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**Joint Project of**

Conference of State Court Administrators, the National Association for Court Management Joint Technology Committee, the National Consortium for State Court Automation Standards

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## **Juvenile Functional Standards – V1.0**

### **THE NATIONAL CONSORTIUM FOR STATE COURT AUTOMATION STANDARDS**

(On October 27, 2003, the National Consortium on State Court Automation Standards, the standards subcommittee of the COSCA/NACM Joint Technology Committee, reviewed public comment on the requirements. The Consortium adopted a motion that the Joint Technology Committee at its meeting scheduled in December of 2003, accept the requirements as a recommended standard. If the Joint Technology Committee accepts the motion of the Consortium, then the JTC will forward the requirements as a recommended standard to the COSCA and NACM Boards for action).

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## **Juvenile Functional Requirement Standards**

### **NOTES:**

1. These juvenile functional standards are derived from the domestic relations and criminal standards. The domestic relations standards document was the original basis for this document, and modifications to the domestic relations document to obtain the juvenile standards are in this color. Modifications after the St. Louis meeting are in this color.
2. These standards are complete in draft form except for the accounting and Juvenile Court Support functions. Except for minor changes, the accounting section currently in the document was used for domestic relations, and we anticipate only minor modifications to make it appropriate for juvenile. The juvenile court support section is included in rough, preliminary form and will be completed before the last meeting, which we anticipate will be devoted to this function.
3. Other than headings, words and phrases in bold or italics are reminders and editorial notes and will not appear in final version.

### **Background**

Where would our national and international communities be without standards? We travel by airplane to a distant location; we might not arrive on time -- or perhaps not arrive at all -- without standards for airplane safety, adherence to schedules, and security. We fill a prescription at a drugstore; the affect of the drug on our minds and bodies might be devastating without standards for drug approval and use. While standards are pervasive throughout most of our society, the computer industry lacks adequate standards in many instances.

The paucity of computer standards is ironic given the complexity of computer equipment and software, and many of those standards that do exist have arisen in a de facto manner. For many years, mainframe computer users lamented the absence of a standard operating system and programming language. The advent of personal computers and networks, with the Windows operating system and emerging programming languages, such as Java, have solved this problem for the majority of personal computer users. But the solution has come only because of the revolutionary nature of personal computing and through the technical and marketing ingenuity of a few vendors -- not through a preconceived and systematic effort to develop standards.

For public sector organizations, the lack of standards is an acute problem. The nature of these organizations -- particularly from a nationwide perspective -- usually precludes the orderly control of the computer resource that many private sector organizations can exercise. Like their public-sector brethren, state courts have developed most of their application systems individually, typically for each locality but occasionally for an entire state.

This situation persists despite the fact that judges, court administration personnel, and information technology (IT) staff are among the most dedicated and talented in any enterprise -- public or private. Almost without exception, these individuals are committed to making their courts and the delivery of justice exemplary.

These laudable characteristics notwithstanding, most states and their courts perceive themselves to have procedures that are sufficiently unique that they necessitate unique automation needs. These jurisdictions must either develop an entirely new application or have a vendor tailor its standard product to the court's requirements. The time required to complete this costly undertaking postpones the implementation date of new systems by several years. By this time, the technological state-of-the-art has advanced beyond the architecture of the court's system, and soon the procurement cycle must begin again.

The Joint Technology Committee, comprised of the Conference of State Court Administrators (COSCA) and the National Association for Court Management (NACM), has begun a strategic three-year effort to fundamentally alter the way state courts obtain automated systems. This effort is designed to marshal the courts' resources to obtain better and cheaper automation products—either through in-house development or procurement from vendors—that take advantage of state-of-the-art technology, reduce the time needed to obtain new systems, improve work processes, and reduce staffing needs. The cornerstone of that effort is the National Consortium for State Court Automation Standards and its initial project to define functional standards for trial court case processing systems.

Given their need to respond rapidly and efficiently to user needs for more comprehensive and modern systems, state court IT staff members would be major beneficiaries and agents of these fundamental changes. Most IT staff members are consumed with the day-to-day necessities of operating and maintaining the computers, networks, and systems; responding to user requests for support; and obtaining and building new and enhanced capabilities using in-house and contractor personnel. This never-ending support seldom allows the luxury of addressing matters in a proactive manner.

One casualty in this unavoidable crush to “keep things running” is the development of standards for the IT staff members' work. These standards could range from the functions systems perform—addressed by this initial project—and the data required by those functions, to the methodologies to develop and implement systems, to the communications that would enable systems throughout the state to send data to each other. Standards would eliminate the time, effort, and frustration that result from “reinventing the wheel” each time the IT staff members undertake a new effort.

This document presents the National Consortium's functional standards for state court juvenile case processing systems.

## Scope

The case processing system and user together perform the totality of case processing in the court. The system performs its part automatically, and the user performs his or her part manually. Pre-programmed instructions based on algorithms and rules govern the system's functions. System or user inputs invoke these functions, many of which require additional parameters from the system or user to perform their tasks. As used in this document, an automatic or automated function is invoked and performed with limited or no user intervention; a manual function is invoked and performed primarily by the user without significant assistance from the system.

These standards address the functions that would be performed by juvenile case processing systems, which process three basic types of juvenile petitions (or complaints in some jurisdictions): delinquency, status, and child abuse and neglect. Juvenile delinquency involves an act which would be a crime if committed by an adult; status consists of children in need of care, supervision, or other services because of non-criminal misbehavior by the child; and child abuse and neglect consists of dependency and abandonment in addition to abuse and neglect. These case categories (i.e., delinquency, status, child abuse and neglect) exclude criminal actions against adults, such as in child abuse cases and acts committed by a juvenile that result in charges filed in a criminal court. Unlike juvenile systems in some jurisdictions, the standards include intake for delinquency and status cases but exclude juvenile probation and detention.

To accommodate the complex issues that come before juvenile courts and the diverse needs of the young people to which these courts provide justice and assistance, juvenile case processing ranges from an informal series of meetings and letters to the highly-structured sequence of hearings and forms of other case types. In comparison with other types of courts, the approach of juvenile courts is more toward strengthening young people and their families and protecting the community. Juvenile cases, therefore, have a strong person and family orientation in that they (1) address the needs of individuals as clients of the court as opposed to cases to be adjudicated, (2) have a social aspect in prescribing services and intervention, and (3) involve ongoing monitoring of the services and intervention until case closure.

The courses of action available to juvenile courts vary between jurisdictions. For example, the options and procedures for foster care differ from state to state. Similarly, the line of demarcation between juvenile cases and other person-oriented case types with these three characteristics differs between jurisdictions. For example, juvenile cases often have commonalities with domestic relations and criminal cases, and many jurisdictions have overall family courts that handle person-oriented cases, such as domestic relations and juvenile.

Domestic relations and criminal cases are addressed in companion case processing standards documents. Because the division of functions between juvenile and these other case types -- particularly domestic relations -- depends on the jurisdiction, the standards in

this document will not necessarily be mutually exclusive from the domestic relations and criminal functional standards. Individual courts may, moreover, need to combine standards from this document and other standards documents in a manner that adheres to their allocation of functions between domestic relations, juvenile, and family.

In addition to domestic relations and criminal, this document excludes civil, probate, mental health, appellate, traffic, adult probation, and jury management. Except for de novo appeals, which are included, it also excludes appeals filed with trial courts from lower courts. The National Consortium will develop functional standards for these other case types at a later time.

While the functional standards comprise the main part of this document, Appendix A gives a supplementary summary of other factors that should be investigated when developing and enhancing systems. The summary of development and enhancement factors includes report generation and integration of court applications with various computer and communications technologies. This summary is intended only as a checklist of items to consider when developing and enhancing systems; it is not part of the functional standards.

## **Uses of Functional Standards**

The juvenile case processing system functional standards are intended for use in the system definition stage to help managers, analysts, and designers identify the functions of new or enhanced systems. While the standards identify what the system should perform, they leave the question of how the system should accomplish those functions to the designer because such questions are design issues. Similarly, to give individual courts latitude in adapting the standards to their unique local requirements, the coverage is sufficiently detailed to render it meaningful but not so detailed that it eliminates design options or is irrelevant to certain courts.

The guidance given in this document should apply to new systems being either developed in-house or supplied by vendors. It should help identify enhancements needed in existing systems by providing a standard against which the functional capabilities can be compared.

## ***System Development and Procurement***

Courts nationwide would use these standards to define functional requirements for in-house systems development and requests for proposals (RFP's) for vendor-supplied systems. Given this nationwide audience, each court must customize the standards and add terminology, details, and specificity based on local and state procedures, policies, and customs.

If the system is intended for a single court, that court can apply the customization and detail to the standards and then design or procure the system. The need to customize and

amplify the standards becomes more problematic when courts and vendors use the standards to develop systems that embrace entire states or regions.

The necessity that the standards allow for local customization leads to unavoidable generalities in some places of this document (see list given below). While this accommodates courts, it presents major obstacles to the objective of avoiding a continuation of separate hand-crafted systems. The principal means of achieving this objective is through vendor-supplied software, and application software vendors must have detailed requirements in order to design their products. They cannot design software based on terms such as “locally defined”, “locally used”, “as appropriate”, “other functions”, “any data”, “all transactions”, “appropriate action”, and “other units” that appear in this document to allow for local customization. Each court (or group of courts within a state or region) must eliminate such terms by defining in detail what these ambiguous and vague terms mean to that court.

While some individual standards in this document may be directly transferable to systems development documentation and RFP’s, the standards cannot be transferred in their entirety into these documents without customization. Some functions in the standards inherently need amplification because they must necessarily be expressed in general terms in national standards. Each court, therefore, must thoroughly review each of the standards, relate each standard to the court’s situation, identify functions that require customization and more detail, customize the descriptions of those functions, and use the standards augmented with the customized descriptions to create system development documentation and RFP’s. The same holds for the Technical Capabilities in the Uses of Functional Standards section and the Related Technical Considerations in Appendix A for which, even though they are not standards, the list of technologies must be thoroughly reviewed and individual items incorporated into the development documentation and RFP’s according to each court’s functional needs, technical expertise, and available funds.

Some instances of the numerous places in the subfunction tables (see the beginning of Standards for Individual Functions for the definition of subfunction tables, which define the standards for each function) that use ambiguous or vague terms to accommodate local customization are:

<b>Subfunction number</b>	<b>Situation</b>
1.1.1, 1.1.2, 1.1.4, 1.1.6, 1.2.1, 11.2.3, 14.5.2, 15.1	locally-defined or used entities (e.g., case number format, case title or style, acceptance tests, court identifiers, index content, edit and data checks)
1.1.5, 5.1.3, 6.6	local procedures, rules, statutes
1.1.7, 1.1.9, 3.4.9, 4.1.8, 6.7, 9.2, 14.1.3, 14.5.3	other identifiers, case management methods, documents, functions, information
1.1.8	relationships of agencies and parties
1.1.10	additional information on children
1.1.11, 2.1.1, 11.4.1, 15.10, 15.18, 15.19	appropriate, proper, or adequate security and data integrity

2.2.8, 14.2.3	state and local record keeping policies and procedures
2.4.6	electronic input documents and, as necessary, cover sheets
3.1.3	priorities assigned
3.1.6, 3.3.6	maximum number cases for time interval or events on schedule
3.1.13	pertinent information on schedule overrides
3.2.5, 12.3.7, 12.4.1, 14.4.1	user-defined case-department relationships, accounts, criteria
3.2.6	judge assignment by predefined rules and specific conditions
3.2.7	as designated by user
3.3.1	upcoming or overdue events for which users should be tickled
3.3.3	all tasks associated with event
3.4.6, 5.1.1, 5.2.1, 12.1.1, 12.1.6	various persons, criteria, types of bank accounts, groupings
4.1.9	pertinent information ... documents sent
4.1.12, 5.1.4, 6.16, 15.9	suppression of user-designated confidential information
10.1	compliance with generally accepted accounting principles
10.2	appropriate security, data integrity, and authorization for accounting functions
10.3	user adjustments or corrections
11.1.2	minimal amount of data
11.1.7	payments and other transactions
11.1.11, 11.2.1, 15.3	proper authorization, identifiers
12.2.1, 15.13	authorized organizations, user
12.3.2, 12.3.4, 12.3.14, 12.3.15, 12.4.11, 12.5.1, 15.6, 15.11	specific events, costs, periods, functions
12.3.3, 12.3.5, 12.3.23	appropriate processing, records, action
12.3.9	payment of ... other charges ... by variety of methods
12.3.18	account closed or some other designator
12.3.21, 12.5.4	various or user-selected criteria
12.3.26, 12.4.7, 12.4.8, 12.4.9	funds and financial information sharing
12.5.2	associated payments
12.5.3	flexible schema of user privileges
14.1.2	indication of restricted access files
14.2.2	cases and documents to be retained
14.3.4	malfunction information if in case processing system
15.8	limited access to certain types of cases

Each court (or group of courts within a state or region) should develop business rules that include the above customization and define how local and state rules and statutes apply to the case processing system. Since these business rules permeate all of case processing, they set forth how the court initiates, docket, schedules, hears, and disposes cases and, therefore, how the system should perform these functions.

While the above discussion addresses the relationship of the functional standards to system development and procurement, with particular emphasis on the complexities of vendor-supplied software, several other topics should be considered even though they do not relate explicitly to the functional aspects of the standards.

First, with respect to vendor-supplied software, there is the issue of the many computing platforms used in courts nationwide. A cooperative relationship should exist between courts and software vendors that acknowledges vendors cannot build separate systems for a multitude of platforms and, conversely, courts' limited budgets permit only infrequent changes in computing platforms. Clearly, open systems architectures should be an objective.

Second, preparations for in-house system development or system procurement should include provisions for user training, system documentation, interfaces with other systems, and on-going system and database maintenance and upgrades.

In-house training plans or a training section in RFP's would embrace all system users -- including those that are external to the court, such as attorneys, juveniles represented by their families or some other non-attorney person, the public, and physically challenged persons. Training could be accomplished using manuals; in-house or vendor trainers; train-the-trainer procedures; training tutorials on video, CD-ROM, or real time (e.g.; using the Internet or an intranet); and training help desks.

System and user documentation is often overlooked -- particularly when systems are developed in-house -- but is essential, and documented system and database maintenance and back-up procedures must exist. This documentation must be maintained to reflect the most recent system and database modifications and upgrades.

In-house and vendor system developers should allow for interfaces with other systems and databases through such features as application program interfaces, data tagging (see electronic filing in Multi-Function Capabilities and Integration part of Standards for Individual Functions ), and open systems.

### ***Technical Capabilities***

During the system definition stage, in addition to using the functional standards to set forth the system's functions, the technical capabilities of the system should be addressed. These capabilities address hardware, system software, and design issues that relate to the platform on which the case processing system runs and the strategy guiding its construction. They are not functional standards, which address case processing functions (e.g., docketing and calendaring) and their subfunctions (e.g., capturing and maintaining case header and event information within docketing). As with the Related Technical

Considerations in Appendix A, the admonition to consider the implementation and maintenance impact is extremely relevant here. The technical capabilities include:

- Need for scaleable systems 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 alternate dispute resolution (ADR) providers such as mediators, 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, traffic), limited or no use of mediators, 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 respondent) and creating 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., delinquency, status, child abuse and neglect) within the juvenile case type (see List of Code Translation Tables). 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) creating 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, Adjudication, and Disposition, 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, permit access directly from

specific parts of the system (e.g., data elements, documents, procedures), 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 Report Generation section in Appendix A 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, imaging, word processing, 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 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 in Related Technical Considerations section of Appendix A). 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, 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).
- Need for electronic mail integrated with case processing to permit easy exchange of messages and short documents. For this capability to be effective, a comprehensive and maintainable directory must be available to permit communication among users of different electronic mail platforms (see External Interfaces in Related Technical Considerations section of Appendix A).

## **Functional Standards Approach**

Case processing systems track the progress of cases through a court and create supporting documents and reports. The basic unit of information these systems use covers the persons involved in the case: petitioners, respondents, judges, other judicial officers, attorneys, courtroom personnel, service providers and support agencies, and other governmental agencies. These persons submit documents to the court, participate in court events precipitated by those documents, receive documents created by the court as the case moves to disposition, and participate in court-ordered services and intervention. Most events occur in accordance with schedules established by the court. 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.

Each case has a financial element such as fees, judgments, and charges for court services. While the allocation of financial functions between case processing systems and financial systems varies, most case processing systems maintain at least some financial information.

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

At the most basic level, these are the types of functions performed by case processing systems and the types of information required to support these functions. This leads to the following question in creating standards for case processing systems: whether to orient the standards around the systems' functions or around their information?

