

Functional Requirement Standards for Traffic Case Management Systems

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Introduction and Definitions

Most case processing systems are either case oriented or person oriented, which means that the basic processing unit is either the case or the appropriate “person data types” in the case. Regardless of the orientation, cross-references must exist to connect each case and its appropriate “person data types”. Case processing systems generally are case oriented, but since much information pertains to an individual defendant, most traffic systems regard each defendant -- and the charge(s) associated with that defendant for a given incident -- as a separate case.

Case

This group consists of the traffic case data type, the charge(s) that initiate the case, and the conviction(s) and sentence(s) that terminate the case.

- Case -- includes case categories (e.g., traffic, misdemeanor,), and maintains information on each case such as case number, type, status, and style; court; initial filing information; and cross references to person data type, and other data.
- Charge -- data on each charge and count within the charge for a given defendant including incident information; statute, fingerprint, and other identifiers; offense date, time, and location; arrest, booking, and custody information; fingerprint identifier; modifications; and disposition information.
- Conviction and Sentence -- data on the conviction and sentence for each charge and count within the charge for a given defendant including sentence type (e.g., restitution, jail, suspended, fine, probation, work program), conviction and sentencing dates, sentence details (e.g., fine amount and payment schedule, restitution program), incarceration and probation information, sentence start date and duration, time served or excludable as of current date, and consecutive or concurrent sentences with respect to other charges and counts.

Person

This group consists of data types that contain information on judge, defense attorney, prosecutor, victim, defendant, witness, and participant in a case. In certain instances this document will refer to “person data types” which is defined as any one or more of the following seven (7) defined individuals.

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

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

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

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

- Prosecutor -- is defined as an elected or appointed official, representing the government, and charged with the responsibility of pursuing legal remediation regarding the crime(s) with which the defendant is charged, in a court of law. The term prosecutor may include a private citizen who is authorized to perform this legal function by state law.

Information on each prosecuting attorney might include: name, type, government entity, location(s), email address, voice and facsimile (fax) telephone numbers, bar association linkages, bar numbers, bar status, and other information with cross references to other data such as on assigned cases.

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

Information might include: name, address(es), phone number, and other information appropriate to identify and notify the individual.

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

Information might include: name, address(es), phone number, and any and all information necessary to positively identify the individual as appropriate which should include biometric identifiers, with cross-references to other pertinent information as required.

The use of biometric identifiers and personal identifiers must be consistent with National Crime Information Center (NCIC) demographics standards listed in FBI Criminal Justice Information System (CJIS) [Electronic Fingerprint Transmission Specification \(EFTS\)](http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm) (you can find this document at: <http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm>) or its subsequently updated publication(s).

As listed in the FBI CJIS EFTS ([you can find this document at http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm](http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm)), these mandatory information fields, when available should be included; originating agency identifier, name, sex, race, height, weight, hair color, offense code, (date of offense, warrant, or violation), originating agency case number.

In addition, as listed in the FBI CJIS EFTS ([you can find this document at http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm](http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm)), these optional information fields when available should be included; place of birth, date of birth, eye color, skin tone, (scars, marks, tattoos, and other characteristics), fingerprint classification, warrant number, court identifier, social security number, FBI number, state identification number (SID), personal identification number (PID).

Where Personal Identification Number (PID) – is an identification number assigned to a defendant that will be used to reference that particular defendant throughout a case history database, all references to that defendant will contain this number and this number is assigned by the governmental agency maintaining this database.

And State Identification Number (SID) – is an identification number assigned to a defendant that will be used to reference that particular defendant throughout a case history database, all references to that defendant will contain this number and this number is assigned by the state level governmental agency maintaining this database and is intended to be used by all courts, criminal support units, CJ agencies, and non-justice agencies such as social services within that state.

Additional detailed information on each defendant including statewide and other jurisdictional identifiers should be included where available, including; prosecutor, defense attorney, corrections or parole/probation officer, known address(es), custody status; prior arrests, convictions, and other criminal history data; and cross references to case, charge(s), participant, defense attorney, financial, and other information.

- Witness -- is defined as the individual or individuals who have evidence to present in regards to the alleged crime, defendant or both, in this case at law.

Information might include: name, address(es), phone number, and other information appropriate to identify and notify the individual.

- Participant -- is defined as an individual or organization that is a contributor in this proceeding, including the Judge, Defense Attorney, Prosecutor, Victim, Defendant and Witness. Other participants are court officer, court staff, translator, mediator, as well as personnel from pre-trial intervention, pre-trial services, and police or other law enforcement, corrections, and parole/probation. These organizations can include bail or bonding organization, support units, employer, credit agency, advocacy groups and institutions that work with defendants (e.g., non-justice agencies, community or public service agencies).

Information on the individual, their organization or both, to include name, type of participant, address(es), and appropriate cross references to case, other participants, financial, and other information as required.

Event

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

- Filings -- data on each citation, pleading and other document (e.g., complaint, petition) filed with the court including document type; filing date; filing individual or agency; method of filing; and follow-up actions with cross references to case, financial, document generation, and other information.
- Plea -- data on each plea for a given defendant including defendant, charge and count, plea type, date of plea, and other information with cross references to case, defendant, and other information.
- Disposition -- data on each disposed case (i.e., case for which any type of disposition resulting from a court decision has been rendered) including defendant, charge and count; nature of disposition; date of disposition; other information in minutes; and cross references to case, "person data types", hearing, financial, minute, charge, conviction and sentence, and other information.
- Sentence -- data on a disposed case resulting from a court decision that identifies the remediation ordered by the judge (e.g., fine, incarceration, public service, probation) and any special judicial orders attached (e.g., no contact with victim, payment of restitution) to that sentence.
- Post sentence -- data on any type of post-conviction activity (e.g., reduction of sentence, withdrawal of guilty plea, failure to pay fine) including date of activity; judge; and cross references to case, defendant, disposition, financial, and other information.
- Scheduled events -- data on each scheduled event (e.g., hearing dates, deadlines for submission of documents and exhibit, completion of diversion programs) including identification of the event; date, time, and location of the event; participants in the event (e.g., defendant, witnesses, interpreters); 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, evidence and exhibits are heard and examined by a judge including court events -- such as trials, motion hearings, and sentencing hearings -- and other judicial proceedings -- such as conferences aimed at plea agreement), including type; scheduled and actual dates and times; judge; location (e.g., courtroom type and its location); prosecutor, defense attorneys; results; and cross references to case, defendant, other participant, and other information.

Document and Report Generation

This section contains information about official court documents, such as orders, warrants and other served documents (e.g., subpoenas), notices, and reports that summarize case activities.

Orders – are generally document types signed by a judge. Orders can be signed in court during a hearing (e.g., fine, sentence, continuation), or signed in chambers (e.g., for bail and bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment). Orders can also be intermediate judicial decisions and prescribed actions generally directed to either the prosecution or the defense that specifies action to be taken or compliance required by those parties.

