

**Case Management System Functional Standards  
For Civil, Criminal, and Traffic Cases in Ohio**

**Prepared by the Standards Subcommittee of the Supreme  
Court of Ohio Advisory Committee on Technology and the  
Courts**

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## Foreword

The courts of Ohio stand upon a precipice overlooking a vast plain of technological innovations. We must find ways to incorporate technological advances for the benefit of our various communities, or flounder in a sea of confusing digital alternatives. Inherent in the makeup of courts is their need to maintain records of proceedings and determinations. The case management responsibilities of courts are both data- and labor-intensive. Nearly every court in the state has begun to use some form of computerized recordkeeping. To this point, advancement has been somewhat incoherent with a plethora of software vendors and platforms used.

If we as judges, administrators, and clerks are going to realize the great potential of modernization, some coordination and cooperation in the establishment of minimum technology-system standards will have to be imposed. The future holds the seamless exchange of court records throughout the state, an efficient self-implementing [docketing](#) system, and electronic [filing](#) of cases, to name a few benefits.

The various courts throughout Ohio's eighty-eight counties have a tradition of independence that has served judicial decision-making through the years. This same independent nature, however, has become a detriment to coordinating modernization.

This document seeks to establish minimum requirements for court computer systems so that individual courts do not have to re-think every minor issue incorporated into their [case management systems](#). The goal of this process is not to micro-manage decision making in each court, but rather to ease the incorporation of technologies into our local judiciaries.

Numerous volunteers from across our court system have spent countless hours crafting this document. Although not every section will apply to every court, we hope that this document offers a paradigm for a [case management system](#) that effectively utilizes emerging technologies.

## Introduction

Superintendence Rule 27 requires the Advisory Committee on Technology and the Courts to “promulgate and publish regulations governing the use of information technology in the courts of Ohio, including but not limited to . . . minimum, uniform standards relating to the creation, distribution, [filing](#), and storage of and access to electronic documents,” and “minimum, uniform standards for information and document systems.” The purpose of these functional standards is to describe the functions that must be performed by a [case management system](#), where the term “civil” includes the general and limited jurisdiction case categories such as tort (e.g., automobile, malpractice, contract, and product liability), contracts, real property rights, equity actions, and small claims, and “criminal” includes felony, and misdemeanor cases.

In Ohio, civil, criminal, and traffic cases are handled at one of two levels. Each of the state's eighty-eight counties has a Court of Common Pleas, which is a court of general jurisdiction for all civil and criminal cases; the Courts of Common Pleas will also handle specialty civil case types such as probate, domestic relations and juvenile matters. Municipal courts (usually covering incorporated areas), and county courts (usually limited to unincorporated areas) are courts of limited jurisdiction, which handle civil cases (not including equity matters) involving not more than a specified dollar-amount, and misdemeanor criminal cases and traffic cases; these courts will also handle preliminary [hearings](#) in felony criminal cases. Although these two court levels typically involve differing types of cases, the case management functions employed at each level are remarkably similar.

The scope of this document is limited to general civil, criminal, and traffic case management in the trial-level courts. This document is not necessarily intended to deal with Probate, Domestic Relations or Juvenile Court case management. Although this document is intended to describe court functions, not the technology used to

perform those functions, certain technical considerations\* are so important to the proper functioning of a [case management system](#) that they have, at times, been incorporated into the functional standards.

The duties of the court, and its clerk, regarding the management of the court's records are prescribed by Rule 26, of the Rules of Superintendence for the Courts of Ohio, as promulgated by the Supreme Court of Ohio. Certain terms are defined in Sup.R. 26(B), and those terms will be used throughout this Standards Document. The Rules of Superintendence also allow for the adoption of local court rules to deal with local circumstances not specifically addressed by the Rules of Superintendence.

Although Sup.R. 26 places the duty of records management upon the court, each court in Ohio has an elected or appointed clerk who is the custodian of the records of the court. Documents comprising the court's records come into the possession of the clerk from a variety of sources.

The function of the [case management system](#) is to:

- manage the flow of documents;
- provide, or make available, relevant and accurate information concerning the status of a matter, and memorize the actions taken by the court in connection with all matters that come before the court.

Although many of these functions will require user action by the clerk, or other court officials, one of the purposes of the system should be to automate, to the fullest extent possible, those functions that are capable of being accomplished without user action so as to reduce repetitive actions and ensure that critical time requirements are satisfied.

This Standards Document attempts to establish standardized requirements for use in systems development, systems evaluation, systems documentation, and contract documents by defining those functions that are essential to the processing of cases in the various trial level courts of the state of Ohio. Although the goal of this Standards Document is to standardize functionality, [data types](#), and other features of a [case management system](#), any such system must also allow for some flexibility to customize certain features to meet local needs. In many instances, the standards will refer to "user defined criteria, or "user selected criteria." In the case of "user defined criteria," the system should allow either a local system administrator or in the case of report or document generation, a system user, to define criteria necessary for the accomplishment of a task. In the case of "user selected criteria," the system should allow a system user to select from a list of data inputs that have been defined either by the system or by a local system administrator.

Although some [subfunctions](#) may not be immediately implemented in some courts, our approach was to include all required [subfunctions](#) with the expectation that the evolution of a local system may eventually require implementation of these additional [subfunctions](#). If this document is being employed to evaluate an existing system, the local court may request a waiver of compliance with an unneeded [subfunction](#) which is prescribed in the Standards Document.

A few words should be dedicated to explaining the shaded right-hand columns bordering each of the subfunctions throughout this document. Originally, the civil, criminal, and traffic case management functions existed as separate documents. The workgroups concluded, however, that any [case management system](#) would likely have multifaceted functionality and would probably be purchased as a unified [case management system](#). Accordingly, the groups found when comparing the documents that most functions were applicable to multiple areas. A "x" in a subfunction column indicates it is applicable to that area. When no "x" is checked the subfunction applies to all three areas. The final column will be used by the Standards Subcommittee to denote whether a particular [case management system](#) complies with a specific [subfunction](#).

## DATABASE FUNCTIONALITY

Virtually all [case management systems](#) will be based upon a database management system (DBMS) that is capable of managing data of any type. The developer/vendor of the [case management system](#) will create, within the DBMS, a custom

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\* As noted in Appendix "A," technical considerations may vary from court to court, and from time to time; however, some technical considerations affect the proper functioning of the case management system. For example, although most software will predefine certain management reports, a properly functioning system must allow appropriately-trained users to, without vendor intervention, tailor those reports to the users' particular needs and develop additional reports to meet specific needs of the users.

hierarchy of interrelated data storage tables to store the data elements for the [case management system](#). The developer/vendor will also create a user [interface](#) (UI) to be the primary method for end users to input data to the case management [database](#) and to extract data from the [database](#). In this scheme, the DBMS is frequently referred to as the “back-end” and the user [interface](#) the “front-end.”

## **Back-End Functionality**

The [database](#) management system must be relational; i.e., data elements stored within the table structure must be related to or associated with other data elements through links or keys. The [database](#) must also allow system administrators to query the data to structure the ways in which the data may be presented to system users. The table structures must be highly normalized; i.e., any data elements must, to the maximum extent possible, be maintained in one location and then used in different ways by the system.

To provide optimum functionality, the back-end DBMS must be capable of receiving data input from, and outputting data to, a variety of sources in a variety of formats. For example, although the [case management systems](#)’ front-end user [interface](#) will be the primary means of input/output control for the DBMS, the system user may wish to allow other software applications within the user’s office to access the data in the back-end [database](#). Additionally, the user may wish to allow data to be put into the back end from secure remote locations or through an electronic-[filing](#) application. The user may also need to export data to other [database](#) applications beyond the user’s office, such as a central data repository or a law-enforcement [database](#). Although these functions may not be currently active in the front-end user [interface](#), the back-end [database](#) must not preclude the implementation of such functions in the future.

Another critical concern is the need for the court’s data to be portable in the event the court migrates to a different [case management system](#). In other words, if a problem with a vendor creates a need to migrate to a new system, or if the court simply decides to implement a new system due to increased or changed needs, the data in the existing [case management system](#) must not be “locked-up” in the existing system.

Therefore, the back-end DBMS employed in a [case management system](#) must comply with the Open Database Connectivity ([ODBC](#)) standard for [database](#) access. The goal of [ODBC](#) is to make it possible to access any data from any application, regardless of which DBMS is handling the data. [ODBC](#) manages this by inserting a middle layer, called a [database](#) driver, between an application and the DBMS. The purpose of this layer is to translate the application's data queries into commands that the DBMS understands. For this process to work, both the application and the DBMS must be [ODBC](#)-compliant -- that is, the application must be capable of issuing [ODBC](#) commands and that the DBMS must be capable of responding to them. However, courts should also be sensitive to the security issues which may be inherent in full-time implementation of the [ODBC](#) service and ensure that appropriate security strategies are employed to protect the integrity of the court’s data.

## **Front-End Functionality**

At the front end, a group of utility-type [subfunctions](#) support input to and output from the back-end [database](#). To provide consistency of information maintained within the [database](#), “free-form data entry” should be minimized to the greatest extent possible. These [subfunctions](#) support code-translation tables, user prompts, workstation usage records, [docket](#) displays, and input templates of standard court documents.

As information is routinely supplemented during the normal operation of the clerical functions associated with case management, it is important that certain data be displayed in a consistent manner. The information that provides identification of the case and other information necessary to expedite the management of the case have frequently been referred to as “Header” information (see section titled “Static Case Information”). While case-identification information remains important, other data elements, which vary from one court to the next, denote specific information about the case that must be taken into account for efficient case management (e.g., last scheduled event; next scheduled event; judge; case status; custodial status of the defendant, pretrial supervision restrictions). A more descriptive name for groupings of case information displayed on the screen is “View,” with the “View” containing more than just case-identification information. Each case management function, as described herein, may have one or more [views](#) associated with the function.

The primary “View” for any function should provide the pertinent information in a customizable format and should link to associated “[Views](#)” that provide additional detail information as needed for that function or for other related functions. Examples of “[Views](#)” might include:

- A “Synopsis View” that might give a snapshot of relevant information about the case as specified by the clerk;
- A “History View” that may include information about this case and other cases in which the parties to the action are involved;

- A “[Related Cases](#) View” that may include information from the “History View” in addition to any related civil, [traffic](#), or criminal cases; and
- A “Defendant History View” that might include available criminal history information from other jurisdictions and agencies.

Of additional importance is that at least the primary “View” for any given function be accessible from any other view within the system and that mandatory data entry on any view be limited to essential information. Some courts may have no current use for a view but may wish to utilize it in the future.

## Functional-Standards Approach

[Case management systems](#) track the progress of cases through a court and produce supporting documents and reports. The basic unit of information that these systems use covers the persons involved in the case—plaintiffs, defendants, judges, other judicial officers, attorneys, and courtroom personnel. These persons submit documents to the court, participate in [court events](#) precipitated by those documents, and receive documents produced by the court as the case moves to [disposition](#). Most events occur in accordance with schedules established by the court. As events are completed, information is maintained on the results of those events. People and events will, therefore, also have location and time characteristics, which are essential to managing the events, and documents, associated with a case.

Each case has a financial element. Civil cases usually involve a [judgment](#), which, though payable to a case [participant](#), may be collected through court processes. On the other hand, criminal cases typically involve fines payable through the court’s clerk to an appropriate governmental unit. Civil, criminal, and traffic cases will also usually involve charges (referred to as court costs) for services provided by the court, the clerk of the court, a sheriff or bailiff, or other court-related personnel. While the allocation of financial functions between [case management systems](#) and financial systems varies, most [case management systems](#) maintain at least some financial information. Finally, these systems must produce management information and statistics about the case management and financial activities.

This Standards Document addresses these functions in detail, summarizes the content of the [data types](#) into which the data elements will 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 regarding events as they happen and maintenance of this information as a record of the following completed case activities:

- Case initiation and [indexing](#) - initially entering and [indexing](#) newly filed, transferred, reopened, or remanded, counter- or cross-claimed cases and other new cases and the ongoing [indexing](#) activity.
- [Docketing](#) and related recordkeeping - initiating and maintaining the [docket](#) 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](#) - disposing a case.
- Execution - executing a [judgment](#).
- Case closing - closing a case because all provisions of the court order have been satisfied.



## Future Events

These functions address scheduled and calendared events that will happen at a future time. These events include the [scheduling](#) of administrative activities that are not part of the official court record and the calendaring of activities that together with the results of these activities, become part of the official court record.

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

## Financial

These functions address accounting activities, including general, front-office, cashiering, back office, and general ledger functions.

## Document and Report Generation

These functions 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, case flow, workload, and other reports.

## System and Utility

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

- File and property management - creating, managing, tracking, archiving, and disposing of case records and receiving, tracking, and returning or destroying exhibits and other property.
- Security - ensuring security, privacy, and integrity of [case management systems](#) and their data.

## Data Groups

[Case management systems](#) are typically either case or person oriented, meaning 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. Most [case management systems](#) are case oriented; i.e., most data elements are ultimately linked to a case or group of cases.

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

Each data group consists of one or more [data types](#), and for each data type, enough data elements are given to illustrate the data type's 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. System administrators should have the flexibility to define new [data types](#), or data elements, to respond to changing reporting and record-keeping, requirements.

### Case

This data group consists of a single data type—the [case data type](#), which includes various case categories (e.g., offense, tort, contracts, real property rights, small claims) within the civil, criminal and traffic case type. Information maintained on each case includes data such as case number, type, status, and style; court; initial [filing](#) information; and cross references to [party](#), judge, attorney, and other data.

### Person

This data group consists of [data types](#) that contain information on litigants, judges, attorneys, and other individual and organizational [participants](#) in a case.

- **Party**-data on each [party](#) (e.g. plaintiff or defendant) in a court proceeding, including identifier; name; type of [party](#); address(es); personal information; status; aliases; and cross references to case, attorney, financial information, and other information.

- **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 and parties.
- **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, the term “judge” includes judges and other judicial officers such as alternative dispute resolution providers [e.g., mediators, arbitrators, magistrates or referees]).
- **Participant**-data on each individual or organization who is a nonparty *participant* (e.g., court officer, witness, law enforcement agency) in a court proceeding, including name, type of *participant*, address(es), status, and cross references to case, attorney, financial information, company, and other information.
- **Non-court agencies**-data on agencies external to the courts (e.g., process service, collection, child support) that may participate in a case, including name and location with cross references to case number, *party*, and other information.

## Event

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

- **Filings**-data on each *pleading* and other documents (e.g., complaint, indictment, 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 information, document generation, and other information.
- **Disposition**-data on each *disposed* civil case (i.e., case for which a *judgment*, which is any type of *disposition* resulting from a court decision, has been rendered) including *party*; nature of *disposition*; date of *disposition*; *judgment* and payment details if applicable; other information in minutes; and cross references to case, *party*, *hearing*, financial information, judge, minute, and other information.
- **Post trial**-data on any type of post-*disposition* activity (e.g., execution of *judgment*) including date of activity, judge, and cross references to case, *disposition*, financial information, and other information.
- **Other events and entities**-appropriate information on each event and entity (e.g., parcels in real-property-rights cases) not covered by other *data types*.
- **Scheduled events**-data on each scheduled event (e.g., *hearing* dates, motion to suppress, 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), 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* is heard by a judge or administrative body, including *court events* such as trials and motion *hearings*; calendar calls; *conferences* aimed at pre-trial settlement; and quasi-judicial events involving *ADR*, such as mediation and arbitration, including type, scheduled and actual dates and times, judge, location (e.g., courtroom type and its location); attorneys, results, and cross-references to case, *party*, and other information.

## Financial

This data 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 and restitution 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 with cross references to case, *party*, *disposition*, and other activities.

## Document and Report Generation

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

- **Summonses and other served processes**-data on each served process (i.e., documents served by a law-enforcement officer or other authorized process server with return of service such as civil or criminal warrants and summonses) 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 a person or sent by mail with proof or certificate of service such as notices), including type of document, recipient, proof of certificate of service, information on scheduled event, status and status date, and cross

references to case, [party](#), and other information. This includes the forms BMV2269 and BMV2270 regarding immobilization/forfeiture which are completed in court.

- **Management and statistical information**—detail (e.g., case-by-case) and summary (e.g., overall for all cases in a given category) information with cross-references to all of the above [data types](#).

### System and Utility

This data group consists of [data types](#) that contain information on a variety of functions ancillary to case management, such as file and property management and security.

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

## Organization of Functional Standards

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

- Case initiation and [indexing](#),
- [Docketing](#) and related record-keeping,
- [Scheduling](#),
- Document generation and processing,
- Calendaring,
- [Hearings](#),
- [Disposition](#),
- Post [judgment/conviction](#),
- Case-close,
- Accounting functions (including general, receipting, bookkeeping, and general ledger),
- File, document, and property management,
- Criminal and traffic support,
- Security and data integrity, 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 case management functions listed in the previous section. For each function, the section begins with an overall description of 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. 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.

Throughout the discussion of functional standards, references are made to possible code-translation tables, which would contain user-supplied codes and their translations (e.g., case type, case category [tort, contracts, real property rights, crime], [party](#) type, and attorney). A code-translation table should be customized for use by a local court. Because of the specific nature of a code-translation table, this document refers to general categories of data that would have relevance to all courts.

## Multifunction Capabilities and Integration

Some standards represent capabilities that apply to multiple functions or call for [integration](#) among several functions.

**Multifunction Capabilities** -- Some capabilities given as standards in this Standards 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 management system](#).

**Electronic Information Exchange.** Where feasible, 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., garnishments and court orders to sheriff, statistics to court administrative office); (2) private organizations (e.g., [judgment](#) information to credit-reporting companies and collection agencies); and (3) other users (e.g., attorneys, litigants, researchers). In order to facilitate 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 conventions), and the [case management system](#) must be compatible with these procedures. Other than general information exchange, the standards in this document contain references to specific types of electronic-information exchange, including electronic [filing](#), remote data entry, document distribution, fee payment, and funds transfer. The standards for each function also contain specific applications of electronic-information exchange which may be employed where feasible.

- **Electronic filing**—The system must have the capability to receive the 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). Where authorized by the Court, users in the remote locations prepare electronic input documents according to the court’s requirements and 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 document into the [case management system](#). Standards for electronic [filing](#) functions will be prescribed by a separate standards document.
- Electronic [filing](#) also is addressed in the Case Initiation, Docketing and Related Record Keeping, and Document Generation and Processing functions; 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.
- **Electronic-document distribution**—The system must be capable of allowing the distribution of electronic court documents (e.g., orders, warrants, [judgment](#) forms, electronic acceptance notices following electronic [pleadings](#), and other types of notices), [docket](#) summaries, calendars, and detailed and summary reports using the Internet or intranet, facsimile transmissions, e-mail, and other technologies (using “push” as well as “pull” technology).<sup>†</sup> 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 would need to establish procedures for electronic document distribution analogous to those noted above in electronic [filing](#). In addition to distribution outside the court, some of these documents (e.g., orders, notices, [judgment](#) forms) may be sent to the clerk’s office to be filed as described above. Electronic document distribution also is addressed in the Document Generation and Processing, Calendaring, and Disposition functions.
- **Electronic fee payment and funds transfer**—The system must be capable of processing various methods of electronic-fee payment and funds transfer between courts and other entities. Types of fee payments (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, funds transfer could occur between courts (e.g., appellate court for appealed cases), between courts and other governmental units (e.g., according to fee distribution formula), and between courts and banks (e.g., for deposits into court accounts). All transfers 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 - Front

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<sup>†</sup> “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

Counter and Cashiering and the Accounting - Back Office functions. Courts need to be aware that as of 2007, any extra charges courts accrue that pertain to electronic fee payments and funds transfers cannot be recouped until, and if, legislative changes allow for it, unless this is done/charged outside of the case.

- **General electronic-information exchange--Case management systems** must exchange other types of information with the systems of various entities. The system must be able to import and export information in one or more standard data formats. The interfaces associated with statistical reporting and judgments (i.e., the general term for any disposition that results from a court decision) exemplify this information exchange and are described in the Hearings, Disposition, and Management and Statistical Reports functions.

**Document Management--**This function 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 management, word processing) by diskette or electronically. With electronic filing and document distribution, at least rudimentary document-management capabilities must exist in either the case management system or a separate document management system that can interface with the case management system. The Document Generation and Processing, File, Document and Property Management, and Security functions 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 Standards Document, 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 management 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 must be integrated are:

- Case-initiation function interacts with front counter and cashiering function to initiate the case- and record-filing fees in single procedure;
- Docketing function supplies basic case information to document generation, calendaring, and other functions that produce documents (e.g., notices, calendars, orders) that contain this information;
  - Docketing function interacts with other functions in handling cases assigned special status;
  - Scheduling function operates in conjunction with docketing, document generation, calendaring, and other functions;
  - Scheduling and calendaring functions transfer easily and quickly to and from other parts of the system when creating calendars;
  - Appropriate functions display a judge'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 handles consolidations and bifurcations in conjunction with case initiation, docketing, and other functions;
  - Disposition function operates in conjunction with docketing, case closing, and other functions;
  - Execution function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions;
  - Case-closing function operates in conjunction with docketing, case 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);
  - Accounting function supplies fee, payment, account, and other information to case initiation, docketing, and other functions;
  - File, document, and property-management function interacts with docketing, scheduling, and other functions to ensure that data validation checks are satisfied (e.g., events occur in proper sequence); and
- Vehicle immobilization functions. This should include the ability to enter vehicle information. This would consist of whether the vehicle is a passenger or commercial or cycle or over 26000 or bus or hazardous material

carrier. (This should be made a required field for the entering agencies). Also, to integrate vehicle information as to plate/vin/owner should be included as this is required for immobilization/forfeiture."

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 are accomplished at the same time in small-claims and many other limited-jurisdiction civil cases; and [disposition](#) and case closing often are the same function in many jurisdictions. This Standards Document covers the functions separately to accommodate those situations in which they are distinct case management steps.