Since the functions that most case processing systems perform are determined by the information that users need from a system, the ideal precursor for functional standards would be output data standards. The Consortium investigated this approach, found that it would lead to an unwieldy list of data elements, and concluded that the more effective approach would be to set forth the functions that case processing systems should perform. This document, therefore, addresses the functions in detail, summarizes the content of the data types into which juvenile data elements would be grouped, and relates the data types to the standards for each function.

The nature of juvenile cases gives rise to numerous differences from the basic pattern noted above. Foremost among these differences are:

- Terminology;
- Strong person and family orientation;
- Informal and cooperative tone characterized by letters and conferences instead of forms and hearings;
- Evolution of case and decisions pertaining to case depending of changes in juvenile and family;
- Extensive interaction with court services, social services, and other outside organizations;
- Continuation of court involvement after disposition hearing including different types of follow-up hearings;
- Close monitoring of effectiveness of court-ordered courses of action and providers of services and intervention.

Juvenile cases are structured around each juvenile and his or her family. Juvenile courts handle their constituent case categories (delinquency, status, and abuse and neglect) differently. For delinquency and status cases, the intake unit (which may or may not be part of the juvenile court organization) receives referrals -- each of which has one or more reasons -- and decides whether to file a petition (or complaint in some jurisdictions) in the juvenile court, refer the juvenile to a diversion or remedial program, refer the juvenile to

evaluation, or reject the referral. Abuse and neglect petitions are filed directly with the court.

Petitions have one or more allegations, and the case proceeds based on the nature of the allegations, how each allegation is disposed or modified as the case progresses, the action(s) that precipitated the allegations, and the ultimate resolution (or closure) of the case. This particularly applies to delinquency and status cases.

Abuse and neglect cases, on the other hand, usually proceed in a dramatically different manner. In these cases, the performance of the juvenile and his or her family play a major role in how the case and allegations are adjudicated and disposed as the case gradually moves to closure. The court works closely with other organizations -- some within the court but most outside the court organization -- through different types of hearings and conferences to assess juvenile and family performance.

While each hearing and -- with judicial approval -- conference has a finding of fact, the ultimate resolution of delinquency and status cases occurs more like other case types than abuse and neglect cases. In delinquency and status cases, a petition is filed, the validity of the petition is adjudicated, a disposition hearing occurs, and the case is disposed. Abuse and neglect cases, on the other hand, involve shelter care, adjudication, disposition, permanency, termination of parental rights, and adoption hearings -- and usually other hearings and conferences -- to monitor the status of the child. This process may consume years before reaching an ultimate resolution.

The organizations with which the court works -- in all juvenile case types but particularly in abuse and neglect cases -- include:

- Juvenile services units. These court support units conduct research on juveniles and their families, maintain records on organizations that provide services to the courts, and monitor program outcomes and compliance with courses of action ordered by the court;
- An extensive collection of social service and other local and state agencies. Interfaces must exist with state and local government attorneys, law enforcement, and detention; with social service agencies, such as youth and family services, mental health, juvenile rehabilitation, and victims services; and with other local and state agencies, such as criminal justice units and information clearinghouses.

These juvenile functional standards, therefore, cover the case processing functions in the normal manner, and they address juvenile court support functions, data maintenance and tracking unique to juvenile cases, and interfaces with justice and social service agencies. The justice interface comprises the information courts receive from and provide to other agencies throughout the life of a case as part of an integrated justice network.

These standards assume the juvenile court case processing system will be part of an integrated system that consists of court case processing and court support. Since this will be a phased process and the court case processing system will initially be a stand-alone

system in many instances, the system should be developed in a manner that will permit it to evolve into part of a fully-integrated system.

### **Functional Groups**

As noted above, case processing systems contain information on persons, future events, past events, and financial activities. Except for information on persons, which is interspersed throughout all functions, system functions can be categorized into these same groups if the document and report generation and the system and utility functions are added.

#### **Current and Past Events**

These functions address the entry and storage of information on events as they happen and maintenance of this information as a record of completed case activities.

- Case initiation and indexing -- intake processing of referrals, filing new petitions in juvenile court, and entering and indexing newly-filed, transferred, reopened or remanded, de novo appealed, and other new cases and the ongoing indexing activity.
- Docketing and related record keeping -- capturing information for and maintaining the case processing system database; capturing information for, maintaining, and viewing the docket or register of actions that summarizes the events in the official court record; and maintaining the relationships between and accessibility to docket-related information for a given case and cases that relate to it.
- Hearings, Adjudication, and Disposition -- recording the results of each hearing and conference that constitutes a juvenile case (delinquency, status, and abuse and neglect) and notifying parties of court decisions. (Please note that hearings in juvenile cases -- as noted above -- are similar to other case types for delinquency and status cases but involve shelter care, adjudication, disposition, permanency, termination of parental rights, adoption hearings, and usually other hearings and conferences -- each with a finding of fact -- to monitor the status of the child in abuse and neglect cases.)
- Compliance -- dealing with issues related to compliance with the stipulations of an order or judgment.
- Case close -- closing a case because all allegations have ultimate resolutions, the case is unlikely to be reopened, and the court has released jurisdiction.

#### **Future Events**

These functions address the scheduling of administrative activities, which are not part of the official court record, and the calendaring of activities, which together with the results of these activities become part of the official court record. Scheduled and calendared events will happen at a future time.

- Scheduling -- scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules.
- Calendaring -- creating and distributing court calendars.

## Financial

These activities address the accounting functions, which include general, receipting, bookkeeping, and general ledger functions.

## Document and Report Generation

These activities address the creation of official court documents, such as notices, and reports, which summarize case activities.

- Document generation and processing -- notifying parties of events and creating other official court documents.
- Management and statistical reports -- creating caseload, caseflow, workload, and other reports.

## Juvenile Court Support Functions

Juvenile services functions support court case processing throughout the life of a case. Since a juvenile case can involve other governmental agencies, information must be exchanged and tracked throughout the life of the case. This introduces the following support functions:

- Juvenile Services -- a court support organization that conducts research on juveniles and their families; maintains records on organizations that provide services to the courts (e.g., family counseling, drug evaluation, foster care review, placement and custody evaluation, court appointed special advocate); and helps monitor program (e.g., diversion) outcomes and compliance with courses of action ordered by the court.
- Data Maintenance and Tracking -- an interface function that addresses the accuracy and currency of juvenile data that may change during the life of a case.
- Justice and Social Service Interfaces -- information exchange between the courts and organizations outside the courts regarding their justice, informational, and social services. These organizations include justice (e.g., state and local government attorneys, law enforcement, detention), social service (e.g., youth and family services, child welfare, mental health, juvenile rehabilitation, victims services), and other local and state (e.g., criminal justice units, information clearinghouses) agencies.

While the juvenile court organization may include some juvenile services and justice and social services agencies (particularly probation and detention), court case processing systems seldom support these agencies. These standards, therefore, incorporate the juvenile services and justice and social services agencies as interfaces with the court system and not integral parts of that system.

## System and Utility

These functions perform a variety of functions ancillary to case processing, such as file, document, and property management and security and data integrity.

- File, document, and property management -- creating, managing, tracking, archiving, and disposing case records; storing, retrieving, and manipulating electronic documents; and receiving, tracking, and returning or destroying exhibits and other property.

- Security and data integrity -- ensuring security, privacy, and integrity of case processing systems and their data.

## **Data Groups**

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

Juvenile case processing systems, like juvenile cases, have a person and family orientation, and most juvenile systems regard each juvenile petition (or complaint in some jurisdictions) for a specific juvenile as a separate case. These systems maintain extensive information on juveniles and their families because juvenile cases (1) address the needs of individuals as clients of the court as opposed to cases to be adjudicated, (2) have a social aspect in prescribing courses of action, and (3) involve ongoing monitoring of court-ordered services and intervention until the case reaches closure.

The family orientation and other characteristics dictate that relationships must be maintained between data in the juvenile case processing system. In addition to linking juveniles to their families, the system must establish and maintain relationships -- based on state and local statutes and rules -- between the basic elements of a juvenile case: filings, children, allegations, findings of fact, and ultimate resolutions. With many related entities and identifiers, this can become highly complex. Juvenile petitions can initiate multiple cases; a juvenile case is a unique combination of a juvenile and a petition; cases are tracked at the case level; each case can have multiple allegations; and cases are adjudicated and disposed at the case and allegation level. In addition to the juvenile, moreover, each case can involve multiple other persons (e.g., participants such as victims and service providers).

This section gives the data groups required for a juvenile case processing system. The basic data groups contain information about each case and the people involved in the case. Other data groups contain information about events, financial activities, documents and reports created 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. Since 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.

These data types (e.g., files in the database) relate closely to the code translation tables covered at the end of the Standards for Individual Functions section (see List of Code Translation Tables) 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 and the tables may be redundant in places, the data files and tables would complement each other with minimal redundancies in an actual system.

## Case

This group consists of the standard juvenile case, the definition of which varies by locality but in these standards is defined as a unique combination of person and petition for each of the three juvenile case categories (i.e., delinquency, status, child abuse and neglect). Data within the case group consists of information on each case and allegation within a case, such as identifier (e.g., case number), type, status, and style; court; initial filing information; and cross references to party, judge, attorney, and other data.

## Person

This group consists of data types that contain information on juveniles, their families (including parents or legal custodian), judges, other judicial officers, attorneys, and other individual and organizational participants in a case.

- Party -- data on each party (i.e., individual or organization over whom the court has jurisdiction as established by state statutes, rules, or orders of the court, such as a child, parent, or legal custodian) in a court proceeding. These data include identifiers (e.g., courts, detention, law enforcement may have different identifiers); name; type of party; address(es) (e.g., regular mail, electronic mail); personal information; status; aliases; and cross references to case, attorney, financial, and other information. (For ease of discussion in this document, the term “family” includes parents, guardians, and other persons with legal custody of a juvenile or with whom the juvenile resides.)
- Participant -- data on each individual or organization who participates in a court proceeding but is not a party, such as public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, and public and private mental health agencies. Data include name; type of participant; address(es) (e.g., regular mail, electronic mail); status; relationship to juvenile; and cross references to case, attorney, party, financial, company, and other information.
- Judge -- data 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, referees, and commissioners.)
- Other judicial officer -- data on each person appointed by the court to perform judicial functions (e.g., ADR providers such as mediators) including identifier, name, assignment, assignment history, status, and other information with cross references to other data, such as on cases.
- Attorney -- data on each state, county, and private attorney including identifier, name, firm name, location(s), electronic mail address, voice and facsimile (fax) telephone numbers, bar association linkages, and status and other information with cross references to other data, such as on cases.

## Event

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

- Referrals -- data on each referral and reason within the referral submitted to the intake unit including document type, source, submission date, method of submission, and follow-up actions (applies to delinquency and status case categories only).
- Filings -- data on each document (e.g., petition) filed with and accepted by the court for each case category (because types of filings for child abuse and neglect cases differ from those for delinquency and status cases). These data include document type; filing date; filing party; method of filing; and follow-up actions with cross references to case, party, 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) for each case category (because types of events differ between delinquency, status, and child abuse and neglect cases). These data include identification of the event; date, time, and location of the event; participants in the event (e.g., juveniles, family, 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); security and data integrity 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 -- data on each calendared event (i.e., proceedings in which arguments, witnesses, or evidence are heard by a judge, magistrate, referee, commissioner, or other judicial officer). Generally, these events include court events, such as trials and motion hearings; calendar calls; conferences aimed at information gathering or pre-trial resolution; and quasi-judicial events involving alternate dispute resolution (ADR), such as mediation. The specific types of hearings differ between delinquency, status, and child abuse and neglect cases (e.g., shelter care, adjudication, disposition, permanency, termination of parental rights, and adoption hearings in abuse and neglect cases to monitor the status of the child). Hearings data include type; scheduled and actual dates and times; judge or other judicial officer; location (e.g., courtroom type and its location); attorneys; results; and cross references to case, party, and other information. (Officially, calendar calls, conferences, or quasi-judicial events before judicial officers and other court officials may not be considered hearings, but for ease of discussion in this document they are grouped with hearings.)
- Disposition -- data on each disposed juvenile allegation or case (i.e., allegation or case for which an order or judgment has been rendered at a disposition hearing). These data include party; allegation(s); nature of disposition(s), date of disposition(s), judgment and payment details if applicable for each allegation; other information in minutes; and cross references to case, party, hearing, financial, judge, other judicial officer, minute, participant (e.g., public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies ordered to provide court-ordered service or intervention), and other information. (Please note that hearings in

juvenile cases --as noted above -- are similar to other case types for delinquency and status cases but involve shelter care, adjudication, disposition, permanency, termination of parental rights, adoption hearings, and usually other hearings and conferences -- each with a finding of fact -- to monitor the status of the child in abuse and neglect cases.)

- Other events and entities -- appropriate information on each event and entity not covered by other data types.

## Financial

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, payment satisfaction, general ledger accounting, trust fund accounting, and fund distribution and disbursement 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 orders, summons, pick up orders (i.e., warrants), subpoenas, notices, and reports that summarize case activities.

- Orders -- data on two types of court orders signed by a judge: those signed in or resulting from a calendared event, such as a hearing (see above definition of hearing), and those resulting from an out-of-the-courtroom event and signed in an informal setting. (An example of the first type is a probation order signed in a hearing; an example of the second type is ex parte protective custody orders signed in the judge's chambers.)
- Personally-served processes -- data on each served process (i.e., documents served by law enforcement officer or other authorized process server with return of service, such as pick up orders (i.e., warrants), summons, and some notices) 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.
- Other documents issued by court -- data on each such document (i.e., documents given to person or sent by mail, some with and some without proof or certificate of service, such as diversion agreements and certain types of notices) including type of document; recipient; proof or certificate of service if applicable; 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 or allegation-by-allegation) and summary (e.g., overall for all cases or allegations in a given category) information with cross references to all of the above data types.

## System and Utility

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

- 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 case files.
- Document management -- data to assist in storing, retrieving, and manipulating documents.

## ***Organization of Functional Standards***

To the maximum extent possible, the standards present the juvenile case processing functions described above in the chronological order a juvenile case would flow through a court. This results in the following functions:

Case initiation and indexing;  
Docketing and related record keeping;  
Scheduling;  
Document generation and processing;  
Calendaring;  
Hearings, adjudication, and disposition;

Compliance;  
Case close;  
Accounting functions;  
Juvenile court support functions;  
File, document, and property management;  
Security and data integrity; and  
Management and statistical reports.

The next section, titled “Standards for Individual Functions,” describes the standards for the functions listed above. After giving standards for multiple and integrated functions, the section describes the standards for each individual function and lists the data types required by the function.

In the descriptions, each function is divided into subfunctions. For clarity and readability when a function has numerous subfunctions, they are grouped into several categories. The subfunctions define the standards for each function, and table entries for each subfunction indicate which standards would be mandatory (universally applicable) and optional (applicable only in certain situations) for large and small courts.

While the case processing system performs all subfunctions covered in this document, some subfunctions must be preceded or followed by manual procedures. (Recall that an automatic or automated function is invoked and performed with limited or no user intervention, and a manual function is invoked and performed primarily by the user without significant assistance from the system.) When the descriptions call a subfunction automatic, that means the subfunction is invoked and performed with limited or no user intervention. The other subfunctions -- those not called automatic -- normally are performed entirely or mostly automatically but are invoked manually.

## Standards for Individual Functions

This section gives the standards for each function listed in the previous section. The standards are characterized by the subfunctions into which each function is divided, and for each subfunction, the coverage notes whether that standard would be completely automated (requires limited or no manual intervention), mandatory (universally applicable), and optional (applicable only in certain situations) for juvenile case processing systems in large and small courts. 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 and a list of the data types that would support 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 -- in a textual summary and a table with the following columns:

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

The table below illustrates these rules for table entries. Subfunction 1 would not necessarily be completely automated and would be a mandatory standard for juvenile case processing systems in large and small courts; it would be optional, therefore, in none of these types of courts. Subfunction 2 should be completely automated and, because of the nature of the subfunction and the fact that it should be automated, would be mandatory only in large courts; it would be an optional standard in small courts. Subfunction 3

should be completely automated and, like subfunction 1, would be a mandatory standard in large and small courts. Subfunction 4 would not necessarily be completely automated and would be an optional standard in large and small courts; it would be a mandatory standard in neither of these types of courts.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.1 subfunction 1		all	
1.2.2 subfunction 2	yes	large	small
1.2.3 subfunction 3	yes	all	
1.2.4 subfunction 4			all

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

- They contain extensive cross references between functions. These cross references are parenthesized and begin with the word “see.” For example, in the Case Initiation and Indexing subfunction that covers new cases with special scheduling needs, the phrase “(see Scheduling Function)” provides a cross-reference to the Scheduling Function. As another example, the subfunction of the Hearings, Adjudication, and Disposition Function that calls for recording minutes during a hearing would contain “(see Document Generation and Processing Function)” as a cross reference to document generation where orders are created.
- They 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 standards. 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 standard.

