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Technology Committee



Criminal Functional Standards

The NATIONAL CONSORTIUM FOR STATE COURT AUTOMATION STANDARDS

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Criminal Functional Standards

Background

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

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

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

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

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

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

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

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

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

Scope

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

These standards address the functions that would be performed by criminal case processing systems, where criminal includes any case in which, the individual's (defendant's) personal freedom or liberty is at risk. This includes case categories such as felony, misdemeanor, and miscellaneous criminal cases. Except for parts that are

processed with criminal cases, it excludes the following case types; criminal traffic cases and those ordinance violations that are processed like criminal traffic cases and; civil, probate, juvenile, child support and other family, mental health, appellate, juvenile probation. Except for de novo appeals, which are included, it also excludes appeals filed with trial courts from lower courts. The National Consortium will develop functional standards for these other case types at a later time.

As these standards are applicable to criminal case processing systems, it is acknowledged that they may not apply to specialty courts such as drug courts. If the decision is made to apply these standards to specialty courts, all functions and sub-functions must be reviewed carefully, specifically changed to apply to the specialty court, and selectively applied.

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

Uses of Functional Standards

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

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

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

If the system is intended for a single court, that court can apply the customization and detail to the standards and then design or procure the system. The need to customize and amplify the standards becomes more problematic when courts and vendors use the standards to develop systems that embrace entire states or regions.

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

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

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

Subfunction number	Situation regarding Ambiguous or Vague Terms
1.1.1	Separate identifier for each defendant
1.1.2	Locally-used court identifiers
1.1.2	Court location identifiers
1.1.3, 1.1.17, 1.2.1, 14.5.1, 15.5.2	Other identifiers as needed
1.1.4	Locally-defined format
1.1.14, 3.1.1, 3.3.6, 3.3.9, 3.3.10, 3.4.1	Locally-defined time standards
1.1.5, 15.2.4, 16.1.11	Locally-defined procedures

1.1.7	Identify lead charge
1.1.9	Locally-defined case title or style
1.1.10	Locally-used checks
1.1.11	According to local procedures
1.1.14, 3.3.8, 3.4.9	Support differential case management
1.1.15, 2.2.7, 3.1.3, 3.1.4, 3.2.5, 4.1.8, 5.5, 5.7, 15.2.4	Related cases
1.2.1	Locally-defined index
2.1.3, 2.1.8, 4.1.7, 6.5, 6.8, 6.14, 6.15, 6.16, 7.3, 8.2, 15.2.3	In accordance with state and local statutes, rules, or procedures
2.2.8	Permit, with proper authorization
2.3.5, 2.3.6	File of input templates
2.3.10	Locally defined edit
2.3.10	Edit and data validation checks
4.1.3	Miscellaneous documents
4.1.7	Distribute documents electronically
5.11	Judges' notes according to local rules and statutes
9.2	Case closure under local and state rules
10.1	Generally accepted accounting principles
10.2	Appropriate security and authorization
12.3.1	Financial parts of case files
12.3.25	Share information with state agencies
14.6.4	State identification number (SID)
14.6.4	Personal identification number (PID)
16.2.7	Clarity of system-generated messages

It is important to note that many judicial terms such as “judgment”, “disposition”, and “sentence” are used differently in different jurisdictions. The terms as they are used within this document represent their use as reflected by most jurisdictions.

Ancillary Considerations

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

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

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

For the purposes of this document, the term “system user” is defined as “an employee that routinely interfaces with the automated case management system”, an employee that enters, changes, or extracts information directly from the system. A “user” is defined as “an individual that makes use of information contained in the automates case management system. Examples of a “system user” would include clerks and supervisory personnel that have hands-on access to the system on a daily basis, while a “user” would be an individual making use of the information, such as a judge using their individual calendar or court administrator making use of statistical information extracted from the system.

In-house training plans or a training section in RFP’s would embrace all system users -- including those that are external to the court such as attorneys, self-represented defendants, the public, and handicapped persons. Training could be accomplished using manuals; in-house or vendor trainers; train-the-trainer procedures; training tutorials on video, CD-ROM, or on-line (e.g.; using the Internet or an intranet); and training help desks.

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

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

It is also important to note that in the use of any automated information system will require changes on occasion, as important information is changed and updated for various reasons. In the use of such systems, it is understood that there is a significant difference between “reprinting” and “reproducing” documents, considering the differences between the two terms (reprint meaning a reprint of the original document as it originally appeared and reproduce meaning to reproduce the original document with current information), time required, complexity of processing the information, and cost, it is nevertheless necessary to provide these options in any full function system. This will allow the user to determine whether the difficulty and cost involved is worth reprinting or reproducing particular documents.

Functional Standards Approach

Case processing systems track the progress of cases through a court and produce supporting documents and reports. The basic unit of information these systems use covers the individual involved in the case: judge, defense attorney, prosecutor, victim, defendant, witness, and participants. That individual submits documents to the court,

participate in court events precipitated by those documents, and receive documents produced by the court as the case moves to disposition. Most events occur in accordance with schedules established by the court. As events are completed, information is maintained on them. In addition to an individual, therefore, basic units of information address events scheduled in the future and events that have already taken place.

A case may be initiated in a limited jurisdiction court where a defendant appears for hearings. A case, such as a misdemeanor or felony in which there is a plea agreement, may be completely disposed of at this lower level or a case, such as a felony, may be disposed of at this lower level and bound over to a general jurisdiction court.

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

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

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

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

While the criminal standards follow this basic pattern, the nature of criminal cases dictates a somewhat different approach. Unlike its civil counterpart, criminal case processing has a person orientation, interacts with major support functions, and transfers data to and from the criminal justice agencies.

A criminal case typically consists of a single defendant. Each criminal case, therefore, is structured around a specific defendant, historical information about that defendant, the charges against the defendant, how each charge is disposed or modified as the case progresses, the incident(s) and statute violation(s) that precipitated the charges, and the convictions and sentences that culminate the case.

For a given incident, the same defendant may, in some jurisdictions, appear in both limited jurisdiction and general jurisdiction courts. A case may be initiated in the limited

jurisdiction court, where the defendant appears at a preliminary hearing. Then the case may be disposed by binding it over to the general jurisdiction court, where it may be initiated and ultimately disposed as a separate case. Statistically, therefore, the same incident is recorded as a filing and disposition in the limited jurisdiction court and another filing and disposition in the general jurisdiction court.

Bail and pre-trial services functions support the normal criminal case processing to handle bail collection, administration, and termination; research on defendant (e.g., prior arrests and convictions, aliases); and administration of pre-trial intervention programs. Other criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation) perform pre-trial services, pre-sentence investigation and in some jurisdictions, adult probation functions.

As has become apparent in recent years, the criminal court cannot function in an information vacuum that excludes the criminal justice and non-justice agencies. Interfaces must exist with law enforcement, prosecution, public defense, and corrections, as well as with non-justice agencies that maintain records on such topics as criminal spousal and child abuse, sexual predators, firearms ownership and usage, and victim information.

Case management systems center on the disposition as the primary indicator that a particular case has completed its journey through the court process, although there are variations in different jurisdictions. It is important to note, however, that the use of disposition information does not end when the courts dispose a case. Each state has or is developing statewide repositories of criminal history information. This collection of criminal history information contains information on the individual and their relationship to the criminal justice community including information on arrests, charges, and disposition of cases. Case management systems must be capable of passing case disposition information to these state repositories for the purpose of “clearing charges” on the information systems maintained by the law enforcement agency that performed the arrest and who provided the initial charges to the Prosecuting agency.

These criminal functional standards, therefore, cover the case processing functions in the normal manner and address court case processing support functions, data maintenance and tracking unique to criminal cases, and interfaces with criminal justice agencies. The criminal justice interface comprises the information courts receive from and provide to other agencies as part of an Integrated Criminal Justice Information System (ICJIS).

These standards assume the criminal court case processing system will be part of an ICJIS. Since this will be a phased process and the court criminal system will initially be a stand-alone system in many instances, the system should be developed in a manner that will permit it to evolve into part of a full ICJIS.

Functional Groups

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

Current and Past Events

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

- Case initiation and indexing -- initially entering and indexing newly-filed, transferred, reopened or remanded, de novo appealed, and other new cases and the ongoing indexing activity.
- Docketing and related record keeping -- initiating and maintaining the docket or register of actions of activities that are part of the official court record and maintaining the relationships between and accessibility to docket-related information for a given case and cases that relate to it.
- Hearings -- recording the results of hearings and notifying appropriate “person data types” of court decisions.
- Disposition -- a judicial decision that finalizes action in this case.
- Compliance -- dealing with issues related to compliance with sentence and supervision conditions.
- Case close -- closing a case because all provisions of the court order have been satisfied.

Future Events

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

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

Financial

These activities address the accounting functions, which include general, front office and cashiering, back office, and general ledger functions.

Document and Report Generation

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

- Document generation and processing -- notifying appropriate “person data types” of events and producing other official court documents.
- Management and statistical reports -- generating caseload, caseflow, workload, and other reports.

Criminal Support Functions

Bail and pre-trial services functions often accompany case initiation, and pre-sentence investigation and adult probation functions normally occur during and after disposition. Since a criminal case can be heard in limited and general jurisdiction trial courts and typically involve Criminal Justice (CJ) agencies, information must be exchanged and tracked throughout the life of the case. This introduces several support functions that are unique to criminal cases.

- Pre-Trial Services -- conducting research on defendants (e.g., prior arrests and convictions, aliases) and administering of pre-trial intervention programs.
- Pre-Sentence Investigation -- conducting and reporting on investigation used by the court to set sentences.
- Audit Trail Management -- addressing the accuracy and currency of criminal data that may change during the life of a case (e.g., charges, pleas, sentences).
- ICJIS Interfaces -- information exchange with CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services.

System and Utility

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

- File, document, and property management -- creating, managing, tracking, archiving, and disposing case records and receiving, tracking, and returning or destroying exhibits and other property.
- Security and Data Integrity -- ensuring security, privacy, and integrity of case processing systems and their data.

Data Groups

Most case processing systems are either case oriented or person oriented, which means that the basic processing unit is either the case or the 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”. Criminal case processing systems generally are case oriented, but since much information pertains to an individual defendant, most criminal systems regard each defendant -- and the charge(s) associated with that defendant for a given incident -- as a separate case.

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

This section gives the data groups required for a criminal case processing system. Each data group consists of one or more data types, and for each data type, enough data elements are given to illustrate its purpose and content. Since the data elements given here are not intended to be a complete list of the data elements that would constitute the

data type, detailed data standards and a data dictionary should be developed locally for each court application during the system definition and design phases.

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

The data types represent data that normally would be part of the criminal court case processing system. In addition, assuming the court case processing system is part of an ICJIS— as these standards do — the case processing system should send data to and receive data from the criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services. Interfaces would exist between the case processing system and the criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services. The Criminal Support Functions section gives the criminal support unit and ICJIS data types and functional standards that pertain to the interface. The data types described in Criminal Support Functions may be in more detail than the criminal case processing data types because the interface is central to the ICJIS concept and these data are the exchange points and, therefore, characterize the interface. Even though these standards assume the court case processing system will be part of an ICJIS, the court system may initially be a stand-alone system that will evolve into part of a full ICJIS.

Case

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

- Case -- includes case categories (e.g., felony, misdemeanor, miscellaneous criminal) within the criminal case type, 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 or prison, 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 including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as on cases (for ease of discussion in this document, the term “judge” includes judges, magistrates, and other judicial officers such as quasi judicial personnel who conduct conferences aimed at plea agreements).

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

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

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

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

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

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

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

Data on each defendant, who may be in a general jurisdiction court or may not have progressed beyond a limited jurisdiction court because the case was plea-bargained or was a misdemeanor, includes any and all information necessary to positively identify the individual as appropriate, with cross-references to other pertinent information as required.

The use of biometric identifiers and personal identifiers consistent with National Crime Information Center (NCIC) demographics standards listed in FBI 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) is very desirable

As listed in the FBI CJIS EFTS (you can find this document at <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>), 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 criminal 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 criminal 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.

You can find these identifier standards by researching the following locations:

http://www.ncsconline.org/D_Tech/Standards/Standards.htm ---court filing DTD v1.1

<http://it.ojp.gov/index.jsp> ---consolidated DTD tags and schema

<http://it.ojp.gov/global> ---additional information

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

<http://justicexml:justicegtri@justicexml.gtri.gatech.edu> ---JXDDS version 1 and 2

- 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 includes; 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. These individuals can include court officer, court staff, translator, mediator, as well as personnel from pre-trial intervention, pre-trial services, police or other law enforcement, corrections, and parole/probation. These organizations can include bail or bonding organization, criminal 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 pleading and other document (e.g., complaint, indictment, information, 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 criminal 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 criminal case resulting from a court decision that identifies the remediation ordered by the judge (e.g., 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, violation of probation, 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 preliminary hearings, 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.

Financial

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

Document and Report Generation

This group consists of data types that contain information on official court documents, such as orders, warrants and other served documents (e.g., subpoenas), notices, and reports that summarize case activities.

- Orders -- data on two types of court orders signed by a judge: those signed in court during a hearing (e.g., sentence, continuation), and those signed in chambers (e.g., for bail and bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment). Intermediate judicial directions 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 these 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.

System and Utility

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

- Exhibits -- data on exhibits and other property submitted to the court for use in court proceedings including case cross-reference, source, and status (e.g., date received, returned, or destroyed).
- File management -- data to assist in managing and tracking the location of active, inactive, and archived case files.

Organization of Functional Standards

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

- Case Initiation and Indexing Function;
- Docketing and Related Record Keeping Function;
- Scheduling Function;

Document Generation and Processing Function;
Calendaring Function;
Hearings Function;
Disposition Function;
Compliance Function;
Case Close Function;
General Accounting Function;
Accounting -- Receipting Function;
Accounting -- Bookkeeping Function;
Accounting -- General Ledger Function;
Criminal Support Functions;
File, Document, and Property Management Function;
Security and Data Integrity Function;
Management and Statistical Reports Function.

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

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

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

Standards for Individual Functions

This section gives the standards for each function listed in the previous section. The standards are characterized by the subfunctions into which each function is divided, and for each subfunction, the coverage notes whether that standard would be automated (requires limited or no manual intervention), mandatory (universally applicable), and optional (applicable only in certain situations) for criminal case processing systems in large and small courts. Those functions with numerous subfunctions are grouped into several categories of subfunctions.

For each function, the section begins with an overall description of the function and a list of the data types that would support the function. Then the subfunctions are described -- either within their respective groups or for the entire function if there are insufficient subfunctions to divide them into groups -- in a textual summary and a table with the following columns:

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

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

Subfunction	Auto	Mand.	Opt.
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

Coverage of functional standards concludes with a list and general definitions of possible code translation tables, which would contain user-supplied codes and their translations (e.g., case type, case category (e.g., felony, misdemeanor, and miscellaneous criminal cases within the criminal case type), "person data types"). Since each function and subfunction could use some of these code translation tables, the standards explicitly state only a few major cross-references to the tables. Please be aware, however, that use of the tables permeates each function and subfunction.

Multi-Function Capabilities and Integration

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

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

Information should be exchanged electronically within court systems and between courts and (1) other governmental units at the federal, state, and local levels (e.g., booking, arrest, and custody information from law enforcement; docket information, calendars, and court orders to law enforcement; statistics to court administrative office), (2) private organizations (e.g., restitution information to collection agency); and (3) other users (e.g., appropriate “person data types”, and researchers). In order to implement electronic information exchange, courts must establish exchange procedures (e.g., for communications and networks; user computer equipment and software, interchange computer or “mailbox;” user directories; file or document transfer, email, or both; and message content and naming), and the case processing system must be compatible with these procedures. The system must allow for the creation, maintenance, and deletion of multiple “electronic distribution lists” that are indexed to each defendant or other appropriate persons. Other than general information exchange and the interfaces with criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services, described in Criminal Support Functions, the standards in this document contain several specific types of electronic information exchange: electronic filing, document distribution, fee payment, and funds transfer. The standards for each function throughout this document contain specific applications of electronic information exchange and indicate whether each application is a mandatory or optional standard. Electronic information exchange should conform to applicable standards such as those developed by the COSCA/NACM Joint Technology Committee. The rudimentary standards envisioned here could be enhanced as described in the External Interfaces part of Related Technical Considerations in Appendix A.

