Volume 1 - Civil Case Processing System Functional Standards

About this Volume

This volume addresses the functions performed by civil case processing systems, where civil includes the general and limited jurisdiction case categories such as tort (e.g., automobile, malpractice, contract, and product liability), contracts, real property rights, and small claims. This volume excludes appeals filed with civil trial courts from lower courts (except for de novo appeals which are included).

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

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

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

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

Certain terms used in these national functional standards are deliberately ambiguous and must be further defined before application software vendors can design their products. These terms include "locally defined," "locally used," "as appropriate," "other functions," "any data," "all transactions," "appropriate action," and "other units" that appear in this volume to allow for local customization. Each court (or group of courts within a state or region) must eliminate such terms by defining in detail what these ambiguous and vague terms mean to that court.

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

Subfunction Number Situation

Subfunction Number	Situation
1.1.1	locally defined case number formats
1.1.2	locally defined case title or style
1.1.4	locally used case acceptance tests
1.1.5	local procedures for identifying newly filed cases
1.1.6	locally used court identifiers
1.2.1	locally defined case index content
2.2.7, 14.2.3	state and local recordkeeping policies and procedures
2.4.6	electronic input documents and, as necessary, cover sheets
3.2.6	judge assignment by predefined rules and specific conditions
3.3.1	upcoming or overdue events for which users should be tickled
5.1.3	viewing of judges' notes according to local rules and statutes
6.6	minute order procedures according to local rules
6.7	record updates working with docketing, ... , other functions
9.2	cross references between docketing, ... , other functions
10.1	compliance with generally accepted accounting principles
10.2	appropriate security and authorization for accounting functions
10.3	user overrides to data automatically supplied by system
11.2.3	locally defined receipt number formats
11.3.4	cashier identifier on all transactions
12.1.1	maintenance of financial parts of case files
12.1.5	prompts to take appropriate action on arrearages
12.2.2	financial information sharing with state agencies
12.2.5, 12.2.6, 12.2.7	funds distribution procedures
15.1	edit and data validation checks
15.3	supervisor notification for electronic record modification
16.2.16	locally defined milestone events for case tracking

Functional Standards Approach

Civil case processing systems track the progress of cases through a court and produce supporting documents and reports. The basic unit of information these systems use covers the persons involved in the case—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 them. In addition to persons, therefore, basic units of information address events scheduled in the future and events that have already taken place.

Each case has a financial element; civil cases involve fees, judgments, and charges for court services. While the allocation of financial functions between civil case processing systems

and financial systems varies, most civil case processing systems maintain at least some financial information.
Finally, these systems produce management information and statistics about the case processing and financial activities.

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

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

Functional Groups

Current and Past Events

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

- Case initiation and indexing - initially entering and indexing newly filed, transferred, reopened or remanded, counter- or cross-claimed, de novo appealed, and other new cases and the ongoing indexing activity.

- Docketing and related recordkeeping - initiating and maintaining the docket or register of actions of activities that are part of the official court record and maintaining the relationships between and accessibility to docket-related information for a given case and cases that relate to it.

- Hearings - recording the results of hearings and notifying parties of court decisions.

- Disposition - disposing a case.

- Execution - executing a judgment.
- Case close - 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, which are not part of the official court record, and the calendaring of activities, which together with the results of these activities become part of the official court record.

- 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 which include general, front office and 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, caseflow, workload, and other reports.

System and Utility

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

- File and property management - creating, managing, tracking, archiving, and disposing case records and receiving, tracking, and returning or destroying exhibits and other property.

- Security - ensuring security, privacy, and integrity of civil case processing systems and their data.

Data Groups

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

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 its purpose and content. The data elements given here are not intended to be a complete list of the data elements that would constitute the data type. Detailed data standards and a data dictionary should be developed locally for each court application during the system definition and design phases.

Case

This group consists of a single data type—the case data type, which includes various case categories (e.g., tort, contracts, real property rights, small claims) within the civil 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 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 (i.e., individual or organization with standing to bring an action before a court such as a plaintiff, defendant, third party) in a court proceeding including identifier; name; type of party; address(es); personal information; status; aliases; and cross references to case, attorney, financial, and other information.

- Participant - data on each individual or organization who is a participant (e.g., court officer, witness, credit agency) in a court proceeding including name; type of participant; address(es); status; and cross references to case, attorney, financial, company, and other information.

- Judge - data on each judge including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as cases (for ease of discussion, the term "judge" includes judges and other judicial officers such as ADR providers [e.g., mediators, arbitrators]).

- 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.

- Non-court agencies - data on agencies external to the courts (e.g., process service, collection) that may participate in a case including name and location with cross references to case number, party, and other information.

Event

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

- Filings - data on each pleading and other documents (e.g., complaint, petition) filed with the court including document type; filing date; filing party; method of filing; and follow-up actions with cross references to case, financial, document generation, and other information.

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

Document and Report Generation

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

- Summons 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 warrants and summons) including type of process; recipient; method of service; date of service; return of service; other status data; and cross references to case, party, and other information.

- Forms and other documents issued by court - data on each such document (i.e., documents given to a person or sent by mail with proof or certificate of service such as notices) including type of document; recipient; proof or certificate of service; information on scheduled event; status and status date; and cross references to case, party, and other information.

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

System and Utility

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

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

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

- Document management - data to assist in storing, retrieving, and manipulating documents.

Organization of Functional Standards

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

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

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

Standards for Individual Functions

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

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

- Subfunction - each subfunction is characterized by a short phrase that describes the task(s) it performs and is numbered for ease of referencing during development of in-house systems and requests for proposals (RFPs) for vendor-supplied systems.

- Auto - in this column, "yes" indicates functions that should be automated as described above; otherwise, the column is blank.

- Mandatory - some subfunctions represent mandatory capabilities that would be performed in any civil case processing system (denoted by "all" in this column); some represent capabilities that would be mandatory only in large courts (denoted by "large" in this column); some represent capabilities that would be mandatory only in small courts (denoted by "small" in this column); and some represent capabilities that would seldom or never be mandatory but would be optional (denoted by a blank in this column and an entry in the optional column described below).

- Optional - notations in this column are analogous to those in the mandatory column described above.

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

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

Table 1 – Rules for Table Entries

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

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

Multifunction Capabilities and Integration

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

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

Information should be exchanged electronically within court systems, and between courts and (1) other governmental units at the federal, state, and local levels (e.g., 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 civil case processing system must be compatible with these procedures. Other than general information exchange, the standards in this volume contain specific types of electronic information exchange, including electronic filing, document distribution, fee payment, and funds transfer. The standards for each function also contain specific applications of electronic information exchange and indicate whether each application is mandatory or optional. The rudimentary standards envisioned here could be enhanced as described in the External Interfaces sections of Related Technical Considerations (Appendix A).

- Electronic filing - Submission of official court documents such as pleadings and other filings in electronic, rather than paper, form to the clerk's office from remote locations (e.g., attorneys' offices) (see Appendix B). 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 document into the case processing system.

  The data transferred into the case processing system as a result of electronic filing comes either directly from the electronic input documents or, more typically, from electronic cover sheets that accompany the input documents (see Appendix B for a discussion of electronic filing). The document (i.e., electronic document or cover sheet) that is the source of the data transferred into the case processing system must provide a

means of identifying the data to be transferred (e.g., through tags in XML or word processing documents) (Appendix B provides additional information about XML).

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

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

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

- Electronic document distribution - Distribution of electronic court documents (e.g., orders, judgment forms, electronic acceptance notices following electronic pleadings, other types of notices), docket summaries, calendars, and detailed and summary reports using dial-up lines, the Internet or intranet, facsimile transmissions, e-mail, and other technologies (using "push" as well as "pull" technology - note that "push" technology refers to data that is pushed to another location such as a dumb computer terminal; "pull" technology refers to data that is pulled down from another location such as the Internet). The court may need advanced capabilities to distribute electronic documents that can be acted on by recipients (e.g., by extracting tagged parts of calendars for use in individual schedules). The court must establish procedures for electronic document distribution analogous to those noted above in electronic filing. In addition to distribution outside the court, some of these documents (e.g., orders, notices, judgment forms) would be sent to the clerk's office to be filed as described above. Electronic document distribution also is addressed in the Document Generation and Processing, Calendaring, and Disposition functions.

- Electronic fee payment and funds transfer - 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 transfers 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 Counter and Cashiering and the Accounting - Back Office functions.

- General electronic information exchange - Civil case processing systems must exchange other types of information with the systems of various entities. The interfaces associated with statistical reporting and judgments (i.e., the general term for any 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 encompasses the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities in the above functions, as well as additional features such as document version control and workflow for document routing to specific workstations. Sources of documents include electronic filing, the Internet, local or remote scanners or facsimile machines, and transfer from other systems (e.g., case processing, word processing) by diskette or electronically. With electronic filing and document distribution, at least rudimentary document management capabilities must exist in either the civil case processing system or a separate document management system that can interface with the civil case processing system. The Document Generation and Processing; 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 volume, therefore, should interact with other functions in a completely integrated fashion with minimal or preferably no manual intervention except when the user executes an override. When the functions are performed by separate systems (e.g., separate case processing and financial systems), the level of integration should be such that the existence of separate systems is transparent—or at least not an inhibiting operational factor—to the user. While integration would extend to all functions throughout the system, examples of some functions that would be integrated are:

- 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 system when creating calendars;

- Appropriate functions display judges' caseloads during docketing, scheduling, and other functions; and

- 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 close, and other functions;

- Execution function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions;

- Case close function operates in conjunction with docketing, case close, accounting, document generation, scheduling, and other functions (e.g., to establish cross references between consolidated cases for docketing, scheduling, and notice generation; to permit cases to be closed at cash register);

- Accounting function supplies fee, payment, account, and other information to case initiation, docketing, and other functions; and

- File, document, and property management function interacts with docketing, scheduling, and other functions to ensure data validation checks satisfied (e.g., events occur in proper sequence).

