity.

### **12.1 Security**

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.

Security levels should be maintained by the user and at a minimum should allow at least 3 levels of security access to the data. Serious considerations must be given to the requirement of 4 levels of security for those courts that will allow unsecured access to viewing case information via the Internet.

Certain functionality in the security functions is expected without identifying each function such as the need to change passwords routinely (i.e. a predetermined number of days as determined by the system administrator, and automatic "time-out" of the application after a predetermined number of minutes of inactivity).

Depending on the type of user, the system and its data and documents must be protected at three basic levels:

Level 1 -- For court users (e.g., clerk's office staff) -- who individually have different privileges on the system but collectively can enter data and documents, access most data and documents, and change some data and documents -- the system,

data, and documents must be protected from unauthorized access and erroneous entry.

Level 2 -- For official users outside the court who frequently submit filings and need information from the system (e.g., defense attorneys of record), there must be protection from access to unauthorized parts of the system, from submission of erroneous data and documents, and from direct entry of data and documents (i.e., Level 1 users would be permitted to enter data and documents directly into the system).

Level 3 -- For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing limited parts of the system's data and documents.

The security standards are incremental in the sense that those applicable to Level 1 also apply to Levels 2 and 3, and those that apply to Levels 1 and 2 also apply to Level 3. Unless otherwise indicated, standards covered in this description apply to all three Levels.

Normal features provided by the computer and system software protect the system and database from unauthorized access. Local and remote log-on and password protection restricts access to the case processing system, and database security at the file and record levels prevents all but selected groups of users from, respectively, viewing specific files, modifying specific files, or deleting specific files. (As used in this section, files connote all types of files including those used to store data, documents, and programs.) Security functions must include controlling access to specific case types (e.g., juvenile cases), parts of cases (e.g., child name), and cases with special restrictions (e.g., sealed cases).

Access to the system and database by the public and other outside unofficial individuals (i.e., Level 3 users) would lead to additional security requirements. For example, the public could be given access over the Internet or allowed to access the system directly from specified locations (e.g., kiosks). Either of these alternatives presents potential problems because unknown users who do not have individually-assigned passwords and other identifiers would have access.

<b>Subfunction</b>
<b>12.1.1 Base Access and Privileges on User-Maintained Authorizations</b> Base access and similar privileges (including privileges for specific groups of users or access to specific types of data) on authorizations defined, maintained, and controlled by specific users (e.g., access authorization tables; see also List of Code Translation Tables).
<b>12.1.2 Provide Flexible Restrictions on Access and Operations</b> 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, PCs, printers) locations, users, and groups of users.
<b>12.1.3 Restrict Local and Remote Access via Flexible Criteria</b> 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., juvenile addresses, medical information, 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.

<b>Subfunction</b>
<b>12.1.4 Provide Additional Security for Public Access</b> Provide adequate security if public access allowed (e.g., view but not modify or delete data and documents; separate logical or physical database (replicated) specifically for public access; 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 while securing other parts). Both large and small systems should have the ability to mask certain data fields from public view, such as social security numbers, the address of the arresting officers, or a juvenile’s or crime victim’s identity.
<b>12.1.5 Provide Secure User Passwords</b> Provide secure passwords for users with periodic password changes.
<b>12.1.6 Provide Audit Trails of User Activities</b> Provide audit trails that show which users and workstation locations logged onto system, when they logged on, and what parts of system and database they accessed (e.g., to prevent browsing) during specified period; permit audit trails to be stored, archived, and purged.
<b>12.1.7 Permit Authorized User Correction of Data Entry Errors</b> Allow authorized (supervisory level) 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).
<b>12.1.8 Provide Database Audit Trail of File Additions, Modifications, and Deletions</b> Maintain and display or print database audit trail of file additions, modifications, and deletions (e.g., filings entered into event register) including who made entry, when entry made, whether date entered and date filed differ (see also Event registering and Related Recordkeeping Function).
<b>12.1.9 Ensure Authorization of Electronic Case Record Modifications</b> Ensure electronic case records (e.g., electronic filings, event register entries, calendars, system-generated documents) cannot be modified without proper authorization and notification of supervisor or system administrator.
<b>12.1.10 Provide Secure Interfaces and Information Exchange</b> Provide adequate security for electronic interfaces and information exchanges with outside systems and networks.
<b>12.1.11 Provide Security for User Notes</b> Provide adequate security for judge’s and other user’s task or case event notes.
<b>12.1.12 Suppress Output of Confidential Information</b> 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, Hearings Function, and Disposition Function).
<b>12.1.13 Allow Limited Access to Normally Inaccessible Information</b> Allow special, limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis or other specific purposes.

## 12.2 Data Integrity

Integrity 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 any outside influence other than deliberate human intervention (e.g. power outage, operating system inconsistencies or problems, data back-up and recovery operations). This ensures the integrity of the case processing system, its data, and its documents during normal operations and after a system failure or outage. It is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software.

Consideration must be given to systems that allow customization based on the hardware platform and operating system chosen by the user. As new technologies are developed to increase the level of data integrity, just as “mirroring” has done in the recent past, case management systems must be designed to take advantage, or at least allow the use of these improvements.

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

The data integrity issue becomes more acute with electronic data exchange (such as receiving data directly from the electrical utility for enforcement cases). While the risk of direct data or document entry is minimal, the possibility exists that the data and documents originally sent differ from those ultimately received because, for example, they became corrupted during transmission. The court should devise a method to ensure the integrity of these data and documents -- normally through the ICMS database functionality or, more reliably, through special-purpose security hardware or software with features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and non-repudiation (sender cannot later deny sending information).