Coverage of functional standards concludes with a list and general definitions of possible code translation tables, which would contain user-supplied codes and their translations (e.g., case type, case category (e.g., delinquency, status, child abuse and neglect within the juvenile case type), party type, and attorney). Since each function and subfunction could use some of these code translation tables, the standards explicitly state only a few major cross references to the tables. Please be aware, however, that use of the tables permeates each function and subfunction.

### ***Multi-Function Capabilities and Integration***

Some standards represent capabilities that apply to multiple functions or call for integration between several functions.

***Multi-Function Capabilities*** -- Some capabilities given as standards in this document -- such as electronic information exchange, inquiry, and document management -- occur throughout the life of a case and should be integrated into several functions of the case processing system.

The case management system must provide a user interface that conforms to one of the generally accepted user interface standards such as the IBM System Application Architecture (SAA), the Microsoft Windows common user access protocol (CUA), the Sun/Java Swing architecture, or a similar generally accepted architecture (e.g., the Apple OSX "Aqua" User Interface). The system, moreover, must support electronic filing of documents as well as more traditional data acquisition options.

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., notices of court orders in child abuse cases affecting law enforcement registries, court orders to foster care agency, statistics to court administrative office), (2) private organizations (e.g., findings of fact to guardians ad litem and other attorneys); and (3) other users (e.g., family, victims). In order to implement electronic information exchange, courts must establish exchange procedures (e.g., for communications and networks; interchange computer or "mailbox;" user directories; file or document transfer, electronic mail, or both; and message content and naming), and the case processing system must be compatible with these procedures. Other than general information exchange, 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 standards, such as those developed by COSCA/NACM Joint Technology Committee. The rudimentary standards envisioned here could be enhanced as described in the External Interfaces part of Related Technical Considerations in Appendix A.

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

The data transferred into the case processing system as a result of electronic filing comes either directly from the electronic input documents (e.g., "smart documents" in which XML-tagged data are embedded) or, more typically, from electronic cover sheets that accompany the input documents. The document (i.e., electronic document or cover sheet) that is the source of the data transferred into the case processing system must provide a means of identifying the data to be transferred (e.g., through XML tags recognizable to the case processing system).

Remote users (e.g., attorneys) complete these filing documents on-line by supplying information to blank input templates or forms (e.g., that represent the cover sheets) supplied by either the case processing system or the electronic filing interface to the case processing system. The electronic filing capability may help users complete the forms through techniques such as drop-down menus of standard document names, automatic default entries of basic data already in the system, and “smart forms” (e.g., that automatically edit entered data, provide instructions for completing forms, assign temporary case number, or complete notice associated with filing).

The court must establish procedures to accomplish the functional equivalents of the following tasks for electronic document submission and processing: (1) allowing users to “sign” the documents; (2) transmitting the documents between filers and the court (e.g., by the Internet); (3) “stamping” the documents as received and acknowledging their receipt to the senders; (4) indexing and storing the documents; (5) with proper security, allowing internal and external users to access the documents; (6) describing document structure and content (e.g., with an Internet markup method for text and data group tagging, such as XML or a word processing application); and (7) transferring data from the documents to the case processing system (e.g., by user-defined tags for specific data in XML documents).

Electronic filing also is addressed in the Case Initiation, Docketing and Related Record keeping, and Document Generation and Processing functions, and the security and data integrity aspects of electronic filing is covered in the Security and Data Integrity Function. Electronic filing may intersect with document management, described below, to send electronic input documents (as opposed to the electronic court documents described in the next paragraph on electronic document distribution) to judges and court staff. Appendix B contains more information on electronic filing and XML methodology.

Electronic document distribution -- Distribution of electronic court documents (e.g., orders, judgment forms, electronic acceptance notices following electronic petitions, other pleadings, other types of notices), docket summaries, calendars, court minutes, drafts of documents sent out for review, and detailed and summary reports using dial-up lines, the Internet or intranet, facsimile transmissions, electronic mail, and other technologies (using “push” as well as “pull” technology). While a rudimentary capability is for electronic documents to be distributed for viewing only, the court may need advanced capabilities, such as to distribute electronic documents that can be acted on by recipients (e.g., by extracting XML or other types of tagged parts of calendars for use in individual schedules). The court must establish procedures for electronic document distribution analogous to those noted above in electronic filing. In addition to distribution outside the court (e.g., to local government offices, such as adoption and foster care agencies, probation, law enforcement, detention, and prosecutor and to frequently-used juvenile service providers), some of these documents (e.g., orders, notices, judgment forms) would be sent to the clerk’s office to be filed as described above. Electronic document distribution also is addressed in

the Document Generation and Processing, Calendaring, and Hearings, Adjudication, and Disposition functions.

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

General electronic information exchange -- Juvenile case processing systems must exchange other types of information with the systems of various entities. The interfaces associated with statistical reporting and judgments (i.e., the general term for any final appealable issuance of a court) exemplify this information exchange and are described in the Hearings, Adjudication, and Disposition, Juvenile Court Support, and Management and Statistical Reports functions later in this section.

To supplement the functions described in the remainder of this document, system users need the capability to create queries and retrieve information on cases and persons from the database using real-time inquiry 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, other events 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; and
- Modification of displayed information and sorting options on some display screens with proper user authorization.

Many places in these standards specify outputs -- some printed, some display, and some on other media. In general, users have the option to print any displayed output; to display any printed output; and to print individually or in a group, immediately or at a scheduled time. As used in these standards, the verb “output” connotes this option to print or display.

In these standards, the verbs “create” and “output” have somewhat different connotations. Whereas “output” as used above connotes printing or displaying a document that has been formatted and supplied with data and, therefore, needs no further computer processing other than to be output, the word “create” indicates that the system performs some processing to formulate an output, which it then prints or displays.

Document management embraces the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities in the above functions as well as additional features, such as document version control and workflow for document routing to specific workstations. In addition to documents created by the case processing system, sources of documents include electronic filing, the Internet, local or remote scanners or facsimile machines, and transfer from other systems (e.g., case processing, word processing) by diskette or electronically. With electronic filing and document distribution, at least rudimentary document management capabilities must exist in either the case processing system or a separate document management system that can interface with the case processing system. The Document Generation and Processing; File, Document, and Property Management; and Security and Data Integrity functions describe these rudimentary document management standards. The Technical Capabilities part of Uses of Functional Standards notes advanced capabilities.

Even though this document contains a separate Management and Statistical Reporting Function, the document covers some reports and other outputs with their respective functions. Some outputs are sufficiently intertwined with the operations of a particular function to render their coverage more meaningful with that function. For example, the Docketing and Related Record keeping Function contains the subfunctions that create various views of the system database and docket.

The case processing system must track all actions of the court and create outputs that show what happened to a case, juvenile, and family. The overall tracking function is a composite of tracking capabilities in many of the functions described throughout the remainder of this document. Detail and summary reports and audit trails would provide the information needed for tracking. The Management and Statistical Reporting Function,

using information provided by other functions (see Integration below), contains most of the tracking capabilities. The individual functions throughout the document provide additional tracking.

**Integration** -- System functions should be integrated to permit them to operate together and exchange data so users can avoid performing the same function several times and entering the same data into several functions. Each function covered in this document, therefore, should interact with each other function in a completely integrated fashion with minimal -- preferably no -- manual intervention except when the user executes an override. In addition to sharing data between functions, the integration would permit users to access specific functions from display screens of other functions. When the functions are performed by separate systems (e.g., separate case processing and financial systems), the level of integration should be such that the existence of separate systems is transparent -- or at least not an inhibiting operational factor -- to the user. While integration would extend to all functions throughout the system, examples of some functions that would be integrated are:

- receipting function interacts with case initiation function to record filing fees and initiate case in single procedure;
- docketing function supplies basic case, juvenile, and family information to document generation, calendaring, hearings, and other functions that create documents (e.g., notices, calendars, orders) that contain this information;
- docketing function interacts with other functions in handling cases assigned special status;
- scheduling function operates in conjunction with docketing, document generation, calendaring, hearings, and other functions;
- scheduling and calendaring functions transfer easily and quickly to and from other parts of system when creating calendars;
- hearings, adjudication, and disposition function handles adjournments, continuances, and cancellations in conjunction with docketing, scheduling, calendaring, notice creation, and other functions;
- hearings, adjudication, and disposition function operates in conjunction with docketing, document generation, and other functions to record hearing results and notify appropriate parties;
- hearings, adjudication, and disposition function handles consolidations and bifurcations in conjunction with case initiation, docketing, and other functions;
- compliance function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions;
- accounting function supplies fee, payment, account, and other information to case initiation, docketing, and other functions;
- accounting function interacts with indexing function to look up person information and identify, for example, case to which payment from person should be applied;
- accounting function supplies payment, account, and other information to hearings, adjudication, disposition and other functions;
- case close function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions (e.g., to establish cross

references between consolidated cases for docketing, scheduling, and notice creation; to permit cases to be closed at cash register);

- appropriate functions display judge's and other judicial officer's caseload during docketing, scheduling, and other functions;
- file, document, and property management function interacts with docketing, scheduling, and other functions to ensure data validation checks satisfied (e.g., events occur in proper sequence).

While this document sets forth standards for what capabilities should be present in a case processing system but not how the system would provide those capabilities, the integration discussed above is simplified when a common database supports all functions.

In many situations, several functions would be performed contiguously -- that is, they would appear to be a single function. For example, case initiation, docketing, scheduling, noticing, and calendaring may be accomplished at the same time in juvenile cases (e.g., shelter care hearing within 48 hours after case filed); or case initiation and document generation would be contiguous when documents must be created soon after a petition is filed (e.g., cases in which a pick-up order is needed to protect the child pending a shelter care hearing). This document covers the functions separately to accommodate those situations in which they are distinct case processing steps.

Case processing system functions should be automated to the maximum extent possible, but the system should never be allowed to perform functions or enter data that would be contrary to the interests of the court (e.g., automatically send a pick up order that already has been cleared and, therefore, whose reason for issuance no longer exists). Even though functions should be performed without human intervention as much as possible, a manual capability must exist to enable the user to override values supplied by the system or initiate an action manually, such as creation of a form. (Recall that an automatic or automated function is invoked and performed with limited or no user intervention, and a manual function is invoked and performed primarily by the user without significant assistance from the system.)

The Technical Capabilities part of the Uses of Functional Standards section describes fully-functional event driven systems that schedule events based on completion of prior events (e.g., shelter care hearing must occur 48 hours from filing and adjudication hearing must occur 30 days from shelter care hearing) and create 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) creating notices; and (4) computing fees. The primary functions that provide this functionality are Case Initiation and Indexing, Docketing and Related Record keeping, Scheduling, Document Generation and Processing, Hearings, Adjudication, and Disposition, Accounting -- Receipting, and Accounting -- Bookkeeping.

The juvenile functions covered herein must, within statutory confidentiality requirements, interact with the functions of and share data with other types of case processing systems with minimal manual intervention or re-keying of data unless the user wishes to intervene. This applies particularly to the juvenile and domestic relations systems given the close relationship between juvenile and domestic relations cases. Close relationships also exist between juvenile, domestic relations, and criminal cases. For example, the same person may appear as a party or participant in juvenile, domestic relations, and criminal cases, and data sharing will avoid the need for redundant entry of data for this person. Or, in a child abuse case, the juvenile system may interact with the domestic relations system when domestic violence is involved and with the criminal system when the child abuse involves a felony or misdemeanor.

Given the person- and family- oriented nature of juvenile cases, the case processing system must exchange information on juveniles and their families with outside organizations, such as public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, and public and private mental health agencies. This high level of integration requires correlation of the different person identifiers frequently used by these providers and the court. These interfaces are interspersed throughout this document (see Multi-Function Capabilities and Integration section and Docketing and Related Record keeping; Scheduling; Document Generation and Processing; Juvenile Court Support; File, Document, and Property Management; and Management and Statistical Reporting functions).

Federal and other standards exist to assist in identifying persons, coordinating information, and transferring information to other federal, state, and local agencies. Courts should use identity verification and personal identifiers consistent with the National Crime Information Center (NCIC) demographics standards described in FBI CJIS FPS or its successor publications. While responsibility for the positive identification of the individual will ultimately fall on the arresting law enforcement agency in delinquency cases, many courts require that the positive identification of the charged individual be substantiated with fingerprints and that those fingerprints be entered into and verified through the use of an Automated Fingerprint Identification (AFIS) system, which usually is maintained at the state level. While use of identification standards varies from location to location -- particularly with regard to fingerprints -- and applies primarily to delinquency cases, juvenile case processing systems should consider adhering to these standards in order to avoid the issues associated with redundant entry of information.

The standards throughout this document assume the juvenile court case processing system will be part of an integrated system that consists of court case processing and court support. Since this will be a phased process and the court case processing system will initially be a stand-alone system in many instances, the system should be developed in a manner that will permit it to evolve into part of a fully-integrated system.

## **Functions**

The remaining sections constitute the main part of this document and present standards for each system function. The document covers the case processing functions first. Then it addresses the accounting, utility, and reporting functions.

In these sections, the terminology and grouping of functions familiar to some readers may differ from those used in this document. The terms used below are terms of convenience; they are based on an understanding of frequently-used conventions. The labels do not matter -- what is called a docket in this document could just as easily be called a register of actions. What matters is the description of the functions under these headings. These functional standards express information systems processing requirements.

This particularly applies to the case processing functions, but whatever the terminology and grouping, the basic purpose of such functions is universal: to initiate a case; to bring the case to trial; and to hear and close the case.

This document does not make any determination of how a particular activity should or must be done. It does imply the activities that are necessary to capture the data and information required by the court that is a consequence of the activities performed. For example, the court needs information that is normally generated in the juvenile intake process. That intake process may or may not be carried out by court personnel. The information may be entered by an executive branch employee or an accredited employee of a private institution. The information might be entered through an internet site directly into the court's case management system. That same information might be transmitted to the court's case management system as an XML Internet document. "How" the information is acquired by the court's case management system is an issue for the systems designers to work out with the end-users. These standards simply express the requirement that, one way or another, the information must be captured in the case management system and be available to the judges and court administrators as the need arises.

Among other functions, this document covers docketing, scheduling, and calendaring. While it may differ from court to court, for the purposes of this document the basic differences between these functions are as follows:

- Docketing addresses completed events that are in the docket (or register of actions) and, therefore, are part of the official court record;
- Scheduling addresses events that have not yet happened and are not yet part of the official court record;
- Calendaring addresses events that have not yet happened and are part of the official court record.

