APPENDIX C - General Functional and Unique North Dakota Requirements

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
1. Business Function: Case Initiation and Indexing			
1.3 Use Case Specification: Case Acceptance			
1.3.1 Notes	[Technical Requirement] Provide the capability to reclassify cases (e.g. change case type).	No	
1.3.2 Special Requirements	1) Provide the ability to capture multiple sets of demographic, descriptive, or informational data (where appropriate) on the same person or business (e.g. one person may use two or more social security numbers, dates of birth, names, or sets of address data; or a business may have both a legal name and a trade name). 2) Permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).	No	
1.3.3 Review Initiation	Reviewing business rules for acceptance or rejection of filing. The system shall conduct locally used checks to verify that the case being initiated is in the correct jurisdiction.	No	
1.3.3.1 Alternative Flows	Support Skeletal Case Creation: the application allows a case to be initiated with minimal information and updated later. The application allows cases initiated with cash bail, forfeiture information and bonds. The application flags incomplete cases and tracks such cases online.	Yes	When acccept fine when not yet receive citation
1.3.4 Assign Case Number	[If case approved] Generate and assign case number using locally defined format.	Yes	
1.3.4.1 Alternative Flows	Criminal and traffic cases may require separate case numbers to be assigned for each charge or offense.	Yes	
1.3.5 Enter Court Identifiers	Enter locally-used court identifiers (e.g., district court) and court geographic location identifiers (e.g., county number, city number) with the ability to use the federal FIPS mandatory standards for geographic location.	Yes	
1.3.6 Utilize Type Case	The Type Case refers to the ability of the system to identify the lead charge or civil plea, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type or dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.	Yes	
1.3.7 Create Case Title	Generate locally defined case title or style (i.e., short phrase that identifies case and includes plaintiff and defendant names) from party names and other information. Permit user-generated long title.	No	
1.3.8 Utilize Person Information	Person (parties and participants) information is entered and associated with the case. Information includes identifers from external sources and assigned by the court, contact information, and demographic information.	Partial	Yes to 1st requirement. Only external identifier is DL

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1.3.9 Enter Reason for Initiation	Enter the reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures).	Yes	
1.3.9.1 Notes	[Discrepency] Reasons defined may mix two concepts. Should not be charge or cause.	?	[requirement unclear]
1.3.10 Support Additional or External Identifiers	Capture, assign, or allow entry of other identifiers (e.g., of other courts such as juvenile or domestic relations; prosecutor; corrections, law enforcement, and domestic relations service providers; other agencies; real estate parcels) and establish relationship with case participants.	No	
1.3.10.1 Notes	[Notes] Cases may be related or associated.	Yes	
1.3.11 Group Cases	[If related case] Create groups of related cases, defendant, parties and participants (e.g., several incidents filed against same defendant, party, multiple defendants, or multiple parties involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, party, or participant in group.	No	
1.3.12 Assign Cases	Assign cases to court type, judge, location, department, and courtroom AND/OR other appropriate entities based on established relationships in conjunction with the Scheduling Function.	No	
1.3.13 Generate Acknowledgments	Generate receipt or notification for appropriate attorney, parties, 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).	Yes	
1.4 Use Case Specification: Type Case			
1.4.1 Identify Case Type	Identify case type based upon charging document or petition.	No	Assume this means the system recognizescase type (?)
1.4.2 Enter Charge Category	[If charging documents] Enter each charge, petition, and count based on charging documents.	Yes	
1.4.3 Identify Lead Charge	Identify the lead charge, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type.	?	
1.4.4 Enter Dispute Category	[If pleading documents] Enter each dispute category based on pleading.	No	
1.4.5 Identify Primary Dispute Category	Identify the dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.	No	
1.5 Use Case Specification: Person Information			

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1.5.1 Special Requirements	Provide the ability to capture multiple sets of demographic, descriptive, or informational data (where appropriate) on the same person or business (e.g. one person may use two or more social security numbers, dates of birth, names, or sets of address data; or a business may have both a legal name and a trade	No	No master name index
1.5.2 Capture Person Contact and Identifier Information	In docket or register of actions, enter or associate name and contact information (and demographic information where applicable) for all persons involved in the case (See also Indexing Function).	Yes	
1.5.2.1 Alternative Flows	Enter origin of oversight, placement, detention status.	No	
1.5.2.2 Special Requirements	For defendant records provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; accommodate hyphenated names, aliases (AKAs), doing business as (DBAs), pro pers, and corporate names.	Yes	No title, no aliases, no DBAs
1.5.3 Search for Existing Name	Prompt user when persons already exist that relate to new case, followed by user-initiated search for duplicate persons that user can transfer into current case if appropriate to avoid unnecessary data entry (e.g., using party names, addresses, and other identifiers noted above).	Yes	
1.5.3.1 Alternative Flows	If a name is found the user should have ability to pull in information found, or choose to utilize different information.	No	
1.5.3.2 Special Requirements	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions).	No	
1.5.4 Merge Data for a Person	Provide for the ability to ensure that only appropriate sets of data exists for each person (i.e., various identifiers for given person must be correlated), and allow for merge and unmerge of files containing information on the same person.	No	
1.5.5 Assign Person Identifiers	Generate or assign a separate person identifier for each plaintiff, defendant, and party and enter the corresponding contact information.	Yes	
1.5.6 Capture Demographic Data	Capture demographic, descriptive, or informational data (where appropriate).	Yes	
1.5.7 Associate Person Information to the Case	Prompt or allow entry for associated persons and entities to the case. The system shall be able to generate or capture unique identifiers for the associated persons such as attorneys. The system shall also be able to capture the role or reason the person is associated with the case.	Yes	
1.6 Use Case Specification: Initial Case Processing			
1.6.1 Identify Process Category	Cases categories may require differential processing this should be identified.	No	

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1.6.2 Note Time-Sensitive Filing	Record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing).	No	Restraining order and protection order gets a next hearing date
1.7 Use Case Specification: Indexing			
1.7.1 Create Index	Create and maintain locally-defined index that (1) contains at least index information on parties, defendants, juveniles, their families, or other parties (e.g., each defendant, juvenile, or other associated party name, and where needed the date of birth, race, ethnic group, sex, role in case, external identifiers, social security number, drivers license number, referral source, referral reason and petition allegation, and whether party has an attorney); (2) contains index information on cases either subordinate to or linked to persons (e.g., case type; court type and location; case number, petition number, and other identifiers; date filed; and cross reference to other parties in case (e.g., other party named in case title or style)), (3) permits database look up by a choice of keys (e.g., party name, party role, case filed date range) and, if record found, (4) permits retrieval and display of index information, (5) permits easy interfaces with other parts of case processing system as noted below.	Partial	(1) Name search of parties only, then examine each to see if it's the desired one. (2) No (3) No (4) No (5) No
1.7.2 Index Search and Retrieval	1) Permit search and retrieval of index information by identifying a specific defendant, juvenile, or other party name, date of birth, party role, court type or location, case or party identifier, case filed date range, and where necessary by race, ethnic group, and sex. 2) The subfunction also should permit a user, after eliminating other cases or parties that satisfy original look-up, to obtain index information by selecting from list of matching cases or parties or by using search keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, and allows user to select the desired Smith from list by clicking on proper line or entering proper keys).	No	
1.7.3 Comprehensive Name Search	Permit name search on various combinations of a person's or party's name (e.g., full name, last name only, part of first or last name).	No	
1.7.4 Index Updating Based on Events	Permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).	No	
1.7.5 Report Index Information	Extract, print, or otherwise produce (with appropriate security restrictions) index information arranged according to various components of index (e.g., party, defendant, juvenile, case number, case status).	No	
2. Business Function: Docketing			

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2.3 Use Case Specification: Docket Creation and Maintenance			
2.3.1 Maintain Basic Case Information	Provide access to, maintain, and supplement information originally entered during case initiation in docket or register of actions including information on initial filing and basic case information.	Yes	
2.3.2 Maintain Person Information	Maintain information on all (multiple) persons (parties, defendants, juveniles, participants, and attorneys) in a case such as personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.	Partial	
2.3.2.1 Alternative Flows	Enter origin of oversight, placement, detention status.	No	
2.3.2.2 Notes	[Notes] Maintain case information as official court record in accordance with state statutes and state and local rules.	Yes	
2.3.3 Capture and Maintain Docket Entries for Events	Capture, maintain, and output information (e.g. document title and identifier, filing party, fees received, and dates) on filings (paper and electronic) and other completed events not previously in system (e.g. party added or deleted, participant added or deleted, motion filed, program referral, or hearing date set); capture disposition of events where appropriate (e.g. ruling in motion).	Yes	Text-based no pick lists - Completeness depends on user
2.3.4 Retrieve and Associate Documents	Permit user to associate 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). Also permit user to maintain and output index of manual paper documents.	No	
2.3.5 Create Docket Entry for Events Originating in Another Function	Create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function (e.g such as warrants, motions granted and other served or completed documents).	No	
2.3.5.1 Notes	[Technical Requirement] Permit, with proper authorization (e.g. supervisor approval), deletion of specific docket entries and all related data (e.g. deletion of pleading and fee information causes related docket and accounting information, where applicable, to be deleted). [Technical Requirement] Allow easy data entry of multiple filings that apply to single case or related cases.	Partial	No audit trail or controls, system is wide open