In many situations, several functions would be performed contiguously; that is, they would appear to be a single function. For example, case initiation, docketing, scheduling, noticing, and calendaring are accomplished at the same time in small claims and many other limited jurisdiction civil cases; and disposition and case close often are the same function in many jurisdictions. This volume covers the functions separately to accommodate those situations in which they are distinct case processing steps.

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

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

The civil case processing functions can interact with the functions of other types of case processing systems (e.g., criminal, probate) in the same court (e.g., to transfer information on parties) with minimal manual intervention or rekeying of data unless the user wishes to intervene.

Functions

1. Case Initiation and Indexing Function

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

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

- Case,
- Filings,
- Party,
- Participant,
- Attorney,
- Judge,
- Scheduled events, and
- Other events and entries.
-

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

1.1 Case Initiation

New cases are entered into the court computer system so that information and filings (e.g., complaints, petitions) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries conform to locally used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, basic case information).

Other than indexing, the most basic case initiation activities are to give the case an identifier, a description, and a case file.

Table 1.1 – Case Initiation Subfunctions

	Subfunction	Auto	Mand.	Opt.
1.1.1	generate and assign case number using locally defined format	yes	all	
1.1.2	generate locally defined case title or style (i.e., short phrase that identifies case and includes plaintiff and defendant names) from party names and other information	yes	all	
1.1.3	generate and assign separate party identifier (e.g., party number) for each plaintiff and defendant	yes	all	
1.1.4	conduct locally used review processes to ensure case should be accepted by court and display results (e.g., attorney not suspended for failure to pay)	yes	all	
1.1.5	enter reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures)		all	
1.1.6	enter locally used court identifiers (e.g., district court) and court location identifiers (e.g., county number)		all	
1.1.7	enter other identifiers (e.g., parcels in real property rights cases) and establish relationships with parties		all	
1.1.8	enter in docket or register of actions case initiation information including information on initial filing noted above and basic case information (e.g., case type, case category, case status, case title or style, parties, attorneys, and docket-related events) (see also Docketing and Related Recordkeeping Function)		all	
1.1.9	enter in docket or register of actions information for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person if organization (see also Docketing and Related Recordkeeping Function)		all	
1.1.10	support electronic filing (e.g., directly from attorneys' offices) and move designated data (e.g., tagged basic case information) from electronic document to civil case processing system (see also Multifunction Capabilities and Integration and Security Function regarding verification of electronically entered data)	yes	large	small

Table 1.1 – Case Initiation Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
1.1.11	generate receipt for or notify appropriate parties that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically) (see also Document Generation and Processing Function)	yes	all	
1.1.12	record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing, bankruptcy filings) (see also Scheduling Function)			all
1.1.13	support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter local differential case management parameters and time standards into code translation tables; see List of Code Translation Tables). PLEASE NOTE: differential case management may entail highly complex computer programming because it may permit the user to define complete case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category)		large	small
1.1.14	create groups of related cases (e.g., several tort cases filed against same defendant by different plaintiffs, multiple-plaintiff asbestos cases, other class action cases) from single or multiple filings such that initial and subsequent entries can be applied to each case in group (see also Docketing and Related Recordkeeping Function)		large	small
1.1.15	establish relationships between cases and case categories and court types (e.g., small claims), locations, and departments (e.g., for large courts with multiple locations) (see also List of Code Translation Tables)			all
1.1.16	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 party names, addresses, and other identifiers noted above)	yes		all

1.2 Indexing

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

The overall purpose of an index is to allow users to look up cases or parties and view index information such as each party's name, 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 inquiry and report generation capabilities (see Appendix A) for more varied displays and reports.

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

Table 1.2 – Indexing Subfunctions

	Subfunction	Auto	Mand.	Opt.
1.2.1	create and maintain locally defined index that (1) contains basic index information (e.g., each party name, role in case, and whether party has an attorney; case type; case number; date filed; and cross reference to other parties in case [e.g., other party named in case title or style]), (2) permits database look-up by a choice of key fields (e.g., party name, party role, case filed date range) and, if record found, (3) permits retrieval and display of index information, and (4) permits easy interfaces with other parts of civil case processing system as noted below		all	

Table 1.2 – Indexing Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
1.2.2	handle look-up and retrieval subfunctions by identifying a specific party name, party role, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up—and then obtaining index information by selecting from list of matching cases or parties or by using key fields noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, user selects desired Smith from list by clicking on proper line or entering proper key fields, system returns index information on cases involving that Smith)		all	
1.2.3	allow users easy interface with other parts of the system such as docketing, scheduling, calendaring, and accounting for potentially all related case and financial information (i.e., on specific case, its parties, its participants, its attorneys and on cases related to specific case and to its parties, participants, and attorneys) and with the inquiry and report generation capabilities for more varied displays and reports (see also Inquiry and Report Generation sections [Appendix A])		all	
1.2.4	permit name search on various combinations of a person's or party's name (e.g., full name, last name only, part of first or last name, other options noted in Inquiry Section [Appendix A])		all	
1.2.5	if attorneys included in index, allow multiple names and bar identifiers			all
1.2.6	include index information in index record as noted above or make this information easily accessible (e.g., in a manner that requires no additional user actions)		all	
1.2.7	permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided)	yes	all	
1.2.8	extract, print, or otherwise produce (e.g., microfiche) with appropriate security restrictions index information arranged according to various components of index (e.g., party, case number, case status) (see also Security Function)		all	
1.2.9	retrieve basic index information on all cases associated with specific participant		large	small
1.2.10	accommodate aliases in conjunction with indexing and processing of party names as appropriate			all

2. Docketing and Related Recordkeeping Function

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

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

- The docket is a record of concluded actions, known in some jurisdictions as a register of actions. This volume does not use the terms "docket" and "docketing" in any of the other connotations used in some courts, such as a term to represent the court calendar for a given day.

- As a record of concluded actions, the docket is never anticipatory. The content of the docket entry of a completed event, however, may be anticipatory (e.g., docket entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future).

- The docket's entries show the existence of a document that is part of the official court record. Some courts include other completed actions in the docket (e.g., completed unofficial administrative scheduling action), but these standards limit actions recorded in a docket to those intended for the official court record.

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

Users enter information in the docket or register of actions as court events are completed. The docketing function differs from the scheduling and calendaring functions (covered later in this volume) in that scheduled events and calendared matters are to be acted on in the future. For example, the clerk would enter a scheduled event on a future but not in a docket or register of actions. If the clerk places a matter on a judge's calendar as a result of the activities associated with the scheduled event, the clerk 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 other judicial officers such as ADR providers [e.g., mediators, arbitrators].)

From a computer system perspective, the docket is a logical entity and not a physical repository of information as in manual case processing. Recordkeeping related to the docket refers to the computer's ability to access, correlate, and manipulate records (e.g., code translation tables, case records, party records) in a manner that produces the required information on a given case and on cases that have a particular relationship to the given

case. The computer produces this information as if it were in a physical docket book. The Information Relationships section addresses this situation and gives examples.

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

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

- Case,
- Filings,
- Party,
- Participant,
- Attorney,
- Judge,
- Financial,
- Exhibits,
- Summons and other served processes,
- Forms and other documents issued by court,
- Hearing, and
- Disposition.

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

2.1   Case Header

When the system creates the docket using entries made during case initiation and supplemented by subsequent user entries, the docket receives information on the initial filing and basic case information such as case type, case category, case status, case title or style, parties, attorneys, and docket-related events. As the case progresses, this information is maintained and additional information is recorded—primarily on events in the flow of the case as described in the Event Information below.

Table 2.1 – Case Header Subfunctions

	Subfunction	Auto	Mand.	Opt.
2.1.1	maintain case information originally entered during case initiation in docket or register of actions including information on initial filing and basic case information (see also Case Initiation and Indexing Function)		all	

Table 2.1 – Case Header Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
2.1.2	maintain information originally entered during case initiation for parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person if organization (see also Case Initiation and Indexing Function)		all	

2.2 Event Information

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

Table 2.2 – Event Information Subfunctions

	Subfunction	Auto	Mand.	Opt.
2.2.1	enter and maintain information (e.g., document title, filing party, fees received, real property parcels) and dates on filings and other completed events not previously in system (e.g., party added or deleted, motion filed, answer or response filed, or hearing date set)		all	
2.2.2	create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function such as hearing scheduled (e.g., motion granted or denied; see also Calendaring Function), hearing results (e.g., summary judgment; see also Hearings Function), dispositions (e.g., disposition date, type of disposition, information on judgment; see also Disposition Function and Accounting - Back Office Function), and requests for enforcement of judgment (see also Execution Function)	yes	all	
2.2.3	create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders) (see also Document Generation and Processing Function, Hearings Function, and Disposition Function)	yes	large	small

Table 2.2 – Event Information Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
2.2.4	permit user to identify and retrieve electronic documents by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed)	yes	large	small
2.2.5	allow single event to create multiple docket entries (e.g., event is hearing; docket entries are attorney withdrawal and hearing results)	yes	all	
2.2.6	enter, maintain, and display or print information on special case processing requirements or orders (e.g., sealed case or document) (see also Case Initiation and Indexing Function and Security Function)		large	small
2.2.7	maintain case information as official court record in accordance with state and local statutes or rules			all

2.3 Information Relationships

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

Table 2.3 – Information Relationships Subfunctions

	Subfunction	Auto	Mand.	Opt.
2.3.1	maintain information on multiple parties, participants, and attorneys in a case such as personal information, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses (see also List of Code Translation Tables)		all	
2.3.2	maintain multiple current and historical addresses, with beginning and ending dates, for each party, participant, and attorney		all	
2.3.3	enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive		all	
2.3.4	maintain information on law firms and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney)		all	

Table 2.3 – Information Relationships Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
2.3.5	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 hearing date to another in single transaction) (see also Case Initiation and Indexing Function)	yes	all	
2.3.6	permit, with proper authorization (e.g., supervisor approval), deletion of specific docket entries and all related data (e.g., deletion of pleading and fee information causes related docket and accounting information to be deleted)	yes	all	
2.3.7	apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith's courtroom causes all records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division)	yes	all	
2.3.8	link and display information on docket entries for events related to current docket entry (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)			all