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

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

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

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

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

Electronic document distribution -- Distribution of electronic court documents (e.g., orders, electronic acceptance notices following electronic pleadings, other types of notices), docket summaries, calendars, court minutes, and detailed and summary reports using dial-up lines, the Internet or intranet, facsimile transmissions, electronic mail, and other technologies (using “push” as well as “pull” technology). While a rudimentary capability is for electronic documents to be distributed for viewing only, the court may need advanced capabilities such as to distribute electronic documents that can be acted on by recipients (e.g., by extracting XML or

other types of tagged parts of calendars for use in individual schedules). The court must establish procedures for electronic document distribution analogous to those noted above in electronic filing. In addition to distribution outside the court (e.g., to local government offices such as probation, law enforcement, corrections, prosecutor, and non-justice agencies), some of these documents (e.g., orders, notices) would be sent to the clerk's office to be filed as described above.

Electronic document distribution also is addressed in the Document Generation and Processing, Calendaring, Disposition, Compliance, and Criminal Support functions.

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

General electronic information exchange -- Criminal case processing systems must exchange other types of information with the systems of various entities. The interfaces associated with statistical reporting and dispositions exemplify this information exchange and are described in the Hearings, Disposition, Criminal Support, and Management and Statistical Reports functions later in this section.

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

Many places in these standards specify outputs – some printed, some display, and some on other media. In general, users have the option to print any displayed output and to display any printed output. As used in these standards, “produce” connotes this option to print or display including the option to reprint or redisplay.

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

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

Business Rules

Obvious business rule applications are as follows:

Subfunction Number Business Rule

1.1.1, 1.1.3	Separate identifier for each “person data type”
1.1.2	Locally used court and court location identifiers
1.1.4	Locally-defined format for case number assignment
1.1.5	Locally-defined procedures for defendant assignment to case
1.1.9	Locally-defined case title or style
1.1.10	Locally-defined rules to ensure case acceptance
1.1.14, 3.3.8	Differential case management rules
1.1.15	Locally-defined rules for the grouping of related cases
1.1.16	Locally-defined rules for resource assignment of court type, judge, location, department, and courtroom
1.2.1	Locally-defined indexes for person data type information such as name, date of birth, case, defendant charges, case number, etc.

1.2.6	Locally-defined rules defining occurrence of updating index(es) upon the occurrence of specific actions
2.2.1	Locally-defined rules of automatic data field transfers during case initiation and maintenance
2.3.6	Locally-defined rules on multiple case relationships related to “person data types”
3.1.1, 3.3.6, 3.3.10	Statutory and locally mandated time standards
3.1.2	Schedule of future events
3.1.5, 3.1.10	Suggested resolutions to scheduling conflicts
3.1.6	Maximum number of cases for a specific time interval
3.2.2, 3.2.4	Resource availability for “person data types”, courtrooms, locations, and departments
3.2.5	Case assignment by category
3.2.6	Judicial assignment rules
3.3.4	Maximum number of events normally permitted on calendar based on calendar type
3.3.6	Time conformance standards for case aging
3.4.1	Maximum number of continuances
3.4.1	Identify events coming due or overdue, periods about to expire or expired
3.4.2	Define frequency with which system displays ticklers, alerts, and prompts
3.4.3	Define structure, content, and intrusiveness of ticklers, alerts, and prompts
3.4.6, 5.1.3	Cases with additional access restrictions to sensitive information
3.4.8	Allow users to define additional ticklers, alerts, and prompts
4.1.7	Notice generation rules
5.11	Rules for access to judicial notes
6.7	Automated docket entry rules
7.3	Disposition distribution rules
8.2, 14.6.28	Post conviction distribution rules
9.1, 9.2, 9.5, 9.6	Case close rules
10.1	Generally accepted accounting practices
12.2.2	Escrow and draw-down account minimums
12.3.2, 12.3.6	Case fee amount by type
12.3.25	Court ordered payment distribution rules
12.4.5, 12.4.6, 12.4.7, 12.4.8	Court fee disbursement rules
14.1.4	Rules for pre-trial intervention or supervision requirements
14.4.28	Probation information distribution rules
14.4.7, 14.4.41	Active case actions distribution rules
14.4.24	Case information distribution rules for updated and changes
15.2.3	Statutory record retention rules
16.1.11	Witness and victim information protection rules of distribution

Integration -- The primary purpose of this document is to provide guidance for the improvement of automated case management systems used in the dispensation of the court's business. However, without due consideration to other justice and non justice agencies and their responsibilities, these standards would be far less than intended.

Law enforcement has the responsibility to apprehend, provide initial custody of, and positively identify an individual charged with violations of criminal law and the primary responsibility for establishing the positive identification of that individual traditionally falls with those law enforcement agencies.

It is critical that positive identification of the defendant be established as early in the process as possible.

Most law enforcement agencies rely on fingerprints and fingerprint matching as the only positive identification of the individual. In the event that this positive identification of the individual has not been established, it is suggested that the court order this process completed. As law enforcement is generally the first justice agency to come in contact with the defendant and has information that must be passed to the prosecutorial agency and then the court, it is only logical that as much information as possible be gathered and recorded at this point in the criminal justice system. It is important for law enforcement to gather and share this information regardless of the charges initially placed on the defendant, felony and misdemeanor alike.

Law enforcement has requirements to record information, much of which is required by other agencies including prosecutorial agencies, courts, state and federal agencies, corrections parole and probation and non-justice agencies. It is therefore in the best interest of any court that desires the efficiencies derived from an automated case management system to ensure that the system in use not only supports the case management functions that the court needs in their day-to-day business but, that the system supports the information management needs of all justice agencies, both before and after disposition.

Of primary concern regarding the capture and maintenance of information at this level is that the information only be captured once and then passed along in its entirety. With these requirements in mind, the automated case management system must adhere to existing data standards at the federal and state level to prevent the redundant entry of information into those systems, as those systems are the primary recipients of law enforcement and must be satisfied.

Even though these standards assume the court case processing system will be part of an ICJIS, the court system may initially be a stand-alone system that will evolve into part of a full ICJIS. If this approach is necessary, the court system must be developed in a manner that permits it to be integrated into an ICJIS. Data that initially will be input by

users and output to users will eventually be passed through the ICJIS interfaces, and these data must conform to the standards noted above in the initial stand-alone version of the system. Similarly, the functional capabilities of the court system must permit evolution into a full ICJIS.

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

- front counter and cashiering function interacts with case initiation function to record and initiate case in single procedure;
- docketing function supplies basic case information to document generation, calendaring, and other functions that produce documents (e.g., notices, calendars, orders) that contain this information;
- docketing function interacts with other functions in handling cases assigned special status;
- scheduling function operates in conjunction with docketing, document generation, calendaring, and other functions;
- scheduling and calendaring functions transfer easily and quickly to and from other parts of system when creating calendars;
- hearings function handles adjournments, continuances, and cancellations in conjunction with docketing, scheduling, calendaring, notice generation, and other functions;
- hearings function operates in conjunction with docketing, document generation, and other functions to record hearing results and notify appropriate participants;
- hearings function rules on consolidations, bifurcations, and reopening of previously-closed cases, which are handled by case initiation, docketing, case close, and other functions;
- disposition function operates in conjunction with docketing, case close, and other functions;
- compliance function operates in conjunction with docketing, disposition, case close, accounting, document generation, scheduling, and other functions;
- accounting function supplies fee, payment, account, and other information to case initiation, docketing, and other functions;
- accounting function supplies fine or restitution, payment, account, and other information to hearings, disposition, and other functions;
- case close function operates in conjunction with docketing, accounting, document generation, scheduling, and other functions (e.g., to establish cross references

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

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

In many situations, several functions would be performed contiguously -- that is, they would appear to be a single function. For example, case initiation, docketing, scheduling, noticing, and calendaring may be accomplished at the same time in criminal cases that must be expedited (e.g., sex offender); and disposition and case close are the same function in many situations. This document covers the functions separately to accommodate those situations in which they are distinct case processing steps.

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

Record Keeping --The criminal functions covered herein would interact with the functions of other types of case processing systems (e.g., civil, probate) in the same court (e.g., to transfer information on the defendant) with minimal manual intervention or re-keying of data unless the user wishes to intervene.

Given the person-oriented nature of criminal cases, the case processing system must exchange information on a defendant with criminal support agencies, such as those that provide bail, pre-trial, pre-sentence investigation, and adult probation services, and with the criminal justice agencies, such as law enforcement, prosecution, public defender (defense attorney), detention, corrections and with various non-justice agencies such as social services. This high level of integration requires correlation of the different individual identifiers and other information frequently used by these agencies and the court. The court case management system must be capable of passing the appropriate information to the state agency responsible for the State's Criminal History repository. This information must be detailed enough and contain the fields required to match the final case disposition to the original charges. Additionally, there will be the necessity of exchanging information related to "criminal traffic" cases with the Department of Motor Vehicles. These interfaces are interspersed throughout this document (see Docketing and Related Record Keeping; Scheduling; Document Generation and Processing; Criminal

Support; File, Document, and Property Management; and Management and Statistical Reporting functions).

The current federal standards in place at the National Crime Information Center (NCIC) as detailed in the FBI CJIS EFTS (you can find this document at <http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm>), and other standards such as those imposed by the XML Standards on Rap Sheet (Joint Task Force on Rap Sheet Standardization can found at <http://www.nlets.org>) require criminal history information to be transmitted in specific fashion with specifically coded information. It is therefore suggested that case management systems be capable of adhering to these standards in order to avoid the issues associated with redundant entry of information.

You can find these identifier standards by researching the following locations:
http://www.ncsconline.org/D_Tech/Standards/Standards.htm ---court filing DTD v1.1
<http://it.ojp.gov/index.jsp> ---consolidated DTD tags and schema
<http://it.ojp.gov/global> ---additional information
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
<http://justicexml:justicegtri@justicexml.qtri.gatech.edu> ---JXDDS version 1 and 2

The court case management system must be capable of passing the appropriate information to the state agency responsible for the state's repository (e.g., collection of criminal history records) and the reporting of that information to federal agencies. This information must be detailed enough and contain the fields required to match the final case disposition to the original charges. 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 also falls 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.

The use of identity verification and personal identifiers consistent with National Crime Information Center (NCIC) demographics standards listed in FBI CJIS EFTS (you can find this document at <http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm>) or its subsequently updated publication(s) is very desirable. While responsibility for the positive identification of the individual will ultimately fall on the arresting law enforcement agency, more and more courts are requiring the positive identification of the charged individual before them, including those defendants that do not progress beyond a limited jurisdiction court because the case was plea bargained or a misdemeanor, be substantiated with fingerprints and that those fingerprints be entered into and verified through the use of an Automated Fingerprint Identification (AFIS) system generally maintained at the state level.

In keeping with the approach used in these standards, the above statements assume the criminal court case processing system will be part of an ICJIS. Since this will be a phased

process and the court criminal system will initially be a stand-alone system in many instances, the system should be developed in a manner that will permit it to evolve into part of a full ICJIS.

Functions

1. Case Initiation and Indexing Function

Description -- The activities that initiate a case and maintain its index including acceptance and processing of the initial filing, associated record keeping and reporting, and creation and maintenance of an index for the case

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

- case
- charge
- defendant
- defense attorney (public defender)
- filings
- judge
- participant
- plea
- prosecutor
- sentence
- scheduled events

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

1.1 Case Initiation

New cases are entered into the court automated case management system so that information and filings (e.g., 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.

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 generate and assign separate identifier for each defendant or receive identifier from CJ agency (see ICJIS Interfaces part of Criminal Support Functions)	yes	all	
1.1.2 enter locally-used court identifiers (e.g., district court)		all	

Subfunction	Auto	Mand.	Opt.
(See Appendix A, Other technologies Internal to Court, case processing among multiple court locations) and court geographic location identifiers (e.g., county number, city number) with the ability to use the federal FIPS mandatory standards for geographic location.			
1.1.3 capture or allow entry of other identifiers as needed (e.g., of prosecutor, defense attorney, corrections, law enforcement) and establish relationships with participants, (see Criminal Support Functions)	yes	all	
1.1.4 generate and assign case number for a defendant using locally-defined format and procedures (e.g., separate case number for each incident or offense, or for each incident or offense and each defendant)	yes	all	
1.1.5 associate each defendant with a case using locally-defined procedures		all	
1.1.6 enter each charge and count based on charging documents		all	
1.1.7 coordinate with Docketing and Related Record Keeping Function to enter all charges (initial and modified) filed by prosecutor at case initiation and subsequently (see Criminal Support Functions, List of Code Translation Tables)		all	
1.1.8 identify lead charge, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges)		all	
1.1.9 enter arrest, citation, custody, and bail information for each defendant or acquire this information from CJ agency (see Criminal Support Functions)		all	
1.1.10 generate locally-defined case title or style (i.e., short phrase that identifies case and includes prosecution and defendant name) from individual names and other information	yes	all	
1.1.11 conduct locally-used checks to ensure case should be accepted by court and produce results (e.g., lack of jurisdiction)	yes	all	
1.1.12 enter reason for initiation (e.g., new filing, case transferred from another jurisdiction, case bifurcated, previously-closed case that has been reopened, de novo appeal according to local procedures)		all	
1.1.13 support electronic filing (e.g., complaint, indictment, information directly from prosecutors' offices) and move designated data (e.g., tagged basic case information) from electronic document to case processing system (see Multi-Function Capabilities and Integration, and Criminal Support and Security and Data Integrity functions regarding filings	yes	all	

Subfunction	Auto	Mand.	Opt.
and verification of electronically-entered data)			
1.1.14 generate acknowledgement for appropriate attorneys and participants that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically) (see Document Generation and Processing Function)	yes	all	
1.1.15 support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables later in this document; PLEASE NOTE: differential case management may entail highly-complex computer programming because it may permit the user to define complete case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category)	yes	large	small
1.1.16 create groups of related cases, defendant, and participants (e.g., several incidents filed against same defendant, multiple defendants involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, or participant in group (see Docketing and Related Record Keeping Function)		all	
1.1.17 assign cases to court type, judge, location, department, and courtroom AND/OR other appropriate entities based on established relationships (see Scheduling Function) (Statewide systems should have the ability to assign cases based on Circuit or Judicial districts boundaries, when a district is composed of several counties, cities, and courthouses.)	yes	all	
1.1.18 prompt user when cases, defendants, or participants already exist that relate to new case (e.g., defendants involved in other cases, aliases identified by pre-trial services unit), followed by user-initiated search for duplicate defendants, participants, prosecutors and defense attorneys that user can transfer into current case if appropriate to avoid data entry (e.g., using participant names, addresses, and other identifiers noted above) (see Criminal Support Functions)	yes	all	
1.1.19 create docket or register of actions with case initiation information including information on initial filing noted	yes	all	

Subfunction	Auto	Mand.	Opt.
above and basic case information (e.g., case type, case category, case status, case title or style, "person data types", and docket-related events) (see Docketing and Related Record Keeping Function)			
1.1.20 create docket or register of actions, information for defendant, and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Investigative Service) with primary contact individual if organization (see Docketing and Related Record Keeping Function)	yes	all	
1.1.21 allow user to designate the nature of the relationship between cases (e.g. codefendants, multiple cases against same defendant)		all	

1.2 Indexing

The index contains a limited amount of information about each case, judge, defense attorney, prosecutor, victim, defendant, witness, and participant. It is created at case initiation; maintained throughout the 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.

Users can look up cases, judge, defense attorney, prosecutor, victim, defendant, witness, or participants and view index information such as each individual's name, date of birth, charges, role in the case, and whether the defendant has a defense attorney; case type; case number and other identifiers; alias(es); date filed; and a cross reference to another defendant and participants in the case (e.g., the individual named in the case title or style). Users who may know some basic information about a case -- but do not know the case number -- access the index to look up the case number or whether the court database contains information on a specific case, defendant or participant. When the system returns multiple matches, the index helps users find the specific case, defendant, or participant they are seeking and then retrieve basic information from the index on that case, defendant or participant.