[Case management 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 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 defendant, [hearing](#) scheduled) and produce documents (e.g., notices, calendars) associated with the scheduled events. The standards in the remainder of this document prescribe a few functions of these event-driven systems that, unless overridden by the user, automatically perform specific tasks within individual functions based on the completion or [scheduling](#) of certain events. Examples of this partial functionality are (1) updates to case 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 Record Keeping Function, Scheduling Function, Document Generation and Processing Function, Hearings Function, Accounting-Front-Counter and Cashiering Function, and Accounting-Back-Office Function.

The case management functions should interact with the functions of other types of [case management systems](#) (e.g. probate) in the same court (e.g., to transfer information on parties) with minimal manual intervention or re-keying of data unless the user wishes to intervene. Many of the financial and non case-administration functions of these disparate systems should be standardized between different court divisions, or case types so as to allow the maximum interchange of information and so as to reduce redundancy (other than as is necessary to protect data integrity) to the maximum extent possible.

## 1. Case Initiation and Indexing Function

**Description** -- The activities that initiate a case and maintain its [docket](#) and [index](#), including acceptance and processing of the initial [filing](#), associated record keeping and reporting, and creation and maintenance of an [index](#) for the case.

**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 [case management system](#) so that information and [filings](#) (e.g., complaints, charging documents, petitions) regarding the case can be [docketed](#), recorded, retained, retrieved, exported to a statewide central repository in an appropriate format, 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 [docketing](#) and [indexing](#), the most basic case-initiation activities are to give the case an identifier, a description, and a case file. The essential tasks associated with the Case Initiation Subfunction are described as follows:

Subfunction		Criminal	Civil	Traffic	Comply
1.1.1	Verify case is filed in the proper jurisdiction or retains jurisdiction from an external source.				
1.1.2	<u>Generate</u> and assign a case number for each case, using locally and state defined format following the Ohio Rules of Superintendence relative to Unique Case Numbering.				
1.1.3	Capture or enter <u>court identifiers</u> (e.g., <i>common pleas</i> court) and <u>court location identifiers</u> (e.g., county court number).				
1.1.4	Enter each <u>charge</u> and count based on charging documents.	x		x	
1.1.5	Capture or enter affected person or entity information as available and establish relationships among any affected people or entities (see Criminal Support Function) of other identifiers as available (e.g., of prosecutor, defense attorney, corrections, law enforcement) and establish relationships with <u>participants</u> . (See Criminal and Traffic Support Functions.)	x			
1.1.6	Permit access to information through multiple search criteria (e.g. citation number, case number, name, assigned judge or magistrate, attorney, <u>hearing</u> date, <u>filing</u> date, violation date, case type, address, date of birth, drivers license number, and social security number.)				
1.1.7	Enter and categorize each claim or <u>charge</u> in accordance with the Rules of Superintendence and Supreme Court reporting requirements and other user-defined tracking criteria. (See Accounting and Reporting Functions.)				
1.1.7.1	Capture the numerical designation of the applicable statute or ordinance.	x		x	
1.1.8	Capture or identify lead <u>charge</u> , if appropriate, among group of <u>charges</u> for a given defendant (e.g., the most serious of <u>charges</u> ).	x		x	
1.1.9	Ability to use the mandatory federal information processing standards (fips) for geographic location of offense., as found at <a href="http://www.itl.nist.gov/fipspubs/55new/nav-top-fr.htm">http://www.itl.nist.gov/fipspubs/55new/nav-top-fr.htm</a> .				
1.1.10	Enter arrest, <u>custody</u> , and bail information for each <u>party</u> or acquire this information from criminal justice agency. (See Criminal and Traffic Support Functions.)				
1.1.11	<u>Generate</u> locally-defined case caption (i.e., short phrase that identifies case and includes prosecution and defendant name) from individual names and other information from the case management and document-management system.				
1.1.12	Enter case status or <u>any affected person or entity</u> (e.g., new <u>filing</u> , case transferred from another jurisdiction, previously <u>closed</u> case that has been reopened, or de novo appeal).				
1.1.13	Support electronic <u>filing</u> and <u>ODBC</u> compliance (e.g., complaint, indictment, information directly from prosecutors' offices) and move designated data (e.g., tagged basic case information) from electronic document to <u>case management system</u> (see Multi-Function Capabilities and Integration, and Criminal Support and Security and Data Integrity functions regarding <u>filings</u> and verification of electronically-entered data).				
1.1.14	<u>Generate</u> acknowledgement for appropriate attorneys and other <u>participants</u> that the case <u>filing</u> has been received and accepted, and give them the assigned case number (notice, including electronic acknowledgment, would apply primarily when the case is transferred from another jurisdiction or filed electronically). (See Document Generation and Processing Function.)				
1.1.15	Ability for user management team to define statute/ordinance tables (e.g. offense	x		x	

Subfunction	Criminal	Civil	Traffic	Comply
code, descriptive text, bail amount, model, driver violation code, effective and expiration date, severities) as well as <u>NCIC</u> (national crime information center) offense codes and nibrs (national incident based reporting system) codes. <u>NCIC</u> and NIBRS are not consistent, so the local jurisdiction may need to select which code to use.				
<b>1.1.16</b> Support <u>differential case management</u> (i.e., different categories of cases are processed differently such as in time-sensitive <u>filings</u> , cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local <u>differential case management</u> requirements and time standards into code translation tables). PLEASE NOTE: <u>differential case management</u> may entail highly-complex computer programming because it may permit the user to define complete case management profiles (e.g., containing processing rules and schedules for each event) for each case type and case category).				
<b>1.1.17</b> Create groups of <u>related cases</u> , defendant, and <u>participants</u> (e.g., several incidents filed against same defendant, multiple defendants involved in same incident) from single or multiple <u>filings</u> such that initial and subsequent entries can be applied to each case, defendant, or <u>participant</u> in group (See Docketing and Related Accounting and Reporting Function.)				
<b>1.1.18</b> Assign cases to <u>court type</u> , judge, location, department, vehicle owners and courtroom or other appropriate entity based on established relationships. (See Scheduling Function.)				
<b>1.1.19</b> Conduct locally defined validation checking of data elements supplied for processing..			x	
<b>1.1.20</b> Ability to edit case information and track changes during case initiation when it is entered in error (with appropriate security).				
<b>1.1.21</b> Provide the ability to have user-defined types of cases (e.g. traffic, parking, criminal traffic, civil, and other).				
<b>1.1.22</b> Ability to enter all <u>charges</u> (initial and modified) filed at case initiation and subsequently.	x		x	
<b>1.1.23</b> Prompt user when cases, parties, or <u>participants</u> already exist that relate to new case (e.g., parties involved in other cases, aliases identified by pretrial services unit), followed by user-initiated search for duplicate parties, <u>participants</u> , prosecutors and defense attorneys that user can transfer into current case if appropriate to avoid data entry (e.g., using <u>participant</u> names, addresses, and other identifiers noted above). (See Criminal and Traffic Support Functions.)				
<b>1.1.24</b> Create <u>docket</u> with case-initiation information, including information on initial <u>filing</u> noted above and basic case information (e.g., case type, case category (e.g. traffic, misdemeanor or felony), case status, case caption, type of <u>participant</u> (e.g. defense attorney, prosecutor, probation officer, or witness), vehicle seizure status (and if the vehicle was seized the seizing agency and impound location) and related events). (See Docketing and Related Accounting and Reporting Function.)				
<b>1.1.25</b> Create <u>docket</u> information for defendant and <u>participants</u> as individuals (e.g., Ann Smith) or organizations (e.g., Acme Investigative Service) with primary contact individual if organization (See Docketing and Related Accounting and Reporting Function.)				
<b>1.1.26</b> Allow user to designate the nature of the relationship between cases (e.g. codefendants, multiple cases against same defendant.)				



Subfunction	Criminal	Civil	Traffic	Comply
<b>1.1.27</b> <i>Generate</i> case caption (i.e., as defined in Ohio Civil rule 10(A)).		x		
<b>1.1.28</b> <i>Generate</i> and assign separate <i>party</i> identifier (e.g., <i>party</i> code or number) for each plaintiff and defendant (system should have the capability to ask user whether to display a list of other cases (sorted by case status) involving the same <i>party</i> . If the list is displayed, user will be prompted to create relationships with <i>related cases</i> and to override automatic assignment of judge if related case was previously dismissed).				
<b>1.1.29</b> Conduct review process to flag for ‘court review’ because of an absence in a required field. (e.g., <i>attorney registration number, vehicle seizure, other information required by law to be gathered by the court</i> ).				
<b>1.1.30</b> Enter reason for initiation (e.g., new <i>filing</i> , transferred from another jurisdiction, reopened or remanded case, counter or cross claims, <i>de novo</i> appeal according to local procedures).				
<b>1.1.31</b> Enter locally used <i>court identifiers</i> and <i>court location identifiers</i> (e.g., county number).				
<b>1.1.32</b> Enter other identifiers (e.g., parcels in real-property-rights cases) and establish relationships with parties.				
<b>1.1.33</b> Enter <i>docket</i> case initiation information including information, on initial <i>filing</i> noted above and basic case information (e.g., case type, case category, case status, case title or style, parties, attorneys, and <i>docket</i> -related events). (See also Docketing and Related Recordkeeping Function.)				
<b>1.1.34</b> Enter in <i>docket</i> information for parties and <i>participants</i> as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person if organization (see also Docketing and Related Record-keeping Function). Note: At a minimum, parties shall be identified by first and last name, middle initial, mailing address, suffixes, gender and some other form of identifier yet to be determined; i.e., date of birth or Social Security Number. Software must be capable of collecting a number of identifiers that can be used in any combination to pull data.				
<b>1.1.35</b> Support electronic <i>filing</i> (e.g., directly from attorneys’ offices) in accordance with state minimum standards for electronic <i>filing</i> and move designated data (e.g., tagged basic case information) from electronic document to <i>case management system</i> (see also Multifunction Capabilities and Integration and Security Function regarding verification of electronically entered data).				
<b>1.1.36</b> <i>Generate</i> receipt for or notify appropriate parties that case <i>filing</i> received and accepted, and give them assigned case number (notice, including electronic acknowledgment. This <i>subfunction</i> would apply primarily when case transferred from another jurisdiction or filed electronically) (See also Document Generation and Processing Function.)				
<b>1.1.37</b> Initiate case with minimal information to be updated later (e.g. allows cases initiated with cash bail, forfeiture information and bonds) and then flag these incomplete cases and track them.	x		x	
<b>1.1.38</b> Flag if a time-sensitive <i>filing</i> that requires rapid action (e.g., restraining order, stay request, ex-parte <i>filing</i> , bankruptcy <i>filings</i> ). (See also Scheduling Function.)				
<b>1.1.39</b> Require creation of associations between cases and case categories and <i>court types</i> (e.g., small claims), locations, and departments (e.g., for large courts with multiple locations).				
<b>1.1.40</b> Prompt user when parties already exist that relate to new case, followed by user-initiated search for duplicate parties and attorneys that user can transfer into current case if appropriate to avoid unnecessary data entry (e.g., using <i>party</i> names, addresses, and other identifiers noted above).				
<b>1.1.41</b> If the information is supplied from RCIC to the county and indicates that the violation occurred in a commercial motor vehicle, and/or the defendant holds a commercial driver’s license, issue an alert that federal guidelines apply to the case. In this situation the system should “look-up” the federal regulations or state statutes			x	

Subfunction	Criminal	Civil	Traffic	Comply
regarding commercial driver offenses and provide those to the judge if requested by the judge (the federal regulations for the commercial driver's license program website link is <a href="http://www.fmcsa.dot.gov/registration-licensing/cdl/cdl.htm">http://www.fmcsa.dot.gov/registration-licensing/cdl/cdl.htm</a> ).				
<b>1.1.42</b> If the information is supplied to the county the system should scan the vehicle description for words that identify a commercial motor vehicle (CMV) (e.g. Peterbilt) to make sure the CMV box is marked to identify the citation as a CMV violation. If the vehicle is a cmv and the CMV box is not marked then prompt the user to verify the accuracy of the CMV box.			x	

## 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 queries of the [database](#) by searching selected items (or key fields). A user can make increasingly specific queries 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, role in the case, and whether the [party](#) has an attorney; case type; 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 query and report generation capabilities (see Appendix A) for more varied displays and reports.

System designers must decide how the [index](#) will exist within the [case management 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](#). Essential tasks associated with the Indexing Subfunction are described as follows:

Subfunction	Criminal	Civil	Traffic	Comply
<b>1.2.1</b> Create and maintain locally defined <a href="#">index</a> that contains basic <a href="#">index</a> information (e.g., each <a href="#">party</a> name, role in case, and attorney if any; case type; case number; date filed; and cross reference to other parties in case [e.g., other <a href="#">party</a> named in case title or style]).				
<b>1.2.2</b> Permit <a href="#">database</a> look-up by a choice of key fields (e.g., <a href="#">party</a> name, <a href="#">party</a> role, case filed date range) and, if record found, permit retrieval and display of <a href="#">index/database</a> information, and permit easy <a href="#">interfaces</a> with other parts of <a href="#">case management system</a> as noted below.				
<b>1.2.3</b> Handle look-up and retrieval <a href="#">subfunctions</a> based upon available data elements, such as <a href="#">party</a> name, other <a href="#">party</a> identifier, <a href="#">party</a> role, case type, attorney name/identifier, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up—and then obtaining <a href="#">index</a> 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 key fields, system returns <a href="#">index</a> information on cases involving that Smith).				
<b>1.2.4</b> Allow users easy <a href="#">interface</a> with other parts of the system, such as <a href="#">docketing</a> , <a href="#">scheduling</a> ,				

	calendar, and accounting for potentially all related case and financial information (i.e., on specific case, its parties, its <a href="#">participants</a> , its attorneys and on cases related to specific case and to its parties, <a href="#">participants</a> , 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]).				
1.2.5	Automatically update <a href="#">docket</a> (e.g. based on occurrence of specific case events, motions filed, <a href="#">dispositions</a> decided).				
1.2.6	Permit name search on various combinations of a person's, or <a href="#">party's</a> , name (e.g., full name, last name only, part of first or last name, other options noted in Inquiry Section [Appendix A]).				
1.2.7	If attorneys included in <a href="#">index</a> , allow multiple attorneys and attorney registration numbers.				
1.2.8	Include <a href="#">index</a> information in <a href="#">index</a> record as noted above or make this information easily accessible (e.g., in a manner that requires no or minimal additional user actions).				
1.2.9	Permit updating of <a href="#">index</a> based on occurrence of specific case events (e.g., new/substituted parties, new attorneys, etc.).				
1.2.10	Extract, print, or otherwise produce (in accordance with Ohio Public Records Law), with appropriate security restrictions, <a href="#">index</a> information arranged according to various components of <a href="#">index</a> (e.g., <a href="#">party</a> , case number, case status). (See, also, Security Function.)				
1.2.11	Retrieve basic <a href="#">index</a> information on all cases associated with specific <a href="#">participant</a> .				
1.2.12	Accommodate aliases, tradenames, fictitious names, etc., in conjunction with <a href="#">indexing</a> and processing of <a href="#">party</a> names as appropriate.				
1.2.13	Flag whether a <a href="#">party</a> has been identified as a vexatious litigator.	X	X		
1.2.14	Index car seizure to determine immobilization/forfeiture.			X	

## 2. Docketing and Related Recordkeeping Function

**Description** -- The types of activities which are normally recorded in the [docket](#) may include the [filing](#) of a document by an attorney, a litigant or a nonparty (e.g., complaint, indictment, answer or other responsive [pleading](#), counterclaim, motion, [entry](#), notice of appeal, etc.), the [scheduling](#) of a [hearing](#), or other proceeding, in response to the [filing](#) of a document, or the issuance of an order/[entry](#) documenting action by the court. This Standards Document adheres to the following three basic characteristics of [docketing](#):

- The [docket](#) is a record of concluded actions. The required contents of the [docket](#) are defined by the Rules of Superintendence (Sup.R. 26). This Standards 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:

- Record in a [docket](#) 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 information on notices, summons, warrants, subpoenas and other documents [generated](#) by the system; dates and outcomes of [hearings](#); and post [disposition](#) activities) based on the documents filed and financial transactions during the life of a case;
- Maintain the [docket](#);
- Maintain records used in the [docketing](#) function; and
- Produce related outputs.

The [docket](#), which is arranged by [filing](#) date, is the primary chronological record of documents that have been filed and court orders or [judgments](#) that arise from calendared matters during the life of a case.

Since information is entered in the *docket* as *court events* are completed, the *docketing* function differs from the *scheduling* and calendaring functions (covered later in this document) in that scheduled events and calendared matters are to be acted on in the future. For example, the clerk would enter a scheduled event on a future calendar but not in a *docket*. If the clerk places a matter on a judge’s calendar as a result of the activities associated with the scheduled event, the clerk *dockets* the fact that a *hearing* or other review has been calendared. (Recall from the data-type definitions that the term “judge” includes judges and magistrates.)

From a computer system perspective, the *docket* is a logical entity and not a physical repository of information as in manual case processing. Record keeping related to the *docket* 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 outputs 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.

**Subfunctions** -- Within the Docketing and Related Record Keeping Function, the *subfunctions* are grouped into static case information, information relationships, and input/output management.

## 2.1 Static Case Information

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 type, case category, case status, case title or style, parties, attorneys, and *docket*-related events. The *docket* also contains basic information concerning case *participants* and other involved persons or entities, such as name, address, role, claims, *charges*, aliases, prior arrests and *convictions*, *custody* status, and personal information. This case and *participant*-identification information is maintained, and additional information is recorded -- primarily relating to events in the flow of the case (during the life of the case). As the case progresses and events are completed, summary information about each event (e.g., *filings*, *hearing* results, 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. Event entries must not be modified or deleted; error corrections are made through the addition of correcting entries to the *docket*, adhering to local permissions for screen and data-field access. Also, both the error *entry* and the correction *entry* should be cross-referenced to each other. This procedure will ensure system integrity and a verifiable trail of modifications.

Subfunction		Criminal	Civil	Traffic	Comply
2.1.1	Ability to provide audit trail for all activity contained in each case.				
2.1.2	Maintain case information originally entered during case initiation in <i>docket</i> including information on initial <i>filing</i> and basic case information (see also Case Initiation and Indexing Function) and information for case <i>participants</i> .				
2.1.3	Enter and maintain information (e.g., document title, <i>filing party</i> , fees received, Auditor’s real property permanent parcels number) with audit trail and dates on <i>filings</i> and other completed events not previously in system (e.g., <i>party</i> added or deleted, motion filed, answer or response filed, or <i>hearing</i> date set).				
2.1.4	Create <i>docket entry</i> and update case information based on occurrence of specific events that can be completely or partially transferred from another function, such as warrants and other served documents (e.g., subpoenas) issued in accordance with state and local statutes, rules or procedures; <i>hearing</i> scheduled (e.g., motion granted or denied; see also Calendaring Function); <i>hearing</i> results (e.g., summary <i>judgment</i> ; see also Hearings Function); <i>dispositions</i> (e.g., <i>disposition</i> date, type of <i>disposition</i> , information on <i>judgment</i> ; see also Disposition Function and Accounting - Back Office Function); and requests for enforcement of <i>judgment</i> (see also Execution Function).				

Subfunction		Criminal	Civil	Traffic	Comply
2.1.5	Create <a href="#">docket entry</a> 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.)				
2.1.6	Permit user to identify and retrieve electronic, or imaged, documents by identifying them on each detailed list of <a href="#">docket</a> events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically or imaged) and easy display or printout of electronic document (e.g., motion that was filed).				
2.1.7	Allow single event to create multiple <a href="#">docket entries</a> (e.g., event is <a href="#">hearing</a> ; <a href="#">docket entries</a> are attorney withdrawal, <a href="#">hearing</a> results).				
2.1.8	Information system should allow user to enter, maintain, and display/print information about documents or information to which access is restricted (e.g., sealed case or document, social security numbers); system should indicate the existence of such document or information even though access is restricted. (See, also, Case Initiation and Indexing Function and Security Function.)				
2.1.9	Maintain case information as official court record in accordance with state and local statutes or rules.				

## 2.2 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.

Subfunction		Criminal	Civil	Traffic	Comply
2.2.1	Allow the user management team to enter and maintain codes for data tables (e.g. <a href="#">charge</a> codes and descriptions).	x		x	
2.2.2	Maintain available information on original, and current, parties, <a href="#">participants</a> , and attorneys in a case such as updated addresses, voice and facsimile telephone numbers, e-mail addresses, <a href="#">related cases</a> involving the same <a href="#">party</a> , <a href="#">participant</a> or attorney.				
2.2.3	Maintain multiple current and historical addresses, with beginning and ending dates, for each <a href="#">party</a> , <a href="#">participant</a> , and attorney.				
2.2.4	Coordinate with Case Initiation and Indexing Function to enter and track all <a href="#">charges</a> at case initiation and as modified subsequently and to link <a href="#">charges</a> to proper defendant and incident. (See Criminal and Traffic Support Functions, and link <a href="#">charges</a> to proper defendant and initiate incident reporting to Ohio <a href="#">BCI&amp;I</a> .)	x			
2.2.5	Coordinate with <a href="#">Criminal and Traffic Support Functions</a> to record bail and bond events in <a href="#">docket</a> .	x			
2.2.6	Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.				
2.2.7	Maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges, attorneys, and parties (e.g., designate lead attorney, transfer group of cases or parties from one judge or <a href="#">hearing</a> date to another in single transaction). See, also, Case Initiation and Indexing Function.				
2.2.8	Permit, with proper authorization, deletion of specific <a href="#">docket entries</a> and all related data (e.g., deletion of <a href="#">pleading</a> and fee information causes related <a href="#">docket</a> and accounting information to be deleted). Any deleted entries shall be archived.				

Subfunction		Criminal	Civil	Traffic	Comply
2.2.9	Apply specific information to multiple <a href="#">dockets</a> , parts of <a href="#">dockets</a> , or groups of cases as if they were a single <a href="#">docket</a> or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith’s courtroom causes all records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division, allow a single case or multiple cases to be modified when a prosecutor or defense attorney changes).				
2.2.10	Link and display information on <a href="#">docket entries</a> for events related to current <a href="#">docket entry</a> (e.g., when defendant files motion that opposes previously filed motion of plaintiff, defendant’s motion would be linked to original plaintiff’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).				