2.4 Input/Output Management

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

Table 2.4 – Input/Output Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
2.4.1	maintain and properly use code translation tables defined by user (see also List of Code Translation Tables)		all	
2.4.2	provide prompts to help users (e.g., list of codes and translations that apply to data entry situation that currently confronts user, updates required in cases related to case being updated)	yes	all	

Table 2.4 – Input/Output Management Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
2.4.3	create, maintain, and produce (according to user-specified criteria such as selected workstation[s] or selected case[s]) audit trail identifying persons who made docket and other entries and when they made entries (highlighting when filing occurred if filing and entry dates are different) (see also Security Function and Accounting - Back Office Function)		all	
2.4.4	print or display all, part, or summaries of docket(s) (e.g., events in register of actions, all parties, summaries of judgment information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order (see also Management and Statistical Reports Function)		all	
2.4.5	support electronic filing (e.g., directly from attorneys' offices) of pleadings and other documents (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	large	small
2.4.6	maintain file of input templates available to users to create input documents and, as necessary, associated cover sheets (for use when pleadings are filed electronically) and relate each template to court event(s) (e.g., to correlate templates with events and to allow details of specific electronically filed complaint to be inserted into "boilerplate" text of complaint form for hard copy printout) (see also Multifunction Capabilities and Integration and Document Generation and Processing Function)	yes	large	small
2.4.7	maintain and print or display history of changes in judge assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change		large	small
2.4.8	maintain and print or display history of attorney changes for specific case or party		all	

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 are not calendared (i.e., placed on a calendar for judicial hearing or other review) and have not yet happened, while docketing addresses completed activities.

Courts schedule the following two basic types of events:

- In many civil courts, deadlines are set for specific events (e.g., answer or response) when a case is filed and assigned a case number (signifying that the court has accepted the case). Other deadlines are established for submission of documents (e.g., affidavits) and completion of other actions (e.g., submission of exhibits) as the case progresses. These deadlines often conform to time intervals based on the case's differential case management category, case type, or case category (see also List of Code Translation Tables). Deadlines define the schedule within which the case moves to disposition, which may be by trial or before the trial, for example, by default, dismissal, withdrawal, or conference.

- Courts also schedule trials and other judicial proceedings (e.g., motion hearings, conferences aimed at pre-trial settlement) and quasi-judicial events (i.e., ADR such as mediation, arbitration).

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

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

Analogous to scheduling and calendaring, docketing relates closely to scheduling. Whereas docketing, as described in the Docketing and Related Recordkeeping Function, records completed actions, scheduling is anticipatory because it always establishes a future target date that may be rules-based or algorithmically determined for specific case types or categories (e.g., disposition time standards for small claims, unlawful detainer, or general civil complaints for damages).

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

- Scheduled events,
- Case,
- Party,
- Participant,

- Attorney,
- Judge, and
- Noncourt agencies.

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

3.1 Schedule Creation

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

Table 3.1 – Schedule Creation Subfunctions

	Subfunction	Auto	Mand.	Opt.
3.1.1	schedule events and groups of events (e.g., after case filed, set deadlines for service of summons, return of service, filing of answer or response)		all	
3.1.2	initiate schedule of future events based on user input or occurrence of prior events (e.g., after small claims case filed, schedule hearing and deadline for sending notices to parties and participants)	yes	all	
3.1.3	allow multiple cases and events to have same scheduled date and time (e.g., multiple complaints regarding same problem to be heard together)		all	
3.1.4	schedule maximum number of cases for specific time interval by event (e.g., hearing) type	yes	large	small
3.1.5	schedule group of related cases as if group was a single case	yes	all	
3.1.6	provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations		all	
3.1.7	apply specific change (e.g., reschedule all cases to be heard by judge who is unavailable due to illness) to multiple schedules for group of cases as if group was a single case	yes	all	
3.1.8	identify and display scheduling conflicts as noted in next group of subfunctions (see also List of Code Translation Tables)	yes	all	
3.1.9	when multiple schedules change, modify records of all related parties, participants, calendars, docket entries, and other data and functions including displaying scheduling conflicts, suggesting resolutions, allowing user overrides, and rescheduling only with user approval (see also List of Code Translation Tables)		large	small

3.2 Person and Resource Assignment

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

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

Table 3.2 – Person and Resource Assignment Subfunctions

	Subfunction	Auto	Mand.	Opt.
3.2.1	maintain waiting list of cases to be scheduled for specific date, date range, judge, courtroom, and other entities	yes	large	small
3.2.2	when creating schedules, consider (1) availability of judges, attorneys, parties, participants, and court facilities; (2) weekends, holidays, and other days generally unavailable for court activities (e.g., training, retreats, judicial conferences) and days when specific individuals are unavailable; (3) scheduling conflicts to extent information is in system (e.g., all law officer and witness schedules will not be in system), but allow manual scheduling at user discretion in spite of conflicts (e.g., conflicts due to judicial absences, attorney vacations, law officer schedules) (see also List of Code Translation Tables)	yes	all	
3.2.3	maintain availability information on judges, attorneys, parties, participants (e.g., interpreters, out-of-state witnesses), court facilities, and other scheduling factors noted in this section		all	
3.2.4	relate individual judges and groups of judges to courtrooms, locations, departments, department staff (e.g., reporter, bailiff; judge also may be considered staff), and case management tracts 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) (see also List of Code Translation Tables)	yes	large	small
3.2.5	assign specific case categories (e.g., tort, contracts, real property rights, small claims within civil case type) to specific departments according to user-defined case/department relationships (e.g., business cases assigned to business courts)	yes	large	small

Table 3.2 – Person and Resource Assignment Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
3.2.6	assign and reassign individual and groups of judges using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies), according to existence of specific conditions (e.g., conflict of interest), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon)	yes	all	
3.2.7	assign related cases, as designated by user, to same judge and group together on schedule (e.g., multiple complaints regarding same problem or person) (see also Case Initiation and Indexing Function and Docketing and Related Recordkeeping Function)		large	small
3.2.8	reassign individual or group of cases from one judge or calendar to another as if group was a single case (e.g., judge retires or moves to appellate court)	yes	all	

3.3 Ticklers and Other User Alerts and Prompts

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

Table 3.3 – Ticklers and Other User Alerts and Prompts Subfunctions

	Subfunction	Auto	Mand.	Opt.
3.3.1	provide tickler capability: identify events coming due or overdue, periods about to expire or expired (e.g., answer or response due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances); prompt or notify users; and initiate proper functions (e.g., generate notice regarding potential default) (see also Accounting - Back Office Function)	yes	all	
3.3.2	provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	yes		all
3.3.3	identify completed events and prompt users (e.g., summons served, awaiting answer or response)	yes	all	
3.3.4	generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria	yes	all	

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

3.4 Schedule and Case Management

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

Table 3.4 – Schedule and Case Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
3.4.1	maintain and display information on scheduled events (e.g., next scheduled event, all scheduled events, interface with docket to view past events)		all	
3.4.2	print each schedule upon user request (e.g., judge's calendar by day)		all	
3.4.3	create, maintain, and display or print administrative or clerk's calendar that shows all cases with action pending within specific date range (e.g., show upcoming events to help clerk with intraoffice work prioritization and management), and update calendar when pending actions completed		all	
3.4.4	enter completed events noted on administrative or clerk's calendar into docket as noted in Docketing and Related Recordkeeping Function	yes	all	

Table 3.4 – Schedule and Case Management Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
3.4.5	print or display attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, attorney)	yes	all	
3.4.6	print or display schedules for various persons (e.g., judges, attorneys); and facilities (e.g., courtrooms) within specific period	yes	all	
3.4.7	generate docket entry based on scheduled and completed events (see also Docketing and Related Recordkeeping Function)	yes	all	
3.4.8	track conformance to time standards (e.g., answer or response due 30 days after service to defendant) including modifications (e.g., move from one case management track to another), overrides (e.g., override requirement that answer or response due in 30 days and manually enter 60 days), and suspension (e.g., suspend mental health classification) of time counting under certain conditions (see also List of Code Translation Tables)	yes	large	small
3.4.9	support differential case management, ADR (e.g., mediation, arbitration), and other case management methods (e.g., schedule events within various sets of differential case management rules, schedule ADR events) (see also List of Code Translation Tables)		large	small
3.4.10	include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards)	yes		all

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 (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as civil warrants, summons, and complaints; (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those that are sent 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 court seals and standard text 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 civil case processing system allows users to create, store, and maintain forms—or output templates—that contain "boilerplate" text and may be imaged to permit court seals and signatures. When users need to complete one of these forms, the system accesses the appropriate output template and the user inserts the text and data for a given case. 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 a user entry (e.g., civil bench warrants), and they may be either printed and distributed manually or distributed electronically (see Multifunction Capabilities and Integration). Users must track served documents from the time they are sent out until the person who has been served appears at the prescribed time and place.

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

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

- Summons and other served processes,
- Forms and other documents issued by court,
- Scheduled events,
- Hearing,
- Financial,
- Case,
- Party,
- Participant,
- Attorney, and
- Noncourt agencies.