The minimum contents of the index are the index information noted above. Case processing systems must allow users to look up specific defendant or participant names including individual and business names. Other look-up parameters that should be available are participant role in the case, arrest and citation numbers, and a case filing date range.

After accessing the index, users often need more information about the specific case, the defendant and participants in that case, and related cases with their respective defendant or participants. The index capability, therefore, should allow users easy interfaces (1) with other parts of the system such as docketing, scheduling, calendaring, accounting, and criminal support functions for, potentially, all information -- including financial

information -- on that case and related cases and (2) with the inquiry and report generation capabilities for more varied displays and reports.

From a computer system perspective, the index may be a physical entity that contains the index information in a single place in the database or it may be a logical entity that gathers the index information from several places. Regardless of whether the index is a physical or logical entity, the system must make the index information easily (i.e., in a manner that requires no additional user actions to correlate and manipulate index data from several places) accessible for a specified case, defendant or participant analogously to a manual index.

Subfunction	Auto	Mand.	Opt.
1.2.1 create and maintain locally-defined index that (1) contains index information (e.g., each defendant and participant name, date of birth, defendant charges role in case, and whether defendant has a defense attorney; case type; case number, and other identifiers; alias(es); date filed; and cross reference to another defendant and participants in case (e.g., other defendant and participants named in case title or style) (2) permits database look up by a choice of keys (e.g., participant name, participant role, case filed date range) and, if record found, (3) permits retrieval and display of index information, (4) permits easy interfaces with other parts of case processing system as noted below	yes	all	
1.2.2 permit look up and retrieval subfunctions by identifying a specific defendant and participant name, defendant and participant role, case filed date range -- if necessary, after eliminating other cases, defendant or participants that satisfy original look up -- and then obtaining index information by selecting from list of matching cases, defendant or participants or by using keys noted above (e.g., user requests list of defendant or participants named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	
1.2.3 allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and criminal support functions for, potentially, all related case and financial information (i.e., on specific case, "person data types" and on other cases related to specific "person data types) and with the inquiry and report generation capabilities for more varied displays and reports (see Inquiry and Report Generation in Appendix A and sections on other functions that follow this section)		all	
1.2.4 permit name search on various combinations of a		all	

Subfunction	Auto	Mand.	Opt.
specific individual's (i.e., defendant and participants) name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry section in Appendix A)			
1.2.5 if prosecutor or defense attorneys are included in index, allow multiple prosecutor and defense attorney names, government and firm names, and other identifiers for each case			all
1.2.6 permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided)	yes	all	
1.2.7 extract, print, reprint, retrieve, or otherwise produce (with appropriate security restrictions), index information sorted by the content of the various components of index (e.g., defendant, case number, case status, citation number) (see Security and Data Integrity Function)		all	

2. Docketing and Related Record Keeping Function

Description -- The activities associated with entering in the docket (or register of actions in some jurisdictions) (1) that a document (e.g., complaint, request for jury trial) has been filed, (2) that a filed document (e.g., certificate of readiness, demurrer, motion to strike) is the basis for placing a case on the court's calendar for a hearing or other review, and (3) what occurred at the hearing or other review.

This document adheres to the following three basic characteristics of docketing:

1. The docket is a record of concluded actions, known in some jurisdictions as a register of actions. This document does not use the terms "docket" and "docketing" in any of the other connotations used in some courts, such as a term to represent the court calendar for a given day.
2. As a record of concluded actions, the docket (or register of actions in some jurisdictions) is never anticipatory. The content of the docket entry of a completed event, however, may be anticipatory (e.g., docket entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future).
3. The docket's (or register of actions in some jurisdictions) entries show the existence of a document that is part of the official court record. Some courts include other completed actions in the docket (e.g., completed unofficial administrative scheduling action), but these standards limit actions recorded in a docket to those intended for the official court record.

In this document, docketing activities translate into the following functions: (1) record in a docket (or register of actions) the results of events (e.g., dates, participants, and other

information on initial filings, pleadings, calendared matters, and dispositions; dates and other issuance information on notices, warrants and other served documents (e.g., subpoenas), generated by the system; dates and outcomes of hearings; warrant recalls; and post disposition activities) based on the documents filed and financial transactions during the life of a case; (2) maintain the docket (or register of actions); (3) maintain records used in the docketing function; and (4) produce related outputs. The docket (or register of actions), which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case.

Since users enter information in the docket (or register of actions) as the processing of records associated with events is completed, the docketing function differs from the scheduling and calendaring functions (covered later in this document) in that scheduled events and calendared matters are to be acted on in the future. For example, the clerk would enter a scheduled event in an administrative record but not in a docket or register of actions. If the clerk places a matter on a judge's calendar as a result of the activities associated with the scheduled event, the clerk docket the fact that a hearing, conference, or other review has been calendared. (Recall from the data type definitions that the term "judge" includes judges, magistrates, and other judicial officers such as quasi-judicial personnel who conduct conferences aimed at plea agreements.)

From a computer system perspective, the docket is a logical entity and not a physical repository of information as in manual case processing. Record keeping related to the docket, therefore, refers to the computer's ability to access, correlate, and manipulate records (e.g., code translation tables, case records, participant records) in a manner that produces the required information on a given case and on cases that have a particular relationship to the given case. The computer produces this information in a contiguous fashion as if it were in a physical docket book. The part of this section titled Related Record Keeping Functions addresses this situation and gives examples.

Carrying the above discussion a step further, when the system inputs or outputs docket (or register of actions in some jurisdictions) information, it assists the user by providing prompts, selected printouts or displays of docket contents, an audit trail of who updated the docket, and other utility services. The part of this section titled Input/Output Management and Views addresses this capability.

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

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- filings

- financial
- forms and other documents issued by court
- hearings
- judge
- orders
- participant
- plea
- prosecutor
- warrants and other served documents (e.g., subpoenas)

Subfunctions -- Within the Docketing and Related Record Keeping Function, the subfunctions are grouped into static case and other case event information, related record keeping functions, and input/output management and views. Some information identifies the case and its "person data types", and other basic characteristics of a case. This static information is recorded in the docket (or register of actions in some jurisdictions) at case initiation. As the case progresses, information on other case events that occur are also entered in the docket (or register of actions in some jurisdictions) or automatically generated or transferred from other functions. Related information often spans multiple cases in the docket (or register of actions in some jurisdictions), and correlation of this information can increase the efficiency with which the court operates (e.g., by avoiding entry of data on an individual already in a case processing system). Finally, information in the docket (or register of actions in some jurisdictions) must be managed and provide different views to users.

2.1 Static Case and Other Case Event Information

When 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 (or register of actions in some jurisdictions) receives information on the initial filing and basic case information such as case type, category, status, title or style, and "person data types". The docket (or register of actions in some jurisdictions) also contains basic defendant and participant information such as name, charges, aliases, prior arrests and convictions, custody status, and personal information for the defendant. This case and person identification information is maintained and additional information is recorded -- primarily on events in the flow of the case (during the life of the case). As the case progresses and events are completed, summary information about each event (e.g., filings, hearing results, dispositions) is entered into the docket (or register of actions in some jurisdictions). While some events may trigger an update to the case information in the docket (e.g., defendant and participant name change, defense attorney change), 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 access to information originally entered during case initiation (e.g., case, person) and to information that supplements these initial entries (see Case Initiation and	yes	all	

Subfunction	Auto	Mand.	Opt.
Indexing Function)			
2.1.2 enter and maintain information (e.g., document title and identifier, defendant and participant, fees collected) and dates on filings and other completed events not previously in system (e.g., participant added or deleted, plea entered, motion filed, or hearing date set)		all	
2.1.3 create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function such as warrants and other served documents (e.g., subpoenas), issued in accordance with state and local statutes, rules, or procedures (e.g., case status changed to inactive), warrant service returned, warrant recalled, (e.g., case status changed to active), hearing scheduled (see Calendaring Function), hearing results (e.g., charges dismissed or disposed; see Hearings Function), dispositions (e.g., disposition date, type of disposition, information on judgment; see Disposition Function, and Accounting -- Bookkeeping Functions), compliance issues (see Compliance Function)	yes	all	
2.1.4 create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see Document Generation and Processing, Hearings, and Disposition functions)	yes	all	
2.1.5 permit user to identify and retrieve electronic documents by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed)	yes	all	
2.1.6 allow single event to create multiple docket entries (e.g., event is hearing; docket entries are defense attorney withdrawal, hearing results)	yes	all	
2.1.7 enter, maintain, and produce information on special case processing requirements or orders (e.g., sealed case or document, suppressed indictment, custody status is or becomes fugitive) (see Case Initiation and Indexing and Security and Data Integrity functions)		large	small
2.1.8 maintain case information as official court record in accordance with state and local statutes, rules, or procedures			all

2.2 Related Record Keeping Functions

The system must maintain relationships for single and multiple cases and all related individuals. Related cases for example, are in one of the following categories: a

defendant involved in a single incident or one defendant involved in multiple incidents. 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. The capability to establish and apply such relationships greatly assists users in entering and synchronizing data throughout the system.

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

Subfunction	Auto	Mand.	Opt.
associate warrants and other served documents (e.g., subpoenas), with all cases involving particular defendant) (see Case Initiation and Indexing Function)			
2.2.10 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading information causes related docket information to be deleted) (see Security and Data Integrity Functions, ICJIS Interfaces, Criminal Support Functions)	yes	all	
2.2.11 apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith’s courtroom causes all active records that contain room number of old courtroom to be changed to room number of new courtroom, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	
2.2.12 track and then produce reports on relationship of specific cases and the defendant to criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation) (e.g., pre-trial services, pre-sentence investigation, adult probation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services.		all	

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, workstation usage records, docket (or register of actions in some jurisdictions) displays, and input templates of standard court documents.

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 associated “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 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.

Subfunction	Auto	Mand.	Opt.
2.3.1 maintain and properly use code translation tables defined by user (see List of Code Translation Tables later in this document)		all	
2.3.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	
2.3.3 produce information on all, part, or summaries (i.e., “Views”) of docket(s) (e.g., events in register of actions, some defendant or participants, charges for specific defendant, summaries of judgment information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order (see Management and Statistical Reporting Function)		all	
2.3.4 support electronic filing (e.g., directly from prosecutor’s and defense attorneys’ offices) of pleadings and other documents (see Multi-Function Capabilities and Integration, and Case Initiation and Indexing Function)	yes	all	
2.3.5 create and maintain file of input templates (e.g., forms) to be made available to users to create input documents and relate each template to court event(s) (e.g., case initiation, case participation changes, disposition entry) (see Multi-Function Capabilities and Integration and Document Generation and Processing and Criminal Support functions)		all	
2.3.6 create, maintain, and deploy file of input templates that can be displayed and made available to users to create input documents and, as necessary, associated cover sheets (for use when pleadings are filed electronically) and relate each template to court event(s) (e.g., case initiation, case participation changes, disposition entry) (see Multi-Function Capabilities and Integration, Document Generation and Processing, and Criminal Support functions)		all	
2.3.7 maintain and produce history of changes in judge		large	small

Subfunction	Auto	Mand.	Opt.
assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change			
2.3.8 maintain and produce history of prosecutor and defense attorney changes for specific case or defendant with reasons for change		all	
2.3.9 provide instructions (e.g., tutorials) and automatic edits for using input templates	yes		all
2.3.10 perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data (e.g., attempt to schedule hearing for cases with open warrants and other served documents)	yes	all	
2.3.11 coordinate with Criminal Support Functions to permit user to obtain audit trail of all charges (i.e., from arrest through life of case) for a given defendant and case			all

3. Scheduling Function

Description -- The activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules.

Courts schedule for the following two basic purposes:

1. Event deadlines. In many criminal courts, deadlines are set for specific events (e.g., notices of indictments or no bills) when a case is filed and assigned a case number (signifying that the court has accepted the case). Other deadlines are established for submission of documents (e.g., affidavits) and completion of other actions (e.g., submission of exhibits) as the case progresses. These deadlines often conform to time intervals based on the case's differential case management category, case type, or case category (see List of Code Translation Tables). They define the schedule within which the case moves to disposition, which may be by trial or before the trial, for example, by , dismissal, or plea agreement conference.
2. Judicial proceedings and their resources. Courts also schedule trials and other judicial proceedings (e.g., motion hearings, conferences aimed at plea agreement). This type of scheduling takes into account the availability of the resources that will be needed to conduct the judicial proceeding. It combines with the Document Generation and Processing Function and the Calendaring Function to establish court calendars and produce calendars and other documents related to the judicial proceeding. After setting up the skeleton of each type of court calendar for a given time period, the court fills this skeleton with actual cases as it schedules them for judicial proceedings (the Scheduling Function). As it schedules these cases, the court produces notices and other documents that inform persons when and where the judicial proceeding will

occur (the Document Generation and Processing Function). When a given skeleton is filled with cases, it is produced as a court calendar (the Calendaring Function).

While most courts regard scheduled events as administrative activities and not part of the official court record, these events may initiate an action that is part of the official court record. For example, an event that violates time standards because it does not occur by its scheduled deadline may initiate a hearing to determine why the case is out of compliance; the hearing would be scheduled, placed on a court calendar, and become part of the official court record. As another example, in the terminology used above, the skeletal calendar is not part of the official court record as it is being filled with scheduled cases, but the contents of the court calendar produced from the completed skeleton and the notification of persons regarding the proceedings are matters for the official court record.

This distinction between scheduled and calendared events takes on greater significance as access to court records -- particularly electronic access -- increases. While courts permit access to official court records, such as calendars and hearing results, their internal work, such as schedules, should have more protection. Access to an amalgamation of schedules and calendars, moreover, could confuse outside individuals unfamiliar with court procedures and terminology. For example, a tickler reminding a clerk to pull a file and determine whether a hearing can be scheduled may delude the uninitiated into believing the hearing actually has been calendared. Finally, from a technical perspective, there is an intrinsic difference between internal, administrative items such as schedules and the calendars, hearing results, and other items in official court records: access to schedules, when granted, is a "pull" operation, and access to calendars is a "push" operation.

Scheduling contrasts with docketing in that scheduling addresses events that have not yet happened and are not yet part of the official court record, while docketing addresses completed activities that are in the docket or register of actions, which is the official court record. Scheduling is anticipatory, and docketing is not anticipatory. Calendaring, like scheduling and unlike docketing, is anticipatory, but unlike scheduling and like docketing, addresses events that are part of the official court record.

The Scheduling Function covers scheduling with respect to both event deadlines and judicial proceedings and their resources. In this section, each group of subfunctions is categorized according to whether it typically consists of "event deadlines" or "judicial proceedings" subfunctions. As noted above, the judicial proceeding subfunctions begin a continuum of subfunctions extending from scheduling (adding scheduled events to a skeletal calendar) to calendaring (producing calendars when the skeletons are filled with scheduled events) and passing through document generation (producing notices and other documents associated with scheduled events).

The Scheduling Function also includes subfunctions associated with the ticklers, alerts, and prompts that inform users when schedules of either the event deadline or judicial proceeding type are in danger of not being met.

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

- case
- charge
- defendant
- defense attorney (public defender)
- judge
- participant
- prosecutor
- scheduled events

Subfunctions -- Within the Scheduling Function, the subfunctions are grouped into schedule creation, individual and resource assignment, schedule and case management, and ticklers and other user alerts and prompts.

3.1 Schedule Creation

Before considering the people and other resources that will serve as the foundation for schedules, 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, cases) that relate to each other.