- Warrants and other served documents (e.g., subpoenas) -- data on each served process (i.e., documents served by law enforcement officer or other authorized process server with return of service) including type of process; recipient; method of service; date of service; return of service; other status data; and cross references to case, participant, and other information. Case management applications must allow for the maintenance of information regarding the specifics of all warrants and their status. As the clerk of court's responsibilities generally include the "ownership" of any automated case management system as keeper of the "official judicial record" of actions, then any maintenance of associated warrant and warrant status information should also fall to the clerk of courts. It is incumbent on the clerk of courts to maintain all warrant information as up to date as possible considering the "warrant's" capability of depriving an individual of their freedom.
- Forms and other documents issued by court -- data on each such document (i.e., documents given to an individual or sent by mail with proof or certificate of service such as notices) including type of document; recipient; proof or certificate of service; information on scheduled event; status and status date; and cross references to case, participant, and other information.
- Management and statistical information -- detail (e.g., case-by-case) and summary (e.g., overall for all cases in a given category) information with cross-references to all of the above data types.

XML Standards

You can find relevant XML standards by researching the following locations:

<http://it.ojp.gov/global> ---GJXDM

http://www.ncsconline.org/D_Tech/Standards/Standards.htm ---court filing

http://xml.gov/documents/in_progress/developersguide.pdf ---Federal Developers Guide to XML

<http://www.diffuse.org/meta.html> ---Meta Data Standards and 11179 standard

Statistical Reporting

The local court statistical reporting should conform to the NCSC statistical reporting documents:

- NCSC web site:
http://www.ncsonline.org/WC/Publications/KIS_CtStatReport2003Pub.pdf
- or the traffic specification:
http://www.ncsonline.org/D_Research/Statistical_Reporting_2003/TrafficForm.xls

The Federal Regulations for the Commercial Driver's License Program

The federal regulations for the commercial driver's license program can be found in 49 CFR Parts 383 and 384. The latest version of these regulations can be accessed through the Federal Motor Carrier Safety Administration's web site at: www.fmcsa.dot.gov. On the home page, the user should click on 'Rules and Regulations' in the left column. Then select and click 'Rules and Regulations/Interpretations - FMCSRs.' Then select and click on Part 383 or 384.

Considerations Before Using These Standards

While some individual functions in this document may be directly transferable to systems development documentation and RFP's, the functions should not 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 produce system development documentation and RFP's.

Some instances in the subfunction tables that use ambiguous or vague terms to accommodate local customization are:

Subfunction number	Situation regarding Ambiguous or Vague Terms
1.1.2	Separate identifier for each defendant
1.1.5	Originating Agency Identifier (ORI) codes.
1.1.7	unique court identifiers
1.1.8, 11.1.13	Other identifiers as needed
1.1.9	external agency identifiers
3.1.2, 3.3.11	Locally defined time standards
3.1.4, 21.1.11	Security rules based on local procedures
1.1.13	Locally defined case number format

Subfunction number	Situation regarding Ambiguous or Vague Terms
2.1.5, 3.1.17, 3.3.2, 3.4.1, 3.4.11, 9.1, 9.3, 11.1.5, 11.1.19, 12.2.3, 12.3.6, 12.3.7, 12.3.17, 13.2.4, 13.2.6, 13.3.9, 18.10	Locally defined statutes and business rules
1.1.14, 2.3.4, 19.2.4	Locally defined validation checks
2.1.9, 4.1.6, 6.5, 7.3, 8.2, 13.3.8, 14.2.1, 14.2.2, 14.2.4, 16.2.5, 17.2, 18.2, 18.11, 18.15, 18.16	In accordance with state and local statutes, rules, or procedures
4.1.4, 4.3.2, 6.3	User defined form templates
11.2.3	User defined receipt numbers
13.3.10, 13.4.4, 17.3	Locally defined parameters
12.2.13, 18.14	Local jurisdiction reporting needs
16.1.3	Locally defined preferences
18.10	State and local requirements
19.1.11	Security
1.1.10	Locally defined procedure
3.4.9	Locally defined ticklers
1.2.1	Locally defined index
1.1.11, 1.1.20	Locally defined tables

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 in 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 (RFPs) for vendor-supplied systems.
- Auto - in this column, “yes” indicates functions that should be automated as described above; otherwise, the column is blank.
- Mandatory - some subfunctions represent mandatory capabilities that would be performed in any civil case processing system (denoted by “all” in this column); some represent capabilities that would be mandatory only in large courts (denoted by “large” in this column); some represent capabilities that would be mandatory only in small courts (denoted by “small” in this column); and some represent capabilities that would seldom or never be mandatory but would be optional (denoted by a blank in this column and an entry in the optional column described below).
- Optional - notations in this column are analogous to those in the mandatory column described above.

While the case processing system performs all subfunctions covered in this volume, some subfunctions must be preceded or followed by manual procedures. (Note 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 description calls a subfunction automatic, it means that the subfunction is invoked and performed with limited or no user intervention. Other subfunctions—those not called automatic—normally are performed entirely or mostly automatically, but are invoked manually.

The table below illustrates the rules for table entries. For example, subfunction 1 is not necessarily automated and is a mandatory standard for civil case processing systems in large and small courts; therefore it is optional in none of these types of courts. Subfunction 2 is automated and, because of the nature of the subfunction and the fact that it is automated, is mandatory only in large courts; it is an optional standard in small courts. Subfunction 3 is automated and, like subfunction 1, is a mandatory standard in large and small courts. Subfunction 4 is not necessarily automated and is an optional standard in large and small courts; it is a mandatory standard in neither of these types of courts.

Table 1 – Rules for Table Entries

Subfunction	Automatic	Mandatory	Optional
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

1. Case Initiation and Indexing Function

1.1 Case Initiation

New traffic cases are entered into the court automated case management system so that information and filings (e.g., citations/ticket, complaints) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. Cases can be initiated in a traffic and criminal traffic jurisdiction court by a complaint or citation/ticket.

These entries conform to locally used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, basic case information). 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, a case file, and defendant identification information that conforms to NCIC standards at both the general and limited jurisdiction court levels.

Subfunction	Auto	Mand.	Opt.
1.1.1 Verify case is filed in the proper jurisdiction or retains jurisdiction from an external source	Yes	all	
1.1.2 Assign separate identifier or receive identifier for each defendant from Criminal Justice (CJ) agency (e.g., <i>driver's license number, biometric or SSN</i>)	Yes	all	
1.1.3 Constant data carried forward to subsequent screens (e.g., <i>defendant, citation and/or case number</i>)	Yes	all	
1.1.4 Permit access to information through multiple search criteria (e.g., citation number, case number, name, assigned judge or magistrate, attorney, hearing date, filing date, violation date, case type, address, date of birth, drivers license number, and social security number.)		all	
1.1.5 Enter or track all relevant Originating Agency Identifier (ORI) codes			all
1.1.6 Ability to use the mandatory Federal Information Processing Standards (FIPS) for geographic location of offense			all
1.1.7 Enter unique court identifiers (e.g., <i>district court</i>)		all	
1.1.8 Capture or allow entry of other identifiers as needed (e.g., <i>of prosecutor, defense attorney, law enforcement</i>) and establish relationships with participants		all	
1.1.9 Ability to accept and cross-reference required external agency identifiers for incident/case and protect against duplicate unique identifiers			all
1.1.10 Associate each defendant with a case using locally-defined procedures including the ability to perform functions to search for a person already in the system		all	