<b>Subfunction</b>
<b>12.2.1 Ensure Integrity of Electronically Transmitted Data</b> 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.
<b>12.2.2 Provide for Disaster Recovery</b> 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 and system to be restarted).
<b>12.2.3 Permit File Backups at Any Time</b> Provide for file backups or data replication at any time, with minimal disruption of normal operations.
<b>12.2.4 Correlate and Permit Merging of Data for a Person</b> Ensure only single set of data exists for each person (i.e., various identifiers for given person must be correlated), and allow for merge and unmerge of files containing information on the same person.
<b>12.2.5 Perform Locally Defined Edits</b> 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).

<b>Subfunction</b>
<b>12.2.6 Ensure Clarity of Data Integrity Check Messages</b> Ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight errors).
<b>12.2.7 Produce Transaction Statistics</b> Produce statistics on transactions received, transactions accepted, transactions rejected over specific time period.
<b>12.2.8 Provide Roll-Back Capability</b> Provide system and data roll-back capability that will restore programs, data, and data relationships erroneously modified or deleted (see Event registering and Related Record keeping Function).
<b>12.2.9 Data Entry Error Reporting</b> Provide reporting information on data entry errors including description of error and identification of data entry operator.

### **13. Management and Statistical Reports Function**

**Description.** The activities associated with reporting caseload, caseflow, and workload statistics and management information on court operations, finances, and staffing. Typically, the state and local court administrative offices identify the statistics that they need from the court, and local customs and management styles determine the management reports.

There are five general mandatory reporting requirements:

- The case processing system must satisfy court and government statistical reporting requirements;
- The case processing system must produce management reports;
- The management reports must be defined according to local court needs;
- Most management reports must be available in detail (information on individual cases or persons) and summary (information on groups of cases or persons) form; and
- The management reports must allow system users to obtain information on all or specific groups of cases or persons when they request a given report.

The reports are by-products of case processing data already in the system, with nothing entered specifically for reporting purposes. Users create reports by identifying (1) the information they need, (2) what data from the system is available to convey this information, (3) how these data must be grouped to convey the information, and (4) how often specific information is needed. Most reports should be available both on a regular schedule and when requested.

Too many preprogrammed reports can adversely affect system performance and prolong system development; therefore, court personnel should carefully specify only reports that would be used most regularly. Additional reports may be obtained, if needed, on ad-hoc basis using report generation software described in Appendix B.

While the standard output method would be printed reports, information summaries should be available through other types of presentations (e.g., graphs, charts) when requested by the user. Any printed information should also be available as an on-line display and for extraction and transfer to other systems or Internet posting.

This section is intended to help users and technical personnel begin this process by listing potential statistical and management reports for the court to consider. Because these reports depend on local preferences, the presentation of standards for the Management and Statistical Reports Function differs from those of the other functions in that it consists only of the general requirements and guidelines and lists of possible reports. The detailed subfunction tables are irrelevant here.

**Subfunctions.** The subfunctions described in the tables below are grouped into statistics and management information.

### 13.1 Court Statistics

As a by-product of day-to-day case processing, the system produces statistics for local use that satisfy the reporting requirements of the judicial branch, state agencies, and the federal government. These statistics appear in reports that are either produced locally by the case processing system or at the state level by a system located there after being sent from the local courts. The statistical reports generally fall into three categories—caseload, caseflow, and workload.

Caseload reports present statistics for each case type and, in many instances, case category (e.g., serious criminal cases, minor criminal cases, civil cases, domestic relations cases, child support) for a specific time period on the number of cases pending at the beginning of the period, the number of cases filed or reopened during the period, the number of cases disposed or stayed (i.e., delayed or otherwise removed from the court's control) during the period, and the number of cases pending at the end of the period. The reports also may provide details on these basic pending, filed, and disposed statistics (e.g., percent of total caseload filed, disposed cases as percent of filings, manner of disposition).

Caseflow reports present statistics for each case type and, in many instances, case category for specific time intervals on the age of pending cases (e.g., how many have been pending for 30, 60, or 90 days), case age at disposition (e.g., disposed within 60, 120, or 180 days), number of pending cases at each proceeding stage (e.g., number of pending awaiting answer or response, awaiting mediation, awaiting pre-trial conference, awaiting trial), and average time intervals between proceeding stages (e.g., between initial filing and answer or response).

Workload analysis presents statistics for each case type and, in many instances, case category based on trends (e.g., changes in numbers and percentages of filings to

dispositions, percentage changes in filings in successive reporting periods and successive years, percentage changes in manner of disposition).

### **Subfunction**

#### **13.1.1 Statistical Reporting Examples**

Caseload, caseload, and workload reports present information by overall count for statistical purposes but may also list the cases in each category to assist case management. Examples of such reports include the following:

- Pending cases 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;
- Disposed cases arranged according to various criteria such as case type, case category, resolution or disposition type, proceeding stage when disposed, nature of action, or judge or other judicial officer;
- Reopened cases arranged according to various criteria such as case type, case category, reason reopened, or judge or other judicial officer;
- Cases pending specific action such as pending annual review or recommendation for transfer;
- Cases with specific status such as adjourned, by reason adjourned;
- Juvenile case “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; and
- Weighted caseload summaries. (Please note that iSud specifies both case and event weights so that more detailed and accurate case and workload statistical reports will be possible.)

#### **13.2 Management Information**

While management reporting is a mandatory capability for every case processing system, the specific management reports needed by a given court depend on local customs and highly personalized management styles. This section lists some of the management reports that case processing systems could produce, categorized by whether the reports contain case, financial, person (e.g., party, participant, judge, attorney), calendar monitoring, system performance monitoring, or system usage and quality assurance information. Many of these reports should be exception reports to encourage proactive case management.