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2.3.6 Apply Change to Multiple Dockets	[If changes made] 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 records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division).	No	
2.3.7 Create Multiple Docket Entries from a Single Event	[If single event has multiple entries] Allow single event to create multiple docket entries (e.g., event is hearing; docket entries are attorney withdrawal and hearing results).	No	
2.3.8 Create Docket Entry for Electronic Documents	Create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders).	No	
2.3.9 Special Case Processing	[If special processing requirements] Enter, maintain, and display or print information on special case processing requirements or orders (e.g. sealed case or document, suppressed indictment, child abuse or domestic violence case affecting law enforcement registries).	No	
2.4 Use Case Specification: Maintain Case Associations			
2.4.1 Maintain Person Information	Maintain information on all (multiple) persons (parties, defendants, juveniles, participants, and attorneys) in a case such as personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.	Partial	Text-based no pick lists - Completeness depends on user
2.4.1.1 Special Requirements	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions).	No	
2.4.2 Maintain Multiple Case Relationships	Maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges, attorneys, defendants, parties and participants (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction).	No	
2.4.3 Maintain Judge Assignment History	Maintain and print or display history of changes in judge assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change.	Yes	
2.4.4 Maintain Attorney Assignment History	Maintain and print or display history of attorney changes for specific case, defendant, or party with reasons for the change.	Partial	Reason that attorney is "Inactive" may be in text

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2.4.5 Maintain Attorney Information	Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.	Partial	Not for groups of cases, no dates unlesstext entered
2.4.6 Maintain Attorney Affiliation	Maintain information on law firms, prosecutors, and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney).	No	
2.4.7 Maintain Addresses	Maintain multiple current and historical addresses, with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases.	No	
2.5 Use Case Specification: Link Related Information			
2.5.1 Link Related Docket Entries	Link and display information on docket entries for events related to current docket entry (e.g., when respondent files motion that opposes previously filed motion of petitioner, respondent's motion would be linked to original petitioner's motion filed and new motion filed would be linked to all pending motions in case with information displayed on who filed motions, factors involved, and pending decisions).	No	
2.5.2 Track and Link Charges	Integrate and coordinate with Case Initiation and Indexing Function to track all charges (initial and modified) and to link charges to proper defendant, juvenile, case and incident.	No	
2.5.3 Link and Display Relationship Reports	Link and display or produce reports on relationships of specific cases, judge, attorneys, parties, defendants, participants, and organizations to allow the system to define, redefine, and modify relationships and reassign linkages as needed.	No	
3. Business Function: Scheduling			
3.3 Use Case Specification: Resource Assignment			
3.3.1 Assign Judges to Case Management Tracks – Rotate judge assignments	Assign individual judges, other judicial officers, and groups of these officials to case management tracks over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments).	Partial	Judge assignment is Performed manually case by case and recorded in the system
3.3.2 Relate Judges/Staff to Facilities/Court Organization	Relate individual judges or groups of judges and court staff to courtrooms, locations, and departments	No	
3.3.3 Relate Judges to Staff	Relate individual judges, other judicial officers, and groups of these officials to department staff (e.g., reporter, bailiff; judge, other judicial officer also may be considered staff).	No	Staff assignment is Performed manually case by case and not recordedin the system
3.3.4 Assign Case Categories to Departments	Assign specific case categories to specific departments according to user-defined case-department rules	No	

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3.3.5 Provide Automatic Resource Scheduling	Assign and reassign individual and groups of judges and other judicial officers using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies including setting a maximum number of events), 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).	Partial	Judge assignment can be done in the system, but often handled manually
3.3.6 Assign Related Cases	Assign related cases, as designated by user, to same judge (e.g., multiple complaints regarding same problem or person)	Yes	Performed manually case by case
3.3.7 Case Reassignments	[If make reassignments] Reassign an individual or group of cases from one judge, other judicial officer, or department to another as a single user action (e.g., judge retires or moves to appellate court).	Yes	Performed manually case by case
3.4 Use Case Specification: Schedule Events			
3.4.1 Special Requirements	Automatically close the tickler if conditions are met	No	Performed manually case by case
3.4.2 Allow Transfer of Scheduling Data	Allow automated transfer of selected participants scheduling data in order to schedule court events. (e.g. police officers' schedules)	No	
3.4.3 Assign Events to a Schedule	Schedule events and groups of events according to statutory and locally mandated time standards for cases	Yes	Performed manually case by case
3.4.3.1 Alternative Flows	Allow automatic scheduling of the next logical event based upon the outcome of the currently scheduled event (e.g. the entry of a continuance as the disposition of a hearing should automatically schedule the next hearing).	No	
3.4.4 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Text-based no pick lists - Completeness depends on user
3.4.5 Schedule Multiple Cases for Same Date and Time	[If multiple cases] Allow multiple cases and events to have same scheduled date and time (e.g., multiple complaints regarding same problem or multiple incarcerated defendants to be heard together).	Yes	Performed manually case by case
3.4.6 Schedule Maximum Number of Cases	[If single case] Allow to schedule up to maximum number of cases for specific, user-specified time interval by event (e.g., hearing) type, judge, and other criteria.	Yes	
3.4.7 Schedule Groups of Related Cases	[If related cases] Schedule groups of related cases as if group were a single case (e.g., multiple defendants involved in same incident, Title IV-D cases, dismissal hearings).	No	
3.4.8 List Cases Waiting to be Scheduled	[If non-related cases] Schedule an event from list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities	No	

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3.4.9 Deliver Scheduled Court Dates	Support automated generation and delivery of scheduled court dates to the court's institutional partners (e.g. police and prosecutor) as well as the cancellation or modification of those court dates	No	
3.5 Use Case Specification: Schedule Changes			
3.5.1 Identify Scheduling Conflicts	Identify, display, and suggest resolutions to scheduling conflicts, allowing user overrides and rescheduling with appropriate security and data integrity	No	
3.5.2 Suggest Resolutions	Suggest availability/resolutions to scheduling conflicts	No	
3.5.2.1 Notes	[Technical Requirement] Record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason).	No	
3.5.3 Provide Manual Schedule Override	[If accept resolution] Provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically	Yes	
3.5.3.1 Notes	[Technical Requirement] During manual scheduling and rescheduling display other future events for that case.	No	
3.5.4 Modify Related Records	[If deny resolution] When schedules change, modify records of all related parties, participants, calendars, docket entries, case status, and other data and functions	Yes	Performed manually case by case
3.5.5 Apply Change to Multiple Schedules	Apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed) to multiple schedules for group of cases as a single user action	No	
3.5.6 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Performed manually case by case
3.6 Use Case Specification: Schedule Management			
3.6.1 Produce Schedule of Cases with Action Pending	Create, maintain, and output administrative or clerk's schedule that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update this schedule when pending actions completed	Yes	
3.6.2 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Performed manually case by case
3.6.3 Report Nonconformance to Business Rules	[If nonconformance] Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established business rules	Yes	

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3.6.3.1 Special Requirements	1. 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).	Partial	Management report - Docket Currency
3.6.3.1 Special Requirements	2. 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).	Yes	Performed manually case by case
3.7 Use Case Specification: Produce and Track Schedules			
3.7.1 Track Schedule Modifications	Track and output schedule modifications (e.g., judge or mediator's schedule's, or courtroom reassignments) over specific period.	No	
3.7.2 Include Case Age in Displays	Include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).	No	
3.7.3 Produce Schedules	Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities (e.g. mediator's, arbitrator's schedule by day).	Partial	By date for a judge/location (public calendar and private calendar)
3.7.4 Output Schedules for Case Participants	Print or display schedules for various persons (e.g. other judicial officers; attorneys; other participants such as law officers, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies if their schedules in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period	No	
3.8 Use Case Specification: Ticklers and Prompts			