### 2.3 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 input templates of standard court documents.

Subfunction		Criminal	Civil	Traffic	Comply
2.3.1	Provide user-defined “drop down boxes” (e.g. list of <a href="#">charge</a> codes and descriptions that apply to data entry situation that currently confronts user).	x		x	
2.3.2	The system shall allow the user to establish, maintain, and properly use code-translation tables to define different activities or functions (see, also, List of Code Translation Tables).			x	
2.3.3	Ability to display and/or print information on all, part or summaries (i.e. “ <a href="#">views</a> ”) of <a href="#">docket(s)</a> (e.g. events in docket, some <a href="#">participants</a> , <a href="#">charges</a> for specific defendant, summaries of <a href="#">judgment</a> information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order.	x		x	
2.3.4	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).				
2.3.5	Create, maintain, and produce audit trail identifying persons who made <a href="#">docket</a> and other entries and when they made entries (highlighting when <a href="#">filing</a> occurred if <a href="#">filing</a> and <a href="#">entry</a> dates are different). (See, also, Security Function and Accounting-Back-Office Function.) Audit trails should track the individual making, modifying, the <a href="#">entry</a> .				
2.3.6	Print or display all, part, or summaries (i.e. “ <a href="#">Views</a> ”) of <a href="#">docket(s)</a> for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reports Function).				
2.3.7	Support electronic <a href="#">filing</a> from remote locations (e.g., directly from attorneys’ offices) of <a href="#">pleadings</a> and other documents (see, also, Multifunction Capabilities and Integration and Case Initiation and Indexing Function; see also Electronic Filing Standards).				
2.3.8	Provide report of all <a href="#">charge</a> history (i.e. through life of case) for a given defendant	x		x	

Subfunction	Criminal	Civil	Traffic	Comply
and case.				
<b>2.3.9</b> Maintain file of court-defined input templates available to system end-users to create input documents and, as necessary, associated cover sheets (for use when <a href="#">pleadings</a> are filed electronically) and relate each template to <a href="#">court event</a> (s). (See, also, Multifunction Capabilities and Integration and Document Generation and Processing Function.)				
<b>2.3.10</b> Support word processing and forms generation to be made available to system end-users to create input documents and relate each form to <a href="#">court event</a> (s) (e.g., case initiation, case participation changes, <a href="#">disposition entry</a> ). (See Multi-Function Capabilities and Integration and Document Generation and Processing and Criminal and Traffic Support functions.)				
<b>2.3.11</b> Create, maintain, and deploy a file of template forms that can be displayed and made available to system end-users to create input documents and, as necessary, associated cover sheets (for use when <a href="#">pleadings</a> are filed electronically) and relate each template to <a href="#">court event</a> (s) (e.g., Case Initiation, case-participation changes). (See Multi-Function Capabilities and Integration, Document Generation and Processing, and Criminal and Traffic Support functions.)				
<b>2.3.12</b> Provide instructions (e.g., tutorials) and automatic edits for using input templates.				
<b>2.3.13</b> Maintain and produce history of changes in judge assignment, prosecutor, and attorney(s) for specific case or <a href="#">party</a> with reasons for change.				
<b>2.3.14</b> Perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data (e.g., attempt to schedule <a href="#">hearing</a> for cases with open warrants and other served documents).				
<b>2.3.15</b> Coordinate with <a href="#">Criminal and Traffic Support Functions</a> to permit system end-user to obtain audit trail of all <a href="#">charges</a> (i.e., from arrest through life of case) for a given defendant and case.	x			
<b>2.3.16</b> Have the ability to update/edit vehicle information for immobilization/forfeitures.			x	

### 3. Scheduling Function

**Description** -- The activities associated with [scheduling](#) upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules. [Scheduling](#) contrasts with [docketing](#) in that [scheduling](#) addresses events that have not yet happened, while [docketing](#) addresses completed activities.

Courts schedule the following two basic types of events:

- **Event deadlines.** In many courts, deadlines are set for specific events when a case is filed and assigned a case number (e.g., answer or response). Other deadlines are established for submission of documents (e.g., affidavits and pretrial motions) and completion of other events (e.g., discovery cutoff and 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. They define the schedule within which the case moves to [disposition](#), whether by trial, default, dismissal, plea, or other [disposition](#).
- **Judicial proceedings and their resources.** Courts also schedule trials and other judicial proceedings (e.g., motion [hearings](#), pre-trial [conferences](#)); although some events (e.g., [ADR](#), such as mediation, arbitration) may not actually involve judicial resources, they will be treated in this document as judicial proceedings. This type of [scheduling](#) takes into account the availability of the resources that will be needed to conduct the judicial proceeding. It combines with the Document Generation and Processing Function and the Calendaring Function to establish court calendars and produce calendars and other documents related to the judicial proceeding. After setting up the skeleton of each type of court calendar for a given period, the court fills this skeleton with actual cases as it schedules them for judicial proceedings (the Scheduling Function). As it schedules these cases, the court produces notices and other documents that inform persons when and

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

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

This distinction between scheduled and calendared events takes on greater significance as access to court records -- particularly electronic access -- increases. While courts permit access to official court records, such as calendars and [hearing](#) results, their internal work, such as schedules, should have more protection. Access to an amalgamation of schedules and calendars, moreover, could confuse outside individuals unfamiliar with court procedures and terminology. For example, a tickler reminding a clerk to pull a file and determine whether a [hearing](#) can be scheduled may 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 the calendars, [hearing](#) results, and other items in official court records: access to schedules, when granted, is a "pull" operation, and access to calendars is a "push" operation.

Analogous to [scheduling](#) and calendaring, [docketing](#) relates closely to [scheduling](#). [Scheduling](#) contrasts with the [docket](#) in that [scheduling](#) addresses events that have not yet happened and are not yet part of the official court record, while [docket](#) addresses completed activities that are the official court record. [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, general civil complaints for damages or speedy trial rules). Calendaring, like [scheduling](#) and unlike [docketing](#), is anticipatory, but unlike [scheduling](#) and like [docketing](#) addresses events that are part of the official court record.

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

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

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

### 3.1 Schedule Creation

Subfunction		Criminal	Civil	Traffic	Comply
<b><u>Schedule creation</u></b>					
<b>3.1</b>	Before considering the people and other resources that will serve as the foundation for schedules, basic rules must be established in the system to guide it in <a href="#">scheduling</a> . These rules address issues such as what to schedule, what conditions trigger <a href="#">scheduling</a> (e.g., schedule seizure cases back on the docket to address vehicles), and how to schedule appropriate people and resources in the process or event (e.g. judge, courtroom, attorney, witnesses, etc.).				



Subfunction		Criminal	Civil	Traffic	Comply
<b>Event deadlines</b>					
3.1.1	Schedule events and groups of events, and automatically schedule other dependent events/actions according to statutory and locally mandated time standards for cases (e.g., after case filed, set deadlines for service of summons, return of service, <a href="#">filing</a> of answer or response; the <a href="#">scheduling</a> of a trial date automatically schedules other pretrial events).				
3.1.2	Initiate schedule of future events based on occurrence of prior events (e.g., after small claims case filed, schedule <a href="#">hearing</a> and deadline for sending notices to parties and <a href="#">participants</a> ; and schedule arraignment after indictment or information filed, schedule <a href="#">hearing</a> after receipt of notice probation violation).				
3.1.3	Allow for in-courtroom <a href="#">scheduling</a> of the next case event and generation of the appropriate notices (e.g. status order, arraignment or <a href="#">judgment</a> information, etc.)				
<b>Judicial proceedings</b>					
3.1.4	Schedule multiple cases, defendant, and types of events for the same scheduled date and time (e.g., multiple complaints regarding same issue to be heard together and arraignments regarding an incarcerated defendant for single or groups of <a href="#">related cases</a> ).				
3.1.5	Schedule groups of <a href="#">related cases</a> as if group were a single case (e.g., multiple defendants involved in same incident).				
3.1.6	Identify, display and suggest resolution to <a href="#">scheduling</a> conflicts, allowing user overrides and rescheduling only with user approval.				
3.1.7	Schedule user-defined maximum number of cases for specific time interval by <a href="#">event type</a> (e.g., <a href="#">hearing</a> in <a href="#">custody</a> , out on bail).				
<b>Either event deadlines or judicial proceedings</b>					
3.1.8	When schedules change, update data related to records of all related people or entities, calendars, <a href="#">dockets</a> , and other data and functions, including displaying <a href="#">scheduling</a> conflicts.				
3.1.9	Apply specific change to multiple schedules for groups of cases (e.g., courtroom change for multiple defendants involved in same incident).				
3.1.10	Provide manual override to reschedule group of cases as if the group were a single case.				
3.1.11	Provide manual override to automatic <a href="#">scheduling</a> to allow user to substitute deadlines for specific situations.				
3.1.12	May be able to generate automated selective electronic notifications (e.g. e-mail).				
3.1.13	Provide utilities to assist user with manual schedule and rescheduling overrides or changes (e.g., by allowing user to enter <a href="#">event type</a> , start date, and duration; by displaying allowable completion dates, open time slots, and time periods allotted to various case management stages; and by adjusting open time slots to reflect manual schedule entries).				
3.1.14	During manual <a href="#">scheduling</a> and rescheduling, display other future events for that case.				
3.1.15	Permit users to designate cases with special <a href="#">scheduling</a> needs (e.g., interpreter, disabilities).				
3.1.16	Allow the <a href="#">scheduling</a> of <a href="#">participants</a> (e.g. police officers) according to locally defined business rules.	x		x	

### 3.2 Person and Resource Assignment

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

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

Subfunction		Criminal	Civil	Traffic	Comply
<b>All judicial proceedings</b>					
3.2.1	Maintain waiting list of cases to be scheduled for specific date, date range, judge (including visiting judges), courtroom, and other entities.				
3.2.2	Maintain availability information on judges, attorneys, parties, <i>participants</i> (e.g., interpreters, and other support personnel), court facilities, other pending cases, and other <i>scheduling</i> factors noted in this section.				
3.2.3	When creating schedules, consider (1) availability of any affected people or entities and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial <i>conferences</i> ) and days when specific individuals are unavailable; (3) <i>scheduling</i> conflicts to extent information in system (e.g., not all law officer and witness schedules will be in system), but allow manual <i>scheduling</i> at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules).				
3.2.4	Allow automated electronic transfer of selected <i>participants scheduling</i> data from other agencies in order to schedule <i>court events</i> (e.g. police officers' schedules).				
3.2.5	Relate individual judges or groups of judges to courtrooms, locations, and departments.				
3.2.6	Relate individual judges or groups of judges to case management tracks over permissible assignment time frames (e.g., in court with rotating judge assignments, a specific judge hears small claims cases in a particular courtroom during a given month or motions during a given period).				
3.2.7	Relate individual judges or groups of judges to departmental staff resources (e.g., reporter, bailiff; judge may also be considered staff).				
3.2.8	Automatically assign and reassign cases to individual or groups of judges, using one or more of the following methods: randomly, according to user-defined rules (e.g., by case status, by <i>hearing</i> type, by judge-rotation policies, by judge-caseload balancing policies), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon).				
3.2.9	Assign specific case categories (e.g., tort, contracts, real property rights, small claims within civil case type) to specific divisions, or specialized courts according to user-defined case/department relationships (e.g., housing cases assigned to housing courts).				
3.2.10	Manually assign and reassign cases to individual or groups of judges using one or more of the following methods: randomly, according to user-defined rules (e.g., by case category, by case status, by <i>hearing</i> type, by judge rotation policies, by judge caseload balancing policies), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon).				
3.2.11	Assign and reassign <i>related cases</i> , as designated by user, to same judge and group together on schedule according to user-defined criteria (e.g., multiple complaints regarding same problem or individual). (See Case Initiation and Indexing Function, and Docketing and Related Record Keeping Function.) This should override court random assignment function. Note: Case Consolidation.				
3.2.12	Reassign individual or group of cases from one judge or calendar to another as				

Subfunction	Criminal	Civil	Traffic	Comply
if group were single case (e.g., judge retires or moves to appellate court).				
<b>3.2.13</b> Ability to electronically notify (e.g. e-mail) automated scheduled court dates to the court <i>participants</i> (e.g. police and prosecutor) as well as the cancellation or modification of those court dates.				

### 3.3 Schedule and Case Management

The [case management system](#) must provide highly flexible, user-defined printouts and displays of [scheduling](#) information in various formats (e.g., by day, judge or by courtroom). The system also must accommodate different methods of managing cases (e.g., fast track for time-sensitive [filings](#), specific judicial assignment for specific types of cases, use of mediation and arbitration) and provide other support functions.

Subfunction	Criminal	Civil	Traffic	Comply
<b>Judicial proceedings</b>				
<b>3.3.1</b> Produce (including ability to reproduce, redisplay, or reprint) schedules for various individuals events, <a href="#">hearing</a> types, dates, and facilities upon user request (e.g., judges calendar by day).				
<b>3.3.2</b> Create, maintain, and display or print administrative or court’s calendar that shows all cases with action pending within specific date range (e.g., show upcoming events to help clerk with intra-office work prioritization and management), and update calendar when pending actions completed.		x		
<b>3.3.3</b> Enter completed events noted on administrative or court’s calendar into <a href="#">docket</a> as noted in Docketing and Related Record Keeping Function.		x		
<b>3.3.4</b> Allow the user management team to define <a href="#">hearing</a> load and balance formulas based on locally defined business rules.				
<b>3.3.5</b> Allow override of predefined <a href="#">hearing</a> load and balance formulas.				
<b>3.3.6</b> Display or print (including ability to redisplay, or reprint) calendars for attorneys and visiting judges who have cases with future court dates sorted by various criteria (e.g., law firm, attorney, prosecutor).				
<b>3.3.7</b> Identify and display <a href="#">scheduling</a> conflicts.				
<b>3.3.8</b> Maintain, display and print information on scheduled events for case (e.g., next scheduled event, all scheduled events, <a href="#">interface</a> with <a href="#">docket</a> to view past events).				
<b>3.3.9</b> <a href="#">Generate docket entry</a> based on scheduled and completed events as appropriate (see Docketing and Related Record Keeping Function).				
<b>3.3.10</b> Include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards), in addition to display of time remaining before case will become overage.				
<b>3.3.11</b> Track and then produce schedule modifications (e.g., judge or courtroom reassignments) over specific period.				
<b>3.3.12</b> Print or display schedules for various persons (e.g., judges, visiting judges, attorneys); and facilities (e.g., courtrooms) within specific period.				
<b>3.3.13</b> Track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions (e.g. by automatic assignment, online edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days).			x	
<b>3.3.14</b> Support differentiated case management, <a href="#">ADR</a> , and other case management methods (e.g., schedule events within various sets of <a href="#">differential case</a>				

Subfunction	Criminal	Civil	Traffic	Comply
<a href="#">management</a> rules, schedule <a href="#">ADR</a> events, schedule plea-agreement <a href="#">conferences</a> , master calendar, individual calendar).				
<b>3.3.15</b> Track conformance to time standards, including modifications, overrides, and suspension of time-counting under certain conditions (e.g., by bankruptcy stay, by automatic assignment, on-line edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days).				
<b>3.3.16</b> Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time-standards and other established guidelines.				

### 3.4 Ticklers, User Alerts, and Prompts

The system should [generate](#) ticklers, alerts, and prompts to inform system end-users (including individual end-users and workgroups) of impending or expired schedule deadlines, of completed schedule events, of cases with no scheduled "next event", and of required [scheduling](#) actions that relate to the current activity. While we are focusing on case management standards in this document, we are in no way implying that this document supersedes any other applicable standards such as the Americans with Disabilities Act (ADA), National Institute of Standards and Technology (NIST), National Crime Information Center ([NCIC](#)), and other organizations. Other applicable standards should be used to enhance these case management standards where appropriate.

Subfunction	Criminal	Civil	Traffic	Comply
<b><u>Either event deadlines or judicial proceedings</u></b>				
<b>3.4.1</b> Provide tickler capability: identify events coming due or overdue, periods about to expire or expired (e.g., answer or response due, bail forfeiture due, 90 days after vehicle seizures for the status of the vehicle as to whether released, immobilized or forfeited); events of which user should be aware based on state or locally defined needs (e.g., time guidelines prescribed by the Supreme Court, approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre sentence investigation); prompt or notify users; and initiate proper functions (e.g., <a href="#">generate</a> notice regarding potential default, approaching speedy-trial deadline, schedule <a href="#">hearing</a> ) (see Document Generation and Processing, and Accounting -- Bookkeeping Functions).				
<b>3.4.2</b> Allow user to <a href="#">generate</a> the Supreme Court Statistical Report based on Superintendence Rule 35. <a href="#">Generate</a> , display, redisplay, print, and reprint report. Regenerate report as needed. Data must be in an electronic format to be defined by the Supreme Court of Ohio.				
<b>3.4.3</b> Allow users to define frequency with which system displays ticklers, alerts, and prompts.				
<b>3.4.4</b> Allow users to define structure, content, and intrusiveness of ticklers, alerts, and prompts.				
<b>3.4.5</b> Provide user-activated or deactivated visual or audio reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message.				
<b>3.4.6</b> Display lists of all events due on specific date or date range (sorted by date, event, or other user defined criteria) that allows users to navigate through the application to complete required activities (e.g., court minutes due).				
<b>3.4.7</b> Prompt user to schedule user-defined <a href="#">related cases</a> (e.g., other matters regarding the same transaction or event) (see also Case Initiation and Indexing				

Subfunction		Criminal	Civil	Traffic	Comply
Function and Docketing and Related Record Keeping Function where relationships are defined to system—some automatically and some manually).					
3.4.8	<u>Generate</u> alert when approaching maximum number of events normally permitted on schedule (e.g., based on <u>differential case management</u> category, case type, case category). (See, also, List of Code Translation Tables.)				
3.4.9	Identify and inform when designated events are completed (e.g., summons served, awaiting answer or response).				
3.4.10	Display alert to person when displaying cases or portions of cases that are not public record or have restricted access (e.g., confidential cases). (See Security and Data Integrity Function.)				
3.4.11	Ability to block the acceptance of future payments by check and trigger a returned check alert. The duration of the block period against the issuer will be defined by local business rules.				
3.4.12	Ability to alert the user of any active in-county warrant on the defendant should a user access data about that defendant.	x		x	
3.4.13	If the information is available alert the user to any extra-jurisdictional active warrant on the defendant should a user access data about that defendant.				
3.4.14	<u>Generate</u> alert when displaying pending cases for which there is no scheduled next event.				
3.4.15	Allow users to define ticklers, alerts, and prompts for purposes other than those noted above (e.g. warrants or funds not sufficient).				
3.4.16	<u>Generate</u> daily report for all cases with no future events.				
3.4.17	<u>Generate</u> alert when judges, attorneys, parties, <u>participants</u> , court facilities, and other <u>scheduling</u> factors are unavailable.				
<b>Judicial proceedings</b>					
3.4.18	<u>Generate</u> display of available slots on prospective calendar and prompt when approaching maximum number of events normally permitted (e.g., based on <u>differential case management</u> category, case type, case category, <u>event type</u> .)				
3.4.19	<u>Generate</u> prompt when resources (e.g., any affected people or entities, court facilities, and other <u>scheduling</u> resources) are unavailable.				
<b>Event deadlines</b>					
3.4.20	Alert clerk when a case has been filed with "no scheduled next event."				
3.4.21	Allow supervisor at appropriate level to turn prompts on and off.				

### 3.5 Conducting Courtroom Sessions

Subfunction		Criminal	Civil	Traffic	Comply
3.5.1	Provide the ability to process no-show cases based on pre-defined business rules (e.g. default <u>judgments</u> , suspension) but allow the user to override.				
3.5.2	Have the ability to track attendance of <u>participants</u> and staff at a <u>hearing</u> .				
3.5.3	Allow display or reprint of notices from a list of notices.				
3.5.4	Ability to print, store, and <u>docket</u> court documents based on <u>court events</u> .				

## 4. Document-Generation and Processing Function

**Description** -- The activities associated with generating, distributing, and tracking documents that notify persons of past and upcoming events and other court actions. The categories of documents in this section are:

- Those that typically require service by a law enforcement officer or other authorized process server with a return of service such as civil and criminal warrants, summons, complaints, subpoenas and other served documents;
- those that are given or sent by mail to litigants with a proof or certificate of service, such as notices and letters; and
- those that are sent with no proof of service or used internally, such as forms, letters, and brief reports (as opposed to more lengthy and complex documents described in the Management and Statistical Reports Function or produced by word processing).

Many of these documents contain standard text and graphics (e.g. court seals) into which the text and data that pertain to a specific case are inserted and signatures affixed. To help produce these frequently used documents, the [case management system](#) allows users to create, store, and maintain forms—or output templates—that contain “boilerplate” text and graphics and may be imaged to permit court seals and signatures. When system end-users need to complete one of these forms, the system accesses the appropriate output template and required data is pulled from the [database](#) and/or manually provided by the user. The 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; see also Appendix B for a discussion of electronic [filing](#)).

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 an end-user entry (e.g., bench warrants), and they may be either printed and distributed manually or distributed electronically (see Multifunction Capabilities and Integration). The system must track served documents from the time they are sent out until the person or [participant](#) who has been served appears at the prescribed time and place.

[Case management systems](#) must allow for the maintenance of information regarding the specifics of all warrants and their status. As keeper of the [docket](#), it is incumbent on the clerk of the court to keep all warrant information as up to date as possible considering the “warrant’s” capability of depriving an individual of his or her freedom.

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.

**Subfunctions** -- Within the Document-Generation and Processing Function, the [subfunctions](#) are grouped into Document Generation and Document Utilities.