Some management reports are preprogrammed into the case processing system, and some are generated on an ad hoc basis (see Inquiry and Report Generation sections of Related Technical Considerations [Appendix B]). Judges and other managers in each court must decide which reports are needed on a regular basis; these reports would be preprogrammed. Because courts will need additional reports as conditions, personnel, and preferences change, the additional reports can be programmed or created on an ad-hoc basis.

<b>Subfunction</b>
<p><b>13.2.1 Case Information Report Examples</b></p> <ul style="list-style-type: none"><li>• Event register contents (cases) - gives event register contents for specific cases, groups of cases, and related cases;</li><li>• Event register transactions - lists event register or register of actions transactions by case and time period;</li><li>• Events - provides information on specific types of events including all or major events in upcoming period by case;</li><li>• Issues - tracks issues and resolutions within specific cases;</li><li>• Open judgments - provides information on cases with open judgments;</li><li>• Open warrants - provides information on cases with open warrants;</li><li>• Motions - gives status of motions and related petitions and requests;</li><li>• 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;</li><li>• Executions and garnishments - provides index of outstanding and prior executions and garnishments;</li><li>• Custody and visitation decisions - gives information on custody and visitation decisions;</li><li>• Court orders - reports on court orders issued by type of order and case;</li><li>• Domestic violence cases - reports domestic violence cases with related information</li></ul>

<b>Subfunction</b>
<p>including demographics;</p> <ul style="list-style-type: none"><li>• Child abuse or neglect cases -- reports child abuse or neglect cases with related information including demographics;</li><li>• Marriage dissolution - provides information on dissolution cases including those involving minors;</li><li>• Related cases -- provides information on cases and persons related to case specified.</li></ul>
<p><b>13.2.2 Financial Information Report Examples</b></p> <ul style="list-style-type: none"><li>• Arrearages - gives information on arrearages by case or party;</li><li>• Account status and history - gives information about each account;</li><li>• Account activity - gives aging, audit trail, journal, and similar information about each account;</li><li>• Receivables - gives amounts owed and waived for each person or organization;</li><li>• Payables - gives information on disbursements from accounts;</li></ul>
<p><b>13.2.3 Person Related Information Report Examples</b></p> <ul style="list-style-type: none"><li>• Event register contents (persons) - gives event register contents for specific persons (i.e., party, attorney) and groups of persons;</li><li>• Upcoming events (person) - reports all or most significant events in upcoming period by person</li><li>• Charge and sentence - gives defendant information by defendant, charge, or sentence (e.g., community service, restitution, adult probation, incarceration);</li><li>• Judge assignment - tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;</li><li>• Judicial officer performance - tracks judicial officer assignments, decisions, and performance criteria;</li><li>• Attorney case list - gives cases (all, active, inactive) and related information for specific attorney;</li><li>• Person schedules - reports number of cases or events scheduled for specific people (e.g., judges, other judicial officers, prosecutors, attorneys) and resources (e.g., court or meeting rooms) by time periods;</li></ul>

<b>Subfunction</b>
<ul style="list-style-type: none"><li>• Person assignments - reports current and past cases or events assigned to non-judicial people and court staff (e.g., attorneys, prosecutors, parties, victims, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies) and resources (e.g., court or meeting rooms) by time periods;</li><li>• Self-represented litigants - lists and give status and caseflow of cases involving self-represented litigants;</li><li>• Personal histories - gives prior information on persons (e.g., marriages and divorces, domestic problems, child abuse, restraining orders, number of filings against each other, age brackets, economic status, demographics);</li><li>• Domestic relations service providers and related institutions - gives current and historical information by organization or case on domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies, and related institutions (e.g., schools, hospitals, doctors);</li><li>• Illegal attorney filings - gives information on cases filed by disbarred and suspended attorneys;</li><li>• Problem persons - gives 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 service or remedy, and program provider.</li></ul>
<b>13.2.4 Calendar Monitoring Information Examples</b> <ul style="list-style-type: none"><li>• Calendar summary - summarizes calendar information by case type; case category; judge, magistrate or referee, or other judicial officer; attorney; respondent; date;</li><li>• Event schedule overload - compares number of events scheduled to maximum number allowable and indicates when limits exceeded;</li><li>• Judge and judicial officer availability - reports time available within specific period (e.g., week, month) for each judge and other judicial officer;</li><li>• Calendar modifications - tracks and reports calendar modifications (e.g., judge or courtroom reassignments) over specific period.</li></ul>
<b>13.2.5 Performance Monitoring Information Examples</b> <ul style="list-style-type: none"><li>• Case processing performance - monitors conformance to time and other performance standards;</li><li>• Cases disposed and issues resolved - reports whether specific cases have been disposed and issues resolved with cross references to calendars in which they were</li></ul>