### **1. Case Initiation and Indexing Function**

**Description** -- Case initiation and indexing are the actions taken by the court to accept jurisdiction over a case and to make information about that case accessible within the file

or database management system. The first step in case initialization for juvenile cases is intake and associated record keeping. In some localities, these intake functions are performed by the courts. In other places, intake is an executive branch responsibility. The case initiation functions represent the electronic equivalent of manually creating and opening a case file. Indexing defines the indices to be created or updated by the database management system that will allow all relevant information associated with a particular case to be located and organized into a logical order.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- case (standard, support payments)
- filings
- party
- participant
- attorney
- judge
- other judicial officer
- scheduled events
- other events -- transfer/consolidate in

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

### 1.1 Intake

The juvenile case processing system usually supports intake unit functions even though the unit may not be part of the juvenile court organization. Intake applies only to delinquency and status case categories; abuse and neglect cases bypass intake and go directly to case initiation. The intake function receives and screens referrals, gathers history on juveniles and their families, and decides how to resolve the referral.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.1 assign referral numbers and person (e.g., juvenile and family) and other identifiers	yes	all	
1.1.2 prompt user when related information already exists for juvenile and family named in referral, and allow user to output existing information	yes	all	
1.1.3 allow user to capture (i.e., enter, receive electronically, or transfer existing information into current referral entry to avoid data entry) referral information		all	
1.1.4 establish relationships, including links to others in referral and others in family, within newly-entered information and between new and existing information		all	
1.1.5 merge multiple related referrals for single child into one course of action	yes		all

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.1.6 store all (i.e., new combined with existing, historical resulting from research) referral information in updated or new intake file; maintain intake file as case progresses (e.g., enter information pertaining to temporary actions noted below); and output all or part of file		all	
1.1.7 enter, maintain, process, and store information pertaining to temporary actions (e.g., informal supervision, shelter care, or temporary protective custody) including recording events; creating letters, forms, and pleadings (see Document Generation and Processing Function); creating tickler messages when actions due (see Scheduling Function); holding conferences and hearings (see Hearings, Adjudication, and Disposition Function)		all	
1.1.8 enter results of research on referral (e.g., verification of person and family information such as name; addresses; juvenile date of birth, race, ethnic group, sex; prior contact with court and service and justice agencies; alias(es); school; other assessment and classification items) in intake file (see Juvenile Court Support Functions)		all	
1.1.9 provide user with assessment tools, risks, and probable results to assist with decision on referral	yes		all
1.1.10 enter decision on referral (e.g., file a petition in juvenile court, conduct informal adjustment or diversion program (in conjunction with Juvenile Court Support Functions), refer to medical or social evaluation, reject) in intake file		all	
1.1.11 retain all information on referral if decision not final		all	
1.1.12 create pleadings within delinquency and status case categories by combining standard text (e.g., statutes for each allegation), variable data (e.g., juvenile information), other (e.g., imaged if capability exists in system) information (see Multi-Function Capabilities and Integration; Docketing and Related Record keeping and File, Document, and Property Management functions)			all
1.1.13 convert one referral for family or multiple persons into separate petitions and track separately through resolution for each juvenile	yes	all	
1.1.14 transfer intake information and petition to initiate case if petition filed with court	yes	all	
1.1.15 transfer intake and referral information to outside agencies (see Juvenile Court Support Functions)	yes	all	
1.1.16 output information for transfer to another jurisdiction		all	
1.1.17 enter, maintain, process, and store intermediate and final information pertaining to outside agency program (e.g.,		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
diversion administered by probation) or internal program (e.g., informal adjustment administered by intake) including recording events; creating letters, forms, and orders (see Document Generation and Processing Function); creating tickler messages when actions due (see Scheduling Function); holding conferences and hearings (see Hearings, Adjudication, and Disposition Function); processing payments (e.g., costs, fees, restitution; see accounting functions)			
1.1.18 as case progresses, interact with juvenile services and justice and social services agencies to perform ongoing functions (e.g., administer court-ordered supervision) and maintain intake file (e.g., track allegations) as established by local conventions (see Juvenile Court Support Functions)		all	
1.1.19 create notices and other documents (e.g., letters to victims and schools requesting more information) (see Document Generation and Processing Function)		all	
1.1.20 receive and send documents and information electronically including notices verifying receipt of electronic information	yes	all	
1.1.21 output all, part, or summaries of intake files for individual or groups of juveniles, family, or other parties as requested by user		all	
1.1.22 exchange information with external participants (e.g., public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies) (see Multi-Function Capabilities and Integration, Juvenile Court Support Functions)	yes	all	
1.1.23 ensure appropriate security and data integrity on intake information (see Security and Data Integrity Function)	yes	all	

## 1.2 Case Initiation

New petitions are received from the intake part of the case processing system and from other sources. Other than indexing, which is covered in the next part, the most basic case initiation activities are to give the case an identifier, a description, and a case file.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.1 receive intake information and petition to initiate case from intake	yes	all	
1.2.2 accommodate different types of case initiation filings for juvenile case categories (e.g., types of filings for child abuse and neglect cases differ from those for delinquency and status cases, various informal processes can initiate cases)		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.3 generate and assign separate identifiers (e.g., juvenile(s), family, other parties and participants, and other identifiers) or receive identifiers from intake, justice, or social service agency (see Juvenile Court Support Functions)	yes	all	
1.2.4 generate and assign case number and associate juvenile and family with case using locally-defined format and procedures (e.g., separate case number for each juvenile)	yes	all	
1.2.5 establish link between each juvenile and his or her family		all	
1.2.6 supplement information entered during intake with additional information on juveniles, families, and other parties		all	
1.2.7 enter each allegation and its identifier when petition filed		all	
1.2.8 identify most serious allegation among group of allegations for given juvenile in delinquency case categories and designate other allegations as of lesser seriousness	yes	all	
1.2.9 enter each count and its identifier and correlate with allegation(s) within group of allegations in delinquency case categories		all	
1.2.10 enter arrest, citation, custody, and bail information for each juvenile or receive identifier from justice agency (see Juvenile Court Support Functions)		all	
1.2.11 generate locally-defined case title or style (i.e., short phrase that identifies case and includes petitioner and juvenile or other respondent names) from party names and other information	yes	all	
1.2.12 conduct locally defined and used checks to ensure case should be accepted by court and display results	yes	all	
1.2.13 relate declined cases to other information in system and take appropriate action (e.g., drop pending charges in juvenile court)	yes	all	
1.2.14 enter reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case)		all	
1.2.15 enter locally-used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.2.16 capture or allow entry of other identifiers (e.g., of other courts, such as domestic relations or criminal; of detention, probation, and juvenile service providers; and of other parties and participants)		all	
1.2.17 enter in docket or register of actions person information including basic information on juveniles and their families (e.g., name; identifiers such as incident, social security, drivers license numbers; juvenile date of birth, race, ethnic		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
group, sex; parent names and addresses; referral source; referral reason(s) or petition allegation(s); alias(es); school; oversight, placement, detention status) and correlate with other case initiation information (see Docketing and Related Record keeping Function)			
1.2.18 enter in docket or register of actions case initiation information including date and time of initial filing, information on initial filing noted above, basic case information (e.g., case number, petition number, other identifiers, case type, case category, court type and location, case status, case title or style, parties, attorneys, date filed, judge or other judicial officer, last and next events) and correlate with other case initiation information (see Docketing and Related Record keeping Function)		all	
1.2.19 enter origin of oversight, placement, detention status		all	
1.2.20 enter in docket or register of actions information for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see Docketing and Related Record keeping Function)		all	
1.2.21 support electronic filing and move designated data (e.g., tagged basic juvenile, family, and case information) from electronic document to case processing system (see Multi-Function Capabilities and Integration and Security and Data Integrity Function regarding verification of electronically-entered data)	yes	all	
1.2.22 create acknowledgment to appropriate parties that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically) (see Document Generation and Processing Function)	yes	all	
1.2.23 record if filing requires special consideration such as time-sensitive filing that requires rapid action (e.g., schedule emergency child abuse hearing even though only minimal data available, issue restraining order, process stay request or ex-parte filing) or case in special category (e.g., Indian child welfare case) (see Scheduling Function)		all	
1.2.24 support differential case management (i.e., different categories of cases are processed differently, such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
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)			
1.2.25 create groups of related cases, petitions, juveniles, other parties, and participants (e.g., by referral reason, petition allegation, agency submitting referral or petition, parties, participants) from single or multiple filings such that future actions (e.g., initial and subsequent entries) can be applied to each case in group (see Docketing and Related Record keeping Function)		all	
1.2.26 establish relationships between cases and case categories (e.g., delinquency) and court types, locations, and departments (e.g., for large courts with multiple locations) (see List of Code Translation Tables)		all	
1.2.27 establish relationships between specific referrals and petitions and their sources (e.g., agencies submitting those referrals and petitions)		all	
1.2.28 establish relationships of courts and agencies noted above (e.g., other courts, detention, law enforcement, juvenile service providers) with juveniles and other parties		all	
1.2.29 inform user when cases or parties already exist that relate to new case or person (e.g., other referrals or petitions for same juvenile), followed by user-initiated search for duplicate parties and attorneys (including instances in which parties or attorneys have different roles in different cases, such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case) that user can transfer into current case if appropriate to avoid redundant data entry (e.g., using party names, addresses, and other identifiers noted above) (see Scheduling Function)	yes	all	
1.2.30 inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions)	yes	all	
1.2.31 assign appropriate security to information, such as increased security and data integrity for records with social data on juveniles and their families (e.g., medical, family relationships) (see Security and Data Integrity Function)		all	
1.2.32 capture demographic information		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.2.33 assign judge in conjunction with Scheduling Function		all	

### 1.3 Indexing

Indexing provides a way to select a subset of the case information based on some set of criteria contained in the database management system. It operates by searching all cases (or some subset of all cases such as all open cases or all closed cases) to identify the information of interest to the user. Indices allow selection of all cases associated with a particular juvenile, a particular family, one or more judges, one or more attorneys, a particular case worker, or some other primary information within the case record. The index will generally give the user a listing of all cases that meet the search criteria and then allow the user to view one or more of those cases either on screen or in printed form.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
1.3.1 create and maintain locally-defined index that (1)contains at least index information on juveniles, their families, or other parties (e.g., each juvenile or other party name, date of birth, race, ethnic group, sex, role in case, external identifiers, social security number, drivers license number, referral source, referral reason and petition allegation, and whether party has an attorney); (2)contains index information on cases either subordinate to or linked to persons (e.g., case type; court type and location; case number, petition number, and other identifiers; date filed; and cross reference to other parties in case (e.g., other party named in case title or style)), (3)permits database look up by a choice of keys (e.g., party name, party role, case filed date range) and, if record found, (4)permits retrieval and display of index information, (5) permits easy interfaces with other parts of case processing system as noted below	yes	all	
1.3.2 handle look up and retrieval subfunctions by identifying a specific juvenile or other party name, date of birth, race, ethnic group, sex, party role, court type or location, case or party identifier, case filed date range -- if necessary, after eliminating other cases or parties that satisfy original look up -- and then obtaining index information by selecting from list of matching cases or parties or by using keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	
1.3.3 allow users easy interfaces with other parts of the		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
system, such as docketing, scheduling, calendaring, accounting, and juvenile court support functions for, potentially, all related person, case, and financial information (i.e., on specific person; each related case, its parties, its participants, its attorneys; on other cases, parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see Inquiry part of Multi-Function Capabilities and Integration and Report Generation section in Appendix A, and sections on other functions that follow this section)			
1.3.4 permit name search on various combinations of a specific person's (i.e., juvenile, party) name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry part of Multi-Function Capabilities and Integration)		all	
1.3.5 if attorneys included in index, allow multiple names and bar identifiers		all	
1.3.6 permit updating of index based on occurrence of specific events (e.g., motions filed, allegations adjudicated or disposed)	yes	all	
1.3.7 extract and output with appropriate security and data integrity restrictions index information arranged according to various components of index (e.g., juvenile, party, case number) (see Security and Data Integrity Function)		all	
1.3.8 retrieve basic index information on all cases associated with specific participant		all	
1.3.9 accommodate aliases in conjunction with indexing and processing of party names as appropriate	yes	all	

## **2. Docketing and Related Record keeping Function**

**Description** -- Judges, administrators, and case managers need summaries of all actions taken with regard to a particular case that is before the court. The most common form of summary is a chronological listing of all documents received by the court in a particular case and all actions taken by the court in relation to that case. We shall use term "docketing" to refer to the creation of these summaries. Whether the results of this process are called a docket, a register of actions, or some other name the essence of the result is the production of a concise overview of what has happened in a given case up to the current date.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- case (standard, support payments)

- filings
- party
- participant
- attorney
- judge
- other judicial officer
- financial
- exhibits
- summons, pick up orders, and other served processes
- forms and other documents issued by court
- hearing
- disposition

***Subfunctions*** -- Within the Docketing and Related Record keeping Function, the subfunctions are grouped into case header, case event information, related record keeping functions, and input/output management.

- The case header gives information that permits the system user to determine whether the court has jurisdiction and whether the user has accessed the correct case and juvenile.
- The docket or register of actions provides an overview of the events in a particular case. At case initiation and as the case progresses, information on events is captured for use in the docket. The computer database contains complete information about each case and juvenile, and while all of this information is related to the docket, only a subset is the summary information that comprises the actual docket.
- Related information in the database often spans multiple persons and cases, and correlation of this information can increase the efficiency with which the court operates (e.g., by avoiding entry of data on persons already in a case processing system).
- Finally, as described in the fourth part of this section, information in the docket -- and the entire database as described in subsequent functions -- must be input, output, and managed.

## 2.1 Case Header

The case header is created primarily during case initiation and contains the information needed to identify a particular case and juvenile.

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

## 2.2 Case Event Information

Basic case information contained in the database includes:

- case number;
- petition number;
- other identifiers;
- case type;
- case category;
- court type and location;
- case status;
- case title or style;
- parties;
- attorneys;
- date filed;
- judge or other judicial officer;
- and last and next events.

The database also receives basic information on juveniles and their parents such as:

- name;
- identifiers (e.g., petition, social security, and drivers license numbers);
- juvenile date of birth, race, ethnic group, sex;
- parent names and addresses;
- referral source;
- referral reason or petition cause or charge;
- alias(es);
- school;
- probation or other remedial program status;
- detention status.

As the case progresses, this information is augmented by capturing information on new events. Any change to an event is treated as a new event -- the original event is referenced and the new information is captured as part of the event information.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.2.1 provide access to, maintain, and add to case and person information originally entered in database during intake and case initiation (see Case Initiation and Indexing, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.2 provide access to, maintain, and add to case and person information captured from database for docket or register of actions during intake and case initiation (see Case Initiation and Indexing, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.3 provide access to, maintain, and add to information originally entered during intake and case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service ) with primary contact person if organization (see Case Initiation and Indexing Function)		all	
2.2.4 add information called for in subsequent Docketing and Related Record keeping subfunctions to database files; capture, maintain, and provide access to subset of database files for docket or register of actions to summarize events for each case and juvenile	yes	all	
2.2.5 accommodate different types of filings for juvenile case categories (i.e., types of filings for child abuse and neglect cases differ from those for delinquency and status cases)		all	
2.2.6 capture, maintain, and output information (e.g., document title and identifier, filing party, fees received), party to which filing applies, and dates on filings and other completed events not previously in system (e.g., party added or deleted, participant added or deleted, motion filed, program referral, or hearing date set)		all	
2.2.7 create docket entry and update case, juvenile, other party, and participant database information based on occurrence of specific events that can be completely or partially transferred from another function, such as victim added, pick up order issued (e.g., case status changed to inactive), pick up order returned (e.g., case status changed to active), hearing scheduled (e.g., motion granted or denied; see Calendaring Function), allegation adjudicated or disposed (e.g., finding of fact of neglect, assigned to foster care; see Hearings, Adjudication, and Disposition Function), request for enforcement of judgment (see Compliance Function)	yes	all	
2.2.8 create docket entry and update database based on	yes	all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
electronic documents distributed by other functions (e.g., notices, pick up orders, orders) (see Document Generation and Processing and Hearings, Adjudication, and Disposition functions)			
2.2.9 permit user to identify and retrieve electronic documents by identifying them on each list of docket events (e.g., with icon adjacent to event, such as motion for dismissal filed indicating that motion filed electronically) and easy output of electronic document (e.g., motion that was filed)	yes	all	
2.2.10 allow single event to create multiple docket entries in one or more cases (e.g., event is hearing, docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.11 allow easy entry of multiple filings or pleadings that apply to single case or related cases (e.g., consecutive entry of multiple pleadings for single case)		all	
2.2.12 enter, maintain, and output information on special case processing requirements or orders (e.g., sealed case or document, child abuse cases that could affect law enforcement registries) (see Case Initiation and Indexing, Hearings, Adjudication, and Disposition, Juvenile Court Support, and Security and Data Integrity functions)		all	
2.2.13 allow newly-entered events to be inserted as appropriate in docket (e.g., before later entries in chronological event list)		all	
2.2.14 maintain case information as official court record in accordance with state statutes and rules	yes	all	

### 2.3 Related Record keeping Functions

All of the data about a particular case or person resides in the database. The database must automatically maintain all relevant relationships as specified by the user and consistent with local rules and statutes. These relationships include (but are not limited to) the basic elements of a juvenile case: petitions, juveniles, families, other persons, allegations, events, findings of fact, and resolutions. Figure 2-3 illustrates these relationships.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.3.1 maintain information on multiple juveniles, other parties, participants, and attorneys and law firms in a case or allegation such as personal information, status including dismissals, type (e.g., prosecutor, witness, public defender), current addresses, address histories, address sources, voice and fax telephone numbers, electronic mail addresses (see List of Code Translation Tables)		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.3.2 maintain multiple current and historical addresses, with beginning and ending dates and address sources, for each party, participant, and attorney in individual and related cases		all	
2.3.3 coordinate with Case Initiation and Indexing Function to enter and track all allegations (initial and modified) and link changes to proper case, juvenile, and family (see Juvenile Court Support Functions)		all	
2.3.4 enter information once and apply to multiple cases or persons (e.g., single entry for several parties with same attorney or address; copy docket entry to related cases; single entry when parties or attorneys have different roles in different cases, such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case)		all	
2.3.5 enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.6 maintain (or be able to construct in a manner that requires minimal user action) and output information and relationships on multiple cases, judges, other judicial officers, attorneys, juveniles, families, and other parties (e.g., to help users modify information on related cases or parties, to transfer group of cases or parties from one judge or hearing date to another in single transaction, to view related referrals and cases when preparing to hear case, to view all cases involving particular juvenile, to view related cases) (see Case Initiation and Indexing Function)	yes	all	
2.3.7 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	
2.3.8 apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee allocation amounts to be modified, change of Judge Smith's courtroom causes all records that contain room number of old courtroom to be changed to room number of new courtroom, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	
2.3.9 link and display information on docket entries for events related to current docket entry (e.g., on pending dependency cases for same juvenile)			all
2.3.10 track and output reports on relationship of specific cases and parties to one or more public and private agencies		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies			
2.3.11 allow user to define, modify, and maintain all relationships noted in Case Initiation and Indexing and Docketing and Related Record keeping functions		all	
2.3.12 restore any relationship noted above if erroneously modified or deleted (see Security Function)		all	