## 4.1 Document Generation

Subfunction	Criminal	Civil	Traffic	Comply
4.1.1 <a href="#">Generate</a> printed, or electronic, confirmations of <a href="#">filing</a> and notify appropriate parties that <a href="#">filings</a> , <a href="#">pleadings</a> , and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration, Case Initiation and Indexing Function and E-Filing Standards).				
4.1.2 <a href="#">Generate</a> documents (e.g., summons, warrants, notices) triggered by a specific event (e.g., <a href="#">filing</a> of complaint <a href="#">generates</a> a summons, failure to appear <a href="#">generates</a> a warrant, summons, or <i>capias</i> ; request for continuance <a href="#">generates</a> a notice of rescheduled event). Integrate calendaring and notice generation so parties receive notices upon <a href="#">scheduling</a> or rescheduling of an event.				
4.1.3 <a href="#">Generate</a> pre-defined documents based upon standard documents defined by statute				

Subfunction	Criminal	Civil	Traffic	Comply
or court rules. Have the ability to generate BMV forms (i.e., 2270 for Immobilization, 2269 for Forfeiture, 2718 for Report of Conviction and 2724 for Report of Drug Offense Conviction).				
4.1.4 <u>Generate</u> special notices (e.g., judge assignment, courtroom change, attorney change, schedule change, other courtesy notices) when requested.				
4.1.5 <u>Generate</u> one notice for a case with multiple future <u>court events</u> to all <u>participants</u> .				
4.1.6 In cases with multiple active parties, <u>generate</u> single notice for attorney who represents multiple parties.				
4.1.7 In cases with multiple active parties, show names and primary addresses of all other active parties and attorneys on notice to specific active <u>party</u> ; and on file copy of notice, show names and primary addresses of all active parties.				
4.1.8 Suppress inclusion of user-designated confidential information (e.g., Social Security numbers and other <u>party</u> , victim, and witness information in notices and other documents except when expressly needed). (See Security and Data Integrity Function.)				
4.1.9 Print documents individually (including ability to reprint) or in <u>batches</u> in local, remote, or central location.				
4.1.10 System should have capability to distribute documents electronically (e.g., documents to be served to process server; notices and other documents to parties and affected <u>participants</u> ; notices, and other documents to be entered in <u>docket</u> ). (See, also, Multifunction Capabilities and Integration and Docketing and Related Record Keeping Function.)				
4.1.11 Track and <u>docket</u> document service, return of service, proof or certificate of service, reissuance of service if necessary, and any other events.				
4.1.12 Perform document-generation, printout, and distribution <u>subfunctions</u> for group of cases as if group was a single case.				
4.1.13 Ability to <u>generate</u> mailing labels.				
4.1.14 Ability to print, display and reprint selected notices from a list of notices.				

## 4.2 Document Utilities

Subfunction	Criminal	Civil	Traffic	Comply
4.2.1 In conjunction with Docketing and Related Record Keeping Function, allow system administrator to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., summons with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices). (See also External Interfaces [Appendix A]). The <u>case management system</u> must provide a simple, but powerful, document-generation utility to allow system administrator to define and <u>generate</u> specialized documents.				
4.2.2 Maintain files of user-defined 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 <u>court event</u> (s) in which they are used (same as above <u>subfunction</u> except no output templates, which would necessitate <u>imaging</u> ).				
4.2.3 Have the ability to link an outside jury instruction application to specific <u>charges</u> or issues.				
4.2.4 Provide for entry of special conditions, or directions, in a separate data field as a				

Subfunction		Criminal	Civil	Traffic	Comply
	part of the document generation process.				
4.2.5	Link each output template and text noted above to document(s) and <a href="#">court event</a> (s) for which they are used.				
4.2.6	Provide capability to retrieve, from various locations in system and <a href="#">database</a> (e.g., attorney, <a href="#">party</a> , <a href="#">participant</a> records or tables), addresses (including e-mail addresses) of attorneys, parties, agencies and <a href="#">participants</a> who are to receive specific documents.				
4.2.7	<a href="#">Generate</a> electronic forms and other documents noted above; allow system administrator to specify that certain documents (e.g., entries) will be <a href="#">generated</a> in an editable word processing format (e.g., MS Word® or WordPerfect®). (See also Security Subfunction.)				
4.2.8	Distribute documents and receive responses (e.g., return of service) electronically (See, also, Multifunction Capabilities and Integration).				
4.2.9	Record pertinent information regarding all documents sent or served, and track document issuance and follow-up activities, including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-issuance of service, any judicial proceedings, and status information (e.g., warrant tracking and warrant recall working with <a href="#">ICJIS interface</a> ). (See Record Keeping and Criminal and Traffic Support Functions.)				
4.2.10	Produce status reports that track reason, method, and result of documents sent or served.				
4.2.11	Ability to integrate with user selected word processing package to <a href="#">generate</a> documents.				
4.2.12	Ability to print date and time in any conventional format (e.g. the default format could be mm/dd/yyyy but could be printed as January 1, 2006 with a 24 hour formatted clock).				

## 5. Calendaring Function

**Description** -- The activities associated with the creation of court calendars include the generation, maintenance, and distribution of court calendars for each type of [hearing](#) (e.g., arraignment, trial, motion [hearing](#), plea) or [conference](#) (e.g., settlement [conference](#), pretrial [conference](#)). In the context of civil case management, calendaring also includes [ADR](#) events such as mediation and arbitration. In the context of criminal/traffic case management, calendaring also includes such things as plea-agreement [conferences](#), sentencing, and post-[conviction](#) matters.

Calendaring encompasses all proceedings in which a judge or another court official participates. (Recall from the data-type definitions that the term "judge" includes judges and other judicial and quasi-judicial officers such as magistrates, mediators or arbitrators.)

Calendaring is the deliberate and official act of placing a matter on a judge's calendar for a [hearing](#), trial, [conference](#), plea agreement, or [ADR](#) event on a particular date. The calendared activity, which may be immediate or on a future date, refers to court business conducted by a judge, usually with counsel and the parties present, and resulting in a decision by the judge. The action, ruling, order, or [judgment](#) from the event causes production of a document that, along with the calendar, is part of the official court record. The clerk [dockets](#) the result through an [entry](#) reflecting the action taken (e.g., an order or other document issued by the court). These activities are described in the Docketing and Related Record Keeping Function and Hearings Function.

Calendaring has two connotations. First, it refers to the placement of an event within a single case --- or a group of cases treated as a single case --- on a judge's calendar. Such a calendar may contain only one event but often includes several events (e.g., motions [hearing](#) and settlement [conference](#)). Second, the calendar refers to a



complete list of what will be heard or considered by the court because either the court or counsel placed the 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., motions [hearing](#) or trial), all events set for a particular courtroom on a given day or range of days, or all events set for all judges of a trial court on a given day or range of days. In a given courtroom, the judge may function individually or as a member of a team or panel.

**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 [scheduling](#) information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function) and arranging the information into the calendar format. As the [hearing](#) date approaches, system end-users maintain calendars by entering changes (e.g., add witnesses, change attorneys, return to [scheduling](#) because case continued) and [generate](#) and distribute calendars (either in printed form or for electronic display.)

Subfunction	Criminal	Civil	Traffic	Comply
<b>5.1.1</b> Create, <a href="#">generate</a> , and maintain user-defined calendars based on user-selected <a href="#">scheduling</a> information (see also Scheduling Function) for each type of <a href="#">hearing</a> (e.g., jury trial, nonjury trial motions <a href="#">hearing</a> , <a href="#">conference</a> ) or mixed <a href="#">hearings</a> (e.g., motions <a href="#">hearing</a> and settlement <a href="#">conference</a> ) for specific user-selected periods (e.g., daily, weekly, monthly) and according to user-selected criteria (e.g., judge, date, time, case type, case category, or other element of calendar profiles).				
<b>5.1.2</b> Easily and quickly access data from other parts of the system when creating calendars (e.g., view and import information on other cases, parties, <a href="#">participants</a> ) without loss of current local function.				
<b>5.1.3</b> Create and maintain judges' notes (i.e., judges' notes and comments for use with calendar) for judges' viewing only in accordance with <a href="#">local rules</a> and statutes (see, also, Security Function).				
<b>5.1.4</b> Allow users to define calendaring activities that will <a href="#">generate</a> an automatic <a href="#">docket entry</a> , subject to verification by the Clerk.				
<b>5.1.5</b> Provide the ability to suppress or mask user-designated confidential information, as defined in applicable law, in calendar reports or <a href="#">views</a> (e.g., mask information such as juvenile victim's name in child-abuse proceeding).				

## 5.2 Calendar Management

Between the time the calendar is created and the event date, system end-users perform various calendaring functions such as finalizing the calendar at a prescribed cutoff point; printing the calendar; distributing the calendar to judges and strategic courthouse locations for display in paper form or on a remote terminal or other visual display; and producing summary reports.

Subfunction		Criminal	Civil	Traffic	Comply
5.2.1	Create and print calendars individually (e.g., for a judge or a courtroom) or <a href="#">batch</a> (e.g., for posting throughout the courthouse) according to various criteria, including date, judge, or courtroom.				
5.2.2	Distribute calendars electronically (e.g., to jury manager, court reporters, sheriff). (See, also, Multifunction Capabilities and Integration.)				
5.2.3	<a href="#">Generate</a> and display or print summary of upcoming <a href="#">hearings</a> for a judge or in a courtroom over a specific period (e.g., a week).				
5.2.4	Display or print summary-calendar information (e.g., for use in courtroom) based upon selected criteria (e.g., case number, <a href="#">hearing</a> type, case title or style, <a href="#">hearing</a> date, and time, and other essential information from calendar) and provide <a href="#">interface</a> to other parts of system to access other types of information (e.g., on parties). (See, also, Management and Statistical Reports Function.)				
5.2.5	Provide the ability to move blocks of cases or user-selected cases between calendars.				

## 6. Hearings Function

**Description --** This function involves the activities associated with recording, tracking, and processing results of calendared events and notifying parties and [participants](#) of those results. This encompasses all [court events](#), such as trials, sentencing, [conferences](#), motion [hearings](#), and any [ADR](#) events.

Court entries record [hearing](#) results and document the findings resulting from judicial or quasi-judicial events. In performing these tasks, the Hearings Function relates closely to the Document Generation and Processing, Calendaring, Disposition, and Case Close Functions.

This section covers the types of court entries that result from a formal, calendared event, such as a [hearing](#). Judges sign other entries out of the courtroom in an informal setting (e.g., entries signed in the judge's chambers), and the Document-Generation and Processing Function includes those entries.

In addition to recording the [hearing](#) results, during the course of a [hearing](#), the judge or [hearing](#) officer may request some type of form, notice, [entry](#), warrant, subpoena, or other document that would be [generated](#) and distributed to the parties, counsel, or other [participants](#), as described in the Document Generation and Processing Function.

The Hearings Function uses the term "[judgment](#)" in two contexts—first, as the general term for any [disposition](#) that results from a court decision; second, to connote the information contained within a [judgment](#), such as the [judgment](#) amount, debtor information and amount, creditor information and amount, [sentence](#) imposed, or other decision language. 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](#).

Because sentencing [hearings](#) produce specific and unique information that must be documented precisely, coordinated with other departments, and distributed to other agencies, specific Sentencing-Hearing [subfunctions](#) are listed separately. Nevertheless, all of the [subfunctions](#) apply to sentencing [hearings](#).

## 6.1 All types of hearings

Subfunction	Criminal	Civil	Traffic	Comply
6.1.1 Provide for entry of <a href="#">hearing</a> results suitable for multiple-case and multiple-defendant situations using one of the methods noted below:				
6.1.2 <a href="#">Generate</a> user-defined worksheet, calendar, or some other template suitable for electronic, <a href="#">real-time</a> , in-court notes with the additional ability to enter such case notes after the <a href="#">judicial proceeding</a> .				
6.1.3 <a href="#">Generate</a> and print worksheet, calendar, or some other template suitable for manually recording results (see also Document Generation and Processing Function and Calendaring Function).				
6.1.4 Enter, store, and display or print results recorded on calendar or worksheet.				
6.1.5 Method to provide for private note-taking.				
6.1.6 Provide edits and prompts with <a href="#">real-time</a> , electronic-result-entry capability (see also Security Function).				
6.1.7 Enter, store, and document court orders, including orders without corresponding calendared event (e.g., ex parte matters), according to local court rules.				
6.1.8 use information captured in case notes to <a href="#">interface</a> with other functions and update records throughout system in accordance with state and local statutes, rules, or procedures (e.g., sentencing interfacing with state records and with local accounting; information on <a href="#">judgments</a> working with Disposition Function and accounting functions; adjournments, continuances, and cancellations working with Docketing and Related Record Keeping Function (for <a href="#">docket</a> updates), Scheduling Function (for rescheduling of <a href="#">hearing</a> ), Document Generation and Processing Function (for notice generation), Calendaring Function (to place on future calendar when scheduled), and other functions; and rulings taken under advisement on submitted matters). (See, also, Integration Between Functions).				
6.1.9 Create and print court orders resulting from <a href="#">hearings</a> and other judicial and <a href="#">ADR</a> events in <a href="#">real time</a> during the <a href="#">hearing</a> or event.				
6.1.10 Distribute court orders resulting from <a href="#">hearings</a> and other judicial and <a href="#">ADR</a> events electronically to outside parties (in a platform-independent format, e.g., PDF, DJVU, DOC, WP, HTML, XML, etc.) and internally to be entered in <a href="#">docket</a> (see also Multifunction Capabilities and Integration, Docketing and Related Recordkeeping Function, Disposition Function and Criminal and Traffic Support Functions).				
6.1.11 Enter information contained in court orders and judgments resulting from <a href="#">hearings</a> and other judicial and <a href="#">ADR</a> events as events in <a href="#">docket</a> (if not entered automatically through previous <a href="#">subfunction</a> ). (See, also, Docketing and Related Recordkeeping Function and Disposition Function.)				
6.1.12 Distribute court orders resulting from <a href="#">hearings</a> and other judicial and <a href="#">ADR</a> events based upon <a href="#">participant's</a> preference (e.g., mail, fax, electronically) if the <a href="#">participant</a> has multiple reception methods available.				
6.1.13 Schedule subsequent events (e.g., post-trial motions <a href="#">hearing</a> , sentencing <a href="#">hearing</a> ), electronically during the <a href="#">hearing</a> (see Scheduling Function, Calendaring Function).				
6.1.14 Ability to complete data entry to account for what has occurred during court proceeding and allow for free form text in a remarks field and update records throughout system in accordance with state and local statutes, rules, or procedures (e.g. sentencing, accounting, adjournments, continuances, rescheduling, notice generation with accompanying <a href="#">docket entries</a> ).				
6.1.15 Provide the ability to process no-show cases based on predefined procedures (e.g. 20 day notices, declaration of forfeitures).				
6.1.16 Accept secured electronic signatures on completed forms for a specific case at a specific <a href="#">hearing</a> .				

## 6.2 Sentencing Hearings

Subfunction	Criminal	Civil	Traffic	Comply
<b>6.2.1</b> Send and receive materials to and from other units to assist in judicial functions(e.g., Send pre sentence information to pre sentence investigation unit and receive results of investigation for use in sentencing. Send <a href="#">conviction</a> information to adult probation unit and probation information from unit. Send contents of order for psychological evaluation to non justice agencies and results of evaluation from non justice agencies). (See Criminal Support and Traffic Functions.)	x		x	
<b>6.2.2</b> Compute or receive from Criminal and Traffic Support Functions and enter credit for time served or excludable into <a href="#">sentence</a> imposed for each combination of <a href="#">charge</a> and defendant in accordance with state and local statutes, rules, or procedures. (See Criminal and Traffic Support Functions)	x		x	
<b>6.2.3</b> Compute or receive from Criminal and Traffic Support Functions and enter monetary penalties (e.g., fines, fees, restitution) based on <a href="#">sentence</a> imposed for each combination of <a href="#">charge</a> and defendant in accordance with state and local statutes, rules, or procedures (see Criminal and Traffic Support Functions).	x		x	
<b>6.2.4</b> Compute or receive from <a href="#">Criminal and Traffic Support Functions</a> and enter non monetary provisions (e.g., work program, restitution) based on <a href="#">sentence</a> imposed for each combination of <a href="#">charge</a> and defendant in accordance with state and local statutes, rules, or procedures (see Criminal and Traffic Support Functions).	x		x	
<b>6.2.5</b> Link <a href="#">charges</a> and fine or restitution amounts.	x		x	
<b>6.2.6</b> Enter other details of <a href="#">sentence</a> (e.g., whether consecutive or concurrent, conditions for probation) for each <a href="#">charge</a> and defendant.	x		x	
<b>6.2.7</b> Compute or receive from <a href="#">Criminal and Traffic Support Functions</a> and enter probation term and compute, or receive expiration date of probation (see Criminal Support Function).	x		x	

## 7. Disposition Function

**Description** – The [disposition](#) function relates to the activities associated with disposing of all, or part, of a case, or dismissing an individual [party](#) or parties, in a case, due to a [judgment](#)<sup>‡</sup>, resulting from a court decision, [ADR](#), event, default, dismissal, withdrawal, settlement, transfer to another court, or consolidation. This function supports the user in accomplishing the actions called for in court orders.

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

Even though this document uses the term judgment as noted above, the terminology that connotes disposition differs. Some other terms that may be synonymous with or subsumed in “disposition” are “sentence,” “conviction,” “adjudication,” and “termination.” The same semantics problem emerges when discussing activities that occur after a court’s decision is rendered. This document refers to such activities as “post conviction” activities, although in some locations, terminology analogous to the above synonyms may be used.

The Disposition Function relates closely to the Hearing Function. The Disposition Function receives information from the Hearing Function on cases disposed by trial, ADR, and any other types of disposed cases. It also receives information on disposed cases from other functions, primarily the Docketing and Related Record Keeping Functions. The Disposition Function also interacts with the Execution Function in processing judgments and often functions contiguously with Case-Close Function in disposing and closing cases.

The Disposition Function also encompasses the creation of a judgment form at case disposition to document the judgment information. During the post judgment period, unless follow-up action is required (e.g., request for execution as described in the Execution Function, in criminal cases sentencing documents and compliance activities), courts normally track judgment payments reactively – not proactively in an explicit effort to track satisfactions of judgment -- as information becomes available to the court (e.g., Sheriff’s return of order of sale, writ of execution, garnishment, attachment, etc.). With this proviso, exchange of judgment information occurs within court-system functions such as the Hearing Function, which supplies information from subsequent hearings that relate to the judgment; the General Accounting Function and Accounting – Back-Office 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 information and sentencing information may occur with (1) other governmental units at the federal, state, and local levels (e.g., sheriff for garnishments and court orders, prosecutor and law enforcement for charge-disposition information, corrections for sentence information); (2) private organizations (e.g., credit-reporting companies, collection agencies, treatment-service providers); and (3) other users (e.g., attorneys, litigants, researchers).

**Subfunctions** -- The disposition subfunctions could apply to entire cases, individual parties, (e.g., if some, but not all, parties in multiple-party case settle), individual parcels (i.e., in real-property-rights cases), or individual claims (e.g., when each claim in a multiple-claim promissory note constitutes a separate claim). Information must be recorded on the disposition of each claim, as well as on the ultimate disposition of the entire case. These subfunctions are as follows:

Subfunction	Criminal	Civil	Traffic	Comply
7.1 Record plea <u>disposition</u> or <u>sentence</u> for entire cases, individual claims, or <u>charges</u> , individual parties, parcels in real-property-rights cases, counterclaims, crossclaims, and third- <u>party</u> complaints.				
7.2 Identify inactive cases and groups of cases (based upon Rules of Superintendence, or other user-defined criteria), and prompt user regarding appropriate action (e.g., schedule <u>hearing</u> , prepare notice of motion to dismiss, extend dates) and produce documents (e.g. <u>judgment</u> form, sentencing documents, <u>custody</u> forms).				
7.3 Process information, update <u>docket</u> , and produce documents (e.g., <u>judgment entry</u> ; see also Hearing Function) for <u>disposition</u> as a result of trial, plea, <u>ADR</u> , default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation; electronically distribute <u>disposition</u> documents in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections).				
7.4 Maintain and produce <u>disposition</u> and <u>sentence</u> information that shows, for each case and <u>party</u> , original and subsequent claims and <u>charges</u> and <u>dispositions</u> and <u>sentences</u> for each claim or <u>charge</u> (see Case Initiation and Indexing, Compliance, and Criminal and Traffic Support functions); process information and produce documents (e.g., writ of execution, certificate of <u>judgment</u> ) on post <u>judgment</u> activities (e.g., in response to requests for execution with information on monetary and nonmonetary <u>judgments</u> , including parties, damages, nonmonetary awards, pertinent dates, assignees, payments, and credits); enter and update records when <u>judgments</u> vacated, renewed or amended). (See, also, Execution Function and Accounting – Back-Office Function.)				
7.5 Update each case in group of <u>disposed</u> cases as if group were single case (see Docket and Related Record Keeping Function); distribute <u>disposition</u> and post <u>judgment</u> documents, noted above, electronically (platform-independent format) both to <u>participants</u> external to the court and internally to be entered in <u>docket</u> (see, also, Multifunction Capabilities and Integration and Docketing and Related Recordkeeping				

Subfunction		Criminal	Civil	Traffic	Comply
Function).					
7.6	Prompt to dispose of all claims or <i>charges</i> on a single case (prompt again to make sure this is done); create, print, and maintain separate <i>judgment</i> indices that show original and subsequent <i>judgments</i> (e.g., containing dates, amounts, modifications, satisfactions, judge) by case and <i>party</i> (see also Case-Initiation and Indexing Function and Execution Function).				
7.7	Create, display, and maintain separate <i>disposition</i> and <i>judgment</i> screens that show original and subsequent <i>judgments</i> (e.g., containing amounts, modifications, and satisfactions) for each case and <i>party</i> (see, also, Case-Initiation and Indexing Function and Execution Function); in applications for misdemeanor cases, display total amounts each defendant owes on multiple cases on one screen.				
7.8	Allow for multiple <i>judgments</i> in cases involving multiple parties.				
7.9	Update each case in group of <i>disposed</i> (e.g. dismissed) cases as if group were single case (see also Docketing and Related Record Keeping Function).				
7.10	Once all claims or <i>CHARGES</i> have been <i>disposed</i> , close case and record reason for closure (e.g., case <i>disposed</i> after trial, <i>ADR</i> , default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation). (See, also, Multifunction Capabilities and Integration.)				
7.11	Establish cross-references between consolidated cases for <i>docketing</i> , <i>scheduling</i> , notice generation, and other functions.				
7.12	<i>Generate</i> overall case-closure reports (e.g., cases <i>closed</i> over specific period with reason <i>closed</i> and other relevant information; see, also, Management and Statistical Reports Function).				
7.13	Have ability to send all record types to and retrieve, view and print rejected records from the Bureau of Motor Vehicles via FTP or another method approved by the Bureau of Motor Vehicles in compliance with the Ohio Department of Public Safety, Bureau of Motor Vehicles, Uniform Traffic Ticket Automation System publication (last updated version). Report records sent to BMV, retrieve and print acknowledgement of records sent to BMV, and store information for completing BMV reporting process (e.g., points, offense codes, OL suspension dates, license forfeiture suspension dates).	x		x	
7.14	Electronically distribute <i>disposition</i> or post <i>conviction</i> information (e.g. documents and data) in accordance with state and local statutes, rules or procedures (e.g. to law enforcement and corrections).			x	
7.15	Allow for automatically updating the docket based on predetermined actions.				