<b>Subfunction</b>
<p>disposed or resolved;</p> <ul style="list-style-type: none"><li>• Continuances - lists and gives supporting information on cases that have been continued over specific period by judge, other judicial officer, attorney, and other criteria;</li><li>• Trial duration - tracks duration of trials and compares estimated and actual duration by courtroom; judge, magistrate or referee; other judicial officer; whether jury or non-jury trial; and other criteria;</li><li>• Milestone events - tracks milestone events for specific cases or groups of cases giving more flexible caseflow information than is available in standard statistical reports described in previous section;</li><li>• Timeliness of hearings - reports timeliness of hearings after entry of plea or after at-issue memoranda received;</li><li>• Timeliness of orders - provides timeliness of entry of court orders in time-sensitive situations such as sex crime, restraint, custody, visitation, and child support;</li><li>• Order type and compliance ratios - gives percentages of court orders with specific characteristics such as restitution ordered and made, drug treatment ordered and completed, custody determinations requested and made, visitation determinations requested and made, child support requested and granted;</li><li>• Status of court-ordered services and remedies - gives status of program referrals and other court-ordered services and remedies by type of service or remedy;</li><li>• Results of court-ordered services and remedies - gives results of program referrals and other court-ordered services and remedies by type of service or remedy;</li><li>• Service or remedy evaluation - gives information on program referrals and other court-ordered services and remedies to permit evaluation of program providers and compliance by litigants;</li><li>• Service or remedy ratios - gives percentages of respondents entering and completing court-ordered services and remedies (e.g., drug treatment programs and domestic violence programs) by type of service or remedy;</li><li>• Disposition ratios - gives percentages of issues or cases disposed by resolution or disposition type;</li></ul>
<p><b>13.2.6 System Usage and Quality Assurance Information Examples</b></p> <ul style="list-style-type: none"><li>• System usage audit trail - provides audit trail reports that show (1) which users and workstation locations logged onto system during specified period and (2) file additions, modifications, and deletions including who made entry, when entry made,</li></ul>

<b>Subfunction</b>
<p>whether dates entered and filed differ;</p> <ul style="list-style-type: none"><li>• Case inventory - provides periodic inventory of cases in system;</li><li>• Duplicate information - provides periodic inventory of duplicates (e.g., cases, persons) in system;</li><li>• 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;</li><li>• 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;</li><li>• System users - provides information on active and inactive users.</li></ul>

## Appendix A: List of Code Translation Tables

Most modern systems save storage space and expedite data entry by using various types of codes instead of their corresponding -- and generally lengthier -- translations (e.g., county code instead of county name). Such systems must have a method of associating each code with its corresponding translation.

One method of accomplishing this is for the system to maintain tables that match each group of codes with their translations (e.g., county code with the appropriate county name). When the system is implemented and subsequently when changes arise, users define the code translation tables and supply them with codes, translations, and other information that may be contained in each table (e.g., attorney addresses in attorney code translation table). Properly defined and maintained code translation tables are an efficient method of entering and storing data.

Whereas, as noted earlier, the standards identify what functions case processing systems are supposed to perform -- and not how they are to perform those functions -- the wide prevalence of code translation tables suggests that these tables be used to illustrate the standard of associating codes and translations -- or more basically of achieving the efficiency of code usage. The remainder of the section, therefore, lists some typical tables and, for each table, gives examples of the categories of data for which codes and corresponding translations would be supplied. The section also lists other data that could be contained in a particular table.

Code translation tables relate closely to the data types (e.g., files in the database) covered earlier in this document in that the tables provide the interface between the translations, which are meaningful to users, and the codes, which are stored in the database and used internally within the system. Even though, for clarity in this document, the contents of the data types section and this section may be redundant in places, the tables and data files would complement each other with minimal redundancies in an actual system.

**account type** -- such as bank, case, draw-down, distribution;

**allegation type** -- such as neglect or burglary with corresponding allegation code and severity indicator (delinquency cases);

**alternate dispute resolution (ADR) providers** (e.g., mediators, ) -- such as names, identifiers, addresses, case types and case categories they can handle, availability (e.g., only on Tuesdays and Thursdays), performance criteria (e.g., mediation time for dissolution case) and other information on persons (e.g., attorneys) appointed by the court to impartially settle cases;

**attorneys** -- such as names, identifiers, firm, status (e.g., attorney sanction, such as disbarment, suspension, reprimand), and other information on attorneys licensed to practice in the state (e.g., using the state attorney registration list) or local jurisdiction (see Definition of Data Types earlier in this document for additional attorney information);

**attorney representation type** -- such as private attorney, prosecutor, public defender;

**bank/company/institution identifier** -- such as names, identifiers, and other information for organizations that supply services to the court (e.g., bank, payment collection,

bonding, 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) or are parties (e.g., defendant, petitioner, respondent, third party) (see Definition of Data Types earlier in this document for additional party and participant information);

**bail type** -- such as secured, release on recognizance, property with guidelines for each bail type if guidelines used in state or locality;

**bondsmen** -- such as names, identifiers, and other information for organizations that serve as surety for defendants in the court;

**process rules** -- such as for docketing, scheduling, creating documents, disposing and closing cases (may not be mutually exclusive with other tables, such as time standards table);

**calendared event type** -- such as motion hearing, trial, conference with maximum number of events that can be scheduled in a given situation (e.g., combination of judge or other judicial officer, case type, case category, courtroom, time period) (see Definition of Data Types earlier in this document for additional information on hearings and other calendared events);

**case close type** -- such as reason for ultimate resolution (e.g., juvenile ages out) and associated event (e.g., trial, guilty plea, ADR, dismissal, bound over, withdrawal, conference, transfer to another jurisdiction, transfer for criminal prosecution, diversion, consolidation);

**case status** -- such as awaiting filing of answer or response, awaiting motion hearing, awaiting trial, awaiting sentence;

**case category** -- such as serious criminal, minor criminal, delinquency, status, child abuse and neglect (see Definition of Data Types earlier in this document for additional case information);

**case type** -- such as civil, criminal, enforcement;

**city/canton** -- such as each canton, city, town, and other municipality;

**compliance/non-compliance type** -- such as completed or did not complete court-ordered sentence or program;

**court type identifier** -- such as first or second instance court

**court identification number** -- unique number that identifies the court;

**courtroom identifier** -- unique number that identifies a specific courtroom such as courtroom #5 in a particular city and canton

**courtroom staff role** -- such as judge, other judicial officer, court clerk, reporter, bailiff for a specific courtroom;

**courtroom type** -- such as judge's office, large courtroom, hearing room, conference room for each courtroom in the courtroom identifier table;