Subfunction	Auto	Mand.	Opt.
1.1.11 Ability for user management team to define statute/ ordinance tables (<i>e.g., offense code, descriptive text, bail amount, model driver violation code, effective and expiration date, severities,</i>) as well as NCIC (National Crime Information Center) offense codes and NIBRS (National Incident Based Reporting System) codes. (NCIC and NIBRS are not consistent, so the local jurisdiction may need to select which code to use)		all	
1.1.12 Capability to interface with external agencies (<i>e.g., DMV</i>) to collect prior traffic history		all	
1.1.13 Generate and assign case number using locally defined format and procedures (<i>e.g., separate case number for each incident or offense, or for each incident or offense and each defendant</i>)	Yes	all	
1.1.14 Conduct locally defined validation	Yes	all	
1.1.15 Ability to edit citations and track changes during case initiation when it is entered in error (with appropriate security)		all	
1.1.16 Provide the ability to have user-defined types of cases (<i>e.g., traffic, parking, criminal traffic, civil and other</i>)		all	
1.1.17 Ability to enter all charges (initial and modified) filed at case initiation and subsequently	yes	all	
1.1.18 Generate acknowledgement for appropriate attorneys and participants that case filing was received and accepted, and provide assigned case number	yes		yes
1.1.19 Support differential case management (<i>e.g., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases</i>) and other case management methods tables			yes
1.1.20 Generate locally defined case title or style (<i>e.g., short phrase that identifies case</i>) from individual names and other information	yes	all	
1.1.21 Prompt user when cases, defendants or participant/or participants already exist that relate to new case (<i>e.g., defendants involved in other cases, aliases identified by pre-trial services unit</i>), followed by user-initiated search for duplicate participants, that user can transfer into current case if appropriate to avoid data entry (<i>e.g., using participant names, addresses, and other identifiers noted above</i>)	yes	all	
1.1.22 Ability to assign case based on circuit or judicial district boundaries, when a district is composed of several counties, cities, and courthouses		all	

Subfunction	Auto	Mand.	Opt.
1.1.23 Ability to display all cases for a defendant and to create or link groups of related cases, defendant, and participants (e.g., several incidents filed against same defendant, multiple defendants involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, or participant in group		all	
1.1.24 Assign case by court type, judge, location, department, courtroom AND/OR other appropriate entities based on established relationships	yes	all	
1.1.25 Create docket or register of action with case initiation information including basic case information (e.g., case type, case category, case status, case title or style, “person data types”, roles, organizations with primary contact individual)	yes	all	
1.1.26 Enter role of participant as individual (e.g., Ann Smith) or organization (e.g., Acme Investigative Service) with primary contact person if an organization		all	
1.1.27 Ability to designate the nature of the relationship between cases (e.g., codefendants, multiple cases against same defendant.)		all	
1.1.28 Initiate case with minimal information to be updated later (e.g., allows cases initiated with cash bail, forfeiture information and bonds) and then flag these incomplete cases and track them		all	
1.1.29 Provide text and bar code labels or future technology for attachment to case folders, for documents to be served, and for subsequent filings		all	

1.2 Indexing

The index contains a limited amount of information about each case. It is created at case initiation; maintained throughout the locally defined life of a case; and used to help locate information on cases, defendants, and participants with follow-up inquiry against the full database using information obtained during the index search.

This function is meant to duplicate the manual index that is still required by statute in many states. This manual index was placed on the front counter for the public to review. Because state statutes still require this index, this function is intended to satisfy that statute requirement as well as to expand the function for inquiry.

Subfunction	Auto	Mand.	Opt.
1.2.1 Create and maintain locally defined index of information required by local statutes that (1) contain index information (<i>e.g., each defendant and participant name, date of birth, defendant charges role in case, and whether defendant has a defense attorney; case type; case number, and other identifiers; alias(es); date filed; and cross reference to another defendant and participants in case;</i> (2) permits database look up by a choice of selection criteria (<i>e.g., participant name, participant role, case filed date range</i>) and, if record found		all	
1.2.2 Provide search and retrieval by identifying specific criteria (<i>e.g., participant name, role, case filed date range</i>) and then obtaining index information by selecting from list of matching cases		all	
1.2.3 Allow easy navigation to other parts of system (<i>e.g., docketing, scheduling, calendaring, accounting, and criminal support functions</i>) for all related case and financial information (<i>e.g., on specific case, "person data types" and on other cases related to specific "person data types</i>) and with the inquiry and report generation capabilities for more varied displays and reports		all	
1.2.4 Automatically update index. (<i>e.g., based on occurrence of specific case events motions filed, dispositions decided</i>)	yes	all	
1.2.5 Provide for print, reprint, and display of index information sorted by the content of the various components of index (<i>e.g., defendant, case number, case status, citation number</i>)		all	

2. Docketing and Related Record Keeping Function

2.1 Static Case and Other Case Event Information

The system creates the docket (or register of actions in some jurisdictions) using entries made during case initiation and supplemented by subsequent user entries. The docket contains information on basic historical case information. Additional information is recorded as the case progresses and events are completed. Some events may trigger an update to the case information in the docket. Event entries generally are not updated unless they have been entered incorrectly; subsequent events are entered separately.

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

2.2 Related Record Keeping Functions

The system must maintain numerous relationships for single and multiple cases and all related individuals, (e.g., a defendant involved in a single incident or one defendant involved in multiple incidents). The capability to establish and apply such relationships greatly assists users in entering and synchronizing data throughout the system. As information is added in the system or changed in any way, either automatically by the

system or manually, a complete transaction history must be maintained in order to reverse entries in the event of an error.

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

2.3 Input/Output Management and Views

A group of utility-type subfunctions support input to and output from docketing and other functions. These subfunctions support code translation tables, user prompts, audit trail, docket (or register of actions in some jurisdictions) displays, and forms. As information is routinely added, changed, and deleted during the normal operation of the clerical functions associated with case processing, it is important that certain data be displayed in

a consistent manner. The information that provides identification of the case and other information necessary to expedite the management of the case have frequently been referred to as “Header” information (see earlier section titled Static Case Information). A more descriptive name for case information displayed on the screen is “View”, with the “View” containing more than just case identification information.

While case identification information remains important, there are other data (that vary from one court to the next) that denote specific information about the case that must be taken into account for efficient case management (e.g., last scheduled event; next scheduled event; judge; case status; custodial status of the defendant, pre-trial supervision restrictions). This primary “View” should provide the aforementioned information (at a minimum) in a customizable format and should link to associate “Views” that provide additional detail information as needed. Additional “Views” might include a “Synopsis View” that would give a snapshot of relevant information about the case as specified by the clerk. A “Booking History View” would include information about this case and other cases in which the defendant has been charged. A “Related Cases View” may provide information from the “Booking History View” in addition to any related civil, juvenile, or criminal cases scheduled in other courts. A “Defendant History View” may include full criminal history information from all jurisdictions and agencies. These “views” into the database should be controlled by the user security level in the database.

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

3. Scheduling Function

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, participants, and cases) that relate to each other.