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3.8.1 Provide Tickler Capability	Provide tickler capability based on schedules and statutory requirements: identify events coming due or overdue, periods about to expire or expired (e.g., guardianship accounting due, answer or response due, bail forfeiture due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre-sentence investigation); prompt or notify users; and initiate proper functions (e.g., generate statutorily required notice regarding termination of support on approaching birthday when child becomes an adult, unless special conditions exist that nullify termination, such as physically handicapped person; generate notice regarding approaching speedy trial deadline; schedule hearing).	Partial	Some ticklers are automatically generated (civil time standards), and some are user-generated (criminal time standards). Ticklers may not be specific, so user has to open the tickler. Ticklers are not automatically removed when an event is canceled or a case is closed.
3.8.2 Provide Visual Reinforcement	Provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	Partial	Green is active color, blue is history. User may leave them green rather than moving them to history because user has to go to another screen to do that.
3.8.3 Provide User Control of Tickler	Allow users to define structure, content, frequency, and intrusiveness of ticklers, alerts, and prompts	No	
3.8.4 Report Due Events	Generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria (e.g., termination of support on approaching birthday when child becomes an adult, and special conditions that nullify termination, such as person physically handicapped).	Partial	Events on specific date
3.8.5 Alert User to Non-Public Record	Generate alert when displaying cases or portions of cases that are not public record (e.g., adoption cases, which are considered confidential) or otherwise require user notification	No	
3.8.6 Alert User to Unavailable Scheduling Factors	Generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable	No	
3.8.7 Identify Completed Events	Identify completed events (i.e., all tasks associated with multi-task event must be complete for event to be complete) and prompt users when further action required	No	
3.8.8 Prompt Related Case Scheduling	Prompt user to schedule pre-defined related cases (e.g., other petitions regarding same problem) and prerequisite events (see Case Initiation and Indexing Function and Docketing Function in which relationships are defined to system-some automatically and some manually)	No	

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3.8.9 Alert User to Maximum Events	Generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category).	Yes	
3.8.10 Alert User to No Next Event	Alert clerk when case filed or displaying pending cases with no scheduled next event	No	
3.8.11 Provide Supervisor Control of Alerts	Allow supervisor at appropriate level to turn alerts on and off	No	
3.8.12 Provide Defined Action or Inaction Alerts	Generate alerts for defined actions or inactions (e.g., when a scheduled payment is not made, when an error is made such as when a pleading is submitted for a closed case or when the event does not comply with system processes).	Partial	Ledger Card Report shows delinquent payments
4. Business Function: Document Creation and Tracking			
4.3.1 Generate Pre-Formatted Documents	1) Generate miscellaneous documents (e.g., for re-scheduled and canceled events, plaintiff claims forms, for bail or bail reinstatement, postponement of proceedings due to pre-trial intervention, protection or custody, follow-up letters such as requests for completed Title IV-D forms, and other types of forms). 2) Generate pre-formatted documents or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function).	Partial	1) Yes 2) No
4.3.2 Create Special Notices	[If special notice] Create special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to non-participants, other courtesy notices) when requested	Partial	Many special notices generated outside of UCIS with Word
4.3.3 Include All Parties on Notices	In cases with multiple active parties, provide option to include show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party, and show names and primary addresses of all active parties on file copy of notice.	Yes	
4.3.3.1 Special Requirements	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	Partial	Retrieves postal but not email addresses
4.3.4 Consolidate Notices	[If one attorney for multiple defendants] In cases with multiple active parties, generate single notice for attorney who represents multiple parties.	No	
4.3.5 Distribute Documents Electronically	Distribute documents electronically in accordance with state and local statutes, rules, and procedures (see Docketing Function and Configuration Maintenance, Security and Integrity Function).	No	

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4.3.5.1 Notes	[Technical Requirement] Allow user to designate or override computer selection of recipients of the above documents.	No	
4.3.6 Provide Document Workflow Tracking Information	Record and report the status of pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface).	Yes	Requires user-set tickler
4.3.7 Utilize Served Documents Tracking	[If warrant] Activities associated with issuing and tracking the service of warrants and other court orders	Yes	
4.4 Use Case Specification: Served Documents Tracking			
4.4.1 Transmit Served Documents	Send warrants and other served documents (e.g., subpoenas), to appropriate agency with request for acknowledgement of receipt.	Partial	Warrants only, and no request for acknowledgement of receipt
4.4.2 Receive Served Documents	Receive, acknowledging receipt of, warrants and other served documents (e.g., subpoenas), from appropriate agencies	Yes	Performed manually case by case
4.4.3 Receive Return of Service	Receive return of service on warrants and other served documents (e.g., subpoenas).	Partial	Receive notice of warrant service through teletype interface
4.4.4 Reconcile Documents	Facilitate warrant reconciliation with appropriate agency maintaining state criminal history repository	Yes	Performed manually case by case
4.5 Use Case Specification: Document Printing			
4.5.1 Process Court Documents by Event	Automatically print, store and docket court documents based on court events	No	
4.5.2 Provide Group Document Processing	Perform document generation, print, and distribution functions for group of related cases as if group were single case	No	
4.5.3 Suppress Printing of Confidential Information	[If includes confidential information] Suppress or exclude user-designated confidential information in documents (e.g., mask out confidential addresses for notices sent to specific persons).	No	
4.5.4 Provide Flexible Document Printing	[If does not include confidential information] Select printer and be able to print documents individually (including ability to reprint) or in batches in local courts or central location as scheduled or when requested.	Yes	
4.5.5 Print Notices in Multiple Languages	Print defendant notices in multiple languages (e.g. English, Spanish).	No	
4.6 Use Case Specification: Document Utilities			

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4.6.1 Support Output Templates and Standard Text	In conjunction with Docketing and Related Recordkeeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., civil warrants with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices).	Yes	Generates state-mandated and locally customized documents, but tool is inflexible.
4.6.2 Maintain Standard Text Files and Relate to Events	Maintain files of standard text and use to create entire documents or to insert text into boilerplate court forms; relate each group of text to document(s) and court event(s) in which they are used (same as the above sub-function, except there are no output templates, which would necessitate imaging).	Yes	Generates state-mandated and locally customized documents, but tool is inflexible.
4.6.2.1 Special Requirements	Provide ability to override document entries made using the templates and standard text noted above. Provide ability to create customized templates and integrate with user defined word processing packages.	No	
4.6.3 Relate Templates to Court Events	Relate each output template and text noted above to document(s) and court event(s) for which they are used	No	
4.6.4 Create and Support Electronic Forms and Documents	Create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see Multi-Function Capabilities and Integration).	No	
5. Business Function: Calendaring			
5.3 Use Case Specification: Calendar Creation			
5.3.1 Arrange Information into Calendar Format	1)Provide flexibility with respect to calendar content and format (e.g. case or detention status shown with calendar). 2) Produce summary calendar information view for a given person, location, or event (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on related cases or participants) (see Management Reporting Function). 3) Create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons	Partial	1) Limited flexibility for calendarcontent and format. 2) Summary calendar by judge showing most of items named, but no access to other types of case information. 3) ?
5.3.2 Suppress User-Designated Information	Suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings) (see Configuration Maintenance, Security Integrity Function).	Partial	Restricted cases do not show juvenile respondents.

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5.3.3 Include Nature of Proceeding on Calendar	Record and output nature of proceeding for each case on calendar (e.g., motion to dismiss, evidentiary hearing or review hearing to consider change of placement for neglected child).	Yes	Performed manually case by case
5.3.4 Create and Maintain Notes	Create and maintain judge and other user notes (i.e., notes and comments for use with the specific judge's or other user's calendar) for user's viewing only in accordance with local rules and statutes (see Configuration Maintenance, Security and Integrity Function).	Yes	Judge notes not used by some judges because not user-friendly
5.4 Use Case Specification: Calendar Distribution			
5.4.1 Produce Batch and Individual Calendars	Distribute calendars electronically and to the public on the Internet where allowed by rule (e.g., jury manager, court reporters, criminal support units, and CJ agencies).	No	
5.4.2 Distribute Calendars Electronically	Produce calendars individually (e.g., for a judge or courtroom) or by batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom	Yes	Undesired that individual charges print instead of the one case they are associated with
5.4.2.1 Notes	[Technical Requirement] Allow users to reprint selected portions of a calendar and insert add-ons without reprinting the entire calendar.	No	
5.4.2.2 Special Requirements	Print individually or in groups; in multiple locations or central location.	No	
6. Business Function: Hearings			
6.3 Use Case Specification: Record and Format Proceedings			
6.3.1 Generate Manual Recording Worksheet	Optionally create a document suitable for manually recording minutes (e.g., worksheet, check-off list, working calendar).	No	
6.3.2 Capture Record of Court Proceedings	Enter, store, document, and display or print (batch or individually) preliminary and final proceeding records, including informal proceedings when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules	Partial	Only individually, not batch
6.3.2.1 Special Requirements	1) Provide for minute entry suitable for multiple case and multiple-defendant situations using one of methods noted below. 2) Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings. 3) Provide edits and prompts with real-time minute entry capability (see Scheduling and Security and Data Integrity functions).	No	
6.3.3 Enter Courtroom Activity	Enter, store, and display or print courtroom activity recorded on calendar or worksheet	Yes	Performed manually case by case

