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Joint Project of

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

Domestic Relations Functional Standards V1.0

The NATIONAL CONSORTIUM FOR STATE COURT AUTOMATION STANDARDS

(On July 21st, 2002, the Joint Technology Committee of COSCA/NACM accepted the report of the National Consortium for State Court Automation Standards adopting the Domestic Relations Case Management Functional Requirements as "recommended standards". As a result of the action of the Joint Technology Committee, the recommended standards was submitted to the COSCA and NACM Boards of Directors, and they were approved in March 2003.

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Volume 3 – Domestic Relations Case Processing System Functional Standards

About this Volume

This volume addresses the functions performed by domestic relations case processing systems, where domestic relations includes case categories such as dissolution; spousal support; custody; visitation; adoption; guardianship; paternity; child support under the Federal Child Support Enforcement Program, Title IV, Part D of the Social Security Act (hereafter called Title IV-D); child support not under Title IV-D; civil (but not criminal) domestic violence; and Uniform Interstate Family Support Act (UIFSA).

The functional standards comprise the main part of this volume; Appendix A summarizes other factors that should be investigated when developing and enhancing systems. These factors include inquiry and report generation, integration of court applications with various computer and communications technologies, and system design considerations. This summary is intended only as a checklist of items to consider when developing and enhancing systems.

The domestic relations case processing system and user together perform all case processing in the court. The system performs its part automatically, and the user performs his or her part manually. System or user inputs activate these functions, many of which require additional parameters from the system or user to perform their tasks. As used in this volume, an automatic or automated function is invoked and performed with limited or no user intervention; a manual function is invoked and performed primarily by the user without significant assistance from the system.

This volume contains unavoidable generalities in some places (see list given below) because of the necessity for local customization.

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

Certain terms used in these national functional standards are deliberately ambiguous and must be further defined before application software vendors can design their products.

These terms include “locally defined,” “locally used,” “as appropriate,” “other functions,” “any data,” “all transactions,” “appropriate action,” and “other units” that appear in this volume to allow for local customization. Each court (or group of courts within a state or region) must eliminate such terms by defining in detail what these ambiguous and vague terms mean to that court.

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

Subfunction Number	Situation
1.1.1, 1.1.2, 1.1.4, 1.1.6, 1.2.1, 11.2.3, 14.5.2, 15.1	locally defined or used entities (e.g., case number format, case title or style, acceptance tests, court identifiers, index content, edit and data checks)
1.1.5, 5.1.3, 6.6 1.1.7, 1.1.9, 3.4.9, 4.1.8, 6.7, 9.2, 14.1.3, 14.5.3 1.1.8 1.1.10 1.1.11, 2.1.1, 11.4.1, 15.10, 15.18, 15.19 2.2.8, 14.2.3	local procedures, rules, statutes other identifiers, case management methods, documents, functions, information relationships of agencies and parties additional information on children appropriate, proper, or adequate security
2.4.6	state and local recordkeeping policies and procedures electronic input documents and, as necessary, cover sheets
3.1.3 3.1.6, 3.3.6	priorities assigned maximum number cases for time interval or events on schedule
3.1.13 3.2.5, 12.3.7, 12.4.1, 14.4.1	pertinent information on schedule overrides user-defined case/department relationships, accounts, criteria
3.2.6	judge assignment by predefined rules and specific conditions
3.2.7	as designated by user
3.3.1	upcoming or overdue events for which users should be tickled
3.3.3 3.4.6, 5.1.1, 5.2.1, 12.1.1, 12.1.6	all tasks associated with event various persons, criteria, types of bank accounts, groupings
4.1.9 4.1.12, 5.1.4, 6.16, 15.9	pertinent information ... documents sent suppression of user-designated confidential information
10.1	compliance with generally accepted accounting

10.2	principles appropriate security and authorization for accounting functions
10.3	user adjustments or corrections
11.1.2	minimal amount of data
11.1.7	payments and other transactions
11.1.11, 11.2.1, 15.3	proper authorization, identifiers
12.2.1, 15.13	authorized organizations, user
12.3.2, 12.3.4, 12.3.14, 12.3.15, 12.4.11, 12.5.1, 15.6, 15.11	specific events, costs, periods, functions
12.3.3, 12.3.5, 12.3.23	appropriate processing, records, action
12.3.9	payment of ... other charges ... by variety of methods
12.3.18	account closed or some other designator
12.3.21, 12.5.4	various or user-selected criteria
12.3.26, 12.4.7, 12.4.8, 12.4.9	funds and financial information sharing
12.5.2	associated payments
12.5.3	flexible schema of user privileges
14.1.2	indication of restricted access files
14.2.2	cases and documents to be retained
14.3.4	malfunction information if in case processing system
15.8	limited access to certain types of cases

Functional Standards Approach

Domestic relations case processing systems track the progress of cases through a court and produce supporting documents and reports. The basic unit of information these systems use covers the persons involved in the case—petitioners, respondents, judges, other judicial officers, attorneys, courtroom personnel, domestic relations service providers, child support agencies, child welfare agencies, and other governmental agencies. These persons submit documents to the court, participate in court events precipitated by those documents, receive documents produced by the court as the case moves to disposition, and participate in court-ordered services and remedies. Most events occur in accordance with schedules established by the court. As events are completed, information is maintained on them. In addition to persons, therefore, basic units of information address events scheduled in the future and events that have already taken place.

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

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

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

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

Functional Groups

Current and Past Events

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

- Case initiation and indexing - initially entering and indexing newly filed, transferred, reopened or remanded, de novo appealed, and other new cases and the ongoing indexing activity.
- Docketing and related recordkeeping - initiating and maintaining the docket or register of actions of activities that are part of the official court record and maintaining the relationships between and accessibility to docket-related information for a given case and cases that relate to it.
- Hearings - recording the results of hearings and notifying parties of court decisions.
- Disposition - resolving each issue in a case and disposing the case.
- Execution - executing a judgment.
- Case close - closing a case because all issues have been resolved, the case has been disposed, and all provisions of the court order have been satisfied.

Future Events

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

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

Financial

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

Document and Report Generation

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

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

System and Utility

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

- File, document, and property management - creating, managing, tracking, archiving, and disposing case records; storing, retrieving, and manipulating electronic documents; and receiving, tracking, and returning or destroying exhibits and other property.
- Security - ensuring security, privacy, and integrity of case processing systems and their data.

Data Groups

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

Domestic relations case processing systems are person oriented; a case is formed by combining the persons involved in a specific matter. A domestic relations case processing system maintains considerable information on persons because these cases (1) address the needs of individuals as clients of the court, as opposed to cases to be adjudicated; (2) have a social aspect in prescribing remedies; and (3) involve ongoing monitoring of the effectiveness of those remedies.

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

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

Case

This group consists of the standard domestic relations case and the support payments case data types.

- Standard domestic relations case - includes case categories (e.g., dissolution, spousal support, custody, adoption, paternity) within the domestic relations case type, and maintains information on each case and issue within a case such as identifier (e.g., case number), type, status, and style; court; initial filing information; and cross references to party, judge, attorney, and other data.
- Support payments case - includes Title IV-D and non-Title IV-D child support cases, spousal support cases, and other support cases; maintains case information noted above for standard domestic relations cases, in addition to information on topics such as payer, payee, dependents, applicable court orders, and Title IV-D status; and may maintain financial data such as payment dates, current obligation, arrearage, and payment history.

Person

This group consists of data types that contain information on litigants, judges, other judicial officers, attorneys, and other individual and organizational participants in a case.

- Party - data on each party in a court proceeding (i.e., individual or organization with standing to bring an action before a court such as a petitioner, respondent, third party, intervenor—any of whom may be an adult, dependent, child or other minor) including identifier (e.g., courts, corrections, law enforcement may have different identifiers); name; type of party; address(es) (e.g., regular mail, e-mail); personal information; status; aliases; and cross references to case, attorney, financial, and other information.
- Participant - data on each individual or organization who is a participant (e.g., court officer, witness, interpreter, domestic relations service provider (e.g., appraiser, guardian ad litem, court-appointed special advocate [CASA], custody investigator, family counselor, parenting specialist), child support agencies, child welfare agencies, other governmental agencies, institutions that work with domestic relations service providers (e.g., doctors, hospitals, schools, employer, credit agencies) in a court proceeding including name; type of participant; address(es) (e.g., regular mail, e-mail); status; and cross references to case, attorney, party, financial, company, and other information.
- Judge - data on each judge including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as cases (for ease of discussion in this document, the term “judge” includes judges, magistrates, and referees).
- Other judicial officer - data on each person appointed by the court to perform judicial functions (e.g., alternate dispute resolution [ADR] providers such as mediators and arbitrators) including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as cases.
- Attorney - data on each attorney including identifier, name, firm name, location(s), e-mail address, voice and facsimile telephone numbers, bar association linkages, and status and other information with cross references to other data such as cases.
- Noncourt agencies - data on agencies external to the courts (e.g., process service, collection) that may participate in a case including name and location with cross references to case number, party, and other information.

Event

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

- Filings - data on each pleading and other document (e.g., petition) filed with the court including document type; filing date; filing party; method of filing; and follow-up actions with cross references to case, financial, document generation, and other information.
- Disposition - data on each resolved or disposed domestic relations issue or case (i.e., issue or case for which a judgment, which is any type of resolution or disposition resulting from a court decision, has been rendered) including party; issue(s); nature of resolution or disposition; date of resolution or disposition; judgment and payment details if applicable for each issue; other information in minutes; and cross references to case, party, hearing, financial, judge, other judicial officer, minute, participant (e.g., domestic relations service provider, child support agency, child welfare agency ordered to provide court-ordered service or remedy), and other information.
- Post trial - data on any type of post-disposition activity (e.g., modification of judgment, execution of judgment such as wage withholding) including date of activity; judge or other judicial officer; and cross references to case, disposition, financial, and other information.
- Other events and entities - appropriate information on each event and entity not covered by other data types.
- Scheduled events - data on each scheduled event (e.g., hearing dates, deadlines for submission of documents such as answers or responses and affidavits) including identification of the event; date, time, and location of the event; participants in the event (e.g., parties, witnesses, interpreters, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies); security requirements; activities initiated by the event (e.g., forms and subsequent events); periods associated with the event (e.g., deadlines for form issuance or initiation of next event); and cross references to case, hearing, and other information.
- Hearing - data on each calendared event (i.e., proceedings in which arguments, witnesses, or evidence are heard by a judge, magistrate or referee, or other judicial officer including court events, such as trials and motion hearings; calendar calls; conferences aimed at pretrial settlement (e.g., consent conferences); and quasi-judicial events involving ADR such as mediation and arbitration including type; scheduled and actual dates and times; judge or other judicial officer; location (e.g., courtroom type and its location); attorneys; results; and cross references to case, party, and other information. (Officially, quasi-judicial events before court officials such as mediators and arbitrators are not hearings, but for ease of discussion in this volume, they are grouped with hearings.)

Financial

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

Document and Report Generation

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

- Orders - data on two types of court orders signed by a judge—those signed in a calendared event such as a hearing (see above definition of hearing) and those signed out of the courtroom in an informal setting. (An example of the first type is a dissolution order signed in a hearing; examples of the second type are protective or custody orders signed in the judge’s chambers.)
- Summons, warrants, and other served processes - data on each served process (i.e., documents served by law enforcement officer or other authorized process server with return of service such as warrants and summons) including type of process; recipient; method of service; date of service; return of service; other status data; and cross references to case, party, and other information.
- Forms and other documents issued by court - data on each such document (i.e., documents given to person or sent by mail with proof or certificate of service such as notices) including type of document; recipient; proof or certificate of service; information on scheduled event; status and status date; and cross references to case, party, and other information.
- Management and statistical information - detail (e.g., case-by-case or issue-by-issue) and summary (e.g., overall for all cases or issues in a given category) information with cross references to all of the above data types.

System and Utility

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

- Exhibits - data on exhibits and other property submitted to the court for use in court proceedings including case cross reference, source, and status (e.g., date received, returned, or destroyed).

- File management - data to assist in managing and tracking the location of active, inactive, and archived case files.
- Document management - data to assist in storing, retrieving, and manipulating documents.

Organization of Functional Standards

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

- Case initiation and indexing;
- Docketing and related recordkeeping;
- Scheduling;
- Document generation and processing;
- Calendaring;
- Hearings;
- Disposition;
- Execution;
- Case close;
- Accounting functions (including receipting, bookkeeping, and general ledger);
- File, document, and property management;
- Security; and
- Management and statistical reports.

The next section, Standards for Individual Functions, describes the standards for the functions listed above.

Standards for Individual Functions

This section describes the standards for each of the domestic relations case processing functions listed in the previous section. These functions further divide into subfunctions. Each subfunction is designated as automated (requiring limited or no manual intervention), mandatory (universally applicable), or optional (applicable only in certain situations) for domestic relations case processing systems in large and small courts. Those functions with numerous subfunctions are grouped into several categories of subfunctions.