Subfunction	Auto	Mand.	Opt.
Event deadlines			
3.1.1 Allow the user management team to define initiation of automated scheduling processes based upon locally defined business rules		all	
3.1.2 Schedule events or groups of events according to statutory and locally mandated time standards for cases (e.g., <i>the application automatically schedules the first traffic court event or confirms requested date</i>) and must include ability for manual override		all	
3.1.3 Allow for in-courtroom scheduling of the next case event and generation of the appropriate notices (<i>i.e. status order, arraignment or judgment information, etc.</i>)		all	
Judicial proceedings			
3.1.4 Automatically schedule the next logical event based upon the outcome of the currently scheduled event (<i>e.g., the entry of a continuance as the disposition of a hearing should automatically schedule the next hearing</i>)	Yes	all	
3.1.5 Ability to schedule multiple cases, participants, and types of events for the same scheduled date and time (<i>e.g., arraignments regarding an incarcerated defendant for single or groups of related cases</i>) on a single screen or in a single transaction		all	
3.1.6 Ability to schedule groups of related cases as if group were a single case (<i>e.g., multiple defendants involved in same incident</i>)		all	
3.1.7 Ability to selectively group multiple cases for scheduling, condition monitoring, and obligation fulfillment purposes		all	
3.1.8 Ability to suggest resolution to scheduling conflicts, allowing user overrides		all	
3.1.9 Ability to schedule maximum number of cases for specific time interval by event type (<i>e.g., hearing in custody, out on bail</i>) but provide for manual override	Yes	all	

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

3.2 Person and Resource Assignment

This section covers functions for assignment of participants and resources in creating reliable schedules.

Subfunction	Auto	Mand.	Opt.
All judicial proceedings			
3.2.1 Maintain availability information on selected participants, court facilities, and other scheduling factors (<i>e.g., weekends, holidays, and other days generally unavailable for court activities and days specific individuals are unavailable</i>)		all	
3.2.2 When creating schedules, consider (1) availability of selected participants and court facilities; (2) scheduling conflicts to extent information in system (<i>e.g., all law officer and witness schedules will not be in system</i>), but allow manual scheduling at user discretion in spite of conflicts (<i>e.g., conflicts due to judicial absences, prosecutor and defense attorney vacations, law officer schedules</i>)	yes	all	

Subfunction	Auto	Mand.	Opt.
3.2.3 Allow automated electronic transfer of selected participants scheduling data from other agencies in order to schedule court events. <i>(e.g., police officers' schedules)</i>	yes		all
3.2.4 Relate one or more judges to courtrooms, locations, and departments		all	
3.2.5 Allow the user management team to define the sequence of events in any case track for differentiated case management			all
3.2.6 Relate one or more judges to calendar blocks over specified time frames <i>(e.g., in court with rotating judge assignments, a specific judge hears traffic cases during a given period)</i>		all	
3.2.7 Relate one or more judges to departmental staff resources <i>(e.g., bailiffs)</i>		all	
3.2.8 Reassign individual or group of open cases from one judge or calendar to another as if group were single case <i>(e.g., judge retires or moves to appellate court)</i>	yes	all	
3.2.9 Assign related cases, as designated by user, to same judge and group together on schedule <i>(e.g., multiple complaints regarding same problem or individual)</i>		all	
3.2.10 Allow the application of the same update to numerous cases <i>(e.g., mass reassignment of cases from one judge to another or from one prosecutor to another)</i>		all	
3.2.11 Ability to electronically notify (e.g., email) automated scheduled court dates to the court participants <i>(e.g., police and prosecutor,)</i> as well as the cancellation or modification of those court dates	yes		all

3.3 Schedule and Case Management

The case processing system must provide a flexible format, user-defined printouts and displays of scheduling information in various groups (e.g., by day, judge, courtroom or court branch). The system also must accommodate different methods for managing cases (e.g., fast track for time-sensitive filings, specific judicial assignment for specific types of cases) and provide other support functions.

Subfunction	Auto	Mand.	Opt.
Judicial proceedings			
3.3.1 Produce (including ability to reproduce, redisplay, or reprint) schedules for various individual events, participants, hearing types, dates, and facilities upon user request sorted by various criteria (<i>e.g., judge's calendar by day</i>)		all	
3.3.2 Allow the user management team to define hearing load and balance formulas based on locally defined business rules		all	
3.3.3 Allow override of predefined hearing load and balance formulas		all	
Either event deadlines or judicial proceedings			
3.3.4 Ability to maintain and produce information on scheduled events for a case (<i>e.g., next scheduled event, all scheduled events</i>)		all	
3.3.5 Ability to view all cases for a chosen court within a date range		all	
3.3.6 Ability to easily view the calendar of different courtrooms by day, by week or by month			all
3.3.7 Allow the user management team to define the number of days between triggers for differential case management and time standards as needed and automatically generate events, alerts and document production		all	
3.3.8 Generate docket entry based on scheduled and completed events as appropriate	yes	all	
3.3.9 Support differentiated case management methods (<i>e.g., schedule events within various sets of differential case management rules</i>); able to track the first case event or pre-case event which can be used to link case events, sub-events and sub-event components	yes		all
3.3.10 Track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions (<i>e.g., by automatic assignment, on-line edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days</i>)	yes	all	

Subfunction	Auto	Mand.	Opt.
3.3.11 Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines	yes	all	
3.3.12 Ability to track and display or print calendar modifications (<i>e.g., judge, or other persons, or courtroom reassignments, cases taken off calendar</i>) over specific period		all	
3.3.13 Ability to add or delete time slots		all	
3.3.14 Ability to undo re-assignments and/or reset to original with automated notice generation for rescheduled cases		all	

3.4 Ticklers, User Alerts, and Prompts

The computer should generate ticklers, 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. It is helpful in the completion of compliance and fulfillment information for all components of an event be able to trigger a completion at the sub-event level (*e.g., once a defendant has made all necessary time payments, automatically update the sub-event known as “fine” and indicate the payment has been fulfilled*).

Subfunction	Auto	Mand.	Opt.
<u>Either event deadlines or judicial proceedings</u>			
3.4.1 Provide tickler capability based on locally defined business rules; ability to prompt for the next logical activity when an event is entered or a condition is satisfied then notify user and allow overrides; identify events coming due or overdue; periods about to expire or expired (<i>e.g., time in days or hours for next appearance, or delivery of a pretrial report to the judge, or delivery of a driving record to the judge, etc.</i>); and events of which user should be aware (<i>e.g., approaching maximum number of continuances, note reason for longer expected trial; notify users; and initiate proper functions</i>)	yes	all	
3.4.2 Permit system-wide date and time default format; System accepts date and time in any conventional format (<i>e.g., military time</i>) and converts to default format			
3.4.3 Prompts date and time default values when entering date and time		all	
3.4.4 Allow user management team to define frequency of prompts at user level; user can set special alerts and remarks which can be printed on calendars and displayed on courtroom display screens			all