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6.3.4 Update Records	1) Capture information for each party associated with a hearing including check-in date and time, when hearing began and ended, when party called into hearing, whether party actually appeared in hearing (e.g., may have been outside courthouse when called). 2) Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments, continuances, and cancellations) to update records on cases, parties, defendants, juveniles and other persons, allegations, and pleadings throughout system (e.g., working with Docketing Function for docket updates, Scheduling Function for rescheduling of hearing, Document Creation and Tracking Function for notice creation, Calendaring Function to place on future calendar when scheduled, Accounting functions for monetary judgment data, and other functions).	Partial	Text-based no pick lists - Completeness depends on user
6.4 Use Case Specification: Create and Distribute Court Orders			
6.4.1 Create Court Orders	Create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time	Yes	Not user-friendly
6.4.1.1 Alternative Flows	Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).	Yes	
6.4.2 Approve Court Orders	Judge manually or electronically approves court orders	Partial	Manual function, as in paper-based
6.4.3 Distribute Court Orders	1) Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket. 2) 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.	Partial	1) Manually only 2) No
6.4.4 Utilize Pre-Trial Services	[If pre-trial] 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).	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compli ance	UCIS Notes & Comments
6.4.5 Utilize Pre-Sentence Investigation	[If pre-sentence] 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.	No	Function of State Probation & Parole Department
6.5 Use Case Specification: Pre-Trial Services			
6.5.1 Order Pre-Trial Services	Send request for pre-trial services with associated case and defendant information and internal investigation (see Docketing Function).	Yes	Manual function, as in paper-based
6.5.2 Process Pre-Trial Research Results	Receive results of research on defendant (prior arrests and convictions, aliases, duplicate identifiers) to docket and related individual records (see Docketing Function).	Yes	
6.5.3 Order Release Conditions	Produce order for conditions of release	Yes	
6.5.4 Utilize Bail Management	[If bail] This subfunction includes the activities associated with bail management (e.g. collecting bail money, and producing receipts and reports).	Yes	
6.5.5 Receive Non-compliance Information	[If no bail] Receive information regarding non-compliance of pre-trial intervention or supervision requirements	Yes	Manual function, as in paper-based
6.5.6 Identify Court Intervention Cases	Provide the ability to designate which cases need to be seen by court intervention agency.	No	
6.6 Use Case Specification: Bail Management			
6.6.1 Administer/Terminate Bail	Bail termination information is added to the bail record in appropriate cases.	Yes	Text-based no pick lists - Completeness depends on user
6.6.2 Enter Bail Release	Information required by the court regarding bail release is entered into the record.	Yes	Text-based no pick lists - Completeness depends on user
6.6.3 Generate and Maintain Bail Register	A register documenting bail-related payments and activities is generated, for a period of time designated by the user	Yes	Requires user-set tickler
6.7 Use Case Specification: Pre-Sentence Investigation			
6.7.1 Transmit Referrals	Send information on adult referrals for pre-sentence report (see Hearings Function).	Yes	Manual function, as in paper-based
6.7.2 Receive Pre-Sentence Investigation Information	Receive pre-sentence information electronically or contents of report (e.g., date ordered, date returned, results, extension requests) (see Hearings Function).	No	
6.7.3 Identify Court Intervention Cases	Provide the ability to designate which cases need to be seen by court intervention agency.	No	
7. Business Function: Disposition			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compli ance	UCIS Notes & Comments
7.3 Use Case Specification: Dispose Case			
7.3.1 Record Disposition	1) Record disposition and sentence (if applicable) for entire case and each count or allegation of each charge including those involving entire cases, individual, families, multiple issues, individual parties, multiple and/or cross referenced cases, and cross petitions;	Yes	
7.3.1 Record Disposition	2) where applicable, prompt to dispose of all charges as a single user action (e.g. compute and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant; compute and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant; 3) compute 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;	Partial	2) Requires a number of steps 3) Yes
7.3.1 Record Disposition	4) link charges and fine or restitution amounts; 5) enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant;	Yes	
7.3.1 Record Disposition	6) compute and enter fine or monetary restitution based on sanctions imposed on each person; 7) enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person; associate monetary and non-monetary restitution with specific victim(s)).	Yes	
7.3.1 Record Disposition	The system should have the ability to utilize court room activity information that was acquired during hearings		
7.3.1.1 Special Requirements	1) Populate appropriate fines based on violation and local business rules and allow for clerk override. 2) Provide capability of establishing a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories paid to state and county criminal justice agencies. 3) Automatically populate appropriate fees/costs (not fines) based on violation and allow for clerk override.	Partial	1) No 2) Yes 3) Yes
7.3.2 Distribute Disposition Documents Externally	Distribute disposition documents noted above electronically or manually to recipients external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections) and internally to be entered in docket.	Yes	Manual function, as in paper-based

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7.3.3 Update Disposition, and Sentence Information	Maintain and produce disposition, and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences, and reason for closure for each charge (e.g., ultimate resolution for case due to trial, ADR such as mediation, dismissal, withdrawal, conference, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation).	Yes	Manual function, as in paper-based
7.3.4 Update Judgment Indexes	Create, display or print, and maintain separate judgment indexes (i.e., judgment book) that show original and subsequent judgments (e.g., containing judgment entry and expiration dates, amounts, modifications, satisfactions, judge or other judicial officer) by case and party	No	
7.3.5 Maintain Separate Disposition and Judgment Information	1) Create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party. 2) Allow for multiple judgments in cases involving multiple parties	Yes	
7.3.6 Utilize Case Closure	[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, 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).	Partial	Non-comprehensive function because not distinguish between "disposed" and "closed" - payments may remain outstanding, ticklers not automatically deleted
7.4 Use Case Specification: Case Closure			
7.4.1 Record Reason for Closure	Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, consolidation nolo contendere, or bail forfeiture) when all locally defined business rule conditions are met.	Yes	Text-based no pick lists - Completeness depends on user
7.4.2 Process Notification of Compliance	Receive and process 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.	Yes	Text-based no pick lists - Completeness depends on user
7.4.2.1 Alternative Flows	Coordinating consolidated cases would only occur at disposition, not post disposition.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
7.4.3 Coordinate Consolidated Cases	Establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions	Yes	Not user-friendly
7.4.4 Close Case	Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).	Yes	
7.4.5 Generate Case Closure Reports	1) Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance and other information, such as community work service hours completed). 2) This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).	Partial	1) Yes 2) No
7.4.5.1 Special Requirements	Provide the ability to reopen a previously closed case.	Yes	
7.5 Use Case Specification: Disposition Maintenance Support			
7.5.1 Track Changes in Identifiers	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	No	
7.5.2 Track Changes in Charges	Track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes	No	
7.5.3 Track Changes in Dismissed Charges	Track pleas entered and their verdicts [sic - judgments].	Yes	
7.5.4 Track Pleas	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	No	
7.5.5 Identify Inactive Cases	Identify inactive cases to process for disposition according to business rules and groups of cases (e.g., no activity for 6 months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).	Yes	Requires user-set tickler
7.5.6 Update Group as if Single Case	Update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Docketing Function).	No	
8. Business Function: Post Disposition Compliance and Execution			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
8.3 Use Case Specification: Defendant Compliance and Judgment Execution			
8.3.1 Initiate Post Judgment Activities	Receive objections to execution by any party or case participant, per rule of court (e.g. 10 days after initial judgment is issued).	Yes	Text-based no pick lists - Completeness depends on user
8.3.2 Utilize Create and Distribute Court Orders	[If party initiated] This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings, real time or at any time during the life of a case	Yes	Not user-friendly
8.3.3 Record Objections and Post Judgment Motions	[If court initiated] Objections as well as any additional post judgment motions are recorded	Yes	Text-based no pick lists - Completeness depends on user
8.3.4 Produce Compliance Documents	1) Process information and create documents (e.g., court orders such as revocation of probation, reduction of sentence, writ of execution and abstract of judgment for unpaid assessments) on post-judgment or post-conviction activities (e.g., in response to requests for execution with information on monetary and non-monetary judgments including parties, monetary and non-monetary awards, pertinent dates, assignees, payments, credits, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine); 2) enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Bookkeeping Function).	Partial	1) Yes 2) Amended judgments overwrite original judgments; Bankruptcy recorded only after completed, not during pendency.
8.3.5 Process Requests for Execution of Judgment	[If civil law case] Process requests for execution of judgments and establish cross references for each execution subfunction below to judgment index and judgment screen	Partial	Process requests, but not judgment index
8.3.6 Track Sentence Compliance	[If criminal law case] Track sentence compliance and modifications (see Disposition Function).	Yes	
8.3.7 Record Compliance Results	Record fully, partially, and non-satisfied executions (e.g. All obligations satisfied).	No	
8.3.7.1 Special Requirements	Update each case in group of cases for which execution requested as if group was a single user action (e.g., same judgment terms and execution requirements for each case in group).	No	
8.3.8 Distribute Post-Conviction Documents	Distribute post-conviction documents noted above electronically or manually to external recipients (e.g., law enforcement, driver programs, and corrections) in accordance with state and local statutes, rules, or procedures, and internally to be entered in docket.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
8.3.9 Utilize Case Closure	[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, 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).	Partial	Non-comprehensive function because not distinguish between "disposed" and "closed" - payments may remain outstanding, ticklers not automatically deleted
8.4 Use Case Specification: Create and Distribute Court Orders			
8.4.1 Create Court Orders	Create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time.	Yes	
8.4.1.1 Alternative Flows	Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).	Yes	
8.4.2 Approve Court Orders	Judge manually or electronically approves court orders.	Partial	Manual function, as in paper-based
8.4.3 Distribute Court Orders	1) Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket. 2) 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.	Partial	1) Manually only 2) No
8.4.4 Utilize Pre-Trial Services	[If pre-trial] 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).	No	
8.4.5 Utilize Pre-Sentence Investigation	[If pre-sentence] 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.	No	Function of State Probation & Parole Department
8.5 Use Case Specification: Case Closure			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
8.5.1 Record Reason for Closure	Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, consolidation nolo contendere, or bail forfeiture) when all locally defined business rule conditions are met.	Yes	Text-based no pick lists - Completeness depends on user
8.5.2 Process Notification of Compliance	Receive and process 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.	Yes	Text-based no pick lists - Completeness depends on user
8.5.2.1 Alternative Flows	Coordinating consolidated cases would only occur at disposition, not post disposition.		[delete this - not stated as a requirement]
8.5.3 Coordinate Consolidated Cases	Establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions.	Yes	Not user-friendly
8.5.4 Close Case	Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).	Yes	
8.5.5 Generate Case Closure Reports	1) Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance and other information, such as community work service hours completed). 2) This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).	Partial	1) Yes 2) No
8.5.5.1 Special Requirements	Provide the ability to reopen a previously closed case.	Yes	
9. Business Function: Receipt Accounting			
9.3 Use Case Specification: Funds Collection			
9.3.1 Special Requirements	1) Provide the capability to track cases and accounts which have been placed on a payment plan. 2) Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).	Partial	1) Yes 2) No