For each function, the section begins with an overall description of the function and a list of the data types that would support the function. Then the subfunctions are described—either within their respective groups or for the entire function if there are insufficient

subfunctions to divide them into groups—in a textual summary and in a table with the following columns:

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

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

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

Table 1 – Rules for Table Entries

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

The discussion of functional standards concludes with a list and general definitions of possible code translation tables containing user-supplied codes and their translations (e.g., case type, case category [dissolution, support, custody, adoption, paternity within the domestic relations case type], party type, and attorney). A code translation table must be customized for local use by the individual state court. Because of the specific nature of a code translation table, these standards refer to general categories of data that would have relevance to all courts. The relationship of code translation tables, data groups, and data types is illustrated in the following chart [chart will be added in next draft]. See the Data Groups and the List of Code Translation Tables sections for further details.

Multifunction Capabilities and Integration

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

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

Information should be exchanged electronically within court systems and between courts and (1) other governmental units at the federal, state, and local levels (e.g., notices of court orders in domestic violence cases affecting law enforcement registries of persons who cannot purchase weapons or have protective orders, garnishments and court orders to child or spousal support payments unit, statistics to court administrative office, foster care or adoption services from federal or statewide child welfare information systems), (2) private organizations (e.g., judgment information to family counselors and collection agencies); and (3) other users (e.g., attorneys, litigants, researchers). In order to implement electronic information exchange, courts must establish exchange procedures (e.g., for communications and networks; interchange computer or “mailbox”; user directories; file or document transfer, e-mail, or both; and message content and naming), and the case processing system must be compatible with these procedures. Other than general information exchange, the standards in this document contain several specific types of electronic information exchange including electronic filing, document distribution, fee payment, and funds transfer. The standards for each function contain specific applications of electronic information exchange and indicate whether each

application is a mandatory or optional standard. Electronic information exchange should conform to applicable standards such as those developed by COSCA/NACM Joint Technology Committee. The rudimentary standards envisioned here could be enhanced as described in the External Interfaces section of Related Technical Considerations (see Appendix A).

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

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

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

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

Electronic filing also is addressed in the Case Initiation and Indexing Function, Docketing and Related Recordkeeping Function, and Document Generation and Processing Function; and the security aspect of electronic filing is covered in the

Security Function. Electronic filing may intersect with document management, described below, to send electronic input documents (as opposed to the electronic court documents described in the next paragraph on electronic document distribution) to judges and court staff. Appendix B contains more information on electronic filing and XML methodology.

- Electronic document distribution - Distribution of electronic court documents (e.g., orders, judgment forms, electronic acceptance notices following electronic pleadings, other types of notices), docket summaries, calendars, court minutes, drafts of documents sent out for review, and detailed and summary reports using dial-up lines, the Internet or intranet, facsimile transmissions, e-mail, and other technologies (using “push” as well as “pull” technology - note that “push” technology refers to data that is pushed to another location such as a dumb computer terminal; “pull” technology refers to data that is pulled down from another location such as the Internet). The court may need advanced capabilities to distribute electronic documents that can be acted on by recipients (e.g., by extracting tagged parts of calendars for use in individual schedules). The court must establish procedures for electronic document distribution analogous to those noted above in electronic filing. In addition to distribution outside the court (e.g., to local government offices such as child support agencies, child welfare agencies, probation, law enforcement, corrections, and prosecutors, and to frequently used domestic relations service providers), some of these documents (e.g., orders, notices, judgment forms) would be sent to the clerk’s office to be filed as described above. Electronic document distribution also is addressed in the Document Generation and Processing Function, Calendaring Function, and Disposition Function.
- Electronic fee payment and funds transfer - Various methods of electronic fee payment and funds transfer between courts and other entities. Types of fee payment (e.g., by attorneys) could include funds transfer between the attorney’s and the court’s bank accounts, debiting accounts established by attorneys to cover court expenses, debiting attorney credit card accounts, and on-line check writing. In addition, electronic funds transfer could occur between courts (e.g., appellate court for appealed cases), between courts and other governmental units (e.g., according to fee allocation formula), and between courts and banks (e.g., for deposits into court accounts). All funds transfer must conform to federal and local standards for security (see Security Function), formatting, and communications. Electronic fee payment and funds transfer (i.e., generic terms covering all types of electronic financial transactions involving debits and credits to accounts or movement of funds) also are described in the Accounting - Receipting Function and Accounting - Bookkeeping Function.
- General electronic information exchange - Domestic relations case processing systems must exchange other types of information with the systems of various entities. The interfaces associated with statistical reporting and judgments (i.e., the general term for any resolution or disposition that results from a court decision)

exemplify this information exchange and are described in the Hearings Function, Disposition Function, and Management and Statistical Reports Function.

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

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

- Receipting function interacts with case initiation function to record filing fees and initiate case in single procedure;
- Docketing function supplies basic case information to document generation, calendaring, and other functions that produce documents (e.g., notices, calendars, orders) contain this information;
- Docketing function interacts with other functions in handling cases assigned special status;
- Scheduling function operates in conjunction with docketing, document generation, calendaring, and other functions;
- Scheduling and calendaring functions transfer easily and quickly to and from other parts of system when creating calendars;
- Appropriate functions display judge's and other judicial officer's caseload during docketing, scheduling, and other functions;

- Hearings function handles adjournments, continuances, and cancellations in conjunction with docketing, scheduling, calendaring, notice generation, and other functions;
- Hearings function operates in conjunction with docketing, document generation, and other functions to record hearing results and notify appropriate parties;
- Hearings function operates in conjunction with accounting functions to record monies due (e.g., from fees, investigations) on documents generated during and subsequent to hearing;
- Hearings function handles consolidations and bifurcations in conjunction with case initiation, docketing, and other functions;
- Disposition function operates in conjunction with docketing, case close, and other functions;
- Execution function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions;
- Accounting function supplies fee, payment, account, and other information to case initiation, docketing, and other functions;
- Accounting function interacts with indexing function to look up person information and identify, for example, case to which payment from person should be applied;
- Case close function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions (e.g., to establish cross references between consolidated cases for docketing, scheduling, and notice generation; to permit cases to be closed at cash register); and
-
- File, document, and property management function interacts with docketing, scheduling, and other functions to ensure data validation checks satisfied (e.g., events occur in proper sequence).

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

Case processing system functions should be automated to the maximum extent possible; however, the system should never be allowed to perform functions or enter data that would be contrary to the interests of the court (e.g., automatically send a warrant that already has been cleared and, therefore, whose reason for issuance no longer exists). A manual override should exist to allow the user to override values supplied by the system or to initiate an action manually, such as generation of a form.

The System Capabilities section of Related Technical Considerations (Appendix A) describes fully functional, event-driven systems that schedule events based on completion of prior events (e.g., deadline for answer or response due 30 days after service to respondent, hearing scheduled) and produce documents (e.g., notices, calendars) associated with the scheduled events. The standards in the remainder of this volume prescribe a few functions of these event-driven systems that, unless overridden by the user, automatically perform specific tasks within individual functions based on the completion or scheduling of certain events. Examples of this partial functionality are (1) updates to case indices, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees. These functions are described in Case Initiation and Indexing Function, Docketing and Related Recordkeeping Function, Scheduling Function, Document Generation and Processing Function, Hearings Function, Accounting - Receipting Function, and Accounting - Bookkeeping Function.

The domestic relations functions must share data and interact with the functions of other case processing systems with minimal manual intervention or rekeying of data unless the user wishes to intervene. For example, there is a close relationship among the domestic relations, juvenile, and criminal case processing systems. The same person might appear as a party or participant in all three types of cases; data sharing would eliminate the need for redundant entry of data for this person. In a domestic violence case, the domestic relations case processing system might interact with the juvenile case processing system if child abuse or neglect is involved, and with the criminal system if the domestic violence involves a felony or misdemeanor.

Because of the person-oriented nature of domestic relations cases, the case processing system must exchange information on litigants and their families with outside agencies such as law enforcement (e.g., in domestic violence cases) and organizations that provide domestic relations services to the court (e.g., appraisers, guardians ad litem, court-appointed special advocates [CASA], custody investigators, family counselors, parenting specialists), child support agencies, child welfare agencies, and other governmental agencies. This high level of integration requires correlation of the different person identifiers frequently used by these providers and the court. These interfaces are interspersed throughout this document (see Multifunction Capabilities and Integration section and Docketing and Related Recordkeeping Function; Scheduling Function; Document Generation and Processing Function; File, Document, and Property Management Function; and Management and Statistical Reports Function).

Functions

1. Case Initiation and Indexing Function

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

Data Types Used. The data types required by the Case Initiation and Indexing Function include the following (see Definition of Data Types section for basic contents of each data type):

- Case (standard, support payments),
- Filings,
- Party,
- Participant,
- Attorney,
- Judge,
- Other judicial officer,
- Scheduled events, and
- Other events—transfer/consolidate in.

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

1.1 Case Initiation

New cases are entered into the court computer system so that information and filings (e.g., petitions, bifurcated or severed cases) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries conform to locally used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, basic case information). Other than indexing, the most basic case initiation activities are to give the case an identifier, a description, and a case file.

Table 1.1 – Case Initiation Subfunctions

Subfunction	Auto	Mand.	Opt.
1.1.1 generate and assign case number using locally defined format	yes	all	
1.1.2 generate locally defined case title or style (i.e., short phrase that identifies case and includes petitioner and respondent names) from party names and other information	yes	all	
1.1.3 generate and assign separate party identifier (e.g., party number) for each petitioner and respondent	yes	all	
1.1.4 conduct locally used review processes to ensure case accepted by court and display results	yes	all	
1.1.5 enter 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)		all	
1.1.6 enter locally used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.1.7 assign or allow entry of other identifiers (e.g., of other courts such as juvenile and of corrections, law enforcement, and domestic relations service providers)		all	
1.1.8 establish relationships of courts and agencies noted above (e.g., other courts, corrections, law enforcement, domestic relations service providers) with parties		all	
1.1.9 enter in docket or register of actions case initiation information including date and time of initial filing, information on initial filing noted above, and basic case information (e.g., case number and other identifiers, case type, case category, court type and location, case status, case title or style, whether case is Title IV-D with IV-D identifier, parties, attorneys, date filed, judge or other judicial officer, last and next events, and other docket-related events) (see also Docketing and Related Recordkeeping Function)		all	
1.1.10 supplement docket or register of actions entries with additional information on children and parents (e.g., identifier, date of birth, social security number (in accordance with Section 466(a)(13)(B) of the Social Security Act)		all	
1.1.11 assign appropriate security to records, particularly those with data on children and other minors (e.g., for each party with increased security for child and family records) (see also Security Function)		all	
1.1.12 enter information in docket or register of actions for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see also Docketing and		all	

Subfunction	Auto	Mand.	Opt.
Related Recordkeeping Function)			
1.1.13 support electronic filing and move designated data (e.g., tagged basic case information) from electronic document to case processing system (see also Multifunction Capabilities and Integration and Security Function regarding verification of electronically entered data)	yes	all	
1.1.14 generate receipt for or notify appropriate parties that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically) (see also Document Generation and Processing Function)	yes	all	
1.1.15 record if time-sensitive filing that requires rapid action (e.g., schedule emergency domestic violence hearing even though only minimal data available, issue restraining order, process stay request or ex-parte filing) (see also Scheduling Function)		all	
1.1.16 support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables). PLEASE NOTE: differential case management may entail highly complex computer programming because it may permit the user to define complete case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category)		all	
1.1.17 create groups of related cases and parties (e.g., several paternity cases filed against same respondent by different petitioners) from single or multiple filings such that initial and subsequent entries can be applied to each case in group (see also Docketing and Related Recordkeeping Function)		all	
1.1.18 establish relationships between cases and case categories and court types (e.g., matrimonial), locations, and departments (e.g., for large courts with multiple locations) (see also List of Code Translation Tables)		all	
1.1.19 prompt user when cases or parties already exist that relate to new case (e.g. parties filed other cases), followed by user-initiated search for duplicate parties and attorneys (including instances in which parties or attorneys have different roles in different cases such as party who is	yes	all	

Subfunction	Auto	Mand.	Opt.
petitioner in one case and respondent in another case, or attorney who is counsel in one case or guardian ad litem in another case) that user can transfer into current case if appropriate to avoid redundant data entry (e.g., using party names, addresses, and other identifiers noted above)			
1.1.20 capture demographic information		all	

1.2 Indexing

The index is created at case initiation and maintained throughout the life of a case. The index allows users to make rapid inquiries of the database by searching selected items (or key fields). A user can make increasingly specific inquiries of the database based on the information provided during a preliminary index search.

The overall purpose of an index is to allow users to look up cases or parties and view index information such as each party's name, date of birth, role in the case, and whether the party has an attorney; case type; court type and location; case number; date filed; and a cross reference to other parties in the case (e.g., the parties named in the case title or style). Users who know some specific piece of information about a case—but do not know the case number—may access the index to look up the case number or whether the court database contains information on a specific case or party. If the system returns multiple matches, the index helps users find the specific case or party they are seeking and then retrieves basic information from the index on that case or party.

The index should allow users easy interfaces with (1) other parts of the system such as docketing, scheduling, calendaring, and accounting for potentially all information (including financial information) on that case and related cases and (2) the inquiry and report generation capabilities (see Appendix A) for more varied displays and reports.

System designers must decide how the index will exist within their computer system. For instance, the index can be a “physical” entity in which all of the index information resides in a single place in the database, or it can be a “logical” entity that gathers the index information from several places. Regardless of whether the index is a physical or logical entity, the indexing system must make information easily accessible (i.e., in a manner that requires no additional user actions to correlate and manipulate index data from several places) for a specified case or party.