**court support unit identifier and program** -- such as juvenile services probation, review, and diversion programs;

**department identifier** -- such as the court department that handles small claims cases in a particular city or canton as identified in the city/canton table;

**differential case management** -- such as detailed case processing rules, parameters, and schedules for each event in each case type and case category in courts where case types and categories are processed differently (e.g., as in time-sensitive filings) (see event driven systems covered in Related Technical Considerations in Appendix B);

**disbursement type** -- such as disbursements from accounts (e.g., for monetary restitution; for fee distribution according to state, county, city formula; for undistributed or unclaimed funds);

- disposition type** -- such as found guilty, guilty plea, dismissal, withdrawal, ADR, transfer out to another jurisdiction, transfer for criminal prosecution;
- document template type (link)** -- such as each type of blank word processing document into which users enter information including input documents (e.g., complaint or petition forms) used in manual and electronic filing and output documents (e.g., notices) that are printed and sent to or distributed electronically;
- document type** -- such as court orders, warrants, summons, subpoenas, notices, and other documents created or issued by court;
- event type** -- such as complaint filed, petition filed, answer or response filed, motion hearing scheduled, trial scheduled, trial held, case disposed, sentence modified (see Definition of Data Types earlier in this document for additional event information);
- exhibit** -- such as type, status, location, test results
- exhibit retention** -- default amounts such as elapsed times for each type of exhibit to be retained after last activity on case before being returned to owner or destroyed;
- facility** -- such as type (e.g., off-site records storage, mental health facility), identifier;
- fee and service type** -- such as to file complaint, petition or other pleading, for services (e.g., photocopying);
- fee type amount** -- such as preset fee amount associated with each type of document filed or issued with effective date of fee type;
- file access authorization** -- such as relationships between specific internal and external users (based on user profiles, they may have different log-on procedures), system functions (e.g., normal case processing functions, such as event registration or calendaring, cannot change or delete access authorizations), and device (e.g., terminals, PC's, printers) locations and their authorizations to view, print, add, change, or delete files and file contents;
- file retention** -- such as elapsed times for files to remain active after last activity on case, to remain inactive without further activity on case, to remain archived before destruction;
- filing or pleading type** -- such as complaint, indictment, initial petition, answer or response, petition for dismissal (see Definition of Data Types earlier in this document for additional filing information);
- finding type** -- such as any type of disposition resulting from a court decision pursuant to jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, transfer to another jurisdiction, consolidation, or bail forfeiture;
- hearing status** -- such as vacated, held, continued;
- hearing type** -- such as arraignment, preliminary hearing, motion hearing, pre-trial conference, trial, sentencing, and probation violation;
- holidays** -- such as weekends and the other court observed holidays;
- judge** -- such as names, identifiers, availability (e.g., reviews cases in office each Wednesday afternoon), expertise to hear certain types of cases, and other information on each judge;
- judgment provision type** -- such as type of non-monetary (e.g., custody, visitation) and monetary (debtor, creditor, payment) information;
- judgment type** -- such as a particular type of judgment (e.g., restitution) and precipitating event (e.g., trial, conference, dismissal, withdrawal, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation);
- justice and social service agency** -- such as names, identifiers, and other information for police, prosecutor, public defender, detention, and social services agencies;

- minute event codes** -- such as events captured in minutes (e.g., information on judgments; attorney withdrawals; adjournments, continuances, and cancellations; rulings taken under advisement on submitted matters);
- motion type** -- such as continuance, dismissal;
- origin of oversight, placement, detention status** -- such as removal from home, arrest by law enforcement
- other judicial officer** -- such as names, identifiers, availability (e.g., reviews cases in office each Wednesday afternoon), expertise to hear certain types of cases, and other information on each judicial officer (see Definition of Data Types earlier in this document for additional judicial officer information);
- party status** -- such as active, dismissed, bankruptcy;
- party type** -- such as defendant, petitioner, respondent (see Definition of Data Types earlier in this document for additional party information);
- participant type** -- such as witness (see Definition of Data Types earlier in this document for additional participant information);
- payment plan type** -- such as installment;
- payment type** -- such as principal, arrearage, garnishment;
- plea type** -- such as guilty, not guilty, not guilty by reason of insanity;
- postal codes** -- list of allowable national postal codes with canton and city locations.
- program type** -- such as counseling, foster home;
- referral reason and type** -- such as court ordered drug or psychological treatment;
- referral and petition source** -- such as agencies that can submit referrals and petitions to the court;
- schedule conflicts** -- such as for judge, other judicial officer, attorney, witness, courtroom;
- scheduled event types** -- such as deadlines for submission of documents (e.g., answers or responses, affidavits) (see Definition of Data Types earlier in this document for additional scheduled event information);
- sentence type** -- such as restitution, jail or prison, suspended, fine, probation, work program with guidelines (e.g., maximum and minimum sentences) for each sentence type if guidelines used in state or locality;
- special status** -- such as sealed cases, mental health cases;
- time sensitive events** -- such as events that relate to restraining order, stay request, ex-parte filings, criminal domestic violence, and child abuse filings;
- time standards** -- such as maximum time periods between events for each event, case type, and case category to which time standards apply (e.g., answer or response due 30 days after service to defendant for criminal case or respondent for juvenile cases) (see event driven systems covered in Related Technical Considerations in B);
- transaction type** -- such as financial transactions (e.g., receipts, disbursements), case processing transactions (e.g., judge, other judicial officer, or attorney change for individual or groups of cases, new complaint or petition filing);

## **Appendix B: Other Related Technical Considerations and Notes**

### ***Related Technical Considerations***

While the functional capabilities of the system are of paramount importance, numerous other capabilities should be considered during the system definition phase with the proviso that many of them are sophisticated and may be difficult and costly to implement and maintain. A few of these capabilities, moreover, may represent emerging and unproven technologies and should simply be monitored for future inclusion in the system. This monitoring should include knowledge of any standards (e.g., for individual schedulers, Internet markup or tagging, electronic signatures) applicable to these technologies.