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9.3.2 Accept Payments for Fully or Partially Docketed Cases	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. Also includes payment preceding filing of citation.	Yes	
9.3.3 Accept Range of Payment Methods	Accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, debit card, fine and fee waiver, draw down or escrow amounts, electronic funds transfer).	Partial	OK for cash, check, fine and fee waiver
9.3.3.1 Special Requirements	Support a variety of payment methods from attorneys and law firms, such as electronic funds transfer from draw-down or escrow accounts pre-established by attorneys and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses) (see Multi-Function Capabilities and Integration, Accounting - Bookkeeping Function).	No	
9.3.4 Utilize Establish Payment Plan	[If payment plan]	Yes	
9.3.5 Accept Multiple Payment Type per Transaction	[If full payment received] Accept multiple types of payments in single transaction (e.g., cash, check).	No	
9.3.6 Accept Multiple Payments for Single Case	Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments.	No	
9.3.7 Accept Single Payment for Multiple Cases	Accept single payment for multiple cases with capability to process separately for each case.	No	
9.3.8 Allow Receipt of Unidentified Payments	Allow the receipting of unidentified payments, and allow the assignment of previously receipted unidentified payments to a specific obligation.	No	
9.3.9 Utilize Funds Processing	Once funds have been accepted, this subfunction allows for processing and allocation of funds in accordance with subfunctions of Bookkeeping Accounting (Section 10).	Yes	
9.4 Use Case Specification: Establish and Maintain Payment Plans			
9.4.1 Special Requirements	1) Provide the capability to track cases and accounts which have been placed on a payment plan. 2) Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).	Partial	same as 9.3.1
9.4.2 Capture Financial Information	Capture, update, and display financial information (e.g. income, assets, monthly expenses, etc) for the defendant which will help determine a payment plan.	No	
9.4.3 Establish a Payment Plan	Establish a payment plan for one or more cases.	Yes	

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9.4.3.1 Notes	[Technical Requirement] Provide the ability to establish payment plans with variable terms and amounts.	Partial	New plan overrides old plan
9.4.4 Print Payment Coupons	Print payment plan remittance identifiers (e.g. coupons).	No	
9.4.5 Generate a Late Payment Notice	[If late payment] Automatically generate a late payment notice according to local business rules.	No	
9.4.6 Update Register of Actions	Automatically update the register of actions for each late payment notice generated.	No	
9.4.6.1 Notes	[Technical Requirement] Provide the ability to remove a case from a payment plan without deleting the payment plan for other cases. [Technical Requirement] Provide the ability to add a case to an existing payment plan.	Partial	1) No 2) Yes
9.5 Use Case Specification: Funds Processing			
9.5.1 Associate Payments with Cases and Persons	Associate payment with proper cases and persons when moneys collected (see Bookkeeping Function).	Yes	
9.5.1.1 Special Requirements	Permit person, with proper authority, to override pre-established funds distribution priorities.	Yes	
9.5.2 Process Fees Associated with Non-Parties	[If fees associated with non-parties] Properly allocate fees associated with non-parties (e.g., from couriers, media, general draw-down accounts) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case).	No	
9.5.3 Record Information on Payments and Other Transactions	[If fees associated with parties] 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).	Partial	Receipt shows only payee, payment amount
9.5.4 Transfer Funds Between Accounts	Transfer funds from one case to another case or between accounts in a given case with proper audit trail (see Bookkeeping Accounting Function).	No	
9.6 Use Case Specification: Receipt Generation			
9.6.1 Generate and Print Receipts with Appropriate Information	Generate, display, and print receipts with proper identifiers (e.g., payee, fee, fine, or 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, balance due) based on collections with user option to receive single or multiple copies.	Partial	Receipt shows only payee, payment amount
9.6.2 Generate Electronic Receipts	[If electronic payment] Generate and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration).	No	
9.6.3 Generate Sequential Receipt Numbers	[If non-electronic payment] Generate and print (or reprint) receipts with unique, locally defined, sequential receipt numbers.	Partial	Unable to reprint receipt without payment applying again

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9.6.4 Generate Multiple Receipts for Single Payment Made for Multiple Cases	[If payment for multiple cases] Generate and print (or reprint) multiple receipts from one financial transaction covering payment for one or more purposes for multiple cases (e.g., an attorney files and pays various fees for several cases in one trip to courthouse).	No	
9.6.5 Generate Single or Multiple Receipts Involving Multiple Payments for One Case	[If payment for one case] Generate and print (or reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse).	No	
9.7 Use Case Specification: Cashier Close Out			
9.7.1 Maintain Bookkeeping Information	Maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement).	Yes	
9.7.2 List Transactions and Compute Totals	List transactions and compute totals and balance for each cash drawer, register, cashier, and fee type.	Partial	Controls considered too loose
9.7.2.1 Special Requirements	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).	Partial	Controls considered too loose
9.7.3 Record Inventory of Cash Drawer Contents	List contents of each drawer (e.g., cash, checks, credit and debit card receipts, fee waivers, money orders).	No	
9.7.4 Produce Cashier Summaries	Produce summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders) (see Bookkeeping Function).	No	
9.7.5 Produce Discrepancies for Imbalances	Produce any discrepancies between payments, receipts, and cases (or defendants) over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Bookkeeping Function).	No	
9.7.6 Produce Summary Cashiering Reports	Produce summary reports for each cash drawer, cash register, and cashier (see also Receipt Accounting Function).	No	
10. Business Function: Bookkeeping Accounting			
10.3 Use Case Specification: Bank Account Management			
10.3.1 Special Requirements	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).	Yes	Not user-friendly
10.3.2 Utilize Create New Account	[If new account] Create a new bank account.	No	