Table 1.2 – Indexing Subfunctions

Subfunction	Auto	Mand.	Opt.
1.2.1 create and maintain locally defined index that (1) contains basic index information (e.g., each party name, date	yes	all	

Subfunction	Auto	Mand.	Opt.
of birth, role in case, and whether party has an attorney; case type; court type and location; case number and other identifiers; date filed; and cross reference to other parties in case [e.g., other party named in case title or style]; (2) permits database look-up by a choice of key fields (e.g., party name, party role, case filed date range) and, if record found; (3) permits retrieval and display of index information; and (4) permits easy interfaces with other parts of case processing system as noted below			
1.2.2 handle look-up and retrieval subfunctions by identifying a specific party name, date of birth, party role, court type or location, case or party identifier, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up—and then obtaining index information by selecting from list of matching cases or parties or by using key fields noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper keys (sometimes after several tries that yield another Smith), system returns index information on cases involving that Smith)		all	
1.2.3 allow users easy interface with other parts of the system such as docketing, scheduling, calendaring, and accounting for potentially all related case and financial information (i.e., on specific case, its parties, its participants, its attorneys and on cases related to specific case and to its parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see also Inquiry and Report Generation sections [Appendix A])		all	
1.2.4 permit name search on various combinations of a specific person's or party's name (e.g., full name, last name only, part of first or last name, other options as noted in Inquiry section [Appendix A])		all	
1.2.5 if attorneys included in index, allow multiple names and bar identifiers		all	
1.2.6 permit updating of index based on occurrence of specific case events (e.g., motions filed, resolutions or dispositions decided)	yes	all	
1.2.7 extract, display or print, or otherwise produce index information arranged according to various components of index (e.g., party, case number, case status) with appropriate security restrictions (see also Security Function)		all	
1.2.8 retrieve basic index information on all cases		all	

Subfunction	Auto	Mand.	Opt.
associated with specific participant			
1.2.9 accommodate aliases in conjunction with indexing and processing of party names as appropriate	yes	all	

2. Docketing and Related Recordkeeping Function

Description. The activities associated with entering in the docket (or register of actions in some jurisdictions) including (1) that a document (e.g., petition, consent conference report, program referral, certification by judge that parents unfit for custody, proof of successful process service) has been filed; (2) that, in some instances, the filed document (e.g., certificate of readiness, demurrer, motion to strike) is the basis for placing a case on the court’s calendar for a hearing or other review; and (3) what occurred at the hearing or other review.

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

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

Docketing activities include the following functions: (1) record in a docket or register of actions the results of events (e.g., dates, parties and other participants, and other information on initial filings, pleadings, calendared matters, and dispositions; dates and other issuance or service information on notices, summons, warrants, subpoenas, and other documents generated by the system; dates and outcomes of hearings and conferences; and post disposition activities) based on the documents filed and financial transactions during the life of a case; (2) maintain the docket or register of actions; (3) maintain records used in the docketing function; and (4) produce related outputs. The docket or register of actions, which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case.

Users enter information in the docket or register of actions as the processing of records are completed. The docketing function differs from the scheduling and calendaring functions (covered later in this volume) in that scheduled events and calendared matters are to be acted on in the future. For example, the clerk would enter a scheduled event in an administrative record, but not in a docket or register of actions. If the clerk places a matter on a judge's or other judicial officer's calendar as a result of the activities associated with the scheduled event, the clerk docket the fact that a hearing, conference, or other review has been calendared.

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

Additionally, when the system inputs or outputs docket information, it assists the user by providing prompts, selected printouts or displays of docket contents, an audit trail of who updated the docket, and other utility services. The Input/Output Management section addresses this capability.

Data Types Used. The data types required by the Docketing and Related Recordkeeping Function include the following (see Definition of Data Types section for basic contents of each data type):

- Case (standard, support payments);
- Filings;
- Party;
- Participant;
- Attorney;
- Judge;
- Other judicial officer;
- Financial;
- Exhibits;
- Summons, warrants, and other served processes;
- Forms and other documents issued by court;
- Hearing;, and
- Disposition.

Subfunctions. Within the Docketing and Related Recordkeeping Function, the subfunctions are grouped into case information, event information, information relationships, and input/output management.

2.1 Case Header

When the system creates the docket using entries made during case initiation and supplemented by subsequent user entries, the docket receives information on the initial filing and basic case information such as case number and other identifiers, case type, case category, court type and location, case status, case title or style, whether case is Title IV-D with IV-D identifier, parties, attorneys, date filed, judge or other judicial officer, last and next events, and other docket-related events. As the case progresses, this information is maintained and additional information is recorded—primarily on events in the flow of the case as described in the Event Information section below.

Table 2.1 – Case Header Subfunctions

Subfunction	Auto	Mand.	Opt.
2.1.1 maintain case information originally entered during case initiation in docket or register of actions including information on initial filing, basic case information, and party date of birth and social security number (with proper security) when appropriate (see also Case Initiation and Indexing Function and Security Function)		all	
2.1.2 maintain information originally entered during case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., investigative service) with primary contact person if organization (see also Case Initiation and Indexing Function)		all	

2.2 Event Information

As the case progresses and events are completed, summary information about each event (e.g., filings, hearing results, requests for execution, dispositions) is entered into the docket. While some events may trigger an update to the case information in the docket (e.g., party name change, attorney change), event entries generally are not updated unless they have been entered incorrectly; subsequent events are entered separately.

Table 2.2 – Event Information Subfunctions

Subfunction	Auto	Mand.	Opt.
2.2.1 enter and maintain information (e.g., document title and identifier, filing party, fees received), party to whom filing applies, and dates on filings and other completed events not previously in system (e.g., party added or deleted, motion filed, program referred, or hearing date set)		all	
2.2.2 create docket entry and update case information based on occurrence of specific events that can be completely or	yes	all	

Subfunction	Auto	Mand.	Opt.
partially transferred from another function such as hearing scheduled (e.g., motion granted or denied; see also Calendaring Function), hearing results (e.g., judgment of divorce; see also Hearings Function), resolution or dispositions (e.g., disposition date, issue[s] involved, type of disposition, information on judgment; see also Disposition Function and Accounting - Bookkeeping Function), requests for enforcement of judgment (see also Execution Function)			
2.2.3 create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see also Document Generation and Processing Function, Hearings Function, and Disposition Function)	yes	all	
2.2.4 permit user to identify and retrieve electronic documents by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed, indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed)	yes	all	
2.2.5 allow single event to create multiple docket entries in one or more cases (e.g., event is hearing, docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.6 allow easy entry of multiple filings that apply to single case or related cases (e.g., consecutive entry of multiple pleadings for single case)		all	
2.2.7 enter, maintain, and display or print information on special case processing requirements or orders (e.g., sealed case or document, domestic violence cases that could affect law enforcement registries of persons who cannot purchase weapons or have active protective orders) (see also Case Initiation and Indexing Function, Hearings Function, and Security Function)		all	
2.2.8 maintain case information as official court record in accordance with state and local statutes or rules	yes	all	

2.3 Information Relationships

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

Table 2.3 – Information Relationships Subfunctions

Subfunction	Auto	Mand.	Opt.
2.3.1 maintain information on multiple parties, participants, and attorneys in a case such as personal information, status including dismissals, current addresses, address histories, address sources, voice and facsimile telephone numbers, e-mail addresses (see also List of Code Translation Tables)		all	
2.3.2 maintain multiple current and historical addresses, with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases		all	
2.3.3 enter information once and apply to multiple cases or persons (e.g., single entry for several parties with same attorney or address; copy docket entry to related cases; single entry when parties or attorneys have different roles in different cases such as party who is petitioner in one case and respondent in another case or attorney who is counsel in one case or guardian ad litem in another case)		all	
2.3.4 enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.5 maintain information on law firms 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)		all	
2.3.6 maintain (or be able to construct in a manner that requires minimal user action) and print or display information and relationships on multiple cases, judges, other judicial officers, attorneys, and parties (e.g., to designate lead attorney, to transfer group of cases or parties from one judge or hearing date to another in single transaction, to view related cases when preparing to hear case) (see also Case Initiation and Indexing Function)	yes	all	
2.3.7 permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	
2.3.8 apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee allocation amounts to be modified, change of Judge Smith's courtroom causes all records that contain room number of old courtroom to be changed to room number of new courtroom, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	

Subfunction	Auto	Mand.	Opt.
2.3.9 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)			all
2.3.10 track and display or produce reports on relationship of specific cases and parties to one or more domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies (including referral information such as requester, type of referral [e.g., court ordered or petition], reason for referral, date of referral and subsequent report, noncompliance information, funds involved) and other participants		all	

2.4 Input/Output Management

A group of utility-type subfunctions support input to and output from docketing and other functions. These subfunctions support code translation tables, user prompts, workstation usage records, docket displays and printouts, and input templates of standard court documents.

Table 2.4 – Input/Output Management Subfunctions

Subfunction	Auto	Mand.	Opt.
2.4.1 maintain and properly use code translation tables defined by user (see also List of Code Translation Tables)		all	
2.4.2 provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	
2.4.3 create, maintain, and produce (according to user specified criteria such as selected workstation[s] or selected case[s]) audit trail identifying persons who requested or made docket and other entries and when they requested or made entries (highlighting when filing occurred if filing and entry dates different) (see also Security Function and Accounting - Bookkeeping Function)		all	
2.4.4 print or display all, part, or summaries of docket(s) for specific case (e.g., basic case information, events in register of actions, all parties, summaries of judgment information,		all	

Subfunction	Auto	Mand.	Opt.
results and status of court-monitored remedies ordered in judgments) or group of cases (e.g., all cases with given person in given role) and for life of case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reporting Function)			
2.4.5 support electronic filing (e.g., directly from attorneys' offices) of pleadings and other documents (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	all	
2.4.6 maintain file of input templates available to users to create input documents (e.g., divorce and other questionnaires, pleadings, other input forms filed manually or electronically) and, as necessary, associated cover sheets (e.g., for use when pleadings filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events so that details of specific electronically filed petition can be inserted into "boilerplate" text of petition form to produce hard copy printout) (see also Multifunction Capabilities and Integration, Document Generation and Processing Function, and Related Technical Considerations [Appendix A])	yes	all	
2.4.7 provide capability to print or display template forms with and without entered data		all	
2.4.8 maintain and print or display history of changes in judge or other judicial officer assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges or other judicial officers and reasons for change		all	
2.4.9 maintain and print or display history of attorney changes for specific case or party with reasons for change		all	
2.4.10 provide instructions (e.g., tutorials) and automatic edits for using input templates (e.g., to complete divorce and other questionnaires, pleadings, other input forms)	yes	all	

3. Scheduling Function

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

Courts schedule the following two basic types of events:

- In many domestic relations courts, deadlines are set for specific events (e.g., answer or response) when a case is filed and assigned a case number (signifying that the court has accepted the case). Other deadlines are established for submission of documents (e.g., affidavits) and completion of other actions (e.g., submission of exhibits) as the case progresses. These deadlines often conform to time intervals based on the case’s differential case management category, case type, or case category) (see List of Code Translation Tables). Deadlines define the schedule within which the case and the issues in the case move to disposition, which may be by trial or before the trial, for example, by default, dismissal, withdrawal, or conference.
- Courts also schedule trials and other judicial proceedings (e.g., motion hearings, conferences aimed at pretrial settlement) and quasi-judicial events (i.e., ADR such as mediation, arbitration).

While most courts regard scheduled events as administrative activities and not part of the official court record, these events may initiate an action that is part of the official court record. For example, an event that violates time standards because it does not occur by its scheduled date may initiate a hearing to determine why the case is out of compliance; the hearing would be scheduled, placed on a court calendar, and become part of the official court record.

This illustrates the relationship between the Scheduling Function and the Calendaring Function described below. While the former includes the scheduling of judicial and ADR events, the latter covers the calendaring of matters placed on a judge’s or other judicial officer’s calendar for hearing or other review. (Recall from the data type definitions that the term “judge” includes judges, magistrates, and referees, and the term “other judicial officers” includes ADR providers such as mediators and arbitrators.)

The Scheduling Function includes the scheduling of judicial and ADR events; the Calendaring Function covers the calendaring of matters placed on a judge’s calendar for hearing or other review. The distinction between scheduled and calendared events takes on greater significance as access to court records—particularly electronic access—increases. While courts permit access to official court records such as calendars and hearing results, internal work such as schedules should have more protection. Access to an amalgamation of schedules and calendars, moreover, could confuse outside persons unfamiliar with court procedures and terminology. For example, a tickler reminding a clerk to pull a file and determine whether a hearing can be scheduled may cause the outside person to believe the hearing actually has been calendared. Finally, from a technical perspective, there is an intrinsic difference between internal, administrative items such as schedules and calendars, hearing results, and other items in official court records—access to schedules, when granted, is a “pull” operation, and access to calendars is a “push” operation.

Analogous to scheduling and calendaring, docketing relates closely to scheduling. Whereas docketing, as described in the Docketing and Related Recordkeeping Function,

records completed actions, scheduling is anticipatory because it always establishes a future target date that may be rules-based or algorithmically determined for specific case types or categories (e.g., disposition time standards for small claims, unlawful detainer, or general civil complaints for damages).