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

4.1 Document Generation

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

Table 4.1 – Document Generation Subfunctions

	Subfunction	Auto	Mand.	Opt.
4.1.1	generate notices or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function)	yes	large	small
4.1.2	generate documents (e.g., summons, civil warrants, notices) triggered by a specific event (e.g., hearing scheduled)	yes	all	
4.1.3	generate miscellaneous documents (e.g., for re-scheduled and canceled events, plaintiff claims forms, other types of forms)		all	
4.1.4	generate special notices (e.g., judge assignment, courtroom change, attorney change, schedule change, other courtesy notices) when requested		all	
4.1.5	in cases with multiple active parties, generate single notice for attorney who represents multiple parties		all	
4.1.6	in cases with multiple active parties, show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party and show names and primary addresses of all active parties on file copy of notice		all	
4.1.7	print documents individually or in batches in local courts or central location		all	
4.1.8	distribute documents electronically (e.g., documents to be served to process server; notices and other documents to litigants and attorneys; notices, warrants, and other documents to be entered in docket) (see also Multifunction Capabilities and Integration and Docketing and Related Recordkeeping Function)	yes	large	small
4.1.9	track document service, return of service, proof or certificate of service, reservice if necessary, and any other events		all	
4.1.10	perform document generation, printout, and distribution subfunctions for group of cases as if group was a single case	yes	all	

4.2 Document Utilities

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

Table 4.2 – Document Utilities Subfunctions

	Subfunction	Auto	Mand.	Opt.
4.2.1	in conjunction with Docketing and Related Recordkeeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., civil warrants with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices) (see also External Interfaces [Appendix A])			all
4.2.2	relate each output template and text noted above to document(s) and court event(s) for which they are used			all
4.2.3	maintain only files of standard text and use to create entire documents or to insert text into "boilerplate" court forms; relate each group of text to document(s) and court event(s) for which they are used		all	
4.2.4	provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database (e.g., attorney, party, participant records or tables) (see also List of Code Translation Tables)		all	
4.2.5	produce electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see also Multifunction Capabilities and Integration)		large	small

5. Calendaring Function

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

Calendaring encompasses all proceedings at which arguments, witnesses, or evidence are considered by a judge or administrative body in court events such as trials and motion hearings; conferences aimed at pre-trial settlement; and ADR events such as mediation and arbitration. (Recall from the data type definitions that the term "judge" includes judges and other judicial officers such as ADR providers [e.g., mediators, arbitrators].)

Calendaring is the deliberate act of placing a matter on a judge's calendar for a hearing, trial, or ADR event on a particular date. The calendared activity, which may be immediate or at a future date, refers to court business conducted by a judge, usually with counsel and litigants present and resulting in a decision by the judge. The action, ruling, order, or judgment from the event causes production of a document that, with the calendar itself, is part of the

official court record. The clerk dockets the result through an entry reflecting the action taken (e.g., a minute order or other document issued by the court); these activities are described in Docketing and Related Recordkeeping Function and Hearings Function.

Calendaring has two connotations. First, it refers to the placement of a matter within a single case—or a group of cases treated as a single case—on a judge's calendar. Such a calendar may contain only one matter but often includes several matters (e.g., law and motion, 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., law, motion), all matters set for a particular courtroom on a given day or range of days, or all matters set for all judges of a trial court on a given day or range of days. In the given courtroom, the judges may function individually or as members of teams or panels.

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

- Case,
- Scheduled events,
- Party,
- Participant,
- Attorney,
- Judge, and
- Noncourt agencies.

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

5.1 Calendar Creation

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

Table 5.1 – Calendar Creation Subfunctions

	Subfunction	Auto	Mand.	Opt.
5.1.1	create, generate, and maintain calendars based on scheduling information (see also Scheduling Function) for each type of hearing (e.g., jury trial, nonjury trial, motion, conference, dismissal) or mixed hearings (e.g., motions and settlements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, other elements of calendar profiles)	yes	all	
5.1.2	transfer easily and quickly between scheduling, calendaring, and other parts of the system when creating calendars (e.g., to view information on other cases, parties, participants)		all	
5.1.3	create and maintain judges' notes (i.e., judges' notes and comments for use with calendar) for judges' viewing only in accordance with local rules and statutes (see also Security Function)			all

5.2 Calendar Management

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

Table 5.2 – Calendar Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
5.2.1	create and print calendars individually (e.g., for a judge or courtroom) or batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom		all	
5.2.2	distribute calendars electronically (e.g., jury manager, court reporters, sheriff) (see also Multifunction Capabilities and Integration)	yes	large	small
5.2.3	generate and display or print summary of upcoming hearings for a judge or in a courtroom over a specific period (e.g., a week)		all	
5.2.4	display or print summary calendar information (e.g., for use in courtroom and could contain case number, hearing type, case title or style, hearing date and time, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on parties) (see also Management and Statistical Reports Function)		all	

6. Hearings Function

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

Minute entries (normally annotated on the calendar or on separate forms) and court orders record hearing results and document for the parties the findings resulting from judicial or quasi-judicial events. In performing these tasks, the Hearings Function relates closely to the Calendaring Function, Disposition Function, and Case Close Function.

As the hearing progresses, the judge may request a warrant, some type of form, or some other document which would be generated and printed 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 in a judgment such as the judgment amount, debtor information and amount, creditor information and amount, and payment provisions. This function relates closely to the Disposition Function, which discusses judgments in these contexts and covers judgment forms that document the terms of the judgment.

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

- Hearing,
- Scheduled events,
- Case,
- Party,
- Participant,
- Attorney,
- Judge,
- Noncourt agencies, and
- Exhibits.

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

Table 6 – Hearings Subfunctions

	Subfunction	Auto	Mand.	Opt.
6.1	provide for minute entry using one of the methods noted below		all	

Table 6 – Hearings Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
6.2	generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry (see also Calendaring Function)	yes	large	small
6.3	generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes (see also Document Generation and Processing Function and Calendaring Function)	yes		all
6.4	enter, store, and display or print minutes recorded on calendar or worksheet		all	
6.5	provide edits and prompts with on-line minute entry capability (see also Security Function)	yes	large	small
6.6	enter, store, and document minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules (see also List of Code Translation Tables)		all	
6.7	use events captured in minutes to update records throughout system (e.g., information on judgments working with Disposition Function and accounting functions; attorney withdrawals working with Docketing and Related Recordkeeping Function; adjournments, continuances, and cancellations working with Docketing and Related Recordkeeping Function (for docket updates), Scheduling Function (for rescheduling of hearing), Document Generation and Processing Function (for notice generation), Calendaring Function (to place on future calendar when scheduled), and other functions; and rulings taken under advisement on submitted matters) (see also Integration Between Functions)	yes	all	
6.8	create and print court orders resulting from hearings and other judicial and ADR events		all	
6.9	distribute court orders resulting from hearings and other judicial and ADR events electronically to outside parties and internally to be entered in docket (see also Multifunction Capabilities and Integration, Docketing and Related Recordkeeping Function, and Disposition Function)	yes	large	small
6.10	enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in docket (if not entered automatically through previous subfunction) (see also Docketing and Related Recordkeeping Function and Disposition Function)		all	
6.11	distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available			all

7. Disposition Function

Description. The activities associated with disposing all or part of a case or individual parties in a case due to a judgment, which is any type of disposition resulting from a court decision after a trial; ADR (e.g., mediation, arbitration), default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. This function supports the user in accomplishing the actions called for in court orders.

The Disposition Function relates closely to the Hearings Function, in which judgments are determined, but not documented. The Disposition Function receives information from the Hearings 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 Recordkeeping Function. It interacts with the Execution Function in processing judgments and often functions contiguously with the Case Close Function in disposing and closing cases.

The term "judgment" refers to the general term for any disposition that results from a court decision as noted above, as well as information contained in a judgment such as the judgment amount, debtor information and amount, creditor information and amount, and payment provisions.

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), courts normally track judgment payments reactively—not proactively in an explicit effort to track satisfactions of judgment—as information becomes available to them (e.g., in memoranda of credit or garnishment of return). With this proviso, exchange of judgment information occurs within court system functions such as the Hearings Function, which supplies information from subsequent hearings that relate to the judgment; the General Accounting Function and 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 may occur with (1) other governmental units at the federal, state, and local levels (e.g., sheriff for garnishments and court orders); (2) private organizations (e.g., credit reporting companies and collection agencies); and (3) other users (e.g., attorneys, litigants, researchers).

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

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

Subfunctions. The disposition subfunctions could apply to entire cases, individual parties (e.g., if some, but not all, parties in multiple-party case settle), individual parcels (i.e., in real property rights cases), or individual causes of action (e.g., when each claim in a multiple-

claim promissory note constitutes a separate cause of action, information usually should be recorded on the disposition of each cause and of the entire case). These subfunctions are given in the following table:

Table 7 – Disposition Subfunctions

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

Table 7 – Disposition Subfunctions (continued)

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

8. Execution Function

Description. The activities associated with execution of a judgment. These situations normally arise when the court is requested to assist with collection of the monetary judgment specified in a court order by obtaining information on the status of judgment payments and balance due by issuing documents such as memoranda of credit and garnishments of return. The Execution Function interacts with the Hearings Function and Disposition Function in these tasks.

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

- Disposition,
- Case,
- Party,
- Participant,
- Financial, and
- Noncourt agencies.

Subfunctions. The following table gives the execution subfunctions.

Table 8 – Execution Subfunctions

	Subfunction	Auto	Mand.	Opt.
8.1	process requests for execution of judgments and establish cross references for each execution subfunction given below to judgment index and judgment screen (see also Disposition Function)		all	
8.2	process objections to execution		all	
8.3	record fully, partially, and nonsatisfied executions (e.g., all obligations satisfied; see also Case Close Function)		all	
8.4	update each case in group of cases for which execution requested as if group was a single case (e.g., same judgment terms and execution requirements for each case in group)	yes	all	

9. Case Close Function

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

Case closure normally occurs when the case is disposed, which usually means the court has issued a final order disposing all parties and all issues and has statistically closed the case.

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

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

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

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

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

Table 9 – Case Close Subfunctions

	Subfunction	Auto	Mand.	Opt.
9.1	receive information from Disposition Function and record reason for closure (e.g., case disposed after trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation) (see also Multifunction Capabilities and Integration)		all	
9.2	establish cross references between consolidated cases for docketing, scheduling, notice generation, and other functions	yes	large	small

Table 9 – Case Close Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
9.3	close case (e.g., update docket; generate required forms, notices, reports for that case) (see also Docketing and Related Recordkeeping Function, Document Generation and Processing Function, Management and Statistical Reports Function)	yes	large	small
9.4	generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectable obligation balance; see also Management and Statistical Reports Function)		all	

10. General Accounting Function

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

In this volume accounting activities differ from civil case processing system functions covered previously because many accounting functions are performed by different personnel and may be supported by a different computer system. The accounting functions usually are divided between the clerk's case processing staff and a finance unit that may be in the clerk's office, an executive branch unit (e.g., county finance), or a court administrative office. The civil case processing system typically performs the functions described earlier in this volume, and it may support some or all of the accounting functions. Accounting support, however, could be provided by a financial system that performs functions such as budgeting, payroll, accounts payable, accounts receivable, fixed assets, journaling and general ledger, and trust fund management.