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10.3.3 Retrieve Bank Account Records	[If existing account] Retrieve, maintain, and track various types of bank accounts (e.g. interest bearing, non-interest bearing, installment, pay-through, funds held short-term by clerk).	No	
10.3.4 Post Interest Accruals	Post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts), and associate accruals with proper bank account.	No	
10.3.5 Total and Reconcile Receipts to Calculate Bank Deposits	Total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Receipt Accounting Function).	No	
10.3.5.1 Alternative Flows	Could be deposited into separate accounts prior to deposit.	No	
10.3.6 Calculate and Record Bank Deposits	Calculate and Record Bank Deposits.	No	
10.3.7 List Bank Deposits by Group	List bank deposits in various groupings (e.g., totals for cash, check, credit and debit card).	No	
10.3.8 Print Bank Deposit Slips	Print (or reprint) bank deposit slips for specific banks and time periods.	No	
10.3.9 Reconcile Court and Bank Balances	For specific periods: compare court record of checks with bank record of checks; create list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; create report giving discrepancies for all reconciliations.	No	Done at state office
10.3.10 Reconcile Bank Statements Electronically	[If electronic bank statement] Receive bank statements and reconcile bank accounts electronically (see Multi-Function Capabilities and Integration).	No	
10.3.11 Utilize Bank Account Reporting	[If paper bank statement] Bank Account Reporting refers to the generation of statements and other reports produced from bank account management (e.g. financial transaction lists, deposit list, and open item list).	No	
10.4 Use Case Specification: Create New Account			
10.5 Use Case Specification: Bank Account Reporting			
10.5.1 Produce Financial Transaction Lists	Produce, for display or print, detailed and summary lists of financial transactions (e.g., receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see also Management Reporting Function).	No	
10.5.2 Print Cash Receipts Journal	Print (or reprint) system-wide daily cash receipts journal.	Yes	
10.5.3 Produce Open Item List	Produce list of items that remain open for accounts that carry balance forward from one period to next period.	Partial	Criminal uses ledger card, civil uses receipt inquiry (non-integrated)

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compli ance	UCIS Notes & Comments
10.6 Use Case Specification: Dishonored Payment Management	A process that should include but not be limited to identifying and processing dishonored payments (e.g. NSF checks, credit card payments, counterfeit currency).	No	
10.7 Use Case Specification: Draw-Down Case Account Management			
10.7.1 Special Requirements	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).	Yes	Not user-friendly
10.7.2 Establish a Debit Account	Establish account against which entities can prepay for future case and non-case services.	No	
10.7.3 Debit Accounts of Authorized Organizations	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).	No	
10.7.4 Monitor Account Balances	Identify instances when balances in draw-down accounts are low and accounts require additional funds, and send notices.	No	
10.7.4.1 Special Requirements	Allow users to specify that refunds will be credited to draw-down accounts (e.g. pre-paid fees for services not ultimately used).	No	
10.7.5 Produce Transaction Reports	Provide reports showing transactions on draw-down accounts over user-specified period.	No	
10.8 Use Case Specification: Maintain Case Account Financials			
10.8.1 Special Requirements	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).	Yes	Not user-friendly
10.8.2 Compute and Display Costs and Fees Based on Events	Compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing, warrant issuance).	Yes	
10.8.3 Utilize Establish Case Accounts and Payments	This function establishes individual case and party accounts when fees are initially received for cases (e.g. single party account in case with single or multiple parties or multiple party accounts for each case) (see Section 9, Receipt Accounting). This function may create payment schedules, collect payments, apply payments to scheduled amounts due (e.g. amount in judgment), and produce reports on overdue amounts.	Yes	
10.8.4 Accrue Charges to Case Based on Events	Accrue charges to case based on occurrence of specific events (e.g., motion filed), apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements.	No	

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10.8.5 Identify and Process Fee Waivers and Deferrals	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).	Partial	Identifies fee waivers only
10.8.6 Record Financial Changes Resulting from Court Orders	Record changes to accounting records that result from court orders (e.g., change in monthly restitution or support payment amount) and modify appropriate records.	Yes	Text-based no pick lists - Completeness depends on user
10.8.6.1 Special Requirements	Provide capability to adjust receivables when directed by court order (e.g. abatement by death).	Yes	
10.8.7 Maintain Tables for Costs, Fees, and Fines	Maintain standard tables for court costs, fees, and fines.	Yes	
10.8.8 Preserve Transactions While Applying Corrections	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.	No	
10.8.9 Utilize Post Transactions	This function provides for posting financial transactions to case accounts.	Yes	
10.8.10 Utilize Generate Case Account Reports	1) This subfunction includes generating case account reports including periodic (e.g. daily, weekly, monthly) reports or displaying a showing of financial status, and history (e.g. information on transactions, account balances, discrepancies, adjustments) for each specified case, party, or fund account (see also Section 13, Management Reporting). 2) Other periodic financial reports generated include reports based on various criteria including at minimum account aging, audit trail, and journal reports (Section 13, Management Reporting). 3) This subfunction also generates and prints invoices, produces correspondence, and generates accounting notices.	Partial	1) Ledger Card Report shows delinquent payments 2) No 3) No
10.9 Use Case Specification: Establish Case Accounts and Payments			
10.9.1 Establish a Case Account	Establish a case account upon first payment of fees or fines.	Yes	Criminal uses ledger card, civil uses receipt inquiry (non-integrated)
10.9.2 Maintain and Track Individual Case Accounts and Balances	Maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are court support; most other accounts, such as trusts and most escrow accounts, are financial).	Partial	Track criminal fines & restitution and civil fees only - no pass-throughs or trust accounts
10.9.3 Allow Flexible Payment Methods	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, and pay through).	Partial	OK for cash, check, fine and fee waiver

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
10.9.4 Identify and Process Arrearages	Identify (i.e., input or compute) and record arrearages, generate alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency) (see also Scheduling Function).	Partial	Requires individual case inquiry
10.9.5 Share Information with State Agencies to Collect Payments	Share information with state agencies to coordinate collection of court-ordered payments.	No	
10.9.6 Mark Case or Party Account Closed	Mark case or party account closed, or some other designator.	Partial	Non-comprehensive function because not distinguish between "disposed" and "closed" - payments may remain outstanding, ticklers not automatically deleted
10.10 Use Case Specification: Post Transactions			
10.10.1 Post Case Receipts	Post case- or defendant-related receipts (cash or other tender) to accounting records and docket or register of actions (installment or child support 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 Function).	Yes	
10.10.2 Post Adjustment	Post case related adjustments (e.g. write offs, modifying a fine up or down, and over/short adjustments).	Partial	Ad hoc, inconsistent handling provided
10.10.3 Post and Associate Case-Related Disbursements	Post case- and defendant-related disbursements to accounting records and docket or register of actions (installment or child support 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 Function).	Partial	Ad hoc, inconsistent handling provided
10.10.4 Post and Process Installment and Partial Payments	Post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, attorney fees) garnishments, installment payments, and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also Post Disposition Compliance and Execution Function).	Partial	Ad hoc, inconsistent handling provided
10.10.5 Record Funds Received from Other Agencies for Specific Case	Record and track funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g. tax intercept, wage garnishment, and fees from another jurisdiction for service by a law enforcement officer).	Partial	Ad hoc, inconsistent handling provided
10.11 Use Case Specification: Generate Case Account Reports	Page 30 of 40		