Data Types Used. The data types required by the Scheduling Function include the following (see Definition of Data Types section for basic contents of each data type):

- Scheduled events,
- Case (standard, support payments),
- Party,
- Participant,
- Attorney,
- Judge,
- Other judicial officer, and
- Noncourt agencies.

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

3.1 Schedule Creation

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

Table 3.1 – Schedule Creation Subfunctions

Subfunction	Auto	Mand.	Opt.
3.1.1 schedule events and groups of events (e.g., after case filed, set deadlines for service of summons and return of service, filing of answer or response)		all	
3.1.2 initiate schedule of future events based on event entry or occurrence of prior events (e.g., after child support case filed, set deadline for completion of consent conference and date when child becomes adult) (see also Hearings Function)	yes	all	
3.1.3 allow multiple cases and events to have same scheduled date and time (e.g., related cases involving same parties to be heard together) with priorities assigned to each case		all	
3.1.4 schedule maximum number of cases for specific time interval by event (e.g., hearing) type	yes	all	
3.1.5 schedule groups of related cases as if group were a	yes	all	

Subfunction	Auto	Mand.	Opt.
single case (e.g., Title IV-D cases, dismissal hearings for multiple cases)			
3.1.6 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		all	
3.1.7 apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed) to multiple schedules for group of cases as if group was a single case	yes	all	
3.1.8 identify and display scheduling conflicts as noted in the Person and Resource Assignment section below (see also List of Code Translation Tables)	yes	all	
3.1.9 resolve scheduling conflicts as noted below in the Person and Resource Assignment section below	yes		all
3.1.10 when schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions (including displaying scheduling conflicts, suggesting resolutions, allowing user overrides, and rescheduling only with user approval) (see also List of Code Translation Tables)	yes	large	small
3.1.11 relate each scheduled event to actuating filing or prior event	yes		all
3.1.12 assist user in manual schedule overrides or changes for specific cases and event(s) (e.g., by allowing user to enter event type, start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case processing stages; and by adjusting open time slots to reflect manual schedule entries)		all	
3.1.13 record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason)		all	

3.2 Person and Resource Assignment

This section covers standards for assignment of the proper people (e.g., judges, attorneys, parties, participants) and resources (e.g., court or meeting room) to create reliable schedules.

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

Table 3.2 – Person and Resource Assignment Subfunctions

Subfunction	Auto	Mand.	Opt.
3.2.1 maintain waiting list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities	yes	all	
3.2.2 when creating schedules, consider (1) availability of judges, other judicial officers, attorneys, parties, participants, and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days specific individuals unavailable; (3) scheduling conflicts to the extent information is in the system (e.g., all law officer, domestic relations service provider, child support agency, child welfare agency, other governmental agency, and witness schedules may not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules) (see also List of Code Translation Tables)	yes	all	
3.2.3 maintain availability information on judges, other judicial officers, attorneys, parties, participants (e.g., domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies, interpreters, out-of-state witnesses), court facilities, and other scheduling factors noted in this section		all	
3.2.4 assign individual judges, other judicial officers, and groups of these officials to courtrooms, locations, departments, department staff (e.g., reporter, bailiff; judge, other judicial officer also may be considered staff), and case management tracts over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments, a specific judge hears marriage dissolution cases in a particular courtroom during a given month) (see also List of Code Translation Tables)	yes	large	small
3.2.5 assign specific case categories (e.g., dissolution, support, custody, adoption, paternity within domestic relations case type) to specific departments according to user-defined case/department relationships	yes	large	small
3.2.6 assign and reassign individual and groups of judges and other judicial officers using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies), according to existence of specific conditions (e.g., conflict of	yes	all	

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

3.3 Ticklers and Other User Alerts and Prompts

The computer should generate ticklers, other alerts, and prompts to inform users (including individual users and workgroups) of impending or expired schedule deadlines, of completed schedule events, and of required scheduling actions that relate to the current activity.

Table 3.3 – Ticklers and Other User Alerts and Prompts Subfunctions

Subfunction	Auto	Mand.	Opt.
3.3.1 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), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances); 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) (see also Accounting - Bookkeeping Function)	yes	all	
3.3.2 provide user-activated or –deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	yes		all
3.3.3 identify completed events (i.e., all tasks associated with multi-task event must be complete for event to be complete) and prompt users when further action required	yes	all	
3.3.4 generate report or display that lists all events due on	yes	all	

Subfunction	Auto	Mand.	Opt.
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)			
3.3.5 prompt user to schedule predefined related cases (e.g., other petitions regarding same problem) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function where relationships are defined to system—some automatically and some manually)	yes	large	small
3.3.6 generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category, person and resource type) (see also List of Code Translation Tables)	yes	large	small
3.3.7 generate alert when displaying cases or their contents that are not public record (e.g., confidential cases) (see also Security Function)	yes	all	
3.3.8 generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable	yes	all	

3.4 Schedule and Case Management

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

Table 3.4 – Schedule and Case Management Subfunctions

Subfunction	Auto	Mand.	Opt.
3.4.1 maintain, print, and display information on scheduled events (e.g., next scheduled event, all scheduled events, interface with docket to view past events)		all	
3.4.2 display or print each schedule upon user request (e.g., judges' or other judicial officers' calendar by day)		all	
3.4.3 create, maintain, and display or print administrative or clerk's calendar that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with intraoffice work prioritization and management), and update calendar when pending actions		all	

Subfunction	Auto	Mand.	Opt.
completed			
3.4.4 enter completed events noted on administrative or clerk's calendar into docket as noted in Docketing and Related Recordkeeping Function	yes	all	
3.4.5 print or display attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, attorney)	yes	all	
3.4.6 print or display schedules for various persons (e.g., judges; 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	yes	all	
3.4.7 generate docket entry based on scheduled and completed events (see also Docketing and Related Recordkeeping Function)	yes	all	
3.4.8 track conformance to time standards (e.g., answer or response due 30 days after service to respondent) including modifications, overrides (e.g., override requirement that answer or response due in 30 days and manually enter 60 days), and suspension (e.g., suspend mental health classification) of time counting under certain conditions (see also List of Code Translation Tables)	yes	all	
3.4.9 support differential case management, ADR (e.g., mediation, arbitration), master calendar, and other case management methods (e.g., schedule events within various sets of differential case management rules, schedule ADR events, schedule for each department's master calendar and for individual calendars within each department, move from one case management track to another due to bankruptcy) (see also List of Code Translation Tables)		large	small

4. Document Generation and Processing Function

Description. The activities associated with generating, distributing, and tracking printed and electronic documents that notify persons of past and upcoming events and other court actions and report on the status of litigation, litigants, and their families. The categories of documents in this section are (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as warrants, summons, and petitions; (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those that are sent by mail or electronically with no proof of service or used internally such as forms, letters, and brief reports (as opposed to more lengthy and complex documents produced by word

processing) regarding domestic relations, service provider (e.g., appraiser, guardian ad litem, CASA, custody investigator, family counselor, parenting specialist), child support agency, child welfare agency, and other governmental agency activities.

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

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

This section excludes documents that record hearing results such as court orders and minutes, which are covered later in the Hearings Function; materials used in file tracking (e.g., case file labels, exhibit and property destruction notices), which are covered later in the File, Document, and Property Management Function; and financial documents (e.g., judgment forms), which are covered later in the Disposition Function and the accounting functions.

This section includes those orders that judges sign out of the courtroom in an informal setting (e.g., protective or custody orders signed in the judge’s chambers)—as opposed to at a formal, calendared event such as a hearing. Orders produced during a hearing are covered in the Hearings Function section. Most other documents are covered in this section, even though they may be produced during a hearing (e.g., bench warrants).

Data Types Used. The data types required by the Document Generation and Processing Function include the following (see Definition of Data Types section for basic contents of each data type):

- Summons, warrants, and other served processes;
- Forms and other documents issued by court;
- Scheduled events;
- Hearing;

- Financial;
- Case (standard, support payments);
- Party;
- Participant;
- Attorney; and
- Noncourt agencies.

Subfunctions. Within the Document Generation and Processing Function, the subfunctions are document generation and document utilities.

4.1 Document Generation

This category consists of all documents generated by the system including those that typically are served by a process server, such as a law enforcement officer, and those that are simply mailed or given to a party, attorney, or participant.

Table 4.1 – Document Generation Subfunctions

Subfunction	Auto	Mand.	Opt.
4.1.1 generate notices or electronic acknowledgment 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)	yes	all	
4.1.2 generate documents (e.g., summons, warrants, subpoenas, notices) triggered by specific event (e.g., hearing scheduled, conference rescheduled, case dismissed)	yes	all	
4.1.3 generate miscellaneous documents (e.g., for rescheduled and canceled events, orders signed by judge out of courtroom such as for protection or custody, follow-up letters such as requests for completed Title IV-D forms, requests for child custody reviews and other domestic relations services, other types of documents)		all	
4.1.4 generate special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to nonparticipants, other courtesy notices) when requested		all	
4.1.5 in cases with multiple active parties, generate single notice for attorney who represents multiple parties		all	
4.1.6 in cases with multiple active parties, show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party, and show names and primary addresses of all active parties on file copy of notice		all	

Subfunction	Auto	Mand.	Opt.
4.1.7 print documents individually or in batches in local courts or central location		all	
4.1.8 distribute documents electronically (e.g., documents to be served to process server; notices and other documents to litigants and attorneys; notices, warrants, and other documents to be entered in docket) (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function and Security Function)	yes	all	
4.1.9 record pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, re-service if necessary, any other events, and status information (e.g., warrant tracking) (see also Docketing and Related Recordkeeping Function)		all	
4.1.10 perform above document generation, printout, and distribution functions for group of cases as if group was a single case	yes	all	
4.1.11 allow user to designate or override computer selection of recipients of the above documents		all	
4.1.12 suppress inclusion of user-designated confidential information in documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Security Function)		all	

4.2 Document Utilities

This category includes various utility functions that support document generation such as output templates (i.e., forms that may be imaged to permit court seals and signatures into which text can be inserted), standard text (e.g., “boilerplate” text used in many documents), and recipients for specific documents.

Table 4.2 – Document Utilities Subfunctions

Subfunction	Auto	Mand.	Opt.
4.2.1 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 and (2) create other documents consisting of only text (e.g., brief progress reports on mediation, some types of notices) (see also External Interfaces [Appendix A] and General Accounting Function)		all	

Subfunction	Auto	Mand.	Opt.
4.2.2 relate each output template and text noted above to document(s) and court event(s) for which they are used		all	
4.2.3 maintain only 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 subfunction, except there are no output templates, which would necessitate imaging)		all	
4.2.4 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database (e.g., attorney, party, participant records or tables) as if, from user perspective, they were in same record (see also List of Code Translation Tables)		all	
4.2.5 produce electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see also Multifunction Capabilities and Integration)	yes	all	
4.2.6 provide ability to override document entries made using the templates and standard text noted above		all	

5. Calendaring Function

Description. The activities associated with the creation of calendared matters including the generation, maintenance, and, in some instances (e.g., electronic), distribution of court calendars for each type of hearing (e.g., jury trial, nonjury trial, motion hearing) or settlement (e.g., consent) conference. While not customarily part of calendaring, within this volume calendaring includes ADR events, such as mediation and arbitration.

Calendaring encompasses all proceedings at which arguments, witnesses, or evidence are considered by a judge, magistrate or referee, or other judicial officer in court events, such as trials and motion hearings; conferences aimed at pretrial settlement; and ADR events such as mediation and arbitration.

Calendaring is the deliberate act of placing a matter on a judge’s or other judicial officer’s calendar for a hearing, trial, conference, or ADR event on a particular date. The calendared activity, which may be immediate or at a future date, refers to court business conducted by a judge or other judicial officer, usually with counsel and litigants present and resulting in a decision by the judge or other judicial officer. The action, rulings, orders, or judgments from the event cause production of a document that, with the calendar itself, is part of the official court record. The clerk docket the result through an entry reflecting the action taken (e.g., a minute order or other document issued by the court); these activities are described in Docketing and Related Recordkeeping Function and Hearings Function.

Calendaring has two connotations. First, it refers to the placement of a matter within a single case—or a group of cases treated as a single case—on a judge’s or other judicial officer’s calendar. Such a calendar may contain only one matter but often includes several matters (e.g., paternity, custody). Second, the calendar refers to a list of everything that will be heard or considered by the court because either the court or counsel placed each matter on the calendar for hearing or review.

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

Data Types Used. The data types required by the Calendaring Function include the following (see Definition of Data Types section for basic contents of each data type):

- Case (standard, support payments),
- Scheduled events,
- Party,
- Participant,
- Attorney,
- Judge,
- Other judicial officer, and
- Noncourt agencies.

Subfunctions. Within the Calendaring Function, the subfunctions are grouped into calendar creation and calendar management.