Because of the ambiguities in the division of functions between case processing and accounting, the financial system functions are divided into three groups:

- "case processing" functions that apply directly to civil case processing systems. These functions receive fees and other payments; generate receipts; maintain a limited number of bank accounts to hold received funds until they are sent to the proper person, agency, or account; and prepare reports on these activities.

- "financial functions" that support case processing. Functions in this group handle a wide range of interest-bearing and noninterest-bearing accounts, process accounts receivable, distribute funds, adjust fund balances, maintain journals and general ledgers, and produce end-of-period reconciliations and other summaries and reports.

- other functions—such as budgeting, payroll, and fixed assets—that relate only tangentially to case processing.

The following accounting sections cover functions in the first and second groups—case processing and financial—because that is where they normally reside in systems and organizations. In these accounting sections, each group of subfunctions are categorized according to whether they typically are case processing or financial. Functions that can occur either in case processing, financial, or both are categorized as "case processing or financial."

The case processing subfunctions are mandatory or optional for civil case processing systems as noted for each subfunction. The financial subfunctions designated as mandatory should be present in some system(s)—either a civil case processing system, a financial system, or an integrated system—but not necessarily in the categories shown below. This also applies to the financial subfunctions designated as optional.

The case processing and financial functions relate closely to each other, to other case processing and financial functions, and to accounting equipment. For example, many accounting functions cause a docket entry; judgment processing involves the Docketing, Hearings, Disposition, and Execution 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 civil case processing and financial systems are separate, the interface between them must be such that they operate as if they were a single system from the users' perspective. The accounting sections in this volume note only the most significant interfaces between the case processing and financial functions.

The Accounting - Front Counter and Cashiering Functions and Accounting - Back Office Function sections below cover the case processing and financial functions relative to each of the two office locations. The final accounting section covers general ledger functions. This section addresses common general accounting functions.

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

- Case,
- Party,
- Participant,
- Attorney,
- Disposition, and
- Financial.

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

Table 10 – General Accounting Subfunctions

	Subfunction	Auto	Mand.	Opt.
Either case processing, financial, or both				
10.1	comply with generally accepted accounting principles (GAAPs) for governmental entities (which implies courts or state must define applicable GAAPs)		All	
10.2	provide appropriate security and authorization for all accounting functions (see also Security Function)		All	
10.3	allow user to override any data supplied automatically by system (e.g., funds distributed according to predetermined formula)		All	
10.4	generate accounting notices (e.g., for payment) at front counter or in back office (see also Document Generation and Processing Function)	yes	all	
10.5	transfer funds from one case to another case or between accounts in a given case (e.g., to rectify error if jury fees posted in court reporter fund) (see also Accounting - Back Office Function)		all	
10.6	support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures) (see also Accounting - Front Counter and Cashiering Function and Accounting - Back Office Function)		all	

11. Accounting - Front Counter and Cashiering Function

Description. The activities associated with the cashiering station of the front counter in the clerk's office where litigants and their representatives submit payments required by the court.

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

Subfunctions. Within the Accounting – Front Counter and Cashiering Function, the subfunctions are grouped into funds collection, receipt generation, and bookkeeping.

11.1 Funds Collection

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

Table 11.1 – Funds Collections Subfunctions

Subfunction		Auto	Mand.	Opt.
All case processing				
11.1.1	permit payment to be accepted for cases filed but not docketed completely (e.g., all data, such as party names, not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of party submitting payment, date of payment, nature of payment) as precursor to full docket entry		all	
11.1.2	accept payments by various methods (e.g., cash, check, credit card, fee waiver)		all	
11.1.3	accept payments by electronic funds transfer (see also Multifunction Capabilities and Integration)	yes	large	small
11.1.4	accept payments from attorneys by electronic funds transfer from attorney bank accounts, debiting accounts established by attorneys to cover court expenses, debiting attorney credit card accounts, and on-line check writing (see also Multifunction Capabilities and Integration)	yes	large	small
11.1.5	compute fees based on occurrence of specific event (e.g., initial filing, motion filing)	yes	all	
11.1.6	identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review)	yes	all	
11.1.7	allocate fees associated with nonparties (e.g., from couriers, media) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case)		all	
11.1.8	record fees, other moneys collected, and related information (case related and noncase related)	yes	all	
11.1.9	accept multiple types of payments in single transaction (e.g., cash, check)		all	
11.1.10	accept multiple payments for single case with capability to process as either single payment or separate payments (e.g., voiding, receipting)		all	
11.1.11	accept single payment for multiple cases with capability to process separately for each case (e.g., voiding, receipting)		all	
11.1.12	permit payments to be voided and re-entered before daily balancing with proper security provisions (see also Security Function)		all	

11.2 Receipt Generation

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

Table 11.2 – Receipt Generation Subfunctions

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

11.3 Bookkeeping

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

Table 11.3 – Bookkeeping Subfunctions

	Subfunction	Auto	Mand.	Opt.
All case processing				
11.3.1	establish individual (e.g., for case or party) and combined (e.g., funds held short term by clerk) bank accounts when initial fees received for new case for subsequent use in back office (see also Accounting - Back Office Function)		all	

Table 11.3 – Bookkeeping Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
11.3.2	record and maintain front-counter bookkeeping information on receipts and disbursements (e.g., payer, payee, receipt number, case number, purpose of payment or disbursement)		all	
11.3.3	provide secure passwords for each cashier (see also Security Function)		all	
11.3.4	identify cashier with all transactions (e.g., receipts, reports)		all	
11.3.5	compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type		all	
11.3.6	list contents of each drawer (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	
11.3.7	print summary for each cashier including totals for each type of payment (e.g., cash, checks, credit card receipts, fee waivers, money orders) (see also Accounting - Back Office Function)		all	
11.3.8	list any discrepancies among payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment (see also Accounting - Back Office Function)		all	
11.3.9	permit individual cashiers to open and close at least daily (e.g., when several cashiers work different shifts at same register during same day)		all	
11.3.10	allow supervisor to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions (see also Security Function)		all	
11.3.11	suspend cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
11.3.12	permit transactions that arrive after cashier closeout to be entered as transaction for next day		all	
11.3.13	print systemwide daily cash receipts journal (see also Accounting - Back Office Function)		all	

12. Accounting - Back Office Function

Description. The activities associated with back office financial recordkeeping and related functions such as maintaining account records; conducting funds transfer and other financial transactions; and producing reconciliations, statements, reports, and other documents.

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

Subfunctions. Within the Accounting - Back Office Function, the subfunctions are grouped into account management; funds transfer, distribution, and disbursement; updates to accounts and other records; and summaries.

12.1 Account Management

This group of subfunctions addresses the activities associated with maintaining accounts, identifying and alerting users to abnormal conditions and producing supporting documentation, maintaining cross references to records external to the system, and maintaining code translation tables that pertain to accounting. As shown below, these subfunctions apply to case processing, financial, or both.

Table 12.1 – Account Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
Case processing				
12.1.1	maintain financial parts of case files and docket (e.g., payments received, liabilities with linkage to accounts receivable in finance) (see also Docketing and Related Recordkeeping Function)	yes	all	
12.1.2	debit accounts established by attorneys to cover court expenses, and credit attorney accounts based on electronic funds transfers from attorney bank accounts, debiting attorney credit card accounts, and writing on-line checks (see also Multifunction Capabilities and Integration)	yes	large	small
12.1.3	maintain standard tables for court costs and fees (see List of Code Translation Tables)		all	
Case processing or financial				
12.1.4	maintain and track various types of individual (e.g., case or party) and combined (e.g., funds held short term by clerk) bank accounts (e.g., interest bearing, noninterest bearing, installment, pay-through) and balances by case, due date, and party (a few accounts, such as attorney accounts and funds held short term by clerk, are case processing; most accounts, such as trusts and most escrow accounts, are financial)	yes	all	
12.1.5	identify and record arrearages, generate alerts when scheduled payments not made (e.g., for fee waivers or deferrals now due), and take or prompt user to take appropriate action (see also Scheduling Function)	yes	all	
Financial				
12.1.6	track status of accounts referred to other agencies or organizations (e.g., state tax intercept to recover previously waived fees) for collection		all	
12.1.7	produce correspondence such as payment notices and dunning letters (see also Scheduling Function and Document Generation and Processing Function)		all	

12.2 Funds Transfer, Distribution, and Disbursement

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

Table 12.2 – Funds Transfer, Distribution, and Disbursement Subfunctions

Subfunction	Auto	Mand.	Opt.
Case processing			
12.2.1 record funds received from other local, state, and private units (e.g., court-ordered payments such as state tax intercepts to recover previously waived fees)		large	small
Case processing or financial			
12.2.2 share information with state agencies to coordinate collection of court-ordered payments (e.g., to recover previously waived fees)		large	small
12.2.3 place hold on disbursements		all	
12.2.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., jury fees posted for settled cases, unreturned checks for moneys paid by court), update ledgers, and produce reports		all	
Financial			
12.2.5 electronically authorize and transfer collected fees to other units (e.g., appellate court for appealed cases) (see also Multifunction Capabilities and Integration)	yes	large	small
12.2.6 compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, other purposes) and permit distribution formula override by appropriate authority	yes	all	
12.2.7 compute parts of fees to be distributed to other local and state units according to predefined formula and distribute these moneys electronically (e.g., portion of fees for county parks, county library, other purposes) (see also Multifunction Capabilities and Integration)	yes	large	small
12.2.8 produce report showing distribution formula, moneys distributed to other local and state units over specific period, and how formula was used to compute distributions (see also Management and Statistical Reports Function)		all	
12.2.9 initiate, print, and disburse sequentially numbered checks, stop issuance on checks, void checks, identify and process outstanding checks, report on checks that have cleared, and record checks on check register		all	

Subfunction	Auto	Mand.	Opt.
12.2.10 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register		all	

12.3 Updates to Accounts and Other Records

This group of subfunctions addresses the activities associated with processing financial transactions, calculating charges and producing bills for amounts owed the court, and processing bank deposits. As shown below, these subfunctions apply to case processing, financial, or both.