Even though these other capabilities are not part of the functional descriptions, they are summarized in this section to serve as a checklist during the system definition phase. Given the pace of technological change and the continuing evolution of court computer applications, items in this section could become part of the case processing standards in the future and could be supplanted on the checklist by other, more recent technologies.

### ***Task Oriented User Interface***

A new trend in case management systems is called the task oriented interface. If the court clerk needs to complete a form to send to the attorney or parties participating in a case, then that form should also perform the data entry function. New developments in Microsoft Word 2003 that is being installed in the BiH Courts and related eXtensible Markup Language (XML) capable products make this kind of interface possible.

The use of “smart” XML based documents such as the forms and templates mentioned above, means that a wealth of court information can be created and more importantly, categorized, linked to case information and to persons, ranked and used to assist in developing consistency in future actions. Thus, there is often no need to “reinvent the wheel.” Proper and consistent application of the law and rules is paramount in the BiH system. Therefore, if information is created using Microsoft Word, using forms and templates that identify key fields that can identify the issues and applicable law, then those documents can be searched and used as a foundation by all judges and more importantly, as a way to help to consistently apply the law.

Another task oriented interface example is when a judge or court staff member wishes to record a reminder on their calendar. They go to the wall or desk calendar and write it on the date they want the reminder. A task oriented interface would do the same thing on the computer. The judge or clerk would go to their computer screen, select the date from the calendar, and record their reminder to their task lists and against the case itself. The system will then display a reminder to them on the first screen they view when they log into the system in the morning and, if they don't log in that day, perhaps they are ill, the reminder could then be sent automatically to their supervisor or the presiding judge.

## **Event Based Statistics**

A key goal for any ICMS for BiH is that it has to be designed to be flexible to be able to change and reflect process improvements as they are implemented in the future. The three key BiH justice reports referenced in this report all identify and recommend many process improvements for the court system. In addition, current rules and procedures are designed for manual paper records systems. The introduction of an automated ICMS will present many opportunities to improve the processes and procedures. Therefore, while the system can be designed to reflect the current process and records presentation, it is likely that this will change in the future.

Examples of a Case Management System event are the entry of the receipt of a document, a receipt for payment of a fine or fee, a hearing held in a case, and others. Fortunately, new computer programming systems use what is known as component architecture. An analogy would be to think of events as being like toy “Lego Bricks.” Each event is represented by a brick. As one knows, these bricks can be connected in any number of ways. The workflow system is the instructions to connect the bricks. Both will be extremely flexible. Therefore the display of events for data entry or review can be changed and updated as BiH improves their court system.

In addition, an event component system will allow for better and more accurate measurement of court workload. Currently judges have quotas to meet by case type. There is no adjustment for a complex or difficult case that may require considerable work by the judge and court to adjudicate. Using the event weighting system, the amount of work on a case can be accurately calculated.

In August, 2004, the United States Federal Courts reported that they had completed their new case weighting evaluation system based on event measurement. They reported in their newsletter, *The Third Branch*:

“In a departure from the old measurement system that relied on judges keeping detailed time records, the FJC (Federal Judicial Center) developed the new case weights using an event-based method. This approach combines docketing information from the district courts, objective information from statistical reports, and consensus time estimates from district judges where objective information was unavailable. More than 100 district judges, representing nearly every district court in the nation, participated in the project. Docketing data from more than 297,000 civil cases and criminal defendants also was incorporated.”

“The event-based method has several advantages: the FJC was able to complete its study in less time than the previous study of case weights, future updating will be easier, and, as new types of civil and criminal filings develop, the method allows greater flexibility in developing case weights for them.”

Thus, a third generation court measurement statistical system based on real time weighted caseload could be built. It would therefore be possible to implement the case handling time days, months and years as suggested in “Justice in Due Time” on page 54. Duration and status of cases is a key to managing the court’s workload and milestones can be set and used for case progress evaluation.

## **Multi-Language Support**

BiH has the unique need to support three languages (Bosnia, Croatian, and Serbian) and two characters sets (Latinic and Cyrillic). Similar systems for two languages have been built for Canada to support English and French. The problem in BiH therefore breaks down into two interfaces. First, the data field identifying tags and second, the data that is entered into the system. Therefore the system developed for BiH must support the three field tags through an equivalency table. For data entry, the system must use standardize character mapping between Bosnian/Croatian Latinic character set and Serbian Cyrillic. The text search systems should also be able to translate between character sets.

## **Feedback Statistical and Management Reports**

ICMS have very complex database structures. Trying to teach a judge or court clerk to directly access the data is a significant challenge. Therefore the new technique is to focus on reports and data that court staff need on a daily basis and have the automation system prepare it during the night so that it is ready when they sit down at their computer in the morning. The data reports can be presented in many ways including as a text report, graphs, or in spreadsheet format. In the past year, court automation staff in the state of Vermont in the USA prepared and sent case listing reports to the presiding judge and court administrator in each region in Excel spreadsheet format. Because the Judge and Administrator were able to work with the data, they were able to reduce the number of cases pending by 35 percent.

Some examples of other possible court management reports would include the number of cases; the number of events separated into details or grouped by category such as judge, clerical, and financial; average time to case disposition and others. Further, the USA courts have surveyed the attorneys and parties using their courts to gather information on how they can improve their services. Results of surveys could also be included as part of the court management overview.