5.1 Calendar Creation

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

Table 5.1 – Calendar Creation Subfunctions

Subfunction	Auto	Mand.	Opt.
5.1.1 create, generate, display and ultimately print, and maintain calendars based on scheduling information (see also Scheduling Function) for each type of hearing (e.g., jury trial, nonjury trial, motion, conference, dismissal) or mixed hearings (e.g., motions and settlements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, other judicial officer, date, time, case type, case category, other information)	yes	all	
5.1.2 transfer easily and quickly between scheduling, calendaring, and other parts of system when creating calendars (e.g., to view information on related cases, parties, participants)		all	
5.1.3 provide capability for judges and other judicial officers to create and maintain their notes (i.e., notes and comments for use with calendar); link notes to specific judge or other judicial officer (as opposed to linking to a specific case); permit viewing only by that person in accordance with local rules and statutes (see also Security Function)			all
5.1.4 suppress inclusion of user-designated confidential information in calendars (e.g., mask out information such as juvenile name in adoption proceedings) (see also Security Function)		all	

5.2 Calendar Management

Between the time the calendar is created and the hearing date, users perform various calendaring functions such as finalizing the calendar at a prescribed cutoff point; printing the calendar; distributing it to judges, other judicial officers, and strategic courthouse locations for posting; and producing summary reports.

Table 5.2 – Calendar Management Subfunctions

Subfunction	Auto	Mand.	Opt.
5.2.1 create and print calendars individually (e.g., for a judge, other judicial officer, or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, other judicial officer, or courtroom		all	
5.2.2 distribute calendars electronically (e.g., court reporters, sheriff) (see also Multifunction Capabilities and Integration)	yes	all	
5.2.3 generate and display or print summary of upcoming hearings for a judge or other judicial officer or in a courtroom		all	

Subfunction	Auto	Mand.	Opt.
over a specific period (e.g., a week)			
5.2.4 display or print summary calendar information (e.g., for use in courtroom and could contain case number, hearing type, case title or style, hearing date and time, whether case qualifies for Title IV-D payments, related events or persons, 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 parties) (see also Management and Statistical Reports Function)		all	

6. Hearings Function

Description. The activities associated with recording the results of calendared events and notifying parties of court decisions. In the context of this volume, calendared events include all proceedings in which arguments, witnesses, or evidence are heard by a judge, magistrate or referee, or other judicial officer. This encompasses court events, such as trials and motion hearings; conferences (e.g., consent) aimed at pretrial settlement; and ADR events such as mediation and arbitration. Even though most cases reach an important intermediate milestone (e.g., in a motion hearing) or culminate when they are adjudicated in a trial, conference, or some type of ADR event, the Hearings Function imposes only the two functions noted above—recording results and notifying parties—on domestic relations case processing systems.

Minute entries (normally annotated on the calendar or on separate forms) and court orders record hearing results and document for the parties the findings resulting from judicial or quasi-judicial events. Informal minute orders record verbal instructions given by a judge, magistrate or referee, or other judicial officer during the proceedings. In performing these tasks, the Hearings Function relates closely to the Document Generation and Processing Function, Calendaring Function, Disposition Function, and Case Close Function.

As the hearing progresses, the judge or other judicial officer may request a warrant, an evaluation form (e.g., to evaluate parental rights or treatment of child), some other type of form, or some other document, which would be generated and printed as described in the Document Generation and Processing Function.

The court order documents the judge’s decision. This section covers the types of orders that result from a formal event such as a hearing. Judges sign other orders out of the courtroom in an informal setting (e.g., protective or custody orders signed in the judge’s chambers), and the Document Generation and Processing Function includes these orders.

The Hearings Function uses the term “judgment” in two contexts—first, as the general term for any resolution or disposition that results from a court decision; second, to connote the information contained in a judgment such as the nonmonetary (e.g., who gets

custody, visitation rights) and monetary (e.g., amount, debtor information and amount, creditor information and amount, payment plans) provisions. This function relates closely to the Disposition Function, which discusses judgments in these contexts and covers judgment forms that document the terms of the judgment.

Data Types Used. The data types required by the Hearings Function include the following (see Definition of Data Types section for basic contents of each data type):

- Hearing,
- Scheduled events,
- Case (standard, support payments),
- Party,
- Participant,
- Attorney,
- Judge,
- Other judicial officer,
- Noncourt agencies, and
- Exhibits.

Subfunctions. The hearings subfunctions, which should accommodate various types of hearings, conferences, and ADR events (e.g., jury trial, nonjury trial, motion hearing, consent conference, mediation, arbitration), are given in the following table:

Table 6 – Hearings Subfunctions

Subfunction	Auto	Mand.	Opt.
6.1 provide for minute entry using one of the methods noted below		all	
6.2 generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry (see also Calendaring Function)	yes	all	
6.3 generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes (see also Document Generation and Processing Function and Calendaring Function)	yes	all	
6.4 enter, store, and display or print minutes recorded on calendar or worksheet		all	
6.5 provide edits and prompts with on-line minute entry capability (see also Security Function)	yes	large	small
6.6 enter, store, document, and display or print (batch or individually) preliminary and final minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules (see also List of Code Translation Tables)		all	
6.7 use events captured in minutes to update records	yes	all	

Subfunction	Auto	Mand.	Opt.
throughout system (e.g., information on judgments working with Disposition Function and accounting functions; attorney withdrawals working with Docketing and Related Recordkeeping Function; adjournments, continuances, and cancellations working with Docketing and Related Recordkeeping Function (for docket updates), Scheduling Function (for rescheduling of hearing), Document Generation and Processing Function (for notice generation), Calendaring Function (to place on future calendar when scheduled), and other functions; bifurcations (i.e., severed cases) working with Case Initiation and Indexing Function (to initiate new case) and Docketing and Related Recordkeeping Function (for docket updates); administrative information (e.g., hearing duration and participants for statistics) working with Management and Statistical Reports Function; and rulings taken under advisement on submitted matters) (see also Integration Between Functions)			
6.8 with computational software and word processing interfaces, enable judges to examine implications of hypothetical judicial orders through calculations and “what if” scenarios (e.g., tax consequences of spousal support and property division; child support amounts for sole, shared, and split parenting arrangements; termination of jurisdiction based on minor’s date of birth) and insert selected option into orders (see also External Interfaces [Appendix A] and Document Generation and Processing Function, Hearings Function, Accounting - Bookkeeping Function)			all
6.9 create and print court orders and supporting documents (e.g., notices of court orders issued in domestic violence cases relating to law enforcement registries of persons who cannot purchase weapons or have protective orders) resulting from hearings and other judicial and ADR events		all	
6.10 create and print court orders and supporting documents resulting from hearings and other judicial and ADR events on-line in courtroom		large	small
6.11 electronically distribute court orders resulting from hearings and other judicial and ADR events externally to court and internally for entry into the docket (see also Multifunction Capabilities and Integration, Docketing and Related Recordkeeping Function, and Disposition Function)	yes	all	
6.12 enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in docket (if not entered automatically through previous subfunction) (see also Docketing and Related		all	

Subfunction	Auto	Mand.	Opt.
Recordkeeping Function and Disposition Function)			
6.13 distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available			all
6.14 schedule subsequent events (e.g., continuances) on-line in courtroom		all	
6.15 employ output templates, standard text, and user-supplied text analogous to methodology described in Document Generation and Processing Function to generate documents noted above (e.g., standard information in minute orders such as judge, court staff, attorneys and parties present evidence, witnesses, motions)		all	
6.16 suppress inclusion of user-designated confidential information in documents produced during hearing (e.g., record in minutes that ADR event occurred on a given date, but mask out confidential statements by parties) (see also Security Function)		all	

7. Disposition Function

Description. The activities associated with resolving all or some of the issues in a case. Domestic relations cases often have multiple issues (e.g., dissolution, custody, and support in a single case) and, therefore, multiple resolutions. If all issues are resolved, the case may be considered disposed. More often, however, disposition of domestic relations cases comes in stages as individual issues involving specific parties are resolved. Some domestic relations cases may be disposed only after lengthy periods that continue until adulthood or death.

Judgments are the means for accomplishing the actions called for in court orders that resolve cases and issues. The Disposition Function uses the term "judgment" in three contexts: (1) the general term for any resolution or disposition that results from a court decision; (2) the information contained in a judgment such as the nonmonetary (e.g., who gets custody, visitation rights) and monetary (e.g., amount, debtor information and amount, creditor information and amount, payment plans) provisions; and (3) the judgment form, which is created when issues are resolved or cases are disposed to document the judgment and contains the judgment information.

The Disposition Function relates closely to the Hearings Function in that it implements court orders produced during hearings and documents judgments that result from the court orders. The Disposition Function receives information on cases disposed by trial, ADR, and any other types of dispositions that occur during a hearing from the Hearings Function. It receives information on other disposed cases from other functions, primarily

the Docketing and Related Recordkeeping Function. It interacts with the Execution Function in processing judgments and often functions contiguously with the Case Close Function in disposing and closing cases.

It should be noted that the meaning of case disposition and closure varies nationwide depending on local and state rules, procedures, and reporting requirements. Defined rigorously, disposition of a domestic relations case occurs when all issues have been resolved and can never be reopened (e.g., person reaches adulthood, person dies, person remarries). At this point, assuming all documents have been recorded in the court, the case is closed (see Case Close Function). From a practical standpoint, a case is disposed if all issues have been resolved and are unlikely to be, but legally could be, reopened (e.g., person admits to paternity but unforeseen future litigation and evidence could indicate otherwise). Cases not in either of the above two categories are open. Statistically, the case may be considered disposed if either of the first two conditions exist—in other words, if it is not open.

During the post-judgment period, courts normally track overall compliance with court orders as information becomes available unless the situation demands more detailed tracking. Court orders may have nonmonetary (e.g., who gets custody, visitation rights, child support or welfare agency to provide remedy) and monetary (e.g., amount, debtor information and amount, creditor information and amount, payment plans) provisions, and they may entail cases received from or transferred to other courts (e.g., a civil case that originates from a domestic relations case). In orders with monetary provisions, the courts normally track judgment payments reactively—not proactively in an explicit effort to track satisfactions of judgment—as information becomes available (e.g., in memoranda of credit or garnishment of return). Domestic relations courts may divert from these normal procedures and track post-judgment events proactively, when follow-up action is required (e.g., request for execution as described in the Execution Function) or when support payment functions are performed within the court organization.

The support (e.g., child, spousal) payment functions establish court-ordered payment schedules for specific cases and persons, collect and disburse payments, monitor compliance with court orders and payment schedules, identify violations, and notify appropriate units to enforce court orders in the event of violations. Increasingly, the units that perform these functions are within the executive branch. The federal Welfare Reform Act requires that all Title IV-D and many non-Title IV-D child support payments be collected and disbursed by the statewide Title IV-D agency or an organization under contract to that agency.¹ While there is no analogous requirement for spousal support,

¹In the past, many courts were responsible for collecting and disbursing child support payments. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996, more commonly known as Welfare Reform, requires that all states establish State Disbursement Units (SDUs) for collecting and disbursing child support payments. The SDU must be a single, statewide unit that may be operated either directly by the state agency or by a contractor. Unless the state Title IV-D agency contracts with the court to operate the SDU, therefore, the court is no longer directly involved in collecting and disbursing child support payments in Title IV-D cases, and in those non-Title IV-D cases with income withholding and an initial order issued after January 1, 1994. The SDU is not

these functions also may move away from the courts and to a single executive branch agency with statewide responsibility.

When a unit that performs support payment functions (e.g., child support) is exterior to the court organization, the court's post-judgment activities (e.g., in child support) are reactive as with any other case unless follow-up action is required. If the unit (e.g., spousal support) is part of the court organization, the court's post-judgment role (e.g., in spousal support) becomes one of actively performing the support payment functions, particularly if the clerk's office is involved (see General Accounting Function and Accounting - Bookkeeping Function). Regardless of where this unit resides, the courts require more extensive status information—often for protracted periods—on support cases than for other case types.

Information exchange occurs within court system functions such as the Hearings Function, which supplies information from subsequent hearings that relate to the judgment; the General Accounting Function and the Accounting - Bookkeeping Function, which provide information on amounts paid, due, overdue, and disbursed; and the Execution Function, which provides information on any judgment executions that may be needed. Exchange of judgment and post-judgment information may occur with (1) other governmental units at the federal, state, and local levels (e.g., sheriff for garnishments and court orders, executive branch support payments unit, child support agencies, child welfare agencies); (2) private organizations (e.g., domestic relations service providers, credit reporting companies, collection agencies); (3) other users (e.g., attorneys, litigants, researchers); and (4) courts with jurisdiction over other case types (e.g., divorce case with civil issues that become separate civil case).

Data Types Used. The data types required by the Disposition Function include the following (see Definition of Data Types section for basic contents of each data type):

- Disposition,
- Case (standard, support payments),
- Party,
- Participant,
- Scheduled events,
- Financial, and
- Other events and entities (i.e., parcels).

Subfunctions. The disposition subfunctions could apply to entire cases, individual parties (e.g., settlement by some, but not all, parties in multiple-party case), or individual issues (e.g., information recorded on the resolution of each issue in a multiple-issue case and on the disposition of the entire case). These subfunctions are given in the following table:

required to be part of the agency's statewide automated child support enforcement system, but it must interact with that system. Most states have constructed interfaces between their systems and the courts to provide the courts with accurate, timely information on payments and arrearages.