## 8. Post Judgment/Conviction Function

**Description** -- The activities associated with enforcement of a *judgment*, compliance with *sentence* or supervision, or post *conviction* activities.

In the civil context, these situations normally arise when the court is requested to assist with collection of the monetary *judgment* specified in a court order either of its own, or of another court, by obtaining information on the status of *judgment* payments and balances due, by issuing documents such as orders for debtors exams, writs of attachment, garnishment, and execution. The post *judgment* function interacts with the Hearings Function and Disposition Function in these tasks. If the enforcement proceedings are for a *judgment* of another court, then this function must also coordinate with the “Case-Initiation and Indexing Function” and the “Docketing and Related Record Keeping Function.”

In the criminal context, post *conviction* activities relate to compliance with *sentence* and supervision conditions. These situations normally arise when the court is informed (e.g., adult probation, treatment programs) that the defendant has not complied either with the *sentence* or supervision conditions.

In the traffic context, post conviction activities relate to compliance with sentencing and supervision conditions. These situations normally arise when the court is informed (e.g. report of probation violations, filing of a motion to restore driving privileges, addressing vehicle seizures). Violations are filed by the Probation Department. The motions dealing with privileges/vehicle seizures are filed by the defendants.

Because post [conviction](#) supervision may not be operated within the court’s management system, courts may track post [conviction](#) activities reactively as information becomes available (e.g., report of probation violation). Criminal courts should be able to decide to track post [conviction](#) events actively when follow-up action is required (i.e., [sentence](#) involves restitution, probation, a work program, or a payment plan). The court may either receive or require periodic information from program administration (e.g., probation department; see Criminal and Traffic Support Functions) and from the unit that collects payments (see accounting functions), particularly when follow-up action is required.

Compliance and collection activities – independent of the unit in which they are performed – may include issuing papers (e.g., issuance of warrants and driver’s license suspensions), calculating expiration dates, and tracking payments made through the court (see Accounting – Bookkeeping-Function). The Post Judgment/Conviction Function interacts with the Hearings, Disposition, Accounting, and Criminal and Traffic Support functions in these tasks.

The Post Judgment/Conviction Function is not necessarily chronological relative to other functions. For example, a previously completed civil matter may have a motion for relief from [judgment](#) or a request for a debtor’s examination filed, which could require additional court action (Disposition Function) or the taking of [evidence](#) (Hearings Function). A criminal case may proceed as follows: single or multiple trials to adjudicate all [charges](#) (Hearings Function), pre sentence investigation (Criminal and Traffic Support Functions), sentencing (Hearings Function), preparation of [judgment](#) and sentencing documents (Disposition Function), compliance activities as they arise (Post Judgment/Conviction Function), post [conviction hearings](#) (Hearings Function), and preparation of post-[conviction](#) documents (Disposition and Post-Judgment/Conviction Functions).

Subfunction	Criminal	Civil	Traffic	Comply
8.1 Provide ability to separately <a href="#">index</a> , catalogue, and record <a href="#">judgment</a> -enforcement <a href="#">filings</a> , including <a href="#">filings</a> related to <a href="#">judgments</a> from other courts and certificates of <a href="#">judgment</a> that were not otherwise originated in the <a href="#">case management system</a> (Case-Initiation and Indexing Function; Docketing and Related Record Keeping Function.)				
8.2 Process requests for enforcement of <a href="#">judgments</a> , establish cross references for each Post <a href="#">Judgment subfunction</a> to <a href="#">judgment index</a> and <a href="#">judgment</a> screen (see also Disposition Function), including issuance of writ and other statutorily required forms.				
8.3 Produce documents (e.g., court orders for <a href="#">judgment</a> enforcement, such as attachments, debtor’s exams, revocation of probation, modification of <a href="#">sentence</a> , judicial release) on post <a href="#">judgment/conviction</a> activities.				
8.4 Process requests for <a href="#">hearings</a> as to <a href="#">judgment</a> enforcement. (See Calendaring Function.)				
8.5 Electronically distribute documents external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections or county recorder) and internally to be entered in <a href="#">docket</a> (see Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Criminal and Traffic Support Functions).				
8.6 Record fully, partially, and nonsatisfied enforcement orders (e.g., all obligations satisfied; see also Case Close Function).				
8.7 Update each case in group of cases for which execution requested as if group were a single case (e.g., same <a href="#">judgment</a> terms and execution requirements for each case in group).				

## 9. Case-Close Function

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

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

Case closure sometimes occurs when the case is *disposed*, which usually means the court has issued a final order disposing all defendants and all *charges* and has *statistically closed* the case. In some cases involving shared *custody*, garnishments, collections, restitution, a work program, or probation, closure may not occur until conditions have been satisfied, although such cases may still be considered *statistically closed* after the *judgment* has been rendered.

From the perspective of a case-management employee, the Case-Close Function and *subfunctions* in this section address statistical closure (i.e., the closure that relates to *disposition*), and the File and Property-Management Function addresses operational closure (i.e., the closure that relates to archiving).

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

Subfunction	Criminal	Civil	Traffic	Comply
<b>9.1</b> Receive information from Disposition Function and record reason for closure (e.g., case <i>disposed</i> after jury or non jury trial, guilty plea, dismissal, bind-over, transfer out to another jurisdiction, consolidation, <i>nolo contendere</i> , or bail forfeiture), (see Multi-Function Capabilities and Integration).				
<b>9.2</b> Receive information on parties who have satisfied <i>judgments</i> , paid costs and fees, completed installment payments, probation or any programs administered by probation, incarceration, any programs administered by corrections, or other programs that would result in case closure under local and state rules. (See Accounting – Bookkeeping and Criminal and Traffic Support Functions.)				
<b>9.3</b> Establish cross-references and adjust identifiers between consolidated cases for <i>docketing</i> , <i>scheduling</i> , notice generation, and other functions.				
<b>9.4</b> Identify activities and conditions that can prevent case from being <i>closed</i> (e.g. outstanding or open <i>charge</i> , unsentenced guilty <i>charge</i> , unpaid fines, unsatisfied <i>judgment</i> ).				
<b>9.5</b> Prompt user to close case (e.g., change status to <i>closed</i> ; update register of events; <i>generate</i> required forms, notices, reports for that case) when all <i>local rules</i> and/or conditions are met. See Docketing and Related Record Keeping, Document Generation and Processing, Management and Statistical Reports functions.				
<b>9.6</b> <i>Generate</i> overall case closure reports (e.g., cases <i>closed</i> over specific period with reason <i>closed</i> ; see Management and Statistical Reports Function).				
<b>9.7</b> Provide a facility for reopening previously <i>closed</i> cases.				
<b>9.8</b> Provide a <i>batch</i> case-closure process for cases as identified by the court.				

## 10. General Accounting Function



**Description** -- The activities associated with the court's fiduciary responsibilities include receipt of funds, posting case-related funds to a case-fee record, posting non case-related funds to other types of records, maintaining account records, disbursing funds, 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 document, the accounting activities differ from the case management functions covered previously because many accounting functions may be performed by different personnel and may be supported by a different computer system. Please note in reviewing the accounting functional standards that, while courts and criminal-support units (i.e., bail, pretrial services, and pre sentence investigation) collectively perform similar accounting functions nationwide, the allocation of these functions throughout the organization varies.

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

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

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

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

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

The case management and accounting functions relate closely to each other, to other case management and accounting functions, and to accounting equipment. The Receipting and Bookkeeping accounting functions often interact automatically and in a user-transparent manner to disburse collected funds to agencies and associate collected funds with defendant accounts. Within the broader case management context, many accounting functions cause a [docket entry](#); violation of a work-program or restitution order may invoke the Docketing and Related Record Keeping, Document-Generation and Processing, Scheduling, Calendaring, Hearings, Disposition, and Compliance functions as well as accounting functions; many accounting reports relate to the other management and statistical reports; and the system may be required to [interface](#) with court cash-register systems for funds collection and receipting. Because of these and many other [interfaces](#), if the financial, court-support, and [case management systems](#) are separate, the [interface](#) between them must be such that they operate as if they were a single system from the end-users' perspective. The accounting sections given below note only

the most significant [interfaces](#) within the accounting functions and between the accounting functions and the other case management functions, and they do not repetitively state the fact that all court-support [subfunctions interface](#) with the Criminal and Traffic Support Functions -- particularly bail and adult probation.

**Subfunctions** -- The [subfunctions](#) that are either common to one or more of the subsequent accounting sections or cannot be categorized into one of those sections follow:

Subfunction	Criminal	Civil	Traffic	Comply
<b>Either financial, case management, or both</b>				
<b>10.1</b> Comply with generally accepted accounting principles (GAAP) for governmental entities (which implies courts or state must define applicable GAAP(s)).				
<b>10.2</b> Provide appropriate security and authorization for all accounting functions (see Security and Data Integrity Function).				
<b>10.3</b> Allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., default entries, funds distribution according to pre-determined formula) and provide audit trail of these transactions.				
<b>10.4</b> Support trust fund and escrow (i.e., moneys held in trust that may be disbursed upon court order or for services rendered, including general, attorney fees, and safekeeping trusts) accounting (e.g., post trust fund-transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see Accounting -- Receipting and -- Bookkeeping functions.)				
<b>10.5</b> Prevent financial transactions from being dated and posted to <a href="#">closed</a> accounting period.				
<b>10.6</b> Establish <a href="#">interface</a> between Accounting (particularly Receipting and Bookkeeping) and Criminal-Support (particularly Conditions for Release from <a href="#">Custody</a> ) functions to collect and <a href="#">generate</a> receipts for bail monies, disburse funds (e.g., to defendant who posted bail, to court for court costs, to other <a href="#">participants</a> , victim(s), or both for restitution), suspend disbursements, record bail forfeiture monies as revenue, disseminate bail register.				

## 11. Accounting -- Receipting Function

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

**Subfunctions** -- The receipting [subfunction](#) groups are funds collection, receipt generation, cashier close-out, and cashier management.

### 11.1 Funds Collection

This group of [subfunctions](#) addresses the activities associated with accepting payments from case [participants](#) and their representatives.

Subfunction	Criminal	Civil	Traffic	Comply
<b>11.1.1</b> Associate payment with proper case and person when moneys collected (see Accounting -- Bookkeeping Function).				
<b>11.1.2</b> Permit payment to be accepted for cases filed but not completely recorded in the				

Subfunction		Criminal	Civil	Traffic	Comply
<a href="#">docket</a> .					
11.1.3	Accept and record full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver).				
11.1.4	Accept and record payments by electronic funds transfer (see Multi-Function Capabilities and Integration).				
11.1.5	Record payments by electronic funds transfer from draw-down or escrow accounts pre-established by attorneys and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses). (See Multi-Function Capabilities and Integration, Accounting -- Bookkeeping Function).				
11.1.6	Associate fees that may or may not be case-related (e.g., for forms, document copies, certified copies) with persons who may not be directly involved in a case (e.g., from general draw-down accounts, couriers, media) and process appropriately (e.g., not recorded in the <a href="#">docket</a> if not related to specific case).				
11.1.7	Record information on payments and other transactions, including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non case related).				
11.1.8	Accept multiple types of payments in single transaction (e.g., cash, check).				
11.1.9	Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments.				
11.1.10	Accept single payment for multiple cases with capability to process separately for each case.				
11.1.11	Permit cashier, with proper authority, to override pre-established funds-distribution priorities.				
11.1.12	Transfer funds with proper authority from one case to another case or between accounts in a given case (see Accounting -- Bookkeeping Function).				
11.1.13	Calculate and record fees based on occurrence of specific event (e.g., initial <a href="#">filing</a> , motion <a href="#">filing</a> ).				
11.1.14	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).				

## 11.2 Receipt Generation

This group of [subfunctions](#) addresses the activities associated with generating and printing receipts for payments from case parties and their representatives.

Subfunction		Criminal	Civil	Traffic	Comply
11.2.1	<a href="#">Generate</a> and produce receipts with proper identifiers (e.g., fee, fine, restitution code; court location and address) and supporting information (e.g., amount assessed, reason for assessment, amount collected, installment or partial payment plan and status) based on amount received with user option to receive single or multiple copies.				
11.2.2	<a href="#">Generate</a> and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration).				
11.2.3	<a href="#">Generate</a> and print (including ability to reprint) receipts with unique, locally-defined, sequential receipt numbers.				
11.2.4	<a href="#">Generate</a> and print (including ability to reprint) multiple receipts from one financial transaction covering payment for multiple cases or purposes for several cases in one trip to courthouse.				

11.2.5	<a href="#">Generate</a> and print (including ability to reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case.				
11.2.6	Permit receipts to be reprinted (e.g., if printer malfunctions during printout) with same receipt numbers.				

### 11.3 Cashier Close Out

This group of [subfunctions](#) addresses the activities associated with front counter record keeping, primarily involving payments from case parties and their representatives and receipts [generated](#) in return for these payments.

Subfunction		Criminal	Civil	Traffic	Comply
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).				
11.3.2	Compute totals, list transactions, and balance for each cash drawer, register, cashier, and payment type (e.g., fee, fine).				
11.3.3	List contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders).				
11.3.4	Produce summary for each cashier, including totals for each type of payment (e.g., cash, checks, credit card receipts, travelers checks, money orders). (See Accounting -- Bookkeeping Function).				
11.3.5	List any discrepancies between payments, receipts, case <a href="#">participants</a> , and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see Accounting -- Bookkeeping Function).				
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).				
11.3.7	Suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks).				
11.3.8	Permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day.				
11.3.9	Establish individual accounts (e.g., for case or <a href="#">party/participant</a> ), when funds are received for a new or pending case, for subsequent use in account management.				

### 11.4 Cashier Management

This group of [subfunctions](#) addresses the activities associated with cashier supervision and administration.

Subfunction		Criminal	Civil	Traffic	Comply
11.4.1	Permit payments to be voided and corresponding adjusting entries to be made before daily balancing with proper security provisions (see Security and Data Integrity Function).				
11.4.2	Allow supervisor to make adjusting <a href="#">entry</a> to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions (see Security and Data Integrity Function).				
11.4.3	Provide secure <a href="#">authentication</a> for each cashier (e.g. passwords, biometrics, <a href="#">PKI</a> ). (See Security and Data Integrity Function).				
11.4.4	Prohibit modification of receipt number sequence and provide audit trail of receipt number usage (see Security and Data Integrity Function).				
11.4.5	Produce summary reports for each cash drawer, cash register, and cashier (see Accounting -- Receipting Function).				

11.4.6	Identify cashier with all transactions (e.g., receipts, reports).				
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## 12. Accounting -- Bookkeeping Function

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

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

### 12.1 Bank-Account Management

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

Subfunction		Criminal	Civil	Traffic	Comply
<b><u>Case management or financial</u></b>					
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.				
12.1.2	Post interest accruals to bank-accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts and escrow); associate accruals with proper bank account.				
12.1.3	Print (including ability to reprint) system-wide daily cash receipts journal.				
12.1.4	Produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case). (See General Accounting Function.)				
<b><u>Financial</u></b>					
12.1.5	Calculate and record bank deposits.				
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.				
12.1.7	Print (including ability to reprint) bank-deposit slips for specific banks and periods.				
12.1.8	For specific periods, compare court record of checks with bank record of checks; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report giving discrepancies for all reconciliations.				
12.1.9	Produce list of items that remain open for accounts that carry balance forward from one period to next period.				
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.				
12.1.11	Total and reconcile receipts over specific period for multiple cashiers to calculate				

	bank deposits. (See Accounting -- Receipting Function.)				
<b>12.1.12</b>	Receive bank statements and reconcile bank accounts electronically. (See Multi-Function Capabilities and Integration.)				

## 12.2 Draw-Down Account Management

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

Subfunction		Criminal	Civil	Traffic	Comply
<b>12.2.1</b>	Debit accounts established by authorized organizations to cover court expenses, and credit organizations' accounts based on electronic funds transfers from their bank accounts, debits from their credit card accounts, and on-line check writing. (See Multi-Function Capabilities and Integration.)				
<b>12.2.2</b>	Identify instances when balances in draw-down accounts are low and accounts require additional funds.				
<b>12.2.3</b>	Provide reports showing transactions on draw-down accounts over user-specified period.				
<b>12.2.4</b>	Allow users to specify that refunds will be credited to draw-down account.				

## 12.3 Case-Account Management

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

Subfunction		Criminal	Civil	Traffic	Comply
<b><u>Case management</u></b>					
<b>12.3.1</b>	Maintain financial parts of case files and <a href="#">docket</a> (e.g., payments collected, liabilities with linkage to accounts receivable in finance). (See Docketing and Related Record Keeping Function.)				
<b>12.3.2</b>	Compute and produce costs and fees based on occurrence of specific event (e.g., initial <a href="#">filing</a> , motion <a href="#">filing</a> ).				
<b>12.3.3</b>	Identify existence of fee waivers or deferrals, display message (e.g., indigent.), process appropriately (e.g., case filed but waiver deferred pending judicial review).				
<b>12.3.4</b>	Record funds collected from other local, state, and private units for payment of specific case and case- <a href="#">participant</a> costs, fees, and <a href="#">judgments</a> (e.g., for service of summons by law officer for another jurisdiction).				
<b>12.3.5</b>	Record changes to accounting records that result from court orders (e.g., change in monthly restitution amount) and modify appropriate records.				
<b>12.3.6</b>	Maintain standard tables for court costs, fees, and fines.				
<b>12.3.7</b>	Establish flexible, user-defined and maintained individual (e.g., for case, single defendant in case) case and case- <a href="#">participant</a> accounts when initial fees collected for new case (see Accounting -- Receipting Function).				
<b>12.3.8</b>	Allow payment of costs, fees, and other charges assessed to specific person in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, pay through).				
<b>12.3.9</b>	Post case- or case- <a href="#">participant</a> -related receipts to accounting records and <a href="#">docket</a>				

Subfunction	Criminal	Civil	Traffic	Comply
(installment payment receipts usually would not be entered in <a href="#">docket</a> ); associate receipts with proper case, case <a href="#">participant</a> , account, or case activity; interact with receipting to accomplish these tasks (see Docketing and Related Record Keeping Function).				
<b>12.3.10</b> Post case- and case- <a href="#">participant</a> -related disbursements to accounting records and the <a href="#">Docket</a> (installment-payment disbursements usually would not be entered in <a href="#">docket</a> ); associate disbursements with proper case, case <a href="#">participant</a> , other person (e.g., victim(s)), account, or case activity (see Docketing and Related Record Keeping Function).				
<b>12.3.11</b> 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.				
<b>12.3.12</b> Maintain and track various types of individual case or case- <a href="#">participant</a> accounts and balances by case, due date, and case <a href="#">participant</a> .				
<b>12.3.13</b> Produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, disbursements, court-cost assessments, fee assessments, monetary <a href="#">judgments</a> , voided transactions, indigent-fee cost waivers listed by type or chronologically) for specific cases and case <a href="#">participants</a> over specific periods (e.g., daily, monthly, for life of case).				
<b>12.3.14</b> Track status of accounts referred to other agencies or organizations (e.g., state-tax intercept to recover previously waived fees) for collection.				
<b>Financial</b>				
<b>12.3.15</b> Accrue fees to case based on occurrence of specific events, periodically apply debits and costs to accounts (e.g., defense attorney and media accounts), and produce account statements.				
<b>12.3.16</b> <a href="#">Generate</a> and print (including ability to reprint) invoices for and document collection of all moneys (e.g., fees for reservice of process).				
<b>12.3.17</b> Produce correspondence such as payment notices and dunning letters. (See Scheduling Function and Document Generation and Processing Function.)				
<b>12.3.18</b> Mark case or case- <a href="#">participant</a> account <a href="#">closed</a>				
<b>12.3.19</b> Provide capability to adjust receivables when directed by court order (e.g., write off uncollected debt).				
<b>12.3.20</b> Produce periodic (e.g., daily, monthly) report showing financial status and history (e.g., information on transactions, account balances, discrepancies, adjustments) for each specified case or case- <a href="#">participant</a> account.				
<b>12.3.21</b> <a href="#">Generate</a> other periodic financial reports based on various criteria, including at least account aging, audit trail, and journal reports (see General Accounting Function).				
<b>12.3.22</b> Post, process, and track garnishments, credits, and partial payments from case <a href="#">participants</a> or third parties subsequent to <a href="#">judgments</a> (see, also, General Accounting Function, Disposition Function, and Execution Function).				
<b>Financial (primarily court support)</b>				
<b>12.3.23</b> Create payment schedule, collect payments, apply payments collected to scheduled amount due (e.g., amount in <a href="#">judgment</a> ), and produce reports on overdue amounts.				
<b>12.3.24</b> Identify (i.e., input or compute) and record payment delinquencies, <a href="#">generate</a> alerts when scheduled payments not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency or law enforcement). (See Scheduling, Compliance, Criminal and Traffic Support Functions.)				
<b>12.3.25</b> Post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, costs, defense attorney fees) installment payments and partial payments from case <a href="#">participant</a> subsequent to <a href="#">disposition</a> (see General Accounting, Disposition, and Compliance functions).				