Subfunction	Auto	Mand.	Opt.
<u>Event deadlines</u>			
3.1.1 schedule events and groups of events according to statutory and locally mandated time standards) for cases		all	
3.1.2 initiate schedule of future events based on occurrence of prior events (e.g., schedule arraignment after indictment or information filed, schedule hearing after violation of probation received from adult probation)	yes	all	
<u>Judicial proceedings</u>			
3.1.3 schedule multiple cases, defendant, and types of events for the same scheduled date and time (e.g., arraignments regarding an incarcerated defendant for single or groups of related cases)		all	
3.1.4 schedule groups of related cases as if group were a single case) (e.g., multiple defendants involved in same incident)		all	
3.1.5 suggest resolution to scheduling conflicts, allowing user overrides and rescheduling only with user approval	yes	all	
3.1.6 schedule maximum number of cases for specific time interval by event type (e.g., hearing in custody, out on bail)	yes	large	small
<u>Either event deadlines or judicial proceedings</u>			
3.1.7 when schedules change, modify records of all related “person data types”, calendars, docket entries, and other data	yes	all	

Subfunction	Auto	Mand.	Opt.
and functions			
3.1.8 apply specific change to multiple schedules for groups of cases (e.g., courtroom change for multiple defendants involved in same incident)		all	
3.1.9 provide manual override to reschedule group of cases as if the group were a single case (e.g., rolling power outage)		all	
3.1.10 provide utilities to assist user with manual schedule and rescheduling overrides or changes (e.g., by allowing user to enter event type, start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case processing stages; and by adjusting open time slots to reflect manual schedule entries)		all	
3.1.11 during manual scheduling and rescheduling display other future events for that case	yes	all	
3.1.12 permit users to designate cases with special scheduling needs (e.g., interpreter, disabilities)		all	

3.2 Person and Resource Assignment

Schedules built only on unverified hopes that the proper people (e.g., “person data types”) and resources (e.g., court or meeting rooms) will be available at the prescribed time usually prove to be worthless. This section covers standards for assignment of these people and resources in creating reliable schedules.

Most of these standards specify fully automated functions -- particularly in large courts with many people and resources to schedule. Short of full automation, the computer could assist the user in manual assignment by displaying the requisite information -- a process that may be appropriate for small courts.

Subfunction	Auto	Mand.	Opt.
All judicial proceedings			
3.2.1 maintain availability information on “person data types”, court facilities, and other scheduling factors noted in this section		all	
3.2.2 when creating schedules, consider (1) availability of “person data types” and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days specific individuals are unavailable; (3) scheduling conflicts to extent information in system (e.g., all law officer and witness schedules will not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, prosecutor and defense attorney vacations, law officer schedules) (see List of Code Translation Tables)	yes	all	

Subfunction	Auto	Mand.	Opt.
3.2.3 relate individual judges or groups of judges to courtrooms, locations, and departments		all	
3.2.4 relate individual judges or groups of judges to case management tracks over permissible time frames (e.g., in court with rotating judge assignments, a specific judge hears motions during a given period)		all	
3.2.5 relate individual judges or groups of judges to departmental staff resources (e.g., bailiff's)		all	
3.2.6 assign and reassign cases to individual or groups of judges using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon)	yes	large	small
3.2.7 assign related cases, as designated by user, to same judge and group together on schedule (e.g., multiple complaints regarding same problem or individual) (see Case Initiation and Indexing Function, and Docketing and Related Record Keeping Function)		large	small
3.2.8 reassign individual or group of cases from one judge or calendar to another as if group were single case (e.g., judge retires or moves to appellate court)		all	

3.3 Schedule and Case Management

The case processing system must provide highly flexible, user-defined printouts and displays of scheduling information in various groups (e.g., by day, judge, or courtroom). The system also must accommodate different methods of managing cases (e.g., fast track for time-sensitive filings, specific judicial assignment for specific types of cases) methods 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 individuals events, hearing types, dates, and facilities upon user request (e.g., judges calendar by day)		all	
3.3.2 display or print (including ability to redisplay, or reprint) attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, defense attorney, prosecutor)	yes	all	
3.3.3 identify and display scheduling conflicts	yes	all	
Either event deadlines or judicial proceedings			

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

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. While we are focusing on criminal case management standards in this document, we are in no way inferring that these standards supercede any other applicable standards such as ADA, NIST, NCIC, and other organizations. Other applicable standards should be used to enhance these criminal case management standards where appropriate.

Subfunction	Auto	Mand.	Opt.
Either event deadlines or judicial proceedings			
3.4.1 provide tickler capability: identify events coming due or overdue, periods about to expire or expired (e.g., bail forfeiture due), events of which user should be aware based on locally-defined needs (e.g., approaching maximum number	yes	all	

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

4. Document Generation and Processing Function

Description -- The activities associated with generating, distributing, and tracking documents that notify individuals of past and upcoming events and other court actions. The categories of documents in this section are (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as warrants and other served documents (e.g., subpoenas), and complaints, (2) those that are given or sent by mail to appropriate “person data types” that require proof or certificate of service such as notices and letters, and (3) those that are sent with no proof of service or used internally such as forms, letters, and brief reports (as opposed to more lengthy and complex documents described in the Management and Statistical Reports Function or produced by word processing).

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

Documents may be generated automatically following a specific event (e.g., notices to specific individuals when hearings are scheduled) or result from a user entry (e.g., bench warrants), and they may be either printed and distributed manually or distributed electronically (see Multi-Function Capabilities and Integration). Users must track served documents from the time they are sent out until the individual who has been served appears at the prescribed time and place.

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 these 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.

As noted in the Scheduling Function, the Document Generation and Processing Function (i.e., the capabilities that address generating and distributing notices and similar documents) combines with the judicial proceedings subfunctions of the Scheduling Function and with the Calendaring Function to establish court calendars and produce calendars and other documents related to the judicial proceeding. After setting up the

skeleton of each type of court calendar for a given time period, the court fills this skeleton with actual cases as it schedules them for judicial proceedings (the Scheduling Function). As it schedules these cases, the court produces notices and other documents that inform persons when and where the judicial proceeding will occur (the Document Generation and Processing Function). When a given skeleton is filled with cases, it is produced as a court calendar (the Calendaring Function).

This section excludes documents that record hearing results such as court orders and minutes, which are covered later in the Hearings Function; materials used in file tracking (e.g., case file labels, exhibit and property destruction notices), which are covered later in the File, Document, and Property Management Function; documents related to court, criminal support unit (i.e., bail, pre-trial services, and pre-sentence investigation) and ICJIS activities, which are covered in Criminal Support Functions; judgment and sentencing documents, which are covered in the Disposition Function; and financial documents (e.g., judgment forms), which are covered in the Disposition Function and the accounting functions.

Judges sign some orders (e.g., for bail and bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment, warrants and other served documents (e.g., subpoenas), in chambers, as opposed to at a hearing, and this section includes these orders. Warrant issuance, maintenance, and resolution must be allowed for in any automated case management system and must be as up to date as possible considering the “warrant’s” capability of depriving an individual of their freedom.

Those orders produced during a hearing are covered in the Hearings Function. Most other documents are covered in this section even though they may be produced during a hearing (e.g., bench warrants).

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

warrants and other served documents (e.g., subpoenas)
forms and other documents issued by court

- case
- charge
- defendant
- defense attorney (public defender)
- financial
- hearings
- participant
- prosecutor
- scheduled events

Subfunctions -- The subfunctions in this category are document generation and document utilities. Document utilities include the output templates that may be used in

document generation. On the other hand, documents may be produced by building a completely new document each time using program logic and user or system-supplied parameters. As noted above, documents for which templates would be useful contain court seals, signatures, or standard text. Documents for which program logic and user- or system-supplied parameters would be useful are highly formatted and contain minimal or non-standard text.

4.1 Document Generation

This category consists of all 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.

Subfunction	Auto	Mand.	Opt.
4.1.1 provide electronic acknowledgment and notify appropriate individuals that filings, pleadings, and other documents received and accepted when document filed electronically (see Multi-Function Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
4.1.2 generate documents (e.g., warrants and other served documents) triggered by specific event (e.g., hearing scheduled, plea agreement conference rescheduled, case dismissed, bail forfeited)	yes	all	
4.1.3 generate miscellaneous documents (e.g., for re-scheduled and canceled events; orders signed by judge in chambers such as for bail or bail reinstatement, postponement of proceedings due to pre-trial intervention, defense attorney appointment; follow-up letters such as requests for evidence; other types of documents)		all	
4.1.4 generate special notices (e.g., judge assignment, courtroom change, defense attorney change, schedule change, other courtesy notices) when requested		all	
4.1.5 generate one notice for a case with multiple future court events to all participants		all	
4.1.6 print documents individually (including ability to reprint) or in batches in local courts or central location as scheduled (see event driven systems) or when requested		all	
4.1.7 distribute documents electronically (e.g., documents to be sent to process server; notices and other documents to defense attorneys and other persons; notices, warrants and other served documents (e.g., subpoenas), and other documents to be entered in docket) in accordance with state and local statutes, rules, or procedures (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping Function)	yes	all	
4.1.8 perform above generation, print, and distribution		all	

Subfunction	Auto	Mand.	Opt.
functions for group of related cases as if group were single case			
4.1.9 suppress inclusion of user-designated confidential information such as victim and witness information in notices and other documents (e.g., mask out information, such as victim/witness information) (see Security and Data Integrity Function)		all	

4.2 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.
4.2.1 allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., warrants and other served documents (e.g., subpoenas), with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., brief progress reports on plea agreements, some types of notices) (see External Interfaces in Appendix A, Docketing and Related Record Keeping and General Accounting and Criminal Support functions)		all	
4.2.2 relate each output template and text noted above to document(s) and court event(s) in which they are used		all	
4.2.3 maintain files of standard text and use to create entire documents or to insert text into "boilerplate" court forms; relate each group of text to document(s) and court event(s) in which they are used (same as above sub-function except no output templates, which would necessitate imaging)		all	
4.2.4 provide capability to enter, store, and retrieve postal and electronic mail address (and other information pertaining to), all "person data types" who should receive specific documents from various locations in system and database as if, from user perspective, they were in same record (see List of Code Translation Tables)		all	
4.2.5 record pertinent information regarding all documents sent or served, and track document issuance and follow-up		all	

Subfunction	Auto	Mand.	Opt.
activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service, any judicial proceedings, and status information (e.g., warrant tracking and warrant recall working with ICJIS interface) (see Docketing and Related Record Keeping and Criminal Support functions)			
4.2.6 produce status of documents sent or served		all	

5. Calendaring Function

Description -- The activities associated with the production of court calendars including the generation, maintenance, and, in some instances (e.g., electronic), distribution of court calendars for each type of hearing (e.g., jury trial, non-jury trial, motion hearing).

While not customarily part of calendaring, within this document calendaring includes plea agreement conferences. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, evidence and exhibits are considered and examined by a judge. (Recall from the data type definitions that the term "judge" includes judges, magistrates, and other judicial officers such as quasi-judicial personnel who conduct conferences aimed at plea agreements.)

As noted in the Scheduling Function, the Calendaring Function combines with the judicial proceedings subfunctions of the Scheduling Function and with the Document Generation and Processing Function to establish court calendars and to produce calendars and other documents related to the judicial proceeding. After setting up the skeleton of each type of court calendar for a given time period, the clerk's office fills this skeleton with matters to be considered by the court as it schedules them for judicial proceedings (the Scheduling Function). As the clerk schedules these cases, the court produces notices and other documents that inform persons when and where each judicial proceeding will occur (the Document Generation and Processing Function). When a given skeleton is filled with cases, it is produced as a court calendar (the Calendaring Function).

Calendaring, in conjunction with its scheduling counterpart, is the deliberate and official act of placing a matter on a judge's calendar for a hearing, trial, conference, or plea agreements on a particular date. The calendared activity, which may be immediate or on a future date, refers to court business conducted by a judge, usually with counsel and defendant present, and resulting in a decision by the judge. The action, rulings, orders, or judgments from the event cause production of a document that -- with the calendar itself -- is part of the official court record, and the clerk docket the result through an entry reflecting the action taken (e.g., a minute order or other document issued by the court); these activities are described in the Docketing and Related Record Keeping, Hearings, and Disposition functions. This action will affect the eventual outcome of the case and the schedule through which the case will travel to this outcome.

There are basic differences between calendaring, scheduling (see Scheduling Function), and docketing (see Docketing and Related Record Keeping Function). Scheduling contrasts with docketing in that scheduling addresses events that have not yet happened and are not yet part of the official court record, while docketing addresses completed activities that are in the docket or register of actions, which is the official court record. Scheduling is anticipatory, and docketing is not anticipatory. Calendaring, like scheduling and unlike docketing, is anticipatory, but unlike scheduling and like docketing, addresses events that are part of the official court record.

The calendar can be characterized by a particular case type or category, hearing type (e.g., motion), all matters set for a particular courtroom on a given day or over a range of days, or all matters set for all judges of a trial court on a given day or over a range of days. In the given courtroom, the judges may function individually or as members of teams or panels.

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

- case
- charge
- defendant
- defense attorney (public defender)
- judge
- participant
- plea
- prosecutor
- sentence

Subfunctions -- 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. Then, as the hearing date approaches, users maintain the calendars (e.g., by entering changes such as adding witnesses, changing defense attorneys, returning to scheduling because the case has been continued, exchanging information between calendars), finalize each calendar at a prescribed cut-off point, print or otherwise generate the calendar, distribute it to judges and to strategic courthouse locations for posting, and produce summary reports. The following table gives the calendaring subfunctions:

Subfunction	Auto	Mand.	Opt.
5.1 provide flexibility with respect to calendar content and format (e.g., judges notes integrated into calendar)	yes	all	
5.2 produce calendars and incorporate calendar addenda specifically identifying calendar addendums -- based on scheduling information (see Scheduling Function) -- for each	yes	all	

Subfunction	Auto	Mand.	Opt.
type of hearing (e.g., jury trial, non-jury trial, motion, preliminary, dismissal) or mixed hearings (e.g., motions and plea agreements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, post-conviction activity such as violation of probation, other elements of calendar profiles)			
5.3 produce calendars individually (e.g., for a judge or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom		all	
5.4 produce calendars and related outputs individually or in batches in local courts or central location		all	
5.5 produce summary calendar information (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on related cases or participants) (see Management and Statistical Reporting Function)		all	
5.6 record and output reason each case on calendar (e.g., motion to dismiss)	yes	all	
5.7 generate and output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons		all	
5.8 produce summary of upcoming hearings for given judge or in given courtroom over specific period (e.g., one week)		all	
5.9 track and output calendar modifications (e.g., judge, or other persons, or courtroom reassignments, cases taken off calendar) over specific period		all	
5.10 distribute calendars electronically (e.g., jury manager, court reporters, criminal support units, and CJ agencies) (see Multi-Function Capabilities and Integration and Criminal Support Functions)	yes	all	
5.11 create and maintain judges notes (i.e., judge's notes and comments for use with calendar) for judge's viewing only in accordance with local rules and statutes (see Security and Data Integrity Function)			all
5.12 provide ability to move blocks of cases or user-selected cases between calendars		all	
5.13 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings) (see Security and Data Integrity Function)		all	

6. Hearings Function

Description -- The activities associated with reaching a decision in calendared events, recording the results of these events, and notifying the appropriate persons of court decisions. In the context of this document, calendared events include all proceedings in which arguments, witnesses, evidence and exhibits are heard and examined by a judge. (Recall from the data type definitions that the term "judge" includes judges, magistrates, and other judicial officers such as quasi-judicial personnel who conduct conferences aimed at plea agreements.) This encompasses court events, such as trials, motion hearings, sentencing, and plea agreement conferences.

Even though most cases reach an important intermediate milestone (e.g., in a motion hearing) or culminate when they are adjudicated, the Hearings Function imposes only the three functions noted above – reaching a decision, recording the results, and notifying various “person data types” -- on case processing systems.

Jury instructions, minute entries –(normally annotated on the calendar or on separate forms), and court orders, respectively, document the judge’s instructions in jury trials, record hearing results and the defendant and other participants who appeared and did not appear, and document the findings resulting from the judicial proceedings. In performing these tasks, the Hearings Function relates closely to the Document Generation and Processing, Calendaring, Disposition, and Case Close functions.

As the hearing progresses, the judge may order a warrants and other served documents (e.g., subpoenas), some other type of form, or some other document, which would be generated and printed as described in the Document Generation and Processing Function.