Table 7 – Disposition Subfunctions

Subfunction	Auto	Mand.	Opt.
7.1 record resolution or disposition type (i.e., type of judgment) including those involving entire cases, individual or multiple issues, individual parties, multiple cases, and cross petitions		all	
7.2 identify inactive cases and groups of cases (e.g., no activity for 6 months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates)	yes	all	
7.3 process information (e.g., update docket and other records, if not updated automatically as noted below, through Docketing and Related Recordkeeping Function) and produce documents (e.g., judgment form; see Hearings Function) for resolutions and dispositions (i.e., judgments) by trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement conference, transfer out to another jurisdiction, or consolidation		all	
7.4 process information and produce documents (e.g., writ of execution and abstract of judgment for unpaid assessments) on post-judgment activities (e.g., in response to requests for execution, with information on monetary and nonmonetary judgments including parties, monetary and nonmonetary awards, pertinent dates, assignees, payments, credits); enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see also Execution Function and Accounting - Bookkeeping Function)		all	
7.5 electronically distribute disposition and post-judgment documents noted above externally to court and internally for entry into the docket (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function)	yes	all	
7.6 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 (see also Case Initiation and Indexing Function and Execution Function)	yes	all	
7.7 create, display, and maintain separate resolution, disposition, and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each issue, case, and	yes	all	

Subfunction	Auto	Mand.	Opt.
party (see also Case Initiation and Indexing Function and Execution Function)			
7.8 allow for multiple judgments in cases involving multiple parties and issues		all	
7.9 update each case in group of disposed (e.g., dismissed) cases as if group a single case (see also Docketing and Related Recordkeeping Function)	yes	all	

8. Execution Function

Description. The activities associated with execution of a judgment. These situations normally arise when the court is requested to assist with collection of the monetary judgment specified in a court order by obtaining information on the status of judgment payments and balance due through documents such as memoranda of credit and garnishments of return. Many of these instances involve noncompliance with a court order for child or spousal support.

For a detailed explanation of support (e.g., child, spousal) payment functions, refer to the Disposition Function section. The Execution Function also interacts with the Hearings Function in these tasks.

Data Types Used. The data types required by the Execution Function include the following (see Definition of Data Types section for basic contents of each data type):

- Disposition,
- Case (standard, support payments),
- Party,
- Participant,
- Financial, and
- Noncourt agencies.

Subfunctions. The following table gives the execution subfunctions:

Table 8 – Execution Subfunctions

Subfunction	Auto	Mand.	Opt.
8.1 process requests for execution of judgments and establish cross references for each execution subfunction given below to judgment index and judgment screen (see also Disposition Function)			all
8.2 process objections to execution			all
8.3 record fully, partially, and nonsatisfied executions (e.g., all obligations satisfied; see also Case Close Function)			all

Subfunction	Auto	Mand.	Opt.
8.4 update each case in group of cases for which execution requested as if group was a single case (e.g., same judgment terms and execution requirements for each case in group)	yes		all

9. Case Close Function

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

The meaning of case disposition and closure varies nationwide, depending on local and state rules, procedures, and reporting requirements. As explained in the Disposition Function section, disposition of a domestic relations case occurs when all issues have been resolved and the case can never be reopened (e.g., person reaches adulthood, person dies, person remarries). At this point, assuming all documents have been recorded in the court, the case also is closed. From a practical standpoint, a case is disposed if all issues have been resolved and are unlikely to be, but legally could be, reopened (e.g., person admits to paternity, but unforeseen future litigation and evidence could indicate otherwise). Cases not in either of the above two categories are open. Domestic relations cases are often disposed in stages as individual issues involving specific parties are resolved. Therefore, some domestic relations cases may be disposed, and hence closed, only after lengthy periods that continue until adulthood or death.

Case closure usually means the court has issued a final order disposing all parties and all issues and has statistically closed the case. As in disposition, a case may be considered statistically closed—as opposed to operationally closed—after a judgment has been rendered (i.e., it is no longer open as described in the previous paragraph). However, as noted above, the definition of statistical closure varies nationwide, depending on local and state rules, procedures, and reporting requirements.

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

From the perspective of a domestic relations case processing system, the Case Close Function and subfunctions in this section address statistical closure (i.e., the closure that relates to disposition), and the File, Document, and Property Management Function addresses operational closure (i.e., the closure that relates to archiving).

Data Types Used. The data types required by the Case Close Function include the following (see Definition of Data Types section for basic contents of each data type):

- Disposition,
- Case (standard, support payments),
- Party,
- Participant,
- Financial,
- Other events—transfer/consolidate out,
- File management, and
- Noncourt agencies.

Subfunctions. As noted above, the case close subfunctions would either be performed separately in the Case Close Function or in a continuum consisting of the Disposition Function and the Case Close Function. These subfunctions are:

Table 9 – Case Close Subfunctions

Subfunction	Auto	Mand.	Opt.
9.1 exchange information with Disposition Function and record reason for closure (e.g., issue or case disposed due to a trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement conference, transfer out to another jurisdiction, or consolidation) (see also Multifunction Capabilities and Integration)		all	
9.2 establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions (including situation in which two parties file against each other as separate cases that court consolidates into single case)	yes	all	
9.3 close case (e.g., close related events; update docket; generate required forms, notices, reports for that case) (see also Docketing and Related Recordkeeping Function, Document Generation and Processing Function, Management and Statistical Reports Function)	yes	all	
9.4 generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectable obligation balance; see also Management and Statistical Reports Function)		all	

10. General Accounting Function

Description. The activities associated with satisfying the court’s fiduciary responsibilities including receipt of funds, posting case-related funds to a case fee record, posting noncase-related funds to other types of records, maintaining account records, disbursing funds, generating checks, billing, producing payment agreements, producing

notices required for collection activities, reconciling bank accounts, and producing documents required to satisfy county, state, and federal auditing agencies.

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

For domestic relations cases, accounting functions may be divided among the clerk's case processing staff; a finance unit in the clerk's office, an executive branch agency (e.g., county finance), or a court administrative office; and a support (e.g., child, spousal) payments unit that is often contained within the executive branch.¹ With regard to computer systems, the domestic relations case processing system typically performs the functions described earlier in this volume, and it may support some or all of the accounting functions. Accounting support, however, usually is provided by one or more financial systems that perform functions such as budgeting, payroll, accounts payable, accounts receivable, fixed assets, journaling and general ledger, and trust fund management, and by a support payments system that monitors payments and identifies violations of the court's payment orders.

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

Depending on their relationship to case processing, accounting functions are divided into four groups:

- “case processing” functions that apply directly to case processing systems. These functions assess court costs and fees; receive court costs, fees, and other payments; generate receipts; maintain some bank accounts; prepare deposits; and prepare reports on these activities.
- “financial” functions that support case processing systems. These functions handle a wide range of interest-bearing and noninterest-bearing accounts, process accounts receivable and payable, disburse funds, adjust fund balances, maintain journals and general ledgers, and produce end-of-period reconciliations and other summaries and reports.
- “financial” functions that implement and monitor compliance with court-ordered support payments. These functions establish court-ordered payment schedules for specific cases and persons, collect and disburse payments, monitor compliance with court orders and payment schedules, identify violations, and notify appropriate units to enforce court orders in the event of violations.

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

The following accounting sections describe the “case processing” and “financial” functions; each subfunction group is categorized according to whether it is typically a “case processing” or a “financial” function. Within the financial functions, those that apply particularly to support payments are identified as “financial (primarily support payments)” functions.

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

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

Data Types Used. The data types required by the General Accounting Function include the following (see Definition of Data Types section for basic contents of each data type):

- Case (standard, support payments),
- Party,
- Participant,

- Attorney,
- Disposition, and
- Financial.

Subfunctions. The general accounting subfunctions—all of which are either case processing or financial—are either common to one or more of the subsequent accounting sections or cannot be categorized into one of those sections.

Table 10 – General Accounting Subfunctions

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

11. Accounting - Receipting Function

Description. The activities associated with issuing appropriate receipts to litigants and their representatives who submit payments required by the court. Receipting functions usually are performed at the cashiering station of the front counter in the clerk’s office. The Accounting - Receipting Function relates closely to the Accounting - Bookkeeping Function, which often processes funds received automatically to accomplish such tasks as funds distribution and account updates.

Data Types Used. See data types in General Accounting Function section.

Subfunctions. Within the Accounting - Receipting Function, the subfunctions are grouped into funds collection, receipt generation, cashier close-out, and cashier management.

11.1 Funds Collection

This group of subfunctions applies to all case processing and addresses the activities associated with accepting payments from litigants and their representatives.

Table 11.1 – Funds Collection Subfunctions

Subfunction	Auto	Mand.	Opt.
All case processing			
11.1.1 associate payment with proper case and party when monies received (see also Accounting - Bookkeeping Function)	yes	all	
11.1.2 permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
11.1.3 accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.4 accept payments by electronic funds transfer (see also Multifunction Capabilities and Integration)	yes	all	
11.1.5 apply payments by electronic funds transfer from draw-down accounts preestablished 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 also Multifunction Capabilities and Integration and Accounting - Bookkeeping Function)	yes	all	
11.1.6 associate fees with nonparties (e.g., from general draw-down accounts, couriers, media) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case)		all	
11.1.7 record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and noncase related)	yes	all	
11.1.8 accept multiple types of payments in single transaction (e.g., cash, check)		all	

Subfunction	Auto	Mand.	Opt.
11.1.9 accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments		all	
11.1.10 accept single payment for multiple cases with capability to process separately for each case		all	
11.1.11 permit cashier, with proper authority, to override preestablished funds distribution priorities		all	
11.1.12 transfer funds from one case to another case or between accounts in a given case (see also Accounting - Bookkeeping Function)		all	

11.2 Receipt Generation

This group of subfunctions applies to all case processing and addresses the activities associated with generating and printing receipts for payments from litigants and their representatives.

Table 11.2 – Receipt Generation Subfunctions

Subfunction	Auto	Mand.	Opt.
All case processing			
11.2.1 generate, display, and print receipts with proper identifiers (e.g., fee code, court location and address) based on collections with user option to receive single or multiple copies		all	
11.2.2 generate and distribute electronic receipts for electronic payments (see also Multifunction Capabilities and Integration)	yes	all	
11.2.3 generate and print receipts with unique, locally defined, sequential receipt numbers	yes	all	
11.2.4 generate and print multiple receipts from one financial transaction covering payment for multiple cases or purposes (e.g., attorney files and pays fees for several cases in one trip to courthouse)		all	
11.2.5 generate and print either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case (e.g., attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse)		all	
11.2.6 permit receipts to be reprinted (e.g., if printer malfunctions during printout) with same receipt numbers		all	

11.3 Cashier Close-Out

This group of subfunctions applies to all case processing and addresses the activities associated with front counter recordkeeping, primarily involving payments from litigants and their representatives and receipts generated in return for these payments.

Table 11.3 – Cashier Close-Out Subfunctions

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

11.4 Cashier Management

This group of subfunctions applies to all case processing and addresses the activities associated with cashier supervision and administration.

Table 11.4 – Cashier Management Subfunctions

Subfunction	Auto	Mand.	Opt.
All case processing			
11.4.1 permit payments to be voided and corresponding		all	

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

12. Accounting - Bookkeeping Function

Description. The activities associated with (1) financial recordkeeping and reporting functions commonly performed at the end of an accounting period (e.g., monthly) and (2) ongoing functions associated with month-end activities. These functions include maintaining account, case, and person financial records; conducting funds transfer and other financial transactions; interfacing with receipting activities to exchange account and other financial information; and producing reconciliations, statements, reports, and other documents.

Data Types Used. See data types in General Accounting Function section.

Subfunctions. Within the Accounting - Bookkeeping Function, subfunctions are grouped into bank account management, draw-down account management, case account management, distribution account management and funds disbursement, and administrative. Within bank accounts, courts establish other accounts—generally categorized as draw-down, case, and distribution—for internal use. Courts also perform reporting and other administrative functions associated with accounting.

12.1 Bank Account Management

This group of subfunctions addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts, which are discussed in the Case Account Management section) and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These standards address accruing interest only at the level of bank accounts, but not at the lower

levels of the case, party, and other accounts contained in bank accounts. Similarly, the standards do not address interest on delinquent payments. As shown below, these subfunctions apply to case processing, financial, or both.

Table 12.1 – Bank Account Management Subfunctions

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

12.2 Draw-Down Account Management

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

Table 12.2 – Draw-Down Account Management Subfunctions

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

12.3 Case Account Management

This group of subfunctions addresses the activities associated with establishing, tracking, and maintaining case and party accounts; establishing payment schedules and processing installment and other types of payments; posting transactions to case and party accounts; and producing reports and other documents related to case and party account management. As shown below, these subfunctions apply to case processing, financial, or both.