## 2.4 Input/Output Management

The case management system must provide a group of utility-type subfunctions that support input to and output from docketing, other functions, and the database.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
2.4.1 maintain and properly use code translation tables defined by user (see List of Code Translation Tables)		all	
2.4.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated) (see Scheduling Function)	yes	all	
2.4.3 continue user prompts begun in case initiation when situations exist for persons in case that user should be aware of (e.g., outstanding pick-up order) and identify situation to extent information in system (see Case Initiation and Indexing, Scheduling, and Juvenile Court Support functions)	yes	all	
2.4.4 continue case and person information security and data integrity begun in case initiation, such as increased security to social data on juveniles and their families (e.g., medical, family relationships) (see Case Initiation and Indexing and Security and Data Integrity functions)	yes	all	
2.4.5 create, maintain, and output (according to user specified criteria, such as selected workstation(s) or selected case(s)) audit trail identifying persons who requested or made docket and other entries and when they requested or made entries (highlighting when filing occurred if filing and entry dates different) (see Security and Data Integrity and Accounting -- Bookkeeping functions)		all	
2.4.6 output all, part, or summaries of docket (s) for specific case or group of cases for life of case or specific date range in chronological or reverse chronological order (see Management and Statistical Reporting Function)		all	
2.4.7 output other views of database information such as on specific juvenile and his or her family and on participants and		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
other persons (e.g., public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies) related to case involving juvenile			
2.4.8 support electronic filing (e.g., directly from attorneys' offices) of petitions and other pleadings (see Multi-Function Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
2.4.9 maintain file of input templates available to users to create input documents (e.g., petitions, other pleadings, other input forms filed manually or electronically) and, as necessary, associated cover sheets (e.g., for use when pleadings filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events and so that details of specific electronically-filed petition could be inserted into "boilerplate" text of petition form to create hard copy printout) (see Multi-Function Capabilities and Integration, Document Generation and Processing Function, and Related Technical Considerations in Appendix A)	yes	all	
2.4.10 provide capability to output template forms without and with entered data		all	
2.4.11 maintain and output history of changes in judge or other judicial officer assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges or other judicial officers and reasons for change		all	
2.4.12 maintain and output history of attorney changes for specific case or party with reasons for change		all	
2.4.13 maintain and output history of all relationships established for each juvenile and his or her family with dated audit trail of changes		all	
2.4.14 output list of documents filed for given case with amplifying information (e.g., document name and identifier, who filed, when filed)		all	
2.4.15 provide instructions (e.g., tutorials) and automatic edits for using input templates (e.g., to complete petitions, other pleadings, other input forms)	yes	all	

### **3. Scheduling Function**

**Description** -- Courts must allocate scarce resources among the various cases that are active and demanding attention at any given time. For the purposes of this document, scheduling refers to that set of actions associated with the following two categories:

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

Courts also face mandated federal, state, and local time restrictions within which they should act on juvenile matters. Scheduling activities are responsible for ensuring that these time standards are met.

For the purposes of this document, scheduling is viewed as an administrative process supported by automated information systems. Calendaring, on the other hand, is defined as the official publication of the results of the scheduling process for hearings and is considered to be a part of the court record for individual cases. As an administrative activity, scheduling (particularly of hearings) is usually not part of the "docketing" process of the court, whereas a calendar is noted in the docket.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- scheduled events
- case (standard, support payments)
- party
- participant
- attorney
- judge
- other judicial officer
- non-court agencies

**Subfunctions** -- Within the Scheduling Function, the subfunctions are grouped into schedule creation, person and resource assignment, schedule and case management, and ticklers and other user alerts and prompts. Each group of subfunctions is categorized according to whether it typically consists of "event deadlines" or "hearings" scheduling activities.

#### **3.1 Schedule Creation**

Before considering the people and other resources that will serve as the foundation for schedules, basic rules must be established in the system to guide it in scheduling. These rules address issues such as 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>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>Event deadlines</b>			
3.1.1 schedule events and groups of events		all	
3.1.2 initiate schedule of future events based on event entry or occurrence of prior events	yes	all	
<b>Hearings</b>			
3.1.3 schedule multiple cases, juveniles, and events for same scheduled date and time (e.g., schedule detention hearings on all detained juveniles for the same time block) with priorities assigned to each case		all	
3.1.4 schedule groups of related cases (e.g., schedule abuse and neglect cases of siblings in the same time block)		all	
3.1.5 identify, display, and suggest resolutions to scheduling conflicts, allowing user overrides and rescheduling with appropriate security and data integrity (see Security and Data Integrity Function, List of Code Translation Tables)	yes	all	
3.1.6 schedule maximum number of cases for specific, user-specified time interval by event (e.g., hearing) type, judge, and other criteria	yes	all	
<b>Either event deadlines or hearings</b>			
3.1.7 provide ability to relate scheduled event to actuating filing or prior event (e.g., adjudication hearing within 60 days of filing of abuse/neglect petition)	yes		all
3.1.8 when schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions	yes	all	
3.1.9 apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed, reschedule cases for a prosecutor who is reassigned) to multiple schedules for selected cases and group of cases	yes	all	
3.1.10 provide manual override to automatic scheduling to allow user to substitute deadlines or time interval begin and end times for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically		all	
3.1.11 provide utilities to assist user in manual schedule overrides or changes for specific cases and event(s)		all	
3.1.12 record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason)	yes	all	
3.1.13 permit user to designate cases with special scheduling needs (e.g., interpreter, disabilities)		all	

### 3.2 Person and Resource Assignment

Schedules ensure that the people, spaces, resources, and services required for the court to carry out its business are available to the judge. Scheduling seeks to achieve a desired goal (e.g., conduct a hearing) in the face of all known constraints (e.g., availability of court rooms and personnel such as judge, juvenile, attorneys, clerks, case workers, witnesses).

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

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

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

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

### 3.4 Ticklers and Other User Alerts and Prompts

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

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

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

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

**Description** -- Courts must create, distribute, and track standard documents that support court operations. This includes producing printed and electronic summons, notices, some orders, letters, and brief reports (as opposed to more lengthy and complex documents created by word processing).

This function covers only those orders resulting from an out-of-the-courtroom event, signed in an informal setting. The distinction between these orders and those created during or directly resulting from a hearing, which are discussed in the Hearings, Adjudication, and Disposition Function, is largely artificial and may vary from one court to another..

In addition to some court orders, this section excludes court minutes, judgments, and other documents related to hearings, which are covered in the Hearings, Adjudication, and

Disposition Function; documents related to juvenile service, justice, and social service activities, which are covered in Juvenile Court Support Functions; materials used in file tracking (e.g., case file labels, exhibit and property destruction notices), which are covered in the File, Document, and Property Management Function; and financial documents, which are covered in the Hearings, Adjudication, and Disposition Function and the accounting functions.

Documents may be created automatically following a specific event (e.g., notices to specific parties and participants when hearings are scheduled) or result from a user entry (e.g., bench pick up orders), and they may be either printed and distributed manually or distributed electronically (see Multi-Function Capabilities and Integration earlier in this document). Users must track served documents from the time they are sent out until the person who has been served appears at the prescribed time and place.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- summons, pick up orders, and other served processes
- forms and other documents issued by court
- scheduled events
- hearing
- financial
- case (standard, support payments)
- party
- participant
- attorney
- non-court agencies

**Subfunctions** -- The subfunctions in this category are document creation and document utilities.

#### 4.1 Document Generation

This section covers the standard documents created by the system to support court operations.

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

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.1.3 create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event)		all	
4.1.4 create miscellaneous documents (e.g., for re-scheduled and canceled events; follow-up letters, such as requests for completed foster care forms; requests for child rehabilitation and other juvenile and family services; functions external to case processing such as intake and juvenile court services; other types of documents) (see Case Initiation and Indexing and Juvenile Court Support functions)		all	
4.1.5 create special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to non-participants, other courtesy notices) when requested		all	
4.1.6 in cases with multiple parties, create single notice for attorney who represents multiple parties		all	
4.1.7 in cases with multiple parties, show names and primary (e.g., as designated by party or attorney) addresses of all other parties and attorneys on notice to specific party		all	
4.1.8 print documents individually or in groups in multiple locations or central location		all	
4.1.9 distribute documents electronically (e.g., documents to be served to process server; notices and other documents to parties and attorneys; notices, pick up orders, and other documents to be entered in docket) in accordance with state and local statutes, rules, and procedures (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping and Security and Data Integrity functions)	yes	all	
4.1.10 perform document creation, print, and distribution functions for group of cases as if group were single case (e.g., summons in neglect case for each child)	yes	all	
4.1.11 allow user to designate or override computer selection of who receives above documents		all	
4.1.12 exclude user-designated information from documents (e.g., mask out confidential addresses for notices sent to specific persons) (see Security and Data Integrity Function)		all	
4.1.13 insert proper address in documents based on document date compared with address histories (see Docketing and Related Record keeping Function)	yes	all	
4.1.14 create notices when attorney, party, or participant changed for case with future scheduled event	yes	all	
4.1.15 create notices when attorney, party, or participant	yes	all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
address changed for case with future scheduled event			

## 4.2 Document Utilities

This category addresses various utility functions that support document creation. Document utilities include output templates, which may be used to create some types of documents as an alternative to building a completely new document each time using program logic and user- or system-supplied parameters.

Many printed and electronic documents contain court seals and standard text into which the text and data that pertain to a specific case are inserted and signatures are affixed. To help create these frequently-used documents, the case processing system allows users to create, store, and maintain forms -- or output templates -- that contain standard, "boilerplate" text. When allowed by court rules, the templates may be imaged to permit court seals and signatures on printed documents or may be used to place the electronic equivalents of court seals and signatures on electronic documents. When users need to complete one of these forms, instead of building a completely new document using program logic and user- or system-supplied parameters, the system may access the appropriate output template into which the user or system inserts the text and data for a given case. This text and data may be newly-entered or received from sources, such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems (see document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function).

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
4.2.1 in conjunction with Docketing and Related Record keeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1)create official court documents by inserting text into templates and (2) create other documents consisting of only text (e.g., brief progress reports on mediation, some types of notices) (see External Interfaces in Appendix A and General Accounting Function)		all	
4.2.2 relate each output template and text noted above to document(s) and court event(s) in which they are used		all	
4.2.3 maintain files of standard text and use to create entire documents or to insert text into "boilerplate" court forms; relate each group of text to document(s) and court event(s) in which they are used (same as above subfunction except no output templates, which would necessitate imaging)		all	
4.2.4 create file containing customized templates for specific person (e.g., judge) consistent with court rules		all	
4.2.5 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
documents from various locations in system and database (e.g., attorney, party, participant records or tables) as if, from user perspective, they were in same record (see List of Code Translation Tables)			
4.2.6 create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see Multi-Function Capabilities and Integration)	yes	all	
4.2.7 provide ability to override document entries made using templates and standard text noted above		all	
4.2.8 record pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface) (see Docketing and Related Record keeping and Juvenile Court Support functions)		all	
4.2.9 output status of documents sent or served		all	

## **5. 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.

While not customarily part of calendaring, within this document calendaring includes ADR events, such as mediation. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, and evidence are considered by a judge, magistrate, referee, commissioner, or other judicial officer in court events, such as trials and motion hearings; conferences aimed at information gathering or pre-trial resolution, and ADR events, such as mediation.

After setting up the template of each type of court calendar for a given time period, the court fills this template with actual cases as it schedules them for hearings (the Scheduling Function). As it schedules these cases, the court creates notices and other documents that inform persons when and where each hearing will occur (the Document Generation and Processing Function). When a given template is filled with cases, it is created as a court calendar (the Calendaring Function).

Calendaring, in conjunction with its scheduling counterpart, is the deliberate and official act of placing a matter on a judge's or other judicial officer's calendar for a hearing, trial, conference, or ADR event on a particular date.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- case (standard, support payments)
- scheduled events
- party
- participant
- attorney
- judge
- other judicial officer
- non-court agencies

**Subfunctions** -- The Calendaring Function accepts schedule information from the Scheduling Function, combines it with information from other functions (e.g., basic case, juvenile, and family information from the Docketing and Related Record keeping Function; user notes described below), and arranges the information into the calendar format. Then, as the hearing date approaches, users maintain the calendars (e.g., by entering changes such as adding witnesses, changing attorneys, returning to scheduling because the case has been continued, exchanging information between calendars), finalize each calendar at a prescribed cut-off point, create and output the calendar, distribute it to judges and to strategic courthouse locations for posting, and create summary reports. The following table gives the calendaring subfunctions:

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
5.1 provide flexibility with respect to calendar content and format (e.g., case or detention status shown with calendar)		all	
5.2 create calendars and incorporate calendar addenda -- based on scheduling information (see Scheduling Function) -- for each type of hearing for specific periods	yes	all	
5.3 create calendars individually (e.g., for a judge, other judicial officer, or courtroom) or in a group (e.g., for posting throughout courthouse) according to various criteria including date, judge, other judicial officer, or courtroom		all	
5.4 print calendars and related outputs individually or in groups in multiple locations or central location		all	
5.5 create user-defined summary calendar information and provide interface to other parts of system to access and output other types of information (e.g., calendar summaries for related cases or parties, juvenile detention status) (see Juvenile Court Support and Management and Statistical Reporting functions)		all	
5.6 create user-defined partial calendar		all	
5.7 record and output nature of proceeding for each case on calendar (e.g., review hearing to consider change of placement for neglected child)	yes	all	
5.8 create for output, with calendar, summary of user-		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
designated past and future scheduled events, docket events, or related cases and persons			
5.9 create summary of upcoming hearings for given person (e.g., juvenile probation officer, child protection caseworker, public defender, prosecutor, GAL/CASA volunteer, etc.) over specific period (e.g., a week)		all	
5.10 create summary of upcoming hearings for given judge or other judicial officer or in given courtroom over specific period (e.g., a week)		all	
5.11 create and track calendar modifications (e.g., judge or courtroom reassignments, cases added to or taken off calendar) over specific period		all	
5.12 distribute calendars electronically (e.g., to court reporters, probation, law enforcement, attorneys) (see Multi-Function Capabilities and Integration and Criminal Support Functions)	yes	all	
5.13 create and maintain user notes (i.e., user notes and comments for use with calendar) for user's viewing only in accordance with local rules and statutes (see Security and Data Integrity Function)		all	
5.14 provide ability to move blocks of cases or user-selected cases between calendars		all	
5.15 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile name in adoption proceedings) (see Security and Data Integrity Function)		all	
5.16 transfer easily and quickly between scheduling, calendaring, and other parts of system when creating calendars (e.g., to view information on related cases, parties, participants)		all	

## **6. Hearings, Adjudication, and Disposition Function**

**Description** -- This function encompasses 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, or evidence are heard by a judge, magistrate, referee, commissioner, or other judicial officer. Minute entries -- normally annotated on the calendar or on separate forms -- and formal court orders and judgments record hearing results and document for the appropriate persons the findings of fact resulting from judicial or quasi-judicial events. Informal minute orders record verbal instructions given by a judge, magistrate, referee, commissioner, or other judicial officer during the

proceedings. In creating minutes and orders, this function relates closely to the Document Generation and Processing, Calendaring, and Case Close functions.

This section covers the types of court orders that result from a formal, calendared event such as a hearing (e.g., order for psychological evaluation resulting from motion hearing). Other types of orders result from an out-of-the-courtroom event and are signed by the judge in an informal setting (e.g., ex parte protective custody orders signed in the judge's chambers), and the Document Generation and Processing Function covers these orders.

The two terms, adjudication and disposition, have dual meaning in juvenile cases: They are types of hearings, and they are outcomes of those respective types of hearings. Adjudication hearings determine the validity of each allegation against the juvenile or family; disposition hearings decide what to do about each allegation that the adjudication hearing deems to be valid.

The three juvenile case categories -- delinquency, status, and abuse and neglect -- proceed to closure differently and involve different types of hearings. Delinquency and status cases usually proceed similar to non-juvenile case types and have similar types of hearings. A petition is filed, the validity of the petition is adjudicated, a disposition hearing occurs, and the case is disposed and subsequently closed. Abuse and neglect cases proceed like other cases through the adjudication and initial disposition hearings, but they may involve multiple hearings to review compliance and dispose of subsequent issues before reaching closure. Abuse and neglect cases, therefore, may traverse through shelter care, adjudication, disposition, permanency, termination of parental rights, and adoption hearings -- and usually other hearings and conferences -- to monitor the status of the child. The court works closely with other organizations -- some within the court but most outside the court organization -- through different types of hearings and conferences to assess juvenile and family performance.