## **External Interfaces**

In addition to the basic terminal input and printer output and the other input and output methods set forth in the Functional Standards Part, case processing systems may communicate with other technologies and systems. The other technologies may be internal to the court but external to the case processing system, or they may involve systems and users outside the court.

## **Other Possible Future Technologies Internal to Court**

The case processing system may communicate with some of the following input and output technologies within the court but external to the system:

- Case processing among multiple court locations (e.g., filings at one branch; hearings at another branch), transfer of individual cases and case information between locations, and transfer of multiple cases and case information between locations in a single transaction (see also System Capabilities, Inquiry, and Report Generation parts of this section and Management and Statistical Reports Function);

- Integration of case processing system with modern courtroom technologies that assist in judicial decision making by gathering and displaying on-line information from other courts, criminal support units, police, and non-justice agencies such as:
  - displays that judges can read easily and quickly (e.g., bar or pie charts, thermometer- or speedometer-type displays),
  - consolidation of multi-system or multi-database information on one display for easy assimilation,
  - computer-searchable records of proceedings (e.g., court record, judge's notes),
  - software that permits judges to examine implications of hypothetical judicial orders through calculations and "what if" scenarios (e.g., time implications of concurrent and consecutive sentences; trade-offs between different combinations of fines, restitution, and work programs) and insert chosen option into word processing documents, court orders, and reports (see also Hearings and Accounting functions);
- Integration of case processing system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recording; correlation of video recordings with court record and judge's notes; and single recordation of proceedings with multiple uses in court record, judge's notes, orders, and other documents);
- Integration of case processing system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to case processing system and then to edit text);
- Data capture and file and property management using bar code, optical character recognition, and other technologies;
- Document capture, storage, and retrieval using imaging;
- Information capture and conversion to data and word processing formats using optical character recognition (OCR);
- Integration of case processing system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets (for more on capability of case processing system to produce documents, see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Generation of official output documents (for transmission or printout) by supplying data -- including data transferred from word processing documents -- to imaged documents with official text, seals, and signatures (see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);

- Creation of bar code or RFID (smart inventory tags) labels for court case files so that they can be checked in/ checked out and tracked throughout the courthouse.
- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update law firm schedules), email (see also System Capabilities in this section and Multi-Function Capabilities and Integration in Standards for Individual Functions), and jury management systems; and
- Document printouts on special-purpose paper and forms (e.g., multi-part forms and mailers).

### **Other Possible Future Data Input and Output External to Court**

Systems and users that are external to the court -- and, therefore, external to the case processing system -- may combine basic input and output methods with new technologies or substitute new technologies for the basic methods. The input and output technologies support users such as other types of local courts, other courts countrywide, defendants, the public, attorneys, state agencies, and other individuals and organizations. The technologies include:

- Electronic access to dockets, documents, and other court records by attorneys of record, credit agencies, domestic relations service providers, and other official users employing Internet or intranet usage, and other technologies;
- Electronic access to selected court records (e.g., calendars and other event schedules, payment schedules, payment status, account status,), blank forms, and instructions (e.g., document submission procedures) for on-line use by attorneys' offices, title companies, academic researchers, self-represented defendants, and the general public employing voice response technology, kiosks available to the public, Internet usage, electronic mail, and other technologies;
- Distribution of blank court forms (e.g., to attorneys' offices for use in submission of hard copy pleadings) using Internet or intranet usage, facsimile transmissions, electronic mail, and other technologies to avoid pre-printed forms;
- Integration of case processing system with input and output needs of handicapped persons (e.g., through voice and other technologies that do not require keyboard and mouse entries);
- Integration of case processing system with input and output needs through multi-lingual system capabilities);
- Integration of case processing system with handheld and other mobile computers using wireless communications (e.g., for remote input, remote output, limited remote computing);
- Accounting interfaces in accordance with local and state standards:

- Payments by the public using voice response technology, kiosks available to the public, Internet usage, and other technologies
  - Enhanced and expanded use of electronic funds transfer over standards described in Multi-Function Capabilities and Integration and accounting functions. This could include payments from defendants, attorneys, banks, collection agencies, and others and transfers to state and local agencies, attorneys, vendors, banks, collection agencies, and others
  - Electronic interface for records access and comparisons (e.g., between courts and banks, credit agencies, and other financial institutions)
  - Electronic check processing (e.g., endorse back of checks and money orders in addition to recording and listing transactions and printing receipts); and
- Use of more sophisticated modern technology for functions that already are standards described in the Functional Standards Part. For example, electronic information exchange could be enhanced so it occurs more seamlessly, uses more refined “push” and “pull” technology, uses the Internet or an intranet instead of dial-up lines or facsimile transmissions, and employs enhanced security. This could include upgrades to: electronic filing; electronic document distribution; electronic input documents (for on-line form completion and submission in electronic filings); procedures for “stamping” electronic documents as received or sent and for “signing” electronic documents; and security features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and non-repudiation (sender cannot later deny sending information). The section titled Multi-Function Capabilities and Integration later in this document and the Security and Data Integrity Function discuss these capabilities.