Subfunction	Auto	Mand.	Opt.
3.4.5 Allow user management team to define structure, content, and intrusiveness of ticklers, alerts, and prompts at user level			all
3.4.6 Provide system-defined visual and/or audio reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees message	yes		all
3.4.7 Display alert to a user not authorized to see a portion of or a field within a record (e.g. clerk views a sealed document)	yes	all	
3.4.8 Display alert when displaying cases or portions of cases that are not public record or have restricted access (e.g., when clerk views a juvenile traffic case, psychological evaluations)	yes	all	
3.4.9 Allow locally defined ticklers, alerts, and prompts for purposes including a Special Needs Flag (e.g., the need for interpreter, disabilities or other special needs), or Jury Requested Flag	yes	all	
3.4.10 If the violation occurred in a commercial motor vehicle, and/or the defendant holds a commercial driver’s license, issue an alert that federal guidelines apply to the case. In this situation the system should “look-up” the federal regulations or State statutes regarding commercial driver offenses and provides those to the Judge if requested by the Judge (the federal regulations for the commercial driver's license program web site link can be found in the Introduction)	yes	all	
3.4.11 Ability to block the acceptance of future payments by check and trigger a returned check alert. The duration of the block period against the issuer will be defined by local business rules	yes	all	
3.4.12 Alert the user to any active internal warrant on the defendant should a user access data about that defendant		all	
3.4.13 Alert the user to any extra-jurisdictional active warrant on the defendant should a user access data about that defendant		all	
3.4.14 System should scan the vehicle description for words that identify a Commercial Motor Vehicle (CMV) (e.g., Peterbilt) to make sure the CMV box is marked to identify the citation as a CMV violation. If the vehicle is a CMV and the CMV box is not marked then prompt the user to verify the accuracy of the CMV box	yes	all	
Judicial proceedings			
3.4.15 Generate display of available slots on prospective calendar and prompt when approaching maximum number of events normally permitted (e.g., based on case type, case category, event type)	yes	all	

Subfunction	Auto	Mand.	Opt.
3.4.16 Generate prompt when resources (<i>e.g., participant, court facilities, and other scheduling resources</i>) unavailable	yes	all	
<u>Event deadlines</u>			
3.4.17 Alert clerk when a case has been filed with “no scheduled next event”	yes	all	
3.4.18 Permit the user management team to employ “if, then” and “if, then, unless” business rule conditional statements in event generation		all	
3.4.19 Allow supervisor at appropriate level to turn alerts on and off		all	
3.4.20 Generate alerts when scheduled payments not made (<i>e.g., for unpaid assessments now due</i>), and prompt user to take appropriate action (<i>e.g., refer to collection agency or law enforcement</i>)	yes		all

3.5 Conducting Courtroom Sessions

Subfunction	Auto	Mand.	Opt.
3.5.1 Provide the ability to process no-show cases based on pre-defined business rules. (<i>e.g., default judgments, suspension</i>) but allow the user to override		all	
3.5.2 Track attendance of participants and staff at a hearing		all	
3.5.3 Allow display or reprint of notices from a list of notices		all	
3.5.4 Ability to schedule one or more cases to a specified scheduled court date by entering a specified court date and then entering the case and attorney		all	
3.5.5 Automatically print, store and docket court documents based on court events	yes	all	

4. Document Generation and Processing Function

4.1 Document Generation

This category consists of documents generated by the system including those that typically are served by a process server, such as a law enforcement officer, and those that are simply mailed or given to a defense attorney, or participant. The application shall provide access support for court templates and digitized documents.

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

Subfunction	Auto	Mand.	Opt.
4.1.9 Perform document generation, print, and distribution functions for group of related cases as if group were single case		all	
4.1.10 Generate mailing labels		all	
4.1.11 Ability to print, display and reprint selected notices from a list of notices		all	

4.2 Warrants, Summons and Subpoenas Generation and Processing

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

4.3 Document Utilities and Processing

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

Subfunction	Auto	Mand.	Opt.
4.3.1 Ability to integrate with user defined word processing package (e.g., Word and WordPerfect) to generate documents		all	
4.3.2 Ability to create and maintain files of output templates and standard text, including entire “boilerplate” paragraphs, and use files to (1) create official court documents by inserting CMS information (e.g., <i>addresses, names, alias</i>) and graphics into templates (e.g., <i>warrants and other served documents (e.g., subpoenas), with text and images of court seals and signatures</i>) and (2) create other documents consisting of text, graphics and/or CMS information (e.g., <i>case brief progress reports on plea agreements, some types of notices</i>)		all	
4.3.3 Maintain files of standard text and use to create entire documents or to insert text into “boilerplate” court forms		all	
4.3.4 Ability to print date and time in any conventional format (e.g., <i>the default format could be mm/dd/yyyy but could be printed as January, 1, 2004</i>)		all	

5. Calendaring Function

Hearing schedules (see Scheduling Function) provide the source information that enables the Calendaring Function to produce court calendars. The Calendaring Function accepts schedule information from the Scheduling Function, combines it with information from other functions (e.g., basic case information from the Docketing and Related Record Keeping Function, judges notes described below), and arranges the information into the calendar format.

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

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

6. Hearing Function

The hearings subfunctions in the table should accommodate various types of hearings and conferences (e.g., jury trial, non-jury trial, motion hearing, pre-trial and plea agreement conferences, sentencing hearing). Those that apply to all types of hearings or to a particular type of hearing are so noted.

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

7. Disposition Function

The disposition subfunctions could apply to a case or defendant to individual charges within a case (e.g., when some, but not all, charges have been disposed for a defendant with multiple charges). For each individual defendant, each charge must be disposed before the entire case can be recorded as disposed. Information usually should be recorded on the disposition of each charge and of the entire case.

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

8. Compliance Function

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

9. Case Close Function

The case close subfunctions would either be performed separately in the Case Close Function or in a continuum consisting of the Disposition Function and the Case Close Function.

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

10. General Accounting Function

The general subfunctions below are either common to more than one accounting section or cannot be categorized into one of those sections. All of the accounting functions must comply with local and state audit rules.

Subfunction	Auto	Mand.	Opt.
<u>Either financial, case processing, or both</u>			
10.1 Comply with generally accepted accounting principles (GAAP and GASB) for governmental entities (which imply courts work with local or state agency to define applicable GAAP and GASB processes)		all	
10.2 Allow authorized user to adjust or correct any data supplied automatically by system prior to posting (<i>e.g., default entries, funds distribution according to pre-determined formula</i>) and provide audit trail of these transactions		all	
10.3 Support trust fund (<i>e.g., moneys held in trust that may be disbursed upon court order or for services rendered including general, attorney fees, and safekeeping trusts</i>) accounting (<i>e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures</i>)		all	
10.4 Prevent financial transactions from being dated and posted to a closed accounting period	yes	all	
10.5 Establish interface between Accounting (particularly Receipting and Bookkeeping) and Traffic Support functions to collect and generate receipts for bail monies, disburse funds (<i>e.g., to defendant who posted bail, to court for court costs, to other participants, suspend disbursements, record bail forfeiture monies as revenue, disseminate bail register</i>)		all	
10.6 Interfaces that allow for the collection and receipt of fines, fees, and bonds by non-court persons or companies, should prohibit the deletion or modification of financial or other case data within the security matrix	Yes	all	

11. Accounting -- Receipting Function

Description -- This section covers the receipting functions, (i.e. funds collection, receipt generation, cashier close out, and cashier management). Receipting functions usually are performed at the cashiering station of the front counter in the clerk’s office. However, some jurisdictions who are now using the Internet to enable people, especially traffic offenders, to “pay the ticket” (court fees and fines) over the Internet have shown a significant increase in timeliness of payments and amounts paid as well as a decline in court appearances and work at the counter in clerks offices.

11.1 Funds Collection

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

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

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

11.2 Receipt Generation

This group of subfunctions addresses the activities associated with generating and printing receipts for payments from defendant and their representatives.