Table 12.3 – Updates to Accounts and Other Records Subfunctions

Subfunction	Auto	Mand.	Opt.
Case processing			
12.3.1 post case-related receipts to accounting records and docket or register of actions; associate receipts with proper case, account, or case activity (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.2 post case-related disbursements to accounting records and docket or register of actions; associate disbursements with proper case, account, or case activity (see also Docketing and Related Recordkeeping Function)	yes	all	
12.3.3 display or print lists of transactions (e.g., receipts, disbursements, interest accruals listed by fee type or chronologically) for specific cases and accounts over specific periods (e.g., monthly for life of case) (see also General Accounting Function and Management and Statistical Reports Function)		all	
12.3.4 record changes to accounting records that result from court orders (e.g., order for refund of jury fees) and modify appropriate records		all	
12.3.5 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, interest, costs, attorney fees) garnishments and partial payments (e.g., through memorandum of credit) from litigants subsequent to judgments (see also General Accounting Function, Disposition Function, and Execution Function)		all	
Case processing or financial			
12.3.6 post interest accruals to accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts, and post to individual trust accounts at end of month); associate accruals with proper account	yes	all	

Table 12.3 – Updates to Accounts and Other Records Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
12.3.7	generate and print invoices for and document collection of all moneys (e.g., fees for reservice of process)			all
12.3.8	apply corrections without changing or deleting transactions, record and store adjusted financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		all	
	Financial			
12.3.9	post noncase-related receipts to accounting records and associate receipts with proper account	yes	all	
12.3.10	post noncase-related disbursements to accounting records and associate disbursements with proper account	yes	all	
12.3.11	accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and produce account statements	yes		all
12.3.12	create payment schedule, apply payments received to scheduled amount due, and produce reports on overdue amounts (e.g., for previously waived fees)		all	
12.3.13	calculate and record bank deposits		all	

12.4 Summaries

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

Table 12.4 – Summaries Subfunctions

	Subfunction	Auto	Mand.	Opt.
	Case processing or financial			
12.4.1	for specific periods produce separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case		all	
	Financial			
12.4.2	list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited		all	
12.4.3	print bank deposit slips for specific banks and periods		all	

Table 12.4 – Summaries Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
12.4.4	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		all	
12.4.5	produce list of items that remain open for accounts that carry balance forward from one period to next period		all	
12.4.6	produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		all	
12.4.7	produce precheck register (e.g., to view checks prior to printing register) and check register over specific period		all	
12.4.8	total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see also Accounting - Front Counter and Cashiering Function)		all	
12.4.9	produce summary reports for each cash drawer, cash register, and cashier (see also Accounting - Front Counter and Cashiering Function)		all	
12.4.10	produce report containing information on fees waived and associated payments		all	
12.4.11	produce report showing financial status and history (e.g., information on transactions, account balances, discrepancies) for each account (see also Management and Statistical Reports Function)		all	
12.4.12	generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports (see also General Accounting Function and Management and Statistical Reports Function)		all	
12.4.13	produce lists arranged according to user-selected criteria for any type of financial transaction (e.g., fees received by date, fee type, or party; receipts by reason for payment or by party) (see also Accounting - Front Counter and Cashiering Function)		all	

13. Accounting - General Ledger Function

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

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

Subfunctions. The general ledger subfunctions are all financial.

Table 13 – Accounting – General Ledger Subfunctions

	Subfunction	Auto	Mand.	Opt.
	All financial			
13.1	create and maintain system-defined and user-customized chart of accounts		all	
13.2	maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		all	
13.3	populate subsidiary ledger automatically using data from other parts of system (e.g., Disposition Function, Execution Function, other accounting functions)	yes	large	small
13.4	reconcile and balance all accounts		all	
13.5	create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		all	

14. File, Document, and Property Management Function

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

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

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

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

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

- File management,
- Case,
- Party, and
- Exhibits.

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

14.1 File Tracking

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

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

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

Table 14.1 – File Tracking Subfunctions

	Subfunction	Auto	Mand.	Opt.
14.1.1	generate labels for manual case files (see also Case Initiation and Indexing Function)	yes	all	
14.1.2	generate indicators (e.g., color coded labels) with information on checked-out manual files to replace those files in cabinet			all
14.1.3	track manual case files from time checked out of clerk's office through each borrower until returned to clerk's office relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data		all	

Table 14.1 – File Tracking Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
14.1.4	maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files		all	
14.1.5	maintain last location of manual and electronic destroyed files		all	
14.1.6	maintain audit trail of each case file location with information similar to that noted above for file tracking (see also Docketing and Related Recordkeeping Function)	yes	all	

14.2 File Archival and Destruction

In accordance with local and state rules for record retention as noted above, both manual and electronic case files pass from active to inactive status, and eventually they are archived and ultimately destroyed (or totally purged if an electronic file). At some point in its life cycle, the file is moved from on-line storage to off-line storage and eventually sent to an off-site storage facility. While the file resides in off-line computer storage, many courts retain summary information on the case in active storage to help access the archived file.

Table 14.2 – File Archival and Destruction Subfunctions

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

14.3 Reporting and Utility

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

Table 14.3 – Reporting and Utility Subfunctions

	Subfunction	Auto	Mand.	Opt.
14.3.1	generate reports on file management activities (e.g., inactive files and purged reports)		all	
14.3.2	perform utility functions (e.g., copy information such as docket entries and parties) from one case to another		all	

14.4 Document Management

Document management addresses the rudimentary document management capabilities for electronic and imaged documents (with the proviso that these standards do not assume an imaging capability) received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems (see Appendix B 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 civil case processing system or in a separate document management system that can interface with the civil case processing system. The capabilities shown in the table 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.

Table 14.4 – Document Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
14.4.1	support input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents		large	small
14.4.2	provide capability to toggle between views of several different documents		all	
14.4.3	provide capability to interface with document management system that is separate from case processing if civil case processing system excludes document management capabilities		all	
14.4.4	provide capability to use same document management system for imaging if imaging is included in overall case processing		all	
14.4.5	support manipulation and maintenance of electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see Document Generation and Processing Function)			all

14.5 Exhibit Management

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

Table 14.5 – Exhibit Management Subfunctions

	Subfunction	Auto	Mand.	Opt.
14.5.1	record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts		all	
14.5.2	generate exhibit and property numbers or other identifiers	yes	all	
14.5.3	track location and status of exhibits and other property		all	
14.5.4	record return or destruction of exhibits and other property		all	
14.5.5	generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see also Document Generation and Processing Function)		all	
14.5.6	print or display lists of exhibits and other property according to case, party, and other parameters		all	

15. Security Function

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

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

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

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

- Level 3 - For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing limited parts of the system's data and documents.

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

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

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

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

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

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

Subfunctions. Security subfunctions are:

Table 15 – Security Subfunctions

	Subfunction	Auto	Mand.	Opt.
15.1	perform 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)	yes	all	

Table 15 – Security Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
15.2	ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically to ensure that court is referencing and retrieving correct information	yes	large	small
15.3	ensure electronic records cannot be modified without supervisor notification	yes	large	small
15.4	allow access and similar privileges based on authorizations defined, maintained, and controlled by users (e.g., access authorization tables; see also List of Code Translation Tables)		all	
15.5	restrict local and remote access and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, parts of files, and system functions from other system functions, device (e.g., terminals, personal computers [PCs]) locations, users, and groups of users	yes	all	
15.6	restrict local and remote access to certain cases and classifications of cases (e.g., sealed cases, mental health cases) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders		all	
15.7	provide adequate security if public access allowed (e.g., view but not modify or delete data and documents, separate subset of database established and maintained specifically for public access [which raises issue of how often to refresh or update subset]; security at lower levels than file or record level such as at field level; "firewalls" that restrict access to only some of system and database and secure other parts)		all	
15.8	provide audit trails that show which users and workstation locations logged on to system during specified period		all	
15.9	provide secure passwords for user		all	
15.10	allow authorized user correction of individual or groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently entered cases to be changed)		all	

Table 15 – Security Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
15.11	maintain and display audit trail of file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function)	yes	all	
15.12	provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)		all	

16. Management and Statistical Reports Function

Description. The activities associated with reporting caseload, caseflow, and workload statistics and other court financial, operations, and staff management information. While the standard method of presenting this information 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.

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

Subfunctions. Within the Management and Statistical Reports Function, the subfunctions are grouped into statistics and management information.

16.1 Statistics

As a by product of day-to-day case processing, the system produces statistics for local use that satisfy the reporting requirements of the judicial branch and state agencies. These *statistics* appear in reports that are either produced locally by the civil case processing system or at the state level by a system located there after being sent from the local courts. The 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) for a specific time period on the number of cases pending at the beginning of the period, the number of cases filed or reopened during the period, the number of cases disposed or stayed (i.e., delayed or otherwise removed from the court's control) during the period, and the number of cases pending at the end of the period. The reports also may provide details on these basic pending, filed, and disposed statistics (e.g., percent of total caseload filed, disposed cases as percent of filings, manner of disposition).

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

answer or response, awaiting mediation, awaiting trial), and average time intervals between proceeding stages (e.g., between initial filing and answer or response).

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

To produce statistics beyond the local civil case processing system, statistical reporting must occur from the local system to the local, state, and possibly national levels. To satisfy this requirement, electronic interfaces should exist between local systems and systems of at least the local and state court administrators. Also, 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).