The court order documents the judge's decision. This section covers these types of orders, which result from a formal, calendared event such as a hearing. Judges sign other orders out of the courtroom in an informal setting (e.g., orders signed in the judge's chambers), and the Document Generation and Processing Function includes these orders. 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 case management information also falls to the clerk of courts.

The Hearings Function cannot be presented chronologically relative to other functions. For example, motion hearings can occur at any point as a case proceeds to disposition. As another example, trials and sentencing relate closely to the Disposition, Compliance, and Criminal Support functions in that many cases proceed as follows: single or multiple trial(s) to adjudicate all charges (Hearings Function), pre-sentence investigation (Criminal Support Functions), sentencing (Hearings Function), preparation of judgment and sentencing documents (Disposition Function), compliance activities as problems arise (Compliance Function), post-conviction hearings (Hearings Function), and preparation of post-conviction documents (Compliance Function). Because of these

differences in case processing within the Hearings Function, the subfunction table contains headings for groups of subfunctions that apply to a particular type of hearing (e.g., sentencing). Subfunctions that typically apply to all types of hearings are so noted.

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

- case
- charge
- defendant
- defense attorney (public defender)
- exhibits
- forms and other documents issued by court
- hearings
- judge
- orders
- participant
- plea
- prosecutor
- sentence
- scheduled events

Subfunctions -- 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.
All types of hearings			
6.1 provide for minute entry suitable for multiple-case and multiple-defendant situations using one of methods noted below		all	
6.2 provide user-defined format for real-time, in-court entry of minutes or entry of minutes after judicial proceedings		all	
6.3 produce worksheet, calendar, or some other document suitable for manually recording minutes (see Document Generation and Processing and Calendaring functions)			all
6.4 produce minutes recorded on calendar or worksheet		all	
6.5 use events captured in minutes to interface with other functions and update records throughout system in accordance with state and local statutes, rules, or procedures (e.g., sentencing, accounting, adjournments, continuances, rescheduling, notice generation with accompanying docket entries)	yes	all	
6.6 create and print (including ability to reprint) jury instructions linked to specific charges in jury trials			all

Subfunction	Auto	Mand.	Opt.
6.7 create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time		all	
6.8 enter information in court orders as events in docket in accordance with state and local statutes, rules, or procedures (see Docketing and Related Record Keeping and Disposition functions)		all	
6.9 distribute court orders electronically to external (to the court) recipients and internally to be entered in docket (see Multi-Function Capabilities and Integration; Docketing and Related Record Keeping, Disposition, and Criminal Support functions)	yes	all	
6.10 distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available			all
6.11 schedule subsequent events (e.g., motion hearing or sentencing hearing) on-line (see Scheduling Function)		all	
6.12 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function.		all	
Sentencing hearings			
6.13 send and receive materials to and from other units to assist in judicial functions (e.g., send pre-sentence information to pre-sentence investigation unit and receive results of investigation for use in sentencing, conviction information to adult probation unit and probation information from unit, contents of order for psychological evaluation to non-justice agencies and results of evaluation from non-justice agencies) (see Criminal Support Functions)		all	
6.14 compute, or receive from Criminal Support Functions, and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures (see Criminal Support Functions)		all	
6.15 compute, or receive from Criminal Support Functions, and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures (see Criminal Support Functions)		all	
6.16 compute, or receive from see Criminal Support Functions, and enter non-monetary provisions (e.g., work program, restitution by services) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures (see		all	

Subfunction	Auto	Mand.	Opt.
Criminal Support Functions)			
6.17 link charges and fine or restitution amounts	yes	all	
6.18 enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant		all	
6.19 compute, or receive from Criminal Support Functions, and enter probation term and compute, or receive expiration date of probation (see Criminal Support Function)		all	

7. Disposition Function

Description -- The activities associated with disposing a case or defendant in a case, including any type of disposition resulting from a court decision after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture. This function supports the user in accomplishing the actions called for in court orders.

The function receives information on cases to be disposed following a trial, a plea agreement, a sentencing hearing, and other type of judicial proceedings from the Hearings Function. It receives information on other disposed cases from other functions, primarily the Docketing and Related Record Keeping Function. It often functions contiguously with the Case Close Function in disposing and closing cases.

The term "judgment" is used in three contexts: first, as the general term for any disposition that results from a court decision as noted above; second, to connote the information contained in a judgment such as the details of the judge's decision and sentence imposed (e.g., restitution, jail or prison, suspended, fine, probation, work program, payment provisions) for each charge; third, to cover the judgment form, which is created at case disposition to document the judgment and contains the judgment information.

Even though this document uses the term "judgment" as noted above, the terminology that connotes disposition differs by state and locality as well as sometimes by the stage a case is in as it moves to closure. Some other terms that may be synonymous with or subsumed in "disposition" are "sentence," "conviction," "adjudication," and "termination." The same semantics problem emerges when discussing activities that occur after a court's decision is rendered. This document refers to such activities as "post-conviction" activities, although in some locations terminology analogous to the above synonyms may be used.

Courts normally track post-conviction activities reactively -- not proactively in an explicit effort to track satisfactions of sentence conditions -- as information becomes available (e.g., in probation violation) to them. Criminal courts may divert from these

normal procedures and track post-conviction events proactively when follow-up action is required (i.e., sentence involves restitution, probation, a work program, or a payment plan). The court may receive periodic information from the unit that administers the program (e.g., probation department; see Criminal Support Functions), particularly when follow-up action is required.

The Disposition Function cannot be presented chronologically relative to other functions. For example, trials, sentencing, and post-conviction activities relate closely to the Hearings, Compliance, and Criminal Support functions in that many cases proceed as follows: single or multiple trial(s) to adjudicate all charges (Hearings Function), pre-sentence investigation (Criminal Support Functions), sentencing (Hearings Function), preparation of judgment and sentencing documents (Disposition Function), compliance activities as problems arise (Compliance Function), post-conviction hearings (Hearings Function), and preparation of post-conviction documents (Compliance Function).

Other information exchange occurs within court system functions such as the Hearings Function, which supplies information from subsequent hearings that relate to the judgment; the General Accounting and Accounting – Bookkeeping Functions, which provide information on amounts paid, due, overdue, and disbursed; and the Compliance and Criminal Support functions, which provide information on any post-conviction activities that may be needed. Exchange of disposition and sentence information may occur with (1) other governmental units at the federal, state, and local levels (e.g., prosecutor and law enforcement for charge disposition information, corrections for sentence information); (2) private organizations (e.g., credit reporting companies, collection agencies, treatment service providers); and (3) other users (e.g., defense attorneys, defendants, researchers).

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

- case
- charge
- conviction
- defendant
- financial
- forms and other documents issued by court
- participant
- plea
- post sentence
- prosecutor
- sentence
- scheduled events

Subfunctions -- The disposition subfunctions could apply to a case or defendant -- which usually are the same in criminal cases -- or 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. The disposition subfunctions are given in the following table:

Subfunction	Auto	Mand.	Opt.
7.1 record disposition, sentence for entire case and each count of each charge(see Hearings Function)		all	
7.2 process information (e.g., update docket and other records, if not updated automatically as noted below, through Docketing and Related Record Keeping Function) and produce documents (e.g., judgment form, sentencing documents, custody forms; see Hearings and Criminal Support functions) for dispositions (i.e., judgments) after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture		all	
7.3 distribute disposition documents noted above electronically external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections) and internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Criminal Support functions)	yes	all	
7.4 maintain and produce disposition and sentence information that show, for each case and defendant, original and subsequent charges and dispositions and sentences for each charge (see Case Initiation and Indexing, Compliance, and Criminal Support functions)	yes	all	
7.5 update each case in group of disposed cases as if group were single case (see Docketing and Related Record Keeping Function)	yes	all	
7.6 prompt to dispose of all charges on a single case		all	

8. Compliance Function

Description -- The post-conviction activities relating to compliance with sentence and supervision conditions. These situations normally arise when the court is informed by the unit that administers post-conviction programs (e.g., adult probation) that the defendant has not complied either with the sentence or supervision conditions.

Since the unit that administers post-conviction programs may not be within the courts organization, the courts may track post-conviction activities reactively -- not proactively in an explicit effort to track satisfactions of sentence and supervision conditions -- as information becomes available (e.g., in probation violation) to them. Criminal courts may divert from these normal procedures and track post-conviction events proactively when

follow-up action is required (i.e., sentence involves restitution, probation, a work program, or a payment plan). The court may receive periodic information from the unit that administers the program (e.g., probation department; see Criminal Support Functions) and from the unit that collects payments (see accounting functions), particularly when follow-up action is required.

The ongoing compliance and collection activities – independent of the unit in which they are performed – may include issuing papers (e.g., issuance of warrants and drivers license), calculating expiration dates, and tracking payments made through the court (see Accounting – Bookkeeping Function). The Compliance Function interacts with the Hearings, Disposition, accounting, and Criminal Support functions in these tasks.

The Compliance Function cannot be presented chronologically relative to other functions. For example, trials, sentencing, and post-conviction activities relate closely to the Hearings, Disposition, and Criminal Support functions in that many cases proceed as follows: single or multiple trial(s) to adjudicate all charges (Hearings Function), pre-sentence investigation (Criminal Support Functions), sentencing (Hearings Function), preparation of judgment and sentencing documents (Disposition Function), compliance activities as problems arise (Compliance Function), post-conviction hearings (Hearings Function), and preparation of post-conviction documents (Compliance Function).

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

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- financial
- orders
- participant
- plea
- post sentence
- prosecutor
- sentence

Subfunctions -- The following table gives the compliance subfunctions:

Subfunction	Auto	Mand.	Opt.
8.1 process information and produce documents (e.g., court orders such as revocation of probation, reduction of sentence) on post-conviction activities (e.g., in response to motions for execution of judgment, reduction of sentence, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine) (see Compliance, Accounting -- Back		all	

Subfunction	Auto	Mand.	Opt.
Office, and Criminal Support functions)			
8.2 distribute post-conviction documents noted above electronically external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement, drivers services, and corrections) and internally to be entered in docket (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Criminal Support functions)	yes	all	

9. Case Close Function

Description -- The activities associated with final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition, but this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g., due to court policy regarding probation or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).

Analogous to the terminology in other sections of this document, the terminology and policies associated with case closure varies from jurisdiction to jurisdiction. Some of the topics addressed in this section and the File, Document, and Property Management Function that vary with locality are overall case closure and its components – operational and statistical closure – as well as case archival, destruction, and purge. In some jurisdictions, furthermore, policies permit cases in some stage of closure (e.g., statistically closed) to be reopened – that is, one or more charges are reopened -- without creating a new case.

Case closure sometimes occurs when the case is disposed, which usually means the court has issued a final order disposing all defendants (typically there is only one defendant per case) and all charges and has statistically closed the case. In some cases involving restitution, a work program, or probation, closure may not occur until the sentence conditions have been satisfied although such cases may still be considered statistically closed after the judgment has been rendered.

Case closure, however, seldom causes a case to be removed from the case processing system and placed in an archive file. Cases are archived sometime after closure and lapse of the appeal period according to state and local records management policies, and at this point the case becomes operationally closed.

From the perspective of a case processing system, the Case Close Function and subfunctions in this section address statistical closure (i.e., the closure that relates to

disposition), and the File and Property Management Function addresses operational closure (i.e., the closure that relates to archiving).

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

- case
- charge
- conviction
- defendant
- disposition
- file management
- financial
- forms and other documents issued by court
- hearings
- participant
- post sentence
- prosecutor

Subfunctions -- As noted above, 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. These subfunctions are:

Subfunction	Auto	Mand.	Opt.
9.1 receive information from Disposition Function and record reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture) (see Multi-Function Capabilities and Integration)		all	
9.2 receive information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules (see Accounting – Bookkeeping and Criminal Support functions)	yes	all	
9.3 establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions	yes	all	
9.4 identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, unsentenced guilty charge, unpaid fines)	yes	all	
9.5 close case (e.g., change status to closed; update docket; generate required forms, notices, reports for that case) (see Docketing and Related Record Keeping, Document Generation and Processing, Management and Statistical Reports functions)		all	

Subfunction	Auto	Mand.	Opt.
9.6 generate overall case closure reports (e.g., cases closed over specific period with reason closed, see Management and Statistical Reports Function)		all	
9.7 provide a facility for re-opening previously closed cases		all	

10. General Accounting Function

Description -- The activities necessary to satisfy the court's fiduciary responsibilities includes receipt of funds, posting case-related funds to a case fee record, posting non-case-related funds to other types of records, maintaining account records, disbursing funds, generating checks, billing, producing payment agreements, producing notices required for collection activities, reconciling bank accounts, and producing documents required to satisfy county, state, and federal auditing agencies.

With respect to the functional standards in this document, the accounting activities differ from the case processing functions covered previously because many accounting functions may be performed by different personnel and may be supported by a different computer system. Please note in reviewing the accounting functional standards that, while courts and criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation) collectively perform similar accounting functions nationwide, the allocation of these functions throughout the organization varies.

Organizationally, the accounting functions may be divided between the clerk's case processing staff; a finance unit in the clerk's office, an executive branch agency (e.g., county finance), or a court administrative office; and criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation) that may be in the executive branch or the court organization. With regard to computer systems, in addition to performing case processing functions, the case processing system may support some or all of the accounting functions. Accounting support, however, could be provided by financial systems that perform functions such as budgeting, payroll, accounts payable, accounts receivable, fixed assets, journaling and general ledger, and trust fund management and by criminal support systems that monitor bail and installment (e.g., fines, restitution) payments, disburse bail and restitution moneys, and identify violations of the court's payment orders.

These standards address the functions that should be performed somewhere in the overall court and criminal support unit (i.e., bail, pre-trial services, and pre-sentence investigation) organization; they are independent of the specific unit in which the functions would be performed.

The standards contain four sections of accounting subfunctions: general or common, receipting, bookkeeping, and general ledger. Within each section, the subfunctions are further divided depending on whether they are primarily case processing or financial. There are three such groups of subfunctions: one case processing and two financial.

First, case-related subfunctions apply directly to case processing systems. These functions assess court costs and fees; collect court costs, fees, and other payments; generate receipts; maintain some bank accounts; prepare deposits; and prepare reports on these activities. The second and third groups of subfunctions provide financial support to case processing. Functions in the second group handle a wide range of interest-bearing and non-interest-bearing accounts, process accounts receivable and payable, disburse funds, adjust fund balances, maintain journals and general ledgers, and produce end-of-period reconciliations and other summaries and reports. The third group of functions deals with bail payments and court-ordered installment (e.g., fines, restitution) payments by establishing payment schedules for specific cases and persons, collecting and disbursing payments, monitoring compliance to court orders and payment schedules, identifying violations, and notifying appropriate units to enforce court orders in the event of violations. Functions such as budgeting, payroll, and fixed assets relate only tangentially to case processing and are excluded from these standards.

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

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

The case processing and accounting functions relate closely to each other, to other case processing and accounting functions, and to accounting equipment. The Receipting and Bookkeeping accounting functions often interact automatically and in a user-transparent manner to disburse collected funds to agencies and associate collected funds with defendant accounts. Within the broader case processing context, for example, many accounting functions cause a docket entry; violation of a work program or restitution order may invoke the Docketing and Related Record Keeping, Document Generation and Processing, Scheduling, Calendaring, Hearings, Disposition, and Compliance functions as well as accounting functions; many accounting reports relate to the other management and statistical reports; and the system may be required to interface with court cash register systems for funds collection and receipting. Because of these and many other interfaces, if the financial, court support, and case processing systems are separate, the interface between them must be such that they operate as if they were a single system from the users’ perspective. The accounting sections given below note only the most significant interfaces within the accounting functions and between the accounting functions and the other case processing functions, and they do not repetitively state the

fact that all court support subfunctions interface with the Criminal Support Functions -- particularly bail and adult probation.