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

11.3 Cashier Close Out

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

Subfunction	Auto	Mand.	Opt.
All case processing			
11.3.1 Maintain bookkeeping information on receipts and disbursements (<i>e.g., payer, payee, receipt number, case number, purpose of payment or disbursement</i>); permits decentralized cashiering and supports multiple cash drawers and multiple cashiers		all	
11.3.2 Allow a user with appropriate security level to correct transactions while maintaining an appropriate audit trail		all	
11.3.3 Compute totals, list transactions, and balance for each cash drawer, register, cashier, and payment (<i>e.g., fee, fine</i>) type; cash drawer balancing includes case number, cashier, Defendant last name, user; date; time; receipt number; payment type; user totals; and user voids; the application generates a teller report, which minimally displays the revenue distribution for each payment		all	
11.3.4 List contents of each drawer (<i>e.g., cash, checks, credit card receipts, fee waivers, money orders</i>)		all	
11.3.5 Produce summary for each cashier including totals for each type of payment (<i>e.g., cash, checks, credit card receipts, traveler's checks, money orders</i>)		all	
11.3.6 List any discrepancies between payments, receipts, defendants, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment		all	
11.3.7 Permit individual cashiers to open and close as needed (<i>e.g., when several cashiers work different shifts at same register during same day</i>)		all	
11.3.8 Suspend cashier operations multiple times during day (<i>e.g., close without balancing to permit lunch and other breaks</i>)			all
11.3.9 Permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		all	

11.4 Cashier Management

This group of subfunctions addresses the activities associated with cashier supervision and administration.

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

12. 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 producing reconciliation, statements, reports, and other documents.

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 may establish other accounts, generally categorized as draw down, case, and distribution, for internal use.

12.1 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 producing journals and reports. These standards address accruing interest only at the bank account level.

Subfunction	Auto	Mand.	Opt.
Case processing or financial			
12.1.1 Establish, maintain, and track various types of bank accounts (<i>e.g., interest bearing, non-interest bearing, payment, pay-through, funds held short-term by clerk</i>)		all	
12.1.2 Post interest accruals to bank accounting records (<i>e.g., interest accrued daily to overall account, such as for all trust accounts</i>)		all	
12.1.3 Print (including ability to reprint) system-wide daily cash receipts journal		all	
12.1.4 Produce detailed and summary lists of financial transactions (<i>e.g., fee, fine, restitution receipts, disbursements, interest accruals, voided transactions listed by type or chronologically</i>) for specific accounts over specific periods (<i>e.g., daily, monthly, for life of case</i>)		all	
12.1.5 Provide a process that should include but not be limited to identifying NSF checks		all	

Financial			
12.1.6 Calculate and record bank deposits		all	
12.1.7 List bank deposits in various groupings (<i>e.g., totals for cash, check, credit card</i>) showing account in which funds to be deposited		all	
12.1.8 Print (including ability to reprint) bank deposit slips for specific banks and periods		all	
12.1.9 Produce reconciliation report for each bank account for specific time period		all	
12.1.10 Produce outstanding check report		all	
12.1.11 Produce trial balance (<i>e.g., at end of month before posting to general ledger</i>) and balance reports for each account over specific period		all	
12.1.12 Total and reconcile receipts over specific period for multiple cashiers to calculate bank		all	
12.1.13 Receive bank statements and reconcile bank accounts electronically	yes		all

12.2 Case Account Management

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

Subfunction	Auto	Mand.	Opt.
Case processing			
12.2.1 Maintain financial parts of case files and register of actions (<i>e.g., payments collected, liabilities with linkage to accounts receivable in finance</i>)	yes	all	
12.2.2 Automatically populate appropriate fees/costs (not fines) based on violation and allow for clerk override	yes	all	
12.2.3 Populate appropriate fines based on violation and local business rules and allow for clerk override	yes		all
12.2.4 Compute and display costs and fees based on occurrence of specific event (<i>e.g., traffic school, warrant issuance, subpoena.</i>)	yes	all	
12.2.5 Track fee waivers and deferrals	yes	all	
12.2.6 Track funds collected by external agencies for the court and update the register of actions for specific case			all
12.2.7 Ability to establish a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories paid to state and county criminal justice agencies		all	

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

12.3 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).

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

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

13. Accounting -- General Ledger Function

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

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

13.2 Accounting Subfunctions:

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

13.3 Collection Management

A court may handle collections in-house or through an outside agency. Due to contract and policy changes, it should be recognized that at any given time active collections accounts could be spread over multiple outside agencies and in-house collections.

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

13.4 Miscellaneous Processing

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

14 File, Document and Property Management Function

Within the File, Document, and Property Management Function, the subfunctions are grouped into file tracking, file archival and destruction.

14.1 File Tracking and Storage

Because many people need to use case files, sometimes simultaneously, the court staff 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 or custody of the records is accepted by the official state archivist.

These functions differ depending on whether the files are paper or electronic. As noted earlier, the physical location of paper 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, depending on the reason they are inactive. Archived electronic files usually are moved to off-line storage.

The subfunctions below cover file tracking through the life cycle of case files, active, inactive, archived, or destroyed. Specifics of case file life cycles are likely to be governed by local and state rules.

Subfunction	Auto	Mand.	Opt.
14.1.1 Provide capability to track files (<i>e.g., barcodes and smart chips</i>) and generate labels	yes		all
14.1.2 Track paper files from time checked out of clerk's office through each borrower (including those external to courts such as prosecutor) until returned to clerk's office			all
14.1.3 Identify location (<i>e.g. storage facility, location in facility</i>) for paper files (<i>e.g. ,details about case storage box, including box#, data and box code; re-evaluate case information and set a new box date</i>)	yes		all
14.1.4 View and print list of cases which are to be moved to off-site storage based on user defined parameters			all
14.1.5 Provide ability to track multi-volume files			all
14.1.6 Provide ability to flag electronic files when paper copy file has been reported lost			all

14.2 File Archival and Destruction

The normal progression of case files, both electronic and paper, through an automated case management system requires movement from an active to an inactive status. Depending on variations in local rules and state law or administrative rules, the paper files are then archived and perhaps, stored off-site for an indeterminate amount of time. While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary. In the rare situation when a file, paper or electronic, is ordered expunged, that file must be processed according to state statute.

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

15. Document Management

Document management in this section addresses the rudimentary document management capabilities for electronic and imaged documents (with the proviso that these standards do not assume an imaging capability) received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems.

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

16. Case Management Navigation Function

Traffic case processing includes but is not limited to the following navigation sub-functions: answering inquiries, completion of filing entry, case inquiry, managing cases, and managing case defendants.

16.1 Answering Inquiries

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

16.2 Case Inquiry

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

16.3 Managing Cases

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

16.4 Managing Case Defendants

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

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

17. Information Sharing

Computer information systems have made great strides in improving many court processes. Yet, despite efforts to automate some of the office workflows, the court often finds that as a result of the increasing demand for records, disposition statistics, financial collection and distributions, clerks need to depend upon the agencies that generate citations for passing data and data quality.

The ability of any vendor's software to collect, store and forward electronic document and case information is fundamental, and should be a primary function of the court's case management system.