Information exchange occurs between the Hearings, Adjudication, and Disposition Function and other court system functions such as the Docketing Function regarding updates to the docket or register of actions; the General Accounting and Accounting -- Bookkeeping functions regarding amounts paid, due, overdue, and disbursed; and the Compliance Function regarding compliance actions that may be needed. Exchange of information may occur with public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies, and courts with jurisdiction over other case types (e.g., domestic relations regarding child support payments).

***Data Types Used*** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- hearing
- scheduled events
- case (standard, support payments)
- party
- participant

- attorney
- judge
- other judicial officer
- non-court agencies
- exhibits

**Subfunctions** --The hearings, adjudication, and disposition subfunctions apply to all types of hearings, conferences, and ADR events (e.g., jury trial, non-jury trial, motion hearing, mediation).

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

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
time			
6.11 distribute court orders resulting from hearings and other judicial and ADR events electronically internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)	yes	all	
6.12 distribute court orders resulting from hearings and other judicial and ADR events externally either electronically (e.g., fax, electronic mail) or by regular mail		all	
6.13 compute and enter fine or monetary restitution based on sanctions imposed on each person	yes	all	
6.14 enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person		all	
6.15 associate monetary and non-monetary restitution with specific victim(s)		all	
6.16 process information (e.g., update docket and other records, if not updated automatically as noted above) and create judgment and post-judgment documents		all	
6.17 create multiple judgments (i.e., both multiple judgments for given person and multiple recipients for given judgment) in cases involving multiple juveniles and allegations		all	
6.18 distribute judgment and post-judgment documents electronically external to court and internally with associated information to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record keeping Function)	yes	all	
6.19 create, display, and maintain separate judgment screens that show original and subsequent judgments and cross-references to related documents for each allegation, case, and party (see Case Initiation and Indexing and Compliance functions)	yes	all	
6.20 update each case in group of cases with judgments as if group were single case (see Docketing and Related Record keeping Function)	yes	all	
6.21 permit electronic referral of case information to public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, public and private mental health agencies, and other organizations	yes	all	
6.22 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function to create documents noted above (e.g., standard information in minute orders such as judge, court staff, attorneys, parties, and witnesses present; evidence; motions)		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
6.23 exclude user-designated confidential information from documents created during hearing (e.g., record in minutes that ADR event occurred on a given date, but mask out confidential statements by parties) (see Security and Data Integrity Function)		all	
6.24 capture information for each party associated with a hearing including check-in date and time, when hearing began and ended, when party called into hearing, whether party actually appeared in hearing (e.g., may have been outside courthouse when called)		all	
6.25 record hearing outcomes for each allegation pertaining to each juvenile or family including information on parties, cases, allegations, related cases, and cross petitions		all	
6.26 track hearing results, hearing duration and participants, and scheduled and actual occurrence of hearing in conjunction with Management and Statistical Reports Function		all	
6.27 use information captured in court proceedings to update records on cases, juveniles and other persons, allegations, and pleadings throughout system (e.g., information on judgments, attorney withdrawals, adjournments, continuances, and cancellations working with Docketing and Related Record keeping (for docket updates), Scheduling (for rescheduling of hearing), Document Generation and Processing (for notice creation), Calendaring (to place on future calendar when scheduled), accounting (for monetary judgment data), and other functions; bifurcations (i.e., severed cases) working with Case Initiation and Indexing (to initiate new case) and Docketing and Related Record keeping (for docket updates) functions; and rulings taken under advisement on submitted matters) (see Integration Between Functions in Multi-Function Capabilities and Integration)	yes	all	

## **7. Compliance Function**

**Description** -- During the post-judgment period, the Compliance Function tracks adherence to court orders and judgments to determine whether what is happening to the juvenile complies with the stipulations of the order.

Courts track post-judgment compliance using information gathered by the court through review hearings and interactions with other agencies (e.g., juvenile probation). The tracking capabilities should be flexible and may include adherence to schedules, completion of interim actions (e.g., child protection or FINS plan submitted before next hearing), and participant workloads.

When problems arise, the court initiates follow-up action. For example, the court may order child support and establish court-ordered payment schedules for specific cases and persons. While the court monitors compliance to court orders and payment schedules, it may or may not perform some other functions associated with the order such as collecting and disbursing payments, identifying violations, and notifying appropriate units to enforce court orders in the event of violations.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- disposition
- case (standard, support payments)
- party
- participant
- financial
- non-court agencies

**Subfunctions** -- The following table gives the compliance subfunctions:

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

## 8. Case Close Function

**Description** -- Closure of a juvenile case refers to the ultimate resolution of the case and all its allegations. Numerous hearings may be needed to reach closure as described in the Hearings, Adjudication, and Disposition Function. In juvenile cases, each petition can initiate multiple cases, each petition can involve multiple persons, each person can have multiple allegations, and each allegation will have an ultimate resolution. Closure of a case occurs when:

- All allegations have an ultimate resolution;
- It is unlikely that the case will be reopened although it legally could be under certain conditions;
- No further action is required;
- The court releases jurisdiction of the juvenile or family that constitutes the case (e.g., juvenile passed to probation or reunited with the family).

Case closure may not infer that files are closed on the juvenile and family. Depending on local and state rules and procedures, this may occur only when the juvenile ages out or is certified.

The above paragraphs describe statistical closure; the File, Document, and Property Management Function addresses operational closure, in which the case is archived. The precise definitions of statistical and operational closure vary nationwide depending on local and state rules, procedures, and reporting requirements.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- disposition
- case (standard, support payments)
- party
- participant
- financial
- other events -- transfer/consolidate out
- file management
- non-court agencies

**Subfunctions** -- The case close subfunctions are:

Subfunction	Auto	Mand.	Opt.
8.1 record ultimate resolution for each closed case including allegations; information on juveniles, families, and related cases and petitions; and cross-reference to judge's order for closure		all	
8.2 use information from Hearings, Adjudication, and Disposition Function to obtain reason for closure (e.g., ultimate resolution for case due to trial, ADR such as		all	

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

**9. General Accounting Function (since much of the accounting is new, all of it should be reviewed by NCSC editorial staff for indexing)**

**Description** -- Accounting activities necessary to satisfy the court's fiduciary responsibilities include 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, creating checks, billing, creating payment agreements, creating notices required for collection activities, reconciling bank accounts, and creating documents required to satisfy county, state, and federal auditing agencies. All of these functions must conform to the requirements set forth by the Government Accounting Standards Board (GASB), the principles expressed in the Generally Accepted Accounting Practices (GAAP) of the Financial Accounting Standards Board (FASB), the Generally Accepted Audit Standards (GAAS) of the American Institute of Certified Public Accountants (AICPA), and the Generally Accepted Government Audit Standards (GAGAS) published by the United States General Accounting Office (GAO).

With respect to the functional standards in this document, the accounting activities differ from the case processing functions covered previously because many accounting functions are performed by different personnel and may be supported by a different computer system. Please note in reviewing the accounting functional standards that, while courts and support units perform similar accounting functions nationwide, the allocation of these functions throughout the organization varies.

In juvenile cases, the accounting functions may be divided between the clerk's case processing staff; a finance unit in the clerk's office, an executive branch agency (e.g., county finance), or a court administrative office; and a support (e.g., child, spousal) payments unit often within the executive branch. With regard to computer systems, the case processing system typically performs the functions described earlier in this document, and it may support some or all of the accounting functions. Accounting support, however, usually is provided by one or more financial systems that perform functions, such as budgeting, payroll, accounts payable, accounts receivable, fixed assets, journaling and general ledger, and trust fund management and by a support payments system that monitors payments and identifies violations of the court's payment orders.

These standards address the functions that should be performed somewhere in the overall court and support unit (i.e., executive branch, other units) organization; they are independent of the specific unit in which the functions would be performed.

The accounting functions are divided into four groups depending on their relationship to case processing. First, case-related functions apply directly to case processing systems. These functions assess court costs and fees; receive court costs, fees, and other payments; create receipts; maintain some bank accounts; prepare deposits; and prepare reports on these activities. The second and third groups of functions provide financial support to case processing. Functions in the second group handle a wide range of interest-bearing and non-interest-bearing accounts, process accounts receivable and payable, disburse funds, adjust fund balances, maintain journals and general ledgers, and create end-of-period reconciliations and other summaries and reports. The third group of functions implements and monitors compliance with court-ordered support payments. These functions establish court-ordered payment schedules for specific cases and persons, collect and disburse payments, monitor compliance to court orders and payment schedules, identify violations, and notify appropriate units to enforce court orders in the event of violations.

The fourth group of financial system functions -- the budgetary functions, such as budgeting, payroll, and fixed assets -- relate only tangentially to case processing and are excluded from the subfunction tables. The fourth group also contains functions that address interest on delinquent payments and distribution of interest accruals among accounts below the level of basic bank accounts, such as at the case and party levels. Interest distribution entails complex formulae that identify the lower level accounts and determine the amount of interest to be credited to each account and, like the other financial functions in the fourth group, is excluded from the subfunction tables.

The accounting sections given below cover functions in the first, second, and third groups. Within each section, functions in the first group are identified as “case processing” functions, and functions in the second and third groups are identified as “financial” functions. In these accounting sections, each group of subfunctions is categorized according to whether it typically consists of “case processing” or “financial” functions. Within the financial functions, those that apply particularly to support payments are identified as “financial (primarily support payments)” functions.

The next two sections cover “case processing” and “financial” functions within the context of receipting and bookkeeping activities. The final accounting section covers general ledger functions. This section addresses common functions.

The “case processing” subfunctions are mandatory or optional for case processing systems as noted for each subfunction. The “financial” subfunctions designated as mandatory should be present in some system(s) -- either a case processing system, a financial system, a support payments system, or an integrated system -- but not necessarily in the categories shown below (e.g., the case processing system may disburse funds). An analogous statement applies to the “financial” subfunctions designated as optional.

The case processing and accounting functions relate closely to each other, to other case processing and accounting functions, and to accounting equipment. The Receipting and Bookkeeping accounting functions often interact automatically and in a user-transparent manner to disburse received funds to agencies and associate received funds with juvenile accounts. Within the broader case processing context, for example, many accounting functions cause a docket entry; violation of a support order may evoke the Docketing and Related Record keeping; Document Generation and Processing; Scheduling; Calendaring; Hearings, Adjudication, and Disposition; and Compliance functions as well as accounting functions; many accounting reports relate to the other management and statistical reports; and the system may be required to interface with court cash register systems for funds collection and receipting. Because of these and many other interfaces, if the financial, support payments, and case processing systems are separate, the interface between them must be such that they operate as if they were a single system from the users’ perspective. The accounting sections given below note only the most significant interfaces within the accounting functions and between the accounting functions and the other case processing functions.

***Data Types Used*** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- case (standard, support payments)
- party
- participant
- attorney
- disposition
- financial

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

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

## **10. Accounting -- Receipting Function**

**Description** -- This section covers the receipting functions, in which juveniles, their families, and their representatives submit payments required by the court and receive the appropriate receipts. Receipting functions usually are performed at the cashiering station of the front counter in the clerk's office. They relate closely to the Bookkeeping Function, which often processes funds received automatically to accomplish such tasks as funds distribution and account updates. All subfunctions of the Receipting Function must conform to the accounting standards identified under the General Accounting Function.

**Data Types Used** -- Please see data types in General Accounting Function section.

**Subfunctions** -- The receipting subfunction groups are funds collection, receipt creation, cashier close out, and cashier management.

## 10.1 Funds Collection

This group of subfunctions addresses the activities associated with accepting payments from juveniles, their families, and their representatives.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b>All case processing</b>			
10.1.1 associate payment with proper case and party when monies received (see Accounting -- Bookkeeping Function)	yes	all	
10.1.2 permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
10.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
10.1.4 accept payments by electronic funds transfer (see Multi-Function Capabilities and Integration)	yes	all	
10.1.5 apply payments by electronic funds transfer from draw-down accounts pre-established by attorneys and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses) (see Multi-Function Capabilities and Integration, Accounting -- Bookkeeping Function)	yes	all	
10.1.6 associate fees with non-parties (e.g., from general draw-down accounts, couriers, media) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case)		all	
10.1.7 record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non-case related)	yes	all	
10.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	
10.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
10.1.10 accept single payment for multiple cases with capability to process separately for each case		all	
10.1.11 permit cashier, with proper authority, to override pre-established funds distribution priorities		all	
10.1.12 transfer funds from one case to another case or between accounts in a given case (see Accounting --		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
Bookkeeping Function)			

## 10.2 Receipt Generation

This group of subfunctions addresses the activities associated with creating and printing receipts for payments from juveniles, their families, and their representatives.

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

## 10.3 Cashier Close Out

This group of subfunctions addresses the activities associated with front counter record keeping, primarily involving payments from juveniles, their families, and their representatives and receipts created in return for these payments.

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

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

#### 10.4 Cashier Management

This group of subfunctions addresses the activities associated with cashier supervision and administration. Specific internal control requirements are detailed in the GAGAS.

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

### 11. Accounting -- Bookkeeping Function

**Description** -- This section covers (1)the financial record keeping and reporting functions commonly performed at the end of an accounting period (e.g., monthly) and (2)the ongoing functions associated with month-end activities. These functions include maintaining account, case, and person financial records; conducting funds transfer and other financial transactions; interfacing with receipting activities to exchange account and

other financial information; and creating reconciliations, statements, reports, and other documents. All subfunctions of the Bookkeeping Function must conform to the accounting standards identified under the General Accounting Function.

**Data Types Used** -- Please see data types in General Accounting Function section.

**Subfunctions** -- The bookkeeping subfunction groups are bank account management, draw-down account management, case account management, distribution account management and funds disbursement, and administrative. Within bank accounts, courts establish other accounts -- generally categorized as draw-down, case, and distribution -- for internal use. Courts also perform reporting and other administrative functions associated with accounting.

### 11.1 Bank Account Management

This group of subfunctions addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts covered later) and performing ancillary tasks, such as accruing interest, reconciling accounts, and creating journals and reports. These standards address accruing interest only at the level of bank accounts but not at the lower levels of the case, party, and other accounts contained in bank accounts. Similarly, the standards do not address interest on delinquent payments.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Case processing or financial</u></b>			
11.1.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk)		all	
11.1.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		all	
11.1.3 print system-wide daily cash receipts journal		all	
11.1.4 output detailed and summary lists of financial transactions (e.g., receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see General Accounting Function and Management and Statistical Reports Function)		all	
<b><u>Financial</u></b>			
11.1.5 calculate and record bank deposits		all	
11.1.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
11.1.7 print bank deposit slips for specific banks and periods		all	
11.1.8 for specific periods: compare court record of checks with bank record of checks; create list of discrepancies, outstanding checks, and current court and bank balances;		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
reconcile bank accounts; create report giving discrepancies for all reconciliations			
11.1.9 create list of items that remain open for accounts that carry balance forward from one period to next period		all	
11.1.10 create trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
11.1.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Accounting -- Receipting Function)		all	
11.1.12 receive bank statements and reconcile bank accounts electronically (see Multi-Function Capabilities and Integration)	yes	all	

## 11.2 Draw-Down Account Management

This group of subfunctions addresses the activities associated with draw-down accounts established by authorized organizations that have frequent business with the courts to cover their court costs and fees. Such organizations include attorneys and law firms, credit reporting agencies, and the media.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>All case processing</u></b>			
11.2.1 debit accounts established by authorized organizations to cover court expenses, and credit organizations' accounts based on electronic funds transfers from their bank accounts, debits from their credit card accounts, and real-time check writing (see Multi-Function Capabilities and Integration)	yes	large	small
11.2.2 identify instances when balances in draw-down accounts are low and accounts require additional funds	yes	all	
11.2.3 provide reports showing transactions on draw-down accounts over user-specified period		all	
11.2.4 allow users to specify that refunds will be credited to draw-down accounts		all	