### **Information Inquiry**

System users need the capability to create queries and retrieve information from the database using on-line inquiry software with the following capabilities:

- Easy-to-use queries created by users with minimal training;
- Inquiry as stand-alone function or subfunction of case processing system data entry;
- Varied and flexible inquiry keys (e.g., case number, case type, party, attorney, event) and other search criteria as noted below;
- Variety of user-defined searches including phonetic, Boolean logic, substituting “wildcards” for a limited number of unknown characters, date range, and progressively more detailed queries;
- Inquiry and retrieval of individual database items or groups of database items (e.g., individual or multiple judges, attorneys, parties, cases, dockets, calendars, hearings, judicial proceedings and their results, tickler information);

- Retrieval of information on related events (e.g., all docket entries pertaining to particular hearing type for specific case, all pending motions in case for which new motion filed);
- Retrieval of information on related cases;
- Scroll backward or forward through information retrieved through inquiry;
- Simple arithmetic calculations (e.g., add, subtract, multiply, divide) available to operate on retrieved information (e.g., elapsed days from arrest to first appearance);
- Retrieved and calculated information presented in variety of user-defined formats and groupings (e.g., by date range or party);
- User option to print any display (including ability to reproduce, redisplay, or reprint); and
- Modification of displayed information and sorting options on some display screens with proper user authorization.

### **Report Generation**

Typically, printed reports are standard (i.e., pre-programmed) and ad-hoc (created for one-time or limited use). While standard reports generally cause no problem (assuming they do not proliferate and IT programming staff are available), the same cannot be said of their ad hoc counterparts.

Users often need printed reports on a one-time basis to respond to questions from legislators, the press, and judicial managers. They must be able to obtain these reports in a timely manner, which usually precludes the lengthy turnaround time required to write customized programs. The solution is report generation software that -- like the inquiry software noted above -- allows users to retrieve information and create their own reports. While this approach is appealing to users who want reports with no IT intervention, it often leads to problems for IT: the volume of reports created and run by users inundates the computer and causes processing deadlines to be missed. Possible solutions are for IT to use the software to create and run reports for the users or to utilize query optimization software that minimizes response time.

The tradeoffs of the various report generation approaches must be considered as part of any evaluation of standard and ad hoc report generation software, which would have the following capabilities:

- Detail and summary ad hoc report capable of being created rapidly by user (or IT staff) with minimal training;
- Formatting and content flexibility in ad hoc reports;
- Detail and summary standard reports that satisfy local, state, and federal requirements imposed by judicial, executive, and legislative branches (also see Management and Statistical Reports Function);

- Ad hoc and standard reports produced locally or exported to other offices and jurisdictions for printing;
- User ability to save ad hoc report formats they created for future use; and
- User option to display whatever is to be printed either as a normal display or as a print preview.

### **System Capabilities**

Technical systems functions and capabilities comprise the final group of related technical considerations, which, once again, are not functional standards. While the functional standards address case processing functions (e.g., docketing and calendaring) and their subfunctions (e.g., recording and maintaining case header and event information within docketing), technical systems functions and capabilities address hardware, system software, and design issues. As with the other related technical considerations, the admonition to consider the implementation and maintenance impact is extremely relevant here. The items in this group include:

- Need for scalable systems design that can efficiently support small, medium, and large courts. For example, large-court systems may need to support multiple court divisions and locations, extensive use of quasi-judicial personnel who conduct conferences aimed at plea agreements, multiple clerk's office locations, user interfaces (e.g., system screens) that accommodate compartmentalized clerk's office operations, and other capabilities attendant to high-volume operations. Conversely, small-court systems may need to support user interfaces and processing geared to only a few court divisions (e.g., civil, criminal, enforcement), one clerk's office location, and few clerical personnel in a single office handling the record keeping for a case. In either situation, the appropriate tradeoffs between manual and automated functions must be achieved.
- Need for table-driven and modularly designed systems.
- Need for assistance from the system in automatically scheduling events based on completion of prior events (e.g. deadline for response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully-functional event driven systems provide this capability — primarily in some large courts — by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category (e.g., serious, minor, and administrative cases for example) within the domestic relations case type (see also List of Code Translation Tables later in this document). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available. Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. (The standards in this document call for capabilities that address a few functions of these event driven systems within individual functions based on the completion or scheduling of specific events. This partial functionality generally applies to courts of all sizes. Examples are (1) updating case indexes, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees. These are covered in the standards for the Case Initiation and Indexing,

Docketing and Related Record Keeping, Scheduling, Document Generation and Processing, Hearings, and accounting functions.)

- Items that the user should be permitted to define either when the system is implemented or on an ongoing basis such as code structure, code translation table content (i.e., what will be represented by codes (e.g., events, results of events, attorneys, party type), and notice and receipt formats.
- What the system defaults to initially or when there is no entry of specific data.
- Requirements to drill down to specific data and navigate among screens by using point-and-click, function keys, drop-down menus, and other capabilities.
- Need to display related data entry screens, information, and prompts triggered by specific event or entered data.
- Complete help screen capabilities that contain information on a comprehensive array of topics, permit easy searches for and indexes of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be available in display or printed form and should be easily updated to reflect system changes.
- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports; see earlier Report Generation section and Management and Statistical Reports Function).
- Use of enhanced document management functionality that interfaces with or is part of the case management system. This would provide additional functionality, such as workflow and document version control, and improvements in existing document and text indexing, storage, search and retrieval, manipulation, maintenance, and input and output (e.g., through electronic filing, Internet usage, imaging, and conversion from imaged characters to data or word processing formats using OCR). The Multi-Function Capabilities and Integration section and File, Document, and Property Management Function later in this document discuss document management standards.
- Use of distributed processing -- with the same case processing system or different systems -- as a means of accommodating multiple court locations (see External Interfaces earlier in this Related Technical Considerations section). This assumes the highly complex tasks of allocating processing functions, allocating data, and defining the network and its usage have been done properly and can be maintained.
- Use of relational database, object oriented design, advanced programming, data warehousing (see also Management and Statistical Reports Function), and other recent system development and database technologies.
- Database design and data element definitions that permit easy inquiry and data access.
- Query optimization software that minimizes response time.

- Customized and easy-to-understand views of relational data for various users (e.g., judges, clerks).