Table 12.3 – Case Account Management Subfunctions

Subfunction	Auto	Mand.	Opt.
Case processing			
12.3.1 maintain financial parts of case files and docket (e.g., payments received, liabilities with linkage to accounts receivable in finance) (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.2 compute and display costs and fees based on occurrence of a specific event (e.g., initial filing, motion filing)	yes	all	
12.3.3 identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review)	yes	all	
12.3.4 record funds received from other local, state, and private units for payment of specific case and party costs, fees, and judgments (e.g., for service of summons by law officer for another jurisdiction)		all	
12.3.5 record changes to accounting records that result from court orders (e.g., change in monthly support payment amount) and modify appropriate records		all	
12.3.6 maintain standard tables for court costs and fees (see also List of Code Translation Tables)		all	
Case processing or financial			
12.3.7 establish flexible, user-defined and -maintained individual (e.g., for case, single party in case, multiple parties in case) case and party accounts when initial fees received for new case (see also Accounting - Receipting Function)		all	
12.3.8 allow user to specify multiple party accounts for each case account		all	
12.3.9 allow payment of costs, fees, and other charges assessed to specific party in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay-through)		all	
12.3.10 post case-related receipts to accounting records and docket or register of actions (support payment receipts are not usually entered in the docket); associate receipts with proper case, party, account, or case activity; interact with receipting to accomplish these tasks (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.11 post case-related disbursements to accounting records and docket or register of actions (support payment disbursements are not usually entered in the docket); associate disbursements with proper case, party, account, or case	yes	all	

Subfunction	Auto	Mand.	Opt.
activity (see also Docketing and Related Recordkeeping Function)			
12.3.12 apply correcting entries without changing or deleting previously recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		all	
12.3.13 maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short term by clerk, are case processing; many installment and pay-through accounts are support payment; most other accounts, such as trusts and most escrow accounts, are financial)	yes	all	
12.3.14 display or print detailed and summary lists of financial transactions (e.g., receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and parties over specific periods (e.g., daily, monthly, for life of case) (see also Management and Statistical Reports Function)		all	
Financial			
12.3.15 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts) and produce account statements	yes		all
12.3.16 generate and print invoices for and document collection of all moneys (e.g., fees for re-service of process)			all
12.3.17 produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Generation and Processing Function)		all	
12.3.18 mark case or party account closed or some other designator		all	
12.3.19 provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt when obligor dies)		all	
12.3.20 produce periodic (e.g., daily, monthly) report or display showing financial status, Title IV-D status, and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or party account (see also Management and Statistical Reports Function)		all	
12.3.21 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see also General Accounting Function)		all	

Subfunction	Auto	Mand.	Opt.
and Management and Statistical Reports Function)			
Financial (primarily support payments)			
12.3.22 create payment schedule, collect payments, apply payments received to scheduled amount due (e.g., amount in judgment), and produce reports on overdue amounts (e.g., for previously waived fees)		all	
12.3.23 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 and Execution Function)	yes	all	
12.3.24 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, attorney fees) garnishments, installment payments, and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also General Accounting Function, Disposition Function, and Execution Function)		all	
12.3.25 generate accounting notices (e.g., for payment, overdue payment) receipting or bookkeeping (see also Document Generation and Processing Function)	yes	all	
12.3.26 share information with state agencies to coordinate collection of court-ordered payments (e.g., to recover previously waived fees)		large	small

12.4 Distribution Account Management and Funds Disbursement

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

Table 12.4 – Distribution Account Management and Funds Disbursement Subfunctions

Subfunction	Auto	Mand.	Opt.
Case processing or financial			
12.4.1 allow flexible, user-defined and -maintained account structure that permits funds to be allocated to appropriate case cost types and other accounts (e.g., for city, county, state, court)		all	

Subfunction	Auto	Mand.	Opt.
12.4.2 place hold on disbursements of funds deposited for a case		all	
Financial			
12.4.3 disburse funds electronically to recipient bank accounts	yes	all	
12.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and produce reports (e.g., for each check not cleared over specific period)		all	
12.4.5 electronically authorize and disburse collected fees to other units (e.g., appellate court for appealed cases) (see also Multifunction Capabilities and Integration)	yes	all	
12.4.6 post noncase-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account	yes	all	
12.4.7 compute parts of fees to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula	yes	all	
12.4.8 disburse collected fees electronically according to predefined formula either periodically (e.g., monthly) or when fees received in conjunction with Accounting - Receipting Function (see also Multifunction Capabilities and Integration and Accounting - Receipting Function)	yes	all	
12.4.9 produce report showing allocation formula for disbursing monies to other local and state units over specific period, monies disbursed, and how formula was used to compute allocation (see also Management and Statistical Reports Function)		all	
12.4.10 initiate, print, and disburse sequentially numbered checks periodically or on demand, stop issuance on checks, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		all	
12.4.11 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	
12.4.12 produce precheck register (e.g., to view checks prior to printing register) and check register over specific period		all	
Financial (primarily support payments)			
12.4.13 allow multiple pay-through cost assessments to be specified for each case		all	
12.4.14 provide capability to issue checks for pay-through activities individually or periodically (e.g., monthly) based on accumulated payments		all	

Subfunction	Auto	Mand.	Opt.
12.4.15 apply installment payments to proper account or activity (e.g., to fees, support owed, or alimony owed)		all	

12.5 Administrative

This group of subfunctions addresses the activities associated with generating the various listings and reports that document and coordinate financial activities (e.g., transactions, reconciliations, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually). As shown below, these subfunctions apply to case processing, financial, or both.

Table 12.5 – Administrative Subfunctions

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

13. Accounting - General Ledger Function

Description. The activities associated with general and subsidiary ledger functions.

Data Types Used. See data types in General Accounting Function section.

Subfunctions. The general ledger subfunctions are all financial transactions, as follows

Table 13 – General Ledger Subfunctions

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

14. File, Document, and Property Management Function

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

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

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

Document management embraces the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities in the above functions, as well as additional features such as document version control and workflow for document routing to specific workstations. At least rudimentary document management capabilities must exist either in the case processing system or in a separate

document management system that can interface with the case processing system. In addition to this section, the Document Generation and Processing Function and the Security Function describe these rudimentary document management standards. The Uses of Functional Standards, Technical Capabilities section discusses advanced capabilities.

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

Data Types Used. The data types required by the File, Document, and Property Management Function include the following (see Definition of Data Types section for basic contents of each data type):

- File management,
- Case (standard, support payments),
- Party, and
- Exhibits

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

14.1 File Tracking

In accordance with local and state rules governing record retention, case records must be identified when they are created at case initiation; stored as active, inactive, and archived files as they progress through their life cycle; and tracked until they are destroyed. Therefore, the record custodian must know the location of case files at all times.

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

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

Table 14.1 – File Tracking Subfunctions

Subfunction	Auto	Mand.	Opt.
14.1.1 generate labels for manual case files (see also Case Initiation and Indexing Function)	yes	all	
14.1.2 generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., domestic relations interview notes, psychological profiles) and to provide information on checked-out manual files that replaces those files in cabinet			all
14.1.3 track manual case files from time checked out of clerk's office through each borrower (including those external to courts such as domestic relations service providers) until returned to clerk's office relative to location, borrower identifier and other information, file volume number and total number of volumes, date removed, reason file needed, date returned or transferred, and other data		all	
14.1.4 maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files		all	
14.1.5 maintain last location of manual and electronic destroyed files		all	
14.1.6 maintain and 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 and Related Recordkeeping Function and Management and Statistical Reports Function)	yes	all	
14.1.7 print or display list of filings while manual file checked out so that documents can be added to file when it is returned		all	

14.2 File Archival and Destruction

Manual and electronic case files pass from active to inactive status in accordance with local and state rules for record retention, and eventually they may be archived and ultimately destroyed (or totally purged if an electronic file). A domestic relations case file usually remains active until it is statistically closed (see Disposition Function and Case Close Function). At a later time, such as when the case becomes operationally closed, the case file is archived and eventually destroyed or purged. At some point in its life cycle, the file may be moved from on-line storage to off-line storage and eventually sent to an off-site storage facility. While the file resides in off-line computer storage, many courts retain summary information on the case in active storage to help access the archived file.

Table 14.2 – File Archival and Destruction Subfunctions

Subfunction	Auto	Mand.	Opt.
14.2.1 identify cases to be archived and later destroyed (see also Case Close Function)		all	
14.2.2 identify cases and documents to be retained permanently		all	
14.2.3 process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility (see also List of Code Translation Tables)	yes	all	
14.2.4 identify summary information (e.g., indexes) to be retained in active or semiactive files		all	
14.2.5 generate, display, and print reports showing archived and destroyed or transferred cases		all	

14.3 Reporting and Utility

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

Table 14.3 – Reporting and Utility Subfunctions

Subfunction	Auto	Mand.	Opt.
14.3.1 generate reports on file management activities (e.g., file transfer, inactive, and purge reports)		all	
14.3.2 perform utility functions (e.g., copy information such as docket entries and parties) from one case to another		all	
14.3.3 print any screen display and print any document on-line		all	
14.3.4 display information on system and equipment (e.g., printer) malfunctions if information in case processing system	yes	all	
14.3.5 maintain and print or display list of active, inactive, archived, and purged files (e.g., to assist in annual file inventory)		all	

14.4 Document Management

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

system that interfaces with the case processing system. The capabilities shown in the table are in addition to those noted in the File Tracking and the File Archival and Destruction sections of this function and in the Document Generation and Processing Function and Security Function.

Table 14.4 – Document Management Subfunctions

Subfunction	Auto	Mand.	Opt.
14.4.1 support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range)		all	
14.4.2 support retrieval of specific document directly from other parts of system (e.g., docket) without intermediate steps (e.g., without scrolling through document list to select given document)		all	
14.4.3 provide capability to toggle between views of several different documents		all	
14.4.4 provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities		all	
14.4.5 provide capability to use same document management system for imaging if imaging included in overall case processing		all	
14.4.6 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)			all

14.5 Exhibit Management

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

Table 14.5 – Exhibit Management Subfunctions

Subfunction	Auto	Mand.	Opt.
14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
14.5.2 generate exhibit and property numbers or other locally defined identifiers	yes	all	
14.5.3 track location and status of exhibits and other property through each borrower (including those external to courts) until returned to clerk’s office relative to location, borrower identifier and other information, identifier and total number of similar exhibits or property (e.g., pay stub one of five), date removed, reason needed, date returned or transferred, and other data		all	
14.5.4 record return, release, or destruction of exhibits and other property		all	
14.5.5 generate notices to (1) reclaim exhibit or property when court’s usage completed and (2) inform owner that exhibit or property is destroyed (see also Document Generation and Processing Function)		all	
14.5.6 print or display lists of exhibits and other property according to case, party, and other parameters		all	
14.5.7 track and print or display court orders pertaining to each exhibit or property		all	

15. Security Function

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

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

- Level 1 - For court users (e.g., clerk’s office staff)—who individually have different privileges on the system but collectively can enter data and documents, access most data and documents, and change some data and documents—the system, data, and documents must be protected from unauthorized access and erroneous entry.

- Level 2 - For official users outside the court who frequently submit filings and need information from the system (e.g., attorneys of record), there must be protection from access to unauthorized parts of the system, from submission of erroneous data and documents, and from direct entry of data and documents (i.e., only Level 1 users would be permitted to enter data and documents directly into the system).
- Level 3 - For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing limited parts of the system's data and documents.

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

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

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

The increased security risk of Level 2 users over Level 1 users arises during electronic data exchange—particularly electronic filing. While the risk of direct data or document entry is minimal, the possibility exists that the data and documents originally sent differ from those ultimately received because, for example, they became corrupted during transmission. The court should devise a method to ensure the integrity of these data and documents—normally through case processing system edits or, more reliably, through special-purpose security hardware or software with features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and nonrepudiation (sender cannot later deny sending information).

Access to the system and database by the public and other outside unofficial persons (i.e., Level 3 users) would lead to additional security requirements. For example, as noted in the External Interfaces section of Related Technical Considerations (Appendix A), the public could be given access over the Internet or allowed to access the system directly from specified locations (e.g., kiosks). Either of these alternatives presents potential problems because unknown users who do not have individually assigned passwords and other identifiers would have access. While minimal security for these users would be the restriction that they view but not modify or delete data and documents, more restrictive measures probably would be needed as noted below in the subfunction table.

Data Types Used. The Security Function requires the use of potentially all data types.

Subfunctions. Security subfunctions are:

Table 15 – Security Subfunctions

Subfunction	Auto	Mand.	Opt.
15.1 perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data (e.g., date of answer or response after date filed)	yes	all	
15.2 ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically so that court is referencing and retrieving correct information	yes	all	
15.3 ensure modification of electronic records restricted to administrative information (e.g., cover sheet) with proper authorization and that electronic filings and orders cannot be modified	yes	all	
15.4 base access and similar privileges on authorizations defined, maintained, and controlled by specific users (e.g., access authorization tables; see also List of Code Translation Tables)		all	
15.5 restrict local and remote access to and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, documents and other parts of files, and system functions (e.g., scheduling) from other system functions, device (e.g., terminals, personal computers [PCs]) locations, users, and groups of users	yes	all	
15.6 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., child abuse, psychological profiles, social security numbers) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders		all	
15.7 restrict access to all records pertaining to cases noted above (e.g., sealed cases)		all	
15.8 allow limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis		all	
15.9 suppress inclusion of user-designated confidential information in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices)		all	

Subfunction	Auto	Mand.	Opt.
sent to specific persons) (see also Document Generation and Processing Function, Calendaring Function, and Hearings Function)			
15.10 provide adequate security if public access allowed (e.g., view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access (which raises issue of how often to refresh or update subset); security at lower levels than file or record level, such as at field level; “firewalls” that restrict access to only some of system and database and secure other parts)		all	
15.11 provide audit trails that show which users and workstation locations logged onto system 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		all	
15.12 provide secure passwords for user		all	
15.13 allow authorized user correction of individual or groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently entered cases to be changed)		all	
15.14 maintain and display or print audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function)	yes	all	
15.15 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)		all	
15.16 provide for file backups at any time	yes	all	
15.17 ensure only single set of data exists for each person (i.e., various identifiers for given person must be correlated)	yes	all	
15.18 provide adequate security for all electronic information exchange	yes	all	
15.19 provide adequate security for judge’s and other judicial officer’s notes (see also Calendaring Function)			all

16. Management and Statistical Reports Function

Description. The activities associated with reporting caseload, caseflow, and workload statistics and management information on court operations, finances, and staffing.