Subfunction	Criminal	Civil	Traffic	Comply
12.3.26 <i>Generate</i> accounting notices (e.g., for payment, overdue payment) in receipting or bookkeeping. (See Document-Generation and Processing Function.)				
12.3.27 Share information with state agencies to coordinate collection of court-ordered payments (see Criminal and Traffic Support Functions).				

## 12.4 Distributing Funds Among Accounts

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

Subfunction	Criminal	Civil	Traffic	Comply
<b><u>Case management or financial</u></b>				
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).				
12.4.2 Place hold on disbursements of funds deposited for a case.				
<b><u>Financial</u></b>				
12.4.3 Have the ability to disburse funds electronically to recipient bank accounts.				
12.4.4 Provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court), update ledgers, and produce reports (e.g., for each check not cleared over specific period).				
12.4.5 Electronically authorize and disburse collected moneys to other units (e.g., appellate court for appealed cases). (See Multi-Function Capabilities and Integration.)				
12.4.6 Post non case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account.				
12.4.7 Compute parts of fees and fines to be allocated to other local and state units (e.g., portion of fees for county parks, county library, other purposes) according to predefined formula.				
12.4.7.1 Permit distribution formula override with appropriate authorization.				
12.4.8 Disburse collected fees and fines electronically according to predefined formula, either periodically (e.g., monthly) or when fees or fines collected in conjunction with Receipting Function (see Multi-Function Capabilities and Integration, Accounting -- Receipting Function).				
12.4.9 Produce report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation.				
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 with prior authorization.				
12.4.11 Initiate, print, and disburse refund checks individually or cumulatively over specific periods. Record checks on check register.				
12.4.12 Produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period.				
<b><u>Financial (primarily court support)</u></b>				
12.4.13 Allow multiple pay-through cost assessments to be specified for each case.	x		x	
12.4.14 Provide capability to issue checks for pay-through activities individually (e.g., when collected) or periodically (e.g., monthly), based on accumulated	x			



Subfunction	Criminal	Civil	Traffic	Comply
payments.				
<b>12.4.15</b> Apply installment payments to proper account or activity (e.g., to fees, restitution owed).	x			

### 12.5 Administrative

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

Subfunction	Criminal	Civil	Traffic	Comply
<b><u>Case management or financial</u></b>				
<b>12.5.1</b> For specific periods, produce separate reports showing (1) cases and case <i>participants</i> for which payments (e.g., fees, fines, restitution) collected, no payments collected, fees waived, no payments due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case or case <i>participant</i> .				
<b>12.5.2</b> Produce report containing information on fees waived and associated payments.				
<b>12.5.3</b> Provide rigid <i>schema</i> of user privileges for accessing information and creating and adjusting financial entries (see Security and Data Integrity Function).				
<b>12.5.4</b> Produce lists arranged according to user-selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, person).				
<b>12.5.5</b> Produce summary reports for each cash drawer, cash register, and cashier.				

## 13. Accounting -- General Ledger Function

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

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

Subfunction	Criminal	Civil	Traffic	Comply
<b><u>All financial</u></b>				
<b>13.1</b> Create and maintain system-defined and user-customized chart of accounts.				
<b>13.2</b> Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries.				
<b>13.3</b> Reconcile and balance all accounts.				
<b>13.4</b> Create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.				
<b>13.5</b> Populate subsidiary ledger automatically using data from other parts of system (e.g., Disposition Function, Execution Function, other accounting functions).				

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

**Description** -- The activities associated with (1) creating, storing (including off-site storage of records back-up), accessing, managing, tracking, archiving, and disposing of paper, 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), in accordance with the records-management and retention provisions of the Rules of Superintendence.

Within the context of this document, file management refers to case files stored either manually or electronically. Case files must be tracked from the time the case is initiated until the files are destroyed. For paper 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-site facility (e.g., separate storage location for disks containing archived records).

These standards generally apply to management of imaged files without delving into the specifics of an *imaging* operation (e.g., scanning, retrieval, storage), but they do not necessarily assume an *imaging* capability because that is related technology and not a case-processing function (see External Interfaces in 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 [e.g., *imaging* of document, photographs (such as “mug shots”) and other graphics (such as fingerprints)] in the above functions, as well as additional features, such as document-version control and workflow for document routing to specific workstations. At least rudimentary document-management capabilities must exist either in the *case management system* or in a separate document-management system that can *interface* with the *case management system*. In addition to this section, the Document-Generation and Processing Function and Security Function describe these rudimentary document-management standards. The System-Capabilities section of Related Technical Considerations (Appendix A) 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.

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

### 14.1 File Tracking

Because many people need to use court records, sometimes simultaneously, the custodian of the court’s records must know the location of those records at all times throughout the records' life cycle. In accordance with local and state rules governing record retention (see Rules of Superintendence), court records must be identified when they are created at case initiation, stored as active, inactive, and archived files as they progress through the records' life cycle, and tracked until the records are destroyed.

The file-tracking *subfunctions* differ depending on whether the files are paper 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 location need not be tracked. Usually this situation prevails when the files are active and sometimes when they are inactive (e.g., depending on the reason they are inactive). Archived electronic files usually are moved to off-line storage, and their location must be tracked.

Subfunction	Criminal	Civil	Traffic	Comply
<b>14.1.1</b> <i>Generate</i> labels (with capability for the use of barcodes or other electronic identifiers) for paper case files (see also Case Initiation and Indexing Function). Provide capability to track files (e.g. barcodes and smart chips) and <i>generate</i> labels.				

14.1.2	<a href="#">Generate</a> indicators (e.g., color-coded labels) with information on checked-out paper files to replace those files in cabinet.				
14.1.3	Track manual case files from records custodian through each borrower (including those external to court) until returned to the records custodian relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data.				
14.1.4	Maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for paper and electronic archived files.				
14.1.5	Maintain status, last location, and date of destruction of paper and electronic files.				
14.1.6	Maintain audit trail of each case-file location with information similar to that noted above for file tracking (see also Docketing and Related Recordkeeping Function).				
14.1.7	Provide ability to track multi-volume files.				
14.1.8	Provide ability to flag electronic files when hard-copy file has been reported lost.				
14.1.9	Provide alert capability for hard-copy files reported lost (e.g. alert to screen of terminal accessing associated electronic file).				

## 14.2 File Archival and Destruction

The normal progression of case files, both electronic and paper, through an automated [case management system](#) requires movement from an active to an inactive status. Depending on variations in [local rules](#), the paper files are then archived and perhaps stored off-site for an indeterminate amount of time. Ultimately, many files are purged or destroyed. While files may be stored off-site or simply removed from active status in the case of most electronic files, most courts retain a journal which is a permanent record of the [judgments](#) of the court; many courts also maintain some type of a summary or an abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary. In the rare situation when a file, paper or electronic, is ordered to be expunged or sealed, that file must be rendered unrecoverable and completely unreadable, including all back-up or archived copies, except in circumstances required by law.

Subfunction		Criminal	Civil	Traffic	Comply
14.2.1	Identify cases to be archived, pursuant to retention schedules established either by Rules of Superintendence or local option, and later destroyed (see also Case Close Function).				
14.2.2	Identify cases to be retained permanently.				
14.2.3	Process files according to Sup.R. 26 for becoming archived, destroyed, or transferred to storage facility.				
14.2.4	Identify summary information (e.g., indices, and information as to case <a href="#">participants</a> for <a href="#">related cases</a> ) to be retained in active or archived files.				
14.2.5	Produce reports (including ability to reproduce or reprint) showing cases that will be, or have been, archived and destroyed or transferred pursuant to Sup.R. 26.				
14.2.6	<a href="#">Interface</a> with Docket and Related Record Keeping Function to update case records, and any <a href="#">participants</a> , related to cases transferred to inactive, archived, destroyed, or purged status (see Register of Events and Related Record Keeping Function).				
14.2.7	Create an electronic docket entry when a paper case is archived, destroyed, or purged.				
14.2.8	Seal or expunge files when ordered by the court.				

## 14.3 Reporting and Utility

[Case management systems](#) often perform various reporting and utility functions as part of file management.

Subfunction	Criminal	Civil	Traffic	Comply
14.3.1 <i>Generate</i> and print reports showing information relating to archived and destroyed or transferred cases.				
14.3.2 <i>Generate</i> reports, pursuant to user-selected criteria on file-management activities (e.g., file transfer, inactive files and purged reports).				
14.3.3 Perform utility functions (e.g., copy information such as <i>docket entries</i> and parties from one case to another, sort outputs by identifier, and copy historical case or defendant data to secondary file).				
14.3.4 Allow for merge and unmerge of files containing information on same defendant.				
14.3.5 Provide the ability to display an alert when merging and unmerging of files will affect multiple records.				

#### 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 management and word-processing systems (see separately promulgated Electronic Filing Standards for a discussion of electronic *filing*). The documents include the internally *generated* forms, letters, and brief reports described in the Document-Generation and Processing Function. Document-management capabilities must exist either in the *case management system* or in a separate *document management system* that can *interface* with the *case management system*. It is important to note that while it is understood that there is a significant difference between “reprinting” and “reproducing” documents, considering time required, complexity of processing the information, (e.g., recording version of *database* and document) and cost, it is nevertheless necessary to provide these options in any full function system. These options will allow the system administrator to determine whether the difficulty and cost involved is worth reproducing particular documents or whether reprinting will suffice. The capabilities shown below are in addition to those noted in the File-Tracking and the File-Archival-and-Destruction section of this function and in Document-Generation and Processing Function and Security Function.

Subfunction	Criminal	Civil	Traffic	Comply
14.4.1 Support input, output, storage (including <i>indexing</i> or an equivalent capability), and search and retrieval of electronic and imaged documents, according to format(s) approved by the Rules of Superintendence.				
14.4.2 Provide capability to toggle between <i>views</i> /windows of several different documents.				
14.4.3 Provide capability to <i>interface</i> with document-management system that is separate from case management if <i>case management system</i> excludes document-management capabilities.				
14.4.4 If <i>imaging</i> is included in overall case processing, image-management system must be integrated with the <i>case management system</i> .				
14.4.5 Support utilization of electronic or imaged documents in other functions without alteration of original image (e.g., to produce documents that include parts of several electronic or imaged documents; see Document-Generation and Processing Function).				
14.4.6 Provide equivalent security for contents of document-management system (see Security and Data-Integrity Function).				
14.4.7 Provide ability to save, store, and output any document produced by the system				

without requiring the data to be reprocessed.				
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## 14.5 Evidence and Property Management

*Evidence* (including proffered exhibits) and other property (e.g. subpoenaed records) must be identified when received and tracked as a part of specific files.

Subfunction	Criminal	Civil	Traffic	Comply
<b>14.5.1</b> Record receipt of <i>evidence</i> and other property (including <i>party</i> or <i>participant</i> submitting exhibit or property description, exhibit or property status such as submitted into <i>evidence</i> ), <i>generate</i> tag for <i>evidence</i> and other property, relate to specific case, <i>generate</i> receipts. This function may be available in multiple modules.				
<b>14.5.2</b> <i>Generate evidence</i> and property numbers or other identifiers.				
<b>14.5.3</b> Track location and status of <i>evidence</i> and other property.				
<b>14.5.4</b> Record return or destruction of <i>evidence</i> and other property.				
<b>14.5.5</b> <i>Generate</i> and distribute (i.e. by mail or e-mail) notices to reclaim <i>evidence</i> or property when court's usage completed pursuant to Sup.R. 26(F) (see also Document-Generation and Processing Function).				
<b>14.5.6</b> <i>Generate</i> , and print or display, lists of <i>evidence</i> and other property according to case, <i>party</i> , and <i>participant</i> .				
<b>14.5.7</b> Provide ability to reassign or resequence previously marked <i>evidence</i> .				
<b>14.5.8</b> Provide ability to reference and track all <i>evidence</i> when associated with multiple cases.				

## 15. Criminal and Traffic Support Functions

**Description** -- The functions and data associated with *interfaces* between the court's *case management system*, criminal-support units (i.e., bail, pretrial services, and *presentence investigation*), Criminal Justice agencies [i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation], and non justice agencies such as social services. These *interfaces* allow courts to share defendant and case information with the criminal-support units, criminal justice agencies, and some nonjustice agencies such as social services.

Use of the term "*integration*" in no way implies the relationship between the courts and separate agencies; rather, that data are exchanged to the extent necessary. There is no implication regarding each agency's lawful responsibilities. In keeping with the approach used in this document, this section assumes the *case management system* is or will be part of an Integrated Criminal Justice Information System (*ICJIS*). Since *integration* will most likely be a phased-in process and the *case management system* (of which criminal cases will constitute a major part), will initially be a stand-alone system in many instances, the system and *interfaces* should be developed in a manner that will permit them to evolve into part of a full *ICJIS*.

The *integration* of a *case management system* with the other required applications that comprise what is generally considered an *ICJIS* will require significant analysis and planning and considerable cost in order to provide the required *interfaces* necessary to exchange information electronically. Process mapping of the different *participants* in the *ICJIS* system along with an in-depth analysis of the "data exchange points" and data-exchange requirements is mandatory if the *participants* desire to minimize the chaos that can be involved with the electronic exchange of information between different branches of government and/or supporting agencies.

The *ICJIS* is premised on the sharing of information between the courts, *criminal support units*, criminal justice agencies, and non justice agencies that initiate and respond to the action -- law enforcement, prosecutor, public defender (defense attorney) -- and those that must act on the court's decisions -- corrections, parole and probation, and non-justice agencies. With the continued and expanding embrace of the electronic transfer of

information and with fully functional audit-trail (transactional tracking) capabilities enhancing system accountability; there is enhanced interest in the exchange of information between justice partners in a truly “paperless” environment. For example, warrant issuance, maintenance, and resolution must be allowed for in any [case management system](#) and [integration](#) effort, and the warrant information must be kept as up to date as possible considering the “warrant’s” capability of depriving an individual of their freedom. Any serious analysis of [integration](#) at any level will evaluate the “paperless” environment as a credible option.

There are sound and measurable business reasons to embrace the concepts and implementation of an [ICJIS](#) solution. They include the following:

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

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

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

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

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

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

## 15.1 Pretrial Services

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

Subfunction	Criminal	Civil	Traffic	Comply
15.1.1 <a href="#">Generate</a> a locally defined pretrial report.	x		x	
15.1.2 Receive conditions of release.	x		x	
15.1.3 Create record of compliance with pretrial conditions of release.	x		x	
15.1.4 Receive information regarding non compliance of pretrial intervention or supervision requirements.	x		x	

## 15.2 Presentence Investigation

The presentence-investigation unit conducts and reports on investigations used by the court to set [sentences](#). In part, this investigation may possibly include pertinent information on foreign nationals and illegal aliens. In some jurisdictions, this may include a pre-plea investigation.

Subfunction	Criminal	Civil	Traffic	Comply
15.2.1 Receive presentence information or contents of report electronically (e.g., date ordered, date returned, results, extension requests). (See Hearings Function).	x		x	
15.2.2 Send information for presentence report (see Hearings Function).	x		x	
15.2.3 <a href="#">Generate</a> a defined form for pre-sentence report.	x		x	

## 15.3 Audit-Trail Management

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

Subfunction		Criminal	Civil	Traffic	Comply
15.3.1	Coordinate and track changes in case numbers (e.g., for cases transferred to general jurisdiction court), individual identifiers (e.g., across courts, <a href="#">criminal support units</a> , criminal justice agencies, and non-justice agencies), and other identifiers.	x		x	
15.3.2	Track changes in modified or amended <a href="#">charges</a> from point of arrest or initial <a href="#">filing</a> through completion of <a href="#">sentence</a> while remaining linked to the incident for <a href="#">disposition</a> -tracking purposes.	x		x	
15.3.3	Track changes in dismissed <a href="#">charges</a> from point of arrest or initial <a href="#">filing</a> through <a href="#">disposition</a> while remaining linked to the incident for <a href="#">disposition</a> -tracking purposes.	x		x	
15.3.4	Track pleas entered and their verdicts.	x		x	
15.3.5	Track <a href="#">sentence</a> compliance and modifications (see Disposition and Compliance functions).	x		x	
15.3.6	Track location, reasons for issuance and resolution, and status of all warrants and other served documents (e.g., subpoenas, bench warrants, search warrants, warrant recalls, capias). (See Document Generation and Processing Function.)	x		x	

#### 15.4 Integrated Criminal Justice Information System Interfaces

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

Subfunction		Criminal	Civil	Traffic	Comply
<b>General</b>					
15.4.1	Send, receive, and correlate case and individual identification information from each criminal justice agency, correlate information for court use, and transfer to court functions such as case initiation, <a href="#">indexing</a> , and <a href="#">docket</a> (e.g., <a href="#">charges</a> for a defendant from the perspective of law enforcement, prosecutor, grand jury, courts); arrest by law enforcement and citation numbers; use of defendant information to set bail, assign public defender (defense attorney); monitor an individual's release and vehicle information.	x		x	
15.4.2	Allow access to <a href="#">docket</a> , financial, and case status information.	x		x	
15.4.3	Provide information to appropriate criminal-support units, Criminal Justice agencies, and non-justice agencies and state criminal history repositories regarding the specifics of court orders (e.g., notice to <a href="#">BMV</a> of license revocation and points, notice to professional boards, notice to arresting agency and defendant as to immobilization/forfeiture of vehicle, etc.).	x		x	
15.4.4	Provide defendant information by defendant or case.	x		x	
15.4.5	Allow for multiple numbering and <a href="#">index</a> systems required by different courts, <a href="#">criminal support units</a> , Criminal Justice agencies, and non justice agencies.	x		x	
15.4.6	Provide court and case information for an individual to court/non court agencies for <a href="#">indexing</a> purposes.	x		x	
15.4.7	Provide criminal-support units and criminal justice agencies (1) access to input and output templates and (2) use of templates to complete documents (e.g., <a href="#">pleadings</a> , warrants, orders). (See Multi-Function Capabilities and Integration and Docketing and Related Record Keeping and Document-Generation and Processing functions.)	x		x	
15.4.8	Send all final <a href="#">disposition</a> information to Bureau of Criminal Identification & Investigation ( <a href="#">BCI&amp;I</a> ).	x		x	
15.4.9	Send warrants and other documents to be served (e.g., subpoenas) to appropriate	x		x	



Subfunction		Criminal	Civil	Traffic	Comply
	agency with request for acknowledgement of receipt.				
15.4.10	Receive and acknowledging receipt of warrants and other served documents (e.g., subpoenas) from appropriate agencies with appropriate signatures.	x		x	
15.4.11	Receive return of service on warrants and other served documents (e.g., subpoenas).	x		x	
15.4.12	Facilitate warrant reconciliation with appropriate agency maintaining state-criminal-history repository.	x		x	
15.4.13	Send notice of expungements, sealed-case, and sealed-documents information to all appropriate agencies.	x		x	
15.4.14	Send and receive all pertinent risk and need assessments between court, criminal-support units, criminal justice agencies, and non justice agencies (criminal justice agencies as defined in section 14 intro).	x		x	
15.4.15	Send case, <a href="#">docketing</a> , court <a href="#">scheduling</a> or calendaring information, <a href="#">disposition</a> , and <a href="#">sentence</a> information to appropriate agencies. (See Docketing and Related Record Keeping, Scheduling, Calendaring, and Disposition functions.)	x		x	
15.4.16	Allow access to case, calendar, court order, <a href="#">sentence</a> , and <a href="#">disposition</a> information (see Docketing and Related Record Keeping, Calendaring, Hearings, Disposition functions and Inquiry in Related Technical Considerations in Appendix A).	x		x	
15.4.17	Allow access to <a href="#">evidence</a> information (e.g., for disposal of <a href="#">evidence</a> ). (See File, Document and Property Management Function and Inquiry with Related Technical Considerations in Appendix A).	x		x	
15.4.18	Send information on court schedules, <a href="#">convictions</a> , and <a href="#">sentences</a> to appropriate agencies.	x		x	

## 15.5 Law enforcement

Subfunction		Criminal	Civil	Traffic	Comply
15.5.1	Receive booking, arrest, <a href="#">custody</a> , bail information with individual identification information (SSN, DOB, ITN and fingerprint, photograph) (see Case Initiation and Indexing Function).	x		x	
15.5.2	Allow access to case, <a href="#">docket</a> , calendar, sentencing, and <a href="#">disposition</a> information (see Docketing and Related Record Keeping, Calendaring, Hearings functions and Inquiry in Related Technical Considerations in Appendix A).	x		x	
15.5.3	Allow view of <a href="#">evidence</a> information (e.g., for disposal of <a href="#">evidence</a> ) (see File, Document, and Property-Management Function and Inquiry with Related Technical Considerations in Appendix A).	x		x	
15.5.4	Send orders (e.g., <a href="#">disposition</a> , commitment, license suspension, temporary protection orders, immobilization) electronically (see Document Generation and Processing and Hearings functions).	x		x	
15.5.5	Receive data on initial complaint, indictment, or information (see Case-Initiation and Indexing Function).	x		x	
15.5.6	Send sex-offender-registry notification to appropriate agencies.	x			

## 15.6 Prosecutor

Subfunction		Criminal	Civil	Traffic	Comply
15.6.1	Allow access to <a href="#">evidence</a> information (e.g., for disposal of <a href="#">evidence</a> ). (See File, Document, and Property-Management Function and Inquiry with Related Technical Considerations in Appendix A.)	x		x	
15.6.2	Receive data on initial complaint, indictment, or information (see Case-Initiation and Indexing Function).	x		x	
15.6.3	Receive and send witness and victim information.	x		x	

### 15.7 Public Defender (Defense Attorney)

Subfunction		Criminal	Civil	Traffic	Comply
15.7.1	Maintain list of eligible attorneys that could be selected for criminal defense assignment (see Case Initiation and Indexing and Docketing and Related Record Keeping functions).	x		x	
15.7.2	Maintain accounting for attorneys fees paid for criminal-defense assignments by court, transcript, and expert fees.	x		x	
15.7.3	Send and receive all notices for out-of-jurisdiction requests for appearance.	x		x	
15.7.4	Confirmation of indigency status.	x		x	