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

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- financial
- participant
- post sentence
- prosecutor
- sentence

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

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

Subfunction	Auto	Mand.	Opt.
monies, disburse funds (e.g., to defendant who posted bail, to court for court costs, to other participants, victim(s), or both for restitution), suspend disbursements, record bail forfeiture monies as revenue, disseminate bail register 10.7 Interfaces that allow for the collection and receipting of fines, fees, and bonds by non-court persons or companies, should prohibit the deletion or modification of financial or other case data within the security matrix.			

11. Accounting -- Receipting Function

Description -- This section covers the receipting functions, in which defendant and their representatives submit payments required by the court and collect the appropriate receipts. Receipting functions usually are performed at the cashiering station of the front counter in the clerk's office. They relate closely to the Bookkeeping Function, which often processes funds collected automatically to accomplish such tasks as funds distribution and account updates.

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

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

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 moneys collected (see Accounting -- Bookkeeping Function)	yes	all	
11.1.2 permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of person submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
11.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.4 accept payments by electronic funds transfer (see Multi-Function Capabilities and Integration)	yes	all	
11.1.5 apply payments by electronic funds transfer from draw-down or escrow accounts pre-established by attorneys	yes	all	

Subfunction	Auto	Mand.	Opt.
and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses) (see Multi-Function Capabilities and Integration, Accounting -- Bookkeeping Function)			
11.1.6 associate fees that may or may not be case related (e.g., for forms, document copies, certified copies) with persons who may not be directly involved in a case (e.g., from general draw-down accounts, couriers, media) and process appropriately (e.g., not docketed if not related to specific case)		all	
11.1.7 record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non-case related)	yes	all	
11.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	
11.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
11.1.10 accept single payment for multiple cases with capability to process separately for each case		all	
11.1.11 permit cashier, with proper authority, to override pre-established funds distribution priorities		all	
11.1.12 transfer funds from one case to another case or between accounts in a given case (see Accounting -- Bookkeeping Function)		all	

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 (e.g., fee, fine, restitution code; court location and address) and supporting information (e.g., amount assessed, reason for assessment, amount collected, installment or partial payment plan and status) based on collections with user option to receive single or multiple copies		all	
11.2.2 generate and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration)	yes	all	
11.2.3 generate and print (including ability to reprint) receipts	yes	all	

Subfunction	Auto	Mand.	Opt.
with unique, locally-defined, sequential receipt numbers			
11.2.4 generate and print (including ability to reprint) multiple receipts from one financial transaction covering payment for multiple cases or purposes (e.g., defense attorney files and pays fees for several cases in one trip to courthouse)		all	
11.2.5 generate and print (including ability to reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., defense attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse)		all	
11.2.6 permit receipts to be re-printed (e.g., if printer malfunctions during printout) with same receipt numbers		all	

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

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

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's, statements, reports, and other documents.

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

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

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 level of bank accounts but not at the lower levels of the case, defendant, and other accounts subsumed in bank accounts. Similarly, the standards do not address interest on delinquent payments.

Subfunction	Auto	Mand.	Opt.
Case processing or financial			
12.1.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk)		all	
12.1.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		all	
12.1.3 print (including ability to reprint) system-wide daily cash receipts journal		all	
12.1.4 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see General Accounting Function)		all	
Financial			
12.1.5 calculate and record bank deposits		all	
12.1.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
12.1.7 print (including ability to reprint) bank deposit slips for specific banks and periods		all	
12.1.8 for specific periods: compare court record of checks with bank record of checks; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report giving discrepancies for all reconciliation's		all	
12.1.9 produce list of items that remain open for accounts that carry balance forward from one period to next period		all	
12.1.10 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
12.1.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Accounting - - Receipting Function)		all	
12.1.12 receive bank statements and reconcile bank accounts	yes	all	

Subfunction	Auto	Mand.	Opt.
electronically (see Multi-Function Capabilities and Integration)			

12.2 Draw-Down Account Management

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

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

12.3 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			
12.3.1 maintain financial parts of case files and docket (e.g., payments collected, liabilities with linkage to accounts receivable in finance) (see Docketing and Related Record Keeping Function)	yes	all	
12.3.2 compute and produce costs and fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
12.3.3 identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review)	yes	all	
12.3.4 record funds collected from other local, state, and private units for payment of specific case and defendant costs,		all	

Subfunction	Auto	Mand.	Opt.
fees, and judgments (e.g., for service of summons by law officer for another jurisdiction)			
12.3.5 record changes to accounting records that result from court orders (e.g., change in monthly restitution amount) and modify appropriate records		all	
12.3.6 maintain standard tables for court costs, fees, and fines (see List of Code Translation Tables)		all	
Case processing or financial			
12.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single defendant in case) case and defendant accounts when initial fees collected for new case (see Accounting -- Receipting Function)		all	
12.3.8 allow payment of costs, fees, and other charges assessed to specific person in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay through)		all	
12.3.9 post case- or defendant-related receipts to accounting records and docket or register of actions (installment payment receipts usually would not be entered in docket); associate receipts with proper case, defendant, account, or case activity; interact with receipting to accomplish these tasks (see Docketing and Related Record Keeping Function)	yes	all	
12.3.10 post case- and defendant-related disbursements to accounting records and docket or register of actions (installment payment disbursements usually would not be entered in docket); associate disbursements with proper case, defendant, other person (e.g., victim(s)), account, or case activity (see Docketing and Related Record Keeping Function)	yes	all	
12.3.11 apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		all	
12.3.12 maintain and track various types of individual case or defendant accounts and balances by case, due date, and defendant (a few accounts, such as defense attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are court support; most other accounts, such as trusts and most escrow accounts, are financial)	yes	all	
12.3.13 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or		all	

Subfunction	Auto	Mand.	Opt.
chronologically) for specific cases and defendants over specific periods (e.g., daily, monthly, for life of case)			
Financial			
12.3.14 accrue fees to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., defense attorney and media accounts), and produce account statements	yes		all
12.3.15 generate and print (including ability to reprint) invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
12.3.16 produce correspondence such as payment notices and dunning letters (see Scheduling Function and Document Generation and Processing Function)		all	
12.3.17 mark case or defendant account closed or some other designator		all	
12.3.18 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
12.3.19 produce periodic (e.g., daily, monthly) report showing financial status and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or defendant account		all	
12.3.20 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see General Accounting Function)		all	
Financial (primarily court support)			
12.3.21 create payment schedule, collect payments, apply payments collected to scheduled amount due (e.g., amount in judgment), and produce reports on overdue amounts (e.g., for previously-waived fees)		all	
12.3.22 identify (i.e., input or compute) and record payment delinquencies, generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency or law enforcement) (see Scheduling, Compliance, Criminal Support functions)	yes	all	
12.3.23 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, defense attorney fees) installment payments and partial payments from defendant subsequent to disposition (see General Accounting, Disposition, and Compliance functions)		all	
12.3.24 generate accounting notices (e.g., for payment, overdue payment) in receipting or bookkeeping (see	yes	all	

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

12.4 Distribution Account Management and Funds Disbursement

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

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

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

12.5 Administrative

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

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

13. Accounting -- General Ledger Function

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

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

Subfunctions -- The general ledger subfunctions are:

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

14. Criminal Support Functions

Description -- The functions and data associated with interfaces between the court’s criminal case processing system, criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services. These interfaces allow courts to share defendant and case information with the criminal support units, CJ agencies, and some non-justice agencies such as social services.

Use of the term “integration” in no way implies the relationship between separate agencies, rather that data used in these agency’s automated systems are exchanged to the extent necessary. There is no implication regarding each agency’s lawful responsibilities. In keeping with the approach used in these standards, this section assumes the automated case processing system will be part of an ICJIS at some time in the near future if not currently. Since this will most likely be a phased-in process and the automated case management system (of which criminal cases will constitute a major part), will initially be a stand-alone system in many instances, the system and interfaces should be developed in a manner that will permit them to evolve into part of a full ICJIS.

The integration of an automated case management system with the other required applications that comprise what is generally considered an ICJIS will require significant

analysis and planning, and at considerable cost, in order to provide the required interfaces necessary to exchange information electronically. Process mapping of the different participants in the ICJIS system along with an in-depth analysis of the “data exchange points” and data exchange requirements is mandatory if the participants desire to minimize the chaos that can be involved with the electronic exchange of information between different branches of government.

The ICJIS is premised on the sharing of information between the courts, criminal support units, CJ agencies, and non-justice agencies that initiate and respond to the action -- law enforcement, prosecutor, public defender (defense attorney) -- and those that must act on the court’s decisions -- corrections, parole and probation, and non-justice agencies. With the continued and expanding embrace of the electronic transfer of information and with fully functional audit trail (transactional tracking) capabilities enhancing system accountability; there is enhanced interest in the exchange of information between justice partners in a truly “paperless” environment. For example, warrant issuance, maintenance, and resolution must be allowed for in any automated case management system and integration effort and the warrant information must be kept as up to date as possible considering the “warrant’s” capability of depriving an individual of their freedom. Any serious analysis of integration at any level will evaluate the “paperless” environment as a credible option.

There are sound and measurable business reasons to embrace the concepts of and implement an ICJIS solution. They include the following:

- It will help to hold defendants more accountable.
- It will enhance public and officer safety.
- It will assist with better decision-making and the allocation of resources.
- The positive identification of the defendant at the earliest contact with law enforcement is mandatory from an officer safety point of view.
- The positive identification of the defendant will help ensure the accurate maintenance of all CJ agency and court information.
- A common access, query and extraction of any agency’s data will improve the completeness and timeliness of getting information for the public and to criminal justice workers whose personal safety depend on the receipt of timely and accurate information in the field. This data drives the decision making process and is invaluable in the allocation of resources.
- A shared data environment will enhance the accuracy and compatibility of data at all agencies. Data field definitions and the information contained in these databases will conform to user defined and agreed upon standards.
- A simplified query interface design and training will give criminal justice workers equal access to the information they need to meet their responsibilities regardless of where in criminal justice arena they work.
- A simplified non-redundant method of capturing data at the point of origin will save time and resources at the courts, criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor,

public defender (defense attorney), and adult probation), and non-justice agencies such as social services. Time and resources that can be deployed elsewhere.

Criminal support activities embrace bail, pre-trial services, and pre-sentence investigation functions, which often accompany case initiation, and adult supervision functions, which may occur before, during, and after disposition. Each of these functional areas, both within the court and outside the court management arena, have specific needs in regards to case management which may not be met by the court's case management system. It is important to share information at a data level between these separate case management systems in order to receive full value from any ICJIS system. While we cannot identify all possible locations where the functions of assessment, investigation, and supervision can occur, suffice it to say that these functions are imperative to the criminal justice process regardless of which agency performs the actual tasks. For example, the probation department and courts usually have separate -- but interfacing -- case processing systems. These standards address criminal support unit functions and interfaces that directly relate to criminal case processing, and this is independent of whether the units, organizationally, are internal or external to the court.

CJ agencies include law enforcement, prosecutor, public defender (defense attorney), and adult probation, and -- while not formally part of ICJIS -- the non-justice agencies such as social services. Courts, criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services, share information, supply information to, and obtain information from the ICJIS interface. To coordinate this information (e.g., coordinate identifiers and charges that vary between the courts, criminal support units, CJ agencies, and non-justice agencies), the standards include data maintenance and tracking subfunctions in addition to subfunctions that address each functional area.

In the past, each court, criminal support units, CJ agency, and non-justice agencies have been technologically supported by their own stand-alone computer applications. These applications were generally supplied by a multitude of vendors that had developed expertise in that particular field and created these stand-alone applications. There has been some effort to establish data exchange standards that address information exchange between these disparate systems however, at most state and local levels of government, the courts, criminal support units, CJ agencies, and non-justice agencies that are currently exchanging information, have had to develop the interfaces between these applications themselves. This is a prohibitively expensive proposition for any level of government.

Interfaces between the courts, criminal support units, CJ agencies, and non-justice agencies may range from direct system-to-system inquiries to complex data exchange procedures. Regardless of the methodology required to exchange or propagate information, sufficient data exchange standards and translation capabilities must be employed to mitigate any differences between interfacing systems. System-to-system -- or database-to-database -- communications could be accomplished using dial-up lines, Internet or intranet usage, and other network technologies. In order to implement

electronic information exchange, courts must establish exchange procedures (see Multi-Function Capabilities and Integration) that are compatible with the case processing system. This document prescribes that these interfaces must exist but not how they will be accomplished. As with other technologies, the interfaces could evolve from rudimentary to advanced using technologies such as those noted in Related Technical Considerations in Appendix A.

It is recognized that these interfaces will be built on technological innovations developed for the more lucrative markets comprised of private business. In this context, the World Wide Web and the technologies it has spawned are irrevocably linked to the future of ICJIS, and the non-proprietary standards that are emerging from these efforts must be supported. It can be concluded that the vision of integrated justice information systems is that of a “virtual system”, and one that must accommodate the lowest level of interface in connecting these agencies.

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

The bail unit typically collects bail and bail monies and generates receipts for these monies; enters bail information (e.g., type, amount, source, status, conditions for release from custody); maintains arrest, custody, bail, and bail status; administers and terminates bail; enters bail releases pursuant to court orders; disburses funds; produces detail and summary reports on bail status; generates and maintains a bail register; and produces audit trails and bail history reports. These functions embrace accepting multiple bails per offense, accepting “foreign” bail, allowing multiple clerk entry of bail, allowing access to bail and bail information (e.g., defendant name, case number, bail amount, surety, bail type, bail status), separating bail forfeiture monies deposited by sureties from bail forfeiture monies collected from cash bail, and passing bail forfeiture monies as revenue to the accounting functions.

Data Types Used -- The data types required for the data exchange points and other data elements necessary to facilitate and define the interfaces between the courts, criminal support units, CJ agencies, and non-justice agencies. Generally, any and all data may pass on one or more of the data exchange points between one or more courts, criminal support units, CJ agencies, and non-justice agencies in order to identify as many as possible the following list has been prepared. Please note there will be some elements missing for your jurisdiction and some of these will be unused, again dependent on jurisdictional requirements.

- case
- charge
- conviction

- defendant
- defense attorney (public defender)
- disposition
- exhibits
- file management
- filings
- financial
- forms and other documents issued by court
- hearings
- judge
- management and statistical information
- orders
- participant
- plea
- post sentence
- prosecutor
- sentence
- scheduled events
- victim
- warrants and other served documents (e.g., subpoenas)
- witness

14.1 Pre-Trial Services

The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).

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

14.2 Pre-Sentence Investigation

The pre-sentence investigation unit conducts and reports on investigations used by the court to set sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.

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

14.3 Audit Trail Management

The courts, criminal support units, CJ agencies, and non-justice agencies have many types of data, such as individual identifiers and charges that are different or are changed as cases pass through their jurisdictions. The ICJIS interface should provide information to help coordinate these data so that, for example, a defendant with multiple identifiers can be recognized as the same individual and charges can be tracked (i.e., provide an audit trail) from initial filing or arrest through completion of sentence. Courts should participate in this activity by providing the necessary information and helping correlate and interpret the existing information.

Subfunction	Auto	Mand.	Opt.
14.3.1 coordinate and track changes in case numbers (e.g., for cases transferred to general jurisdiction court), individual identifiers (e.g., across courts, criminal support units, CJ agencies, and non-justice agencies), and other identifiers	yes	all	
14.3.2 track changes in modified or amended charges from point of arrest or initial filing through completion of sentence while remaining linked to incident for disposition tracking purposes	yes	all	
14.3.3 track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes	yes	all	
14.3.4 track pleas entered and their verdicts	yes	all	
14.3.5 track sentence compliance and modifications (see Disposition and Compliance functions)	yes	all	
14.3.6 maintain sufficient information for sentencing documents (e.g., for jail commitment, probation, work referral) (see Disposition Function)	yes	all	
14.3.7 track location, reasons for issuance and resolution, and status of all warrants and other served documents (e.g., subpoenas, bench warrants, search warrants, warrant recalls, capiases) (see Document Generation and Processing Function)	yes	all	

14.4 ICJIS Interfaces

This addresses the interfaces that should exist between the courts, criminal support units, CJ agencies, and non-justice agencies. It includes information the courts should provide to and receive from the criminal support units, CJ agencies, and non-justice agencies and information in the courts database that should be available for the criminal support units, CJ agencies, and non-justice agencies to access (e.g., for inquiry).