Typically, the state and local court administrative offices identify the statistics that they need from the court, and local customs and management styles determine the management reports.

There are five general mandatory reporting requirements:

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

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

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

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

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

Data Types Used. The Management and Statistical Reports Function requires the use of all data types.

Subfunctions. Within the Management and Statistical Reports Function, the subfunctions are statistics and management information., as described below.

16.1 Statistics

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

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

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

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

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

- Pending cases arranged according to various criteria such as case type, case category, nature of action, event status, length of time pending, or judge or other judicial officer;
- Active cases not scheduled for hearing arranged according to various criteria such as case type, case category, or reason not scheduled;

- Disposed cases arranged according to various criteria such as case type, case category, resolution or disposition type, proceeding stage when disposed, nature of action, or judge or other judicial officer;
- Reopened cases arranged according to various criteria such as case type, case category, reason reopened, or judge or other judicial officer;
- Cases pending specific action such as pending annual review or recommendation for transfer;
- Cases with specific status such as adjourned, by reason adjourned;
- Judicial workloads; and
- Weighted caseload summaries.

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

16.2 Management Information

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

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

Case Information

- Docket contents (cases) - gives docket contents for specific cases, groups of cases, and related cases;
- Docket transactions - lists docket or register of actions transactions by case and time period;
- Events - provides information on specific types of events including all or major events in upcoming period by case;
- Issues - tracks issues and resolutions within specific cases;
- Open judgments - provides information on cases with open judgments;
- Open warrants - provides information on cases with open warrants;
- Motions - gives status of motions and related petitions and requests;
- Executions and garnishments - provides index of outstanding and prior executions and garnishments;
- Custody and visitation decisions - gives information on custody and visitation decisions;
- Court orders - reports on court orders issued by type of order and case;
- Title IV-D qualifiers - gives information on cases that qualify for Title IV-D payments;
- Domestic violence cases - reports domestic violence cases with related information including demographics;
- Dissolution - provides information on dissolution cases including those involving minors.

Financial Information

- Arrearages - gives information on arrearages by case or party;
- Account status and history - gives information about each account;
- Account activity - gives aging, audit trail, journal, and similar information about each account;
- Receivables - gives amounts owed and waived for each person or organization;

- Payables - gives information on disbursements from accounts.

Person Information

- Docket contents (persons) - gives docket contents for specific persons (i.e., party, attorney) and groups of persons;
- Upcoming events (person) - reports all or most significant events in upcoming period by person;
- Judge assignment - tracks current and past judge assignment, recusal, challenges, hearing results, reassignment, disqualification with reasons, length of time assigned;
- Judicial officer performance - tracks judicial officer (e.g., ADR provider such as arbitrator or mediator) assignments, decisions, and performance criteria;
- Attorney case list - gives cases (all, active, inactive) and related information for specific attorney;
- Person schedules - reports number of cases or events scheduled for specific people (e.g., judges, other judicial officers, attorneys) and resources (e.g., court or meeting rooms) by time periods;
- Person assignments - reports current and past cases or events assigned to nonjudicial people (e.g., attorneys, parties, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies) and resources (e.g., court or meeting rooms) by time periods;
- Self-represented litigants - lists and give status and caseflow of cases involving self-represented litigants;
- Personal histories - gives prior information on persons (e.g., marriages and divorces, domestic problems, child abuse, restraining orders, number of filings against each other, age brackets, economic status, demographics);
- Domestic relations service providers and related institutions - gives current and historical information by organization or case on domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies, and related institutions (e.g., schools, hospitals, doctors);
- Illegal attorney filings - gives information on cases filed by disbarred and suspended attorneys;

- Problem persons - gives information on persons who pose problems (e.g., due to contempt of court, multiple restraining orders, repeat offenders) by criteria such as case category, court-ordered service or remedy, and program provider.

Calendar Monitoring Information

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

Performance Monitoring Information

- Case processing performance - monitors conformance to time and other performance standards (e.g., ABA Time to Disposition Standards);
- Cases disposed and issues resolved - reports whether specific cases have been disposed and issues resolved with cross references to calendars in which they were disposed or resolved;
- Continuances - lists and gives supporting information on cases that have been continued over specific period by judge, other judicial officer, and other criteria;
- Trial duration - tracks duration of trials and compares estimated and actual duration by courtroom; judge, magistrate or referee; other judicial officer; whether jury or nonjury trial; and other criteria;
- Milestone events - tracks milestone events for specific cases or groups of cases giving more flexible caseload information than is available in standard statistical reports described in previous section;
- Timeliness of hearings - reports timeliness of hearings after at-issue memoranda received;
- Timeliness of orders - provides timeliness of entry of court orders in time-sensitive situations such as restraint, custody, visitation, and child support;
- Order type and compliance ratios - gives percentages of court orders with specific characteristics such as custody determinations requested and made, visitation determinations requested and made, child support requested and granted;

- Status of court-ordered services and remedies - gives status of program referrals and other court-ordered services and remedies by type of service or remedy;
- Results of court-ordered services and remedies - gives results of program referrals and other court-ordered services and remedies by type of service or remedy;
- Service or remedy evaluation - gives information on program referrals and other court-ordered services and remedies to permit evaluation of program providers and compliance by litigants;
- Service or remedy ratios - gives percentages of respondents entering and completing court-ordered services and remedies (e.g., domestic violence programs) by type of service or remedy;
- Disposition ratios - gives percentages of issues or cases disposed by resolution or disposition type;

System Usage and Quality Assurance Information

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

Appendix A:

Related Technical Considerations

Related Technical Considerations

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

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

External Interfaces

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

Other Technologies Internal to Court

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

- Case processing among multiple court locations (e.g., filings at one branch; hearings at another branch), transfer of individual cases and case information between locations, and transfer of multiple cases and case information between locations in a single transaction (see also System Capabilities, Inquiry, and Report Generation parts of this section and Management and Statistical Reports Function);
- Integration of case processing system with modern courtroom technologies that assist in judicial decision making by gathering and displaying on-line information from other courts, criminal support units, CJ agencies, and non-justice agencies such as:
 - displays that judges can read easily and quickly (e.g., bar or pie charts, thermometer- or speedometer-type displays),

- consolidation of multi-system or multi-database information on one display for easy assimilation,
- computer-searchable records of proceedings (e.g., court record, judge's notes),
- software that permits judges to examine implications of hypothetical judicial orders through calculations and "what if" scenarios (e.g., time implications of concurrent and consecutive sentences; trade-offs between different combinations of fines, restitution, and work programs) and insert chosen option into word processing documents, court orders, and reports (see also Hearings and General Accounting functions);
- Integration of case processing system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recording; correlation of video recordings with court record and judge's notes; and single recordation of proceedings with multiple uses in court record, judge's notes, orders, and other documents);
- Integration of case processing system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to case processing system and then to edit text);
- Data capture and file and property management using bar code, optical character recognition, and other technologies;
- Document capture, storage, and retrieval using imaging;
- Information capture and conversion to data and word processing formats using optical character recognition (OCR);
- Integration of case processing system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets (for more on capability of case processing system to produce documents, see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Generation of official output documents (for transmission or printout) by supplying data -- including data transferred from word processing documents -- to imaged documents with official text, seals, and signatures (see also Document Generation and Processing Function and document management coverage in Multi-Function Capabilities and Integration and File, Document, and Property Management Function);
- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update law firm schedules), email (see also System Capabilities in this section and Multi-Function Capabilities and Integration in Standards for Individual Functions), and jury management systems; and
- Document printouts on special-purpose paper and forms (e.g., multi-part forms and mailers).

Input and Output External to Court

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

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

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

Inquiry

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

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

Report Generation

Typically, printed reports are standard (i.e., pre-programmed) and ad hoc (created for one-time or limited use). While standard reports generally cause no problem (assuming

they do not proliferate and IT programming staff are available), the same cannot be said of their ad hoc counterparts.

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

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

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

System Capabilities

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

- Need for scalable systems that can efficiently support small, medium, and large courts. For example, large-court systems may need to support multiple court divisions and locations, extensive use of quasi-judicial personnel who conduct conferences aimed at plea agreements, multiple clerk's office locations, user interfaces (e.g., system screens) that accommodate compartmentalized clerk's office operations, and

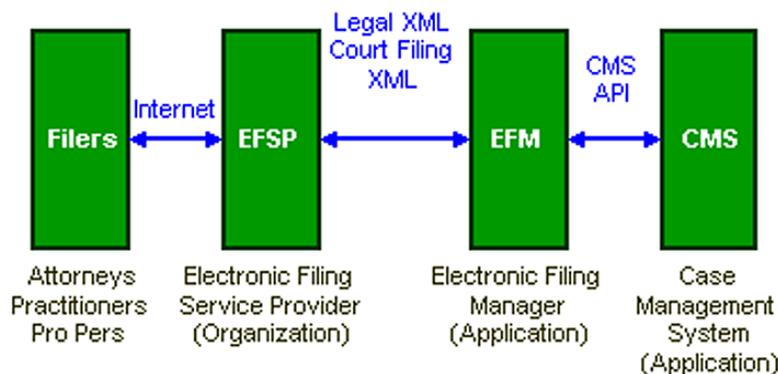
other capabilities attendant to high-volume operations. Conversely, small-court systems may need to support user interfaces and processing geared to only a few court divisions (e.g., civil, criminal, criminal traffic), limited or no use of plea agreement personnel, one clerk's office location, and few clerical personnel in a single office handling the record keeping for a case. In either situation, the appropriate tradeoffs between manual and automated functions must be achieved.

- Need for table-driven and modularly designed systems.
- Need for assistance from the system in automatically scheduling events based on completion of prior events (e.g. deadline for response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully-functional event driven systems provide this capability -- primarily in some large courts -- by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category (e.g., felony, misdemeanor, , and miscellaneous criminal cases) within the domestic relations case type (see also List of Code Translation Tables later in this document). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available. Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. (The standards in this document call for capabilities that address a few functions of these event driven systems within individual functions based on the completion or scheduling of specific events. This partial functionality generally applies to courts of all sizes. Examples are (1) updating case indexes, dockets, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees. These are covered in the standards for the Case Initiation and Indexing, Docketing and Related Record Keeping, Scheduling, Document Generation and Processing, Hearings, and accounting functions.)
- Items that the user should be permitted to define either when the system is implemented or on an ongoing basis such as code structure, code translation table content (i.e., what will be represented by codes (e.g., events, results of events, attorneys, party type), and notice and receipt formats.
- What the system defaults to initially or when there is no entry of specific data.
- Requirements to drill down to specific data and navigate among screens by using point-and-click, function keys, drop-down menus, and other capabilities.
- Need to display related data entry screens, information, and prompts triggered by specific event or entered data.
- Complete help screen capabilities that contain information on a comprehensive array of topics, permit easy searches for and indexes of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be available in display or printed form and should be easily updated to reflect system changes.
- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports; see earlier Report Generation section and Management and Statistical Reports Function).

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

Appendix B: Electronic Filing

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



The components of this model are:

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

able to interact with any EFM, and therefore with any court CMS interfaced to an EFM application.

- **CMS (Case Management Systems).** These are the applications courts use to track and manage caseloads (a heterogeneous CMS environment is assumed). So that EFMs can be readily connected to CMSs, case management systems will need to support an API (Application Program Interface) designed to talk with EFM applications. Developing an API is a job for CMS vendors or court software developers or their contractors. It is also possible that, over time, various vendors will embed the EFM function in their CMS products.
-
- Many electronic filing applications allow filers to communicate directly with an EFM as well as through an EFSP. This technical approach to court filings establishes the basis for a competitive, market-oriented environment ultimately enabling any filer or EFSP to exchange filings with any court.
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- In time, the EFM module of an electronic filing system will become an integral feature of the case management information system. System designers should include this CMS module in their long-range development plans. In the short term, a case management information system must provide an application program interface to an external EFM module. Any CMS must be capable of interacting through such an API with any EFM system.
-
- The CMS should also include a "delayed docket queue" capability which (1) serves as a cache of electronically filed documents and associated cover sheet information received by the court but not yet entered on the docket or register of actions, (2) gives a court clerk the ability to review the submitted document together with the submitted cover sheet information to determine their acceptability for entering on the docket or register of actions, and (3) allows the clerk automatically to accept, reject, or modify the proposed docket entry or new case information supplied on the cover sheet and accept, reject, or hold the document submitted for filing. This delayed docket queue is an essential quality control component of an electronic filing system but should be a component of the case management information system rather than the electronic filing application.
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