## 11.3 Case Account Management

This group of subfunctions addresses the activities associated with establishing, tracking, and maintaining case and party accounts; establishing payment schedules and processing installment and other types of payments; posting transactions to case and party accounts; and creating reports and other documents related to case and party account management.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Case processing</u></b>			
11.3.1 maintain financial parts of case files and docket (e.g., payments received, liabilities with linkage to accounts)	yes	all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
receivable in finance) (see Docketing and Related Record keeping Function)			
11.3.2 compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
11.3.3 identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review)	yes	all	
11.3.4 record funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g., for service by law officer for another jurisdiction)		all	
11.3.5 record changes to accounting records that result from court orders (e.g., change in monthly support payment amount) and modify appropriate records		all	
11.3.6 maintain standard tables for court costs and fees (see List of Code Translation Tables)		all	
<b>Case processing or financial</b>			
11.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single party in case, multiple parties in case) case and party accounts when initial fees received for new case (see Accounting -- Receipting Function)		all	
11.3.8 allow user to specify multiple party accounts for each case account		all	
11.3.9 allow payment of costs, fees, and other charges assessed to specific party in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay through)		all	
11.3.10 post case-related receipts to accounting records and docket or register of actions (support payment receipts usually would not be entered in docket); associate receipts with proper case, party, account, or case activity; interact with receipting to accomplish these tasks (see Docketing and Related Record keeping Function)	yes	all	
11.3.11 post case-related disbursements to accounting records and docket or register of actions (support payment disbursements usually would not be entered in docket); associate disbursements with proper case, party, account, or case activity (see Docketing and Related Record keeping Function)	yes	all	
11.3.12 apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
11.3.13 maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are support payment; most other accounts, such as trusts and most escrow accounts, are financial)	yes	all	
11.3.14 output detailed and summary lists of financial transactions (e.g., receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and parties over specific periods (e.g., daily, monthly, for life of case) (see Management and Statistical Reports Function)		all	
<b>Financial</b>			
11.3.15 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements	yes		all
11.3.16 create invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
11.3.17 create correspondence, such as payment notices and dunning letters (see Scheduling Function and Document Generation and Processing Function)		all	
11.3.18 mark case or party account closed or some other designator		all	
11.3.19 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
11.3.20 create periodic (e.g., daily, monthly) report or display showing financial status, Title IV-D status, and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or party account (see Management and Statistical Reports Function)		all	
11.3.21 create other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see General Accounting Function and Management and Statistical Reports Function)		all	
<b>Financial (primarily support payments)</b>			
11.3.22 create payment schedule, collect payments, apply payments received to scheduled amount due (e.g., amount in judgment), and create reports on overdue amounts (e.g., for previously-waived fees)		all	
11.3.23 identify (i.e., input or compute) and record	yes	all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
arrearages, generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency) (see Scheduling and Compliance functions)			
11.3.24 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, attorney fees) garnishments, installment payments, and partial payments (e.g., through memorandum of credit) from juveniles subsequent to judgments (see General Accounting, Hearings, Adjudication, and Disposition, and Compliance functions)		all	
11.3.25 create accounting notices (e.g., for payment, overdue payment) receipting or bookkeeping (see Document Generation and Processing Function)	yes	all	
11.3.26 share information with state agencies to coordinate collection of court ordered payments (e.g., to recover previously-waived fees)		large	small

#### 11.4 Distribution Account Management and Funds Disbursement

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

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Case processing or financial</u></b>			
11.4.1 allow flexible, user-defined and -maintained account structure that permits funds to be allocated to appropriate case cost types and other accounts (e.g., for city, county, state, court)		all	
11.4.2 place hold on disbursements of funds deposited for a case		all	
<b><u>Financial</u></b>			
11.4.3 disburse funds electronically to recipient bank accounts	yes	all	
11.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and create reports (e.g., for each check not cleared over specific period)		all	
11.4.5 electronically authorize and disburse collected fees to other units (e.g., appellate court for appealed cases) (see Multi-Function Capabilities and Integration)	yes	all	
11.4.6 post non-case-related receipts and disbursements (e.g.,	yes	all	

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
for copies) to accounting records and associate with proper account			
11.4.7 compute parts of fees to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula	yes	all	
11.4.8 disburse collected fees electronically according to predefined formula either periodically (e.g., monthly) or when fees received in conjunction with Receipting Function (see Multi-Function Capabilities and Integration, Accounting -- Receipting Function)	yes	all	
11.4.9 create report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation (see Management and Statistical Reports Function)		all	
11.4.10 initiate, print, and disburse sequentially-numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
11.4.11 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	
11.4.12 create pre-check register (e.g., to view checks prior to printing register) and check register over specific period		all	
<b><u>Financial (primarily support payments)</u></b>			
11.4.13 allow multiple pay through cost assessments to be specified for each case		all	
11.4.14 provide capability to issue checks for pay through activities individually or periodically (e.g., monthly) based on accumulated payments		all	
11.4.15 apply installment payments to proper account or activity (e.g., to fees, support owed, or alimony owed)		all	

### 11.5 Administrative

This group of subfunctions addresses the activities associated with creating the various listings and reports that document and coordinate financial activities (e.g., transactions, reconciliations, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually).

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
<b><u>Case processing or financial</u></b>			
11.5.1 for specific periods: create separate reports showing		all	

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

## **12. Accounting -- General Ledger Function**

**Description** -- This section covers the general and subsidiary ledger functions.

**Data Types Used** -- Please see data types in General Accounting Function section.

**Subfunctions** -- The general ledger subfunctions are:

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

## **13. Juvenile Court Support Functions**

Presently, these are notes and excerpts; they should be consolidated, expanded, and refined.

Juvenile Court Support Functions (copied from Functional Groups section)

Juvenile services functions support court case processing throughout the life of a case. Since a juvenile case can involve other governmental agencies, information must be

exchanged and tracked throughout the life of the case. This introduces the following support functions:

- Juvenile Services -- a court support organization that conducts research on juveniles and their families; maintains records on organizations that provide services to the courts (e.g., family counseling, drug evaluation, foster care review, placement and custody evaluation, court appointed special advocate); and helps monitor program (e.g., diversion) outcomes and compliance with courses of action ordered by the court.
- Data Maintenance and Tracking -- an interface function that addresses the accuracy and currency of juvenile data that may change during the life of a case.
- Justice and Social Service Interfaces -- information exchange between the courts and organizations outside the courts regarding their justice, informational, and social services. These organizations include justice (e.g., state and local government attorneys, law enforcement, detention), social service (e.g., youth and family services, child welfare, mental health, juvenile rehabilitation, victims services), and other local and state (e.g., criminal justice units, information clearinghouses) agencies.

While the juvenile court organization may include some juvenile services and justice and social services agencies (particularly probation and detention), court case processing systems seldom support these agencies. These standards, therefore, incorporate the juvenile services and justice and social services agencies as interfaces with the court system and not integral parts of that system.

Types of interfaces (between courts including intake and individual units) and functions performed within individual units; from source documents

WA

- coordinate with court re scheduling (e.g., probation officer availability) and allow access to court schedules and calendars
- allow access to docket information. and case status
- receive status information. from prosecutor, probation, detention, "juv. dept.", others
- send diversion order; receive diversion status
- receive probation information. and display with referrals and, optionally, with court information.
- send probation and detention orders to those units
- send orders to seal specific file, case, referral to probation, detention, "juv. dept."
- send stats. and download (and upload?) data to probation and to state and national juvenile agencies and organizations (e.g., AO, NCJJ)
- receive allegation and reason, citation number, issuing officer and agency, service information from law enforcement
- receive jail booking number, custody status and location from detention
- receive parties and victims names and addresses, bail amount, person identifiers
- coordinate with courts re compliance schedules (e.g., restitution, community supervision, detention), compliance tracking, and associated events

Riverside County, CA

- receive delinquency and dependency history

- send custody orders
- send appearance dates
- receive detention information from detention
- receive placement information
- receive violation of probation information from probation
- receive costs from detention, court appointed attorneys, restitution fines, victim restitution
- receive parent or guardian payment of detention costs, or inability to pay, from detention
- interface with probation re restitution amount, victim information, other fines and fees information, satisfaction of financial obligations
- send pick up order issuance and recall information to law enforcement, prosecutor
- send case, case status, and hearing outcome information to all agencies or allow inquiry
- receive arrest and booking information from sheriff
- send calendar information to law enforcement, detention, social services, and attorneys (e.g., prosecutor, public defender, county attorney)
- send information of filings to social services
- receive updates to social information from social services

#### MO

- receive juvenile history information
- receive information on diversion and other juvenile services programs
- receive changes in allegations to permit tracking of allegations
- intake interact with juvenile services and justice and social services agencies to perform ongoing functions as established by local conventions (e.g., administering court-ordered supervision)
- intake interact with juvenile services to perform intake functions (e.g., informal supervision, shelter care, or temporary protective custody)
- send intake and referral information to outside agencies as necessary for informal adjustment or diversion program, medical or social evaluation
- receive status of custody orders, mental health exams., social reports, wire tap orders, search warrants, investigative subpoenas, probation, program completion
- audit trail of changes to allegations
- receive changes in custody status from detention
- receive changes in placement status from detention, probation, juvenile services
- receive placement lists by facility or agency of juveniles in detention, agency custody, supervision, other type of placement
- receive information (e.g., name address, classification of treatment (e.g., moderate, severe)) of placement facilities
- receive information on status of assignments to juvenile service providers, children and family services agencies, child welfare agencies, and other governmental agencies
- receive status of juvenile in placement facility
- coordinate identifiers (e.g., person)

## AL

- send abuse and neglect information to law enforcement, dept. human resources, other organizations
- interface regarding juvenile justice and social services programs with dept. human resources, law enforcement, juvenile service providers, children and family services agencies, child welfare agencies, other governmental agencies, probation
- integrated index by agency (+ by county throughout state?)

## GA

- record juvenile and family identifiers in state and local registries
- send notices to prosecutor, probation
- receive probation and detention case management information (summaries only?)
- send case and social information (e.g., from intake) to probation
- permit access (inquiry) by court services, justice, social service agencies

## OR

- good interaction with juvenile service providers, children and family services agencies, child welfare agencies, other governmental agencies
- receive criminal history information on family and juvenile and associate with specific juvenile
- receive or access information statewide
- permit inquiries into state and local information repositories

L.A./Ventura CA -- included in above lists

Copied from criminal standards (must be reconciled w/above)

**Description** -- The functions and data associated with interfaces between the criminal case processing system and the criminal support units and CJIS agencies. These interfaces allow courts to share defendant and case information with the support units and CJIS agencies.

Support activities embrace bail and pre-trial services functions, which often accompany case initiation, and pre-sentence investigation and adult probation functions, which may occur during and after disposition. Even though the court organization may contain some support units, their basic functions normally will be supported by separate systems and not by the court case processing system. Interfaces should, however, exist between these separate systems. For example, the probation department and courts usually have separate -- but interfacing -- case processing systems. These standards address support unit functions and interfaces that directly relate to criminal case processing, and this is independent of whether the units, organizationally, are internal or external to the court.

CJIS agencies include law enforcement, prosecutor, public defender, detention, and -- while not formally part of CJIS -- the social service agencies. Courts and each CJIS agency share information and, therefore, supply information to and obtain information

from the CJIS interface. To coordinate this information (e.g., coordinate identifiers and allegations that vary among the courts and CJIS agencies), the standards include data maintenance and tracking subfunctions in addition to subfunctions that address each CJIS agency.

Interfaces between the courts and the support units and CJIS agencies may range from direct system-to-system inquiries to complex data exchange procedures. Regardless of the methodology, sufficient data conversion capabilities must exist to render the interfacing systems compatible. System-to-system -- or database-to-database -- communications could be accomplished using dial-up lines, Internet or intranet, and other network technologies. In order to implement electronic information exchange, courts must establish exchange procedures (see Multi-Function Capabilities and Integration) that are compatible with the case processing system. This document prescribes that these interfaces must exist but not how they will be accomplished. As with other technologies, the interfaces could evolve from rudimentary to advanced using technologies, such as those noted in Related Technical Considerations in Appendix A.

The subfunction descriptions in this section express the interface functions from the perspective of the courts. For example, data that the courts send to the interface is phrased "send information on ... ," data that the courts receive from the interface is phrased "receive information on ... ," and information that the courts should have available for support unit or CJIS inquiry is phrased "allow access to ... ." Most of the interface functions describe which data types are used for a particular purpose.

#### **14. File, Document, and Property Management Function**

**Description** -- The case management system controls (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).

Within the context of this document, file management covers case and juvenile files, family files containing one or more case or juvenile file, and copies of these files stored either manually or on a computer medium (e.g., magnetic and optical disk). These files must be tracked from the time the case is initiated until the files are destroyed. For manual files, this means tracking their physical location during their entire life cycle as active, inactive, archived, and destroyed files. Since multiple users can access electronic files concurrently with no movement of physical files, tracking the physical location of electronic files is relevant only when their storage medium (e.g., magnetic or optical disk) has been moved to an off-line facility (e.g., separate storage location for disks containing archived records).

These standards use “imaging,” “image,” and similar words as generic terms to denote graphical information received, stored, and processed by the system. They generally apply to imaged files without delving into the specifics of an imaging operation (e.g., scanning, retrieval, storage), but they do not assume an imaging capability because that is related technology and not a case processing function (see External Interfaces in the Related Technical Considerations section of Appendix A).

Document management embraces the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities in the above functions as well as additional features, such as document version control and workflow for document routing to specific workstations. At least rudimentary document management capabilities must exist either in the case processing system or in a separate document management system that can interface with the case processing system. In addition to this section, the Document Generation and Processing Function and Security and Data Integrity Function describe these rudimentary document management standards. The Technical Capabilities part of the Uses of Functional Standards section notes advanced capabilities.

Exhibits and other property consist of items submitted to substantiate a juvenile’s case or to provide needed information to the court.

**Data Types Used** -- The data types required by the function; please see Definition of Data Types section for basic contents of each data type.

- file management
- case (standard, support payments)
- party
- exhibits

**Subfunctions** -- Within the File, Document, and Property Management Function, the subfunctions are grouped into file tracking, file archival and destruction, reporting and utility, document management, and exhibit management.

## 14.1 File Tracking

Because many people need to use case files, sometimes simultaneously, the record custodian must know their location at all times during their life cycle. In accordance with local and state 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.

These functions differ depending on whether the files are manual or electronic. As noted earlier, the physical location of manual files must be tracked during their entire life cycle. Conversely, as long as electronic files reside on the system’s primary storage medium (presumably on-line storage), their location need not be tracked. Usually this situation

prevails when the files are active and sometimes when they are inactive (e.g., depending on the reason they are inactive). Archived electronic files usually are moved to off-line storage.

The subfunctions given below cover file tracking through the life cycle of case files -- when they are active, inactive, archived, and destroyed -- to the extent local and state rules allow for these life-cycle stages.

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

## 14.2 File Archival and Destruction

Both manual and electronic case files pass from active to inactive status, and eventually they may be archived and ultimately destroyed (or totally purged if an electronic file). The case management system must maintain a complete record of the chain of custody and location of every file until it is destroyed, at which time a permanent record of the file's destruction must be created. These records must conform to local and state rules for record retention and destruction. Juvenile case files usually remain active until the case is statistically closed (see Case Close Function). At a later time, such as when the case becomes operationally closed, the files become archived and eventually destroyed or purged. The court sometimes orders a file expunged, which results in the file's destruction and removal of all information that would identify the file.

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

### 14.3 Reporting and Utility

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

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

#### 14.4 Document Management

Document management is used in this document to refer to those unique functions required for the management of electronic documents to ensure their availability, readability, reliability, and completeness and to ensure a trust relationship is maintained between the system and the user.

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.4.1 support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range)		all	
14.4.2 support retrieval of specific document directly from other parts of system (e.g., docket) without intermediate steps (e.g., without scrolling through document list to select given document)		all	
14.4.3 provide capability to toggle between views of several different documents		all	
14.4.4 provide capability to interface in user-transparent manner with document management system that is separate from case processing if case processing system excludes document management capabilities		all	
14.4.5 provide capability to use either same document management system for imaging or user-transparent interface between separate document management and imaging systems (and between these system(s) and case processing system) if imaging included in overall case processing		all	
14.4.6 support manipulation and maintenance of electronic or imaged documents (e.g., to create documents that include parts of several electronic or imaged documents such as document that combines standard text, variable data, imaged photograph on pick-up order (or warrant); see Document Generation and Processing Function)			all

#### 14.5 Exhibit Management

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

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description,);; create receipt for submitting party		all	
14.5.2 create exhibit and property numbers or other locally-defined identifiers	yes	all	
14.5.3 tag exhibits and other property (i.e., relate to specific case or person or record as general-purpose exhibit; mark for		all	

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

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

**Description** -- These activities must ensure 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 in accordance with state and local statutes through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software. Audit trails must be maintained for all electronic data managed by the system.

Court users have the least restrictive and the public the most restrictive security and data integrity. The system's security and data integrity capabilities also must address official system users such as public and private agencies charged with child protection, state and local government agencies, state and local government attorneys, law enforcement, and public and private mental health agencies. The following three basic levels of user roles define the following protection for the system and its data and documents:

Role 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.

Role 2 -- For official users outside the court who frequently submit filings and need information from the system, 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., role 1 users would be permitted to enter data and documents directly into the system).

Role 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.

Superimposed on the privileges and restrictions defined by the above three user roles are the security and integrity provisions assigned to specific case types, parts of cases (e.g., child name), cases with special restrictions (e.g., sealed cases), device (e.g., terminals, PC's) locations, and system operations (user access and command privileges).