The average citizen's introduction to the judicial branch is through the lower courts. Minor claims and traffic court records require the greatest information sharing effort. More data flows into and out of the traffic case type than any other case type. Municipal and traffic court records affect the broadest spectrum of databases.

The goal is the creation of standards that would encourage information sharing readiness. This means both re-thinking and raising the bar for court case management systems. The electronic sharing of information greatly improves the quality and completeness of everyone's data.

Nationwide, traffic clerks access, enter or report into 15 different informational systems. The overall picture of a clerk's informational processing involves working with and using the state's motor vehicle records, local law enforcement citation information, bond and jail booking information, local and state accounting/financial systems, the judge's calendaring program, National Crime Information Center (NCIC) and reporting information to the State Administrative Office of the Courts (AOC).

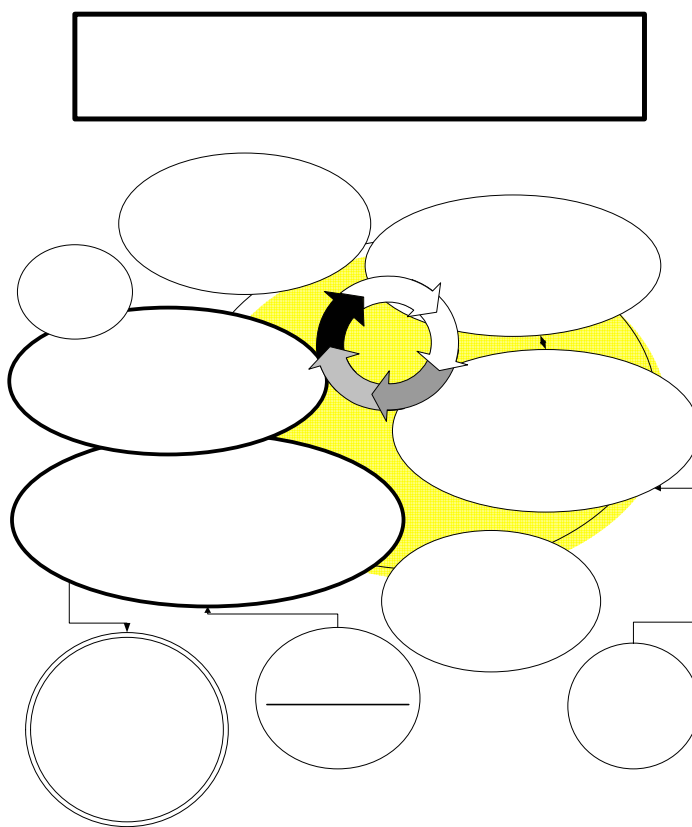
In addition, court clerks interact with prosecutor's case management systems, public defender systems, Uniform Crime Reporting (UCR) and DUI/Drug Court statistical collection tracking systems, State Police citation systems, GIS systems, highway safety systems tracking of DWI and blood alcohol concentration, NICS and NIBRIS. Clerks also schedule details entering information into shared calendars software viewed by judges, court support personnel, and law enforcement and others.

Data sharing allows limited resources to be more efficient and effective simply because the information can be entered once.

While many courts have made significant investment in hardware, in rural areas little automation of record management little automation for data sharing between agencies can be found. Usually there is much cooperation among the various agencies with their paper records, but little planning for information sharing among existing systems. This is driven by budget constraints as well as time constraints. Older technology structures and processes are constrained. Information exchange can facilitate the challenge automating

manual processes and a can serve and to overcome the myriad mix of networks, platforms, and applications that impede the exchange of data.

Each court may be different to some extent, but the flow of information depicted in the following diagram occurs for (de-criminalized and criminal) traffic case files either by ASCII, comma delimited file transfer, XML, or manual re-keying.



17. Information sharing subfunctions

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

18. Reporting Includes Management and Statistical Reports

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

Subfunction	Auto	Mand.	Opt.
18.18 Ability to display and print a detail and summary aging report for a specific date range (<i>e.g., all accounts, one defendant, pay status or month</i>)		all	
18.19 Ability to generate a report indicating the revenues for a specified date range which apply to the city, county and state		all	
18.20 Produce reports (including ability to reproduce or reprint) showing cases that will be or have been archived or destroyed		all	
18.21 Produce statistics on electronic transactions received, accepted and rejected over specific time period		all	

19. Application Security and Data Integrity Function

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

19.1 Security

Description -- Security for the purpose of this document refers to the ability of the case management system to insure that all data elements and records remain unchanged due to unauthorized access or other human intervention including any unauthorized addition, modification, or destruction of case management data.

Security levels should be maintained by the system administrator to support the membership of users in any number of privilege profile groups. (e.g., at least 3+ levels of security access to the data). Serious consideration must be given to the requirement of a special lowest level of security for those courts that will allow unsecured access to viewing case information. Depending on the type of user, the system and its data and documents must be protected at a minimum of three basic levels. The following is an example of a security profile:

- Level 1 -- For court users (e.g., clerk's office staff) -- who individually has different privileges on the system but collectively can enter data and documents, access most data and documents, and change some data and documents -- the system, data, and documents must be protected from unauthorized access and erroneous entry.
- Level 2 -- For official users outside the court who frequently submit filings and need information from the system (e.g., defense attorneys of record), there must be protection from access to unauthorized parts of the system, from submission of erroneous data and documents, and from direct entry of data and documents (i.e., Level 1 users would be permitted to enter data and documents directly into the system).
- Level 3 -- For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing limited parts of the system's data and documents.

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

Subfunction	Auto	Mand.	Opt.
19.1.11 Allow user management team (<i>e.g., court management team, system administrator</i>) or designee to determine access levels to specific groups of information (<i>i.e., victim, witness, juvenile victim, and juvenile witness</i>) in order to comply with locally defined procedures as they pertain to witness and victim protection	yes	all	
19.1.12 Support secure access by authorized non-justice agencies for the maintenance of compliance data resulting from court orders	yes	all	
19.1.13 Provide a screen banner notifying authorized users that their activities may be monitored by system and management personnel		all	
19.1.14 Provide field level security		all	
19.1.15 Provide security for standard and ad hoc reporting		all	

19.2 Integrity

Description -- Integrity for the purpose of this document refers to the ability of the case management system to insure that all data elements and records remain unchanged due to any outside influence (*e.g., power outage, operating system inconsistencies or problems, data back-up and recovery operations*). This ensures the integrity of the case management system, its data, and its documents during normal operations and after a system failure or outage. It is accomplished through a combination of features in the case management application software, the normal computer hardware and system software, and special-purpose hardware and software.

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

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

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

Subfunctions -- Integrity subfunctions are:

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

Appendix 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, moreover, may represent emerging and unproven technologies and should simply be monitored for future inclusion in the system. This monitoring should include knowledge of any standards (e.g., for individual schedulers, Internet markup or tagging, electronic signatures) applicable to these technologies.