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10.11.1 Produce Transaction Lists	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 chronologically) for specific cases and defendants over specific periods (e.g., daily, monthly, for life of case).	Yes	Criminal uses ledger card, civil uses receipt inquiry (non-integrated)
10.11.2 Generate Invoices	Generate and print (or reprint) invoices for and document collection of all moneys (e.g., fees for re-service of process).	Partial	Ad hoc, inconsistent handling provided
10.11.3 Produce Payment Notices and Other Correspondence	Produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Creation and Tracking Function).	Yes	Not user-friendly
10.11.4 Generate Accounting Notices	Generate accounting notices (e.g., for payment, overdue payment) in receipting or bookkeeping (see Document Creation and Tracking Function).	Yes	Not user-friendly
10.11.5 Generate Trial Balance Report	Generate trial balance reports over a specific period.	Yes	Not user-friendly
10.12 Use Case Specification: Funds Disbursement			
10.12.1 Notes	[Technical Requirement] Have the ability to disburse funds electronically or by check to recipient bank accounts.	No	
10.12.2 Special Requirements	Provide ability to place a hold on disbursements of funds deposited for a case.	Partial	Ad hoc, inconsistent handling provided
10.12.3 Disburse Collected Fees and Fines	Disburse collected fees and fines electronically or manually according to a predefined formula (statute, rule, or court order) either periodically (e.g., monthly) or when fees or fines are collected in conjunction with Receipting Function (see Receipt Accounting Section 9); also to include other units (e.g., appellate court for appealed cases).	Yes	
10.12.4 Disburse Checks	Initiate, print, and disburse checks periodically or on demand, individually or cumulatively over specific periods (e.g. for filing fees collected in error).	Yes	
10.12.4.1 Alternative Flows	Initiate, print, and disburse sequentially numbered checks.	Yes	
10.12.5 Support Individual or Periodic Pay-through Checks	Provide capability to issue checks for pay-through activities individually (e.g., when collected) or periodically (e.g., monthly) based on accumulated payments.	Yes	
10.12.6 Utilize Distribution Account Management	Distribution Account Management includes managing the distribution account by posting receipts, computing fees, initiate, print, and disburse checks or electronic funds transfers, produce a pre-check register, and apply payments to proper account or activity.	Partial	Not user-friendly
10.13 Use Case Specification: Distribution Account Management			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compli ance	UCIS Notes & Comments
10.13.1 Provide Reports for Disbursement of Undistributed Moneys	Provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court, jury fees posted for settled cases), update ledgers, and produce reports (e.g., for each check not cleared over specific period).	Yes	
10.13.2 Compute Fee Distributions by Formula	Compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, and other purposes).	Yes	
10.13.2.1 Special Requirements	Permit distribution formula override by appropriate authority.	Yes	
10.13.3 Post Non-Case-Related Receipts and Disbursements	Post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account.	Partial	Ad hoc, inconsistent handling provided
10.13.4 Produce Allocation Formula Report	Produce report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation.	?	
10.13.5 Produce Pre-Check Register	Produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period.	Yes	
10.13.6 Process Checks	Initiate, print, and disburse checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions.	Yes	
10.13.7 Apply Installment Payments to Proper Account or Activity	Apply installment payments to proper account or activity and display balance (e.g., to fees or to owed restitution, support, or alimony).	Yes	
10.13.8 Allow Multiple Pay-through Cost Assessments	Allow multiple pay-through cost assessments to be specified for each case.	No	
10.14 Use Case Specification: Financial Administration			
10.14.1 Produce Case-Based Financial Reports	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.	Partial	1) Yes 2) ? 3) ?
10.14.2 Produce Report of Fines and Fees Waived	Produce report containing information on fines and fees waived, and associated payments.	No	
10.14.2.1 Special Requirements	1) Provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see Security and Data Integrity Function). 2) Produce lists arranged according to user selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, party).	No	
10.14.3 Generate Pay File	Generate pay file of check numbers and amounts and send to bank.	?	
10.15 Use Case Specification: General Ledger Maintenance			

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10.15.1 Maintain General Ledger	Maintain general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.	No	
10.15.2 Provide Customizable Chart of Accounts	Create and maintain system-defined and user-customized chart of accounts.	No	
10.15.3 Maintain Account Journals and Ledgers	Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries.	No	
10.15.4 Reconcile and Balance Accounts	Reconcile and balance all accounts.	No	
11. Business Function: Records Management			
11.3 Use Case Specification: File Tracking			
11.3.1 Generate Indicators for Files	Generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations).	Yes	
11.3.2 Maintain Tracking Information About Destroyed Files	Maintain status, last location, and history of destroyed files.	Yes	
11.3.3 Flag Electronic Version When Manual File Lost	Flag electronic file when corresponding hard-copy file is reported lost, and display alert to electronic record user.	Yes	
11.4 Use Case Specification: Paper File Tracking			
11.4.1 Generate Case File Labels	Generate labels for paper case files, with the capability of including barcodes (see also Case Initiation and Indexing Function).	Partial	No barcode capability
11.4.2 Generate Indicators for Paper Files	Generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., police reports, juvenile or domestic relations interview notes, psychological profiles) and to provide information on placeholders for checked-out paper files.	No	
11.4.3 Maintain Audit Trail	Maintain and print or display audit trail of each case file location with information similar to that noted above for file tracking, in addition to length of time file checked out (see also Docketing Function).	No	
11.4.4 Maintain Location for Archived Files	Maintain location (e.g. storage facility, location in facility, disc or reel number, and location on reel) for archived files.	No	
11.4.5 Maintain Tracking Information About Destroyed Files	Maintain status, last location, and history of destroyed files.	No	
11.5 Use Case Specification: File Archival and Destruction			
11.5.1 Special Requirements	Permit override of system-supplied data (e.g., archival, destruction, and transfer dates) with supervisor approval.	No	
11.5.2 Identify Cases for Archiving/Destruction	Identify cases to be archived or destroyed.	Yes	

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11.5.3 Process Cases for Archival	[If archive] Process files according to local and state rules for becoming archived, or transferred to storage facility to be retained permanently.	Yes	
11.5.3.1 Special Requirements	Permit access to inactive and archived files and documents for information and to restore to active status (see reopened cases in Case Initiation and Indexing Function).	Yes	
11.5.4 Retain Information	Identify and retain summary information (e.g., indexes, key elements of case history from inactive, archived, destroyed, or purged case or defendant files), in accordance with local rules, as needed for related cases or defendants that remain active (see Docketing Function).	Yes	
11.5.5 Maintain Case Aging Information	Automatically suspend and resume aging of cases for storage and retention.	No	
11.5.6 Process Files for Destruction	[If destroy] Process files according to local and state rules for becoming destroyed.	Yes	
11.5.7 Destroy Files	Destroy Case Files.	Yes	
11.5.8 Generate Reports for Archived/Destroyed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been archived and destroyed or transferred.	Yes	
11.5.9 Update Active Records for Archived/Destroyed Files	Interface with the Docketing Function to update records of cases or defendants related to cases transferred to inactive, archived, destroyed, or purged status.	No	
11.6 Use Case Specification: File Expunging and Sealing			
11.6.1 Identify Cases for Expunging or Sealing	Identify cases to be expunged or sealed.	No	
11.6.2 Expunge Case Files	[If expunge] Expunge files when ordered by the court.	No	
11.6.3 Seal Case Files	[If seal] Seal files when ordered by the court.	No	
11.6.4 Send Notices of Expunged and Sealed Cases	Send notice of expungements, sealed cases, and special access information to all appropriate agencies.	No	
11.6.5 Generate Reports for Expunged or Sealed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been expunged or sealed.	No	
11.6.6 Update Active Records for Expunged or Sealed Files	Interface with the Docketing Function to update records of cases or defendants related to cases transferred to inactive or purged status.	No	
11.7 Use Case Specification: Exhibit and Evidence Management			
11.7.1 Record Receipt of Exhibits	Record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence, and location), generate tag for exhibits and other property, relate to specific case, generate receipts.	No	
11.7.2 Generate Identifiers	Generate exhibit and property numbers or other locally defined identifiers.	No	

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11.7.3 Generate Property Lists	Print or display lists of exhibits and other property according to case, party, and other parameters.	No	
11.7.4 Track Location and Status of Exhibits	Track location and status of exhibits and other property.	No	
11.7.5 Generate Exhibit Notices	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 Creation and Tracking Function).	Yes	
11.7.6 Record Return, Disposal, or Destruction of Property	Record return, disposal, or destruction of exhibits and other property.	No	
11.8 Use Case Specification: Document Management			
11.8.1 Special Requirements	1) Support manipulation and maintenance of electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see also Document Generation and Processing Function). 2) Provide retrieval of specific document directly from other parts of system (e.g., docket) without intermediate steps (e.g., without scrolling through document list to select given document). 3) Support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range). 4) Support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range).	No	Documents are being scanned into FileNet, but retrieval through case management system not available yet
11.8.2 Provide Electronic Document Viewing	Provide capability to control electronic document viewing such as toggling between views of several different documents and document resizing.	No	
11.8.3 Interface with Separate Document Management System	Provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities.	Yes	
11.8.4 Use Same Document Management System for Imaging	Provide capability to use same document management system for imaging if imaging included in overall case processing.	No	
11.8.5 Provide Document Management Security	Provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Configuration Maintenance, Security and Integrity Function). Access to case images should be controlled through the case management system.	Partial	Access to images has security levels, but not tied to case management system
11.8.6 Store and Output Documents Maintained in the System	Provide ability to save, store, and output any document maintained in the system without requiring the data to be reprocessed.	No	