Direct access to the official database of record maintained by the system should be restricted to role 1 above. All public access to the database must be limited to a replica database maintained outside the firewall of the system. Electronically-filed documents and information must be buffered and controlled by an approval and acceptance process executed by court personnel. State and local rules of procedure designate which individual roles or users are to be considered "court personnel."

**Data Types Used** -- potentially all

**Subfunctions** -- Security and Data Integrity subfunctions are:

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
15.1 perform locally-defined edit and data validation checks, such as content of individual data field (e.g., proper format for a date) and relationship of data field to other data (e.g., date of answer or response after date filed)	yes	all	
15.2 identify mandatory entries and invalid entries	yes	all	
15.3 ensure electronic pleadings and orders cannot be modified	yes	all	
15.4 ensure modification of other electronic records restricted to administrative information with proper authorization except as described below	yes	all	
15.5 base access and similar privileges on authorizations defined, maintained, and controlled by specific users (e.g., access authorization tables; see List of Code Translation Tables)		all	
15.6 provide secure passwords for user with authorized periodic password changes		all	
15.7 provide list of user identifiers and audit trail of user identifier changes and deletions		all	
15.8 restrict access to specific case types, case categories, cases, persons, files, documents and other parts of files, related cases and persons, and system functions (e.g., scheduling)	yes	all	

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

<b>Subfunction</b>	<b>Auto</b>	<b>Mand.</b>	<b>Opt.</b>
Disposition functions)			
15.19 provide adequate security and data integrity if public access allowed (e.g., exclude juvenile names from public index, view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access		all	
15.20 allow authorized user correction of individual or groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently-entered cases to be changed)		all	
15.21 provide audit trails that show which users and workstation locations logged on to system, when they logged on, what parts of system and database they accessed (e.g., to prevent browsing), and who was denied access during specified period; permit audit trails to be stored, archived, and purged		all	
15.22 maintain and output audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see Docketing and Related Record keeping Function)	yes	all	
15.23 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data, such as permitting access authorization tables and cash register totals to be reconstructed)		all	
15.24 provide for file backups without interrupting normal operations	yes	all	
15.25 restore programs, data, and data relationships erroneously modified or deleted (see Docketing and Related Record keeping Function)		all	
15.26 provide capability to merge person information when duplicate data exists for given person (i.e., various identifiers for given person must be correlated)		all	
15.27 provide ability for user to define automatic log off after prescribed period of inactivity	yes	all	
15.28 ensure clarity of all system-created messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight invalid entry, display most probable valid entries)	yes	all	
15.29 output information on transactions received, transactions accepted, transactions rejected over specific time period (see Management and Statistical Reports Function)		all	
15.30 output information on data entry errors including description of error and identification of data entry operator		all	

Subfunction	Auto	Mand.	Opt.
(see Management and Statistical Reports Function)			

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

**Description** -- These reports provide 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:

1. The case processing system must satisfy state and local statistical reporting requirements;
2. The system must create management reports;
3. These management reports must be defined according to local needs;
4. Most management reports must be available in detail (information on individual cases or persons) and summary (information and tallies on groups of cases, persons, or events) form;
5. Management reports must allow system users to obtain information on all or specific groups of cases or persons when they request a given report;
6. Most statistical and management reports must be available periodically and when requested
7. Some user-specified statistical and management reports must be automatically created at pre-set times.

The reports should be by-products of case processing data already in the system with nothing entered specifically for reporting purposes. Users should, therefore, determine their 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.

Court personnel must have the discipline to specify only the reports they intend to use regularly because excessive pre-programmed reports will adversely affect system performance and prolong system development. Additional reports may be obtained if needed on an ad hoc basis using report generation software described in Appendix A.

While the standard output method would be printed reports, at least summaries of the information 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 a real-time display and to extract files for transfer to other systems or Internet posting.

This section is intended to help user and technical personnel begin this process by listing 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 given above and the lists of possible reports in the remainder of the section. The now-familiar subfunction tables are irrelevant here.

***Data Types Used*** -- all

***Subfunctions*** -- The statistical and management information subfunctions are:

### 16.1 Statistics

As a by-product of day-to-day case processing, the system creates statistics for local use and to satisfy the reporting requirements of the judicial branch and state agencies and the federal government for child support, child welfare, and adoption cases. These statistics appear in reports that are either created locally by the case processing system or at the state level by a system there after being sent from the local courts. The mandatory 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., delinquency, status, child abuse and neglect within the juvenile case type) 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 (i.e., cases with an ultimate resolution) 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 days, for 60 days, for 90 days), case age at disposition (e.g., ultimate resolution within 60 days, within 120 days, within 180 days), number of pending cases at each proceeding stage (e.g., number of pending awaiting answer or response, awaiting mediation, awaiting trial), and average time intervals between preceding stages (e.g., between initial filing and shelter care hearing).

Workload analysis presents statistics for each case type and, in many instances, case category 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).

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

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

To create statistics that transcend the local juvenile case processing system, statistical reporting must occur from the local system to the local, state, and possibly national levels. To satisfy this requirement, electronic interfaces should exist between local systems and systems of at least the local and state court administrators. Also, the system must be capable of verifying data sent to judicial branch and state agencies using techniques, such as aggregate totals.

## 16.2 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 create, 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.

Some management reports are pre-programmed into the case processing system, and some are created on an ad hoc basis (see Inquiry part of Multi-Function Capabilities and Integration and Report Generation part of Related Technical Considerations in Appendix A). The judges and other managers in each court must decide which reports they need on a regular basis, and these reports would be pre-programmed. Invariably a court will need additional reports as conditions, personnel, and preferences change, and those additional reports can either be programmed or created on an ad-hoc basis and saved.

### ***Case Information***

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

### ***Financial Information***

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

### ***Person Information***

- docket contents (persons) -- gives docket contents for specific persons (i.e., juvenile, party, attorney), groups of persons, or all persons in single or multiple cases;
- upcoming events (person) -- reports all or most significant events in upcoming period by person;
- past events (person) -- reports hearing attendance and participation in other significant past events by person;
- judge assignment -- tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;

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

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

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

- calendar modifications -- tracks and reports calendar modifications (e.g., judge or courtroom reassignments) over specific period.

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

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

- ultimate resolution and disposition ratios -- gives percentages of allegations or cases with ultimate resolutions or dispositions by ultimate resolution or disposition type;

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

- system usage audit trail -- provides audit trail reports that show (1) which users and workstation locations logged on to system during specified period; (2) file additions, modifications, and deletions including who made entry, when entry made, whether dates entered and filed differ; and (3) transaction and data entry errors including error description and operator;
- system users -- provides information on active and inactive users;
- case inventory -- provides periodic inventory of cases in system;
- duplicate information -- provides periodic inventory of duplicates (e.g., cases, persons) in system;
- case file location -- reports, by file or person who checked out file, physical location of each manual case file and how long file has been checked out;
- case property location -- reports, by exhibit or property or person who checked out exhibit or property, physical location of each exhibit or property, how long exhibit or property has been checked out, and whether exhibit or property has been disposed or destroyed.

**(see DRDET2.DOC for previous management & statistical reports section)**

***List of Code Translation Tables (goes in table of contents as a TOC2 entry + all table entries not previously indexed are candidates for index)***

Most modern systems save storage space and expedite data entry by using various types of codes instead of their corresponding -- and generally more lengthy -- 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 juvenile 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., petitioner, respondent, third party) (see Definition of Data Types earlier in this document for additional party and participant information);

business 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, ADR, dismissal, 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;

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

case type -- such as probate, civil, criminal, traffic;

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

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

court identifiers -- such as general jurisdiction court, limited jurisdiction court, small claims court;

courtroom identifier -- such as courtroom #5 in a particular city or county as identified in the city/county table;

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

courtroom type -- such as 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 juvenile cases in a particular city or county as identified in the city/county 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 A);

disbursement type -- such as disbursements from accounts (e.g., for fees allocated according to state, county, city formula; for undistributed or unclaimed funds);

disposition type -- such as nature of disposition (e.g., assigned to foster home) and associated court event (e.g., trial, ADR, transfer out to another jurisdiction, transfer for criminal prosecution, dismissal, withdrawal, conference, diversion, consolidation) (includes disposition of allegations and cases);

document template type -- such as each type of blank document into which users enter information including input documents (e.g., 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 pick up orders, summons, subpoenas, notices, orders, and other documents created by court;

event type -- such as petition filed, answer or response filed, motion hearing scheduled, trial scheduled, trial held, case disposed (see Definition of Data Types earlier in this document for additional event information);

exhibit -- such as type, status, location, test results (see Definition of Data Types earlier in this document for additional exhibit information);

exhibit retention -- 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 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 docketing 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 initial petition, answer or response, petition for dismissal (see Definition of Data Types earlier in this document for additional filing information);

hearing status -- such as vacated, held, continued;

holidays -- such as weekends and the other locally-observed holidays;

judge -- such as names, identifiers, availability (e.g., reviews cases in chambers each Wednesday afternoon), expertise to hear certain types of cases, and other information on each judge (see Definition of Data Types earlier in this document for additional judge information);

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, ADR, 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 law enforcement, prosecutor, public defender, detention, and social services agencies;

ledger type -- such as general, subsidiary;

minute 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);

minute orders -- such as minute order types and formats;

motion type -- such as demurrer, 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 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, nolo contendere, not guilty by reason of insanity;

program type -- such as counseling, foster home;

referral reason and type -- such as court ordered, petition;

referral and petition source -- such as agencies that can submit referrals and petitions

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);

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, 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 respondent for juvenile cases) (see event driven systems covered in Related Technical Considerations in Appendix A);

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 petition filing);

zip codes -- such as intra-state zip codes and related locations.

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## JUVENILE STANDARDS APPENDICES

### *Appendix: Definitions (to be provided)*

### **Appendix A: 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 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 standards, 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.

#### ***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 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 Technical Capabilities in Uses of Functional Standards section, Inquiry, and Report Generation parts of Appendix A, 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, juvenile justice agencies (including juvenile probation and juvenile corrections), child protective services, social service agencies, schools, and treatment facilities 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),
- advanced software (i.e., compared to capabilities in Hearings and General Accounting functions) that permits judges to examine implications of hypothetical judicial orders through calculations and "what if" scenarios (e.g., use of aggregate restitution amounts from various victims/incidents to calculate monthly restitution payments) and insert chosen option into word processing documents, court orders, and reports;
- 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 such as by using reporter electronic data interchange (REDI) or courtroom administrative data interchange (CADI) technology to transfer relevant parts of verbatim record to court minutes);
- 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 Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Integration of case processing system with *graphics* software to permit displays of system information (e.g., summaries of court calendars and statistics);
- 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 Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Integration with other technologies and systems to coordinate scheduling automatically (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update schedules of, prosecutors, public defenders, juvenile probation officers, child protection case workers, attorneys, etc.), email (see Technical Capabilities in Uses of Functional Standards and Multi-Function Capabilities and Integration in Standards for Individual Functions), and jury

management systems (in states which provide for jury trials in delinquency and/ child abuse/neglect matters); and

- Document printouts on special-purpose paper and forms (e.g., multi-part forms and mailers).

### 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 statewide, the state judicial branch, litigants, the public, attorneys, state agencies, and other individuals and organizations. The technologies include:

- Electronic access to dockets, documents, and other court records by attorneys prosecutors, public defenders, juvenile probation officers, child protection case workers, attorneys, and other official users employing dial-up lines, Internet or intranet , 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 prosecutors, public defenders, juvenile probation officers, child protection case workers, attorneys, , and the general public employing voice response technology, kiosks available to the public, Internet, 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, facsimile transmissions, electronic mail, and other technologies to avoid pre-printed forms;
- Integration of case processing system with input and output needs of physically challenged 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 of non-English speaking persons (e.g., 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);
- Compatibility with local, state, and federal standards (e.g., with respect to attorney identifiers and **reporting requirements**);
- Accounting interfaces in accordance with local and state standards:
  - Payments by the public using voice response technology, kiosks available to the public, Internet, 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 litigants, 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 juvenile probation departments, child protection agencies, school, public mental health agencies, service providers, etc. )
- 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 Function discuss these capabilities.

## ***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 (e.g., soundex), 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, other events 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;
- Retrieved information presented in variety of user-defined formats and groupings (e.g., by date range or party);
- User option to print any display; 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.

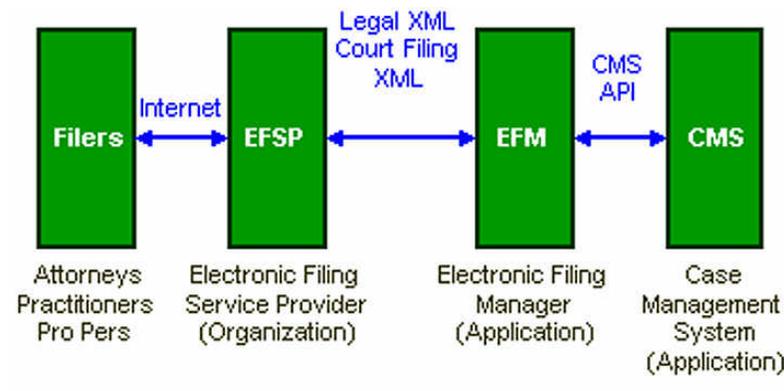
Users often need printed reports on a one-time basis to respond to questions from legislators, the press, and judicial managers. They must be able to obtain these reports in a timely manner, which usually precludes the lengthy turnaround time required to write customized programs. A possible solution is report generation software that -- like the inquiry software noted above -- allows users to 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, some users may misinterpret data and produce reports that, unbeknownst to those users, are meaningless, and data usage may be inconsistent. To avoid these types of problems, control must be exercised over ad hoc report creation and generation. 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 (see section on Technical Capabilities in main part of document).

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 (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.

## Appendix B: Electronic Filing

Current electronic filing efforts are based on a model developed in the Legal XML community. Legal XML is a non-profit organization comprised of volunteers from private industry, non-profit organizations, government, and academia whose efforts are to develop open, non-proprietary technical standards for legal documents. Because components of this XML concept can change, the reader should review [http://www.ncsconline.org/D\\_Tech/Standards/Standards.htm](http://www.ncsconline.org/D_Tech/Standards/Standards.htm) before starting a new design or a modification of an existing design. The Legal XML Electronic Filing concept model is depicted in this diagram.



The components of this model are:

- **Filers.** Attorneys, law firms, litigants, state and county agencies, or anyone who has cause to file documents with a court.
- **EFSP (Electronic Filing Service Providers).** These are business entities that provide electronic filing services and support to their customers (filers). They provide a means for filers to submit documents to courts, electronically forward those filings to courts, and direct responses from courts back to the respective filers. Given the advent of open standards and a level playing field with universal electronic access to courts, it is assumed that many providers will develop applications for electronic filing. They will offer a range of services and products designed to attract specific segments of the market, ranging from large to small law firms, solo practitioners, or anyone who wishes to file court documents.
- **EFM (Electronic Filing Manager).** This is a software application that accepts XML from an EFSP, analyzes it, passes data to the CMS, saves documents if the CMS is not itself equipped to do so, and returns XML-formatted CMS-generated data to the EFSP. To the extent that the XML is standardized statewide, any EFSP should be able to interact with any EFM, and therefore with any court CMS interfaced to an EFM application.

- **CMS (Case Management Systems).** These are the applications courts use to track and manage caseloads (a heterogeneous CMS environment is assumed). So that EFMs can be readily connected to CMSs, case management systems will need to support an API (Application Program Interface) designed to talk with EFM applications. Developing an API is a job for CMS vendors or court software developers or their contractors. It is also possible that, over time, various vendors will embed the EFM function in their CMS products.

Many electronic filing applications allow filers to communicate directly with an EFM as well as through an EFSP. This technical approach to court filings establishes the basis for a competitive, market-oriented environment ultimately enabling any filer or EFSP to exchange filings with any court.

In time, the EFM module of an electronic filing system will become an integral feature of the case management information system. System designers should include this CMS module in their long-range development plans. In the short term, a case management information system must provide an application program interface to an external EFM module. Any CMS must be capable of interacting through such an API with any EFM system.

The CMS should also include a "delayed docket queue" capability which (1) serves as a cache of electronically filed documents and associated cover sheet information received by the court but not yet entered on the docket or register of actions, (2) gives a court clerk the ability to review the submitted document together with the submitted cover sheet information to determine their acceptability for entering on the docket or register of actions, and (3) allows the clerk automatically to accept, reject, or modify the proposed docket entry or new case information supplied on the cover sheet and accept, reject, or hold the document submitted for filing. This delayed docket queue is an essential quality control component of an electronic filing system but should be a component of the case management information system rather than the electronic filing application.

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