Table 16.1 – Statistics Subfunctions

	Subfunction	Auto	Mand.	Opt.
16.1.1	satisfy reporting requirements of judicial branch and state agencies as noted in remainder of this table		all	
16.1.2	verify data sent to judicial branch and state agencies using techniques such as aggregate totals		all	
16.1.3	transfer statistical and case data to judicial branch and state agencies electronically (see also Multifunction Capabilities and Integration)	yes	all	
16.1.4	produce caseload, caseflow, and workload reports, either by overall count or by list of cases (e.g., pending cases arranged according to various criteria such as by case type, case category, nature of action, event status, or judge; active cases not scheduled for hearing arranged according to various criteria such as by case type, or reason not scheduled; disposed cases arranged according to various criteria such as by case type, case category, disposition type, nature of action, or judge; cases pending specific action such as pending annual review or recommendation for transfer; cases with specific status such as by reason adjourned; judicial workloads; and weighted caseload summaries)		all	
16.1.5	produce statistical reports associated with financial activities (see also accounting functions)		all	
16.1.6	incorporate data from diverse courts throughout state (e.g., large and small courts) into uniform statewide statistics (examples of situations that must be reconciled in statewide statistics—some events may occur in all courts statewide but have subevents that occur only in large courts; statistics in large and small courts may be recorded based on different case management methods)	yes	all	

16.2 Management Information

While management reporting is a mandatory capability for every civil case processing system, the specific management reports needed by a given court depend on highly personalized management styles. There are, however, some reports that any court needs, and these reports are designated as mandatory in the subfunction table below. The reports designated as optional are only a few examples of the many reports that civil case processing systems could produce.

Some management reports, presumably the mandatory reports and selected other reports (e.g., the optional reports listed below), are preprogrammed into the civil case processing system, and some are generated on an ad hoc basis (see also Inquiry and Report Generation sections of Related Technical Considerations [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. Invariably a court will need additional reports as conditions, personnel, and preferences change, and those additional reports can either be programmed or created on an ad hoc basis and saved.

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. The detailed content and format of these outputs, even though preprogrammed (e.g., by a software vendor), would be determined by the local court users.

Table 16.2 – Management Information Subfunctions

	Subfunction	Auto	Mand.	Opt.
16.2.1	produce reports listed below as printed reports, displays, or extracted files suitable for transfer to other systems or Internet posting		all	
16.2.2	produce report that permits monitoring conformance with time and other performance standards relative to various guidelines (e.g., ABA Time to Disposition Standards) and tracking criteria (e.g., case age, case status, judge, exceptional cases such as complex litigation)		all	
16.2.3	track ADR provider (e.g., arbitrator, mediator) assignments, decisions, and performance criteria (e.g., settlement rates)		all	
16.2.4	produce various detail and summary reports giving docket contents for specific cases and groups of cases by case and party (e.g., chronological list of all or some events such as filings, summaries of related cases for specific party, case summary sheets; see also Docketing and Related Recordkeeping Function)		all	
16.2.5	produce various detail and summary reports giving docket contents for specific persons (i.e., party, participant, attorney) and groups of persons by case and party (e.g., person who is both plaintiff's attorney and defendant in malpractice suit; see also Docketing and Related Recordkeeping Function)		all	

Table 16.2 – Management Information Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
16.2.6	produce report that summarizes calendars sorted according to various criteria (e.g., by case type, case category, judge or other judicial officer, attorney, defendant, date) (see also Calendaring Function)		all	
16.2.7	produce report similar to calendar summary described above that shows whether specific cases have been disposed with cross references to calendars in which they were disposed (see also Calendaring Function)		all	
16.2.8	produce report identifying amounts owed and waived for each person or organization (e.g., fee waivers for specific parties, balance due on attorney accounts, amounts due as result of attorney sanctions)		all	
16.2.9	list cases (all, active, inactive) for specific attorney and provide related information (e.g., case status)		all	
16.2.10	provide audit trail reports that show (1) which users and workstation locations logged onto system during specified period and (2) file additions, modifications, and deletions (e.g., filings entered into docket) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing and Related Recordkeeping Function and Security Function)		all	
16.2.11	list and give supporting information (e.g., party such as debtor or creditor, date of judgment, amount of judgment) on all cases with open judgments		all	
16.2.12	list and give supporting information (e.g., case number, party name, dates warrant issued and served) on all cases with open warrants		all	
16.2.13	list all cases that have been continued over specific period according to various criteria (e.g., judge, party) and give supporting overall information (e.g., number per case, per judge, per attorney, per requester, and where granted)		all	
16.2.14	capture and track duration of trials by user-specified criteria such as courtroom, judge or other judicial officer, whether jury or nonjury, and how estimated duration of trial compares with actual duration		all	
16.2.15	produce report showing status of motions and related petitions and requests including motions waiting for hearing or under advisement		all	

Table 16.2 – Management Information Subfunctions (continued)

	Subfunction	Auto	Mand.	Opt.
16.2.16	capture and track locally defined milestone events (e.g., initial filing, answer or response, settlement conference) 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		large	small
16.2.17	maintain and report on current and past judge assignment (including specific cases, case types, case categories), recusal, challenges, hearing results, reassignment, disqualification with reasons where appropriate (see also Scheduling Function)			all
16.2.18	produce index of executions and garnishments sorted according to various criteria (e.g., by execution number, requester name, date issued, date returned)			all

List of Code Translation Tables

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

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

As noted earlier, these standards identify what functions civil case processing systems are supposed to perform and not how they are to perform those functions. Notwithstanding this fact, the widespread use of code translation tables suggests that these tables be used to illustrate the standard of associating codes and translations—or more basically of achieving the efficiency of code usage. The remainder of the section lists some typical tables and, for each table, gives examples of the categories of data for which codes and corresponding translations would be supplied.

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

Data Type	Examples
account type	such as interest bearing, noninterest bearing, installment, pay-through
alternate dispute resolution (ADR) providers (e.g., mediators, arbitrators)	such as names, identifiers, addresses, case types and case categories they can handle, availability (e.g., only on Tuesdays and Thursdays), and other information on persons (e.g., attorneys) appointed by the court to impartially settle civil cases
attorneys	such as names, identifiers, firm, status (e.g., attorney sanction such as disbarment, suspension, reprimand), and other information on attorneys licensed to practice in the state (e.g., using the state attorney registration list) or local jurisdiction (see also Definition of Data Types for additional attorney information)
bank/company identifier	such as names, identifiers, and other information for organizations that supply services to the court (e.g., banking, payment collection, bonding) or are litigants (e.g., plaintiff, defendant, third party) (see also Definition of Data Types for additional party and participant information)
calendared event type	such as motion hearing, trial, conference with maximum number of events that can be scheduled in a given situation (e.g., combination of judge, case type, case category, courtroom, time period) (see also Definition of Data Types for additional information on hearings and other calendared events)
case close type	such as following trial, ADR (e.g., mediation, arbitration), default, dismissal, withdrawal, settlement, transfer to another jurisdiction (usually same as disposition type)
case status	such as awaiting filing of answer or response, awaiting completion of discovery, awaiting motion hearing, awaiting trial
case category	such as auto tort, medical malpractice, product liability, contracts, real property rights (see also Definition of Data Types for additional case information)
case type	such as probate, family, criminal, traffic
city/county	such as each county, city, town, and other municipality

Data Type	Examples
court identifiers	such as general jurisdiction court, limited jurisdiction court, small claims court
courtroom identifier	such as Courtroom 5 in a particular city or county as identified in the city/county table
courtroom staff	such as judge, court clerk, reporter, bailiff for a specific courtroom
courtroom type	such as courtroom, hearing room, conference room for each courtroom in the courtroom identifier table
department identifier	such as the court department that handles general jurisdiction civil cases in a particular city or county as identified in the city/county table
differential case management	such as detailed case processing rules, parameters, and schedules for each event in each case type and case category in courts where case types and categories are processed differently (e.g., as in time-sensitive filings) (see also event-driven systems covered in Related Technical Considerations [Appendix A])
disbursement type	such as disbursements from accounts (e.g., for fee distribution according to state, county, city formula; for undistributed or unclaimed funds)
disposition type	such as by trial, by ADR (e.g., mediation, arbitration), by transfer out to another jurisdiction, or by some other process (e.g., default, dismissal, withdrawal, settlement, consolidation) (see also Definition of Data Types for additional disposition information)
document template type	such as each type of blank document into which users enter information including input documents (e.g., complaint forms) used primarily in electronic filing and output documents (e.g., notices) that are printed and sent to or distributed electronically to litigants
document type	such as civil warrants, summons, notices, and other documents produced by court
event type	such as complaint filed, answer or response filed, motion hearing scheduled, trial scheduled, trial held, case disposed (see also Definition of Data Types for additional event information)
exhibit	such as type, status, location, test results (see also Definition of Data Types for additional exhibit information)

Data Type	Examples
exhibit retention	such as elapsed times for each type of exhibit to be retained after last activity on case before being returned to owner or destroyed
facility	such as type (e.g., off-site records storage, mental health facility), identifier
fee and service type	such as to file complaint or pleading, for services (e.g., photocopying)
fee type amount	such as preset fee amount associated with each type of document filed or issued with effective date of fee type
file access authorization	such as relationships between specific internal and external users (they may have different log-on procedures), system functions (e.g., normal case processing functions such as docketing or calendaring cannot change or delete access authorizations), and device (e.g., terminals, PCs) locations and their authorizations to view, add, change, or delete files and file contents
file retention	such as elapsed times for files to remain active after last activity on case, to remain inactive without further activity on case, to remain archived before destruction
filing/pleading type	such as initial complaint, answer or response, petition for dismissal (see also Definition of Data Types for additional filing information)
finding type	such as any type of judgment resulting from a court decision pursuant to trial, ADR (e.g., mediation, arbitration), default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation
hearing status	such as vacated, held, continued
holidays	such as weekends and the other locally observed holidays
judge	such as names, identifiers, availability (e.g., reviews cases in chambers each Wednesday afternoon), and other information on each judge (see Definition of Data Types for additional judge information)
judgment type	such as a court decision pursuant to a trial, ADR (e.g., mediation, arbitration), default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation

Data Type	Examples
ledger type	such as general, subsidiary
minute codes	such as events captured in minutes (e.g., information on judgments; attorney withdrawals; adjournments, continuances, and cancellations; rulings taken under advisement on submitted matters)
minute orders	such as minute order types and formats
motion type	such as demurrer, dismissal
participant type	such as witness (see also Definition of Data Types for additional participant information)
party status	such as active, dismissed, bankruptcy
party type	such as plaintiff, defendant (see also Definition of Data Types for additional party information)
payment plan type	such as installment
payment type	such as principal, interest, arrearage, garnishment
schedule conflicts	such as judge, attorneys, witnesses, courtroom
scheduled event types	such as deadlines for submission of documents (e.g., answers or responses, affidavits) (see also Definition of Data Types for additional scheduled event information)
special status	such as sealed cases, mental health cases
time sensitive events	such as events that relate to restraining order, stay request, ex-parte filings, and bankruptcy filings
time standards	such as maximum time periods between events for each event, case type, and case category to which time standards apply (e.g., answer or response due 30 days after service to defendant for regular civil cases) (see also event-driven systems covered in Related Technical Considerations [Appendix A]);
transaction type	such as financial transactions (e.g., receipts, disbursements), case processing transactions (e.g., judge or attorney change for individual or groups of cases, new complaint filing)
zip codes	such as intrastate ZIP codes and related locations

Appendix A: Related Technical Considerations

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

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

External Interfaces

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

Other Technologies Internal to Court

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

- Case processing 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 between locations in a single transaction (see also System Capabilities);

- Integration of civil case processing system with modern courtroom technologies that assist in judicial decision making by gathering and displaying information from other courts, justice agencies, social service agencies, schools, and treatment facilities such as:

  - displays that judges can read easily and quickly (e.g., bar or pie charts, thermometer- or speedometer-type displays),

  - consolidation of multisystem or multidatabase information on one display for easy assimilation,

  - computer-searchable records of proceedings (e.g., court record, judge's notes);

- Integration of civil case processing system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recordings; correlation of video recordings with court records and judges' notes; and single recordation of proceedings with multiple uses in court records, judges' notes, orders, and other documents);

- Integration of civil case processing system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to civil case processing system and then to edit text);

- Data capture and file and property management using bar code, optical character recognition (OCR), and other technologies;

- Document capture, storage, and retrieval using imaging;

- Information capture and conversion to data and word processing formats using OCR;

- Integration of civil case processing system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets;

- Generation of official output documents (for transmission or printout) by supplying data including data transferred from word processing documents to imaged documents with official text, seals, and signatures;

- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judges' schedules, extracts of tagged parts from Internet-based court calendars to update law firm schedules), e-mail (see also System Capabilities in this appendix and Multifunction Capabilities and Integration in Standards for Individual Functions), and jury management systems; and

- Document printouts on special-purpose paper and forms (e.g., multipart forms and mailers).

Input and Output External to Court

Systems and users that are external to the court and, therefore, external to the civil case processing system may combine basic input and output methods with new technologies or substitute new technologies for the basic methods. The input and output technologies support users such as other types of local courts, other courts statewide, the state judicial branch, litigants, 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, and other official users employing dial-up lines, Internet or intranet enablement, and other technologies;

- Electronic access to selected court records (e.g., calendars and other event schedules, payment schedules, payment status, account status, land records, liens), blank forms, and instructions (e.g., document submission procedures) for on-line use by attorneys' offices, title companies, academic researchers, self-represented litigants, and the general public employing voice response technology, kiosks available to the public, Internet enablement, 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 (fax) transmissions, e-mail, and other technologies to avoid preprinted forms;

- Integration of civil case processing system with input and output needs of handicapped persons (e.g., through voice and other technologies that do not require keyboard and mouse entries);

- Integration of civil case processing system with input and output needs of non-English speaking persons (e.g., through multilingual system capabilities);

- Integration of civil case processing system with handheld and other mobile computers using wireless communications (e.g., for remote input, remote output, limited remote computing);

- Compatibility with local, state, and federal standards (e.g., with respect to attorney identifiers and reporting requirements);

- Accounting interfaces in accordance with local and state standards:

  - payments by the public using voice-response technology, kiosks available to the public, Internet enablement, and other technologies,

  - enhanced and expanded use of electronic funds transfer over standards described in Multifunction Capabilities and Integration and accounting functions (this could include payments from litigants, attorneys, banks, collection agencies, and others and transfers to state and local agencies, attorneys, vendors, banks, collection agencies, and others),

  - electronic interface for records access and comparisons (e.g., between courts and banks, credit agencies, and other financial institutions),

  - electronic check processing (e.g., endorse back of checks and money orders in addition to recording and listing transactions and printing receipts); and

- Use of more sophisticated modern technology for functions that already are standards described in the functional standards. 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 nonrepudiation (sender cannot later deny sending information). The Multifunction Capabilities and Integration and the Security Function sections 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 civil case processing system data entry;

- Varied and flexible inquiry keys (e.g., case number, case type, party, attorney, event) and other search criteria as noted below;

- Variety of user-defined searches including phonetic, Boolean logic, substituting "wildcards" for a limited number of unknown characters, date range, and progressively more detailed queries;

- Inquiry and retrieval of individual database items or groups of database items (e.g., individual or multiple judges, attorneys, parties, cases, dockets, calendars, hearings, 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;

- Retrieved 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., preprogrammed) and ad hoc (created for one-time or limited use). While standard reports generally cause no problem (assuming they do not proliferate and IT staff members are available), the same cannot be said of their ad hoc counterparts.

Users often need printed reports on a one-time basis to respond to questions from legislators, the press, and judicial managers. They must be able to obtain these reports in a timely manner, which usually precludes the lengthy turnaround time required to write customized programs. The solution is report generation software that, like the inquiry software noted above, allows users to create their own reports. While this approach is appealing to users who want reports with no IT intervention, it often leads to problems for IT—the volume of reports created and run by users inundates the computer and causes

processing deadlines to be missed. Possible solutions are for IT staff members 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 reports capable of being created rapidly by user (or IT staff members) 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 (see also 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 create for future use; and

- User option to display whatever is to be printed either as a normal display or as a print preview.

System Capabilities

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

- Need for scaleable 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 alternate dispute resolution (ADR) providers such as mediators and arbitrators, multiple clerks' 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, traffic), limited or no use of ADR providers, one clerk's office location, and a few clerical personnel in a single office handling the recordkeeping 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 answer or response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully functional event-driven systems provide this capability—primarily in some large courts—by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category (e.g., tort, contracts, real property rights, small claims) within the civil case type (see also List of Code Translation Tables). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available. Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. The standards in this volume 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 indices, 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 Recordkeeping, 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 navigate for specific data 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 indices of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be available in display or printed form and should be easily updated to reflect system changes.

- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports; see earlier Report Generation section and Management and Statistical Reports Function).

- Use of enhanced document management functionality that interfaces with or is part of the case management system. This would provide additional functionality, such as workflow and document version control, and improvements in existing document and text indexing, storage, search and retrieval, manipulation, maintenance, and input and output (e.g., through electronic filing, Internet enablement, imaging, and conversion from imaged characters to data or word processing formats using OCR). The Multifunction Capabilities and Integration section and File, Document, and Property Management Function discuss document management standards.

- Use of distributed processing (with the same civil case processing system or different systems) as a means of accommodating multiple court locations (see External Interfaces). This assumes the highly complex tasks of allocating processing functions, allocating data, and defining the network and its usage have been done properly and can be maintained.

- Use of relational database, object-oriented design, advanced programming, data warehousing (see also Management and Statistical Reports Function), and other recent system development and database technologies.

- Database design and data element definitions that permit easy inquiry and data access.

- Query optimization software that minimizes response time.

- Customized and easy-to-understand views of relational data for various users (e.g., judges, clerks).

- Need for e-mail integrated with case processing to permit easy distribution of schedules, court minutes, drafts of documents sent out for review, and other documents and information. For this capability to be effective, a comprehensive and maintainable directory must be available to permit communication among users of different e-mail platforms (see External Interfaces section).

Appendix B: Electronic Filing

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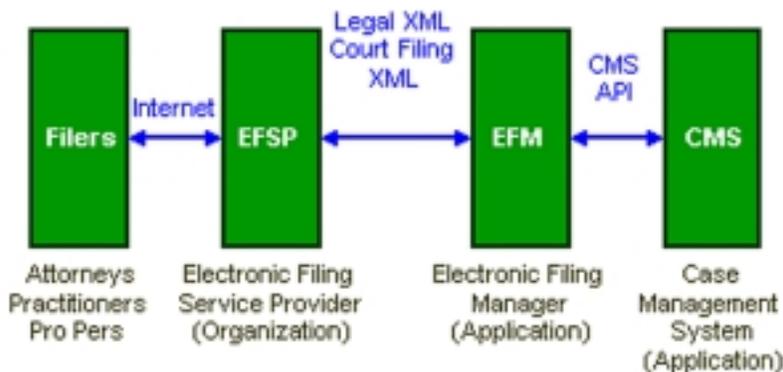
The components of this model are:

- **Filers**. Attorneys, law firms, litigants, state and county agencies, or anyone who has cause to file documents with a court.

- **EFSP (Electronic Filing Service Providers)**. These are business entities that provide electronic filing services and support to their customers (filers). They provide a means for filers to submit documents to courts, electronically forward those filings to courts, and direct responses from courts back to the respective filers. Given the advent of open standards and a level playing field with universal electronic access to courts, it is assumed that many providers will develop applications for electronic filing. They will offer a range of services and products designed to attract specific segments of the market, ranging from large to small law firms, solo practitioners, or anyone who wishes to file court documents.

- **EFM (Electronic Filing Manager).** This is a software application that accepts XML from an EFSP, analyzes it, passes data to the CMS, saves documents if the CMS is not itself equipped to do so, and returns XML-formatted CMS-generated data to the EFSP. To the extent that the XML is standardized statewide, any EFSP should be able to interact with any EFM, and therefore with any court CMS interfaced to an EFM application.

- **CMS (Case Management Systems)**. These are the applications courts use to track and manage caseloads (a heterogeneous CMS environment is assumed). So that EFMs can be readily connected to CMSs, case management systems will need to support an API

(Application Program Interface) designed to talk with EFM applications. Developing an API is a job for CMS vendors or court software developers or their contractors. It is also possible that, over time, various vendors will embed the EFM function in their CMS products.

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

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

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

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