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11.9 Use Case Specification: Reporting and Utility			
11.9.1 Enter Report Screen	Enter into either the pre-defined system report or ad hoc report screen.	Partial	Not user-friendly
11.9.2 Set Reporting Parameters	[If ad hoc report] Set user-defined reporting parameters.	No	
11.9.3 Allow for Merge of Files	[If standard report] Allow for merge of files containing information on same defendant.	Partial	Not user-friendly
11.9.3.1 Notes	[Technical Requirement] Provide the ability to display an alert when merge of files will affect multiple records.	No	
11.9.4 Generate File Management Reports	Generate reports on file management activities including lists of active, inactive, archived, merged, and purged files (e.g., to assist in annual file inventory).	No	
11.9.4.1 Notes	[Technical Requirement] Display information on system and equipment (e.g., printer) malfunctions if information available	Yes	
11.9.5 Display/Print Documents	Display any printed output, print any screen display, and print any document individually or in a group, when scheduled or on request.	No	
12. Business Function: Configuration Maintenance, Security and Integrity			
12.3 Use Case Specification: Security Access Requirements			
12.3.1 Special Requirements	Allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and case support functions for, potentially, all related case and financial information (i.e., on specific case, person data types and on other cases related to specific person data types) and with the inquiry and report generation capabilities for more varied displays and reports. If there are multiple components, the components must be able to exchange data efficiently adhering to integrity requirements (e.g. off the shelf software, and modularized components). For example, evidence management software should be able to interface with docketing.	Partial	The menu system provides access to most functions, but user cannot generally navigate from functiion to function without backing out to menu level. Components not well integrated.
12.3.2 Provide Secure Passwords	The system should provide both operating system and application and data base level passwords to control access.	Yes	
12.3.3 Control Access and Privileges on User-Maintained Authorizations	According to user identification and password authentication control access and similar privileges; including privileges for specific groups of users based upon user role and task requirements, and access to specific types of data (e.g., access authorization tables).	Yes	Only three security roles, would like more granularity

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12.3.4 Provide Flexible Restrictions on Access and Restrictions	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, electronically received files and data, system functions from and to other system functions, device (e.g., terminals, PCs, printers) locations, users, and groups of users.	No	
12.3.5 Restrict Local and Remote Access via Flexible Criteria	Restrict local and remote access to certain cases (e.g., with information on children), classifications of cases (e.g., sealed cases), and parts of cases (e.g. juvenile information, addresses, social security numbers, medical and treatment information, child abuse, and psychological profiles) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders.	Partial	Case type "R" for restricted, used for sensitive case types
12.3.6 Provide Additional Security for Public Access	Provide user access privileges and authorization for public access.	Yes	
12.3.7 Provide Security for User Notes	Provide and maintain security access control for user notes based upon user identification and authorization.	Yes	Clerks can see judges' notes bu public cannot
12.3.8 Suppress Output of Confidential Information	[If confidential information] Suppress inclusion of user-designated confidential data elements in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Creation and Tracking Function, Calendaring Function, Hearings Function, and Disposition Function).	Yes	Case type "R" for restricted, used for sensitive case types
12.3.9 Allow Limited Access to Normally Inaccessible Information	[If no confidential information] Allow special, limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis or other specific research purposes.	No	
12.4 Use Case Specification: Security Maintenance			
12.4.1 Provide Audit Trail of User Activities	Provide audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what parts of system and database they accessed (e.g., to prevent browsing) during specified period; permit audit trails to be stored, archived, and purged.	No	
12.4.2 Permit Authorized User Correction of Data Entry Errors	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).	Yes	
12.4.3 Provide Audit Trail of File Additions, Modifications, and Deletions	Maintain and display or print audit trail of file additions, modifications, corrections, and deletions (e.g. filings entered into docket, and electronically received documents) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing Function). Page 37 of 40	No	

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12.4.3.1 Special Requirements	Provide security for electronic interfaces and information exchanges with outside systems and networks.	No	
12.5 Use Case Specification: Data Integrity			
12.5.1 Special Requirements	Ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight errors). In order to prevent loss of data at any time the system should permit file backups as well as disaster recovery.	Partial	1. No 2. Yes
12.5.2 Ensure Integrity of Electronically Transmitted Data	Ensure each document and its contents sent by user (e.g., attorney) is either electronically authenticated or 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.	No	
12.5.3 Merge Data for a Person	Provide for the ability to ensure that only appropriate sets of data exists for each person (i.e., various identifiers for given person must be correlated), and allow for merge and unmerge of files containing information on the same person.	No	
12.5.4 Perform Locally Defined Edits	Perform locally defined edit and data validation checks such as content of individual data fields (e.g., proper format for a date) and relationship of data field to other data (e.g., date of answer or response after date filed).	No	
12.5.5 Produce Transaction Statistics	Produce statistics on transactions received, transactions accepted, and transactions rejected over specific time period.	No	
12.6 Use Case Specification: Rule Driven Behavior			
12.6.1 Maintain Code Translation Tables	Populate and maintain code translation tables defined by an authorized administrator.	Partial	Type codes and offense codes not used consistently
12.6.2 Provide and Maintain Input Templates	Maintain file of input templates available to users to create input documents and, as necessary, associated cover sheets and relate each template to court event(s) (e.g., to correlate templates with events).	No	
12.6.3 Display Template Forms	Provide capability to print or display template forms with and without entered data.	No	
12.6.4 Determine Charge Severity Hierarchy	Allow the user management team to determine the charge severity hierarchy.	No	
12.6.5 Employ Conditional Statements	Permit the user management team to employ (if, then) and (if, then, unless) conditional statements in event generation.	No	
12.6.6 Define Sequence of Events	Allow the user management team to define the sequence of events in any case track for differentiated case management.	No	

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12.6.7 Populate Fines	Populate appropriate fines based on violation and local business rules and allow for clerk override.	Yes	
12.6.8 Establish Priority Ranking for Funds	Provide capability of establishing a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories distributed as provided by ordinance, order, or law.	Partial	Applies payments to oldest amount owed, but process not transparent
13. Business Function: Management Reporting			
13.3 Use Case Specification: Operations Information and Statistical Reporting	As a by-product of producing information for operations for day-to-day case processing, the system produces statistics for local use that satisfy the reporting requirements of the judicial branch, state agencies, and the federal government. These statistics appear in reports that are either produced locally by the case processing system or at the state level.	Partial	Provides some docket currentcy information
13.3.1 Reports Currently Used in North Dakota	Standard Reports Currently Used in North Dakota	Partial	No definitive list compiled
13.3.2 CourTool Measure 2 - Clearance Rate	The number of outgoing cases as a percentage of the number of incoming cases.	No	
13.3.3 CourTool Measure 3 - Time to Disposition	The percentage of cases disposed or otherwise resolved within established time frames.	No	
13.3.4 CourTool Measure 4 - Age of Active Pending Caseload	The age of the active cases pending before the court, measured as the number of days from filing until the time of measurement.	No	
13.3.5 CourTool Measure 5 - Trial Date Certainty	The number of times cases disposed by trial are scheduled for trial	No	
13.3.6 CourTool Measure 6 - Collection of Monetary Penalties	Payments collected and distributed within established timelines, expressed as a percentage of total monetary penalties ordered in specific cases	No	
13.4 Use Case Specification: Management Information and Statistical Reporting	While management reporting is a mandatory capability for every case processing system, the specific management reports needed by a given court depend on local rules and highly personalized management styles.		
13.4.1 Standard North Dakota Forms and Notices	See ATTACHMENT B - Standard Forms and Notices Currently Used in North Dakota	Yes	
14. Unique North Dakota Functions			
14.1 Felony Deemed as Misdemeanor under N.D.C.C §12.1-32-02(9)			
14.1.1 Reminder During Sentencing if Offense Meets Criteria of N.D.C.C §12.1-32-02(9)	When entering a sentence of less than one year for a felony charge, with conditions of probation, an additional screen will come up reminding the user that the offense needs to be reduced to a misdmeanor.	Yes	Procedure described in memo dated May 7, 2002
14.1.2 Reminder During Probation Revocation if Offense Meets Criteria of N.D.C.C §12.1-32-02(9)	When entering probation revocation on a felony that had been deemed a misdemeanor, an additional screen will come up reminding the user that the offense needs to be be increased to a felony.	No	
14.2 Multi-jurisdictional Functions			
14.2.1 Separate Municipal from District Court Data	Provide a view of municipal court data separate from district court data	No	

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14.2.2 Combine Municipal Court and District Court Data	Provide option to combine municipal and district court data in a view	No	