Subfunction	Auto	Mand.	Opt.
General			
14.4.1 send, receive, and correlate case and individual identification information from each CJ agency, correlate information for court use, and transfer to court functions such as case initiation, indexing, and docketing (e.g., charges for a defendant from perspective of law enforcement, prosecutor, grand jury, courts; arrest by law enforcement and citation numbers; use of defendant information to set bail, assign public defender (defense attorney), monitor an individuals release)		all	
14.4.2 allow access to docket, financial, and case status information	yes	all	
14.4.3 provide information to appropriate criminal support units, CJ agencies, and non-justice agencies and state criminal history repositories regarding the specifics of court orders (e.g., expungements, sealed cases)		all	
14.4.4 provide defendant information by defendant or charge		all	
14.4.5 allow for multiple numbering and index systems required by different courts, criminal support units, CJ agencies, and non-justice agencies (e.g., state identification number (SID), personal identification number (PID), state and local criminal history numbers, family identification number)		all	
14.4.6 provide court and case index as part of individual identification information index for courts, criminal support units, CJ agencies, and non-justice agencies	yes	all	
14.4.7 provide criminal support units and CJ agencies (1) access to input and output templates and (2) use of templates to complete documents (e.g., pleadings, warrants, orders) (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Document Generation and Processing functions)		all	
14.4.8 send all final disposition information to state criminal history repository		all	
14.4.9 send warrants and other served documents (e.g., subpoenas), to appropriate agency with request for		all	

Subfunction	Auto	Mand.	Opt.
acknowledgement of receipt			
14.4.10 receive, acknowledging receipt of, warrants and other served documents (e.g., subpoenas), from appropriate agencies		all	
14.4.11 receive return of service on warrants and other served documents (e.g., subpoenas)		all	
14.4.12 facilitate warrant reconciliation with appropriate agency maintaining state criminal history repository		all	
14.4.13 send notice of expungements, sealed case, and special access information to all appropriate agencies		all	
14.4.14 send and receive all pertinent risk and need assessments between court, criminal support units, CJ agencies, and non-justice agencies	yes	all	
14.4.15 send case, docket, court scheduling or calendaring information, disposition, sentence information (see Docketing and Related Record Keeping, Scheduling, Calendaring, Disposition functions)	yes	all	
14.4.16 allow access to case, calendar, court minute, court order, sentence, and disposition information (see Docketing and Related Record Keeping, Calendaring, Hearings, Disposition functions and Inquiry in Related Technical Considerations in Appendix A)	yes	all	
14.4.17 allow access to exhibit information (e.g., for disposal of exhibit) (see File, Document, and Property Management Function and Inquiry with Related Technical Considerations in Appendix A)	yes	all	
14.4.18 send information on court schedules, convictions, sentences (e.g., DMV notification of license suspension, tax information to IRS and department of revenue) (see Scheduling, Calendaring, Hearings functions)	yes	all	
14.4.19 receive special alert information from prosecution or confinement facility regarding defendant in-custody behavior	yes	all	
Law enforcement			
14.4.20 receive booking, arrest, custody, bail information with individual identification information (see Case Initiation and Indexing Function)	yes	all	
14.4.21 allow access to case, docket, calendar, court minute, sentencing, and disposition information (see Docketing and Related Record Keeping, Calendaring, Hearings functions and Inquiry in Related Technical Considerations in Appendix A)	yes	all	
14.4.22 allow view of exhibit information (e.g., for disposal of exhibit) (see File, Document, and Property Management Function and Inquiry with Related Technical Considerations	yes	all	

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

Subfunction	Auto	Mand.	Opt.
Function)			
14.4.35 Accounting -- Bookkeeping Function interface with probation unit to generate payment history and other status reports or displays for fines and monetary restitution		all	
14.4.36 receive violation of probation information (see Docketing and Related Record Keeping and Scheduling functions)	yes	all	
14.4.37 receive information on defendant who has completed probation (e.g., fine paid, restitution paid or completed) (see Case Close Function)	yes	all	
<u>Detention and Corrections</u>			
14.4.38 receive information on custody status (see Case Initiation and Indexing Function)	yes	all	
14.4.39 send case disposition, sentencing, and commitment information (see Disposition Function)	yes	all	
14.4.40 receive information on sentence compliance and completion (see Disposition and Compliance functions)	yes	all	
14.4.41 receive information on defendant who has completed detention or any programs administered by corrections (see Case Close and Accounting – Bookkeeping Functions)	yes	all	
14.4.42 receive information on incarceration (e.g., beginning and ending dates)	yes	all	
14.4.43 send notification of release from physical custody in advance of release (when planned) or upon instance of involuntary release (escape, death) to victim services agency		all	
14.4.44 send schedule for court appearances to detention facility for inmate transportation scheduling	yes	all	
14.4.45 send and receive all conditions of, and changes to custody of defendant	yes	all	
14.4.46 send and receive all special court orders regarding conditions of confinement (e.g., medical, psychological counseling)	yes	all	
14.4.47 send and receive all notices for out-of-jurisdiction requests for appearance	yes	all	

15. File, Document, and Property Management Function

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

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

These standards generally apply to imaged files without delving into the specifics of an imaging operation (e.g., scanning, retrieval, storage), but they do not assume an imaging capability because that is related technology and not a case processing function (see External Interfaces in Related Technical Considerations in Appendix A).

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

Exhibits and other property consist of items submitted as evidence in a criminal proceeding.

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

- case
- defendant
- exhibits
- file management

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

15.1 File Tracking

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.

These functions differ depending on whether the files are manual or electronic. As noted earlier, the physical location of manual files must be tracked during their entire life cycle. Conversely, as long as electronic files reside on the system's primary storage medium (presumably on-line storage), their location need not be tracked. Usually this situation prevails when the files are active and sometimes when they are inactive (e.g., depending on the reason they are inactive). Archived electronic files usually are moved to off-line storage.

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

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

15.2 File Archival and Destruction

The normal progression of case files, both electronic and manual, through an automated case management system requires movement from an active to an inactive status. Depending on variations in local rules, the manual files are then archived and perhaps, stored off-site for an indeterminate amount of time. Ultimately, all files are purged or destroyed. While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary. In the rare situation when a file, manual or electronic, is ordered expunged, that file must be rendered unrecoverable and completely unreadable, including all back-up or archived copies.

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

15.3 Reporting and Utility

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

Subfunction	Auto	Mand.	Opt.
15.3.1 generate reports on file management activities (e.g., file transfer, inactive, and purge reports)		all	
15.3.2 perform utility functions (e.g., copy information such as docket entries and participants from one case to another,		all	

Subfunction	Auto	Mand.	Opt.
sort outputs such as by defendant identifier, copy historical case or defendant data to secondary file)			
15.3.3 allow for merge and unmerge of files containing information on same defendant	yes	all	
15.3.4 provide the ability to display an alert when merge and unmerge of files will affect multiple records	yes	all	

15.4 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. The documents include the internally generated forms, letters, and brief reports described in the Document Generation and Processing Function. Document management capabilities must exist either in the case processing system or in a separate document management system that can interface with the case processing system. It is important to note that while it is understood that there is a significant difference between “reprinting” and “reproducing” documents, considering time required, complexity of processing the information, (e.g., recording version of database and document) and cost, it is nevertheless necessary to provide these options in any full function system. This will allow the user to determine whether the difficulty and cost involved is worth reproducing particular documents or whether reprinting will suffice.

The capabilities shown in the following functions are in addition to those noted in the File Tracking and the File Archival and Destruction parts of this function and in the Document Generation and Processing and Security and Data Integrity functions.

Subfunction	Auto	Mand.	Opt.
15.4.1 support input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents	yes	all	
15.4.2 provide capability to toggle between views of several different documents		all	
15.4.3 provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities		all	
15.4.4 provide capability to use same document management system for imaging if imaging included in overall case processing		all	
15.4.5 create and maintain electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see Document Generation and Processing Function)	yes	all	

Subfunction	Auto	Mand.	Opt.
15.4.6 provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Security and Data Integrity Function)	yes	all	
15.4.7 provide ability to save, store, and output any document produced by the system without requiring the data to be reprocessed	yes	all	

15.5 Exhibit Management

Exhibits and other property (e.g. subpoenaed records) must be identified when received and tracked in an analogous manner to files.

Subfunction	Auto	Mand.	Opt.
15.5.1 record receipt of exhibits and other property (including participant submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
15.5.2 generate exhibit and property numbers or other identifiers	yes	all	
15.5.3 track location and status of exhibits and other property		all	
15.5.4 record return or destruction of exhibits and other property		all	
15.5.5 generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see Document Generation and Processing Function)		all	
15.5.6 produce lists of exhibits and other property according to case, participant, and other parameters		all	
15.5.7 provide ability to re-assign or re-sequence previously marked exhibits	yes	all	
15.5.8 provide ability to reference and track all exhibits when associated with multiple cases	yes	all	

16. Security and Data Integrity Function

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.

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

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

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

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

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

Normal features provided by vendors with the computer and system software protect the system and database from unauthorized access. Local and remote log-on and password protection restricts access to the case processing system, and database security at the file and record levels prevents all but selected groups of users from, respectively, viewing specific files, modifying specific files, or deleting specific files. (As used in this section, files connote all types of files including those used to store data, documents, and programs.)

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

Data Types Used

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- exhibits
- file management
- filings
- financial
- forms and other documents issued by court
- hearings
- judge
- management and statistical information
- orders
- participant
- plea
- post sentence
- prosecutor
- sentence
- scheduled events
- victim
- warrants and other served documents (e.g., subpoenas)
- witness

Subfunctions -- Security subfunctions are:

Subfunction	Auto	Mand.	Opt.
16.1.1 ensure electronic case records (e.g., electronic filings, docket entries, system-generated documents, calendars) cannot be modified without supervisor or system administrator notification	yes	all	
16.1.2 allow access and similar privileges on authorizations defined, maintained, and controlled by users (e.g., access authorization tables controlled by system administrator; see List of Code Translation Tables later in this document)		all	

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

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

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

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

The data integrity issue becomes more acute with electronic data exchange. 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 processing 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).

Data Types Used

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- exhibits
- file management
- filings
- financial
- forms and other documents issued by court
- hearings
- judge
- management and statistical information

- orders
- participant
- plea
- post sentence
- prosecutor
- sentence
- scheduled events
- victim
- warrants and other served documents (e.g., subpoenas)
- witness

Subfunctions -- Integrity subfunctions are:

Subfunction	Auto	Mand.	Opt.
16.2.1 ensure each document and its contents sent by user (e.g., defense attorney) matches with that same document and its contents received by court for electronically-filed cases and other information received electronically so that court is referencing and retrieving correct information	yes	all	
16.2.2 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed and system to be restarted)		all	
16.2.3 provide for file backups at any time	yes	all	
16.2.4 ensure only single set of data exists for each defendant (i.e., various identifiers for given defendant must be correlated)	yes	all	
16.2.5 ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests)	yes	all	
16.2.6 produce statistics on transactions received, transactions accepted, transactions rejected over specific time period		all	
16.2.7 allow for merge and unmerge of files containing information on the same defendant	yes	all	

17. Management and Statistical Reports Function

Description -- These reports provide caseload, case flow, and workload statistics and management information on court operations, finances, and staffing. Typically, the state and local court administrative offices identify the data requirements and statistics that they need from the court, and local customs and management styles determine the management reports.

There are five general mandatory reporting requirements:

1. The case processing system must satisfy state and local reporting requirements;

2. The system must produce management reports including scheduled and exception reports;
3. These management reports must be defined according to local needs;
4. Most management reports must be available in detail (information on individual cases or persons) and summary (information on groups of cases or persons) form;
5. Management reports must allow system users to obtain information on all or specific groups of cases or persons when they request a given report.

The reports should be by-products of case processing data already in the system with nothing entered specifically for reporting purposes. Users should, therefore, determine their reports by identifying (1) the information they need, (2) what data from the system is available to convey this information, (3) how these data must be grouped to convey the information, and (4) how often specific information is needed.

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

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

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

Data Types Used

- case
- charge
- conviction
- defendant
- defense attorney (public defender)
- disposition
- exhibits
- file management
- filings
- financial

- forms and other documents issued by court
- hearings
- judge
- management and statistical information
- orders
- participant
- plea
- post sentence
- prosecutor
- sentence
- scheduled events
- victim
- warrants and other served documents (e.g., subpoenas)
- witness

Subfunctions -- The statistical and management information subfunctions are:

17.1 Statistics

As a by-product of day-to-day case processing, the system produces statistics for local use and to satisfy the data and reporting requirements of the judicial branch, state agencies, and the federal government. These statistics appear in reports that are either produced locally by the case processing system or at the state level by a system they're using, data or reports sent from the local courts. The mandatory statistical reports generally fall into three categories: caseload, case flow, and workload.

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

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

Workload analysis presents statistics for each case type and, in many instances, case category on trends (e.g., changes in numbers and percentages of filings to dispositions, percentage changes in filings in successive reporting periods and successive years, percentage changes in manner of disposition).

Caseload, case flow, and workload reports may present information by overall count or by lists of cases. Examples of such lists are:

- Pending cases may be arranged according to various criteria such as case type, case category, charge, event status, length of time pending, or judge;
- Active cases not scheduled for hearing arranged according to various criteria such as case type, case category, or reason not scheduled;
- Disposed cases arranged according to various criteria such as by case type, case category, disposition type, proceeding stage when disposed, charge, or judge;
- Reopened cases arranged according to various criteria such as by case type, case category, reason reopened, or judge;
- Cases pending specific action such as pending annual review or recommendation for transfer;
- Cases with specific status;
- Judicial workloads; and
- Weighted caseload summaries.

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

17.2 Management Information

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

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

Case Information

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

Financial Information

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

Person Information

- docket contents (persons) -- gives docket contents for specific persons (e.g., defendant, defense attorney) and groups of persons;
- upcoming events (person) -- reports all or most significant events in upcoming period by person;
- charge and sentence -- gives defendant information by defendant, charge, or sentence (e.g., community service, restitution, adult probation, incarceration);
- judge assignment -- tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;
- court officer performance -- tracks court officer (e.g., hears plea agreements) assignments, decisions, and performance criteria;
- attorney case list -- gives cases (all, active, inactive) and related information for specific attorney;
- person schedules -- reports number of cases or events scheduled for specific people (e.g., judges, defense attorneys, prosecutors, other participants) and resources (e.g., court or meeting rooms) by time periods;

- person assignments and appearances -- tracks judicial proceeding assignments and appearances for specific individuals (e.g., judge, prosecutor, defense attorney, defendant, witness, victim, and other participants) by time periods;
- self-represented defendants -- lists and give status and caseflow of cases involving self-represented defendants;
- probation -- reports on defendants ordered to probation including type of program (e.g., work, home arrest, substance abuse treatment), progress of current probation, history of probation;
- victims -- gives information on victims;
- plea agreements -- gives information on plea agreements;
- warrants -- gives information on warrants including location/or number, reason for issuance, and status;
- personal histories -- gives prior information on persons (e.g., arrests, convictions, aliases, economic status, demographics);
- criminal support units -- gives current and historical information by organization or case on criminal support units (i.e., bail, pre-trial services, and pre-sentence investigation), CJ agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non-justice agencies such as social services.
- problem persons -- information on persons who pose problems (e.g., due to contempt of court, multiple restraining orders, repeat offenders) by criteria such as case category, court-ordered program, and program provider.