These other capabilities are not part of the functional standards, however, 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, printer output, and other input and output methods set forth in the functional requirements section of this document, 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;
- Integration of case processing system with modern courtroom technologies that assist in judicial decision making by gathering and displaying on-line information from other courts, criminal support units, CJ agencies, and non-justice agencies such as:
 - displays that judges can read easily and quickly (e.g., bar or pie charts, thermometer- or speedometer-type displays),
 - consolidation of multi-system or multi-database information on one display for easy assimilation,
 - computer-searchable records of proceedings (e.g., court record, judge's notes),

- software that permits judges to examine implications of hypothetical judicial orders through calculations and “what if” scenarios (e.g., time implications of concurrent and consecutive sentences; trade-offs between different combinations of fines, restitution, and work programs) and insert chosen option into word processing documents, court orders, and reports;
- Integration of case processing system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recording; correlation of video recordings with court record and judge’s notes; and single recordation of proceedings with multiple uses in court record, judge’s notes, orders, and other documents);
- Integration of case processing system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to case processing system and then to edit text);
- Data capture and file and property management using bar code, optical character recognition, and other technologies;
- Document capture, storage, and retrieval using imaging;
- Information capture and conversion to data and word processing formats using optical character recognition (OCR);
- Integration of case processing system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets;
- 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;
- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judges’ schedules, extracts of tagged parts from Internet-based court calendars to update Police Officer schedules); 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, 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, defendants, the public, attorneys, state agencies, and other individuals and organizations. The technologies include:

- Electronic access to dockets, documents, and other court records by attorneys of record, credit agencies, domestic relations service providers, and other official users employing dial-up lines, Internet or intranet usage, and other technologies;
- Electronic access to selected court records (e.g., calendars and other event schedules, payment schedules, payment status, account status,) blank forms, and instructions (e.g., document submission procedures) for on-line use by external agencies,

- attorneys' offices, title companies, academic researchers, self-represented defendants, and the general public employing voice response technology, kiosks available to the public, Internet usage, electronic mail, and other technologies;
- Distribution of blank court forms (e.g., to attorneys' offices for use in submission of hard copy pleadings) using Internet or intranet usage, facsimile transmissions, electronic mail, and other technologies to avoid pre-printed forms;
 - Integration of case processing system with voice and telephone technologies not requiring the use of keyboard and other input devices to accommodate a diverse customer base including physically challenged persons;
 - 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., GJXDM for XML standards, NIBRS);
 - Accounting interfaces in accordance with local and state standards:
 - Payments by the public using voice response technology, kiosks available to the public, Internet usage, and other technologies
 - Enhanced and expanded use of electronic funds transfer over standards described in Multi-Function Capabilities and Integration and accounting functions. This could include payments from defendants, attorneys, banks, collection agencies, and others and transfers to state and local agencies, attorneys, vendors, banks, collection agencies, and others
 - Electronic interface for records access and comparisons (e.g., between courts and banks, credit agencies, and other financial institutions)
 - Electronic check processing (e.g., endorse back of checks and money orders in addition to recording and listing transactions and printing receipts); and
 - Use of more sophisticated modern technology for functions that already are standards described in the functional requirements section. 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).

Inquiry

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

- Easy-to-use queries created by users with minimal training;
- Inquiry as stand-alone function or subfunction of case processing system data entry;
- Varied and flexible inquiry keys (e.g., case number, case type, party, attorney, event) and other search criteria as noted below;
- Variety of user-defined searches including phonetic, Boolean logic, substituting “wildcards” for a limited number of unknown characters, date range, and progressively more detailed queries;
- Inquiry and retrieval of individual database items or groups of database items (e.g., individual or multiple judges, attorneys, parties, cases, dockets, calendars, hearings, judicial proceedings and their results, tickler information);
- Retrieval of information on related events (e.g., all docket entries pertaining to particular hearing type for specific case, all pending motions in case for which new motion filed);
- Retrieval of information on related cases;
- Scroll backward or forward through information retrieved through inquiry;
- Simple arithmetic calculations (e.g., add, subtract, multiply, divide) available to operate on retrieved information (e.g., elapsed days from arrest to first appearance);
- Retrieved and calculated information presented in variety of user-defined formats and groupings (e.g., by date range or party);
- User option to print any display (including ability to reproduce, redisplay, or reprint) ; and
- Modification of displayed information and sorting options on some display screens with proper user authorization.

Report Generation

Typically, IT personnel create many reports for users that become operationalized or run on a one-time or limited use basis. Programmed reports generally cause no problem assuming they do not proliferate and IT technical resources are available. The same cannot be said of their ad hoc reports requested by users or users who request report writing capability.

Users often need printed reports for process related questions or to respond to questions from legislators, the press, and others. They must be able to obtain these reports in a timely manner needing to minimize lengthy turnaround time that historically has been required to write customized programs. The solution is report generation software, like the inquiry software noted above, that allows users to retrieve information and create their own reports. While this approach is appealing to users who want reports with no IT intervention, it often leads to problems for IT: the volume of reports created and run by users inundates the computer and causes processing deadlines to be missed. Possible

solutions are for IT to use the software to create and run reports for the users or to utilize query optimization software that minimizes response time or create a database separate from the operations database for users to execute reports.

The tradeoffs of the various report generation approaches must be considered as part of any evaluation report writing tools that 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;
- Ad hoc and standard reports produced locally or exported to other offices and jurisdictions for printing;
- User ability to save ad hoc report formats they created for future use; and
- User option to display whatever is to be printed either as a normal display or as a print preview.

System Capabilities

Technical systems functions and capabilities comprise the final group of related technical considerations, which, once again, are not functional requirements. While the functional requirements address case processing functions and their subfunctions, technical systems functions and capabilities address hardware, system software, and design issues. As with the other related technical considerations, the admonition to consider the implementation and maintenance impact is extremely relevant here. The items in this group include:

- Need for scalable systems that can efficiently support small, medium, and large courts. For example, large court systems may need to support multiple court divisions and locations. Conversely, small court systems may need to support user interfaces and processing geared to only a few court divisions with 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 and service oriented architecture.
- Need for assistance from the system in automatically scheduling events based on completion of prior events (e.g., deadline for response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully-functional event driven systems provide this capability -- primarily in some large courts -- by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available. Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. (The standards in

this document call for capabilities that address a few functions of these event driven systems within individual functions based on the completion or scheduling of specific events. This partial functionality generally applies to courts of all sizes. Examples are (1) updating case indexes, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees.

- Items that the user should be permitted to define either when the system is implemented or on an ongoing basis such as code structure (i.e., what will be represented by codes) (e.g., events, results of events, attorneys, party type), and notice and receipt formats.
- What the system defaults to initially or when there is no entry of specific data.
- Requirements to drill down to specific data and navigate among screens by using point-and-click, function keys, drop-down menus, and other capabilities.
- Need to display related data entry screens, information, and prompts triggered by specific event or entered data.
- Complete help screen capabilities that contain information on a comprehensive array of topics, permit easy searches for and indexes of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be available in display or printed form and should be easily updated to reflect system changes.
- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports).
- Use of enhanced document management functionality that interfaces with or is part of the case management system. This would provide additional functionality, such as workflow and document version control, and improvements in existing document and text indexing, storage, search and retrieval, manipulation, maintenance, and input and output (e.g., through electronic filing, Internet usage, imaging, and conversion from imaged characters to data or word processing formats using OCR).
- Use of distributed processing -- with the same case processing system or different systems -- as a means of accommodating multiple court locations. 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 email integrated with case processing to permit easy distribution of schedules, court minutes, drafts of documents sent out for review, and other documents and information. For this capability to be effective, a comprehensive and maintainable directory must be available to permit communication among users of different email servers.

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