### 15.8 Adult Probation

Subfunction		Criminal	Civil	Traffic	Comply
15.8.1	Receive summary probation information (e.g., content of probation order, including terms and conditions; type of probation program, such as work program, home arrest, jail and work release, alcohol and drug program; level of supervision; status of probation, such as suspended, reinstated, extended, revoked; progress of probation; history of probation) sufficient for court review of each defendant ordered to probation.	x		x	
15.8.2	Allow access to case, calendar, court order, <a href="#">disposition</a> information (see Docketing and Related Record Keeping, Calendaring, Hearings, Disposition, Compliance functions and Inquiry in Related Technical Considerations in Appendix A).	x		x	
15.8.3	Accounting – Receipting and Bookkeeping Functions <a href="#">interface</a> with fiscal units to collect, <a href="#">generate</a> receipts for, track, and disburse financial sanctions for each defendant within each case.	x		x	
15.8.4	Allow access to account information involving an individual on probation (see Accounting – Bookkeeping Function).	x		x	
15.8.5	Accounting -- Bookkeeping Function <a href="#">interface</a> with probation unit to <a href="#">generate</a> payment history and other status reports or displays for financial sanctions.	x		x	
15.8.6	Receive probation-violation information (see Docketing and Related Record Keeping and Scheduling functions).	x		x	
15.8.7	Receive information on defendant who has fulfilled conditions of probation (see Case Close Function).	x		x	

## 15.9 Detention and Corrections

Subfunction	Criminal	Civil	Traffic	Comply
15.9.1 Receive and send information on <a href="#">custody</a> and release status (see Case-Initiation and Indexing Function).	x		x	
15.9.2 Send case- <a href="#">disposition</a> , sentencing, commitment, and transport information (see Disposition Function).	x		x	
15.9.3 Receive information on <a href="#">sentence</a> compliance and completion (see Disposition and Compliance functions).	x		x	
15.9.4 Receive information on defendant who has completed detention or any programs administered by corrections (see Case-Close and Accounting -- Bookkeeping Functions).	x		x	
15.9.5 Receive information on incarceration (e.g., parole <a href="#">hearings</a> , sexual-offender status, request for medical releases).	x		x	
15.9.6 Send notification of release from physical <a href="#">custody</a> in advance of planned release or upon instance of involuntary release, such as escape or death, to victim-services agency.	x		x	
15.9.7 Send schedule for court appearances to detention facility for inmate-transportation <a href="#">scheduling</a> .	x		x	
15.9.8 Send and receive all special orders regarding conditions of confinement.	x		x	
15.9.9 Send and receive all notices for out-of-jurisdiction requests for appearance.	x		x	

## 15.10 Immobilization Traffic Functions

Subfunction	Criminal	Civil	Traffic	Comply
15.10.1 Provide for vehicle immobilization/forfeiture data (e.g., seizing agency, storage location and period of immobilization) and tracking:			x	
15.10.2 Include the ability to enter vehicle information			x	
15.10.2.1 Have indicators for whether the vehicle is a passenger or commercial or cycle or over 26000 or bus or hazardous material carrier. (This should be made a required field for the entering agencies)			x	
15.10.2.2 Have the fields to enter vehicle information as to plate/vin/owner/make/model			x	
15.10.3 Provide crash reports			x	
15.10.4 Have the ability to show proof of financial responsibility data and tracking			x	
15.10.5 Supply reports of OVI and DUS prior conviction information for penalty enhancement.			x	
15.10.6 Produce printout of prior traffic convictions for penalty enhancement			x	
15.10.7 Have the ability to check driving privileges data and tracking		x	x	
15.10.8 Have ability for Municipal Civil to send 12 point suspension modification records, random selection/noncompliance modification records and fee payment plans.		x		

## 16. Security and Data-Integrity Function

These are the activities associated with ensuring the security and integrity of the [case management system](#), its data, and its documents during normal operations and after a system failure or outage. Security is accomplished through a combination of features in the [case management system](#), the computer hardware and operating-system software, and special-purpose hardware and software.

## 16.1 Security

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

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

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

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

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

Level 2 -- For official users outside the court who frequently submit [filings](#) and need information from the system (e.g., attorneys of record), there must be protection from access to unauthorized parts of the system, from submission of erroneous data and documents, and from direct entry of data and documents (i.e., Level 1 users would be permitted to enter data and documents directly into the system).

Level 3 -- For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing limited parts of the system’s data and documents, as provided by law, or court order.

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.

In addition to the 3 basic levels described above, any system which allows access to the system from unsecured locations (e.g. information kiosks or internet access) must provide a fourth level of security involving user-manageable access controls to include restriction of session time, amount of data per session, total sessions, etc.

The application software should contain carefully designed input edits to improve data quality and integrity by checking data entered into the system. The system should maximize the use of defined codes for data entry so as to minimize free-form data entry.

Normal features provided by vendors with the computer and system software protect the system and [database](#) from unauthorized access. Local and remote log-on and password protection restricts access to the [case management system](#). [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” connote all types of files, including those used to store data, documents, and programs.)

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

**Subfunctions** -- Security [subfunctions](#) are:

Subfunction	Criminal	Civil	Traffic	Comply

Subfunction		Criminal	Civil	Traffic	Comply
16.1.1	Ensure that electronic case records (e.g., electronic <a href="#">filings</a> , <a href="#">dockets</a> , system-generated documents, calendars) cannot be modified without supervisor or system-administrator notification.				
16.1.2	Allow access and similar privileges on authorizations defined, maintained, and controlled by users (e.g., access authorization tables controlled by system administrator).				
16.1.3	Create and maintain records on access privileges for specific groups of users and types of data (e.g., case, defendant, victim).				
16.1.4	Restrict local and remote access to and permissible operations (i.e., view; add; change; delete; seal; and expunge) on case types, case categories, files, parts of files, and system functions from and to other system functions, device (e.g., terminals, PC's, printers) locations, users, and groups of users.				
16.1.5	Restrict local and remote access to certain cases, classifications of cases, and parts of cases (e.g., Social Security numbers, access to sealed cases, access to defendant name and address in suppressed indictments) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders. This includes active, inactive, and archived cases.				
16.1.6	If public access is allowed, provide adequate security (e.g., read-only access for data; creation and synchronization of separate subset of <a href="#">database</a> ); restrict access to user-selected fields/data within files or records; maintenance of "firewalls" that restrict access to only some of system and <a href="#">database</a> .				
16.1.7	Provide audit trails that show which users and workstation locations logged on to system during specified period.				
16.1.8	Provide or allow secure <a href="#">authentication</a> (e.g. passwords, digital certificate, biometrics) in accordance with infrastructure and security standards promulgated under Sup.R.27.				
16.1.9	Allow authorized user correction of individual or groups of cases when data-entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently-entered cases to be changed).				
16.1.10	Maintain and produce audit trail in "normal" user data environment (e.g., audit trail must be in user table space, accessible, along with related master tables, code tables, etc., through ANSI SQL, and end-user reporting and ad hoc query tools. System level Before and After Image Journals, Redo Logs, etc. do not qualify for this purpose) of file additions, modifications, deletions, and rejected transactions (e.g., <a href="#">filings</a> entered into <a href="#">docket</a> ), including who made entry, when entry made, whether date entered and date filed differ (see Docketing and Related Record Keeping Function).				
16.1.11	Allow the Administrator Group to determine access levels to specific groups of information (i.e., victim and witness) in order to comply with locally and /or state-defined procedures as they pertain to witness and victim protection.				

## 16.2 Integrity

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

The [case management system](#) should contain carefully designed input edits to improve data quality and integrity by checking data entered into the system.

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

**Subfunctions** -- Integrity [subfunctions](#) are:

Subfunction	Criminal	Civil	Traffic	Comply
16.2.1 Provide for disaster recovery (e.g., reconstruct status of system and its case management and financial functions and data, such as permitting access-authorization tables and cash-register totals to be reconstructed and system to be restarted).				
16.2.2 Perform user-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).				
16.2.3 Ensure each document and its contents sent by user (e.g., attorney) matches that same document and its contents received by court for electronically filed cases and other information received electronically to ensure that court is referencing and retrieving correct information.				
16.2.4 Provide for "hot" file backups at any time (i.e., users may continue to view, retrieve, update, etc. data while the backup function operates).				
16.2.5 Ensure that only single set of data exists for each defendant (i.e., various identifiers for given defendant must be correlated).				
16.2.6 Ensure clarity of all system- <a href="#">generated</a> messages (e.g., full explanation of inputs that fail edit or data-validation tests).				
16.2.7 Produce statistics on transactions received, transactions accepted, transactions rejected over specific time period.				
16.2.8 Allow for merging and unmerging of files containing information on the same defendant.				

## 17. Management and Statistical Reports Function

**Description** -- These reports provide caseload, caseflow, and workload statistics and management information on court operations, finances, and staffing. The Chief Justice under Superintendence Rule 37 identifies the court-statistical-report-form that the judges of the courts of appeals, courts of common pleas, municipal courts and county courts must submit to the Court Statistical Reporting Section of the Supreme Court.

The [Case Management System](#) must meet five mandatory requirements associated with reporting:

1. The [case management system](#) must satisfy federal, state, and local reporting requirements;
2. The system must produce the management reports, including scheduled-event and exception reports, as described in the [subfunctions](#);
3. Users must have the capability to define (through the use of a report writer) additional management reports according to local needs;
4. Most management reports must be available in detail (information on individual cases or persons) and summary (information on groups of cases or persons) form;

5. Management reports must allow system administrators and end-users to obtain information on all or specific groups of cases or persons when they request a given report.

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

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

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

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

**Subfunctions** -- The statistical and management-information [subfunctions](#) are:

## 17.1 Statistics

As a by-product of day-to-day case management, the system produces statistics for local use that satisfy the data and reporting requirements of the judicial branch, state agencies, and the federal government. These statistics appear in reports that are either produced locally by the [case management system](#) or at the state level by using data or reports 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., tort, contracts, real-property rights, small claims within the civil-case type; felony and misdemeanor within the criminal-case type) for a specific period on the number of cases pending at the beginning of the period, the number of cases filed and transferred in, reactivated, or redesignated during the period, the number of cases terminated or otherwise removed from the court's control (e.g., stayed proceedings and unavailability of [party](#) for trial or sentencing) during the period, and the number of cases pending at the end of the period. The reports must provide supporting details on these basic statistics. The [case management system](#) should also provide reports on court-wide caseload and performance (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 pending awaiting answer or response, mediation, pretrial [conference](#), trial), and average intervals between stages (e.g., between initial [filing](#) and answer or response, between initial [filing](#) and pretrial [conference](#)).

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](#)).

Subfunction		Criminal	Civil	Traffic	Comply
17.1.1	Satisfy reporting requirements of Supreme Court and state agencies as noted in				

	remainder of this section; <i>generate</i> report documenting any missing required information.				
17.1.2	Verify data sent to the Supreme Court and state agencies using verification techniques such as aggregate totals.				
17.1.3	Export statistical and case data to Supreme Court and state agencies electronically in a nonproprietary format (see also Multi Function Capabilities and Integration).				
17.1.4	Produce caseload, caseflow, and workload reports:				
17.1.4.1	pending cases arranged according to user-defined criteria such as by case type, case category, <i>charge</i> , nature of action, event status, length of time pending, or judge;				
17.1.4.2	active cases not scheduled for <i>hearing</i> arranged according to user-defined criteria such as case type, case category, or reason not scheduled;				
17.1.4.3	<i>disposed</i> cases arranged according to various criteria such as by case type, case category, <i>disposition</i> type, nature of action, proceeding stage when <i>disposed</i> , <i>charge</i> , or judge;				
17.1.4.4	reopened cases arranged according to user-defined criteria such as by case type, case category, reason reopened, or judge;				
17.1.4.5	pending cases awaiting specific action such as service, response to objections to magistrate decision or recommendation for transfer;				
17.1.4.6	pending and <i>disposed</i> cases, compared against benchmark and mandatory time guidelines;				
17.1.4.7	pending cases with specific status;				
17.1.4.8	judicial workloads; and				
17.1.4.9	weighted caseload summaries.				
17.1.5	Produce statistical reports associated with financial activities (see also accounting functions).				

To produce statistics that transcend the local *case management system*, statistical reporting must occur from the local court system to the local government and state, and possibly national government levels. To satisfy this requirement, electronic *interfaces* must exist between the local system and outside systems. Also, the system must be capable of verifying data sent to judicial branch and state agencies using techniques such as aggregate totals. There must be a means of consolidating data from local systems to produce uniform state-level statistics (such as could be accomplished through data warehousing).

## 17.2 Management Information

While management reporting is a mandatory capability for every *case management 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 management systems* could produce, categorized by whether the reports contain case, financial, or person (e.g., defendant, *participant*, judge, attorney) information, calendar monitoring, system-performance monitoring, or system-usage and quality-assurance information.

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

As used in this section, the term “reports” refers to outputs to display devices and to file extractions for transfer to other systems, Internet posting, or the standard printed output. Local court users must be provided with the option to determine the detailed content and format of these outputs, even if the type of report is predefined within the system.



Subfunction		Criminal	Civil	Traffic	Comply
<b>Case information</b>					
17.2.1	Judge assignments -- maintain and report on current and past judge assignment (including specific cases, case types, case categories), recusal, challenges, <a href="#">hearing</a> results, reassignment, disqualification with reasons where appropriate (see also Scheduling Function)				
17.2.2	<a href="#">Docket</a> contents by case --- gives <a href="#">docket</a> or contents for specific cases, groups of cases, and <a href="#">related cases</a> .				
17.2.3	Events – gives information on specific types of events including all or major events in upcoming period by case.				
17.2.4	Open warrants -- gives supporting information (e.g., case number, <a href="#">party</a> name, dates warrant issued and served) on all cases with open warrants.				
17.2.5	Motions – gives status of motions, including motions waiting for <a href="#">hearing</a> or under advisement; gives status of related petitions, requests, and age of motions.				
17.2.6	Specific <a href="#">charges</a> and <a href="#">convictions</a> – gives information on specific types of crimes and <a href="#">convictions</a> (e.g., sex crimes), including demographics and relationship to mandatory and maximum <a href="#">sentences</a> and fines.	x			
17.2.7	Court orders – gives reports on court orders issued by type of order and case.				
17.2.8	Trials -- capture and track duration of trials by user-specified criteria such as courtroom, judge, or other judicial officer, whether jury or non-jury, and how estimated duration of trial compares with actual duration.				
17.2.9	<a href="#">Dispositions</a> – gives reports by type of <a href="#">disposition</a> and within a specified period of time.				
17.2.10	Terminations – gives reports by type of termination and within a specified period of time.				
17.2.11	Executions and garnishments -- produce <a href="#">index</a> of executions and garnishments sorted according to user-defined criteria (e.g., by execution number, requester name, date issued, date returned).		x		
17.2.12	Pretrial intervention and diversion -- gives information on pretrial intervention and diversion programs by program and case.	x			
17.2.13	Bail -- gives information on various situations involving bail and bonding functions (e.g., outstanding bail, bail forfeited) by case and type of situation.	x			
17.2.14	Conditions of probation -- gives reports by type of conditions.	x			
17.2.15	Case management rules – produce various reports necessary to meet reporting requirements of Rules of Superintendence (i.e., Sup.R. 37).				
17.2.16	<a href="#">Judgments</a> -- list and give supporting information (e.g., <a href="#">party</a> such as debtor or creditor, date of <a href="#">judgment</a> , amount of <a href="#">judgment</a> ) on all cases with <del>open</del> <a href="#">judgments</a> .		x		
17.2.17	Appeals – report of all appeals filed for a specified date range.				
<b>Financial information</b>					
17.2.18	Delinquencies -- gives information on payment delinquencies by case or person.				
17.2.19	Collection report – provide collection report which is parameter driven (e.g. only records over x days old, over x dollars past due, accounts with x pay method) with ability to display and print details or in summary format.				
17.2.20	Account status and history -- gives information about each account.				
17.2.21	Account activity -- gives aging, audit trail, journal, and similar information about each account.				
17.2.22	Payment plan history – provide report of defendants on payment plans (e.g. payments, extensions, active accounts, releases/full stays, compliance statistics, non-compliance).				
17.2.23	Revenues – <a href="#">generates</a> a report indicating the revenues for a specified date range which apply to the city, county and state.				
17.2.24	Receivables -- gives amounts owed and waived for each person or organization.				
17.2.25	Payables -- gives information on disbursements from accounts.				
17.2.26	Produce reports identifying amounts owed and waived for each person or				

Subfunction		Criminal	Civil	Traffic	Comply
	organization (e.g., fee waivers for specific parties, balance due on attorney accounts, amounts due as result of attorney sanctions).				
17.2.27	Electronic transactions – produces statistics on electronic transactions received, accepted and rejected over a specific time period.				
	<b>Person information</b>				
17.2.28	<u>Docket</u> contents by person -- gives <u>docket</u> contents for specific persons (e.g., defendant, defense attorney) and groups of persons.				
17.2.29	Upcoming events by person -- gives all or most significant events in upcoming period by person.				
17.2.30	<u>Charge</u> and <u>sentence</u> -- gives defendant information by defendant, <u>charge</u> , or <u>sentence</u> .	x		x	
17.2.31	<u>Dispositions</u> on offense and violations – provide a report of <u>disposition</u> on each offense and violation (e.g. traffic violations).	x		x	
17.2.32	Judge and magistrate assignment -- gives current and past assignments, recusals, <u>hearing</u> results, reassignments, disqualifications with reasons, length of time assigned.				
17.2.33	Attorney case list -- gives cases (all, active, inactive) and related information (e.g., case status) for specific attorney.				
17.2.34	Person schedules -- gives number of cases or events scheduled for specific people (e.g., judges, defense attorneys, prosecutors, other <u>participants</u> ) and resources (e.g., court or meeting rooms) by time periods.				
17.2.35	Person assignments and appearances -- gives judicial proceeding assignments and appearances for specific individuals (e.g., judge, prosecutor, plaintiff, defense attorney, defendant, witness, victim, and other <u>participants</u> ) by time periods.				
17.2.36	Self-represented defendants -- gives lists and status of cases involving self-represented defendants.				
17.2.37	Probation -- gives reports on defendants ordered to probation, including type of program (e.g., work release, electronically monitored house arrest, substance abuse treatment), progress of current probation, history of probation.	x			
17.2.38	Probation violation – provide reports of violations with no action based on local court rules.				
17.2.39	Non-returned commitment orders and warrants – provide a report of commitment orders or warrants issued but not returned to the court.				
17.2.40	Victims -- gives information on victims.				
17.2.41	Plea agreements -- gives information on plea agreements.	x			
17.2.42	Warrants -- gives information on warrants, including location, reason for issuance, and status.	x			
17.2.43	Personal histories -- gives prior information on persons (e.g., arrests, <u>convictions</u> , aliases, economic status, demographics).	x			
17.2.44	Criminal-support units -- gives current and historical information by organization or case on <u>criminal support units</u> (i.e., bail, pretrial services, and pre-sentence investigation), criminal-justice agencies (i.e., law enforcement, prosecutor, public defender (defense attorney), and adult probation), and non justice agencies, such as social services.	x			
17.2.45	Special <u>dispositions</u> -- <u>competency</u> and Not Guilty by Reason of Insanity ( <u>NGRI</u> ).	x			
17.2.46	Sexually oriented registry notification.	x			
	<b>Calendar monitoring information</b>				
17.2.47	Calendar summary -- gives calendar information by case type, case category, judge, defense attorney, defendant, prosecutor, date.				
17.2.48	Event-schedule overload -- gives a comparison of the number of events scheduled to maximum number allowable and indicate when limits exceeded.				
17.2.49	Schedule modifications -- gives schedule modifications over specific period by defense attorneys and other <u>participants</u> .				
17.2.50	Judge availability -- gives time available within specific period (e.g., week,				

Subfunction		Criminal	Civil	Traffic	Comply
	month) for each judge.				
17.2.51	Failure to appear – provide failure to appear report based on locally defined rules.				
17.2.52	Calendar summary -- produce reports that summarize calendars sorted according to user-defined criteria (e.g., by case type, case category, judge or other judicial officer, attorney, defendant, date) with Internet-posting capabilities (see also Calendaring Function).				
17.2.53	Produce reports similar to calendar summary described above that show whether specific cases have been <i>disposed</i> and provide a cross-reference to calendars in which they were <i>disposed</i> (see, also, Calendaring Function).				
17.2.54	Executions and garnishments -- produce <i>index</i> of executions and garnishments sorted according to user-defined criteria (e.g., by execution number, requester name, date issued, date returned).		x		
	<b>Performance monitoring information</b>				
17.2.55	Case management performance -- gives a report of conformance to time and other performance standards (e.g., ABA Time to Disposition Standards, Supreme Court of Ohio Benchmark and Time Guidelines and speedy trial rules) and tracking criteria (e.g., case age, case status, judge, exceptional cases such as complex litigation and capital cases).				
17.2.56	Milestone events -- capture and track locally defined milestone events (e.g., initial <i>filing</i> , answer or response, settlement <i>conference</i> ) for specific cases or groups of cases (e.g., case classification such as medical malpractice, judge, court division), giving more flexible caseflow information (e.g., elapsed time between user-specified events) than is available in standard statistical reports described in previous section.				
17.2.57	<i>ADR</i> providers -- track <i>ADR</i> provider assignments, decisions, and performance criteria (e.g., settlement rates).				
17.2.58	Cases terminated -- gives a report of whether specific cases have been terminated with cross-references to calendars in which they were terminated.				
17.2.59	Inactive cases -- gives information on inactive cases by last event.				
17.2.60	Continuances -- gives lists of and supporting information on cases that have been continued over specific period by judge, defendant, defense attorney, reason for continuance, and other criteria.				
17.2.61	Trial duration -- gives duration of trials and compares estimated and actual duration by courtroom, judge, whether jury or non jury trial, and other criteria.				
17.2.62	Differentiated case management events -- gives milestone events for specific cases or groups of cases, giving more flexible caseflow information than is available in standard statistical reports described in previous section.				
17.2.63	Timeliness of <i>hearings</i> -- gives a report on timeliness of <i>hearings</i> after <i>entry</i> of plea.				
17.2.64	Timeliness of orders -- gives timeliness of <i>entry</i> of court orders in time-sensitive situations.				
17.2.65	Over-age cases -- according to user-selected criteria (e.g., judge, <i>party</i> ) give supporting overall information (e.g., number per case, per judge, per attorney, per requester, and where granted) for over-age cases.				
17.2.66	Order type and compliance ratios -- gives percentages of court orders with specific characteristics, such as restitution, substance-abuse treatment, or community service ordered and completed.	x		x	
17.2.67	Status of court-ordered services and remedies -- gives status of program referrals by type of program.				
17.2.68	Results of court-ordered services and remedies -- gives results of program referrals by type of program.				
17.2.69	Service or remedy evaluation -- gives information on program referrals to permit evaluation of program providers and compliance by defendants.				
17.2.70	Service or remedy ratios -- gives percentages of defendants entering and				

Subfunction	Criminal	Civil	Traffic	Comply
completing court-ordered programs by type of program.				
<b>17.2.71</b> <u>Disposition</u> ratios -- gives percentages of cases <u>disposed</u> by <u>disposition</u> type.				
<b>System usage and quality assurance information</b>				
<b>17.2.72</b> System-usage-audit trail -- gives audit-trail reports that show (1) which users and workstation locations logged on to system during specified period and (2) file additions, modifications, and deletions (e.g., <u>filings</u> entered into <u>docket</u> ), including who made entry, when entry made, whether dates entered and filed differ, and (3) manpower reports of work done by employees.				
<b>17.2.73</b> Case inventory -- gives periodic inventory of cases in system.				
<b>17.2.74</b> Archival or destruction of case files -- produces reports showing cases that will be or have been archived or destroyed.				
<b>17.2.75</b> Case-file location -- gives reports by file or person who checked out file, physical location of each manual case file, and how long file has been checked out.				
<b>17.2.76</b> Case-property location -- gives 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 <u>disposed</u> or destroyed.				
<b>Report output formats</b>				
<b>17.2.77</b> Produce reports as printed reports, displays, or extracted files suitable for transfer to other systems or Internet posting.				
<b>17.2.78</b> Allow a user to select multiple sort options including date order (i.e. ascending or descending) or case information presented in case histories.				
<b>17.2.79</b> Allow user to build custom reports through the use of a report-writing module to meet user-defined needs.				