Calendar Monitoring Information

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

Performance Monitoring Information

- case processing performance -- monitors conformance to time and other performance standards (e.g., ABA Time to Disposition Standards);
- cases disposed -- reports whether specific cases have been disposed with cross references to calendars in which they were disposed;
- inactive cases -- gives information on inactive cases by last and next event;
- continuances -- lists and gives supporting information on cases that have been continued over specific period by judge, defendant, defense attorney, and other criteria;
- trial duration -- tracks duration of trials and compares estimated and actual duration by courtroom, judge, whether jury or non-jury trial, and other criteria;

- milestone events -- tracks milestone events for specific cases or groups of cases giving more flexible case flow information than is available in standard statistical reports described in previous section;
- timeliness of hearings -- reports timeliness of hearings after entry of plea;
- timeliness of orders -- provides timeliness of entry of court orders in time-sensitive situations such as sex crimes;
- order type and compliance ratios -- gives percentages of court orders with specific characteristics such as restitution, substance abuse treatment, or community service ordered and completed;
- status of court-ordered services and remedies -- gives status of program referrals by type of program;
- results of court-ordered services and remedies -- gives results of program referrals by type of program;
- service or remedy evaluation -- gives information on program referrals to permit evaluation of program providers and compliance by defendants;
- service or remedy ratios -- gives percentages of defendants entering and completing court-ordered programs by type of program;
- disposition ratios -- gives percentages of cases disposed by disposition type;

System Usage and Quality Assurance Information

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

List of Code Translation Tables

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

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

defense attorney code translation table). Properly defined and maintained code translation tables are an efficient method of entering and storing data.

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

Code translation tables relate closely to the data types (e.g., files in the database) in that the tables provide the interface between the translations, which are meaningful to users, and the codes, which are stored in the database and used internally within the system. Use of code translation tables in entering, editing, and displaying data help ensure the integrity of data in the system and that the data conform to federal, state, and local standards. Even though, for clarity in this document, the contents of the data types section and this section may be redundant in places, the tables and data files would complement each other with minimal redundancies in an actual system.

account type -- such as interest bearing, non-interest bearing, installment, pay-through;
attorneys -- such as names, identifiers, firm, status (e.g., attorney sanction such as disbarment, suspension, reprimand), and other information on attorneys licensed to practice in the state (e.g., using the state attorney registration list) or local jurisdiction (see Definition of Data Types for additional attorney information);
attorney representation type -- such as private attorney, prosecutor, public defender;
bank/company/institution identifier -- such as names, identifiers, and other information for organizations that supply services to the court (e.g., bank, payment collection, bail, doctor, hospital) or are defendants (e.g., prosecutor, defendant,) (see Definition of Data Types for additional participant information);
bail type -- such as secured, release on recognizance, property with guidelines for each bail type if guidelines used in state or locality;
bondsmen -- such as names, identifiers, and other information for organizations that serve as surety for defendants in the court;
calendared event type -- such as motion hearing, trial, conference with maximum number of events that can be scheduled in a given situation (e.g., combination of judge, case type, case category, courtroom, time period) (see Definition of Data Types for additional information on hearings and other calendared events);
case category -- such as felony, misdemeanor, and miscellaneous criminal cases (see Definition of Data Types for additional case information);
case close type -- such as following jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer to another jurisdiction, consolidation, nolo contendere, or bail forfeiture (usually same as disposition type);
case status -- such as open, inactive, awaiting trial, awaiting sentence, terminated, diversion;

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

charge -- such as manslaughter with corresponding offense code and severity indicator;

charging document type -- such as complaint, indictment, information;

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

CJ agency -- such as names, identifiers, and other information for law enforcement, prosecutor, public defender (defense attorney), and adult probation;

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

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

courtroom staff -- such as judge, court clerk, reporter, bailiff, language interpretation for a specific courtroom;

courtroom type -- such as courtroom, hearing room, conference room for each courtroom in the courtroom identifier table;

department identifier -- such as the court department that handles criminal cases in a particular city or county as identified in the city/county table;

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

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

disposition type -- such as by jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture (see Definition of Data Types for additional disposition information);

document template type -- such as each type of blank document into which users enter information including input documents (e.g., complaint forms) used primarily in electronic filing and output documents (e.g., notices) that are printed and sent to or distributed electronically to defendant;

document type -- such as orders, warrants and other served documents (e.g., subpoenas), and any other documents produced by court;

event type -- such as complaint filed, indictment or information filed, motion hearing scheduled, trial scheduled, trial held, case disposed, sentence modified (see Definition of Data Types for additional event information);

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

exhibit retention -- such as elapsed times for each type of exhibit to be retained after last activity on case before being returned to owner or destroyed;

facility -- such as type (e.g., off-site records storage, mental health facility), identifier;

fee and service type -- such as to file complaint or pleading, for services (e.g., photocopying);

fee type amount -- such as preset fee amount associated with each type of document filed or issued with effective date of fee type, or fee amount that depends on case-related activities (e.g., court reporter, prosecutor, sheriff, jury);

file access authorization -- such as relationships between specific internal and external users (they may have different log-on procedures), types of data (e.g., case, defendant, victim), system functions (e.g., normal case processing functions such as docketing or calendaring cannot change or delete access authorizations), and device (e.g., terminals, PC's) locations and their authorizations to view, add, change, or delete files and file contents;

file retention -- such as elapsed times for files to remain active after last activity on case, to remain inactive without further activity on case, to remain archived before destruction;

filing/pleading type -- such as complaint, indictment, information, petition(see Definition of Data Types for additional filing information);

finding type -- such as any type of disposition resulting from a court decision pursuant to jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer to another jurisdiction, consolidation, nolo contendere, or bail forfeiture;

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

hearing type -- such as arraignment, preliminary hearing, pre-trial conference, trial, sentencing, and probation violation;

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

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

ledger type -- such as general, subsidiary;

minute codes -- such as events captured in minutes (e.g., information on defense attorney withdrawals; adjournments, continuances, and cancellations; rulings taken under advisement on submitted matters);

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

motion type -- such as demurrer, dismissal;

participant status -- such as active, dismissed, bankruptcy;

participant type -- such as witness (see Definition of Data Types for additional participant information);

payment plan type -- such as installment;

payment type -- such as principal, interest, payment delinquency plea type -- such as guilty, not guilty, nolo contendere, not guilty by reason of insanity; quasi-judicial personnel (e.g., magistrates, commissioners, masters probation officers, and any other judicial officers who conduct conferences aimed at plea agreements) -- such as names, identifiers, addresses, case types and case categories they can handle, availability (e.g., only on Tuesdays and Thursdays), and other information on an individual (e.g., defense attorneys) appointed by the court to impartially dispose criminal cases;

schedule conflicts -- such as person data type, courtroom;

scheduled event types -- such as deadlines for submission of documents (e.g., answers or responses, affidavits) (see Definition of Data Types for additional scheduled event information);

sentence type -- such as restitution, jail or prison, suspended, fine, probation, work program with guidelines (e.g., maximum and minimum sentences) for each sentence type if guidelines used in state or locality;

special status -- such as sealed cases, mental health cases;
time sensitive events -- such as events that relate to restraining order, stay request, ex-
parte filings, and criminal domestic violence filings;
time standards -- such as maximum time periods between events for each event, case
type, and case category to which time standards apply (e.g., response due 30 days
after service to defendant for criminal cases) (see event driven systems covered in
Related Technical Considerations in Appendix A);
transaction type -- such as financial transactions (e.g., receipts, disbursements), case
processing transactions (e.g., judge or defense attorney change for individual or
groups of cases, new complaint filing);
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Appendix A:

Related Technical Considerations

Related Technical Considerations

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

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

External Interfaces

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

Other Technologies Internal to Court

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

- Case processing among multiple court locations (e.g., filings at one branch; hearings at another branch), transfer of individual cases and case information between locations, and transfer of multiple cases and case information between locations in a single transaction (see also System Capabilities, Inquiry, and Report Generation parts of this section and Management and Statistical Reports Function);
- Integration of case processing system with modern courtroom technologies that assist in judicial decision making by gathering and displaying on-line information from other courts, criminal support units, 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 (see also Hearings and General Accounting functions);
- Integration of case processing system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recording; correlation of video recordings with court record and judge's notes; and single recordation of proceedings with multiple uses in court record, judge's notes, orders, and other documents);
- Integration of case processing system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to case processing system and then to edit text);
- Data capture and file and property management using bar code, optical character recognition, and other technologies;
- Document capture, storage, and retrieval using imaging;
- Information capture and conversion to data and word processing formats using optical character recognition (OCR);
- Integration of case processing system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets (for more on capability of case processing system to produce documents, see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Generation of official output documents (for transmission or printout) by supplying data -- including data transferred from word processing documents -- to imaged documents with official text, seals, and signatures (see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update law firm schedules), email (see also System Capabilities in this section and Multi-Function Capabilities and Integration in Standards for Individual Functions), and jury management systems; and
- Document printouts on special-purpose paper and forms (e.g., multi-part forms and mailers).

Input and Output External to Court

Systems and users that are external to the court -- and, therefore, external to the case processing system -- may combine basic input and output methods with new technologies or substitute new technologies for the basic methods. The input and output technologies support users such as other types of local courts, other courts statewide, the state judicial branch, 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 attorneys' offices, title companies, academic researchers, self-represented defendants, and the general public employing voice response technology, kiosks available to the public, Internet usage, electronic mail, and other technologies;
- Distribution of blank court forms (e.g., to attorneys' offices for use in submission of hard copy pleadings) using Internet or intranet usage, facsimile transmissions, electronic mail, and other technologies to avoid pre-printed forms;
- Integration of case processing system with input and output needs of handicapped persons (e.g., through voice and other technologies that do not require keyboard and mouse entries);
- Integration of case processing system with input and output needs of non-English speaking persons (e.g., through multi-lingual system capabilities);
- Integration of case processing system with handheld and other mobile computers using wireless communications (e.g., for remote input, remote output, limited remote computing);
- Compatibility with local, state, and federal standards (e.g., with respect to attorney identifiers and reporting requirements);
- Accounting interfaces in accordance with local and state standards:
 - Payments by the public using voice response technology, kiosks available to the public, Internet usage, and other technologies
 - Enhanced and expanded use of electronic funds transfer over standards described in Multi-Function Capabilities and Integration and accounting functions. This could include payments from defendants, attorneys, banks, collection agencies, and others and transfers to state and local agencies, attorneys, vendors, banks, collection agencies, and others
 - Electronic interface for records access and comparisons (e.g., between courts and banks, credit agencies, and other financial institutions)
 - Electronic check processing (e.g., endorse back of checks and money orders in addition to recording and listing transactions and printing receipts); and
- Use of more sophisticated modern technology for functions that already are standards described in the Functional Standards Part. For example, electronic information exchange could be enhanced so it occurs more seamlessly, uses more refined "push" and "pull" technology, uses the Internet or an intranet instead of dial-up lines or

facsimile transmissions , and employs enhanced security. This could include upgrades to: electronic filing; electronic document distribution; electronic input documents (for on-line form completion and submission in electronic filings); procedures for “stamping” electronic documents as received or sent and for “signing” electronic documents; and security features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and non-repudiation (sender cannot later deny sending information). The section titled Multi-Function Capabilities and Integration later in this document and the Security and Data Integrity Function discuss these capabilities.

Inquiry

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

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

Report Generation

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

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

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

- Detail and summary ad hoc report capable of being created rapidly by user (or IT staff) with minimal training;
- Formatting and content flexibility in ad hoc reports;
- Detail and summary standard reports that satisfy local, state, and federal requirements imposed by judicial, executive, and legislative branches (also see Management and Statistical Reports Function);
- Ad hoc and standard reports produced locally or exported to other offices and jurisdictions for printing;
- User ability to save ad hoc report formats they created for future use; and
- User option to display whatever is to be printed either as a normal display or as a print preview.

System Capabilities

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

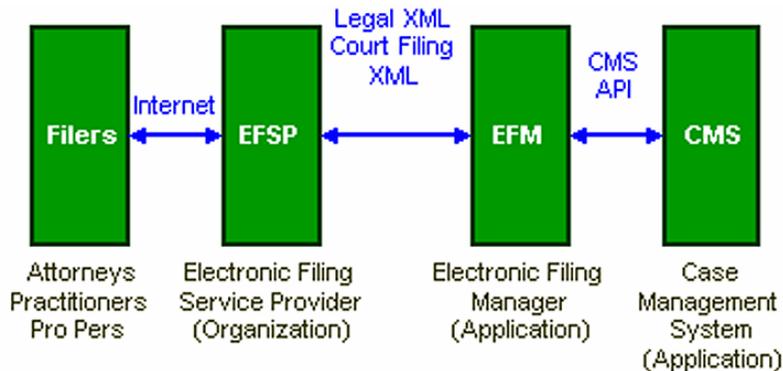
- Need for scalable systems that can efficiently support small, medium, and large courts. For example, large-court systems may need to support multiple court divisions and locations, extensive use of quasi-judicial personnel who conduct conferences aimed at plea agreements, multiple clerk's office locations, user interfaces (e.g., system screens) that accommodate compartmentalized clerk's office operations, and other capabilities attendant to high-volume operations. Conversely, small-court systems may need to support user interfaces and processing geared to only a few court divisions (e.g., civil, criminal, criminal traffic), limited or no use of plea agreement personnel, one clerk's office location, and few clerical personnel in a single office handling the record keeping for a case. In either situation, the appropriate tradeoffs between manual and automated functions must be achieved.
- Need for table-driven and modularly designed systems.
- Need for assistance from the system in automatically scheduling events based on completion of prior events (e.g. deadline for response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully-functional event driven systems provide this capability -- primarily in some large courts -- by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category (e.g., felony, misdemeanor, , and miscellaneous criminal cases) within the domestic relations case type (see also List of Code Translation Tables later in this document). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available. Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. (The standards in this document call for capabilities that address a few functions of these event driven systems within individual functions based on the completion or scheduling of specific events. This partial functionality generally applies to courts of all sizes. Examples are (1) updating case indexes, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees. These are covered in the standards for the Case Initiation and Indexing, Docketing and Related Record Keeping, Scheduling, Document Generation and Processing, Hearings, and accounting functions.)
- Items that the user should be permitted to define either when the system is implemented or on an ongoing basis such as code structure, code translation table content (i.e., what will be represented by codes (e.g., events, results of events, attorneys, party type), and notice and receipt formats.
- What the system defaults to initially or when there is no entry of specific data.
- Requirements to drill down to specific data and navigate among screens by using point-and-click, function keys, drop-down menus, and other capabilities.
- Need to display related data entry screens, information, and prompts triggered by specific event or entered data.
- Complete help screen capabilities that contain information on a comprehensive array of topics, permit easy searches for and indexes of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be

available in display or printed form and should be easily updated to reflect system changes.

- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports; see earlier Report Generation section and Management and Statistical Reports Function).
- Use of enhanced document management functionality that interfaces with or is part of the case management system. This would provide additional functionality, such as workflow and document version control, and improvements in existing document and text indexing, storage, search and retrieval, manipulation, maintenance, and input and output (e.g., through electronic filing, Internet usage, imaging, and conversion from imaged characters to data or word processing formats using OCR). The Multi-Function Capabilities and Integration section and File, Document, and Property Management Function later in this document discuss document management standards.
- Use of distributed processing -- with the same case processing system or different systems -- as a means of accommodating multiple court locations (see External Interfaces earlier in this Related Technical Considerations section). This assumes the highly complex tasks of allocating processing functions, allocating data, and defining the network and its usage have been done properly and can be maintained.
- Use of relational database, object oriented design, advanced programming, data warehousing (see also Management and Statistical Reports Function), and other recent system development and database technologies.
- Database design and data element definitions that permit easy inquiry and data access.
- Query optimization software that minimizes response time.
- Customized and easy-to-understand views of relational data for various users (e.g., judges, clerks).
- 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 platforms (see External Interfaces earlier in this Related Technical Considerations section).

Appendix B: Electronic Filing

Current electronic filing efforts are based on a model developed in the Legal XML community. Legal XML is a non-profit organization comprised of volunteers from private industry, non-profit organizations, government, and academia whose efforts are to develop open, non-proprietary technical standards for legal documents. Because components of this XML concept can change, the reader should review www.legalXML.com before starting a new design or a modification of an existing design. The Legal XML Electronic Filing concept model is depicted in this diagram.



The components of this model are:

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

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

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

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

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

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