## Appendix A: Related Technical Considerations

### **Related Technical Considerations**

While the functional capabilities of the [case management 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 necessarily 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 management 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, [case management systems](#) may communicate with other technologies and systems, such as a central state repository for court information and other state or local agencies. The other technologies may be internal to the court but external to the [case management system](#) or they may involve systems and users outside the court.

### **Other Technologies Internal to Court**

The [case management system](#) may communicate with some of the following input and output technologies within the court but external to the system:

- Case management among multiple court locations (e.g., [filings](#) at one branch, [hearings](#) at another branch), transfer of individual cases between locations, and transfer of multiple cases and case information between locations in a single transaction (see, also, System Capabilities).
- [Integration](#) of [case management system](#) with modern courtroom technologies that assist in judicial decision making by gathering and displaying on-line information from other courts, justice 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),
- [Integration](#) of [case management 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), in-court generation of documents, and electronic filing and [docketing](#) of those documents;
- [Integration](#) of [case management system](#) with legal research (e.g., capability to transfer text for court orders and other documents from legal-research system to [case management 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), and other technologies;
- [Integration](#) of [case management system](#) with word processing and spreadsheet software to permit easy transport of system data into and out of word-processing documents and spreadsheets;
- Generation of official output documents (for transmission or printout) by supplying data transferred from word processing documents to imaged documents with official text, seals, and signatures;

- [Integration](#) with other technologies and systems such as individual schedulers (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update 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 management 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, e-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 enablement, facsimile transmissions, e-mail, and other technologies to avoid preprinted forms;
- [Integration](#) of [case management system](#) with input and output needs of handicapped persons (e.g., through voice and other technologies that do not require keyboard and mouse entries); in accordance with ADA requirements;
- [Integration](#) of [case management system](#) with input and output needs of non-English speaking persons (e.g., through multi-lingual system capabilities);
- [Integration](#) of [case management system](#) with handheld and other mobile computers using wireless communications for remote access in accordance with system security standards;
- 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 enablement, 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 backs 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. 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 technology (sender cannot later deny sending information). The section titled Multi-Function Capabilities and Integration earlier 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 management system](#) data entry;
- Varied and flexible inquiry keys (e.g., case number, case type, [party](#), attorney, event) and other search criteria as noted below;
- Variety of user-defined searches including phonetic, Boolean logic, substituting “wildcards” for a limited number of unknown characters, date range, and progressively more detailed queries;
- Inquiry and retrieval of individual [database](#) items or groups of [database](#) items (e.g., individual or multiple judges, attorneys, parties, cases, [dockets](#), calendars, [hearings](#), other events and their results, tickler information);
- Retrieval of information on related events (e.g., all [docket entries](#) pertaining to particular hearing type for specific case, all pending motions in case for which new motion filed);
- Retrieval of information on [related cases](#);
- Scroll backward or forward through information retrieved through inquiry;
- Simple arithmetic calculations (e.g., add, subtract, multiply, divide) available to operate on retrieved information (e.g., elapsed days from arrest to first appearance);
- Retrieved and calculated information presented in variety of user-defined formats and groupings (e.g., by date range or [party](#));
- User option to print any display; and
- Modification of displayed information and sorting options on some display screens with proper user authorization.

## **Report Generation**

Typically, printed reports are standard (i.e., pre-programmed either by the vendor or systems administrator) 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 a variety of sources. 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 system-administrator intervention, it often leads to problems for system administrators: the volume of reports created and run by users inundates the computer and causes processing deadlines to be missed. Possible solutions are for system administrators 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 system administrators) 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 compose the final group of related technical considerations, which, once again, are not functional standards. While the functional standards address case management 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 and open 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](#), 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 [quasi-judicial 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 28 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 management profiles (e.g., containing case management rules and schedules for each event) for each case type and case category. Ideally, the case management 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 such as 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 enhanced functionality would provide 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 enablement, [imaging](#), and conversion from imaged characters to data or word-processing formats using Optical Character Recognition). 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 management system](#) or different systems) as a means of accommodating multiple court locations (see External Interfaces). This function assumes the highly complex tasks of allocating processing functions, allocating data, and defining the network and assumes that 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 e-mail integrated with case management to permit easy distribution of schedules, [docket](#), 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).

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## Appendix B: Glossary

<b>Glossary Term</b>	<b>Definition</b>
<b>ADR</b>	Alternative Dispute Resolution
<b>Any Affected Person or Entity</b>	Affected people or entities consist of judge, defense attorney, prosecutor, victim, defendant, witness, and participant.
<b>Authentication</b>	The process by which data is verified.
<b>Batch</b>	Processing by groups or sets of documents or data.
<b>BCI&amp;I</b>	Bureau of Criminal Identification and Investigation. A bureau of the Ohio Attorney General's office.
<b>BMV</b>	Bureau of Motor Vehicles.
<b>Case Data Type</b>	includes case categories (e.g., felony, misdemeanor, miscellaneous criminal) within the criminal case type and maintains information on each case, such as case number, type, status, and style; court; initial filing information; and cross-references to any affected person or entity and other data.
<b>Case Management System</b>	Provides an automated trail of parties related to the case and case filings and progression; includes journal, summary, abstract or index of the case that will provide answers to inquiries; may facilitate the electronic retrieval of the entire case file (note: document uses term Case Management System).
<b>Charge</b>	Codified section that defines the offense, and its description.(Example: ORC 2913.02, theft).
<b>Closed</b>	A status characterized by final disposition of a case.
<b>Competency</b>	The mental ability to process information and make reasonable decisions. A criminal defendant's ability to stand trial measured by the ability to understand the proceedings, to meaningfully consult with counsel, and to assist in the defense.
<b>Conferences</b>	Meetings, usually off the record, between the judge or other court official and the parties or their representatives aimed at resolving issues in a particular case.
<b>Conviction</b>	A criminal proceeding that results in a plea or judgment that finds the accused guilty.
<b>Court Event</b>	A judicial activity that determines a legal action.
<b>Court Identifiers</b>	A data element assigned to a court, which recognizes and associates that data element with a specific court.
<b>Court Location Identifiers</b>	A data element that recognizes and associates the data element with the location of a specific court.
<b>Court Type</b>	A tribunal defined by the scope of its jurisdiction over subject matter and monetary or geographical limits.
<b>Criminal and Traffic Support Function</b>	A process that assists in the apprehension, adjudication, or sanctioning of a defendant.
<b>Criminal Support Units</b>	A component of an organization, agency, or department that is part of the criminal justice system. (e.g. pretrial services and probation).
<b>Custody</b>	The care or control of an object or person. The term may mean physical detention or a legal or physical power to take possession.
<b>Data Types</b>	A unit of data (e.g. alpha, numeric, formatted, validated) stored in a field.

<b>Glossary Term</b>	<b>Definition</b>
<b>Database</b>	A structured collection of related information records organized in such a way that a computer program can consult it to quickly select desired pieces of the data in response to a query. The information contained within the database can be accessed, managed, and updated by application processing.
<b>Differential Case Management</b>	Tailoring the type of management to the needs of the case, rather than processing every case the same way.
<b>Disposed</b>	A status characterized by resolution of all or part of a case or dismissing an individual party or parties in a case due to a judgment resulting from a court decision, ADR event, default, dismissal, withdrawal, settlement, transfer to another court, or consolidation.
<b>Disposition</b>	The activities associated with disposing a case or defendant in a case, including any type of disposition resulting from a court decision after jury or nonjury trial, guilty plea (e.g., by plea agreement), dismissal, bind over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture.
<b>Document Management System</b>	Some document-management systems may provide advanced capabilities (example: imaged “mug shots” and automated fingerprints) as well as additional features, such as document-version control and workflow.
<b>Docket</b>	A record of concluded events that shows the existence of a document that is part of the official court record. The record in which the clerk of the court enters all of the information historically included in the appearance docket, the trial docket, the journal, and the execution docket.
<b>Docket entry</b>	The recording in notation form of a court order, other judicial proceeding, or of a court case activity, such as service being done or a filing being made, into the official court case record which is known as the docket.
<b>Docketing</b>	The process of making a docket entry
<b>Document type</b>	An official court document such as a complaint, indictment, subpoena, motion, warrant, or journal entry.
<b>E-Filing</b>	Electronic transfer and acceptance of pleadings, motions, and other documents, with an electronic “stamp” and signature and fully functional audit trail. Submission of official court documents such as pleadings and other filings in electronic, rather than paper, form to the clerk’s office from remote locations (e.g., prosecutors, and defense attorneys’ offices). Users in the remote locations prepare electronic-input documents according to the court’s requirements, and they transmit the documents to the court using the Internet and other communications media. The court confirms receipt of the document, records pertinent information (e.g., sender identifier, time and date of filing), maintains the document in a secure environment, in a verifiable format, and in a manner that allows rapid access; and transfers data from the filing into the case management system.
<b>Entry</b>	A document that memorializes the action of a judge or other judicial officer and is sometimes called an Order. Additionally in some courts a notation on the docket is also called an entry, short for a docket entry.
<b>Event type</b>	Examples include pretrial, trial, and motion and sentencing hearings such as complaint filed, indictment or information filed, motion hearing scheduled, trial scheduled, trial held, case disposed, or sentence modified.
<b>Evidence</b>	Records, documents, exhibits, concrete objects, testimony, etc., presented to the court to show the existence of or the nonexistence of a fact. Evidence must be identified when received and tracked in an analogous manner to files.
<b>Filing</b>	Document submitted to the clerk of court for inclusion in the official court record, such as complaint, indictment, information, petition.
<b>Generate</b>	Produce a document, report or other user-requested display of information.
<b>Hearing</b>	Proceedings in which arguments, witnesses, evidence, and exhibits are heard and examined.

<b>Glossary Term</b>	<b>Definition</b>
<b>ICJIS</b>	Integrated Criminal Justice Information System. The criminal justice system is composed of various entities and agencies (e.g., courts, law enforcement, prosecutors, public defenders, pretrial services) that are constantly sharing information with each other. ICJIS contemplates an integrated electronic interface of information between the various criminal justice agencies and participants.
<b>Imaging</b>	The scanning, capturing, storing, and retrieval of documents, fingerprints, photographs, and other images into electronic medium.
<b>Index</b>	a searchable list of case information which contains a limited amount of locally-defined data about each case, such as names and case numbers
<b>Integration</b>	The implementation of electronic information exchange between criminal justice system agencies and other participants such that established exchange procedures exist for the sharing of information.
<b>Interface</b>	A boundary across which two independent systems (e.g., court's case management system and law enforcement's system) meet and act on or communicate with each other.
<b>Judgment</b>	Generally, a court's final determination of the rights and obligations of the parties in a case. In a criminal proceeding, a judgment of conviction consists of a plea, verdict, or findings and sentence. It is only effective when signed by the judge and entered in the journal by the clerk.
<b>Local Rules</b>	Rules of practice promulgated by local courts (e.g., county, municipal, common pleas, and appellate courts) throughout the state of Ohio pursuant to Rule 5 of the Rules of Superintendence for the Courts of Ohio. Local rules must not be inconsistent with the rules promulgated by the Supreme Court of Ohio.
<b>NCIC</b>	National Crime Information Center. NCIC is a computerized index of criminal justice information (i.e.- criminal-record-history information, fugitives, stolen properties, missing persons). It is a program sponsored by the U.S. Department of Justice, Federal Bureau of Investigation, and is available to federal, state, and local law enforcement and other criminal justice agencies.
<b>NGRI</b>	Not Guilty by Reason of Insanity.
<b>Nolo Contendere</b>	Latin phrase meaning "I will not contest it." A plea in a criminal case that has a similar legal effect as pleading guilty. It generally cannot be used as an admission in related civil proceedings.
<b>ODBC</b>	Open Data Base Connectivity. A standard database-access method developed by Microsoft Corporation. The goal of ODBC is to make it possible to access any data from any application, regardless of which database management system (DBMS) is handling the data.
<b>Participant</b>	An individual or organization that is a contributor in a court proceeding. Subcategory of affected person or entity.
<b>Party</b>	Person or other legal entity involved as a litigant in a case such as plaintiff or defendant.
<b>PKI</b>	PKI (public key infrastructure) enables users of a basically unsecure public network such as the Internet to securely and privately exchange data and money through the use of a public and a private cryptographic key pair that is obtained and shared through a trusted authority.
<b>Pleading</b>	The complaint, indictment, or information, and pleas of not guilty, not guilty by reason of insanity, guilty, and no contest.
<b>Presentence investigation</b>	The investigation conducted by a probation department after conviction of a defendant for sentencing purposes. The investigation results in the preparation of a report that contains the defendant's prior criminal record, the circumstances of the offense, the defendant's social history, employment records, financial ability, personal characteristics, family situation, and present physical and mental condition.
<b>Quasi-judicial Personnel</b>	Non judicial personnel performing judicial functions, such as a mediator.

<b>Glossary Term</b>	<b>Definition</b>
<b>Real-Time</b>	Instantaneous availability of entered data.
<b>Related Cases</b>	Cases in the case management system may involve more than one defendant who has a relationship to the same particular incident. Correspondingly, there may be cases involving separate incidents that relate to the same defendant.
<b>Scanner</b>	A computer-peripheral device that senses data and images from paper copy and converts the information using appropriate software to digital information.
<b>Scheduling</b>	A function of the case management software to associate future events with each case active in the system. See Function 2.3.
<b>Schema</b>	A structured framework or plan.
<b>Sentence</b>	The judgment of a court in a criminal case as recorded in a journal entry specifying the sanction for the offense.
<b>Statistically Closed</b>	A case that has been closed statistically in compliance with Superintendence Rule 37 that may be reopened without the necessity of a new case number.
<b>Subfunction</b>	Functional standards in these Case Management Standards. Each function is subdivided into subfunctions that define the standards.
<b>Views</b>	Descriptive name for case information displayed on screen.

## Appendix C: Response To Comments Regarding Case Management Functional Standards For Civil And Criminal Cases In Ohio

After more than two years of work, the Standards Subcommittee, of the Supreme Court's Advisory Committee on Technology and the Courts, released, in the fall of 2004, the first draft of its Case Management Functional Standards for Civil and Criminal Cases in Ohio. During the next 90 days, the Committee received more than 700 comments concerning this document.

Due to the volume of comments, the Subcommittee is unable to respond to each comment individually. Instead, the Subcommittee organized the comments by general subjects and analyzed the comments in reference to the topic, or section of the document, to which the group of comments related. The purpose of this response is to summarize the actions taken by the Subcommittee in response to the comments, and to explain the Subcommittee's response when no modification to the document was prompted by the comments. The Subcommittee's responses are as follows:

### Financial Concerns

Some people making comments concerning the draft Standards for Civil/Criminal Case Management Systems expressed concerns that the Standards would be costly to implement and would not produce significant benefits for their Courts. The Standards Subcommittee will accept that these concerns may be based upon a lack of clarity in the draft concerning both the purpose and intent of the Standards.

The Advisory Committee on Technology and the Courts (through its Standards Subcommittee) has been charged by Sup. R. 27 to develop "minimum, uniform standards relating to the creation, distribution, [filing](#), and storage of and access to electronic documents," and "minimum, uniform standards for information and document systems." Although the Subcommittee had the option of drafting standards that simply codified the capabilities of the least capable systems currently in use, such an approach would fail to meet the charge of Sup. R. 27. The Standards were never intended to be a rule with which each court must immediately comply. Rather, the Standards look to future implementation of upgrades to, or replacements of, existing systems.

The Subcommittee concluded that, although all courts currently employ some form of computer-assisted case management, these courts will eventually decide that significant changes to those systems are required. The need for change may be driven by a variety of factors, including growth of caseload, available new technology, possible system failures, and changing expectations from both system users and the courts. The Standards are, therefore, directed at that decision-point for courts when they are selecting between available alternatives to meet their need for changes. By defining for courts and software vendors the functions which a [case management system](#) must perform, the Standards will guide the vendors in developing the systems which will be available within the market, and guide courts in evaluating available software alternatives when significant changes are to be made.

Additionally, the intent is to define the capabilities of a computer-based system, not the functions that every court must implement. For example, although many courts will not be ready to implement an electronic [filing](#), or remote data entry, function within their courts, such a function may be needed in the future. The software must be capable of supporting such functions so that a court will have the ability to implement more advanced functions in the future without being forced to migrate to a totally new system.

A [case management system](#) based upon a modern [database](#) management system is capable of not only storing and displaying data elements, but also allowing users to use those data elements in a variety of ways to meet the needs of the court and the public for information. Modern systems allow data elements to be used to track cases, and people, through the justice system, and across multiple jurisdictions; to avoid [scheduling](#) conflicts; to publicly display, and distribute, schedules, and other vital information about cases, to a variety of people; to automate the production and distribution of standard documents and notices; to efficiently produce management reports to aid decision-makers; and to greatly improve the ability of court administrators, and the public, to evaluate the performance of court systems in meeting the needs of the public.

### Compliance Issues

Many comments expressed concerns that some of the functions described in the Standards document were not needed by many of the courts in Ohio. Some persons making comments were concerned that their courts would be required to implement significant changes to their existing systems which would be costly, and would cause significant disruption to services caused by new types of functions and the need for court personnel to learn how to use these new functions.

In response to these comments, the Subcommittee added language to the "Introduction" section of the document to attempt to clarify the intent of the document. This new language explains that the purpose of the document is to describe the functions which Courts, and their Clerks, use to manage caseloads. Although some courts will use functions which others do not, the Subcommittee decided not to diminish the capabilities expressed in the document because many courts will, in the future, find need of more advanced functions as caseloads increase. By requiring that such more advanced functions are already enabled in all

[case management systems](#), courts will not necessarily face significant expenses as their needs increase. The purpose of the standards document is to describe what a software system must be capable of doing, not to prescribe how a Court must manage its cases.

Many comments in this group questioned the need for a [case management system](#) to support “[e-filing](#),” and other types of electronic data exchange, in accordance with the [E-Filing](#) Functional Standards developed by the Electronic Filing Work Group of the Subcommittee. Again, the Subcommittee’s response is to continue to require that all [case management systems](#) must be capable of supporting [e-filing](#) and electronic data exchange, while leaving it to the local courts to decide when to implement this function.

### **Database Structural Issues**

Some comments expressed concerns with the requirement that the [database](#) management system, upon which a [case management system](#) is built, must comply with the Open Database Connectivity (“[ODBC](#)”) standard. In response to these concerns, language was added to the “Introduction” section of the document to explain the Subcommittee’s reasons for requiring [ODBC](#) compliance. In response to comments raising security concerns with this requirement, the Subcommittee acknowledged that system administrators must be cognizant of security concerns, and must take appropriate measures to ensure the integrity of the system and the data stored therein.

### **Expungement**

A group of comments indicated that the document failed to adequately address the handling of sealed criminal records. These comments indicated that the sealing of records concerning a [conviction](#) was materially different than the archiving of case information as addressed in the document. In response to these comments, the Subcommittee added a section to the “File Archival and Destruction” subfunction to deal with expungements.

### **Clarification of Terms**

Many comments raised concerns about the meaning of certain terms, and whether some terms were used in different contexts causing different meanings. Examples included “user,” “administrator” and “calendar.” The Subcommittee has reviewed the sections to which these comments were directed and has made selected changes in an attempt to clarify meanings.

### **Privacy**

Several comments raised concerns about whether certain types of data maintained within [case management systems](#) should be open for public inspection. Many of these comments raised issues which would be best dealt with by the Advisory Committee’s Privacy Subcommittee, and the Standards Subcommittee has elected to defer to the Privacy Subcommittee. Others raised concerns with provisions of the Public Records Statute, and the Subcommittee elected not to address those concerns.